

**Critical Factors for Institutionalizing
Evaluation at National Level:
Study on Four Countries in Asia- Sri Lanka,
Nepal, Philippines and Bangladesh**

PhD Thesis

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Declaration

This research was conducted and the thesis was submitted to fulfil the requirement of Doctor of Philosophy (PhD) programme of the Faculty of Sociology, University of Saarland, Germany under the guidance and supervision of Prof. Dr. Reinhard Stockmann. The research was conducted according to the guidelines given for the PhD studies by the University of Saarland.

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Doing a PhD is not an easy task while working and with many other obligations. I work in the evaluation field for full time and also chair two evaluation associations one being a regional association where I actively promote institutionalization of evaluation. Therefore I had a challenge with time for studies which I had to balance with my other obligations. I must thank everyone who had to bear with me during this tough time of my studies.

Especially I thank my supervisor, Prof. Dr. Reinhard Stockmann who accepted to supervise and help me for the PhD. The useful guidance, inputs, comments and thoughtful ideas he gave me were extremely helpful to successfully complete the research. I learnt a lot about the topic – institutionalization of evaluation from him. It was great learning to review studies he conducted and books he has written on evaluation and institutionalization. I also thank his team members and co-authors of books as they were rich with information and many useful insights. I also thank the team of the Center for Evaluation, University of Saarland for their support to my studies.

The topic of the research triggered my mind through the work I did on national evaluation policies and systems globally with a large group of stakeholders including governments, evaluation associations, UN agencies, parliamentarians, civil society and others. I had opportunity in working on national evaluation policies and systems globally through my engagement with EvalPartners. The knowledge, exposure and experience I got worldwide through EvalPartners and affiliated initiatives were a great strength for my studies in PhD. Institutionalization of evaluation and national evaluation systems has been core for over a decade of my work. Therefore I appreciate everything I learnt through my work and the exposure I got on this subject which has gone a long way now.

Deutsche Zusammenfassung (Summary in German)

Die Bedeutung der Evaluierung für die Entwicklung, insbesondere im Hinblick auf die Verwirklichung der Ziele für nachhaltige Entwicklung (SDGs) im Rahmen der Agenda 2030, ist der Grund für das große Interesse an der wissenschaftlichen Untersuchung der Institutionalisierung der Evaluierung. Diese Untersuchung befasst sich mit dem Konzept der Institutionalisierung der Evaluierung auf nationaler Ebene und konzentriert sich auf Fallstudien in vier ausgewählten Ländern des asiatischen Raums. Diese Studie konzentrierte sich auf die Faktoren, die die Institutionalisierung auf nationaler Ebene beeinflussen, mit besonderem Augenmerk auf bestimmte Faktoren, die in der vorhandenen akademischen Literatur nicht ausreichend untersucht wurden. Dementsprechend lag der Schwerpunkt dieser Studie auf der Ermittlung von Faktoren, die die Institutionalisierung beschleunigen, auf der Bedeutung nationaler Evaluierungspolitiken und -systeme (NEPS) sowie auf der Rolle von Freiwilligenorganisationen für professionelle Evaluierung (FOPEs), Parlamentariern und Gruppen der Zivilgesellschaft. Diese Forschungslücken bildeten die Grundlage für die Forschungsfragen, die mit Hilfe der Methodik geprüft wurden. Die Diskussion und die Ergebnisse von vier Fallstudien zu den Evaluierungssystemen bilden den Kern dieser Dissertation.

Die Bedeutung der Evaluierung wurde weltweit anerkannt, wie aus der Resolution A/RES/69/237 der Generalversammlung der Vereinten Nationen von 2014 hervorgeht. Die Evaluierungsgruppe der Vereinten Nationen hebt die beiden wichtigsten Ziele der Evaluierung hervor: Rechenschaftspflicht und Lernen. Der Lernprozess durch Evaluierungen, um wirksame Entscheidungen zu treffen, wird in den meisten Ländern nicht gleichermaßen gefördert oder praktiziert. Dies kann auf nationaler Ebene nur durch die Institutionalisierung der Evaluierung erreicht werden. Die Institutionalisierung der Evaluierung sollte daher zu einer verstärkten Nutzung der Evaluierungsergebnisse führen.

In dieser Studie wurden frühere Forschungsarbeiten zur Institutionalisierung der Evaluierung analysiert. Dementsprechend gab es bereits einige frühere Forschungsstudien zu diesem Thema. Der von Furubo et al. (2002) herausgegebene International Atlas of Evaluation und die Folgestudie von Jacob et al. (2015) aus dem Jahr 2012 sowie die neuere Studie von Stockmann et al. (2020) im Evaluationszentrum der Universität des Saarlandes, Deutschland, sind einige der wichtigsten Forschungsbeiträge auf diesem Gebiet. Darüber hinaus bewertete der

Internationale Atlas der Evaluierung von 2002 den Stand der Überwachung und Evaluierung (Ü&E) in 21 Ländern, hauptsächlich in Europa, wobei das Auswahlkriterium das Vorhandensein umfangreicher und vielfältiger Evaluierungsaktivitäten in jedem Land war. Die asiatisch-pazifische Region ist in dieser Studie durch Australien, Neuseeland, Japan, China und Korea vertreten. Jacob, et al (2015) versuchten, die Veränderungen im Ausmaß der Institutionalisierung von Evaluierung während des Jahrzehnts 2001-2011 zu untersuchen, indem sie die Ergebnisse der oben genannten Studie aktualisierten. Der Vergleich wurde für 19 Industrieländer und unter Verwendung der gleichen Kriterien für die Evaluierung durchgeführt, wobei der Unterschied in den antwortenden Experten aus verschiedenen Ländern bestand.

Darüber hinaus betrachtet die neueste Studie von Stockmann et al. (2020) die Institutionalisierung von Evaluation in einer disaggregierten Weise aus der Perspektive der politischen und sozialen Systeme und des Systems der Professionalisierung. In der Studie von Stockmann et al. (2020) wurden insgesamt 16 Indikatoren - 7 für das politische System, 5 für das soziale System und 4 für das berufliche System - verwendet, um den Reifegrad der Evaluierung in jedem der oben genannten Bereiche zu erfassen. Auf der Grundlage der oben genannten Kriterien und Indikatoren wurde in der Studie der Grad der Institutionalisierung der Evaluierung in den verschiedenen Ländern anhand einer Skala bewertet, die auch für die vorliegende Studie verwendet wurde. Im Vergleich zu früheren Studien über die Institutionalisierung der Evaluation werden in der folgenden Studie zwei zusätzliche Indikatoren im Rahmen des Professionalisierungssystems verwendet. Diese beiden zusätzlichen Indikatoren sind: i) Schulungen für junge und angehende Auswertende Personen (YEEs) und ii) die Existenz nationaler EvalYouth-Sektionen. Diese beiden Indikatoren wurden hinzugefügt, da es sich um neu entstehende Bereiche in der Asien-Pazifik-Region handelt, die zur Professionalisierung der Evaluierung beitragen werden. Diese Studien weisen darauf hin, dass der Prozess in den einzelnen Ländern unterschiedlich verlaufen ist und auch die Erfolge in den einzelnen Ländern nicht einheitlich sind.

Die derzeitigen Studien zur Institutionalisierung der Evaluierung beschränken sich jedoch überwiegend auf die entwickelten Länder, und auch dort handelt es sich hauptsächlich um westliche Systeme. Außerdem liegt der Schwerpunkt der meisten Studien nicht auf der Ermittlung von Faktoren, die den Prozess der Institutionalisierung von Evaluierungen beschleunigen oder verbessern. Für die vorliegende Studie über die vier asiatischen Länder

wurde der von Stockmann et al. (2020) entwickelte Analyserahmen für die Evaluierung des Globus verwendet. Erstens wird ein Indikatorensatz verwendet, der umfassender, spezifischer und klarer als die beiden früheren Studien zu sein scheint und die Darstellung der Evaluierungskultur in politischen, sozialen und beruflichen Bereichen abdeckt. Zweitens würde es den Vergleich zwischen den neuesten verfügbaren Evaluierungen der Situation in den europäischen und asiatischen Ländern erleichtern, ohne durch konzeptionelle Unterschiede behindert zu werden. Drittens ist dies die erste Studie, die die Institutionalisierung der Evaluierung in den Ländern des asiatisch-pazifischen Raums untersucht. Und sie ist im Vergleich zu anderen Studien umfassender. Daher trägt diese Studie zur bestehenden Literatur über die Institutionalisierung der Evaluierung bei.

Die Studie stützt sich auf vier Fallstudien in ausgewählten Ländern: Sri Lanka, Nepal, Philippinen und Bangladesch. Die vier Länder für die Fallstudien wurden auf der Grundlage einer Evaluierung von neun Ländern anhand bestimmter Kriterien ausgewählt, darunter das Vorhandensein aktiver VOPEs, nationaler Evaluierungsgesetze und -systeme, institutioneller Mechanismen, Evaluierungsstandards und -leitlinien. Die ersten drei dieser Länder kommen aus Südasien und die Philippinen aus Ostasien. Alle vier Länder sind wirtschaftliche und soziale Entwicklungsländer, wenn auch auf leicht unterschiedlichen Entwicklungsstufen. Die Forschungsfragen wurden auf der Grundlage der Kriterien entwickelt, die im analytischen Rahmen der Evaluierungskugel vorgeschlagen wurden. Für diese Studie wurden die Daten durch Interviews mit Schlüsselinformanten, Fokusgruppendifkussionen und durch Beobachtungen aufgrund der Erfahrungen des Forschers gesammelt. Die Ergebnisse der Fallstudien ermöglichen einen Vergleich mit der Evaluation Globe Studie in Europa.

Was das politische System betrifft, so ist Nepal das einzige der vier Länder, in dem die nationale Verfassung gesetzliche Bestimmungen zur Evaluierung enthält. Die Verfassung enthält eindeutige Bestimmungen sowohl für die Überwachung als auch für die Evaluierung. In Sri Lanka, den Philippinen und Bangladesch hingegen gibt es keine gesetzlichen Bestimmungen für die Evaluierung, obwohl in Nepal, den Philippinen und Sri Lanka Entwürfe für Evaluierungsgesetze vorliegen, die noch genehmigt werden müssen. In Sri Lanka und auf den Philippinen gibt es jedoch eine nationale Evaluierungspolitik, die von den jeweiligen Regierungen genehmigt wurde. In den Philippinen wurde der Nationale Rahmen für die Evaluierungspolitik gebilligt und durch ein gemeinsames Memorandum im Jahr 2015 in Kraft gesetzt. Gemäß dem gemeinsamen Memorandum müssen alle öffentlichen Einrichtungen den

nationalen Evaluierungsrahmen einhalten. In Sri Lanka wurde die nationale Evaluierungspolitik im Juni 2018 von der Regierung gebilligt, nachdem der erste Entwurf 15 Jahre alt war. Im Vergleich zu den europäischen Ländern gibt es in drei von 16 untersuchten Ländern Regelungen zur Evaluierung. Die Ergebnisse deuten darauf hin, dass der Rechtsstatus eine wichtige Komponente für die Professionalisierung der Evaluation ist. Es wird davon ausgegangen, dass die Gesetze das allgemeine Bewusstsein für die Bedeutung von Evaluierungen stärken werden. Auch in Europa gibt es mindestens fünf Länder, in denen Evaluierungsbezogene Verordnungen in Kraft sind. Dazu gehören Deutschland, Frankreich, Finnland, die Niederlande, Polen, die Schweiz, das Vereinigte Königreich und Lettland.

In allen vier Ländern gibt es eine öffentliche Einrichtung, die für die Überwachung und Evaluierung zuständig ist, auch wenn sie sich nicht nur auf die Evaluierung beschränkt. In Nepal verfügt die Nationale Planungskommission (NPC) über ein spezielles Referat für die Evaluierung, darüber hinaus hat jede staatliche Einrichtung ein Monitoring und ist die benannte öffentliche Einrichtung, die über eine Evaluierungsstelle verfügt. Der NPC koordiniert und kommuniziert mit den M&E-Einheiten der jeweiligen öffentlichen Institutionen in Bezug auf die M&E-Funktion. Das Department of Project Management and Monitoring (DPMM) ist die zuständige Abteilung in Sri Lanka. In der Bezeichnung der Abteilung ist die Evaluierung nicht enthalten, aber durch den Arbeitsumfang ist die Evaluierung Teil des Mandats von DPMM. In Sri Lanka gibt es in anderen öffentlichen Einrichtungen keine M&E-Einheiten, auch wenn es in einigen wenigen auf Anfrage solche Einheiten gibt. Das Landwirtschaftsministerium beispielsweise verfügt über eine M&E-Einheit mit eigenem M&E-Personal. Das DPMM verfügt über keine Evaluatoren oder Mitarbeiter mit technischen Kapazitäten für die Evaluierung, obwohl das Personal für die Evaluierung öffentlicher Projekte zuständig ist.

Auf den Philippinen ist die Nationale Agentur für wirtschaftliche Entwicklung (NEDA) die für die Evaluierung zuständige öffentliche Einrichtung. Die NEDA verfügt über eine eigene Evaluierungsabteilung, die Evaluierungen durchführt und verwaltet. Und es gibt eine Reihe von öffentlichen Einrichtungen und Ministerien, die über M&E-Einheiten verfügen. Das Gesundheitsministerium ist ein Beispiel dafür. In Bangladesch ist die Abteilung für Umsetzungsüberwachung und Evaluierung (IMED) die zuständige öffentliche Einrichtung des Landes. Wie der Titel schon sagt, geht es auch um die Durchführung und Überwachung. Die Art der Arbeit zeigt, dass IMED sich stark auf die Überwachung von Infrastrukturprojekten und die Beschaffung konzentriert. Darüber hinaus hat das IMED die für die Überwachung und

Evaluierung erforderlichen Formate und Instrumente entwickelt. Betrachtet man jedoch die Formate, scheint die Evaluierung eine einfache Übung zum Ausfüllen von Formaten zu sein. Auch die Evaluierungspraxis ist in allen vier Ländern eine Herausforderung, da es an einem System, an Leitlinien/Standards und an zugewiesenen Ressourcen für die Evaluierung mangelt. Außerdem sind in allen vier Ländern die zu bewertenden Sektoren nicht festgelegt. So werden beispielsweise in vielen Sektoren Evaluierungen durchgeführt, ohne dass es eine angemessene Vorgehensweise und ein angemessenes System gibt. Die sektorale Verteilung der Evaluierungen hängt also von der Finanzierung ab oder davon, wo die Spender beteiligt sind. Ein Vergleich dieser Ergebnisse mit europäischen Ländern zeigt, dass eine Reihe von Ländern über ausgewiesene M&E-Referate oder -Abteilungen in der Regierung verfügen. In Belgien ist dies zum Beispiel das Evaluierungsbüro für Entwicklungszusammenarbeit.

In allen vier Ländern sind Wirtschaftlichkeitsprüfungen und LeistungsEvaluierungen Teil des Rechnungshofs. In der Praxis finden jedoch in drei Ländern mit Ausnahme der Philippinen keine Leistungs- und Wirtschaftlichkeitsprüfungen in Bezug auf die technischen Anforderungen von Evaluierungen statt. Im Gegensatz dazu gibt es in mehreren europäischen Ländern wie Belgien, der Tschechischen Republik, Dänemark, Finnland, Lettland, den Niederlanden, Portugal und der Schweiz neben den Audits auch Evaluierungen. In der Schweiz zum Beispiel hat die Eidgenössische Finanzkontrolle zwischen 2000 und 2014 56 Evaluationen durchgeführt.

In Sri Lanka und Nepal begannen die Parlamentarier, mit ihren VOPEs, der Evaluierungsgemeinschaft und Entwicklungsorganisationen zusammenzuarbeiten, um die Evaluierung zu fördern. Die Institutionalisierung der Evaluierung begann im srilankischen Parlament erst nach der Colombo Declaration on Evaluation, die auf der EvalColombo2018 unterzeichnet wurde. Die Erklärung trug dazu bei, dass das Parlament von Sri Lanka den Institutionalisierungsprozess einleitete, einschließlich des parlamentarischen Sonderausschusses, des nationalen Evaluierungsgesetzes und des Aufbaus von Evaluierungskapazitäten bei den Parlamentsmitarbeitern. Ein nepalesischer Parlamentarier war maßgeblich an der Aufnahme der Evaluierung in die neue Verfassung von 2015 beteiligt. Er ist derselbe Parlamentarier, der das Parlamentarierforum in Südasien gegründet hat. Er war auch der Gründer des Nationalen Parlamentarierforums in Nepal. Das Parlament akzeptierte auch die Evaluierungsbestimmungen und billigte die Verfassung, womit es das erste Parlament in Asien ist, das Evaluierungsbestimmungen in der Verfassung angenommen hat. Andererseits

hat das nepalesische Parlament keine andere Rolle bei der Institutionalisierung der Evaluierung oder der Förderung der Nutzung der Evaluierung im Parlament gespielt. Darüber hinaus war die Colombo-Erklärung zur Evaluierung und EvalColombo2018 auch für die Philippinen von Bedeutung. Der philippinische Senat begann nach der Veranstaltung mit dem Aufbau von Evaluierungskapazitäten für seine Mitarbeiter und regte außerdem an, einen Gesetzentwurf zur Evaluierung vorzulegen. Außerdem war ein Parlamentarier aus Bangladesch Gründungsmitglied des Parlamentarierforums, und einige andere Parlamentarier nahmen in den vergangenen Jahren an Evaluierungsveranstaltungen teil. Das Parlament von Bangladesch hat jedoch keine besondere Rolle bei der Institutionalisierung der Evaluierung oder der Nutzung der Evaluierung im Rahmen des Parlaments gespielt. Keines der vier Parlamente hat die Kapazität oder die Möglichkeit, Evaluierungen in Auftrag zu geben.

Trotz einiger Bemühungen und Initiativen einiger Parlamentarier in jedem untersuchten Land sind keine großen Fortschritte bei der Beauftragung von Evaluierungen oder der Nutzung der Ergebnisse von Evaluierungsberichten auf der Ebene der jeweiligen Parlamente zu beobachten. In vier Ländern spielt das Parlament bei der Evaluierung nur selten und meist spontan eine Rolle. Vergleicht man diese Ergebnisse mit früheren Studien, so ist festzustellen, dass auch in vielen europäischen Ländern die Parlamente keine besondere und wichtige Rolle bei der Evaluierung spielen. Die Ausnahme ist das Schweizer Parlament auf Bundes- und Kantonsebene, das zum Initiator und Anwender von Evaluationen geworden ist. Das Schweizer Parlament gibt Evaluationen in erster Linie deshalb in Auftrag, um seine Kontrollbefugnisse auszuüben. In allen vier Ländern sind die zu bewertenden Bereiche nicht spezifisch. In vielen Sektoren werden Evaluierungen durchgeführt, ohne dass es eine angemessene Politik und ein entsprechendes System gibt. Evaluierungen finden meist in Bereichen wie Gesundheit, Bildung, Umwelt, Armut und Infrastruktur statt, sind aber nicht darauf beschränkt. Die sektorale Verteilung der Evaluierungen hängt von der Finanzierung oder der Beteiligung der Geber ab. Alle vier Länder sind stark von Gebermitteln abhängig. Die Mittel der Geber werden in der Regel für die von ihnen initiierten Projekte verwendet und nicht für andere Maßnahmen der Regierung oder anderer Organisationen.

In Nepal sollten gemäß den nationalen Überwachungs- und Evaluierungsrichtlinien alle öffentlichen Programme evaluiert werden. Der NPC führt direkt Evaluierungen ausgewählter Programme durch, während die einzelnen Ministerien und Abteilungen mit der Durchführung von Evaluierungen durch ihre M&E-Referate beauftragt sind. Die meisten öffentlichen

Programme werden von internen Mitarbeitern evaluiert, während die von Gebern finanzierten Projekte von externen Bewertern beurteilt werden. Die Studie hat jedoch gezeigt, dass die Regierungsstellen eher eine Überwachung als eine Evaluierung durchführen. Auch in Nepal werden die Überwachung und Evaluierung auf dezentraler Ebene eingeführt. Obwohl die nepalesische Verfassung Bestimmungen für die Evaluierung enthält und eine starke Institution für die Evaluierung sowie M&E-Einheiten in den Ministerien vorgesehen sind, ist es noch ein weiter Weg bis zu landesweiten Evaluierungen, die den politischen Entscheidungsträgern und den Bürgern als Entscheidungsgrundlage dienen. Starke gesetzliche Bestimmungen allein reichen nicht aus, um eine starke Evaluierungspraxis in einem Land zu erreichen. Das zeigt sich auch in Europa, zum Beispiel in Frankreich. Außerdem gibt es in einem Land wie Deutschland keine formale Gesetzgebung auf nationaler Ebene, aber interne und externe Evaluierungen werden in großem Umfang durchgeführt.

Auf den Philippinen verfügt die NEDA über eine Evaluierungsabteilung zur Durchführung von Evaluierungen. Einige Ministerien haben auch M&E-Abteilungen, aber nicht alle. Obwohl einige Ministerien über M&E-Abteilungen verfügen, gibt es Hindernisse wie fehlende Ressourcen und mangelndes technisches Know-how für die Durchführung von Evaluierungen. Die Institutionen, die über Ressourcen zur Durchführung von Evaluierungen verfügen, führen meist Ex-ante-Evaluierungen durch, die jedoch aufgrund der geringen internen Kapazitäten von externen Evaluatoren durchgeführt werden. Evaluierungen werden in der Regel bei ausländisch finanzierten Projekten unter der Leitung der Geber oder der finanzierenden Stelle wiederum durch externe Evaluatoren durchgeführt.

Der Fallstudie aus Sri Lanka zufolge wurden in der Vergangenheit regelmäßig Evaluierungen durchgeführt und für die Entscheidungsträger in der gesamten Regierung in einem Online-Repository veröffentlicht. Es hat sich eine Kultur herausgebildet, bei der die durchgeführten Evaluierungen weithin bekannt gemacht und den betroffenen Parteien vorgelegt werden, damit sie Maßnahmen ergreifen und der Öffentlichkeit zur Verfügung gestellt werden können. Da sich jedoch die institutionelle Struktur geändert hat, wurden die Evaluierungen spontan durchgeführt, und die Nutzung war nicht gewährleistet. Gegenwärtig gibt es in Sri Lanka keine systematische Methode zur Durchführung von Evaluierungen. Die Fachministerien und das DPMM führen Evaluierungen durch, die von internen Mitarbeitern durchgeführt werden, die anscheinend nur über sehr begrenzte technische Kapazitäten für die Durchführung von Evaluierungen verfügen. Obwohl Sri Lanka eine nationale Evaluierungspolitik verabschiedet

hat, gibt es keine Beweise dafür, dass diese seit der Verabschiedung im Jahr 2018 Auswirkungen auf die Evaluierungspraxis hat.

In Bangladesch führt IMED Monitoring-Evaluierungen/Feldbesuche durch IMED-Mitarbeiter durch. Es werden auch Checklisten für Evaluierungen verwendet, die jedoch nicht als Evaluierungen angesehen werden können, da sie eine Art Überprüfung der Fortschritte darstellen, obwohl sie als Evaluierungen bezeichnet werden. Das IMED spielt eine wichtige Rolle im Evaluierungsprozess, von der Ausarbeitung der Aufgabenstellung über die Beauftragung der Berater bis hin zur Erstellung des Evaluierungsberichts durch das Evaluierungsteam. Obwohl IMED-Mitarbeiter die Überwachungsmaßnahmen und Vor-Ort-Besuche durchführen, werden die Evaluierungen von externen Evaluatoren durchgeführt.

In allen vier Ländern findet die Evaluierungspraxis in unterschiedlichem Maße statt, unabhängig von den geltenden Evaluierungsvorschriften. Nepal verfügt über klare gesetzliche Bestimmungen, während Sri Lanka und die Philippinen Dekrete verabschiedet haben und Bangladesch weder über Gesetze noch Dekrete verfügt. In allen vier Ländern gibt es mehrere Mängel in der Evaluierungspraxis, die es ermöglichen, das optimale Niveau zu erreichen, um die Nutzung und das Lernen für Verbesserungen zu erleichtern.

Der Grad der Institutionalisierung der Evaluierung im Sozialsystem in den vier Ländern ähnelt der Situation in Europa, da sie in allen vier Ländern schwach ausgeprägt ist. Die Bürger und die Zivilgesellschaft nehmen an den Evaluierungen als Auskunftspersonen teil. Es stellt sich jedoch die Frage, ob die Bürger und die Zivilgesellschaft informierte Teilnehmer an den Evaluierungen sind, da sie meist eine passive Rolle bei den Evaluierungen spielen und vor der Teilnahme an der Evaluierung nicht umfassend informiert werden. Religiöse Einrichtungen beteiligen sich in der Regel nicht an Evaluierungen. In allen vier Ländern werden Evaluierungen von den Bürgern so gut wie gar nicht zur politischen Entscheidungsfindung herangezogen. Im europäischen Vergleich weisen nur Belgien und die Schweiz auf einen allgemeinen Einsatz der Evaluierung in der Zivilgesellschaft hin. In der Schweiz, die bei der Institutionalisierung der Evaluation im politischen System einen hohen Stellenwert einnimmt, wird die Evaluation zur Unterstützung der politischen Prozesse durch die Zivilgesellschaft eingesetzt. In Belgien wird die Evaluierung von der Zivilgesellschaft für die Entscheidungsfindung genutzt, obwohl sie keinen zentralen Stellenwert hat.

Darüber hinaus ist die Öffentlichkeit in allen vier Ländern mit dem Begriff "Evaluierung" nicht vertraut. Abgesehen davon gibt es in den jeweiligen Ländern keinen formellen oder informellen Prozess, um die Bürger über die Bewertung aufzuklären. Daher haben die Bürger oder die Zivilgesellschaft kein richtiges Verständnis für das Thema Evaluierung. Ein Grund für das mangelnde Wissen über Evaluierung ist das falsche Verständnis des Begriffs, da er als Fehlersuche, Polizeiarbeit oder Untersuchung angesehen wird und nicht als etwas, das dem Lernen und der Rechenschaftspflicht dient. Folglich ist die Evaluierung in allen vier untersuchten Ländern kein Thema, das in der Gesellschaft oder in den Medien breit diskutiert wird. Die Bürgerinnen und Bürger verlangen in der Regel keine Evaluierungen, und das liegt auf der Hand, denn sie sind mit den Evaluierungen und ihrem Nutzen nicht vertraut. Sie fordern jedoch eine Bewertung gescheiterter Projekte, wenn sie von den Ergebnissen betroffen sind. Dies geschieht vor allem dann, wenn die Bürger von zivilgesellschaftlichen Organisationen unterstützt werden. In Europa, auch nur in Dänemark und der Schweiz, ist die Evaluierung in den jeweiligen Gesellschaften gut bekannt. In allen anderen europäischen Ländern, die im Rahmen des Evaluation Globe untersucht wurden, ist die Gesellschaft nicht mit der Evaluation vertraut. Daher fordern die Bürgerinnen und Bürger in der Regel keine Evaluierungen, und es ist offensichtlich, dass sie mit den Evaluierungen und ihrem Nutzen nicht vertraut sind.

Was das Berufssystem anbelangt, so gibt es nur in Sri Lanka, Nepal und auf den Philippinen akademische Kurse, die sich jedoch im Großen und Ganzen auf M&E und nicht nur auf die Evaluierung konzentrieren. So gibt es beispielsweise in Sri Lanka einen eigenständigen akademischen Kurs für M&E mit dem Titel Post Graduate Diploma in Monitoring and Evaluation. In Nepal gibt es zwei Universitäten, die Monitoring- und Evaluierungskurse anbieten.: Kathmandu-Universität und Tribhuvan-Universität. Die School of Education der Universität Kathmandu führt seit 2013 die Planung, Überwachung und Evaluierung von Entwicklungsprogrammen und -projekten durch. Die beiden anderen akademischen Maßnahmen, die von der Universität Kathmandu und der Tribhuvan-Universität durchgeführt werden, sind Module zu Monitoring und Evaluierung als Teil der regulären Kurse, einer ist ein MPhil-Kurs an der School of Education der Universität Kathmandu und der andere ist ein Projektmanagement-Kurs an der Tribhuvan-Universität. Auf den Philippinen gibt es keine formellen akademischen Kurse zum Thema Evaluation auf Universitätsebene. Die einzige Referenz sind die umweltwissenschaftlichen Studiengänge, in denen Überwachung und Evaluierung ein Modul sind.

Eine weitere neue Initiative zum Aufbau beruflicher Kapazitäten sowohl in Nepal als auch in Sri Lanka ist die Ausbildung von Jugendbetreuern. So haben beispielsweise Nepal und Sri Lanka Schulungen für junge Menschen durchgeführt. Außerdem gründete Sri Lanka EvalYouth Sri Lanka, eine nationale Sektion der globalen Initiative EvalYouth. In allen vier Ländern gibt es keine evaluierungsspezifischen Fachzeitschriften oder akademischen Instrumente. Außerdem gibt es keine anderen Zeitschriften, in denen eine Evaluierung enthalten ist. In Sri Lanka und Nepal haben die VOPEs ihre eigenen Websites, die als eines der Instrumente für die Kommunikation und den Austausch mit Mitgliedern und der Öffentlichkeit genutzt werden. Was die VOPEs in den vier Ländern betrifft, so haben alle von ihnen formalisierte VOPEs. So gibt es beispielsweise in Sri Lanka einen, in Nepal und auf den Philippinen jeweils drei und in Bangladesch zwei VOPEs. Die Sri Lanka Evaluation Association ist eine der ältesten in Asien und die älteste unter den vier Ländern, die im Rahmen dieser Studie betrachtet werden. Was die Normen, Standards und Leitlinien betrifft, so verfügt keines der vier Länder über Normen im eigentlichen Sinne. Nepal verfügt jedoch über umfassende, vom NVK veröffentlichte Leitlinien, und die Philippinen haben vor kurzem Leitlinien verabschiedet.

Insgesamt hat es den Anschein, dass Sri Lanka und Nepal in Bezug auf die Bewertungskultur einen gewissen Reifegrad erreicht haben, wobei Sri Lanka gegenüber Nepal einen leichten Vorsprung hat. Was das politische System anbelangt, so sind Sri Lanka, Nepal und die Philippinen mehr oder weniger gleichauf, nur Bangladesch liegt dahinter zurück. In allen Ländern ist der Einfluss der Evaluierung auf die Sozialsysteme sehr gering. Sri Lanka schneidet beim professionellen System am besten ab, gefolgt von Nepal, und lässt die beiden anderen Länder weit hinter sich. Es hat den Anschein, dass die Institutionalisierung insgesamt mehr durch die Professionalisierung und etwas weniger durch das politische System beeinflusst wird. Obwohl Sri Lanka, Nepal und die Philippinen erst spät mit der Evaluierung begonnen haben, sind sie, wie fast alle asiatischen Länder, bei der Entwicklung einer Evaluierungskultur im politischen Bereich gut vorangekommen. Dies erfolgte in erster Linie durch nationale Rechtsvorschriften, Durchführungsverordnungen, die organisatorische Verankerung sowie die sektorale Verbreitung der Evaluierung. Andererseits hat Bangladesch bei der Institutionalisierung und Nutzung von Evaluierungen in seinem politischen System noch einen weiten Weg zurückzulegen. Auch bei den Evaluierungen im Bereich der Sozialsysteme gibt es in keinem der vier Länder viel zu berichten. Dies gilt auch für viele der fortgeschrittenen Länder in Europa.

Diese Studie hat gezeigt, dass eine Kombination von Faktoren zur Institutionalisierung der Evaluierung beiträgt, wobei kontextuelle Faktoren von entscheidender Bedeutung sind. Es besteht die dringende Notwendigkeit, die VOPEs auf nationaler Ebene zu stärken, da die Studie zeigt, dass sie eine wichtige Rolle bei der Professionalisierung der Evaluation spielen, die letztlich zur Institutionalisierung beiträgt. Die Studie hat auch gezeigt, dass die Wirkung von VOPEs verstärkt wird, wenn eine Zusammenarbeit mit der Regierung und insbesondere der Legislative stattfindet. Alle untersuchten Länder haben eine Evaluierungskultur, die sich noch im Anfangsstadium befindet, aber einige Länder haben trotz des Fehlens spezifischer NEPS gute Fortschritte bei der Institutionalisierung gemacht, was darauf hindeutet, dass NEPS kein unerlässlicher Faktor sind. Es gab eine offensichtliche Verlagerung von gebergesteuerten Evaluierungssystemen hin zu mehr ländergeführten Systemen. Die Rolle der Zivilgesellschaften bei der Forderung nach einer Evaluierung ist ein wichtiger Faktor, der die Institutionalisierung beeinflussen kann, aber es wird lange dauern, bis sich ein solches Denken auf gesellschaftlicher Ebene durchsetzt.

Die Studie enthält einige wichtige Empfehlungen, darunter politische Entscheidungen zur Förderung von akademischen Kursen zum Thema Evaluierung, die Stärkung der internen Kapazitäten der Institutionen im Bereich Evaluierung durch die Schaffung eines speziellen Kaders, die Zusammenarbeit der relevanten Interessengruppen mit den Regierungen bei der Einführung von Vorschriften, weitere Studien zur Rolle der VOPEs und die Untersuchung der Herausforderungen bei der Verabschiedung einer nationalen Evaluierungspolitik. Es ist sinnvoll, zu jedem allgemeinen Faktor, der für die Evaluierung der Institutionalisierung herangezogen wird, spezifische Indikatoren anzugeben. Generell war eine der Hauptlücken, die diese Studie zu schließen versuchte, das Fehlen umfassender Untersuchungen zur Institutionalisierung der Evaluierung in Entwicklungsländern, in denen die Evaluierungskultur unterentwickelt ist. Es wäre interessant, weiter zu untersuchen, welche Arten von Bewertungssystemen in welchem Kontext funktionieren. Eine weitere wichtige Frage für künftige Forschungen könnte sein, wie verschiedene Interessengruppen wie Parlamentarier und Akademiker eine wichtige Rolle bei der Institutionalisierung der Bewertung spielen können. Diese Dissertation konzentriert sich zwar auf Fallstudien in vier Ländern des asiatisch-pazifischen Raums, doch stellt dies an sich schon eine Einschränkung der Studie dar. Es wird vorgeschlagen, dass die Methodik und die Forschungsziele dieser Studie weiter verbessert und in anderen Ländern mit einem ähnlichen Status wiederholt werden können.

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Abbreviations

3ie - International initiative for Impact Evaluation
ADB – Asian Development Bank
ADP - Annual Development Programme
APEA – Asia Pacific Evaluation Association
BES - Bangladesh Evaluation Society
CAG - Controller and Auditor General
CEval – Center for Evaluation (University of Saarland, Germany)
COE-Bangladesh - Community of Evaluators – Bangladesh
COE-Nepal – Community of Evaluators – Nepal
COE-SA – Community of Evaluators - South Asia
COVID-19- Coronavirus Disease 2019
CSO – Civil Society Organization
DAC – Development Assistance Committee
DBM- Department of Budget and Management
DCC – District Coordinating Committee
DFABM - Department of Foreign Aid and Budget Monitoring
DPME – Department of Planning, Monitoring and Evaluation
DPMM- Department of Project Management and Monitoring
EIS – Evaluation Information System
EISD - Evaluation Information Systems and Development
EO- Executive Order
EU – European Union
ePMS – electronic Project Monitoring System
Eval4Action- Decade of EVALUATION for action
FGD – Focus Group Discussion
GDP - Gross Domestic Product
GON - Government of Nepal
GPFE- Global Parliamentarians Forum for Evaluation
HARTI - Hector Kobbekaduwa Agrarian Research and Training Institute
IDEAS - International Development Evaluation Association
IEG – Independent Evaluation Group (of the World Bank)
IMED - Implementation Monitoring and Evaluation Division

INDIS- Integrated National Development Information Systems
 INGOs – International Non-Governmental Organizations
 IOCE – International Organization for Cooperation in Evaluation
 IPS – Institute of Policy Studies
 LFA- Logical Framework Analysis
 LGUs- Local Government Units
 M&E - Monitoring and Evaluation
 MDAC - Ministerial level Development Action Committee
 MDGs - Millennium Development Goals
 MfDR - Managing for Development Results
 MPI - Ministry of Plan Implementation
 NCCAP- Philippine National Climate Change Action Plan
 NDAC - National Development Action Committee
 NEC – National Evaluation Capacity
 NECD - National Evaluation Capacity Development
 NEDA- National Economic and Development Authority
 NEP – National Evaluation Policy
 NEPF - National Evaluation Policy Framework
 NEPS - National Evaluation Policies and Systems
 NES - National Evaluation System
 NILS - National Institute of Labor Studies
 NGOs – Non-Governmental Organizations
 NPC – National Planning Commission
 NPFDEPN - National Parliamentarians Forum for Development Evaluation Policy in Nepal
 OAG - Office of the Auditor General
 OECD – Organization for Economic Cooperation and Development
 OPMCM – Office of the Prime Minister and Council of Ministers
 PDP RM- Philippine Development Plan Result Matrices
 PDP- Philippine Development Plan
 PFDE-SA - Parliamentarians Forum on Development Evaluation – South Asia
 PHILDEV- Philippine Evaluators for Development
 PIB - Project Implementation Bureau
 PIP - Public Investment Programme
 PMES- Pilipinas Monitoring and Evaluation Society

PRU – Parliament Research Unit
PSA - Philippine Statistics Authority
PSC - Parliamentary Select Committee
RBM&E - Results Based Monitoring and Evaluation
RBM - Results Based Management
RBNEP- Result-Based National Evaluation Policy
RBPMS - Results-Based Performance Management System
SDGs - Sustainable Development Goals
SLEVA – Sri Lanka Evaluation Association
SLPFE – Sri Lanka Parliamentarians Forum for Evaluation
SMECI - Strengthening Monitoring and Evaluation Capacities of IMED
SOME – Nepal - Society of Monitoring and Evaluation Nepal
SPEC - Special Project Evaluation Committee
SWC – Social Welfare Council
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
VNR - Voluntary National Review
VOPE – Voluntary Organization for Cooperation in Evaluation

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Chapter 1

Introduction

In a very broad sense, this thesis revolves around the concept of institutionalization of evaluation at a national level, focusing on case studies of four selected countries from the Asian region. This introductory chapter describes the background of the research, highlights its significance in the current world by describing its importance and relevance, identifies the rationale behind the study as well as the limitations of it. It finally lays out the chapter outline which concisely explains the structure in which the research was presented.

1.1. Background of the Research

After decades of development, the world still grapples with problems of poverty, social exclusion, environmental issues, health pandemics and many more. It is in this context that the world has set before itself a global development agenda to achieve certain highly desirable development goals by 2030 (Degai & Petrov, 2021; Ospina et al., 2021; see also Stockmann & Meyer, 2016). In a world that is striving towards economic, social, and political development at both national and international levels, systematic evaluations producing high quality evidence on what works best and more importantly utilization of such evidence to shape or reshape policies and programmes is key to accelerated development. Governments invest huge amounts of resources towards the development of the country and also expect to see results out of it. Based on the ‘social contract theory’ all governments are accountable to the citizens of the country and responsible to show effectiveness of the public funds used (Olssen, 2021; Muldoon, 2016). This requires an integrated evaluation-friendly ecosystem to be in place in the presence of factors such as a civil society demanding accountability, legislative support, administrative mechanisms, evaluation capacity building processes, professionalization of evaluation supported by a national association of evaluators, and a means to ensure utilization of evaluation results (Bemelmans-Videc, 1989) or, in sum, institutionalizing evaluation. Evaluations have to be institutionalized so that they become part of the development process, contributing to its acceleration. Identifying and assessing the various factors which contribute towards the process of such institutionalization is of paramount importance since it would allow

states to further improve their national evaluation systems (NES) based on the results of such studies (Stockmann & Meyer, 2013; Højlund, 2015).

Evaluation in the general sense of rating a thing, product or process is perhaps as old as civilization (Meyer, Stockmann, & Taube, 2020). However, the concepts, theories and practices of modern-day evaluation originated and gradually evolved mainly over the past two or three centuries, initially in the fields of education, medicine, agriculture and other scientific disciplines. This is not an exhaustive list since the practice of evaluation has, in reality, been shaped by almost every aspect of human civilization (Labin, 2011).

The practice of evaluation initially became common in developed countries such as the United States of America, Canada and Australia leading to the evolution of certain principles and methods. Application of these concepts and methods to arrive at judgments on the performance of development policies, programmes and projects in the social sector is of more recent origin, being a phenomenon of the post-Second World War years, when global institutions and the richer countries began extending development aid to the poorer countries, and wanted to make sure that the aid so extended is utilized effectively and efficiently (Furubo, 2018. p3). In course of time such donor-driven evaluation practice began receiving appreciation and acceptance in countries of the developing world leading to emergence of national evaluation practices. This phenomenon has been considerably strengthened in these countries in the past couple of decades, driven by transition to democratic forms of governance, growing national demand for accountability of public expenditure and the realization of the benefits of evidence-based decision-making (Stockmann & Meyer, 2016. p9). Global development agendas like Sustainable Development Goals (SDGs) (Martinuzzi & Meyer, 2016) and the efforts of international institutions in promoting country-led evaluations, creation of national evaluation capacities to meet this demand and the emergence of professional evaluation associations in many countries have given a further fillip to this trend.

Thus, evaluation is today appreciated in principle by most organizations and countries. Many organizations and nations have clarity about the concept of evaluation and how it differs from policy research, performance measurement or performance auditing, and how it can help in enhancing evidence based policymaking and programme implementation (Preskill, 2008). However, despite its growing acceptance in many parts of the world, evaluation as an important means to guide actions has not yet been embraced as widely as it should be (EvalPartners,

2016). The fact is that evaluation is a relatively new area and is not considered as a full-fledged, independent discipline yet in many countries.

While monitoring of performance of development interventions and performance-based application of resources is gaining ground, the spread of institutionalizing evaluation through evaluative thinking and utilizing evaluative evidence to reach decisions, establishment of national evaluations policies and systems, and capacity building and professionalization of evaluation is not uniform across nations. This study is intended to explore the factors that contribute to development of such an evaluation scenario in the developing countries. At the outset, a review of the various concepts related to evaluation, evaluation systems and what constitutes institutionalization of evaluation would be in order.

1.2 Significance of the study

Evaluation is the systematic assessment of the design, implementation or results of an initiative for the purposes of learning or decision-making (Stockmann, 2011) (Canadian Evaluation Society, 2014). The importance of Evaluation has been recognised globally as evinced from the 2014 United Nations General Assembly Resolution A/RES/69/237 which acknowledged 2015 as the International Year of Evaluation (United Nations, 2014). Emphasising the importance of evaluation, the former Secretary General of the United Nations, Ban Ki-moon, observed that ‘evaluation is ... critical for promoting accountability and for understanding what we are doing right and what we may be getting wrong’ (UNEG, 2015). This highlights the two most important purposes of evaluation- accountability and learning (UNEG, 2016) Evaluations for accountability need to be clear about who will be held accountable to whom, for what and through what means (Better Evaluation, 2015). Evaluations for learning need to be clear about who will be learning about what and through what means. Recent trends in academia and practice show that the purpose of learning is becoming significantly more important than that of accountability. However, the process of learning through evaluations in order to make effective decisions is not equally encouraged or practiced in most countries. An evaluation should provide credible, useful evidence-based information that enables the timely incorporation of its findings, recommendations and lessons into the decision-making processes of organizations and stakeholders (UNEG, 2016). The best way to ensure that this is achieved at a national level is through the institutionalization of evaluation. Institutionalization should lead to enhanced use of evaluation results. Voluntary National Reviews (VNRs) of SDGs

presented by various countries in recent years have limited mention of the evaluative evidence (Lucks et al., 2017). This demonstrates that most countries understand the importance of establishing evaluation systems at national level and do carry out evaluations from time to time. However, this seems to be primarily for the purpose of maintaining accountability and there is little evidence to show that the results are used effectively for the purpose of learning.

Previous studies explain what institutionalization of evaluation means, why it is important, and what it entails (refer to Chapter 3). There is also a respectable amount of academic literature on the institutionalization of evaluation in different countries and regions. However, current, comprehensive studies on the institutionalization of evaluation are predominantly restricted to developed countries and those too are mainly Western systems. Moreover, the focus of these studies is not the identification of factors that accelerate or improve the process of institutionalization of evaluations. Instead, most of these studies assess the status of institutionalization of evaluation within selected countries based on the chosen criteria. Existing research in the field also does not specifically analyze the role of civil society organisations and initiatives of VOPEs (Voluntary Organisations for Professional Evaluation) in the institutionalization of evaluation.

1.3. Rationale of the Study

Concepts discussed in Chapter 2 and review of current studies given in Chapter 3 show that various factors add to institutionalization and not many studies world-wide and none in Asian countries are available to ascertain which factors are critical for institutionalization of evaluation in a country and lead to success. It would be interesting and important to conduct such a study in depth to identify such factors. Institutionalization should lead to enhanced use of evaluation results. Most countries understand the importance of establishing evaluation systems at national level and do carry out evaluations from time to time, but with little evidence on how the results are used (Højlund, 2015).

1.4. Limitations

The study observed certain limitations which are explained below:

Limited academic studies in Asia Pacific region: It has been observed that there has been very limited number of academic studies on institutionalization of evaluation in the region. Any studies conducted by universities and the academic researchers on this topic are not available

in the region. Therefore the study had to rely on academic studies from other regions including Europe due to this reason. This study made an effort to address this literature gap by conducting the research on institutionalization of evaluation.

Limited number of countries selected: The study selected four countries from Asia for the case studies which might be a limitation in generalizing the results to the region. The future studies should select countries other than these four, so that a broad view from more countries will be available. Also as the Evaluation Globe is covering Asia too, it will bring details about more countries.

Scarce availability of data for institutionalization indicators: Data on several indicators was scarce as they are not publicly available and the accessibility was difficult which hindered overall assessment and comparison. Thus, it is hard to point out which factors are attributing towards institutionalizing evaluation. However, the contributions of certain factors were identified successfully.

Responsive bias for interviews: During the interviews with the key informants and the focus group discussions, interviewees might have held back certain information and expressed their views that the research might have expected. For instance the study interviewed government officials and parliamentarians who were not open to express certain views. However, this study used the informed consent and informed the interviewees that the information collected would be kept private and confidential.

COVID-19 pandemic: Due to the COVID-19 pandemic and the associated health and safety guidelines, face to face interactions could not take place. Thus, data collection mostly relied upon available secondary resources. Primary data collection was restricted to those having internet connectivity and familiarity with online operations. Many stakeholders including civil society actors that could provide their opinion on several aspects could not be contacted. However, the researcher was able to conduct the virtual interviews using interview protocol in a comprehensive manner. For an example, each of the interview lasted more than an hour.

1.5. Chapter Outline

The introductory chapter (Chapter One) of this dissertation has already recognised the background and conceptual framework relating to evaluation, evaluation systems, and the institutionalization of evaluation to provide a solid academic foundation for studying the factors influencing the institutionalization of evaluation. It then provided an overview of the historical development of national evaluation policies and systems as well as the efforts made by various institutions and organizations to promote the institutionalization of evaluation. This has provided a comprehensive understanding of the progress which has currently been made in the field and serves as a starting point for this dissertation. Next, the significance of this study and the rationale behind it, along with its limitations, were set out in order to establish why the current study is important and worth conducting in order to help improve the field. From this foundation, this section seeks to provide an outline of how the rest of the dissertation is structured.

The core of the thesis is organized as a series of sections that gradually examine evaluation, evaluation systems in Sri Lanka, Nepal, Philippines and Bangladesh. It investigates the research questions through detailed description of the four countries' case studies. Each chapter opens with an introductory paragraph that outlines the chapter and describes how the chapter contributes to the topic of this research. Each chapter ends with concluding remarks that reflect on the implications of the chapter's findings and introduces follow-up questions and how these are addressed in subsequent chapters.

Chapter Two includes a theoretical framework which defines key aspects related to the study and explains key initiatives around the world which have contributed to the eco-system of institutionalization of evaluation.

Chapter Three includes a review of current studies which identifies and critically examines the existing academic literature relating to the selected field of study. It highlights studies which have been conducted focusing on similar issues that this dissertation hopes to cover. By providing an overview of the existing body of academic knowledge, this Chapter will identify several research gaps.

Chapter four outlines the methodology used in this dissertation. It begins by using the research gaps identified at the end of the previous Chapter to develop a research problem which is the heart of this study. Based on the research problem, this chapter will identify specific research

objectives and then develop research questions which will be answered throughout the subsequent case studies in order to achieve the research objectives. The chapter also outlines the methodological approach employed in this research and discusses the processes used to address the research questions. It explains the rationale behind the adopted case-study-based research methodology, and the selection of countries. Finally, it describes the different research tools and techniques used to conduct the research, along with the rationale for choices made.

Chapter Five analyzes the cases of Sri Lanka, Nepal, Philippines and Bangladesh to set the stage for the analysis of this thesis' case studies, which discuss the cases in the light of the Evaluation Globe Analytical Framework developed by Center for Evaluation (CEval) with the leadership of Prof. Reinhard Stockmann, University of Saarland, Germany.

Chapter Six gives a comparative analysis of the four countries and discusses the results in the light of empirical evidence and earlier studies. Chapter Seven provides the summary of the main arguments, finding, recommendations, and overall conclusion of the study.

Chapter 2

Conceptual Framework for Institutionalization of Evaluation

2.1 Introduction

Clarifying concepts and building a conceptual framework for the subject of the study is a crucial part of academic research. Since the concept of evaluation itself is a new and emerging area of study and practice in many countries, the institutionalization of evaluation can be an even more unfamiliar and challenging subject. This chapter attempts to describe the socio-political background within which the concept of evaluation was developed and is currently practiced. It will provide a general overview of the conceptual framework upon which the subject of evaluation is built, highlighting the importance of evaluation in the modern world and why institutionalization of it is a desirable goal for states to achieve (cf, Scriven, 1973).

Evaluation emerged with the concept of monitoring early days when governments looked for ways to assess whether state funds were being well spent and, in 1949 in the United States, the idea of performance budgeting emerged as a response. This was followed by the concepts of ‘management by objectives’ and ‘monitoring for results’ in the 1960s (Parkhurst, 2017). Meanwhile, adoption of a logical framework approach in 1969 by the United States Agency for International Development (USAID) was a significant milestone in the development of monitoring, evaluation and evidence. During the 1980s, the advent of New Public Management led to a focus on separating the commissioner of a service from the deliverer of a service, the creation of agencies and the resultant need for performance control, including through public service agreements, with monitoring of key performance indicators (Ranson and Stewart, 1994; Mouton et al., 2014). In the 1990s, the Government Results and Performance Act of 1993 in the United States provided for the establishment of strategic planning and performance measurement and for a widespread assessment of government performance (Goldman & Pabari, 2021). The concept of monitoring and evaluation was gradually spread to Global South mainly through the donor funds from Global North (Raimondo, 2016; Nolton, 2020). As such, the emergence of concept of monitoring and evaluation and its institutionalization is discussed in the chapter in detail.

2.2 Concepts related to Institutionalization of Evaluation

2.2.1 Evaluation

Evaluation is commonly defined as an assessment, conducted as systematically and impartially as possible, of an activity, project, programme, strategy, policy, topic, theme, sector, operational area or institutional performance as a management support system. (Leeuw, 2009; Stockmann, 2008 p 60ff; Scriven, 1991) defines evaluation "...as the process of determining the merit, worth, or value of something, or the product of that process. Terms used to refer to this process or part of it include: appraise, analyze, assess, critique, examine, grade, inspect, judge, rate, rank review, study, test...The evaluation process normally involves some identification of relevant standards of merit, worth, or value; some investigation of the performance of evaluands on these standards; and some integration or synthesis of the results to achieve an overall evaluation or set of associated evaluations."

On the other hand, Mark, Henry, and Julnes (2000) suggest that "[t]he primary role of evaluation is to enhance and supplement the natural sensemaking efforts of democratic actors as they seek social betterment." In other words, Patton (2008) in his book on Utilization-focused evaluation illustrates that "Programme evaluation is the systematic collection of information about the activities, characteristics, and results of programmes to make judgments about the programme, improve or further develop programme effectiveness, inform decisions about future programming, and/or increase understanding." In contrast Preskill & Torres (1999) defines evaluation as follows:

"We envision evaluative inquiry as an ongoing process for investigating and understanding critical organization issues. It is an approach to learning that is fully integrated with an organization's work practices, and as such, it engenders (a) organization members' interest and ability in exploring critical issues using evaluation logic, (b) organization members' involvement in evaluative processes, and (c) the personal and professional growth of individuals within the organization."

United Nations Evaluation Group (UNEG, 2016) defines evaluation as "an assessment, conducted as systematically and impartially as possible, of an activity, project, programme, strategy, policy, topic, theme, sector, operational area or institutional performance. It analyzes the level of achievement of both expected and unexpected results by examining the results chain, processes, contextual factors and causality using such appropriate criteria as relevance, effectiveness, efficiency, impact and sustainability. An evaluation should provide credible,

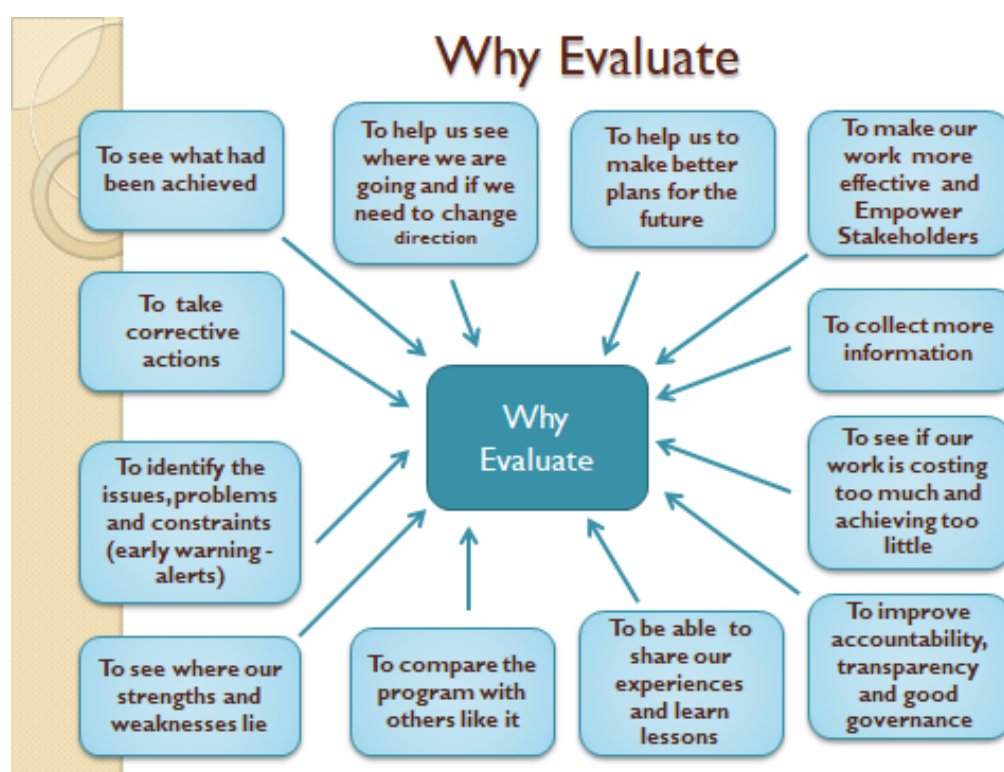
useful evidence-based information that enables the timely incorporation of its findings, recommendations and lessons into the decision-making processes of organizations and stakeholders”. UNICEF (2018) revised evaluation policy follow UNEG definition of evaluation for UNICEF purposes.

The Development Assistance Committee (DAC) of the Organization for Economic Cooperation and Development (OECD) defines evaluation in the following terms such as, “[e]valuation is the systematic and objective assessment of an on-going or completed project, programme, or policy, including its design, implementation, and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact, and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors” (OECD, 2002. p21). The World Bank (2019a) group uses definition of evaluation adapted from OECD definition. According to the World Bank, evaluation is a systematic and objective assessment of an ongoing or completed World Bank Group process, project, programme, theme, strategy, or policy, and of its design, implementation, and results, in relation to specified evaluation criteria.

The common factor of all these definitions is that an evaluation should provide credible, useful evidence-based information that enables the timely incorporation of its findings, recommendations and lessons into the decision-making processes of organizations, countries and stakeholders (Jacob et al., 2015). Evaluation aims to understand why and to what extent the intended and unintended results were achieved and to analyze the implications of the results for enhancement of performance. It is, thus, an important stage in the implementation of programmes contributing to enhancement of performance. However, this does not necessarily mean that evaluation only serves as a tool in project management. It has more far-reaching impact and utility which can be observed in numerous other fields.

Ban Ki Moon, the Secretary General of the United Nations (2007-2016) highlighted “...as Secretary-General, one of my main roles is to continuously improve the United Nations in order to deliver for the people we serve. That means knowing whether we are achieving what we set out to do, and if not, how to do better” (UNEG, 2016. p6). This statement especially emphasized the importance of evaluation for achieving development objectives.

The importance of evaluation is being recognised at global level. It is gradually being understood that evaluations are to promote accountability and learning (Friedman, & Phillips, 2004). Evaluations for accountability need to be clear about who will be held accountable to whom, for what and through what means (Meyer et al, 2016; Jacob et al., 2015). They need to be clear about whether accountability will be upwards (to funders and policymakers), downwards (to intended beneficiaries and communities) or horizontal (to colleagues and partners). Evaluations for learning need to be clear about who will be learning about what and through what means. Figure 2.1 provides a detailed outline and understanding about why evaluations are important.



*Figure 2.1: Reasons for evaluation,
Source: V. Sivagnanasothy (2017)*

Evaluating an individual project or programme is one thing and embedding evaluation as an overarching principle in planning and implementation of all development interventions systematically through a well-defined evaluation system is quite another. Establishing an evaluation system is a key component of the development sector that should be systematically addressed by the governments at central and sub-national levels as well as various organisations involved in development. It would be useful to understand the concept of evaluation system.

‘Monitoring’ is a word and concept which mostly goes with ‘evaluation’ and these terms are usually mentioned together as ‘monitoring and evaluation’ (M&E) (Raimondo, 2016). Porter & Goldman (2013) explain the distinction between monitoring and evaluation by explaining that, “Monitoring helps managers and policymakers to understand what the money invested is producing and whether plans are being followed. Evaluation helps to establish what difference is being made, why the level of performance is being achieved, what is being learned from activities and whether and how to strengthen implementation of a programme or policy”. Kusek and Rist (2007) characterises monitoring as a more regular process which also focuses on deliverables while evaluation is a more periodic process which focuses on certain specified criteria. However, the critique is that monitoring is undertaken more often while evaluation happens rarely for various reasons including the lack of understanding regarding the value of evaluation and the lack of a proper system. Therefore, it is apparent that evaluation faces more challenges when it comes to recognition, practice, and use compared to monitoring.

2.2.2 Defining an Evaluation System

Beyond its general meaning, the concept of an ‘evaluation system’ has been the subject of critical academic study for several decades. Since this entire thesis revolves around the study of ‘institutionalization of evaluation systems’ (Leeuw, 2021), this section seeks to provide an overview of the current, prominent academic opinions and observations regarding evaluation systems.

Ann-Murray Brown (2016) defines a monitoring and evaluation system in development work, as a system that ‘represents all the things that need be undertaken before, during and after programme implementation, in order to track and measure progress (and success) in achieving the goal’.

In the words of Nigel Simister (2009) M&E system is a “series of policies, practices and processes that enable the systematic and effective collection, analysis and use of monitoring and evaluation information”.

Tiina Pasanen and Louise Shaxson (2016) observe that a well-designed M&E system ‘will ensure a consistent approach to the collection, analysis and use of information, whilst allowing

considerable scope for different parts of an organisation to develop their own solutions in response to their own particular situations’.

Although above definitions are related to both M&E rather than on evaluation, these definitions show that evaluation is a process involving various steps in collecting and analysing information to be used for policy planning and implementation. As Lopez-Acevedo (2012) mentions “...evaluation system that assesses the impact of different interventions and provides a sense of whether the interventions are indeed effective in achieving development targets (that is, a system that allows you to know if you are doing the right things)”. The system can be established in an organisation as well as in the national context. While evaluation is a process to assess impacts of individual development intervention the evaluation system is a planned structure to carry out evaluations in general.

There are three main pathways through which especially the developing countries are working towards National Evaluation Policies and Systems (NEPS) (Bamberger et al., 2014). In many countries, the NEPS are still evolving and the final stages of standardized systems for the selection, implementation, dissemination and use of the evaluations are yet to be reached. The first pathway begins with ad hoc evaluations in different sectors, funded by different agencies and using different evaluation methodologies in different studies without any systematic approach. Often the initial impulse is from donor agencies, and then the national government gradually becomes more involved and a more integrated system develops. In many cases, the Ministry of Planning takes the lead and then the Ministry of Finance becomes more involved as evaluation becomes part of the budget planning system. The SINERGIA system in Colombia is an example (Bamberger et al., 2014).

The second pathway is a process in which evaluations begin in a particular sector and once their value is understood the approach begins to be used in other sectors. Gradually, a national whole-of-government system evolves (OECD, 2004). Mexico is an example of this path. Initially, a number of high-profile evaluations were conducted of the Progres a (later renamed Oportunidades) conditional cash transfer programme in Mexico. The approach was replicated in other social sectors and then finally developed into a whole-of-government system through the National Evaluation Council, CONEVAL. Uganda also followed this model beginning with the education sector for evaluation. In the case of Kenya, many of the elements of the M&E system were initially developed in the health sector, particularly the HIV/AIDS programme.

The third pathway is where evaluations begin as a whole-of-government system operating at a fairly modest level, and then the scope and utilization of the system expands. The Chile DIPRES system is an example. Beginning in the 1990s with a focus on developing a uniform system of performance monitoring indicators, the system now coordinates closely with the Parliamentary Budget Committee and is a major instrument for providing a solid evidence base for improved budget planning. In South Africa, the Ministry of Performance Evaluation was created to develop the national M&E system (Bamberger et al., 2014). While the initial impetus for the development of the NEPS came from the public sector, usually with strong support from the donor community, as the systems evolved, civil society and academia came to play an important role. In recent years, much of the civil society impetus has been focused and strengthened through the creation of VOPEs, and in many regions VOPEs provide much of the technical expertise on evaluation capacity development. Various pathways are functioning in Asian countries and it would be interesting to assess the success of various efforts in Asian region.

2.2.3 Evaluation Systems Enhance Evaluation Use

The use of evaluations of development interventions depends on many things. As per Cracknell (2005), it can be used at the project, programme, institutional, sectoral and policy or strategy levels. The results of evaluations are also having their utility in trainings and upscaling skills. However, as per Weiss (1999), policymakers rarely base new policies directly on evaluation results. Weiss gives two main reasons for the low use of such evidences in policymaking processes. These are competing pressures from conflicting interests, ideologies, other information and institutional constraints, and because many policies take shape over time through the actions of many officials in many offices, each of which does its job without conscious reflection (Weiss, 1999). An independent evaluation system that ensures report quality is critical to the effective use of evaluations. However, there is a need to strike a balance between independence and the internal relevance of evaluations. Gaarder and Briceno (2010) “want a system that is independent in order to achieve external credibility and social legitimacy, but not so independent that it loses its internal relevance.” Moreover, management responses to evaluation reports provide a useful basis to ensure the effective use of evaluations by addressing recommendations along with identifying responsibility and timing of implementation. Bamberger and Segone (2011) argue that management responses are a

practical means to enhance the use of the evaluations to improve action. The writers also argue for proper dissemination of the report, identifying both direct and indirect users of the evaluation in order to ensure that the findings and conclusions are effectively utilized.

2.2.4 Towards Country-Led National Evaluation Systems

In the past it has been a practice that donor countries set up monitoring and evaluation guidelines for recipient countries. It was observed that the Global North countries had strong M&E systems but mainly for their development assistance recipients (i.e. Global South countries) but not for themselves (Rosenstein, 2013). This was mainly explained as donor-led evaluations rather than country-led evaluations although the country-led evaluations have been promoted widely. However, in last 10-15 years, more Global South countries started strengthening their M&E systems and having country-led M&E systems. South Africa, Benin, Uganda, Ivory Coast are some examples. Among them South Africa is considered as a strong system. South African experience was shared in other African countries through a new organizational initiative called Twende Mbele. Twende Mbele aims to “move beyond a network of people just sharing experience, toward a partnership where countries collaborate on developing and implementing M&E systems that improve government performance and impact on citizens. Twende engages with a variety of national governments who are interested to use M&E to strengthen government performance and accountability to citizens” (Twende Mbele, 2020).

In South Africa, dissatisfaction with the delivery of services to poor people led to political tension in the mid-2000s. In 2009, a new administration entered office that saw M&E as a way to improve service delivery. In terms of organization a Ministry and Department of Performance (later, Planning) M&E (DPME) were established in 2009 and 2010, respectively. DPME has implemented a variety of monitoring and evaluation systems to support implementation ranging from monitoring of national priority outcomes, monitoring quality of management practices, to unannounced visits to frontline facilities. In 2011, an Evaluation and Research Unit was established in DPME to develop and run the evaluation system (Phillips et al., 2014). It witnessed the emergence of the NES from 2011.

The National Evaluation Policy Framework (NEPF) of South Africa was approved by the Cabinet in November 2011 (DPME, 2011a). It foresaw a focus on priority national evaluations

through a national evaluation plan, later widening to provinces with provincial evaluation plans and even later departmental evaluation plans. Goldman et al., 2015 describes this development in detail. From the beginning, South Africa has taken a utilization approach for the system to ensure that evaluation findings and recommendations are used. DPME provides approximately half the funding for national evaluation plan evaluations and the department responsible for the policy or programme being evaluated the remainder. It emphasises upon an improvement plan to be prepared after each evaluation. This is a very good approach and can be replicated.

From a policy perspective, there are evaluation plans at three levels. The Evaluation and Research Unit supports all national evaluation plan evaluations and coordinates the NES across the government with provincial offices of the Premier playing a similar role in provinces. These offices are similar to DPME in being offices working directly under the Premier of the province. Departments have M&E units which take responsibility for departmental evaluations following the NES. In 2016, evaluation results were used for the first time in the national budget process, with a section in the sector budget papers on learning from evaluations, and the implications of these for budgets (e.g., needing more for a specific function, or where efficiencies could be made).

To promote the institutionalization of M&E systems, the World Bank, in partnership with the Inter-American Development Bank, organized a regional conference in 2005 to study the M&E experiences of five Latin American countries, viz., Chile, Colombia, Brazil, Mexico and Peru, and the lessons there from (May et al., 2006). The Chilean system was found to be one of the strongest M&E systems in the world, being located in the Budget Directorate of the Ministry of Finance with a well-developed process for planning, commissioning, managing, reporting and using a range of types of evaluation. The Budget Directorate contracts out all evaluations to academia and consulting firms. The Ministry of Finance manages the evaluations very well, using standardized terms of reference for the evaluations, an open and transparent process of selecting consultants, and making all evaluation reports publicly available via the Directorate's website. Evaluation results are strongly integrated into decision making and impact the budget via confirmation of programme effectiveness, major programme redesign, or even programme abolition. Intensive training is provided to the evaluation community (Burdescu et al., 2005).

Describing the Mexican M&E system, Gonzalo Hernández Licona observes that "Mexico launched in the past 10 years the General Law for Social Development, the Law on Budget and

Fiscal Responsibility, the General Guidelines for the Evaluation of Federal Programmes, it has created an autonomous institution, the National Council for the Evaluation of Social Policy (CONEVAL), whose objective is the evaluation of social programmes and policies, and it has moved to be a more democratic country. All these institutional changes have contributed to build a Results Based Monitoring and Evaluation System (M&E)” (Licona, n.d.).

It was observed that “there was no single “destination” for countries in terms of what a well-performing M&E system looks like. Some countries stress a system of performance indicators, while others focus on carrying out evaluations (programme reviews or rigorous impact evaluations) (Moorghen, 2014). And while some countries have created a whole-of-government approach driven by finance or planning ministries, others are more focused on sector M&E systems. One key characteristic of most of the systems that are now at different stages of implementation in Latin America, is that they reflect country led, rather than donor-driven, efforts to institutionalize M&E” (Burdescu et al., 2005).

2.2.5 Institutionalization of Evaluation

Evaluation systems, as a concept, were identified and defined in a universal sense in the previous section. However, in practice, evaluation systems differ from country to country depending on the context, need and demand and therefore countries would be at different stages of development of their national evaluation systems. An evaluation system consists of various components ranging from legal framework, conceptual framework, standards and ethical guidelines for conducting evaluations, establishing competencies of evaluators and development of capacities of evaluators, allocation of funds for evaluations, utilization of results and other related aspects. Above all, it is the will of stakeholders to carry out evaluations and implement the results. It is presumed that if such a system exists it can be recognized as the institutionalization of evaluation.

Institutionalization refers to establishing a thought or a process or a practice as a standard or norm in the system. Thus, institutionalizing evaluation implies imbedding evaluative thinking, processes and practices in all development initiatives of a system as a norm. This system can be an individual, individual organisation or the country as a whole.

Hans Keman (2007) while considering institutionalization a social process stated it as a process that develops or transforms rules and procedures. These rules influence human behaviours.

This influence can be in an organisation or in societies as a whole. Keman emphasized three actions which are important in this process- rule making; rule adaptation or developing practices and rule change or rule modification. ‘Institutionalization is thus a human activity that installs, adapts, and changes rules and procedures in both social and political spheres. It affects the interactive behaviour of individuals and organizations as well as of political entities (e.g., states). This distinction between individuals, collective actors, and polities is important, because the ways in which rules and procedures are developed and subsequently become operational are different for each sphere’ (Keman, 2007). This formulation of institutionalization implies that the system or society has certain rules that are established, these are not static and so differ from system to system (or society to society) depending on contextual factors. Role of various stakeholders is important in this process. Caroline Heider (2016) described institutionalization of evaluation in terms of Theory of Change. In this formulation, evaluation when institutionalized brings value addition to the knowledge gained or lessons learnt. ‘When institutionalizing evaluation, the value generation has to add up beyond individual evaluations’ (Heider, 2016). The value additions come from the evaluation institutions and their management with shared interest in evaluation function.

These concepts can be applied fully to institutionalization of evaluation in the present context. Institutionalization of evaluation is there once there is an established conceptual framework as well as certain rules and regulations to implement it.

According to EvalPartners (2016), national evaluation systems lead to institutionalization of evaluation and the existence of national evaluation systems is the realization of institutionalizing evaluation function, and here onwards the two terms will be used interchangeably. It is important to identify the key elements of a national evaluation system. The following figure shows elements that are intrinsic in a national evaluation system.

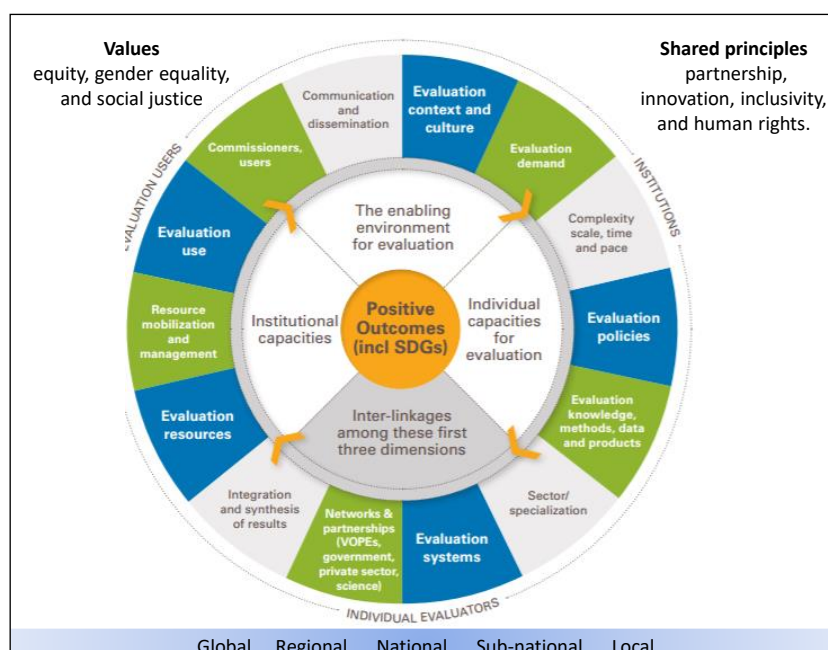


Figure 2.2: Essential elements of national evaluation systems. Source: Review of National Evaluation Systems and Capacities for Evaluating Progress towards the SDGs – Country Case Studies: Methodology for the Country Case Studies, Adapted from Global Evaluation Agenda 2016-2020, p. 7).

It follows from the above figure that elements like evaluation context, evaluation policies, rules and regulations, evaluation capacities, networks and partnerships, resource mobilisation, communication and evaluation use all are components in the process of institutionalization of evaluations.

The Global Evaluation Agenda 2016-2020 (EvalAgenda2020) developed by a global, multi-stakeholder consultative process identifies enabling environment for evaluation; institutional capacity for evaluation; individual capacity for evaluation and inter-linkages of the three as the key components of a national evaluation system (EvalPartners, 2016).

The three important components of the EvalAgenda2020 that bring institutionalization of evaluations include enabling environment, individual capacities in evaluation, institutional capacities are detailed below.

2.2.5.1 Enabling environment for evaluation

Enabling environment for evaluation is one of the three pillars of a strong evaluation system. It can be defined as: “A positive enabling environment for evaluation exists when all sectors of a country’s society – not just the executive and legislative branches of the national

government, but also the judicial branch, civil society (Karkara, 2014), the private sector, academia, the media, and citizens in general – understand and appreciate value of evaluation, insist on evaluations being conducted, provide the necessary resources for those evaluations, and use the resulting findings to improve policy and decision making that supports learning and achieved positive outcomes for all” (EvalPartners, 2016).

A strong enabling environment thus consists of five dynamic and interlocking domains as per EvalAgenda2020. The first domain is evaluation practice meaning government and civil society understand, appreciate and use evaluation. A positive, broad-based evaluation culture will strengthen the enabling environment (Stockmann, 2008.p242). The more that individuals, communities, societies and institutional representatives are aware of and understand the value of evaluation, the more likely that the demand for evaluation will grow, evaluations will be inclusive, transparent, accountable, collaborative and credible (EvalPartners, 2016).

The second domain is “evaluation policies” meaning “evaluation guidelines” at national, local and international level exist. Commitment to evaluation shapes leads to bringing out evaluation policies that achieve more transparent, accountable, collaborative and inclusive governance.

The third domain is “evaluation systems” meaning strengthened evaluation systems improve availability of data, evidence for better decisions and learning. The increased use of evaluation and the building of evaluation systems will build a body of data, evidence and knowledge that will strengthen policy efficacy and programme outcomes. Relevant data will become more readily available through local and country systems to improve reliability of findings and, in turn, better information for decision-makers and implementors (Karkara, 2014).

The forth domain is “resources for evaluation” meaning greater commitment by governments by appropriate resourcing to ensure the required inputs for quality evaluations. Finally the fifth domain is “evaluation use” meaning advocacy (Karkara, 2014) and quality outcomes from evaluations create incentives for enhanced use of evaluations to influence change through better decision-making and more responsive programming and implementation.

2.2.5.2 *Institutional capacity on evaluation*

The EvalAgenda2020 perceives “institutional capacity” as the ability to:

- (a) promote the importance of evaluations as a tool for optimizing results of investments in terms of short- as well as long-term impacts on the society as a whole;
- (b) demand evidence-based policy and programme planning from public authorities;
- (c) encourage professional knowledge sharing in the field of evaluation; and
- (d) provide a platform for community participation to develop an evaluation culture.

Additionally, according to Librado & MacLean., (2019), institutional capacity is defined as “[t]he organizational systems, structure, and resources required to support planning, coordination, implementation, and use of evaluation in line with accepted evaluation standards and principles.”

Organizations ought to encourage evaluation ethics, technical competence, cultural appropriateness, knowledge products and dissemination of best practices. Holvoet and Renard’s (2007) framework includes an organizational structure to lead, advocate for, implement and use evaluations (Karkara, 2014). At the initial stages of institutionalization, there will be a central body that promotes the practice of evaluation and manage the system. If not centralized, the system will be fragmented, without standardized systems (Genesis, 2016). International pioneers such as Mexico (CONEVAL) and Colombia (Department of National Planning) have centrally located units to manage evaluation (DPME, 2011b).

Following five key areas are main pillars of the institutional capacity:

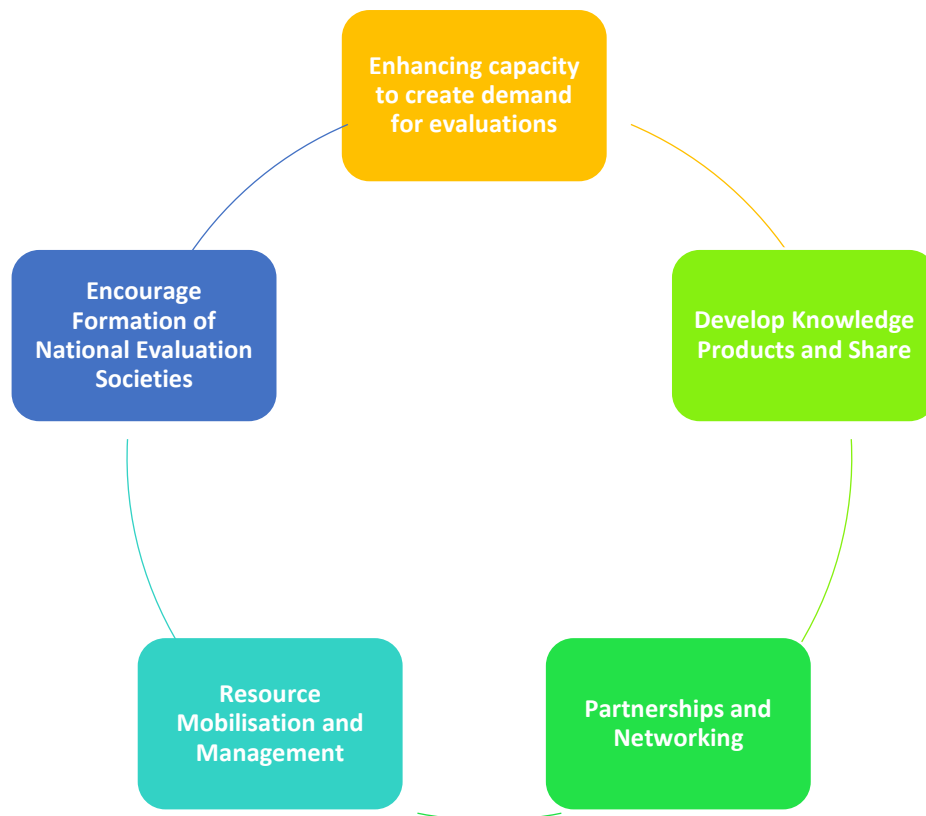


Figure 2.3: Main pillars of institutional capacity on evaluation
Source: Global Evaluation Agenda 2016-2020 (p. 17)

2.2.5.3 Individual evaluation capacity

Individual evaluator's capacity responds to a rising global demand (Karkara, 2014) for high-quality evaluation services in the public, private and voluntary sectors. It accounts that professionalism is an ethical imperative and, as professionals, strive to continually enhance the quality of their performance (Degai & Petrov, 2021). Further, Librado & MacLean, (2019) defines individual capacity as "[t]he knowledge, skills, and competencies, including values, that individuals require to demand, commission, conduct, and use evaluations in line with accepted evaluation standards and principles."

Evaluators' competencies or capabilities do not on their own guarantee high-quality evaluations, let alone results. However, evaluators' attributes are critical to evaluation quality, it is the collective responsibility of the evaluation community to promote evaluation professionalism and to help ensure that evaluation practitioners have the wherewithal to deliver work of adequate quality (Picciotto, 2011).

According to contemporary scholars view point, professionalism (Stockmann et al., 2020, pp.18, 82) is the outcome of a collective endeavour carried out by an occupational group to improve the relevance, quality and delivery of its expert services in the public interest. From this perspective, the main characteristics of professionalism identified are (EvalPartners, 2016. p.21):

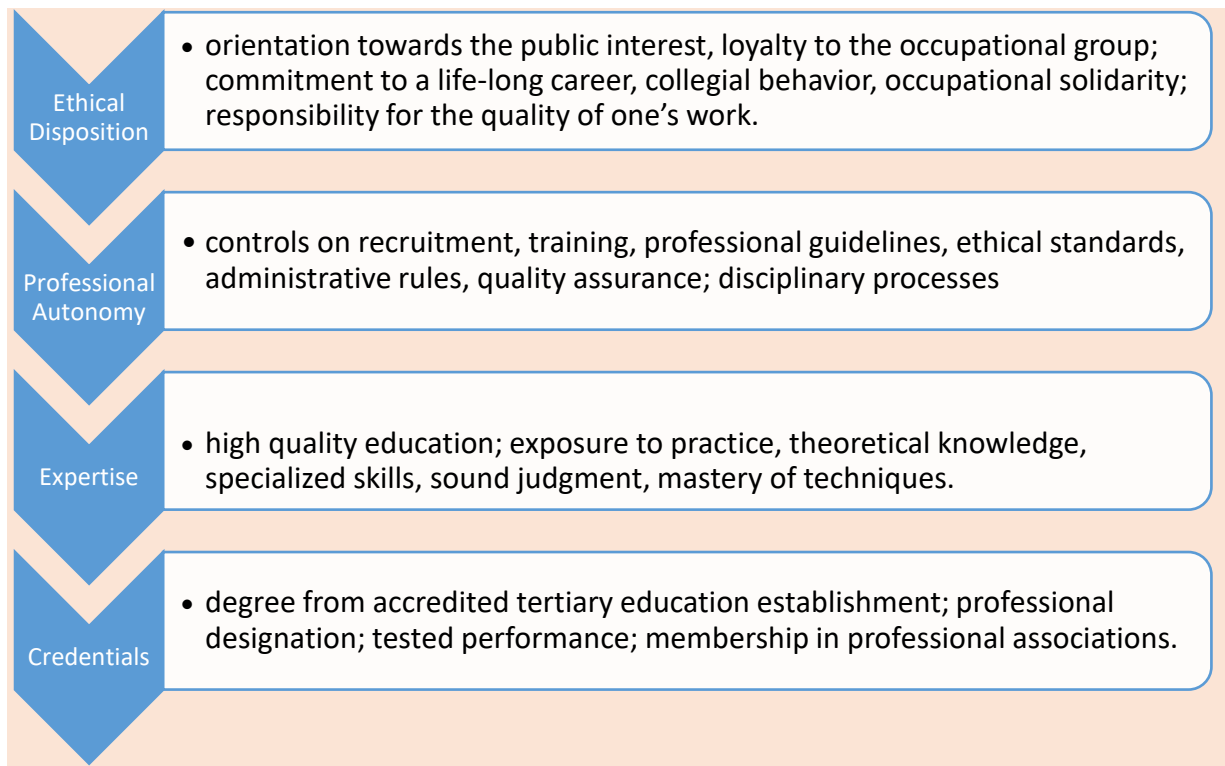


Figure 2.4: Characteristics of Professionalism

Evaluation is the “new kid on the block” among the social sciences. It enjoys all the attributes of a discipline (and of a trans-discipline), but it has yet to meet all the pre-requisites of a professional occupation. It is also important that commissioners and users of evaluation are ready to prepare appropriate terms of reference and to allow room for application of evaluation methodologies that are relevant to the evaluations. Looking ahead, evaluation professionalism worldwide will require generally accepted ethical guidelines adaptable to diverse contexts and focused on commissioners as well as evaluators; ready access to tertiary evaluation education; mastery of techniques acquired through reflective professional practice; and self-management buttressed by peer review and/or credentialing processes.

The above discussion and the global consultation leading to the initial version of the Global Evaluation Agenda resulted in numerous suggestions (EvalPartners, 2016) which have been organized finally into three key inter-related strategies for professionalization of evaluation:

(i) Building individual evaluators' capacities; (ii) Evaluation knowledge creation and dissemination; and (iii) Incentives frameworks for evaluation quality.

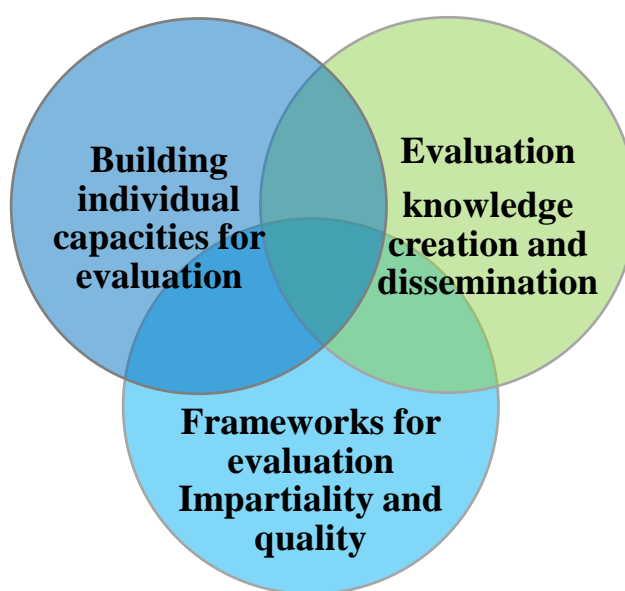


Figure 2.5: Key strategies for evaluation profession, source: EvalAgenda2020

2.2.5.4. Overview for a matured country evaluation system

Matured evaluation systems provide good quality, credible and independent evaluations leading to efficient and productive use of findings and recommendations for decision making. Therefore, availability of evidence is an essential component of a matured NES. Such an NES should also define the potential users of evidence generated by the system. Goldman and Pabari (2021) state that governments in Africa are increasingly becoming active users of evidence and data although there is still room for improvement. Use of evidence by parliamentarians is highly valuable due to their role in policy making, enacting laws, approving the national budget and deciding priorities for the country. There is increasing engagement of parliamentarians in evaluations or use of evidence through recent initiatives such as the African Parliamentarians Network on Development Evaluation (APNODE) and the Global Parliamentarians Forum for Evaluation (GPFE).

The vital factor on which the use of evidence depends is the supply and demand of evaluations. In many countries in the Global South, supply is dominated by international players as projects are largely funded by donors. As evaluation is still an emerging profession, finding competent evaluators to produce quality evaluations is another challenge faced in many countries whether developed or developing. Academic courses on evaluation are rare in many countries while professional training is often adhoc. Fortunately, more youth are joining the M&E field as young and emerging evaluators which indicate that the quantity and quality of evaluators will improve in the future.

The nature of supply and demand differs from country to country. Segone (2008) categorises countries based on the quality and trustworthiness of their evidence, as well as the policy environment. The figure 2.8 shows four categories: evidence demand-constrained countries where the evidence is good but demand is weak (evidence-influenced), vicious circle countries where the quality of evidence is poor and demand is also poor (opinion-based), evidence supply-constrained countries where demand is good but supply is low (evidence influenced), and virtuous circle countries, which he refers to as evidence-based, where supply and demand are both high.

Another important and useful theoretical framework to characterise evaluation systems in developing countries is in Holvoet and Renard's six characteristics (Goldman et al., 2019) of emerging systems, that is, policy, methodology, organisation, capacity, participation, and use (Holvoet & Renard, 2007). In this framework, use is the identified purpose of an NES where the system is one that uses information collection, analysis and feedback for results-based budgeting and management; iterative learning and evidence-based priority setting and policymaking. The analytical framework and the results of the evaluation were framed using the evaluation questions and the theory of change (Goldman & Pabari, 2021).

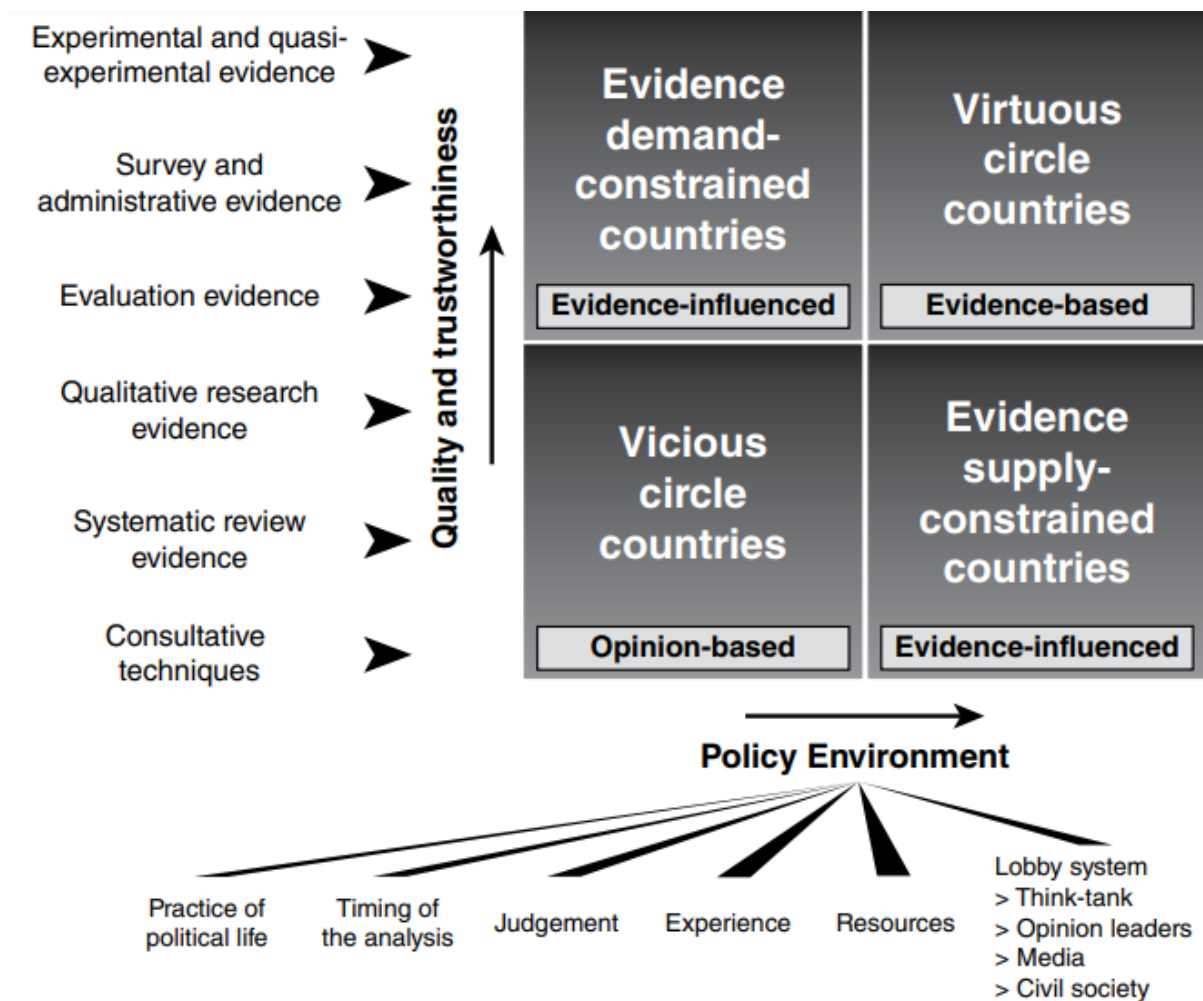


Figure 2.6: Different evidence policy dynamics, source: Segone, 2008.

Lahey (2006) introduces building blocks for developing a national evaluation (or M&E) system. He categorizes four essential building blocks under two overriding influences: i) the political will for change within a country and ii) the pace of development of M&E infrastructure. They are vision of leadership, enabling environment, technical capacity to supply M&E and capacity to demand and use M&E information. According to Lahey, political will for change and necessary infrastructure for M&E are the fundamental factors which contribute towards the success of an M&E system. Therefore, leadership with a proper vision for an M&E system should be there. He also highlights the importance of having an “enabling environment” which is a key factor highlighted in the EvalAgenda2020 as well. Under infrastructure, he emphasizes the capacity to supply, demand and use evaluations.

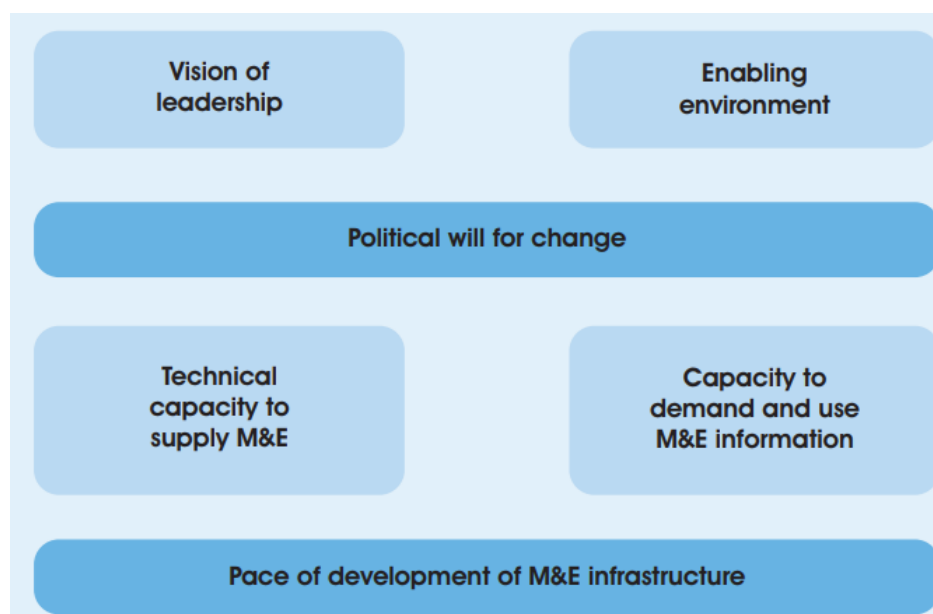


Figure 2.7: Four essential building blocks for an effective M&E system (Lahey, 2006)

Stockmann is another scholar who introduced the concept of institutionalization of evaluation in a systematic manner. He argues that quality standards for evaluations have been developed in many countries, associations and networks have been established, and certification systems are being developed (Stockmann, 2013). According to him, the evaluation portfolio has been diversified in recent decades and various academic courses and capacity building initiatives at national level have contributed towards this development (Stockmann et al., 2020). Recently, through the Evaluation Globe project, he defined institutionalization of evaluation under three main domains: i) Political system ii) Social system and iii) System of profession. The social system he introduced here was missing in many other dimensions. The social system includes use of evaluation by the civil society, demand for evaluation by citizens and how citizens perceive evaluation. This begs the question of whether the general public in a country are aware of evaluation and whether it is of any concern to them as well as whether any intervention is evaluated and the findings presented to the public to be used for development. Usually, the public attention is received if it is a concern to them. If the public is not aware of evaluation and does not demand it, it becomes necessary to explore the reason. Therefore, it is important that Stockmann brings this perspective to the domain of institutionalization of evaluation.

2.3 Initiatives Taken to Institutionalize Evaluations

In the above context of concepts on institutionalization of evaluation, it is worth to explore how they have been applied. Various initiatives in Asia and at international level are being implemented to create an enabling environment and evaluation capacities which is a base for institutionalization of evaluation. Some of these efforts are described in the following paragraphs.

2.3.1 Role of VOPEs in the Institutionalization of Evaluation

It is important to discuss the role of the evaluation associations (Voluntary Organizations for Professional Evaluation - VOPEs) in promotion of institutionalization of evaluation. VOPEs are professional associations for evaluation at national, regional and international level. In some countries there are sub-national associations. VOPEs are established by evaluation practitioners (Karkara, 2014), who are experts in conducting and commissioning evaluations, who self-organize to discuss and share professional experiences and challenges and to jointly advance the profession and develop professional standards (Bilella, 2017). VOPEs events, e.g., conferences, workshops and seminars, and publications provide a platform for professional exchange. This exchange advances the professional capacity of more experienced evaluators and the learning of those who are new to the profession. Initially VOPEs contribute to the development of national evaluation capacities by building capacities of individual evaluators.

VOPEs may also indirectly influence national and ‘organizational evaluation’ (Blossfeld & Stockmann, 1998.p3) policies if VOPE members get involved in the development of these policies with the government. Eventually VOPEs may get more directly involved in the development of national and subnational evaluation policies and thus start to contribute not only to the benefits of VOPEs members but to the benefits of the society at large as well (Rugh and Segone, 2013). VOPEs have brought about a revolutionary change in the arena of evaluation and their involvement in capacity building to supply good evaluators is a step forward in the direction of institutionalization of evaluation. VOPEs’ efforts in capacity building can be a substantial factor in institutionalization of evaluations but the specific role of VOPEs in institutionalization is yet to be ascertained through researches and field data experience.

The birth of VOPEs was marked in 1981 with the launch of Canadian Evaluation Society. In 1986, American Evaluation Association was born with the merger of Evaluation Research Society (1979) and Evaluation Network (1982). Since then, until 2000, only 17 evaluation

associations were shown in the global VOPEs map. However, by now, there are around 189 evaluation associations at national, regional and global level. In 2004, International Organization for Cooperation in Evaluation (IOCE) was founded as the umbrella organization of all voluntary evaluation associations. VOPEs are generally members of IOCE and subject to annual registration on the IOCE online database. With the launch of EvalPartners initiative, IOCE launched verification survey with existing VOPEs in year 2012. The VOPEs which completed the survey were categorized as verified VOPEs. Currently there are 135 verified VOPEs registered in the IOCE database.

The regional VOPE in Asia is the Asia Pacific Evaluation Association (APEA) which was founded in 2012. APEA covers over 40 countries and various sub-regions in Asia including South Asia, East Asia, South-East Asia and Pacific. One of the goals of APEA is to Promote and institutionalize evaluation as a strategic management tool within both the public and private sectors in the region. APEA has national VOPEs as members and currently there are 16 members. APEA conducted two international conferences so far: one in Vietnam (2016) and the second in Philippines (2019), the next is scheduled for February 2022 to be held in New Delhi. APEA took lead in developing the regional evaluation strategy which is the key instrument in the region to promote evaluation culture.

In addition to the regional VOPE, in South Asia a sub-regional VOPE exist - Community of Evaluators – South Asia (COE-SA). COE-SA was formally established in 2013 with support of International Development Research Center, Canada. COE-SA has both individual members as well as institutional members (VOPEs and other organizations). COE-SA used to organize biennial evaluation conclaves since 2010. So far four conclaves have been conducted by COE-SA.

The table 2.1 below shows number of national VOPEs exist by sub-region. There are 27 VOPEs in total amounting 16 in eight South Asian countries, four in six East Asian countries, seven in 11 South East Asian countries and none in Pacific islands. The only country there is no VOPE in South Asia is Maldives and it shows average 2 VOPEs per South Asian country exist. Also it shows seven out of eight South Asian countries are members of APEA. Therefore in terms of national VOPEs, South Asia shows stronger position while Pacific islands show weakest position.

Sub-region	# of VOPEs	Sub-region	# of VOPEs	Sub-region	# of VOPEs	Sub-region	# of VOPEs
South Asia		East Asia		South East Asia		Pacific	
Afghanistan	4	China	1	Brunei	0	Fiji	0
Bangladesh	2	Japan	1	Cambodia	1	Kiribati	0
Bhutan	1	Mongolia	1	Indonesia	1	Marshall Islands	0
India	2	North Korea	0	Laos	1	Micronesia	0
Maldives	0	South Korea	1	Malaysia	1	Papua New Guinea	0
Nepal	3	Taiwan	0	Myanmar	0	Samoa	0
Pakistan	3			Philippines	1	Solomon Islands	0
Sri Lanka	1			Singapore	0	Tonga	0
				Timor-Leste	0	Vanuatu	0
				Thailand	1		
				Vietnam	1		
Number of VOPEs	16		4		7		0
Number of countries in the sub-region	8		6		11	<i>Note: only main Pacific islands have been added to the list.</i>	9
# of countries are members of APEA	7		3		6		0

Table 2.1: National VOPEs in Asia Pacific region

It shows that there are discrepancies within sub-regions regarding number of VOPEs and their involvement in the regional VOPE. South Asia is in a better position compared to others. Pacific islands show the weakest position showing no VOPE exist and no involvement in the regional VOPE. If VOPE plays a critical role in national evaluation system or catalytic in advocating for that, this reflection of VOPEs need to be changed to enhance the evaluation systems in those countries. This information does not show to what extent the VOPEs are active and contribute to the professionalization or national evaluation system. It is important to further investigate how VOPEs contribute to professionalization in Asia as well as in selected case study countries.

2.3.2 Engagement of Parliamentarians in Evaluation Initiated in Asia

Parliamentarians are the key decision makers and who make policies. Parliamentarians can take the agenda of institutionalization in each country forward (Kalugampitiya et al., 2014). The global movement of engaging parliamentarians in evaluation was first initiated in Asia. In early 2013, the first ever evaluation panel with parliamentarians was held in an evaluation conference in Kathmandu, Nepal. Three parliamentarians from Nepal, Sri Lanka and Bangladesh attended the historical panel. After the panel, the three parliamentarians decided to initiate a regional network: Parliamentarians Forum for Development Evaluation in South Asia (PFDE -SA) (Karkara, 2014). This stimulated activists in Africa, the Middle East and North Africa and Latin America to initiate similar networks. The initiative thus started has blossomed into a global movement with representation from over 50 countries. Within this context of rapid growth, the Global Parliamentarians Forum for Evaluation was launched on 25th November 2015 at the Parliament of Nepal (Perrin, n.d.). The Global Parliamentarians Forum for Evaluation is a collaborative movement of parliamentarians from various countries, committed to improving policy outcomes and social accountability (Lopez-Acevedo, 2012). The GPFE supports and empowers parliamentarians to deliver evidence-based policy that helps achieve good governance, sustainable development and social equity (Martinuzzi, 2004).

Today, many parliamentarians from different regions of the globe have come together in GPFE demonstrating their commitment and solidarity to promote development evaluation as a means of strengthening accountability and improving development performance (Varone, 2020) in respective countries. At national level dynamic, cross-party parliamentary caucuses have been established in Nepal, Sri Lanka, Uganda, Kenya and Tunisia. Parliamentarians' aim is not only to achieve development results but also to enhance the quality of development processes by which results are achieved. Many parliamentarians are facilitating the adoption of an evaluation policy which is again a step forward in institutionalization of evaluations.

Over the past several years, and as a result of the developments highlighted above, there has been a rapid growth in interest amongst parliamentarians across the globe in the use of evaluation evidence for oversight (Perrin, n.d.). Parliamentarians have come together to advocate for greater access to evaluation data, and the use of evaluations as part of their responsibility of serving citizens. Parliamentarians can promote the role of evaluation to enhance democratic process (Goldman & Pabari, 2021). GPFE is a platform for parliamentarians from around the globe to join hands in making collective decisions on the

strategic use of evaluation for programme and policy. Such decisions have the potential to guide and accelerate the development process. It also paves the way for stronger collaboration and partnerships in line with the Agenda 2030 in the efforts to achieve the world that people want. It shows that this important initiative sparked in Asia triggered other regions and for a global movement.

In this context, there were two key important events took place in Asia led by parliamentarians for parliamentarians. The first event was the Global Evaluation Forum held at the Parliament of Nepal to celebrate the International Year of Evaluation 2015. This was the first evaluation event held in a national parliament where Global Evaluation Agenda 2016-2020 and networks such as EvalYouth, EVALSDGs, Global Parliamentarians Forum for Evaluation were launched.

The second event which was the first parliamentarians' global event on evaluation EvalColombo2018 was held with representation from parliaments, governments, civil society, VOPEs, etc. from 70 countries (GPFE, 2018b). The aim of EvalColombo2018 was to explore and identify strategies for using collective experience and evidence that can guide in moving forward. As stated earlier, the Colombo Declaration on Evaluation was signed at the Parliament of Sri Lanka marking the closing ceremony of EvalColombo2018. The theme of this conference 'Responsible Parliament: Embracing Evaluation for Agenda 2030' was in tune with the institutionalization of evaluation, especially in the context of SDGs. The Colombo Declaration includes commitments by parliamentarians and other stakeholders to strengthen demand and use of evaluation for evidenced-based decision making.

Involvement of parliamentarians is again a recent development initiated in Asia which requires in- depth study regarding its impact in the process of institutionalization of evaluation.

2.3.3 EvalYouth Initiative

In promoting professionalization of evaluation, having competent and qualified evaluators in a country is an important factor in producing quality evaluations. As evaluation is still an emerging profession, finding competent evaluators (Stevahn et al., 2005; SAMEA, 2019) is a challenge according to many organizations in Asia who commission evaluations. In this vein,

welcoming new people to the profession with a solid capacity building programme is critical (Ngwabi et al., 2020). EvalYouth network was launched in 2015, to promote Young and Emerging Evaluators become competent evaluators. The EvalYouth Global Network supported to launch EvalYouth chapters at regional and national level. In this context, EvalYouth Asia as the regional chapter was launched in 2019 by a group of YEEs in the region. EvalYouth Asia is governed by a team of co-leaders who are volunteers. The aim of the chapter is to build capacity of YEEs in Asia in knowledge, experience and career development on evaluation.

APEA and EvalYouth Asia supported to establish EvalYouth chapters at national level too. EvalYouth Sri Lanka was launched in December 2019 with a webinar organized by the chapter. EvalYouth India and Afghanistan were launched in October 2020. EvalYouth Bhutan and Pakistan were launched in early 2021. Also APEA, EvalYouth Asia together with national chapters and other partners organized the first Winter School for YEEs held from 29-31 March 2021. The Winter School was attended by 47 YEEs representing sub-regions in Asia although majority (around 50%) from South Asia. It would be worth to assess how the EvalYouth programme contributed to one of the pillars of institutionalization – individual capacities of evaluation in Asia as it is a growing programme at the moment.

2.3.4 EvalPartners' Initiative and EvalAgenda2020

From 2012, EvalPartners, which is a global evaluation capacity building initiative led by the International Organization for Cooperation in Evaluation and United Nations, brought a wide range of stakeholders together including VOPEs, United Nations agencies, development partners, development banks, donors and governments (Karkara, 2014). Its various forums organised in different countries declared commitment for the national evaluation capacity development. EvalPartners initiated several task forces and also programmes including peer-to-peer initiative and innovation challenge competitions in order to advocate partnership and working together.

EvalPartners initiative helped to emergence of VOPEs in various parts of the world (Karkara, 2014). Through the peer-to-peer initiative some countries received support from countries stronger in evaluation to help to set a VOPE or evaluation capacity building. EvalPartners was instrumental in promoting the UN resolution on evaluation, mobilizing VOPEs for evaluation advocacy and engaging parliamentarians in evaluation.

EvalPartners took leadership to declare 2015 as the International Year of Evaluation (EvalYear) which was endorsed by United Nations and other stakeholders subsequently. EvalPartners also took the leadership in holding “Global Evaluation Week 2015” to sum up the 92 events worldwide to celebrate International Year of Evaluation. The momentum and synergies created through the EvalYear was an added value to the evaluation landscape globally. In this process it promoted partnerships for furthering the evaluation capacity building of civil society organizations.

Only 4 national VOPEs (Japan, Malaysia, Pakistan and Sri Lanka) existed in Asia until 2012, and since EvalPartners was launched and its initiatives, the number of VOPEs increased to 27. EvalPartners Peer-to-Peer projects helped matured VOPEs to help new countries to initiate VOPEs. Malaysian Evaluation Society through Peer-to-Peer programme supported Cambodia, Myanmar, Laos and Vietnam to establish VOPEs. Sri Lanka, Malaysia, Pakistan and Nepal involved in different rounds of Peer-to-Peer and other EvalPartners projects which helped to strengthen the VOPE capacity as well as advance the work on promotion of evaluation at the national level. EvalPartners published several resource materials including on national evaluation policies and systems which can provide guidance for the work of VOPEs. Also VOPEs from Asia actively participated in International Year of Evaluation 2015, Global Evaluation Forums and EvalPartners networks which give opportunity for cross learning on what other countries experienced on NEPS.

EvaPartners was also instrumental in developing the Global Evaluation Agenda 2016-2020 outlining priorities for VOPEs and other partners to act on institutionalization of evaluation. In 2014, in partnership with the International Development Evaluation Association (IDEAS), the International Organization for Cooperation in Evaluation, the United Nations Evaluation Group, the Independent Evaluation Office of UN Women and the Global Evaluation Facility, EvalPartners started a global, multi-stakeholder consultative process to brainstorm about the priorities and key areas of a Global Evaluation Agenda 2016-2020. The vision of EvalAgenda-2020 is that evaluation is an integral part of all efforts by governments, civil society, and the private sector to improve the lives and conditions of their fellow citizens. Also the vision includes that high-quality, value-driven evaluations are conducted so that their usability is enhanced. Further the vision of EvalAgenda includes that evaluation has become such an

integral part of good governance. At the same time, the Agenda envisages that evaluation will help to raise the voice of all stakeholders that are impacted by such decisions, particularly those of the marginalized and disadvantaged. The Global Evaluation Agenda 2016-2020 was instrumental in planning for promotion of evaluation capacities and enabling environments at national level by VOPEs, governments and other stakeholders. Also it was considered as guide for peer-to-peer, innovation challenge projects and other interventions. Therefore it is worth to explore how the EvalAgenda2020 helped governments, VOPEs and other stakeholders in Asia in envisioning institutionalization of evaluation.

2.3.5 UN Resolutions on Evaluation and SDGs

In a historic step promoting evaluation, the United Nations General Assembly approved in 2014 a resolution titled “Capacity building for the evaluation of development activities at the country level” with cross-regional support of forty-two countries (United Nations, 2014). This resolution reinforces the importance of evaluation in the context of achieving the Sustainable Development Goals marking an important milestone in the process of institutionalization of evaluation (United Nations, 2015). Besides emphasizing the importance of building capacities for the evaluation of development activities at country level it changed the approach and allowed interaction and cooperation amongst all the relevant partners, including those of the UN System, the national and international stakeholders, to coordinate efforts to further strengthen the Member States capacities for evaluation. Most importantly, the resolution emphasizes that national ownership and national priorities to form a strong base for building national capacities to manage and oversee evaluations. Through this resolution, Member States of the United Nations agree that evaluation is an important component of development processes and recognize evaluation as a country level tool that can help strengthen and support development results. Evaluation rose to prominence with the launch of the 2030 Agenda for Sustainable Development and the SDGs that constitute the Agenda, as it emphasizes the establishment of “review and follow up mechanisms” to ensure successful achievement of SDGs. Both resolutions are applicable to all Asian countries and can be instrumental in strengthening evaluation function if taken as a powerful tool.

2.3.6 Declarations on Evaluation

A number of declarations related to evaluation were signed in various events which emphasize the role of VOPEs and partnership building between VOPEs and other stakeholders to enhance the national evaluation systems. For instance, Yaounde Declaration of African Parliamentarians on Evaluation (APNODE, 2014) was signed by parliamentarians from seven countries. This is considered as the first ever parliamentarians' declaration on evaluation and indicates towards the interest generated in evaluation among parliamentarians (Perrin, n.d.). Similarly, another declaration titled the Bangkok Principles on National Evaluation Capacity for the Sustainable Development Goals era was issued on October 2015, sought to capture an emerging body of shared understanding on lessons and priorities for evaluation practice in the era of the SDGs (Lucks et al., 2017) to help guide joint action in future support of national evaluation capacity. Its important features pave way for the institutionalization of evaluation with the following initiatives:

- Conduct of country-level 'SDG evaluation needs' reviews and diagnostic studies
- Evaluability assessments pertaining to individual country or sector SDG goals and targets
- Fostering of evaluation as component of national governance and public sector management reform
- Establishing national evaluation legal frameworks - legislation and policies
- Developing clear national and local sub-national level mechanism for independent evaluation of progress against the SDGs
- Assigning resources (a percentage of the initiatives' costs) for the conduct of evaluations when realigning national plans with the SDGs and when designing/approving projects/programmes/policies
- Establishment of frameworks of formal competencies and professional evaluation standards
- Establishing evaluation training programmes within academic and public sector professional training institutions
- Creating opportunities for local, young and emerging evaluators
- Developing systems to promote transparent follow-up of evaluations recommendation

The Colombo Declaration on Evaluation signed at the Parliament of Sri Lanka in the context of EvalColombo2018 held in Colombo, Sri Lanka in September 2018. The declaration emphasized the importance of decision making based on evidence generated from credible, objective and timely conducted evaluations. For such evaluations, the declaration includes four main areas to be addressed: (GPFE, 2018a)

- i. the establishment of National Evaluation Policies and Systems that consider national context, governance structures as well as international norms and standards,
- ii. the allocation of budget for the establishing of systems and for carrying out evaluations themselves,
- iii. the development of technical capacity within parliament and administrative structures to utilize evaluative knowledge as evidence for continuous improvement of development interventions,
- iv. the professionalization of evaluation through institutionalizing training and developing cadres of professional evaluators.

The Colombo Declaration was followed up by the Global Parliamentarians Forum for Evaluation with parliaments and member parliamentarians including in Asia to capture progress on the commitments.

Most importantly two out of three declarations (Bangkok declaration - 2015 and Colombo Declaration - 2018) mentioned above were signed in Asia which may have impact in work on VOPEs and other stakeholders who promote evaluation in Asia.

2.3.7 Eval4Action Campaign and Asia Pacific Regional Evaluation Strategy

The recently initiated Decade of Evaluation for Action campaign (Eval4Action campaign) provided a platform for several VOPEs and other organizations in Asia to promote evaluation particularly through digital means (Decade of Evaluation for Action, 2020; cf. Abeysekara 2013 for digitalization and protection of digital databases). Forty two organizations from Asia are partners of the Eval4Action campaign out of 138 accounting to most number of partners from a region (Decade of Evaluation for Action, 2020). The United Nations Secretary-General

issued a global call to mobilize all actors, at all levels, for a Decade of Action to deliver the SDGs by 2030. The Decade of Action campaign aims to mobilize everyone everywhere, demand urgency and ambition, and supercharge ideas to solutions (UNFPA, 2020). The campaign was kicked off on 22 January 2020, with the Secretary-General's New Year's address to Member States. In alignment with and complementary to the Decade of Action campaign, Eval4Action was launched in April 2020. This campaign seeks to bring widespread recognition to evaluation as a powerful tool to improve public accountability and good governance toward delivery of SDGs. The campaign also aims to secure commitments from governments and other stakeholders on strengthening national evaluation systems and capacities to achieve the SDGs. In this way, the campaign directly supports and inputs into the Decade of Action campaign. Eval4Action is a global advocacy campaign to promote evaluation to accelerate achievement of SDGs.

To strengthen evaluation culture in Asia Pacific region a consultation was organised under the Eval4Action campaign which led to the development of the Regional Evaluation Strategy. The strategy development was led by the Asia Pacific Evaluation Association, EvalYouth Asia and the Parliamentarians Forum for Development Evaluation – South Asia (APEA, 2020a). These organizations, along with several other VOPEs, civil society organizations, private sector companies and development agencies in the Asia Pacific are partners of the Eval4Action campaign. The strategy includes eight themes, which cover various key aspects of the evaluation field. (Fig.2.10)

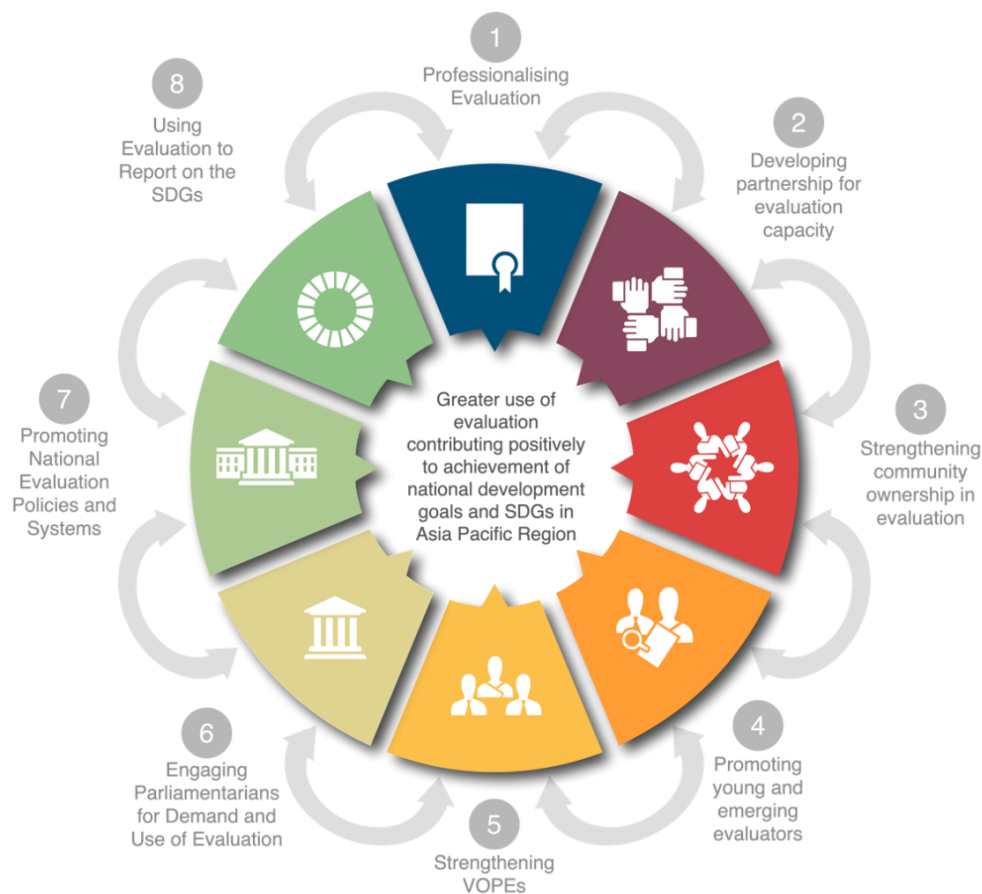


Figure 2.8: Themes of Asia Pacific Evaluation Strategies
Source: Asia Pacific Regional Evaluation Strategy, 2020

Various activities took place for its implementation such as regional dialogue on national evaluation policies and systems; development of a guide on use of evaluation for SDGs implementation and reporting; development of a manual on professionalization of evaluation including competencies for evaluators and assessment pathway; development of a virtual training courses; development of a training course on career development in M&E. All eight themes are presumed to be the essential parts of the institutionalization of evaluation. The regional evaluation strategy might be a key milestone for evaluation field in Asia.

2.3.8 Other Initiatives to Support National Evaluation Capacity

There are other global initiatives which may have impacted on institutionalization of evaluation in Asia. The work of the United Nations Evaluation Group, The World Bank and the bilateral organizations are some of them to note.

2.3.8.1. United Nations Evaluation Group

The United Nations Evaluation Group is an interagency professional network that brings together the evaluation units of the UN system, including UN departments, specialized agencies, funds and programmes, and affiliated organizations. It currently has 50 such members and observers. UNEG's current operational strategies are outlined in the UNEG Principles of Working Together (2019) and UNEG Strategy 2020-2024 (UNEG, 2020). As per the UNEG Principles of Working Together (UNEG, 2019), UNEG membership is institutional with each UN entity represented by the office responsible for the evaluation function within that entity. Where applicable, this central evaluation office also represents the decentralized evaluation functions or regional offices of the UN entity.

UNEG's first Strategy 2014-2019 published in November 2013, focuses on a results-oriented and outward-looking approach, meant to increase the efficiency and accountability of UNEG. The second UNEG Strategy 2020-2024 outlines UNEG's self-defined role, vision and mission, and strategic objectives for 2020-2024. The new Strategy reflects the current situation and thinking across the UN development system, in particular with regards to working as one, delivering as one and being held accountable as one but also in the context of the SDGs and the 2030 Agenda. It also reflects increased interest in evaluation from Member States and senior management. UNEG has several working groups including National Evaluation Capacity Development (NECD), Partnerships, Professionalization, National Evaluation Policies and Systems all contribute to eco-system of evaluation at country level. All working groups implement programmes to enhance evaluation capacity and systems accordingly.

2.3.8.2 The Independent Evaluation Group of the World Bank

The Independent Evaluation Group (IEG) evaluates the development effectiveness of the World Bank Group (The Independent Evaluation Group[web]). IEG's work provides evaluative evidence to help the World Bank deliver better services and results to its clients. IEG launched a several initiatives to enhance evaluation capacity and promote evaluation systems. One of the key initiatives is Centers for Learning Evaluation And Results (CLEAR) (The Clear initiative[web]). CLEAR is a global M&E capacity development programme that brings together academic institutions and donor partners to foster the collection, measurement, analysis, and subsequent use of robust evidence in developing countries' policy and

programmatic decision making. CLEAR centers are uniquely positioned to help governments build capacity at national, regional, and local levels to measure development progress and outcomes, strengthen evidence-based policy-making, and increase government accountability and transparency. CLEAR has six regional centers, located in Anglophone Africa, Brazil and Lusophone Africa, East Asia, Francophone Africa, Latin America and the Caribbean, and South Asia. In the fiscal year ending June 30, 2018, CLEAR delivered capacity-building trainings to 28,277 individuals from 66 countries.

Another important initiative by IEG is the International Programme for Development Evaluation Training (IPDET) together with Carleton University, Canada by aiming to build a global, inclusive, multi-disciplinary community committed to evaluative evidence improving development outcomes. The course was offered for 16 years in Ottawa, Canada since 2001. The programme creates space for people engaged in evaluation to come together to learn, exchange knowledge, and collaborate. IPDET provides decision makers, managers and practitioners with the tools that are required to commission, manage and evaluate policies, programmes, and projects at the local, national, regional, and global levels as well as use those evaluations for decision-making. In 2018, the IPDET programme moved to Europe where it is hosted by three partners: The Center for Continuing Education (ZUW) at the University of Bern, Switzerland, the Center for Evaluation in Saarbrücken, Germany, and IEG. CEval offer Europe's longest-standing demand-oriented masters and continuing education programmes in evaluation. The Master of Blended Learning in Evaluation is an international Master course. The programme is held in summer each year which consists of a one-week core course on fundamentals of evaluation, followed by two weeks of workshops on specialized topics and latest developments in the field. The training addresses threefold competencies: Evaluation Capacity Development, evaluation, international development.

As IPDET is one of the very few evaluation training covering core areas for evaluation managers and practitioners, the role played by IPDET has been instrumental in evaluation capacity building. The graph shows participants from different sectors attended the training in 2019 where majority are from the government and United Nations agencies/ financial institutions. Public officials are important players in conducting evaluations at the government and UN agencies/ financial institutions regularly conduct evaluations, support government for evaluation capacity building and conduct joint evaluations with the government. In this context,

IPDET has contributed to the evaluation capacity building of professionals in regions which leads to institutionalization of evaluation. In 2019, 230 people have attended the IPDET course and 10% are from Asia Pacific region. Over the last 20 years, IPDET has trained over five hundred people from Asia which contributed to enhance the evaluation capacity in the region.

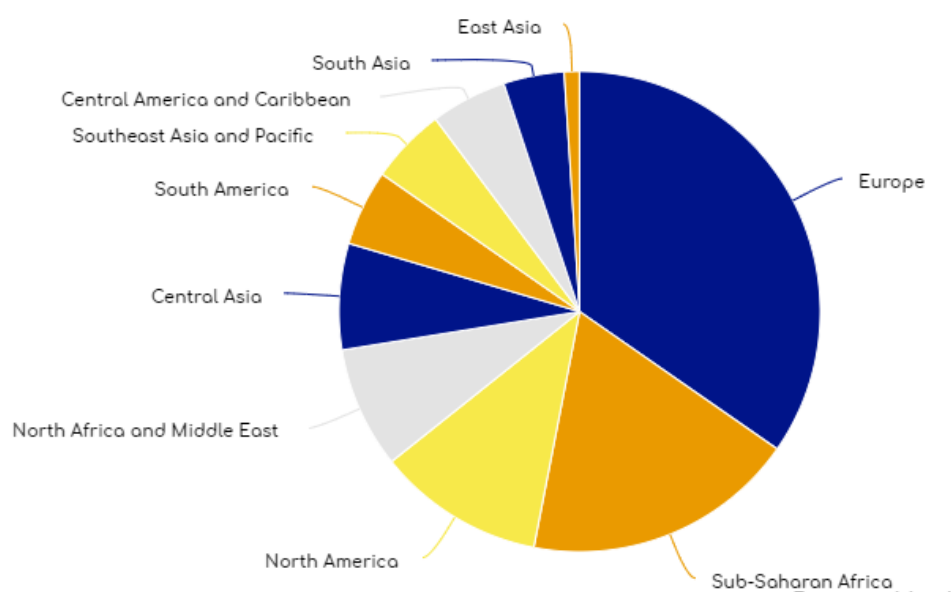


Figure 2.9: Proportion of IPDET participants 2019 by region, Source: IPDET website <https://ipdet.org/about-ipdet/ipdet-community/> retrieved on 26 June 2021

Moreover, IEG took lead in launching the Global Evaluation Initiative (GEI) which is an inclusive global partnership committed to developing country-owned, sustainable monitoring and evaluation (M&E) frameworks and capacities to promote the use of evidence in public decision-making, enhance accountability, and achieve better results. GEI believes that better evidence contributes to better policies and, ultimately, to better lives. GEI brings together a broad and diverse coalition of governments, (inter)national and local development organizations, and M&E experts to pool financial and technical resources to coordinate and expand M&E efforts globally (Global Evaluation Initiative[web]). As a new initiative, GEI plans to implement initiatives to build the capacity of governments, young and emerging evaluators, VOPEs, evaluators aiming to have better evaluation systems. Therefore GEI is an important milestone in promoting institutionalization of evaluation.

Furthermore the World Bank has supported for the number of publications on evaluation, evaluation systems and institutionalization of evaluation. These publications are useful

resources for those who are working on national evaluation capacity and systems. Key publications among many include:

- Building better policies : the nuts and bolts of monitoring and evaluation systems / Gladys Lopez-Acevedo, Philipp Krause, Keith Mackay
- Gladys Lopez-Acevedo, Katia Rivera, Lycia Lima, and Helena Hwang, eds., Challenges in Monitoring and Evaluation: An Opportunity to Institutionalize M&E Systems, 13–22. Washington, DC: World Bank and InterAmerican Development Bank.
- Mackay, Keith. 2007. How to Build M&E Systems to Support Better Government. Independent Evaluation Group. Washington, DC: World Bank.
- Independent Evaluation Group (IEG). 2004a. “Influential Evaluations: Evaluations that Improved Performance and Impacts of Development Programs.” World Bank, Washington, DC.
- Görgens, Marelize, and Jody Zall Kusek. 2009. Making Monitoring and Evaluation Systems Work: A Capacity Development Toolkit Washington, DC: World Bank.
- Lahey, Robert. 2005. “A Comparative Analysis of Monitoring and Evaluation in Four Selected Countries: Canada, United States, Australia and United Kingdom.” World Bank, Washington, DC.
- Zaltsman, Ariel. 2006. “Experience with Institutionalizing Monitoring and Evaluation in Five Latin American Countries: Argentina, Chile, Colombia, Costa Rica, and Uruguay.” ECD Working Paper Series 16, Independent Evaluation Group. World Bank, Washington, DC.
- Morra Imas L, Rist R, “The road to results”, Washington, DC: World Bank, 2009.

Therefore the IEG World Bank has been instrumental in strengthening the evaluation ecosystem.

2.3.8.3 Bilateral organizations

There are several bilateral organizations/ donors support national evaluation systems and capacity development. Ministry of Foreign Affairs – Finland supported to establish EvalPartners initiative which was instrumental in changing the evaluation landscape globally. With limited resources, EvalPartners mobilized a volunteer force at national, regional and international level to work on evaluation aspects. Also EvalPartners was instrumental in International Year of Evaluation 2015 and many other new initiatives. Finland is also a member

of the GEI partnership council supporting with funding. Other bilateral donors support GEI are Sweden, Norway, Germany, Canada and Denmark. Germany, Switzerland and Netherlands support IPDET.

2.4 Conclusion

The above discussion develops a conceptual framework for this study based on tried and tested theories and methods which have been used by various scholars. This lays the foundation for the present study by academically defining important concepts associated with evaluation and elaborating on several important initiatives taken to institutionalize evaluation. Governments invest a huge amount of resources for development initiatives in the country and they expect to see a positive return on such investment. This chapter highlights the need for evaluation systems as a key component in the development sector which should receive government attention at both central and sub-national levels. It further demonstrates how having efficient evaluation systems in place can enhance the use of evaluation data and findings to further a country's national development agenda.

The initiatives taken to institutionalize evaluation which were discussed in this chapter illustrate how the institutionalization of evaluation does not happen immediately or easily as it requires certain conditions to be fulfilled. When institutionalizing evaluation, the value generation has to add up beyond individual evaluations (Heider, 2016). The legal framework for evaluation such as provisions in the national constitution or law on evaluation or a national evaluation policy (NEP) takes time. It needs champions or strong advocacy from the civil society to initiate the idea. Then in any country there is a process for the legal framework and finally the legislature or the executive has to approve it. Even if there is a champion and support for the champion to initiate the idea, this process will take time. However, not many countries have champions who are interested and keen on promoting institutionalization of evaluation: bringing a legal framework to institutionalize evaluation (Pleger et al., 2017).

It is clear from the existing information that institutionalization of evaluation is an evolving area. There have been several global efforts to enhance the eco-system of evaluation including that of the United Nations, the World Bank, EvalPartners etc. The discussion on country-led evaluation systems has become important due to donor-driven evaluation systems in the Global South while the Global North has its own systems. Despite there being good examples of

countries where there are strong national evaluation systems even in countries from the Global South, the evolution of evaluation culture and the establishment of relevant institutional mechanisms is still in a nascent stage in most countries of the developing world, with some notable exceptions such as South Africa. South Africa triggered many other countries in Africa and beyond to think of institutionalization of evaluation at a national level through the Twende Mbele initiative.

The chapter also reviews the emergence of VOPEs in the past ten years and how they could possibly contribute to the process of institutionalization of evaluation. The new initiatives such as Eval4Action campaign where many VOPEs are partners and actively promote influential evaluation trigger further action. The Asia Pacific Regional Evaluation Strategy led by the regional VOPE to enhance the capacity is also noteworthy. However, still the question arises – why is the institutionalization of evaluation so challenging? What are the barriers faced by countries in this endeavor? These questions need to be answered through further investigation and study.

Chapter 3

Review of Studies on Institutionalization of Evaluation

3.1. Introduction

Viewed in terms of the conceptual framework and the background given in Chapter 2, it is evident that institutionalization of evaluation depends on several factors including the presence of a legal framework for evaluation in the country, existence of institutions related to evaluation and their capacities, capacity of evaluation practitioners (Stockmann et al., 2020), institutions as well as individual evaluators, demand for evaluation from the policy makers and for evidence of performance and accountability from the citizens (Goldman & Pabari, 2021), media and civil society organizations (Karkara, 2014), and also on the understanding of the importance of evaluation and its use in the development process. Contextual factors play a vital role in the institutionalization of evaluation and its use. This Chapter aims to identify the corpus of current academic knowledge and opinion regarding the various factors influencing the institutionalization of evaluation (Stockmann et al., 2020). It seeks to identify the extent to which existing studies have been successful in isolating and evaluating such factors in order to identify areas which require further analysis.

3.2 Studies Regarding the Institutionalization of Evaluation

Evaluation is relatively a novel field, particularly in the developing world, and research on evaluation is underdeveloped (Coryn et al., 2017) and mostly concentrated on North America and Europe (Stockmann et al., 2020). Therefore, not many scientific studies have been conducted that focus on issues and factors which facilitate or hamper institutionalization of evaluation in various parts of the world (Altbach, 2003, pp.1-22). This chapter tries to review the evidence available from the limited number of studies on the subject and assess the gaps therein. The review will also appraise the methodology used in these research exercises to the extent possible.

Rosenstein observed that many countries still struggle to have nationally owned, well-established evaluation systems that provides credible, independent evaluative evidence for decision making (Rosenstein, 2015). Various stakeholders, including the government and

decision makers, are not even aware of evaluation as a concept and its utility. Monitoring and evaluation units/departments usually focus on “monitoring” rather than evaluation. (Sivagnanasothy, 2017) Evaluation is not well-established as a culture and evaluation systems are either absent or are not adequately functional. There is some appreciation of the importance of evaluation in efficient and effective delivery of development results. Hashim stated that evaluation is a tool that can be used to measure development effectiveness (Hashim, 2018). Evaluation is an essential part of implementing the Sustainable Development Goals as well. Such exercises as gathering evidence, however, are generally ad hoc and are not part of a properly structured system of evaluation.

3.2.1 Study by Toulemonde

Efforts to study institutionalization of evaluation started some twenty years ago when several well-documented publications on the comparison of evaluation cultures across nations were brought out. Jacques Toulemonde (2000) wrote about the differences and areas of convergence between national evaluation practices in Europe. He came to the conclusion that the differences should not be seen as national models but as varying paths towards maturity and professionalism of evaluation. European evaluation had initially been influenced by the United States Planning-Programming-Budgeting-System, but were later on impacted by international professional networks (particularly OECD), EU structural funds practices, and the World Bank development evaluation policies, in addition to the different guidelines of national institutions, such as Audit offices, Ministries of Finance. However, the national characteristics of evaluation due to its adoption in different contexts, seemed to fade away as the practice reaches maturity (Toulemonde, 2000, p.354).

Toulemonde, (2000) classified practices in evaluation as an administrative exercise; a management tool; or a democratic duty. He concluded that evaluation is considered as a bureaucratic burden in several countries. In some countries it was taken up as a managerial tool within the New Public Management system. The study conducted utilizing survey techniques revealed that information about the “whys and wherefores of public spending and on the actual impacts, expected or unexpected” were not put into the public domain by European evaluation practices. However, Toulemonde’s study was designed with a view of evaluation is an admin exercise and mainly focused on aspects such as public spending. Therefore the study had its

limitations on perception of the subject as well as its design including criteria looking at evaluation systems.

3.2.2 International Atlas of Evaluation 2002

Jan-Eric Furubo, Ray Rist and Rolf Sandahl (2002) took another approach to evaluation cultures in their International Atlas of Evaluation by providing the first systematic overview of 21 countries and three ‘international organizations’ (Raimondo, 2018). They urged experts in selected countries to describe evaluation cultures in their respective countries. This ultimately led to a comparison of the nature and maturity of the ‘evaluation cultures’ (Chelimsky, 2008) in these countries taking into account nine dimensions. These dimensions were:

- (I) evaluation mentioned in policy domains
- (II) there is a supply of evaluators specializing in different disciplines
- (III) discussions and debates on evaluations that lead to national discourse
- (IV) a national evaluation society exists
- (V) institutional arrangements exist in the government for conducting evaluations and disseminating their results
- (VI) institutional arrangements in Parliament for conducting and disseminating evaluations exist
- (VII) pluralism exists within each policy domain
- (VIII) evaluation activities occur within the supreme audit institution
- (IX) evaluations focus on outcomes

It may be noted here that the citizen’s voice and contextual components were not taken up for the study. Geographically, the study excluded most ‘developing countries’ (Tamondong, 2016) as the study included North America, many European countries, very few from Asia and only one country from Africa. Therefore almost all African countries, many Asian countries and whole of Latin America were not part of the study (Stockmann et al., 2020). Also the study focused on “what is in place” rather than “what is happening in practice”. For example, existence of a national evaluation society is considered although its role and contribution to the evaluation profession is not adequately discussed. Actual evaluation practice is also not analyzed adequately. The research concluded that over half of the countries presented a high degree of maturity, such as Australia, Canada, Denmark, Germany, Netherlands, Norway, South Korea, Sweden, United Kingdom, and the United States. Seven countries showed a

medium degree of maturity: Finland, France, Ireland, Israel, Italy, New Zealand, and Switzerland. The ones with a low degree of maturity were Japan and Spain.

3.2.3 International Atlas of Evaluation 2012

The study was replicated ten years later with the same 19 OECD countries with a more reliable method, by Steve Jacob, Sandra Speer and Jan-Eric Furubo (Figure 3.1. Summary outcome of the study in 2012). This update offered a cautious longitudinal comparison. The findings of the longitudinal comparison was a general lift of effect on institutionalization of evaluation showing how the evaluation culture has matured over the decade in selected countries as Jacob et al (2015) describes. It showed that 15 countries developed a mature evaluation culture by this time and there was no country in low degree category. The remaining four, viz., Ireland, Italy, Spain and New Zealand represented medium degree cultures. Jacob et al defined maturity as the degree of institutionalization especially within governments, the parliament and the supreme audit office. While Parliaments had the weakest institutionalization of evaluation across all countries, an increase in getting evaluations done was observed.

This study also revealed that during the span of ten years (between the first and second study), performing evaluations turned into a routine or “business as usual”. Moreover, a kind of evaluation fatigue (evaluitis) set in bringing about a decline in evaluation culture in various countries. However, this trend was not uniform across the board and cross-national differences were observed. One distinguishing feature was the emergence of centralized versus decentralized evaluation structures. The evaluation units could be either part of different ministries, sectorial evaluation agencies, like in Sweden, or centralized coordination institutes, like in France or Spain. This study also did not take into account the role of civil society in evaluation, thus ignoring the participatory approach to evaluation. Stockmann et al. (2020) observed that no theoretical deduction of the indicators took place and an indicator measuring training and education is missing. It is also observed that the study mainly focuses on North America and European continents while Latin America, nearly all African countries and Asian countries are left out again like the first study. Still the study conducted by Jacob et al is an important piece of work for institutionalization of evaluation.

The Lay of the Land in 2012

Table 1: Evaluation culture in 2012

	I. Domains	II. Disciplines	III. Discourse	IV. Profession	V. Inst. - Government	VI. Inst. - Parliament	VII. Pluralism	VIII. SAI	IX. Impact	SUM
Australia	1,3	1,7	1,7	2,0	0,7	1,0	1,7	2,0	1,7	13,7
Canada	2,0	2,0	2,0	2,0	1,8	0,8	2,0	1,8	1,8	16,0
Denmark	1,8	1,8	1,8	2,0	1,3	1,0	2,0	1,5	1,3	14,3
Finland	2,0	2,0	1,8	2,0	1,8	1,2	2,0	2,0	1,8	16,6
France	1,6	1,4	1,8	2,0	1,4	1,2	1,2	1,0	1,4	13,0
Germany	1,3	2,0	1,3	1,8	1,0	1,0	2,0	1,3	1,5	13,3
Ireland	1,0	1,3	1,5	1,0	1,0	0,3	1,3	1,0	0,8	9,0
Israel	1,3	1,8	1,0	1,8	1,3	1,0	1,8	1,3	1,3	12,3
Italy	1,7	1,7	1,3	2,0	1,3	0,7	1,0	0,3	0,7	10,7
Japan	2,0	1,8	1,5	1,3	2,0	0,3	1,5	1,3	1,3	12,9
Netherlands	2,0	1,9	1,5	1,8	1,8	1,5	1,8	1,8	1,4	15,3
New Zealand	1,4	1,0	1,4	2,0	1,2	0,6	1,4	1,4	1,2	11,6
Norway	1,9	1,5	1,1	1,8	1,4	0,9	1,8	1,8	1,3	13,5
South Korea	2,0	2,0	1,7	1,7	2,0	1,7	1,7	1,3	1,3	15,3
Spain	1,3	1,8	1,5	2,0	1,3	0,5	1,3	0,3	1,5	11,3
Sweden	1,8	1,6	1,6	1,8	1,8	1,4	1,6	1,7	1,6	14,8
Switzerland	1,8	2,0	1,6	2,0	1,3	2,0	1,8	2,0	2,0	16,4
United Kingdom	2,0	2,0	1,5	2,0	1,5	1,3	2,0	1,8	1,3	15,3
United States	1,6	2,0	1,8	2,0	1,8	1,4	1,6	1,8	1,8	15,8
Mean	1,7	1,8	1,5	1,8	1,5	1,0	1,7	1,4	1,4	13,7
Top 3	1,9	2,0	1,8	2,0	1,6	1,3	1,9	1,9	1,9	16,3
Bottom 3	1,3	1,6	1,4	1,7	1,2	0,5	1,2	0,5	1,0	10,3

Figure 3.1: Summary outcome of the study in 2012, source: Jacob et al., 2015

3.2.4 Global Mapping on National Evaluation Policies and Systems

In 2013, the Parliamentarians Forum for Development Evaluation – South Asia conducted (through consultant Barbara Rosenstein) a global study on national evaluation policies and systems. The study reviewed data from around 115 different countries. The methodology involved virtual and live contact with over 100 informants from over 100 countries in addition to desk review of data and information available through secondary sources such as the internet, government websites, and websites of VOPEs, the publications of the World Bank, United Nations Development Programme (UNDP), UNICEF, OECD, as well as professional journals and literature. It was found that out of the 115 countries investigated only 20 had a legislated evaluation policy while 23 countries were in the process of developing such a policy. Thirty-four countries were conducting evaluations in a routine manner without any policy (Rosenstein,

2013). Rosenstein also observed that there was a broad range of national evaluation policies, from formalized and codified (Mexico, Colombia, Canada) to looser evaluation arrangements (Italy and Sweden) to none whatsoever. UK had elaborated guidelines while Switzerland was putting questions on use of evaluations and ethics. Others were reforming legislated policies to suit the realities in the field (Mexico, South Africa). In some other cases, policies were formulated, but not implemented due to changes in government or other conditions in the country context (Sri Lanka). The study concluded that the definition of an evaluation policy is complex and various administrative bodies are responsible for implementing NEPS such as the President's Office, the Planning Commission, the Ministry of Finance and Economic Development, or other separate Evaluation Units within the government. It also raised issues like whether an NEP is in fact necessary for every country and context and if evaluation readiness or evaluation culture more important than an actual NEP. As the study was based on desk review, informal contacts and secondary data mostly collected through the internet and informal contacts (Stockmann et al., 2020), it is a question whether the findings are fully reliable as whether information on national evaluation policies or systems can be collected through informal means. Moreover, the study findings are presented in a very general and vague manner with an apparent lack of clear conclusions. For example, it is not very clear whether Malaysia has a national evaluation policy or not.

This study was repeated (by the Forum) in 2015 covering 109 countries. In 27 countries a formal declaration, decree or legislation on evaluation, was found. Others were in the process of evolving. This study was also conducted using internet and informal contacts from countries similar to the first study. Therefore the reliability of the study is a question again. For details refer Table 2. It is noteworthy that both 2013 and 2015 study reports include a separate section on South Asia. Based on the 2013 study findings, the Parliamentarians Forum on Development Evaluation South Asia held a regional consultation on national evaluation policies and systems in 2014. Countries prepared plans to establish national evaluation policies in their countries which accelerated efforts in the direction of developing NEPS in these countries (PFDE-SA, 2014).

NEP or Evaluation Practice/ Stage	Well established (17)	Evolving (12)	Developing (30)
Formalized (27)	Canada Chile Colombia Finland France Germany Japan Mexico The Netherlands Norway Republic of Korea Sweden Switzerland United States of America	Brazil Costa Rica Malaysia Morocco Peru South Africa	Benin Ethiopia Hungary Jamaica Kazakhstan Kyrgyz Republic Uganda
Not formalized (32)	Australia Singapore United Kingdom	Argentina India Israel New Zealand Spain The Philippines	Afghanistan Bangladesh Bhutan Botswana Burkina Faso Cameroon Cape Verde Ghana Indonesia Jordan Kenya Mongolia Namibia Nepal Pakistan Poland Portugal Republic of Maldives Sri Lanka Tanzania Ukraine Vietnam Zimbabwe

*Table 3.1: Summary of the status of NEPS based on the study
Source: Rosenstein, 2015*

On the basis of these studies, it can be summed up that there is a need to conduct research on what evaluation system - one supported by NEP or other forms - works best and in what

conditions. The role of civil society should also be considered in developing an evaluation culture which would lead to institutionalization of evaluation.

3.2.5. UNDP Baseline Study and Proceedings of NEC Conferences

To sensitize about the need for evaluation capacity development a number of national evaluation capacities (NEC) conferences were organised as an initiative of Independent Evaluation Office (IEO) of United Nations Development Programme. The NEC conferences have engaged over 150 countries and their governments globally and provided a platform for discussing challenges to and opportunities for building national evaluation frameworks that facilitate evaluation culture. The NEC conferences include presentations from various countries about the national evaluation systems and the conference proceedings include details of presented country cases. Although they are not scientific studies, the country presentations included in proceedings (UNDP IEO, 2009, 2011, 2014, 2016, 2017, 2019) have become useful information on national evaluation systems in said countries. The series of NEC conferences has brought various national partners to learn about national evaluation systems and improve the evaluation capacity proceedings become biennial update about countries.

Moreover, in 2015, UNDP IEO published a baseline study of 43 countries on national evaluation systems and capacity (UNDP IEO, 2015). The study includes 12 countries in Africa, 3 countries in Arab region, 10 countries in Asia Pacific region, 3 countries in Europe and CIS region and 15 countries in Latin America and Caribbean. The study report also includes details and a matrix on commitments made by countries at the 3rd NEC Conference in 2013 and where they are at in terms of the commitments. The baseline includes wide range of countries particularly from the Global South. The baseline survey has been conducted using desk review and relied on existing information including internet and the mapping conducted by Rosenstein. Although there is a question about the reliability, the information has been verified by UNDP offices in respective countries. The NEC conferences and the related initiatives have acted as triggers for countries to work towards national evaluation systems and capacities.

3.2.6. Evaluation Globe in Europe

The most recent study on institutionalization of evaluation in Europe (Stockmann et al., 2020) was developed under the “Evaluation Globe” project implemented by the Center for Evaluation, University of Saarland, Germany. This study examines the progress of institutionalization of evaluation in European countries from various perspectives. It describes both prior developments and current status of evaluation in 16 European countries and across the European Union, focusing on three dimensions, namely the political, social and professional systems.

The Evaluation Globe analysis framework developed with three dimensions was used for analysis of each country. Compared to studies conducted on institutionalization of evaluation so far, Evaluation Globe is the first study which used a systematic analysis framework specially designed for assessing institutionalization of evaluation (refer to table 3.2 for details). The analysis of the political system covers the statutes and regulations governing evaluation (where they exist), the institutional arrangements, evaluation practice and use. The social system covers use of evaluation by civil society, participation and demand for evaluation and most importantly public perception on evaluation. The third area of analysis examines ‘the profession of evaluation’ (Smith, 1999) in each country. This includes whether there is a VOPE, academic courses on evaluation, academic journals on evaluation, use of standards/ guiding principles in place.

Domain of institutionalization	Specific criteria	Areas covered
I. Institutional Structures and Processes (Political System)	I.1 Evaluation regulations	National laws, national decrees, sector laws, administrative regulations
	I.2 Parliamentary and national audit structures	Evaluation unit at the parliament, demand and use by the parliament, evaluations conducted by the audit office
	I.3 organizational structure	Existence of independent evaluation units/ national M&E system
	I.4 Evaluation practice and use	Sectors where evaluations are carried out frequently/ poorly. Who use evaluations/ quality of evaluations
II. Societal Dissemination/ Acceptance (Social System)	II.1 Use of evaluations by Civil Society	Practice and use of evaluation by civil society
	II. 2 Public perception and public discourse	Is evaluation well known publicly? Public availability of evaluation reports and discussion on results
	II. 3 Participation of Civil Society in evaluations	Participation of citizens, civil society and private companies in evaluation
	II. 4 Demand for evaluations by Civil Society Organizations	Do individual citizens, civil society organizations, private enterprises, political parties, unions or other actors demand evaluations

III. System of Professions (Professionalization of Evaluation)	III. 1 Academic study courses and training practices	Existence of programmes or higher education on evaluation
	III. 2 Journals and Communication platforms	Inclusion of evaluation in academic and non-academic journals
	III. 3 Professional Organizations	Existence of VOPEs and their characteristics
	III. 4 Existence and Compliance to standards and quality obligations	Existence of standards, guidelines for evaluators and use of them

Table 3.2: Criteria for institutionalization of evaluation used in Evaluation Globe analysis

The launch of European study took place at the European Evaluation Society Conference held in Maastricht, Netherlands where the theoretical and analysis framework was introduced widely and potential authors from European countries were identified (Stockmann et al., 2020). The countries covered are Denmark, Finland, The Netherlands, Belgium, France, Germany, Switzerland, Ireland, United Kingdom, Italy, Spain, Portugal, Czech Republic, Latvia, Poland, Romania and European Union. The detailed country reports, which have been written by selected researchers and authors from each of the respective countries, lead to a concluding comparison and synthesis. Apart from Switzerland and France, European countries generally do not have laws prescribing the use of evaluation although many of the countries have a designated public institution taking care of evaluation. The analysis of the societal context show in many European countries, civil society does not participate in evaluations or do not use evaluations as expected. In many countries, the citizens and civil society are not aware of evaluation and importance of it. Therefore this is not a strong area and still emerging in Europe. All European countries studied have VOPEs in place and most have academic courses although the professionalization of evaluation is yet to happen.

Although all countries were analyzed using one analytical framework; it is a question whether all countries will fit in to the same analytical framework as they are in different stages of evaluation systems. Countries such as Switzerland, France and Germany have matured system with regulations, evaluation practice and profession. However system in countries such as Romania, Latvia and Poland are still emerging. It is also noteworthy to see experts from the same country gets involved in writing respective country chapters. However, since all authors are not engaged with the institutionalization of evaluation in the country as they are independent consultants and not holding a position at the national level, it is a question whether one can completely rely on their views or the analysis. The framework lacks a major stakeholder of data collection at national level – National Statistical Office. This study is also

not covering all the countries in European continent and it should have compared the analysis with 12 European countries covered in the International Atlas. However this is an advance step in studying institutionalization of evaluation at country levels and this brings useful resources, materials and perspectives to the future of evaluation (Stockmann, 2014. English version p.183)¹.

The book fulfils its purpose by bringing substantive information on maturity of the evaluation systems in said countries. However it is still needed to analyze the evaluation systems from the government perspective to find more accurate status from the government side as the analysis is on the national system. Also the key highlights of the each country including main gaps can be specified for policy makers to address them. Also the book should appeal to parliaments, heads of M&E departments at the public sector and international organizations so that they can take necessary measures to fill the gaps in institutionalization of evaluation. Particularly United Nations agencies can work together with governments to improve the evaluation systems.

Further research plans of the above study aim to cover countries in Americas, Africa and Australasia with similar analysis. The four volumes together aim to provide an interdisciplinary audience with cross-country learning to enable them to better understand the institutionalization of evaluation in different nations, world regions and different sectors. Once the four volumes are complete, these can be a source of complete knowledge product on institutionalization of evaluation.

The authors may consider reviewing the analytical framework based on Europe experience before using for other regions if at all any important lessons captured when using it in the first time. Also the authors may want to review the strategy for authors of country chapters to see how to increase the reliability of information at national level can be improved in upcoming volumes. Once four volumes are complete, these can be a source of complete knowledge product on institutionalization of evaluation which provides comprehensive status of majority countries for the first time. This will also help to compare countries and regional for learning purposes and will become baseline for further studies in future.

¹ Stockmann, R. (2014). The future of evaluation: prospects and challenges. *Revista de Ciencias Económicas*, 32(1), 183-204. [English version available at <https://revistas.ucr.ac.cr/index.php/economicas/article/view/15057/14322> visited on 26th July 2021].

3.3 Studies in the Asian Region

There are only a few studies conducted on the professionalization of evaluation within the Asian region which cannot be categorised as scientific research. And also, a few consultations on national evaluation policies and systems have taken place reviewing status in participating countries. These will be examined in this section.

In 2015, UNICEF and UNDP started conducting country case studies for the “Review of National Evaluation Systems and Capacities for Evaluating Progress towards the SDGs in Asia Pacific Region”. One of the important objectives of this joint initiative was to support national evaluation capacity development in the context of the 2030 Agenda for Sustainable Development. In the first round, seven countries were selected, namely Sri Lanka, Malaysia, Mongolia, Indonesia Thailand, Philippines and Vietnam were selected. An analytical framework had been developed using criteria based on EvalAgenda2020, SDGs principles and evaluation capacity factors was used to conduct the case studies. Accordingly, three key aspects of EvalAgenda2020: enabling environment, institutional capacities, individual capacities have been matched with seven evaluation capacity factors while considering four SDG principles. The analytical framework used to conduct case studies can be referred to in Table 3.3 below.

		Dimensions of evaluation systems			
		Enabling environment	Institutional capacity	Individual capacity	
	<i>SDG principles</i>	<i>Integration</i>	<i>Inclusion</i>	<i>Accountability</i>	<i>Evidence</i>
Evaluation Capacity Factors	Demand	<ul style="list-style-type: none">From public sectorInitiatives undertakenWho drives demand	<ul style="list-style-type: none">Institutional incentivesInstitutional arrangements	Level of knowledge and skills among policy makers <ul style="list-style-type: none">Attitudes towards evaluation	
	Use	<ul style="list-style-type: none">How and who use evaluations	<ul style="list-style-type: none">Methods and mechanisms to use evaluation	<ul style="list-style-type: none">Understanding of programme managers, planners, policy analysts, and other potential users	
	Leadership	<ul style="list-style-type: none">Who are the champions support evaluation			
	Resources	<ul style="list-style-type: none">Allocation of resources	<ul style="list-style-type: none">Mechanisms to identify resources	<ul style="list-style-type: none">Availability of resources for training	
	Technical capacity	<ul style="list-style-type: none">Data systems	<ul style="list-style-type: none">	<ul style="list-style-type: none">	
	Institutional arrangements	<ul style="list-style-type: none">National evaluation policy, institution exist	<ul style="list-style-type: none">Integrated M&E systemExistence of a VOPE		
	Values and standards	<ul style="list-style-type: none">equity and inclusion reflected in evaluation policies and guidelines		<ul style="list-style-type: none">Individual evaluators concerned with reflecting values of equity and inclusion in evaluation	

Table 3.3: Analytical framework used for the case studies in Asia

The study showcases successes, lessons, and learning from national evaluation systems. The significance of foster peer learning among stakeholders has been emphasised through this study. Each case study brings the findings in a separate report and commissioners also developed a synthesis report to summarise all seven countries. It was revealed that among seven countries, only few have legal regulations for evaluation. Indonesia passed Government Regulation No.39/2006, which applies to monitoring and evaluation carried out by all the public institutions including the line ministries (Librado & MacLean, 2019)). Mongolia also has legal provisions for evaluation which is 2015 Law on Development Policy Planning accompanied by two regulations: Resolution #249, passed in 2016 to strengthen the policy planning system, and Resolution #89, passed in 2017 to guide the M&E activities related to government operations (Librado & MacLean, 2019). The other country which has law on evaluation is Japan (Government Policy Evaluations Act No. 86 of 2001) in the region which was not part of the study (Government of Japan, 2001). In addition to them Sri Lanka and Philippines have evaluation policies in place. The study also reveals information on institutional arrangements for evaluation which is a positive finding in all countries. Also all seven countries have VOPEs although there are many other improvements are needed for a strong national evaluation system.

According to the synthesis report of the case studies, the key findings of the study can be summarized as follows under three main study areas: Enabling environment, Institutional capacities and Individual capacities.

Enabling Environment

- (1) All seven countries demonstrate strong commitment to the 2030 Agenda and growing commitment to evaluation, both for the SDGs and in general.
- (2) There is an increase in demand for evaluation from citizens, as well as in mechanisms facilitating citizen engagement in evaluation processes; progress on corresponding openness of government is mixed but advancing overall.
- (3) Evaluative thinking and learning culture are just emerging.
- (4) Dedicated financial resources for evaluation are insufficient to support SDGs evaluation needs.
- (5) Feedback loops to ensure the use of evaluation results in support of the 2030 Agenda are weak.

Institutional Capacity

- (1) Key national evaluation system institutional structures and mechanisms supporting the 2030 Agenda are in place.
- (2) Harmonization and coordination of various NES efforts are limited.
- (3) Institutional capacity to produce high-quality, complete, reliable, and disaggregated data for evaluation for the 2030 Agenda is weak.
- (4) Progress on promoting equity-focused and gender-responsive (EFGR) practices and evaluations is variable.

Individual Capacity

- (1) Overall, individual capacity for evaluation for the SDGs is limited and uneven.
- (2) Opportunities for professional evaluation capacity development vary across and within the case study countries; overall, they are limited but increasing (Librado & MacLean, 2019). The synthesis report also highlights seven recommendations to enhance national evaluation systems in said countries including development of policies/ guidelines as well as strengthen the capacity.

In addition, three regional consultations on National Evaluation Policies and systems have been conducted in the region. The first one; South Asia Regional Consultation on National Evaluation Policies and Systems was conducted on 18 and 19 September 2014 in Colombo, Sri Lanka. It was jointly organized by EvalPartners, Parliamentarians Forum for Development Evaluation South Asia and Sri Lanka Evaluation Association (SLEvA). VOPE leaders, government representatives, parliamentarians and representatives from development partners attended from eight South Asia countries: Sri Lanka, India, Bhutan, Maldives, Pakistan, Afghanistan, Nepal and Bangladesh. The participating countries presented status of NEPS in their countries and planned for the next steps to strengthen NEPS. The EvalPartners guide on “Engendering National Evaluation Policies and Systems” was first introduced in the consultation together with a sample NEP for countries to adapt. At the time of the consultation, only Sri Lanka had a draft national evaluation policy out of eight countries. In 2015 Nepal included evaluation in the constitution and also drafted the national evaluation policy act. Bhutan and Afghanistan also drafted the national evaluation policy in 2016. Sri Lanka started further consultation and advocacy for the NEP which was endorsed by the government in 2018. It was observed that Maldives was the only country which does not have a VOPE; all the other

countries have functioning VOPEs. None of the countries had academic courses on evaluation by the time of the consultation (PFDE-SA, 2014).

The second consultation was held for the Asia Pacific region just after the first APEA Evaluation Conference 2016. The two days (23 and 24 November) Regional Consultation on Equity Focused and Gender Responsive National Evaluation Policies and Systems was attended by twelve countries from the region: Afghanistan, Bangladesh, Bhutan, Cambodia, India, Laos, Malaysia, Maldives, Mongolia, Myanmar, Nepal, Philippines and Sri Lanka. All participating countries presented status of NEPS and it was an opportunity to learn from other countries (EvalPartners, 2017). Nepal presented the provisions of the constitution for evaluation. Philippines had the national evaluation policy endorsed by the government. Nepal, Sri Lanka and Afghanistan presented status of draft NEP. Again, Maldives was the only country without a VOPE while Mongolia VOPE was new. Sri Lanka reported that they are planning for a Post Graduate Diploma in M&E (EvalPartners, 2017).

The third consultation was held on 11 December 2020 for the Asia Pacific region. The virtual consultation due to COVID 19 was attended by 14 countries in the region: Sri Lanka, Japan, Bangladesh, India, Pakistan, Afghanistan, Bhutan, Nepal, Philippines, Indonesia, New Zealand, Mongolia, Laos and Cambodia. Twelve countries except Laos and Cambodia made presentations of status of NEPS. Among the countries in addition to Japan Evaluation Policy Act, Sri Lanka has the endorsed NEP. India, Pakistan and Mongolia are planning to develop the NEP. All countries have established VOPEs however VOPEs in Laos and Cambodia are less active at the moment. The new initiative highlighted in the consultation was promotion of young and emerging evaluators. EvalYouth Asia as a regional chapter of EvalYouth Global Network was initiated in the region in 2019. This consultation was jointly organized by the Asia Pacific Evaluation Association with EvalYouth Asia. India, Sri Lanka and Afghanistan have established EvalYouth national chapters. Pakistan, Bhutan and Nepal are also planning to initiate EvalYouth national chapters (APEA, 2020b).

3.4 Summary of the Current Studies

The above discussion reviews past research on the subject of institutionalization of evaluation and sheds some light on how the institutionalization of evaluation progressed along different paths in different countries. Investigations in related areas included national evaluation policies

and evaluation systems, emergence and growth of professional associations, and engagement of parliamentarians in evaluation (Friedman & Phillips, 2004). It may be observed that studies on the broader issue of institutionalization of evaluation per se are very few. The international Atlas 2002 and its more recent version of 2012 are well-recognized studies although they are limited to selected OECD countries. The most recent (2020) and directly relevant study of Stockmann et al also covers only some countries of Europe. The global mapping on NEPS conducted by Barbara Rosenstein has also been used widely as it is a recent study covering 109 countries. In Asia, one of the known studies done recently was the case studies on NEPS conducted by UNICEF and UNDP covering 9 countries. These case studies analyzed selected countries in detail and published comprehensive reports. The study highlights the status of national evaluation policy, national evaluation system, evaluation practice and professionalization in the respective countries. The detailed analysis of countries also indicates how evaluation is incorporated in the implementation of SDGs.

Thus, the studies are restricted to generally developed countries, those too are mainly European systems. Except Stockmann et al, 2020, the focus of other studies is not the identification of factors that accelerate or otherwise the process of institutionalization of evaluations and the studies also do not mention the role of civil societies in this process.

3.5 Literature Gap

Within the broader field of evaluation, there is a comparative lack of research-based literature focusing on the broader issue of ‘the institutionalization of evaluation’. The above analysis of the limited existing literature in the field reveals that most current and comprehensive studies on the institutionalization of evaluation are predominantly restricted to developed countries, mainly in the Western world, which have already achieved a comparatively higher level of maturity in terms of their evaluation culture. Currently, there is an evident paucity of studies examining Asian evaluation systems, particularly within the South Asian region.

When considering the factors of analysis adopted by the studies examined in this chapter, several noteworthy lacunae become evident. Most of these studies on the institutionalization of evaluation focus on factors which measure the current state and degree of maturity of an evaluation system. However, these do not prioritize identifying factors which accelerate or improve the process of institutionalization. While the presence of NEPS is an important factor highlighted across almost all studies relating to the institutionalization of evaluation, there is a

lack of research comparing evaluation systems supported by an NEP and those which are not in order to assess the advantages and disadvantages of either form. It is also worth noting that most existing studies do not examine or analyze the role of civil societies in the process of evaluation. Moreover, these studies do not focus on the role and initiatives of VOPEs in the institutionalization of evaluation. The involvement of parliamentarians in the institutionalization of evaluation is a new dimension which researchers are beginning to study. There is still ample opportunity and a great necessity to study the impact of legislators in the institutionalization process.

3.6 Conclusion

Institutionalization of evaluation has become more important than ever due to various reasons, Agenda 2030 for Sustainable Development being the main reason. Progress needs to be supported by evaluative evidence although that is missing in many Voluntary National Reviews submitted in the first five years. Therefore, emphasis is given to use evidence from evaluations and the governments need to pay attention to strengthen national evaluation systems.

Several questions arise, such as whether national governments understand the need for the institutionalization of evaluation and the process to do it; who is going to lead the process; who are the champions at the country level to establish national evaluation system, and the like. The ideal situation would be to have champions from the government and the parliament. VOPEs have challenges due to their voluntary nature. Development partners' support and intervention might be seen as external push and may not be sustainable if the government is still not ready. In some countries, the national evaluation policy was developed and endorsed by the government due to advocacy from the development partners. But the policy was not properly implemented as the government didn't feel the ownership or need of the policy.

There are evident gaps in the existing body of literature as discussed above, and the present research focuses on finding clear information on the institutionalization of evaluation in Asia, particularly in four selected countries as detailed in the chapter five. Efforts are being made to identify if certain factors contribute towards the institutionalization of evaluation at a national level. A good example of this is seen in the analytical framework adopted by Stockmann et al. (2020) as part of the Evaluation Globe initiative. After being considered all these facts and arguments, Evaluation Globe analytical framework has been selected as the approach in this research (The justification of this selection can be found from 4.3. at Chapter 4 below).

Chapter 4

Methodology

4.1. Introduction

This Chapter seeks to elaborate on how the present study will be conducted by building on the existing body of knowledge identified in Chapter 3. It will begin by framing the research problem based on the research gaps recognized in the previous chapter. This research problem will be used to derive specific research questions and objectives. Finally, this Chapter will identify the various forms of data and methods of data analysis that will be used to address the research questions and objectives. There will be special emphasis on justifying why this study has chosen to use Evaluation Globe's analytical framework as well as the case study method.

The current research examines the institutional structures including the legal framework for evaluation in the four selected countries; such as whether there are any laws or approved policies on evaluation at national level and/or sub national levels. The research looks into whether evaluations are conducted regularly and whether there are national guidelines available for evaluations. There is also the challenge of finding technically competent and experienced evaluators in most of the developing countries (Jacob et al., 2015). This study addresses this question which relates to national evaluation capacity development and whether evaluation has emerged as a professionalized field with accredited courses on evaluation particularly run by academic institutions such as universities.

The research assesses the use of evaluation- who is using evaluations, to what extent and; for which purpose. This needs to be explored to see how evaluation findings and recommendations make a difference in development interventions. It also examines how the public perceive the use of evaluation.

To assess the above issues the present study follows the case study method. Case studies are one of the popular research methods in social sciences (George & Bennett, 2005). Specific issues in a specific environment, situation or organization can be investigated through this method. Case study method provides for data collection and analysis within the context of

phenomenon, integration of qualitative and quantitative data in data analysis, and the ability to capture complexities of real-life situations so that the phenomenon can be studied in greater levels of depth. It involves in depth observations of a unit. The unit can be a person, a family, an institution, a ‘community’ (Schwandt, & Dahler-Larsen, 2006) or a nation. The case study analyzes various events and their interrelations and processes. The object of the case study method is to locate the factors that account for the behavior patterns of the given unit as an integrated totality.

According to Odum, “[t]he case study method of data collection is a technique by which individual factor whether it be an institution or just an episode in the life of an individual or a group is analyzed in its relationship to any other in the group.” Burgess has used the words “the social microscope” for the case study method.” Pauline V. Young describes case study as “a comprehensive study of a social unit be that unit a person, a group, a social institution, a district or a community” (Odum, 2020).

To sum up it can be said that case study method is a form of qualitative analysis from which inferences can be drawn in the wider context. Researchers have identified one important difference between qualitative and quantitative research concerning case study. They argue that while quantitative research design is based on representative random sampling with adequate sample size to minimize errors, the number of cases required in any qualitative inquiry may be less. For example, Mason (2010) and Dworkin (2012) noted that qualitative research was often concerned with gaining an in-depth understanding of a phenomenon or revealing the heterogeneities in meaning rather than developing generalized hypotheses. Therefore, the samples for qualitative studies are generally much smaller than those used in quantitative research.

Since the present research involved looking into the phenomenon as to how institutionalization takes place and what factors make it a success, the case study method of investigation is justified.

4.2. Research

4.2.1. Research Problem

The entire world is in the process of recovering from the economic and social repercussions of a global pandemic. This is adding to the existing development challenges facing all countries, but especially those in the global South. Effective evaluation practices are essential in assessing development strategies and adopting the most productive ones. The institutionalization of evaluation at a national level is critical in facilitating this process. For this reason, there has been a recent increase in interest relating to the academic study of institutionalizing evaluation. However, these studies are not entirely comprehensive since the whole area of study is still in its infancy.

The literature review conducted in the previous chapter identified that most studies relating to the institutionalization of evaluation have focused on developed countries, primarily in the West, which have a relatively mature evaluation culture. These studies conducted in countries belonging to the global North have undoubtedly provided vital information which has contributed towards the development of evaluation as a science. However, the very nature of these countries having an already mature evaluation culture means that the studies conducted in those countries will not always yield knowledge that can be directly extrapolated and applied to evaluation systems in developing countries. This is evident when examining the factors of analysis used in most existing studies. They do not focus on assessing factors which accelerate and improve the process of institutionalization from the ground up since the evaluation systems in developed countries have already reached a certain standard. A proper analysis of the factors contributing towards accelerating and improving the institutionalization process will be of immense benefit for developing countries that are still attempting to develop their national level evaluation systems from a very rudimentary level.

The presence of national evaluation policies is a common factor recognized as contributing to the institutionalization of evaluation. However, this raises the question of whether an NEP is in fact essential for every country and if evaluation readiness and/or evaluation culture are more important than having an actual NEP. It is important to recognize how significant an NEP is and in what contexts and conditions it works best. This information will be of significant value

to countries who do not currently have a well-developed NEP so that they may decide whether or not they should prioritise formulating an NEP.

Various actors participate in the evaluation process and their contribution can have a significant impact on the institutionalization of evaluation. However, as revealed in the literature review, very few existing studies have analyzed the role of VOPEs and parliamentarians in institutionalization. Even fewer studies have focused on the involvement of civil societies. Introducing a legal framework for evaluation and then implementing relevant policies is a time-consuming task and is often met with various obstacles. It becomes necessary to have strong advocacy from the civil society to initiate the process and provide the impetus for change while the involvement of legislators is essential for realizing that change. National evaluation associations (VOPEs) might be best positioned to advocate for such changes in the legal framework. However, issues such as the voluntary nature of VOPEs, the challenges they face, and their overall effectiveness in the process remain open to debate. This evident lack of focus in relation to looking at different factors for institutionalization of evaluation is an avenue of study worth exploring.

4.2.2. Research Questions

Primary Research Question for this study as follows:

What are the most important factors which contribute towards the institutionalization of evaluation in developing countries in the Asian region?

The secondary research questions for this study are:

- I. What are the institutional structures and processes for evaluation in Sri Lanka, Nepal, Philippines and Bangladesh?
 - a. Are there any regulations (national laws, national decrees, sectoral laws, administrative regulations) for evaluation in Sri Lanka, Nepal, Philippines and Bangladesh?
 - b. To what extent is there a parliamentary and national audit structures for evaluation in Sri Lanka, Nepal, Philippines and Bangladesh?
 - c. What are the organizational structures in place for evaluation in Sri Lanka, Nepal, Philippines and Bangladesh?

- d. To what extent the evaluation practice and use is improved in Sri Lanka, Nepal, Philippines and Bangladesh?
- II. What are the societal dissemination/ acceptance for evaluation in Sri Lanka, Nepal, Philippines and Bangladesh?
 - a. How is evaluation used by civil society in Sri Lanka, Nepal, Philippines and Bangladesh?
 - b. What is the public perception and public discourse for the field of evaluation in Sri Lanka, Nepal, Philippines and Bangladesh?
 - c. To what extent the civil society participate in evaluations in Sri Lanka, Nepal, Philippines and Bangladesh?
 - d. What is the demand for evaluations by civil society organizations in Sri Lanka, Nepal, Philippines and Bangladesh?
 - III. To what extent is the field of evaluation professionalized in Sri Lanka, Nepal, Philippines and Bangladesh?
 - a. What are the academic study courses and training practices in Sri Lanka, Nepal, Philippines and Bangladesh?
 - b. What are the available journals and communication platforms for evaluation in Sri Lanka, Nepal, Philippines and Bangladesh?
 - c. Do professional organizations exist and what type of organizations they are in Sri Lanka, Nepal, Philippines and Bangladesh?
 - d. To what extent compliance and standards and quality obligations for evaluation in Sri Lanka, Nepal, Philippines and Bangladesh?

4.2.3. Objectives

Primary Objective of the study is to identify factors which contribute towards institutionalization of evaluation in developing countries of the Asia region.

Secondary Objectives of the study are:

- To examine the current evaluation systems and practices of each selected country.
- To assess the extent to which evaluation has been institutionalized at a national level.

- To assess how evaluation regulations support national evaluation systems in a country.
- To identify the contexts and conditions in which NEPS are essential for a country in facilitating the institutionalization of evaluation.
- To analyze the role of VOPEs in the institutionalization of evaluation.
- To assess the demand and use of evaluation by civil societies.
- To assess the participation of civil society in evaluations.

4.3 Research Approach and Justification for Use of Evaluation Globe

The Evaluation Globe is a global research project on the worldwide process of institutionalization of evaluation administered and funded by The Center for Evaluation at the Saarland University, Germany. The main objective of the Evaluation Globe project is to conduct “global stocktaking of the institutionalization of evaluation at the national level” (Center for Evaluation, 2020). The Evaluation Globe project plans to publish a book series covering the regions of Europe, the Americas, Africa, and Australasia about the institutionalization of evaluation. Already the book on the “Institutionalization of Evaluation in Europe” has been published (Center for Evaluation, 2020). Stockmann et al., 2020 introduces a comprehensive analytical framework by dividing the factors of institutionalization into three key areas and also identify very specific sub-themes under each main area specifying what has to be fulfilled in terms of having an institutionalized evaluation system. These areas include regulations, institutions, evaluation practice, civil society demand and use, academic courses, professional associations and their role. Therefore, the Evaluation Globe analytical framework can be regarded as the most advanced and inclusive among the analytical frameworks presented in different studies thus far. This is why the present study has chosen to adopt a methodological approach based on the Evaluation Globe analytical framework.

Analytical Framework for Evaluation Globe

This research uses Evaluation Globe analytical framework to study the four countries selected as case studies. Among the methods used for studies so far, it reveals that Evaluation Globe is the most advanced method. The framework for Evaluation Globe is known as the “Analytical Guideline: Evaluation Globe – Compendium on the Institutionalization of Evaluation” developed by Prof. Reinhard Stockmann, Dr. Wolfgang Meyer, and Dr. Christine Nolte.

According to Stockmann, Meyer & Taube (2020), the process of institutionalization can be defined as follow:

“Institutionalisation is the process of incorporating new rules, norms and regulations into an existing institutional system for adapting it to new demands from outside, improving its effectiveness and/or efficiency by including innovations, and/or for extent its task and influence to new fields of activities” (p.11).

Hence, according to the aforementioned authors, for the institutionalization of evaluation, one has to look for the following elements:

- “Rules, norms and regulations on evaluation, implemented in the already existing social subsystems. The first decision, therefore, is about the systems under observation and the kind of institutions to be investigated;
- Evaluation processes, procedures and routines, implemented within a broad set of organisations or networks at least as a possible way of practice within a certain policy field. So, the second decision is about these procedures and the scope of implementation;
- Finally, institutionalization is a process with certain steps and it is probably a long way toward building a complete and deep-seated institutional framework. Some subjective assessment on the state of the art is necessary and any rating cannot be a complete objective and precise measurement. Therefore, some observable and comparable steps toward institutionalisation have to be assigned” (Stockmann et al., 2020, p.12).

Therefore, the analytical framework for Evaluation Globe on the institutionalization of evaluation comprises of three main systems. The three main systems of the analytical framework on the institutionalization of evaluation are a country’s political system (institutional structures and processes), social system (societal dissemination/acceptance), and system of professions (Professionalization of evaluation) (Stockmann & Meyer, 2020).

Furthermore, Table 4.1 illustrates the different sub systems for the political system, social system, and system of professionalization in the analytical framework on the institutionalization of evaluation. These guidelines have three sections and sub sections in each section including one general country review. This framework was used earlier to study 16 European countries by Prof. Stockmann, Dr. Meyer, and Dr. Nolte. These countries were selected by the authors due to their heterogeneity in their political and social systems. The different sub systems for the political system, social system, and system of professionalization

in the analytical framework on the institutionalization of evaluation are explained in the sections below.

Political System

The political system in a country needs to institutionalize evaluation through national laws, policies, and regulations to ensure that evaluation results are used for decision making in the public sector. For instance, Stockmann et al., (2020) stated that “[t]he political system should use evaluation as a tool for governance, installed in general national acts and laws (not limited to certain policy fields) and included in all kind of governance mechanisms (again not limited to certain policy fields)” (p.19).” For example, according to Russ-Eft & Preskill (2009), during the first decade of the twenty-first century, the U.S. Federal Government instituted various evaluation policies and process to assess if federally funded programmes show significant scientific evidence based impact. The Programme Assessment Rating Tool managed by the Office of Management and Budget has mandated that government programmes be assessed every five years and the Programme Assessment Rating Tool has helped policymakers in the U.S.A to make evidence-based decisions regarding management and funding based on the effectiveness of government programmes (Russ-Eft & Preskill, 2009). Additionally, Stockmann et al. (2020) indicated that the evaluation results should be used for decision making and learning by policymakers in order to enhance the quality of state activities and public services for citizens. According to Stockmann and Meyer (2020), the following elements below need to be assessed for the institutionalization of evaluation in the political system of a particular country (See Table 4.1).

- *Evaluation regulations*: If there are national laws, national decrees, sectoral laws, and administrative regulations on evaluation and the use of evaluation. And is there a National Evaluation Policy embedded in the governance structure of that country.
- *Parliamentarian and national audit structures*: If evaluation is embedded in the governance structure of the legislator of a country (Having an evaluation unit in the Parliament, commissioning of evaluation by Parliament and the demand and use of evaluations by policymakers). And if the National Audit Office of that country conducts evaluations besides audits.
- *Organisational structure*: If there is a national evaluation system in a country and the availability of independent evaluation units in the Presidential or Prime Minister offices, ministries and government departments.

- *Evaluation practice and use:* If evaluations are conducted by the different sectors in the governance structure of a country and if evaluation results are used for decision making by policymakers, project managers, and international donor organizations etc.

Social System

For institutionalization of evaluation in the social system of a country, it is critical to have active Civil Society Organizations taking part in evaluation for the social betterment of citizens in a country. According to Stockmann et al. (2020), Civil Society Organizations of a country should use evaluation to improve their activities and represent citizens' interests. Further, the authors emphasize that evaluation results should be used for public debates in order to improve good governance and accountability of the public sector. In addition, civil society organizations should be included as a key source of information on evaluations conducted by the public sector (Stockmann et al., 2020). For the institutionalization of evaluation in the social system of a country, Stockmann & Meyer (2020) pointed out that the following aspects below should be analyzed (See Table 4.1).

- *Use of evaluations by Civil Society:* If Civil Society Organizations of a country are conducting evaluations and if Civil Society Organizations are using the evaluation results for decision making and public debates.
- *Public perception and public discourse:* If evaluation reports are available to the public and if evaluation results are discussed publicly by the media, political parties and unions.
- *Participation of Civil Society in evaluations:* If citizens, Civil Society Organizations or private companies are actively involved in evaluations.
- *Demand for evaluations by Civil Society Organizations:* If individual citizens, Civil Society Organizations, private enterprises, political parties, unions, and any other actors are demanding evaluations from policymakers of a country.

System of Professions

For the system of professions, it should include academic programmes in evaluation in order to professionalize the field of evaluation in a country (Stockmann et al., 2020). For instance, the Global Evaluation Agenda 2016-2020 endorsed by EvalPartners and other stakeholders outline the importance of developing institutional capacities (academic programmes in universities) and individual capabilities (knowledge and skills of evaluators) in evaluation to

professionalize the field of evaluation (EvalPartners, 2017). In addition, specialized academic journals focusing on evaluation along other forms of media communication such as newsletter should be used for the exchange of knowledge and ideas. Further, professional organizations in evaluation are needed to share ideas and promote the field of evaluation. Also, the evaluation community in a country should come up with evaluation standards and guiding principles to ensure the quality assurance of evaluations (Stockmann et al., 2020 & Stockmann & Meyer, 2020). According to Stockmann and Meyer (2020), the following elements below needs to be analyzed for the institutionalization of evaluation in the system of professions of a country (See Table 4.1).

- *Academic study courses and training practices:* The availability of formal higher university education for evaluators (PhD, Diploma, and Master) and the availability of academic or non-academic training in that country.
- *Journals and communication platforms:* The availability of academic journals, newsletters, or other forms of media communication focused on evaluation.
- *Professional organizations:* If there are any Volunteer Organizations for Professional Evaluation and networks available for evaluators in that country. And if there are organizations from other professions that include evaluation units (Education, public policy etc) and if there are any organizations offering evaluations as a service.
- *Existence and compliance to standards and quality obligations:* If there are standards and guiding principles for evaluators and the existence of a certification system for evaluators in that country.

Political System (Institutional Structures and Processes)	Social System (Societal Dissemination and	System of Professions (Professionalization of Evaluation)
--	--	--

	Acceptance Evaluation in Civil Society)	
-Evaluation regulations -Parliamentarian and national audit structures -Organizational structure -Evaluation practice and use	-Institutionalized use of evaluations by civil society -Public perception and public discourse -Participation of civil society in evaluations -Demand for evaluations by civil society organizations	-Academic study courses and training practices -Journals and communication platforms -Professional organizations -Existence compliance to standards and quality obligations

Table 4.1: Institutionalization of evaluation in different sub systems *Source: Stockmann et al., 2020 & Stockmann & Meyer, 2020*

This study also covers the similar areas as Evaluation Globe as well as plans to analyze them under same themes. Therefore Evaluation Globe analytical framework fits perfect for this study too. However, this study uses two additional indicators under the professionalization system based on the emerging areas in the Asia Pacific region which will contribute to the professionalization of evaluation. They are training for young and emerging evaluators and existence of young and emerging national chapters.

4.4. Data

4.4.1 Variables

The research is investigating the factors involved in leading to institutionalization of evaluation. Therefore, Institutionalization is taken as dependent variable and various factors under investigation are the independent variables as detailed in Figure 4.1:

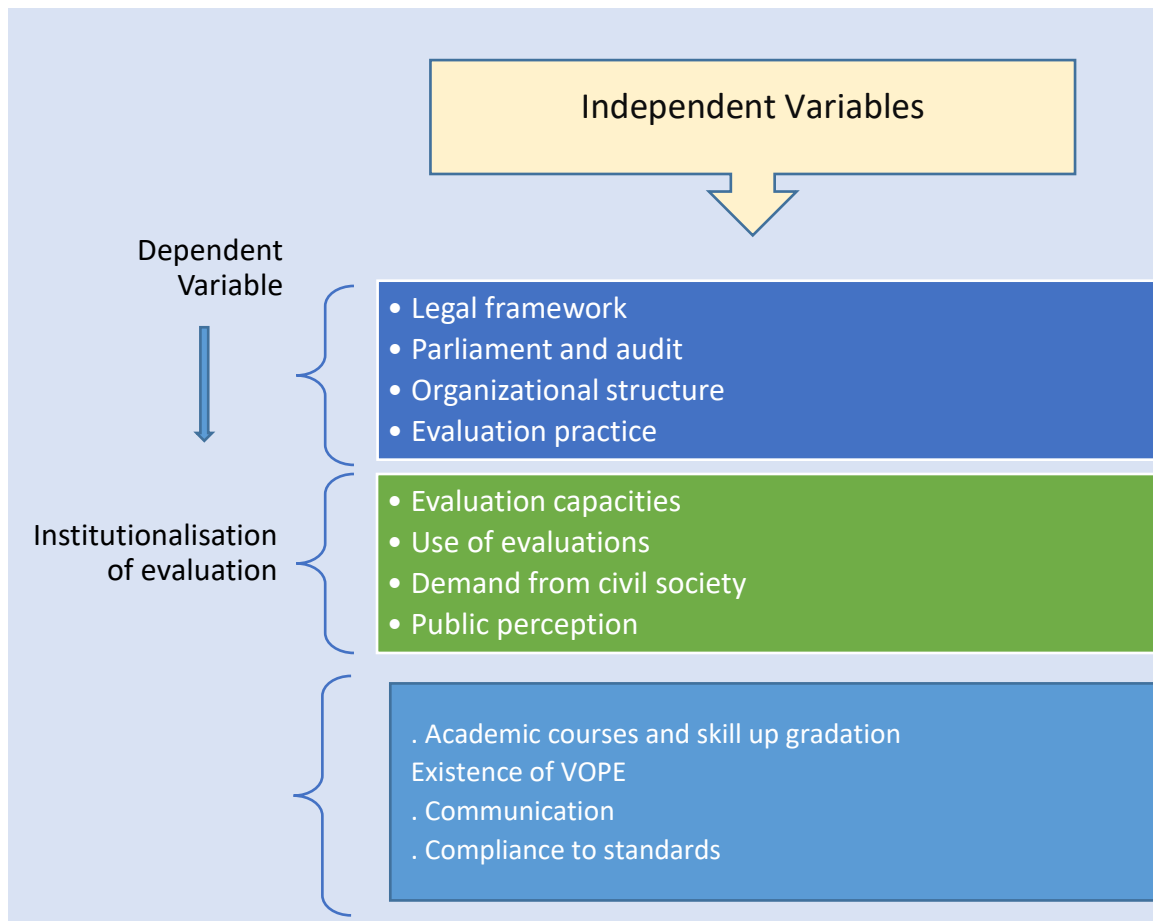


Figure 4.1: Variables for the study

4.4.2 Data Collection Tool

For data collection and analysis, The Evaluation Globe Framework from project of Centre for Evaluation, University of Saarland has been used. This Framework is specifically designed to examine institutionalization of evaluation and developed on the basis of the studies in several regions including Europe by Center for Evaluation in the year 2017.

This framework is used earlier to study 16 European countries. These countries were taken due to their heterogeneity in their political and social systems (Stockmann, et al., 2020, p.20).

The framework is developed keeping the above said arguments in focus by the authors (see above, Analytical Framework for Evaluation Globe).

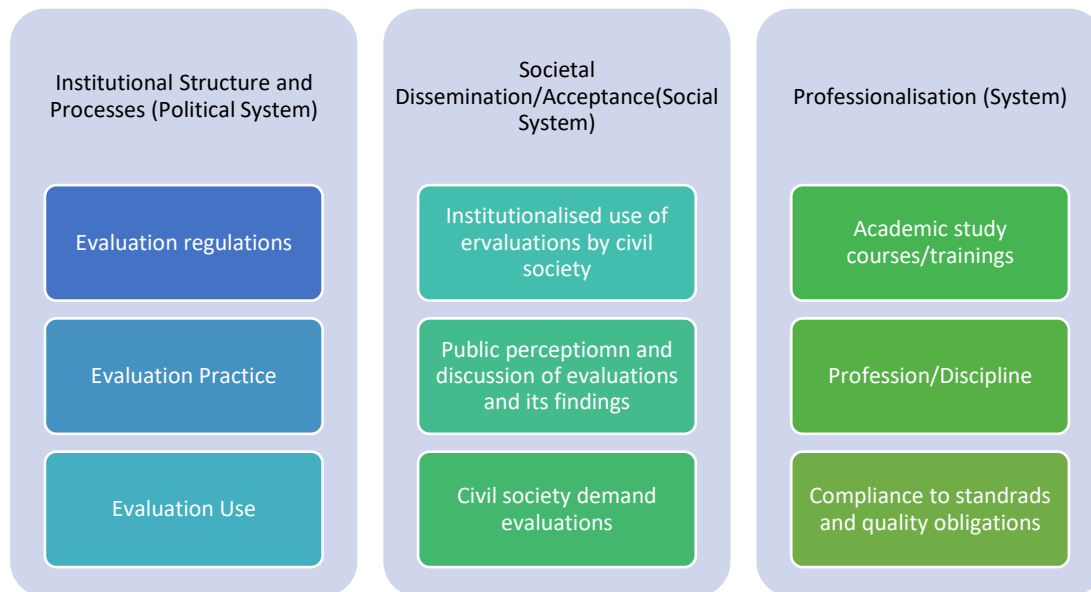


Figure 4.2: Evaluation Globe Institutionalization Framework 2020

It needs to be mentioned here that each sub-section has various questions on which information needs to be collected to have an overall view of institutionalization.

Research questions in this research which are given below on the basis of three sections of the Framework in use that is institutional structures and processes, societal acceptance and professionalization. Besides general information about each country was collected to understand socio-political structure of the country.

4.4.3 Method Adopted for Data Collection

The present research uses multiple methods of data collection and triangulation process to arrive at consistency. Eisenhardt (1989) observed that building theories from case studies may come from multiple data collection methods such as archives, interviews, questionnaires, and observations. Mixing data sources is called ‘triangulation’ (Patton, 1999) which refers to the use of a combination of different sources to examine the same phenomena. According to Patton (1999) ‘triangulation’ can take various forms including ‘method triangulation’, which refers to combining qualitative and quantitative methods, and the ‘triangulation of sources’ which is the use of multiple data sources within a qualitative research design (Wilson, 2014). The latter is

achieved by mixing different types of qualitative methods, combining purposeful samples, and including multiple perspectives.

The triangulation of data sources complements the investigation of the institutionalization phenomena through multiple cases and contributes significantly to the overall credibility of the findings produced. Therefore, this study employs a ‘triangulation of sources’ technique that combines interviews, the researcher’s observations, and document analysis etc.

4.4.3.1 Document Review

Document review is a way of collecting data by reviewing existing documents. The documents may be internal to a programme or organization or may be external. Documents may be hard copy or electronic and may include reports, programme logs, performance ratings, funding proposals, meeting minutes, newsletters, and marketing materials (CDC, 2018). Documentary survey or review is considered one of the primary research techniques for both quantitative and qualitative methodologies. Payne and Payne (2004) suggest that documentary review method as a technique is used to categorize, investigate, interpret and identify the limitations of physical sources. One of the main benefits for the researcher of documentary data is to augment and validate the findings from in-depth interviews (Gaborone, 2006). A significant advantage of document review is that it allows for the triangulation of claims about a selected subject and permits the author to drill down and focus on a specific case study. Moreover, this method allows the use of multiple sources and document review can be seamlessly combined with other methods such as interviews (Bowen, 2009, p.25). Since this dissertation wishes to focus on case studies of four different countries, it is suitable to use the document review method in combination with other sources. To this end, the use of documentary review and analysis in this research is aimed at getting base information and triangulating the data obtained from interviews, and observations, as well as establishing linkages with relevant theories of institutionalization of evaluation and to identifying new paradigms on the overall issues under study. Documents reviewed in this research covered relevant publications and documents including publications issued by United Nations and other international organizations, United Nations resolutions, resource materials developed by international networks such as EvalPartners and IOCE and reports from the selected countries as case studies, and internal policies, procedures and guidelines in those countries. Additionally, the documents included various declarations agreed and signed regarding the evaluation and SDGs. Moreover, the

evaluation conference proceedings such as from National Evaluation Capacities Conference were reviewed.

4.4.3.2 Interviews and Focus Groups

Interviews and focus group meetings are considered data sources for qualitative research that allow the researcher to delve deeply into social and personal observations (Crouch & McKenzie, 2006; Diccico-Bloom & Crabtree, 2006). The main advantage of collecting data through interviews and focus group discussions (FGDs) is that it enables the researcher to deeply investigate individuals, settings, sub-cultures, and scenes, with the aim to generate a subjective understanding of how and why people perceive, reflect, role-take, interpret, and interact (Dworkin, 2012). In addition, using interviews and focus groups will encourage participants to freely “tell the story” – a key feature of interpretative inductive research. The use of semi-structured interviews and focus groups presents the opportunity to collect information about respondents’ experiences, narratives, and understandings related to institutionalization of evaluation in their real-world settings and conditions.

In this study, for the selected four case studies, individual interviews were conducted with a total of 15 informants in four countries and included government officials responsible for evaluation, parliamentarians, evaluators, VOPE leaders, civil society leaders and officials from international agencies. Table 4.3 includes the list of key informants who were interviewed in this research. In addition, 15 focus group meetings were organized that provided a total of 38 participants (Sri Lanka - 3, Nepal - 4, Philippines – 4 and Bangladesh 4). Country wise details are included in the Table 4.3.

An interview protocol was developed to guide the researcher during interview sessions and follow up discussions. The first draft of the interview protocol was developed and piloted through preliminary interviews with respondents before finalizing the interview protocol and introducing adjustments to the questions and their ordering. The final interview protocol started with introductory and open-ended questions so as to provide an informal setting and to break the ice with the informant. The open-ended questions were also aimed at providing the widest scope for informants to share their thoughts. This was followed by a set of probing questions aimed at obtaining detailed information pertaining to a particular issue under observation. The interview protocol is presented in Annex 01.

Semi-structured interviews were conducted with key informants (KII) who were directly and indirectly involved in evaluation, national evaluation system or tasks of institutionalization of evaluation. At the national level, these individuals included senior officials from the government, VOPE leaders, parliamentarians, champions in evaluation field. As shown in Table 4.3, a total of 15 key informants were interviewed for this research to ensure the confidentiality and neutrality of the information collected.

After each interview, main issues, themes, and concepts revealed were noted down and analyzed. The analysis of the interviews was based on categorizing and coding of each interview according to which key concepts were found in the interviews.

Focus group discussions for each case study were conducted to enable citizens and local stakeholders to openly share their perceptions related to evaluation and use of evaluation. The objective of the FGDs was to efficiently extract relevant insights and information from citizens on evaluation based on reflection, analysis and mutual learning. These FGDs were organized at the later stage of the research in order to enrich the analysis, and validate the preliminary findings that resulted from the case studies. A total of thirty eight experts participated in this FGD. Table 4.3 provides a summary the FGDs.

It is important to mention here that due to COVID-19 face to face interactions were not possible in most of the cases hence data collection was done using web based technologies, using mobile phones and Whatsapp.

4.4.3.3 Observation

Another technique that is commonly used in qualitative studies is observation (Kawulich, 2005; Vidich, 1955; Vinten, 1994; Johnson et al., 2006). Moeran (2009) argues that in understanding social phenomena it is important to appreciate that the “totality” of participant observation facilitates holism, and introduces an intimacy between the researcher and informants that are not possible with other research methods. The advantage of personal observations is that it enables the researcher to learn about the activities of people under investigation in their natural setting through observing and participating in those activities (Kawulich, 2005). In addition,

personal observations help in capturing the whole social setting and context in which people function and work (Mullahal, 2003).

In examining the factors relevant to institutionalization of evaluation in Asia, the researcher has personally witnessed (and was engaged in) the formulation of NEPS concepts and methodologies that have been used in many countries and by several stakeholders. The researcher has been working for global initiatives in promoting NEPS in various countries and had an opportunity to work with country partners and supporting them to establish NEPS. The researcher had direct involvement in establishing NEPS in case study countries. Additionally, the participation in evaluation conferences and events in different parts of the world the researcher provided a unique opportunity to informally collect data through participation in relevant sessions and informal interviews and discussions. This long involvement in the process fits with (Whyte, 1979) that sees the researcher as participant-observer as they participate in activities relevant to the study over an extended period of time.

The use of personal observations allowed for a better understanding of the interaction between the different actors involved in the process, validate the information obtained from interviews, and experience the factors influencing the national evaluation systems. Many observations were documented by writing short notes and comments.

4.4.4 Ethical and Gender Sensitive Approach

Ensuring academic neutrality and objectivity was crucial for conducting this study. Additionally, the researcher was fully conscious of the ethical dilemmas and potential partiality that might emerge due to personal and former professional relations that the researcher had with some informants. It is for this reason; the researcher took a number of measures to minimize any possible biased responses from interviewed informants. At the beginning of interviews and focus groups, the researcher made it clear to all informants that the objective of this research is solely academic and will only lead to a better understanding of institutionalization of evaluation through their lenses as “individuals involved in this phenomenon”. The understanding of the academic nature of this study by informants, along with the other measures that were taken by the researcher, facilitated the acquisition of honest and accurate opinions for this research. To have gender unbiased approach data is collected

from both males and female stakeholders. To avoid personal bias, verbatim was written during each interview and FGD and views thus obtained were analyzed quoted while writing results.

4.4.5 External and Internal Validity

The concept of validity, developed by (Campbell & Stanley, 1966) and then elaborated by (Cook & Campbell, 1976), has been one of the main concepts that affect qualitative research. In general, research based on a case study approach faces the challenge of establishing the external validity of the data collected as well as the conclusions drawn from the research (Whittemore et al., 2001). The literature distinguishes between two levels of validity. The first is the ‘internal validity’ which is concerned with establishing a causal relationship between variables and results (Gibbert et al., 2008). The second raised ‘external validity’ or ‘generalizability’, which refers to whether the interpretation of processes identified and conclusions drawn can be transferable beyond the particular setting or case at hand (Kawulich, 2005).

To strengthen the internal validity of this research a number of measures suggested in the qualitative research literature were adopted and undertaken. The triangulation of different data collection techniques and sources made it possible to verify findings by adopting multiple perspectives. This method is suggested by Gibbert et al. (2008). The number of selected cases is also in line with the range of four to ten cases suggested by Eisenhardt (1989) as a good basis for analytical generalization. The use of participant observations as a data collection tool is also one way to increase the validity of the study, as observations helped improve the understanding of a given context and the influencing factors surrounding the phenomenon of institutionalizing evaluation. This technique has been propagated by Kawulich (2005). The research also designed and followed an interview protocol that went through considerable verification and piloting processes. Finally, the familiarity of the researcher with local context of the study countries, and the reliability of different data sources, helped to screen and exclude dubious information.

The external validity of this research stems from the fact that the findings of this research could be applicable to other similar settings. Although this research looked at institutionalization of evaluation at national level within the four different contexts of selected countries, various analogous features with other similar countries were identified. This included, among other

features, the lack of a strong political leadership, donor-driven M&E systems, the unpredictable financial flow available for evaluation, and the deteriorated economic, security, and development conditions ('inaccurate predictions', Stockmann, 2016.p.36).

The existence of such similarities, if combined with further comparative research, could provide for similar conclusions that are applicable to other similar contexts that would enhance the external validity of this research (Calder et al., 1982).

To sum up this chapter, it is stated that the research was conducted based on the research questions and study parameters outlined in the Evaluation Globe Framework. Various methods were taken into consideration for data collection on these parameters. To start with, a thorough desk review was conducted to collect existing data and information such as existing evaluation policies, evaluation reports, media articles, social media, websites and other relevant literature available about each country under investigation. Based on the literature review, gaps were identified and a future strategy was planned to fill these gaps.

Under this strategy consultative meetings were organised with various stakeholders, Focus Group Discussions were convened using technology like skype, Zoom and other networks. Wherever possible face to face interviews were conducted. Observation technique was used to verify data. Records were also maintained from the events and conferences carried out involving these countries and relevant information was culled out and verified. The draft interview questionnaire was developed and field tested before finalization. The questionnaire was field tested with following four people:

1. Mr. Ranjith Wimalasooriya, Director, NGO Secretariat, Sri Lanka
2. Mr. Pradeep Saputanthri, Director, Sustainable development Council, Sri Lanka
3. Mr. Suchira Suranga, Director, M&E, Family Planning Association of Sri Lanka
4. Ms. Piroshini Trikawalagoda, Board Member, Sri Lanka Evaluation Association

After the field test, a few adjustments were made and finalized the questionnaire. The final questionnaire is in Annexure 01.

The collected data was cross checked with data from existing literature. Data analysis was done mainly using qualitative data analysis methods and triangulated. Wherever discrepancies were

observed key informants were contacted for verification of data. The findings are presented in line with the research questions and study parameters followed by conclusions. The research also suggests successful factors that contribute to institutionalization of evaluation at national level.

Based on the conceptual framework, the research questions have been formulated in line with the guide issued by the “Evaluation Globe”. The four countries have been selected through a process which enables the research to add more productive examples to the findings.

Utility of this research is anticipated. The case studies and the regional synthesis will feed into country-led NECD strategies at the national level, and forward into new cases. It is also envisioned as open-ended, with the dissemination of results ideally sparking ongoing and expanding engagement of evaluation stakeholders at national, regional, and potentially global levels. Dissemination of the case studies and regional synthesis will provide opportunities for learning exchange with a wider audience which aims to showcase national experiences on evaluation for the SDGs. In this way, a utilization-focused body knowledge and evidence on NEC for the SDGs can be expanded and disseminated.

4.4.6 Method of Data Analysis

Analysis of data obtained through interviews and focus groups, documents and observations involved a number of interconnected tasks including:

1- Preparation of interviews transcripts: Most of the interviews were undertaken in English, except the interviews in Sri Lanka which were convened in Sinhala language too. All these interviews were transcribed as per variables indicated earlier.

2- Data analysis: Data analysis followed a three-phase approach as suggested by Miles and Huberman (1994): data reduction, data display, and the drawing of conclusions. Data reduction is about organizing and reducing a large volume of data by means of focusing, summarizing and converting the data from interviews transcripts and documents. The major activity in the data reduction phase is data coding and categorizations according to the questions and key areas of the research. Data display involves consolidating and matching the reduced data into a reasonable and understandable shape. This allowed the researcher to make inferences and

suggestions concerning the specific issues, practices or policies undertaken by the actors in the research context. The final step, namely the drawing of conclusions, is also known as the interpretation phase and entails giving meaning to the data collected.

3- Coding of data: involved reviewing the interview transcripts thoroughly and giving labels to key themes or ideas emerging from the collected data that appeared to potentially address the research questions. During the coding process, core categories for the merging themes were established in which a descriptive label was assigned for each theme. Through the process, and keeping the research questions in mind, a number of core categories were identified. The coding process was undertaken for each of the four cases. This process subsequently led to methodical case-by-case analysis. These analyzes were then grouped into a comparative table, which enabled the researcher to carry out a comparative analysis in line with the research questions. The summary tables were used in cross-case analysis to identify similarities and differences across the three case studies. Finally, the process of interpreting the data and conclusions drawing was undertaken. The research findings are presented accordingly.

4. Triangulation: The researcher sought for convergence among multiple and different sources of information to form the themes of this study. In addition to triangulating between different sources of information (e.g. interviews, focus groups, documents like conference reports, government and donors' reports, etc.), the researcher diversified the list of informants to include current and former VOPE leaders, parliamentarians, Heads of M&E units in the public sector and evaluation professionals in order to ensure the validity and reliability of the data. The Evaluation Globe analysis itself helped to triangulate the data as its design is made in that way. This allowed for examining and validating the various information before drawing any conclusion on the themes of the research.

5- Member checking: According to Lincoln and Guba (1985), member checks are a crucial technique for establishing credibility in qualitative research. It entails taking data and interpretations back to the informants and participants in the study to confirm the credibility of the information and narrative account. For the purposes of this study, the researcher convened a focus group of evaluation experts during the drafting stage of the manuscript to review the findings and clarify any misunderstanding that might have occurred during the fieldwork. In addition to that the researcher asked various informants, mainly independent experts and informants who are external to the specific case study/institutions, if the themes or categories

make sense, whether they are developed with sufficient evidence, and whether the overall account is realistic and accurate.

4.5 Justification of Case Studies

The study has been conducted in four Asian countries namely Sri Lanka, Nepal, Philippines and Bangladesh. These countries are selected in two steps. Initially, nine countries in Asia were selected based on the criteria of existence of active VOPEs which are a part of regional VOPEs, organise activities take part in events at national and international levels etc. The nine countries were Sri Lanka, Nepal, Philippines, Malaysia, Cambodia, India, Afghanistan, Vietnam and Bangladesh. In the second step the status of countries was assessed based on the following eight criteria. (Table 4.2)

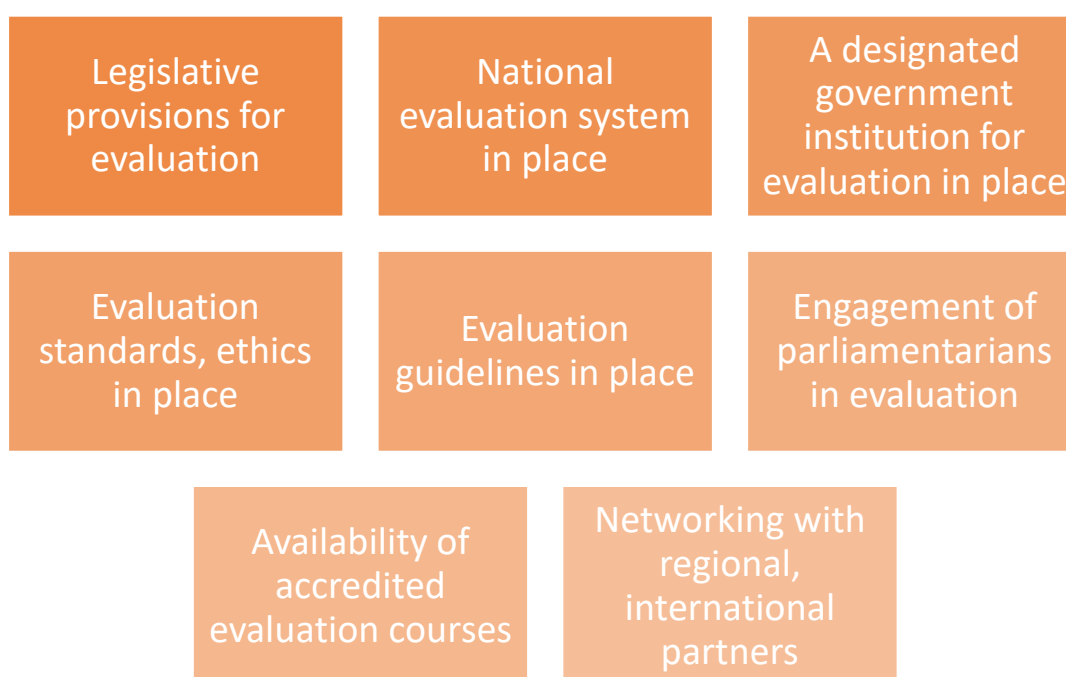


Figure 4.3: Criteria adopted to assess the status of the selected countries

Sri Lanka, Nepal and Philippines met most of these criteria (between 6-7) and therefore these were taken for in- depth study. The fourth country Bangladesh has been taken up with the low ranking on these criteria for comparability or as a bench mark.

4.5.1 Sri Lanka

Sri Lanka is considered to have a strong emerging evaluation culture in the global South

(Tudawe, & Samranayake, 2008). The VOPE- Sri Lanka Evaluation Association exists since early 2000 and is currently one of the most active VOPEs around the world. The Government of Sri Lanka has taken a number of significant steps to promote the use of evaluation in development processes. Department of Project Management and Monitoring (DPMM) is the designated government entity for evaluation. A significant policy initiative is the drafting of the National Evaluation Policy in 2003 as the first country to do so in the region. The Parliament adopted two motions in 2016 to allocate funds from the national budget for evaluation. Subsequently, the Sri Lanka Parliamentarians Forum for Evaluation (SLPFE) which is linked to the Parliamentarians Forum for Development Evaluation-South Asia and the Global Parliamentarians Forum for Evaluation was established. Constituting a “Parliamentary Committee for Evaluation” performed. That a Sri Lankan Parliamentarian is the chair of the Global Parliamentarians Forum for Evaluation is a reflection of the leadership of Sri Lanka to promote evaluation. A series of activities such as the sessions in the Parliament of Sri Lanka, launching of the Sri Lanka Parliamentarians Forum for Evaluation, stakeholder consultations, capacity building and related events have been initiated in Sri Lanka in past 3-4 years. In addition, the Faculty of Graduate Studies at the University of Sri Jayewardenepura has launched the Post Graduate Diploma in Evaluation with the likelihood of extending to a Master degree. Sri Lanka has been recognized as a spotlight country under the EVALSDGs initiative. It is presumed that the study of this country will bring out some country specific factors for institutionalization of evaluations.

Table 4.2: Selection of countries for the study

Country	Legislative provisions for evaluation	National evaluation system in place	A designated government institution in place	Engagement of parliamentarians in evaluation	Evaluation guidelines in place	Evaluation standards, ethics in place	Availability of accredited evaluation courses	Existence of a functional VOPE	Networking with regional, international partners
Nepal	Yes	Yes	Yes	Yes	Yes	Not yet	Yes	Yes	Yes
	Evaluation included in the national constitution – section 54 and 293. Draft evaluation policy act is available.	NPC has an annual plan for evaluations and they do conduct evaluations but not up to the expected level.	National Planning Commission	National Parliamentarians Forum for Dev Evaluation Policy. The parliament supported/ hosted the Global Evaluation Forum 2015.	National Evaluation Guidelines for Nepal	Developing	University of Kathmandu and Tribhuvan University	CoE- Nepal, Nepal Evaluation Society and Society of Monitoring and Evaluation	Member of EvalPartners and IOCE. Implemented Peer-to-Peer projects. Individual members in EvalPartners networks.
Sri Lanka	Not yet	Yes	Yes	Yes	No	No	Yes	Yes	Yes
	National evaluation policy was endorsed by the government in 2018	One of the first countries to develop the online monitoring system. However conducting evaluations at national level is not at the expected level.	Department of Project Management and Monitoring	Sri Lanka Parliamentarians Forum for Evaluation. Global Parliamentarians Forum for Evaluation’ chair is a Sri Lankan MP.	Planning to develop	Planning to develop through the Center for Evaluation which is to be established	Post Graduate Diploma in Evaluation by the University of Sri Jayewardenepura. Master of Evaluation course is being processed. Institutionalization of evaluation training in public sector is in discussion.	Sri Lanka Evaluation Association	Member of EvalPartners and IOCE. Implemented Peer-to-Peer projects. Individual members in EvalPartners networks.

Philippines	Yes	Yes	Yes	Yes	Yes	No	No	Yes	Yes
	National Evaluation Policy is endorsed in 2015.	Results based monitoring, evaluation and reporting system	National Economic Development Authority (NEDA)	Yes, representatives from both the Congress and the Senate attended EvalColombo2018. Senate implemented a capacity building programme at the Senate. The Senate held a one day event at the APEA conference 2019.	Adopted Results based monitoring, evaluation and reporting system in 2016.	-	-	There are three VOPEs. Philippines Evaluators for Development is more active	PHILDEV is a member of APEA. PHILDEV member is a co-leader of EvalYouth Asia.
Malaysia	Yes	Yes	Yes	No	Yes	No	No	Yes	Yes
	Endorsed National Evaluation Policy	National Results Based Management system in implementation across all the ministries	Ministry of Finance	-	Guidelines for RBM system	-	-	Malaysian Evaluation Society	Member of IOCE. Implemented Peer-to-Peer projects
Cambodia	No	No	Yes	Yes	Yes	No	No	Yes	
			Ministry of Planning		National EFGR Evaluation Guidelines developed but not implemented			Cambodian Evaluation Society	Member of IOCE.
India	No	Yes	Yes	Yes	No	No	Yes	Yes	Yes

			NITI Aayog National Institution for Transforming India	Five parliamentarians attended EvalColombo2018 (Parliamentarians global evaluation event) and a member of parliament was a guest speaker at the EvalFest 2020.			Diploma in Evaluation course at IAMR	Evaluation Community of India (ECOI)	Member of IOCE.
Bangladesh	No	No	Yes	No	No	No	No	Yes	Yes
			Implementation, Monitoring and Evaluation Division	There were few connected but not continuously engaged				CoE- Bangladesh, Bangladesh Evaluation Society	Member of IOCE. Member of Community of Evaluators South Asia
Afghanistan	Yes	No	No	No	No	No	No	Yes	Yes
	Draft National Evaluation Policy developed			There were few connected but not continuously engaged				There are four VOPEs in Afghanistan. Shows Afghanistan Evaluation Society is active.	Member of IOCE.
Vietnam	No	No	No	No	No	No	No	Yes	Yes
								Vietnam Network of Monitoring & Evaluation	Member of IOCE.

4.5.2 *Nepal*

Evaluation field building in Nepal is expanding in the recent past. National Planning Commission (NPC), the Government of Nepal has been actively engaged in setting monitoring and evaluation systems in Nepal. NPC prepared National M&E Guidelines (2013) and recently prepared a draft monitoring and evaluation bill which is expected to be approved by the parliament after debate. In addition, a parliamentary forum in evaluation has been established which is considered to be the first ever national parliamentarians forum for evaluation. In Nepal, there are three VOPEs-Community of Evaluators, Nepal (CoE Nepal), Society of Monitoring and Evaluation (SOME) and Nepal Evaluation Society (NES). CoE-Nepal has been more actively involved in evaluation capacity development.

Recently a series of evaluation capacity development activities took place in Nepal including establishment and operationalization of Evaluation Resource Centre with focus on gender and equity aspects, preparation of Code of Conduct for evaluators, research on an assessment of effectiveness of “equity based” evaluation methodologies and tools to measure impacts on gender equality and empowerment of women and provide recommendations, review of the M&E Bill, preparation of comprehensive national evaluation plan (2016-2020), workshop on evaluating SDGs in equity and gender lens, hold National Evaluation Networking Meeting. Nepal has been recognized as a spotlight country under the EVALSDGs initiative. It would be interesting to have in-depth study of the country.

4.5.3 *Philippines*

To ensure that development results are achieved for the Filipino people, the government has, over the decade, implemented reform initiatives in all stages of the planning, budgeting, and implementation and monitoring and evaluation processes. In 2015, Philippines adopted the National Evaluation Policy Framework being the first country with NEP in East Asia. Government thus consciously adopted Managing for Development Results (MfDR) as a management strategy to improve the effectiveness of public sector management. Modest growth and fiscal deficits have affected the government’s ability to allocate resources for the basic services needed to achieve the Sustainable Development Goals. The slow decline in the poverty incidence and high inequality provided a push for public sector reforms toward more efficient use of resources for service delivery.

Philippines has a well-established Results-Based Performance Management System (RBPMS), which focuses on the results of public spending to ensure transparency and accountability in the use of public resources and enhance delivery of results in the pursuit of fulfilling the commitments made by the government to achieve the Sustainable Development Goals of the United Nations. RPBMS in Philippines incorporates results in all the five stages of public sector management from planning, budgeting, and implementation to monitoring and evaluation with focus on the overall achievement of the goal of inclusive growth and poverty reduction. It is observed that the country has taken substantial initiatives in the process of developing evaluation culture in the country.

4.5.4 *Bangladesh*

As stated above Bangladesh has been taken up as a bench mark for comparison as in spite of its efforts towards developing an evaluation culture, in practice not much is happening. The country has two VOPEs namely the Bangladesh Evaluation Society and Community of Evaluators – Bangladesh (CoE-Bangladesh). Both VOPEs are members of the sub-regional VOPE- Community of Evaluators – South Asia. Bangladesh does not have any legal framework for evaluation such as a policy, law or provisions in the constitution. Bangladesh Evaluation Society initiated advocacy and lobbying with various stakeholders including IMED, PMO, CoE-Bangladesh and multiple donors to support initiative for formulating National Evaluation Policy for Bangladesh. Implementation Monitoring and Evaluation Division (IMED) under the Ministry of Planning is the designated public institution for evaluation. IMED has introduced monitoring guidelines but mainly for procurement. The 7th Plan emphasizes the need for adopting an effective results-based Monitoring & Evaluation (M&E) strategy which can help monitor the implementation of the plan and associated programmes. In this regard, the 7th Plan will build on the M&E results framework introduced during the 6th Plan and adopt much coherent and well-crafted development results framework with measurable indicators. Both core macro and sectoral quantitative results will be monitored to measure the effective implementation of the 7th Plan. A total of 88 indicators, shaped by intensive consultations with all the concerned, comprised the DRF to monitor implementation of the Plan. Thus, taking this country for the study may provide comparable results.

Table 4.3: List of interviews

#	Name	Designation	Organization	Type of interview	Date interviewed	Remarks
	Sri Lanka					
1	Mr. Velayuthan Sivagnanasothy	Former Secretary	Ministry of Economic Development	Key informant interview	18 September 2018, 3 March 2019, 25 December 2020	A founder of Sri Lanka Evaluation Association and former Director General of DFABM
2	Dr. Soma de Silva	Former President	Sri Lanka Evaluation Association	Key informant interview	13 September 2018, 12 June 2019	Former Regional Evaluation Advisor – UNICEF South Asia, Former President – International Organization for Cooperation in Evaluation
3	Ms. Ayanthi de Silva	Director General	Department of Project Management and Monitoring	Key informant interview	23 October 2019, 13 March 2020	A member of Sri Lanka Evaluation Association
4	Mr. Kabir Hashim	Member of Parliament	Parliament of Sri Lanka	Key informant interview	20 February 2020	Chair, Global Parliamentarians Forum for Evaluation
5	Ms. Vaidehi Anushyanthan	Former Deputy Director	Department of Project Management and Monitoring	Focus Group Discussion	13 March 2020	A member of Sri Lanka Evaluation Association
6	Prof. Kumudu Wijewardene	Senior Professor	Department of Community Medicine, Faculty of Medical Sciences, University of Sri Jayewardenepura	Focus Group Discussion	13 March 2020	A founder of Sri Lanka Evaluation Association and a founder of the Post Graduate Diploma in M&E
7	Dr. Chamara Senarathne	Coordinator	Post Graduate Diploma in M&E, University of Sri Jayewardenepura	Focus Group Discussion	13 March 2020	Head - Department of Community Medicine, Faculty of Medical Sciences, University of Sri Jayewardenepura
8	Ms. Mallika Samaranayake	Former President	Sri Lanka Evaluation Association	Focus Group Discussion	13 March 2020	Founder President – Community of Evaluators, South Asia
9	Mr. Ananda Kumarasiri	Chair	Sri Lanka Parliamentarians Forum for Evaluation	Focus Group Discussion	3 November 2019	Deputy Speaker, Parliament of Sri Lanka
10	Mr. Mylvaganam Thilakarajah	Treasurer	Sri Lanka Parliamentarians Forum for Evaluation	Focus Group Discussion	3 November 2019	Member of Parliament, Sri Lanka
11	Mr. Mayantha Dissanayake	Secretary	Sri Lanka Parliamentarians Forum for Evaluation	Focus Group Discussion	3 November 2019	Member of Parliament, Sri Lanka
12	Mr. Samantha Pathirathne	Chairman	PASSasia consultants	Focus Group Discussion	4 November 2019	A consultancy company undertaking evaluations

13	Mr. Randika de Mel	Young and Emerging Evaluator	Sri Lanka	Focus Group Discussion	4 November 2019	Focal point for YEEs at the Board of Sri Lanka Evaluation Association
	Nepal					
14	Dr. Thakur Bhatta	President	Community of Evaluators - Nepal	Key informant interview	18 April 2020, 25 December 2020	NA
15	Mr. Kishor Joshi	Joint Secretary	Research and Evaluation Division, National Planning Commission, Nepal	Key informant interview	10 September 2020	NA
16	Mr. Ananda Pokharel	Chair	National Parliamentarians Forum for Development Evaluation Policy Nepal	Key informant interview	8 September 2020	Former member of Parliament, Nepal
17	Dr. Gana Pati Ojha	Former President	Community of Evaluators - Nepal	Focus Group Discussion	21 April 2020	Former Chairman, Community of Evaluators – South Asia
18	Dr. Ram Chandra Khanal	Former President	Community of Evaluators - Nepal	Focus Group Discussion	21 April 2020	NA
19	Dr. Ramesh Thuladhar	Former President	Community of Evaluators - Nepal	Focus Group Discussion	24 April 2020	NA
20	Ms. Kanchan Lama	Board Member	Community of Evaluators - Nepal	Focus Group Discussion	24 April 2020	NA
21	Mr. Subarna Lal Shrestha	Former President	Nepal Evaluation Society	Focus Group Discussion	12 April 2020	Former Board member of Asia Pacific Evaluation Association
22	Dr. Bhuwan Bhattacharya	President	Nepal Evaluation Society	Focus Group Discussion	12 April 2020	Board member of Asia Pacific Evaluation Association
23	Mr. Sherdan Rai	Member	National Parliamentarians Forum for Development Evaluation Policy Nepal	Focus Group Discussion	12 April 2020	Former Chair – Good Governance Committee, Parliament of Nepal
24	Ms. Sushila Nepali Chatterji	Board Member	Community of Evaluators - Nepal	Focus Group Discussion	12 April 2020	NA
25	Gokul Khadka	Programme Director	National Planning Commission, Nepal	Focus Group Discussion	20 April 2020	NA
26	Dr. Teertha Dhakal	Former Joint Secretary	National Planning Commission of Nepal	Focus Group Discussion	20 April 2020	NA

27	Mr. Udaya Nepali	Member of Parliament	Parliament of Nepal	Focus Group Discussion	20 April 2020	NA
	Philippines					
28	Prof. Romeo Santos	President	PHILDEV	Key informant interview	24 February 2019, 16 May 2020	Former President – Asia Pacific Evaluation Association, Chairman – Workland M&E consultants
29	Ms. Violetta Corpus	Director	National Economic Development Agency, Philippines	Key informant interview	17 September 2020	M&E Network leader
30	Ms. Ana Erika Lareza	Board Member	PHILDEV	Key informant interview	24 February 2019, 16 May 2020	Co-leader of EvalYouth Asia, Secretariat for Asia Pacific Evaluation Association
31	Mr. Merwin Salazar	Executive Director	Senate of Philippines	Key informant interview	18 September 2020	Board Member, PHILDEV/ Treasurer, Asia Pacific Evaluation Association
32	Mr. Rolando Thungplan	Deputy Director General	National Economic Development Agency, Philippines	Focus Group Discussion	16 May 2020	Head of M&E Network
33	Roderick M. Planta		National Economic Development Agency, Philippines	Focus Group Discussion	16 May 2020	NA
34	Aleli Funtanilla Lopez-Dee		National Economic Development Agency, Philippines	Focus Group Discussion	16 May 2020	M&E Network
35	Wilfredo M. De Perio		National Economic Development Agency, Philippines	Focus Group Discussion	16 May 2020	M&E Network
36	Romulo E. M. Miral	Director General	Congressional Policy and Budget Research Department, House of Representatives	Focus Group Discussion	16 May 2020	NA
37	Maui Ermitano	Process engineer	Global Water Engineering	Focus Group Discussion	21 October 2020	NA
38	Ana Luzzette Lareza	Board Member	PHILDEV	Focus Group Discussion	21 October 2020	NA
39	Ricky Lozari	President	Pilipinas Monitoring and Evaluation Society	Focus Group Discussion	21 October 2020	NA

40	Kyle Dela Cruz	Training Assistant	Ateneo School of Government	Focus Group Discussion	05 December 2020	NA
41	Anonymous	Manager	Financial Ops, Pay Maya	Focus Group Discussion	15 November 2020	Reluctant to mention the name in the documents
	Bangladesh					
42	Mr. Bhabatosh Nath	President	Community of Evaluators - Bangladesh	Key informant interview	22 December 2020	Board Member, Community of Evaluators – South Asia
43	Mr. M.A. Mannan	Minister	Ministry of Planning	Key informant interview	12 December 2020	A founder of the Parliamentarians Forum for Development Evaluation South Asia
44	Mr. Mohammed Shamimul Haque	Deputy Director	Implementation Monitoring and Evaluation Division	Key informant interview	12 December 2020	NA
45	Dr. Mohammed Nuruzzaman	President	Bangladesh Evaluation Society	Key informant interview	29 December 2020	Head of Capacity Building Division, National Planning Commission of Bangladesh
46	Mr. Kairul Islam	Board member	Community of Evaluators - Bangladesh	Focus Group Discussion	22 December 2020	NA
47	Kamrul Ahsan	Board Member	Community of Evaluators - Bangladesh	Focus Group Discussion	22 December 2020	NA
48	Fatema Rahman	Secretary	Bangladesh Evaluation Society	Focus Group Discussion	22 December 2020	NA
49	Rafiqul Islam	Board Member	Bangladesh Evaluation Society	Focus Group Discussion	22 December 2020	NA
50	Mr. Abul Khair Mohammed Bahauddin	Member of Parliament	Parliament of Bangladesh	Focus Group Discussion	29 December 2020	NA
51	Ms. Nurun Nahar	Deputy Chief/Senior Assistant Chief	Programming Division, Planning Commission, Government of Bangladesh	Focus Group Discussion	20 December 2020	NA
52	Mr. Mohd. Monirul Islam	Deputy Chief	Bangladesh Planning Commission	Focus Group Discussion	20 December 2020	NA
53	Mr. Nizar Ahmed Khan	Monitoring and Evaluation Consultant	SMECI Project	Focus Group Discussion	20 December 2020	NA

Chapter 5

Case Studies

5.1 Case Study - Sri Lanka



Image 5.1.1: Map of Sri Lanka
Source: Geology.com

5.1.1 General Country Overview

Sri Lanka has demonstrated an on-going commitment to evaluation through its multi-faceted efforts. The year 2003 and 2015 were turning point for the Sri Lankan evaluation community. Sri Lanka drafted the National Evaluation Policy in 2003 with the request of the then Secretary to the Ministry of Plan Implementation who was the chief guest at the SLEvA conference 2003. This provided the evaluation association to work with the government in promotion of evaluation.

A number of global and regional events in 2015, such as, International Year of Evaluation 2015 and the EvalPartners' Peer to Peer programme and the SLEvA International Conference, revived the NEP process in Sri Lanka. Evaluation in Sri Lanka both inspired and benefitted from the EvalYear 2015. There was an increase in attention to the national Monitoring (cf. Makadzange, 2020) and Evaluation (M&E) agenda, with the focus on evaluation from parliamentarians and key government stakeholders (Trikawalagoda, 2018). EvalYear 2015 coincided with the launch of the 2030 Agenda and resulted in the EvalAgenda2020 that notes the formation of the Global Parliamentarians Forum for Evaluation and the leadership of Sri Lanka in this regard.

Sri Lanka is an island in the Indian Ocean with population of 21.7 million (DCS, 2021). It was colonized by Portuguese, Dutch and British for over 450 years and finally got independence from British in 1948. In 1972 the country became a republic through a new constitution which made provisions to have own executive. Until 1972 since the independence, a governor appointed by the Queen of the United Kingdom was the head of the state and the (symbolic) executive. Sri Lanka followed British parliamentary democracy since the independence until 1978, when the Executive Presidency was introduced to the country by a new constitution.

Sri Lanka is a lower middle-income country with per capita Gross Domestic Product in 2018 of \$4,102.48. Since 2009, the economy has grown on average at a rate of 5.8% a year. It has a population of 21.2 million. The economy is transitioning from a predominantly rural-based economy to a more urbanized economy oriented around manufacturing and services. Sri Lanka is rated "high" on the Human Development Index, 2018 occupying the 76th place out of 189 countries. The country has made significant progress in reducing poverty over the past few years. The Poverty Head Count Ratio at the national level has declined from 22.7% in 2002 to 4.1% in 2016 (World Bank, 2021a; DCS, 2016; UNDP, 2016).

The Sri Lanka Vision 2025 which was adopted in September 2017, provides the strategic directions for Sri Lanka's future with a view to strengthening democracy and reconciliation, inclusive and equitable growth and ensuring good governance. The document recognizes the need for improved monitoring and coordination to ensure effective implementation of the policies and projects. It emphasizes the need to strengthen the framework and capacity for monitoring and evaluation. (Government of Sri Lanka, 2017a) The vision has been modified now as Vistas of Prosperity with more emphasis on economic growth in the country in next

decade. Public sector-wide digitalization is envisaged to support coordination and monitoring with the aim of achieving more efficient and transparent governance (Abeysekara 2013). The document explains policies for ten major areas of development. This provides a strategic basis for both the implementation and follow-up and review of the SDGs in Sri Lanka (Government of Sri Lanka, 2019).

Governance system in the country

The President is the head of state and the head of government and is elected by the people for a term of five years (Article 30 (2) the Constitution - The President of the Republic shall be elected by the People, and shall hold office for a term of five years) (Government of Sri Lanka, 1978). The executive power of the state is vested with the President. The Prime Minister and the Cabinet of Ministers have charge of ministries, covering key aspects of governance.

The legislative powers are exercised by the Parliament, which consists of 225 elected members which has the power to pass laws, approve national budget and ensure governance. Administratively, Sri Lanka is divided into nine provinces. The provincial councils were introduced in the 13th amendment which are elected by people are the governing bodies at provincial levels. Local authorities including municipalities, urban councils and “*Pradeshiya Sabha*” are responsible for administering the urban and rural areas. Local authorities are elected every five years by local government elections. The provinces are sub-divided into 25 districts with a District Secretary appointed by the central government. The District Secretariat is responsible for implementing and monitoring development projects at the district level. The next administrative level is Divisional Secretariat where districts are divided in to certain number of divisions. The lowest level is *Grama Niladhari* Division at village level. At the local level, there is a dual system. The Divisional Secretariat sits under the Central Government as a form of decentralization. The Local Government comprises a democratic structure of Municipal Councils, Urban Councils and *Pradeshiya Sabhas* which are under supervision of the Department of Local Government. The figure 5.1.2 shows the political system of the country and hierarchy in governance.

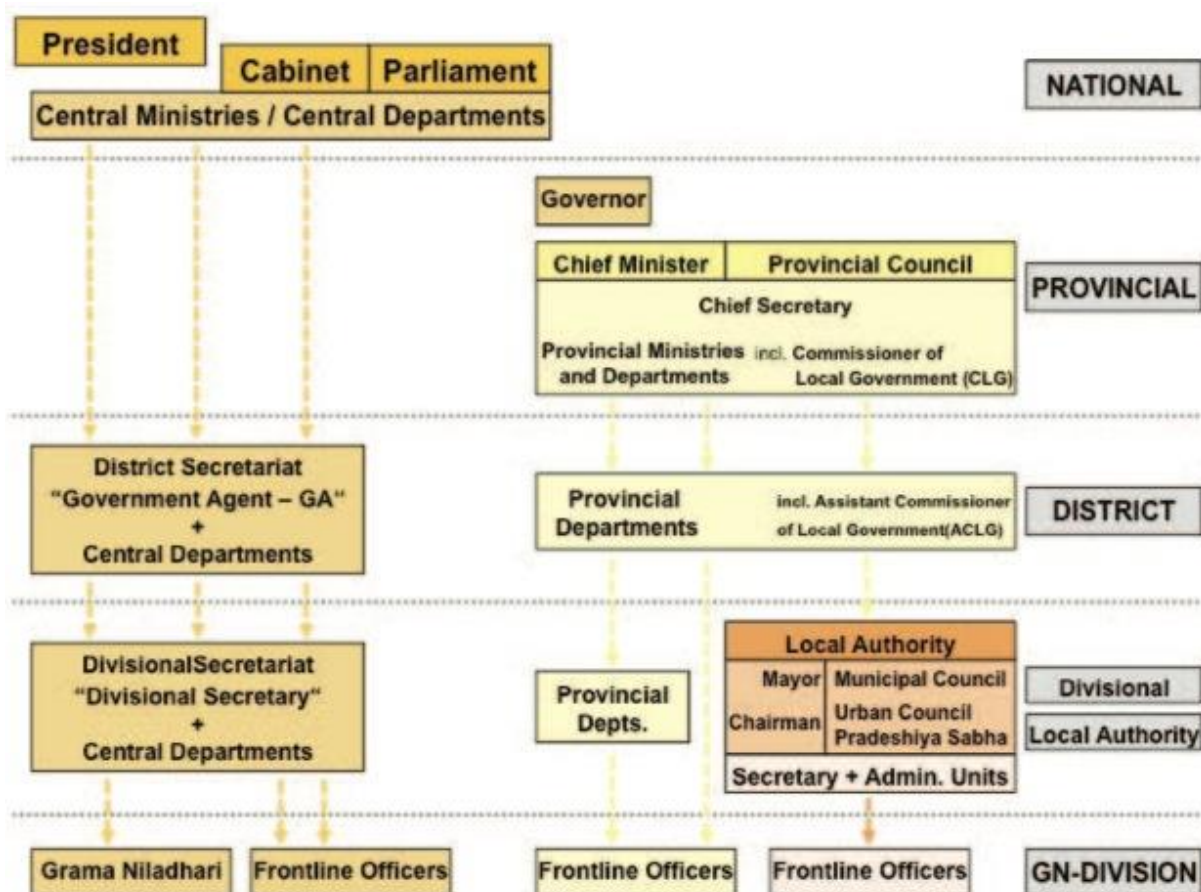


Figure 5.1.1. Political system of Sri Lanka. Source: *Governing system in Sri Lanka at local level image - Bing images at < <http://methodfinder.net/files/images/92figure6.jpg>>*

In addition, each district has a District Coordinating Committee (DCC) which is chaired by the District Secretary and one of the Members of Parliament (from the governing party nominated by the government as Chair). Therefore the leadership consists of the highest ranking public official and a politician. The DCC includes heads or representatives of all public institutions of the district. The role of the DCC is to review the progress of development interventions, decide priorities, assess issues/ challenges and also allocate resources. At the Divisional Secretariat levels, Divisional Coordinating Committees are in place with similar structure and same mandate relevant to the division. Therefore DCCs are an important mechanism in terms of the monitoring and evaluation.

5.1.2 Institutional Structures and Processes

5.1.2.1 Evaluation Regulations

Going back to the past, the main rise of evaluation activity in Sri Lanka began in the 1970s. Efforts to improve plan and project implementation have been a feature of development efforts since early 1970s. One special feature in Sri Lanka was the establishment of a separate Ministry of Plan Implementation (MPI) charged to serve as a National Focal Point for Monitoring and Evaluation of all government development projects and programmes to ensure achievement of results and development effectiveness.

In the 1990s, the United Nations and other development partners such as the Government of Sweden started to intensify the focus on M&E (Sida, 2012) and provide support to government initiatives which emphasized results focused monitoring and the demand for evidence-based decision-making. Technical support was provided by the Asian Development Bank (ADB) to strengthen the Post Evaluation System in the Ministry of Plan Implementation. As a result, a number of post-evaluation of projects and programmes were conducted by the MPI. The beginnings of professional evaluation emerged in the late 1990s.

Evaluation is not specifically included in the Constitution of Sri Lanka and there is no specific law on evaluation passed by the parliament. However the Parliament of Sri Lanka through the Parliament Select Committee on Evaluation (PSC) drafted the “National Evaluation of Development Interventions and Public Policies Bill”. This expects to enact the evaluation by bringing the National Evaluation Bill. PSC drafted and finalized the bill through a series of consultations. The finalized Bill should be submitted to the Cabinet for the approval before sending to the parliament which is yet to happen. (FGD on 3 November 2019). The draft Bill has proposed to establish a National Commission on Evaluation of Development Interventions and Public Policies as a body corporate, by purporting (Parliament of Sri Lanka, 2019).

- to improve the effectiveness and public accountability of the development interventions and public policies;
- to promote a development environment which enhances equity of development results for all people;
- to promote the independence, credibility, and usefulness of the evaluation functions across public authorities;

- to enable public authorities to utilize evaluations to continually improve the relevance, performance, impact, sustainability and value for money of the development interventions;
- to ensure that credible and objective evidence from evaluations is used in planning, budgeting, organizational improvement, policy implementation, and programme and project management; and
- to enhance evidence-informed decision-making through robust, credible and independent evaluation

The draft Bill also proposes a three-year Rolling Evaluation Plan. Here, the recommendation is that the development interventions and public policies to be evaluated. Accordingly, every public authority is responsible to:

- prepare Three-Year Rolling Evaluation Plans to evaluate the development interventions and public policies;
- take necessary steps to conduct evaluations specified in such evaluation plans.
- be accountable for preparing Management Responses to recommendations emanating from evaluations;
- use findings and recommendations of each evaluation to prepare an Improvement Plan and implement it; and
- communicate and cause to discuss evaluations to promote their utilization.

Moreover, Sri Lanka National Evaluation Policy was endorsed by the government on 26 June 2018 and Sri Lanka is the only country in South Asia having an endorsed NEP. This is a result of the draft NEP prepared in 2003 and an Adjournment Motion put forward in the parliament in August 2016 which proposed the formation of a National Evaluation Policy and system (Image 5.1.2). This was a historic moment for the Sri Lankan parliament which was quickly followed by a second Adjournment Motion in October 2016 (Trikawalagoda, 2018).

1. Sustainable implementation of policies, programmes and projects;
2. Efficient utilization of resources;
3. Evidence based decision making by incorporating lessons learnt

(Government of Sri Lanka, 2018).

In implementing the National Evaluation Policy, two main institutional arrangements and responsibilities have been indicated. Among them, the Department of Project Management and Monitoring is the national focal point in implementing National Evaluation Policy. DPMM is the lead organization that ensures that the evaluation function is operationalized by public institutions in line with the National Evaluation Policy. The Cabinet of Ministers when approving the NEP, gave direction to DPMM to develop a National Evaluation Policy Framework which is yet to be finalized and sent for approval by the Cabinet. In addition to that, line ministries, provincial councils and local authorities are considered as part of National Evaluation Policy implementation as stipulated in the policy. Their role is to ensure the relevant initiatives are evaluated and findings are used accordingly (KII on 23 October 2019 and 13 March 2020).

In Sri Lanka there are no sectoral laws or regulations in evaluation. However there are sector specific guidelines in some sectors such as HIV/AIDS, health but mainly focusing on reporting and monitoring. For example, National STD/AIDS Programme has National HIV Monitoring and Evaluation Plan 2017-2022² which is a comprehensive document with indicators, monitoring activities, planned evaluations, and relevant formats. Every five years period, National STD/AIDS Control Programme prepares the strategic plan together with the M&E plan, therefore a new plan emerges periodically. Similarly, National Dengue Control Programme Action Plan includes a Monitoring and Evaluation Framework.³

5.1.2.2 Parliament and National Audit Structure

² National HIV Monitoring and Evaluation Plan, Available at https://www.aidscontrol.gov.lk/images/pdfs/publications/programme_plans/National-HIV-ME-Plan-2017-22-Online_version.pdf visited on 24th July 2021.

³ National Dengue Control Programme Action Plan, Available at http://dengue.health.gov.lk/web/phocadownload/national_action_plan_book_final.pdf visited on 24th July 2021.

Sri Lanka Parliament had several progressive steps in relation to evaluation although a long way to go in-terms of demand and use of evaluation for evidence-based policy making by the Parliament. As mentioned above, two Adjournment Motions submitted to the parliament regarding evaluation were historical and shows the commitment of the Parliament towards evaluation.

In 2019 the parliament appointed a Parliament Select Committee on Evaluation. Sri Lanka is the first country to establish such a Committee and it includes members from all parties represented in the parliament. The purpose of the Committee includes: (Parliament of Sri Lanka, 2020),

(a) formulation of national policies and legislating laws in consultation with relevant line Ministries and agencies;

(b) guiding and coordinating the implementing institutions and agencies at national, provincial and local levels;

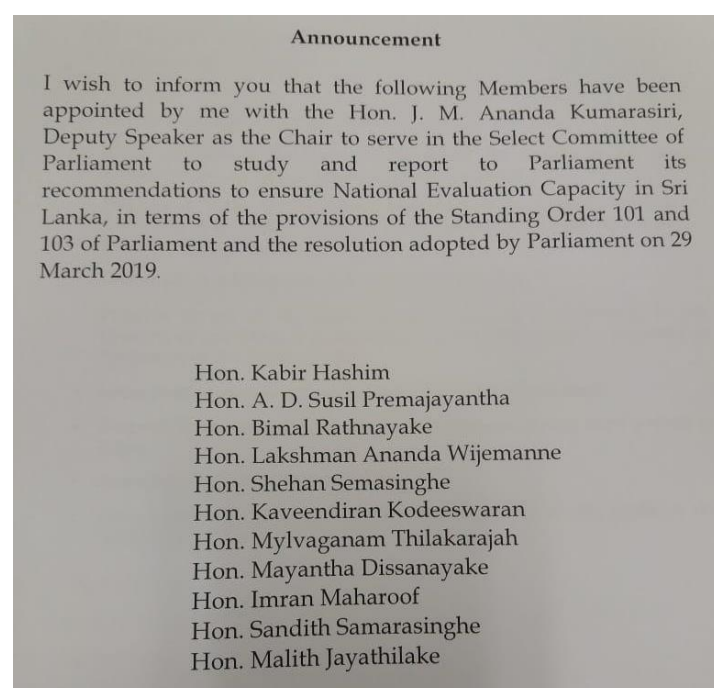


Image 5.1.3: Members of the PSC appointed by the Speaker of the Sri Lanka Parliament

(c) promoting the values of good governance and informed decision making through evaluations, while preventing corruption, mismanagement, and wasting;

(d) examining outputs and outcomes of the existing oversight mechanism of the Parliament, mainly the functions of the Committee on Public Accounts (COPA) and the Committee on Public Enterprises (COPE), through the lenses of evaluation;

(e) extending the functions of the Parliament Research Unit (PRU) to

‘Parliament Research and Evaluation Unit’ to facilitate the legislative and oversight functions of the Parliament.

In addition to drafting the “National Evaluation of Development Interventions and Public Policies Bill”, the PSC in partnership with development organizations, rolled out a capacity

building training for PRU staff. The PSC issued its interim report on 20th February 2020 (Parliament of Sri Lanka, 2020). The parliament was dissolved in March 2020 for elections and after the elections in August 2020, the PSC has not been activated. Technically a Select Committee has to be re-established by the new parliament. The reason for not reactivation of the PSC was that the key champions who worked hard to establish PSC could not be re-elected in the new parliament. This shows the importance of key champions in relevant positions in institutionalization of evaluation in a country.

In addition to the above there are few other structures in the Parliament which play the oversight role and evaluate the government functions. Parliamentary Committee on Public Enterprises and Committee on Public Accounts have been actively emphasizing the need for timely performance audits and the evaluation of state institutions and development projects over last several years (Sivagnanasothy, 2014). The duty of the Committee on Public Accounts is to examine the accounts showing the appropriation of the sums granted by Parliament to meet the public expenditure and such other accounts laid before Parliament as the Committee may think fit, with the assistance of the Auditor-General (Parliament of Sri Lanka website)⁴. The duty of this Committee is to examine the accounts of the Public Corporations and of any Business Undertaking vested in the Government. These two Committees have the power to summon before them and question any person, call for and examine any paper, book, record or other documents and to have access to stores and property (Parliament of Sri Lanka website)⁵. However, they mainly focus on monetary aspects rather than results. In spite of these efforts, Parliament has not given evaluation a place which can be stated as an independent discipline in itself. Parliament also does not commission or demand evaluations nor provides for any specific budget for it. (FGD on 3 November 2019).

Also the Sri Lanka Parliamentarians Forum for Evaluation, an informal network of parliamentarians was formed in 2016 by like-minded parliamentarians. It played a strong role within the parliament to establish the PSC and other initiatives in the parliament. However the Parliament does not have an Evaluation Unit or it does not commission/ conduct evaluations.

⁴ Committee on Public Accounts-The Parliament/Sri Lanka, available at, <https://www.parliament.lk/component/committees/committee/showCommittee?id=210&lang=en> visited on 2th July 2021.

⁵ Committee on Public Enterprises-The Parliament/Sri Lanka, available at, <https://www.parliament.lk/component/committees/committee/showCommittee?id=%209&lang=en> visited on 2th July 2021.

Parliament Research Unit has a role to provide information and briefs to parliamentarians. However the PRU does not have a mandate for evaluation or it does not commission/ conduct evaluations (FGD on 3 November 2019).

Sri Lanka has the National Audit Office established under the Constitution and headed by the Auditor General. The Auditor General's primary responsibility in terms of Article 154(6) of the Constitution is to report his audit findings to Parliament. The reports that are presented to Parliament are based on detailed audit reports submitted to managements of the respective public institutions coming under the purview of Office's audit from time to time as and when important audit findings are made (Auditor General, 2016). The scope of the National Audit Office is defined in the Public Corporations, the Finance Act, No. 38 of 1971 which includes mainly producing financial audit reports. The MfDR introduced in 1990s, initiative is linked and connected to the functions of the office of the Auditor General. MfDR is necessary in order to conduct "Performance Audit" measurements, as well as to audit the national budget with the view to make it a performance-based budget. However still the main focus is financial aspects and evaluations are not happening. Therefore the National Audit Office does not conduct any evaluations nor produce evaluation reports (KII on 18 September 2018).

5.1.2.3 Organizational Structure

One of the key features of the Sri Lankan M&E system has been a strategically placed government body dedicated to conducting M&E within all government-led projects. This process ensures that development projects achieve their intended results and improve their effectiveness. Due to the origins of M&E focus through international development agencies, this function was initially carried out by the Department of Foreign Aid and Budget Monitoring under the Ministry of Plan Implementation from the late 1990s/early 2000s. Since 2011, public sector monitoring and evaluation has clearly been the responsibility of the Department of Project Management and Monitoring as DFABM renamed as DPMM.

The DPMM has a key role in the National Evaluation System with a clear mission statement to: "function as the national focal point for monitoring and evaluation of all development policies, programmes and projects of Government, to ensure results" (Trikawalagoda, 2018).

One of the important features of evaluation system in the country is its virtual repository and data systems. When the M&E portfolio was with the Department of Foreign Aid and Budget Monitoring (till 2011), there was also an initiative to develop an Evaluation Information System (EIS) to ensure “evaluation lessons are, widely disseminated and integrated into the planning, budgeting and policymaking process”. A web-based Project Monitoring System (ePMS) has also been a distinctive component of the Sri Lanka M&E system. Subsequently in 2010 it was decided to combine both EIS and ePMS to one system which is now known as Integrated National Development Information System (INDIS) hosted by the DPMM. It has a wide range of information on progress and results of development projects and useful inbuilt features (e.g. user-defined report generation, alerts). The system includes results monitoring using Logical Framework Analysis (LFA), monitoring compliance of loan covenants, tracking cash flow, captures feedback from beneficiaries and citizens. Improved data systems and evaluation capacity development are needed to build institutional capacity (KII on 3 March 2019)

In late 1990s, the UNDP provided technical support in a large way to strengthen the Results Based Monitoring and Evaluation System (RBME) in Sri Lanka. This enabled the government officials at the national and sub-national level to understand and recognize the importance of focusing on results. The DFABM pioneered the introduction and institutionalization of Managing for Development Results in Sri Lanka (Sivagnanasothy, 2009). The system introduced the use of a Logical Framework Analysis and an Agency Results Framework as part of a “whole-of-government” approach covering national, sectoral; institutional and project levels. Sector performance targets and sector indicators form an important part of the country’s national development framework. Development partners also supported flow of information from line ministries and projects to the MPI/DFABM and strengthening of electronic information management system in the Ministry of Plan Implementation. From 2010 onwards, the MfDR was linked with the annual budget process in an attempt to strengthen results-based budgeting and the connection of resources to results. Currently, MfDR is hosted by the DPMM and is operational in 35-line Ministries. This system has paved way for establishing a base for conducting evaluations systematically (Trikawalagoda, 2018). Experts were of the view that evaluation system can be regularized when MfDR is fully operational in line ministries and is used for evaluation purposes (KIIs on 13 March and 25 December 2020). It can be seen here that to streamline evaluation system the country local base is being widened which would also increase the demand for evaluations in the long run. Stakeholders (FGD on 13 March 2020)

felt concerned about the quality and consistency of field data which then affects the ability and quality of evaluations (Stockmann, 2008, p.9). In order to address these concerns, the Sri Lankan government has been focusing on strengthening e-government systems with integrated data gathering capability.

One of the challenges at ministries and departments is that there are no M&E units within them. Only few ministries have M&E units established. Ministry of Agriculture is an example where there is an M&E unit headed by a Deputy Director with five staff members. DPMM has cadre inside the department but no cadre placed in ministries and departments. However each ministry, department, province and district has planning units which are coming under the Department of Planning. Officials under planning units are given the M&E tasks also in ministries, departments, provinces and districts. However supervision of planning units is under the Department of Planning, not DPMM. Therefore DPMM does not have directive or supervisory role related to planning units which are handling M&E functions at the ministries and decentralized level. This is a hindrance for the management of the M&E function at the public institutions. Planning units are generally handling monitoring activities and evaluations are rarely handled by them (KII and FGD on 13 March 2020).

5.1.2.4 Evaluation Practice and Use

Demand for evaluation in Sri Lanka across national and local government, society, and private sector is still emerging. Systematically conducting evaluations of the public programmes was first initiated by DFABM/ MPI in 1994 with support from ADB. Evaluations of public programmes were directly conducted by DFABM/ MPI and the evaluation reports were posted on EIS. These evaluations were planned, conducted and disseminated by the government of Sri Lanka (DFABM/MPI). Therefore, they were country-led evaluations and that was the start of country-led evaluations in Sri Lanka. Majority of evaluations were rigorous evaluations rather than rapid evaluations. This system was successfully functioning from 1994 to around 2010 where about 50 evaluations were conducted by DFABM/MPI and reports were posted on EIS. The budget for the evaluation was also come from the funds allocated to DFABM. In addition to the evaluations conducted by DFABM/ MPI, relevant line ministries, government projects and research institutions such as Hector Kobbekaduwa Agrarian Research and Training Institute (HARTI), also conducted evaluations and uploaded reports on EIS. Policy evaluations were mainly undertaken by Institute of Policy Studies (IPS) which is a private sector entity

specialized in policy studies. As the evaluations were government led and useful for the donors also, donors used to access relevant evaluation reports from EIS than duplicating the same evaluation exercises again. However conducting country-led evaluations in this way was changed after 2010 as the MPI was abolished and DFABM came under the Ministry of Finance. In 2010 with merge of EIS and ePMS to INDIS, the main purpose of EIS was not served. More particularly, reports of any evaluations conducted were not systematically uploaded to the system and use of them was not highlighted. At the time of shifting to INDIS, there were about 50 evaluation reports uploaded in EIS (KII on 13 and 18 September 2018).

Sri Lanka already has important elements of a National Evaluation System in place and interest in evaluation is growing (Sivagnanasothy, 2014). A strong National Evaluation System requires engagement of public sector, civil society and the private sector. However after the DFABM period, there is no systematic system of conducting evaluations of all the projects and programmes (KII on 18 September 2018).

As per the current evaluation practice in Sri Lanka the Department of Project Management and Monitoring is mandated to undertake ongoing, ex-post and impact evaluations of selected mega projects (country-led evaluations) (Sivagnanasothy, 2011). Evaluations of development programmes are supposed to be conducted by line ministries, DPMM and development partners. However, in reality DPMM is doing more monitoring than evaluations. During the year of 2017, DPMM gathered data for monitoring 1,404 on-going development initiatives (879 projects and 525 annual programmes) implemented by 48-line ministries. DPMM recently initiated the establishment of monitoring cells in key line ministries. This forms a foundation and potential mechanism for a robust government-wide evaluation system in future (Trikawalagoda, 2018). This shows that the current system is more focused on monitoring and less on evaluation.

As in-depth evaluations are costly, it is not uncommon that the government agencies undertake project reviews which are less costly and less time consuming as a substitute arrangement for evaluation. Currently there are about ten evaluations conducted in total by DPMM and line ministries per year excluding project reviews. Project reviews are conducted for more than 90% of projects whether funded from the national budget or donors but not all documented or reported properly. The budget for the evaluation and project reviews comes from the line ministry or the particular project. Several Parliamentarians and officials interviewed, were of

the view that had there been a more systematic approach to evaluation of mega projects, a number of mistakes in the development field could have been prevented and billions of rupees could have been saved.

One major challenge for conducting evaluations is that non-existent of allocated budget for evaluations. “It is the irony that while evaluation is being regulated, there are yet no budgetary provisions for conducting evaluations. It is expected that with the approval of the policy and subsequent policy framework, the allocations for evaluation will be channelled through the state budget in coming years” (Trikawalagoda, 2018). However as the framework is yet to come, there is no sign of budget allocations for evaluations so far at the public sector from the national budget.

Approximately 30% of the capital budget in Sri Lanka is foreign funded. Donor driven evaluations are conducted for such projects and programmes based on the donor requirements stipulated in loan covenants. There are no specific sectors clearly identified where evaluations are conducted, but evaluations are conducted for programmes/ projects if funding is available and if it is a requirement such as from the donor side. Due to this reason, evaluations are conducted in several sectors mainly focusing on mega projects and donor funded projects. There is no integrated approach and evaluations conducted tend to be sporadic, scattered and not all follow up-to-date evaluation approaches. Given the absence of implementation of the national standards or guidelines for evaluation, the OECD/DAC criteria and standards are applied; multiple data collection methods are applied for triangulation and validation. Peer reviews and reference groups are encouraged within and outside the government. It has been found that it is the case during DFABM, currently these are not put fully into practice and generally remain on paper. The majority of the public sector officials interviewed both at national and sub-national levels were aware of the need for outcome/ impact evaluation (KIIs on 18 September, 23 October 2018, 13 March 2020). In spite of the awareness about outcome and evaluations progress reviews at present are being conducted periodically at national and subnational (Provincial and District/Divisional Coordinating Committee levels to follow-up mainly physical and financial progress. The focus group discussions conducted on 3 and 4 November 2019 with stakeholders revealed that at the subnational level, evaluations (which mainly called assessment or reviews), are patchy, and quite often are undertaken to assess effectiveness of a local project without necessarily understanding an “evaluative” connotation of such an activity. FGD participants were of the view that there is considerable potential to

improve evaluation capacity to include participatory and rapid evaluation methods to take decisions and corrective action faster and more effectively (KIIs on 12 June 2019, 13 March 2020).

Internal vs external

In Sri Lanka, evaluations are undertaken by the line ministries, central agencies and development partners and are conducted by independent evaluation professionals in partnership with government officials who are independent from the planning, designing, implementing, managing and monitoring of the evaluated public policy or programme (i.e. DPMM staff). The evaluation team should include evaluation experts and sector specialists. In selecting the evaluators, the competencies, skills (e.g. analytical and methodological skills, writing and communication skills, management skills) expertise, ethics (e.g. maintaining participants' privacy and confidentiality; sensitivities to gender, beliefs, manners and customs) and independence are given consideration (Sivgnanasothy, 2014).

Evaluations are generally ad hoc evaluation in the country; are donor driven and external. External evaluations under contract are conducted through foreign donor projects and programmes. International consultants are mostly individuals than companies due to the heavy cost of international consultancy companies. Specialized evaluations are mostly outsourced to independent academic or research institutions nationally or international experts are hired. For example the policy evaluations are conducted by IPS as they are specialized for that. The terms of reference for evaluations are not standardized and do not specifically link ethnical or cultural awareness issues explicitly, for instance in case of peace-building and reconciliation programmes (KII on 3 March 2019).

Use of evaluations

As elsewhere in the world the use of evaluation is very limited in Sri Lanka too. When the EIS was functioning and rigorous country-led evaluations were conducted, use of evaluations was ensured to some extent. All the major evaluations conducted by DFABM/ MPI were posted on the system and anyone at the public sector had access to it. Once the evaluation is completed, a presentation to the concerned parties and the donor was made. This way the evaluation results were shared in addition to dissemination through the EIS. Each evaluation report accompanied a synthesis/ synopsis of findings and recommendations. This was a major plus point to ensure

the use of evaluations. Key decision makers such as ministers used the evaluation findings and they were used for project planning also. However, after the EIS was merged and the change to the MPI, the practice on use of evaluations was gradually changed.

Approximately two-thirds of study respondents were of the view that currently use of evaluation is limited or not evident at all, despite most agreeing that evaluation had the potential to improve planning, implementation and development results. (FGDs on 3 and 4 November 2019) Some of the main factors identified as affecting use of evaluations negatively were low number of evaluations conducted; lack of implementation of NEP that makes evaluations mandatory, lack of evaluation capacity resulting in low quality of evaluations, lack of understanding about differentiation between monitoring and evaluation, lack of management response to evaluations; limited dissemination of evaluation findings, socio-political compulsions as well as resistance to donor-driven or independent evaluations (KII on 3 March 2019).

Overall, there is agreement that there is a need for systematic mechanisms to make sure evaluation findings feed back into policy and programme cycles. In addition, there was demand to improve data quality and quantity so that evaluations can access valid data for evaluations that would be of greatest use to decision-makers. It was expected that the Cabinet approval of the NEP enables a more systematic process where findings from evaluations can be used for evidence-based decision-making by implementing agencies, National Planning Department and Department of National Budget and other relevant parties. A comprehensive integrated national evaluation system will complement the Follow Up and Review process. However after approval of the NEP, the use of evaluations has not increased, obviously that is true for conducting evaluations too.

The evaluation reports generated through government ministries and development partners usually target users who are expected to take action upon recommendations. It has been found that due to low dissemination of reports people are not aware of the evaluations and its findings and cannot demand their implementation. Management responses to evaluations are identified at a high-level progress review meetings chaired by a minister. In theory, the evaluation findings and recommendations are reported to the executive branch as part of the Auditor's General annual report, tabled to the Cabinet of Ministers and discussed at the parliament" (Trikawalagoda, 2018). but in practice the response mechanisms are not sufficiently used as a

management tool, but mostly seen as a formal requirement. Few evaluation reports are made public or easily available on government websites (KII on 13 March 2020).

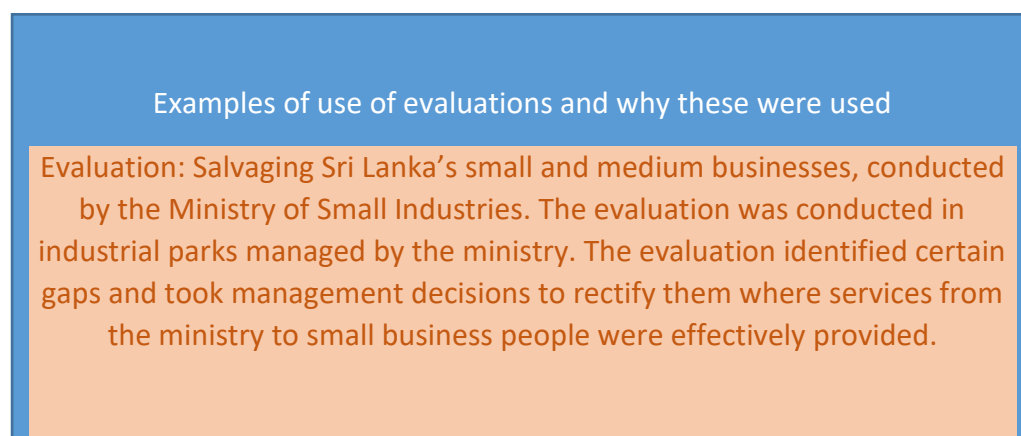


Image 5.1.4: Examples of use of evaluations and why these were used

Source: EvalStories 01, available at
<<https://evaluationstories.wordpress.com/2016/04/10/how-an-evaluation-led-to-rapid-change-salvaging-sri-lankas-small-and-medium-businesses/>>

The Parliament of Sri Lanka and the UGC signed an agreement on 24th Feb 2020 with the University Grants Commission of Sri Lanka (UGC) to establish a partnership with the University system to make high quality research available for legislative purposes which is likely to increase the use of evaluations. This will enable universities to share research and evaluation findings with the parliament for use in making policies and laws. This is a progressive step in terms of use of evidence, however the agreement is yet to be operationalized (FGD on 3 November 2019).

Sri Lanka Parliamentarians Forum for Evaluation initiated officially in September 2016 to advocate for the use of evaluation within parliamentary processes. This helped a lot for SLPFE to advocate for the Parliamentary Select Committee on Evaluation, capacity building at the parliament, National Evaluation Bill and organizing EvalColombo2018. In addition, Sri Lanka Parliamentarians Forum for Evaluation has conducted a set of comprehensive interventions at both national and subnational level, that included awareness-raising and training sessions on SDGs and evaluation for government officials, parliamentarians to improve their capacity to understand and use evaluation (Trikawalagoda, 2018). However, as the Parliament has no M&E unit or officials to support parliamentarians in using the evaluations to better serve their constituencies, use of evaluation by parliamentarians is a challenge. PRU officials do not have much knowledge on evaluations who could read an evaluation report and extract information

that could be productively used by the parliamentarians. These officials work is to provide briefs to parliamentarians on various issues.

5.1.3 Societal Dissemination/Acceptance (Social System)

5.1.3.1 Institutionalized Use of Evaluations by Civil Society

Usually, civil society as such does not participate in the use of evaluations in the country except, they participate in the evaluations as respondents (cf, Stockmann et al., 2020). There are no such studies also which provide any evidence about use of evaluations by society. However, respondents from the government were of the view that evaluation findings help to prioritize expenditure and in policy decisions; it is a useful tool in results-based budgeting. (FGD on 13 March 2020) Other respondents (FGDs on 3 and 4 November 2019) felt that learning from project successes or failures is used when taking decisions for future investments which is generally by government agencies or donors. It helps in prioritizing funding to specific sectors and geographical areas. Development partners are seen to use evaluation findings when formulating new project proposals and for accountability and to fulfil the loan covenants (Friedman & Phillips, 2004). It is anticipated that joint participatory evaluations would create a higher demand with better acceptance and a usage as relevant counterparts will be involved from inception resulting in ownership of the findings.

At the same time as the NES was gaining importance in Sri Lanka, many Non-Governmental Organizations (NGOs) also placed an increasing emphasis on M&E. Within many of the NGOs there are officers tasked with conducting monitoring and evaluation activities (eg. M&E Officers). Nonetheless, the feedback from study respondents was that these organizations tend to focus more on monitoring than evaluation. Furthermore, when evaluations are conducted, they are largely used for the internal purpose of funding agencies rather than to contribute to wider development through an NES. Sometimes civil society organizations and NGOs use evaluation findings to prepare a base for developing any proposal to be submitted to the government for funding, approval etc. There is no data which could provide empirical evidence about use of evaluations by individuals.

It would be good if evaluation findings are made public for better utilization on the part of civil society organizations and networks as lack of adequate ‘dissemination of evaluation’ (Vedung,

2010) results could be one factor of lack of use of the information generated through evaluations. There is also no mechanism that could promote use of evaluations by civil society. It can also be an area for future investigations and studies.

5.1.3.2 Public Perception and Public Discourse

The term evaluation is not widely known by the public. While it is difficult to provide any empirical evidence about the public perception about evaluation as a tool for measuring outcomes and impacts of development interventions, a FGDs held on 3 and 4 November 2019 with various stakeholders including civil society organizations, key informants and experts it was found that not many evaluation reports are made public. As was mentioned earlier that most of the current evaluations in the country are donor driven and therefore reports remain confined to donors only or with the government.

Only a few reports are made public and sometimes certain issues raised and these are discussed in the media. These discussions are only about the findings and not about evaluation or quality of evaluation or professionalization. It may also be mentioned here that several events that take place like webinars, conferences and seminars relating to evaluations at national and international levels are attended by citizens and citizen organizations generating awareness about utility of evaluations. For example, SLEvA conducts webinars since late 2019 to raise awareness on evaluation publicly, more info of which is available in 5.1.4.3.

5.1.3.3 Participation of Civil Society in Evaluations

Citizens, civil society organizations and NGOs participate in evaluations in different ways in certain extent. Citizens and civil society organizations usually participate in evaluations as respondents if they are chosen for interviews or data collection points. This is largely a passive role in evaluations. Although community participation in evaluations is discussed in theory by many organizations, practically happening it in a meaningful way is a question. NGOs might have a dual role as participants in evaluation but also conducting evaluations of the projects they are conducting.

5.1.3.4 Demand for Evaluations by Civil Society Organizations

The civil society and the non-governmental sector are advocates for evaluation but tend to focus more on monitoring than evaluation. The NGOs sector related to evaluation is mainly represented by SLEvA and regional and Sri Lanka Parliamentarian Forum for Evaluation that are growing at national and sub-national levels. These actors are active in capacity development, advocating for evaluation through parliamentarians, promoting evaluation standards and values. At the same time, Sri Lanka has a wider and vibrant history of civil society actors.

There are many national, sub-national and international non-government organizations operating across Sri Lanka, covering diverse portfolios such as emergency relief, community development and empowerment, economic development, microfinance, education and training, gender and development, environmental and cultural protection, poverty alleviation, amongst others. As projects implemented by NGOs are funded by donors, monitoring and evaluation is embedded in the project as a donor requirement. Evaluation of the project is either conducted by the implementing organization or the donor provided funding. When it comes to citizens, they do not have knowledge on evaluation and usually they do not demand evaluations. However, there are specific instances that the general mass demanded assessment of implementation or progress. One example revealed on media publicly is the Uma Oya irrigation project. The government implemented it through a few districts which resulted in huge damage to the environment and houses. The affected people demanded an assessment to understand how the project was designed, how the environment was considered when planning and how the project was implemented by taking these into consideration. (FGD held on 4 November 2019).

There is a need to rope in private sector organizations that will provide boost to evaluation and its used. Private organizations like industries also usually conduct research and findings can also be helpful in the whole process of development.

5.1.4 Professionalization (System of Professionalization)

5.1.4.1 Academic Study Courses and Training Practices

In Sri Lanka there are two main academic courses specifically focusing on monitoring and evaluation: Postgraduate Diploma in Monitoring and Evaluation conducted by the University of Sri Jayewardenepura, Colombo and Diploma in Monitoring & Evaluation conducted by the National Institute of Labour Studies (NILS) jointly in collaboration with Sri Lanka Evaluation

Association. The Postgraduate Diploma in Monitoring and Evaluation conducted by the University of Sri Jayewardenepura is a one-year course started in 2017 through the Faculty of Graduate Studies. The Post Graduate course includes nine modules. Those modules are, (USJP, 2016; Sivagnanasothy, 2020).

1. Introduction to Evaluation
2. Theory of Change and results framework
3. Evaluation Design
4. Evaluation Approaches
5. Qualitative Methods
6. Quantitative Methods
7. Managing Evaluation and Evaluation Standards & Ethics
8. Communication
9. Evaluation Culture and Global Trends

Each module has assignment at the end to be completed by students and final exam at the end of the course. To pass the course the students have to conduct a practicum evaluation and submit a report. The practicum is an opportunity for students to apply theory and an opportunity for the university to see the ability of students to apply the theory. The requirements to follow the course are i) a bachelor degree in any discipline and ii) two years work experience in the social development sector. A total number of 20 students are admitted per year. The course started in 2017 and 58 students have completed their Diploma till Dec 2020 in three batches. The fourth batch is currently in progress and will be completed the course in end 2021 (FGD on 13 March 2020).

Postgraduate Diploma in Monitoring and Evaluation is officially recognized by the University Grants Commission of Sri Lanka, and is one of the first formal evaluation courses in South Asia. Students pay for the course and the course is run with the fee income. The university is also planning to start Master degree course in monitoring and evaluation. The University is also building international ties with other universities to facilitate sharing of experiences and knowledge in evaluation practice.

SLEvA in collaboration with National Institute of Labor Studies started a Diploma course on monitoring and evaluation in 2017. It is also one-year course and successfully completed two batches with 30 students. The course content includes six modules as follows:

1. Role of M&E in development processes
2. Results Based Management (RBM)
3. Results Based Monitoring
4. Evaluation Methods
5. Guiding Principles in M&E
6. Quality Assurance of M&E Processes

However this diploma course lasted after the second batch due to COVID-19 pandemic (KII 12 June 2019).

There are some other university programmes which include monitoring and evaluation in the course. Some of them are: Master of Regional Development and Planning (University of Colombo), Master of Science/Postgraduate Diploma in Project Management (University of Moratuwa), Master of Public Administration (Postgraduate Institute of Management – University of Sri Jayewardenepura), encourage demand and use of evaluations and contribute to enhancing individual capacities. The University of Colombo also conducts a course on project management that includes module on M&E (Sivagnanasothy, 2020).

Centre for Evaluation, University of Sri Jayewardenepura

In January 2017, Director of the Center for Evaluation, University of Saarland visited the University of Sri Jayewardenepura to discuss potential collaboration between two universities. The information about CEval and a potential support for initiating a Master of Evaluation course was discussed in this visit. As a result, the University of Sri Jayewardenepura established “Centre for Evaluation” in the university which is the first professional evaluation institute in South Asia. It also advocated across governments and other partners to develop a strong evaluation culture. The opening ceremony of the aforesaid ‘Centre for Evaluation of University of Sri Jayewardenepura’ was held on 15th of November, 2017. It is managed by an advisory panel and is made a reality with the contribution of the UNICEF initially. The vision of the centre is to promote high quality and ethical professional standards in evaluation through enhanced capacity at all levels. Its mission is to ensure a well-developed evaluation culture through increased demand and use of evaluation. The centre is purported to improve the use of

evaluation to support the government and private organizations to achieve effective goals and in better decision making (USJP, 2017).

The Centre has already developed internationally recognized training products and developed a skilled trainers' pool. One day, three days and five days' training module on evaluation and three days module on managing evaluations are the key training modules developed. Once the training modules were developed, Training of Trainers was conducted. The Centre delivered training on evaluation to the Ministry of Health on request, covering directors and senior officers of the Ministry. However provision of training was not continued after this due to low capacity of the Center.

5.1.4.2 Journals and Communication Platforms

In Sri Lanka there are no academic journals or scientific media on evaluation. According to a Board member, SLEvA used to issue quarterly newsletter but the purpose was to mainly provide updates on ongoing activities to the members. The newsletters included some updates from the global initiatives too. However, it did not include any scientific articles or literature on technical aspects of evaluation. The newsletter was not a continuous initiative as it depends on the Executive Council in place. Currently the newsletter is not functioning but SLEvA issues a quarterly report summarizing the updates of initiatives for members' benefits. SLEvA also has a Google group consisting of all members which is used to share messages from SLEvA as well as other regional/ global evaluation networks. Through the Google group, members receive information on events, jobs and some insightful information such as blogs.

5.1.4.3 Professional Organizations

Professionalization is being pursued through both professional development activities of the SLEvA as a professional association and collegiate relationships, as well as the Post Graduate Diploma in Evaluation and several other efforts at national and international level. Sri Lanka has taken steps for the way for evaluation professionalization but the number of skilled evaluators is limited. There are a few of champions in evaluation area - most of who come with practical background and solid experience. Evaluations undertaken by the government and development partners are conducted by evaluation experts and sector specialists that are selected based on competencies, skills and expertise. However, overall, there is a dearth of skilled and experienced evaluators in Sri Lanka, especially in the public sector, hence high

potential exists nationally for evaluation capacity development, both for commissioners/users and for evaluation practitioners. It will take some more years for the diploma programmes to produce sufficient number of evaluation professionals. The students that are coming out after completing the Diploma course are not usually involved in conducting evaluations as they are working as M&E officers or programme staff. And only less than 50% of government officials attend the diploma course. Their main purpose to follow the course is to enhance the knowledge on M&E for their work rather than becoming regular evaluators. The technical staff and managers in evaluation units or with M&E responsibilities expressed that they need training in evaluation to carry out their work. However, there are supply side constraints. Practical, hands on evaluation training, joint evaluations and on-the-job learning are in demand.

In Sri Lanka, there was no programme to certify evaluators or M&E professionals until December 2020. However, with a grant received under the EvalPartners Innovation Challenge programme by SLEvA in December 2020, it is planned to develop a competency framework for evaluators and development of a pathway for assessment of competencies. A consultant has started the process and initial work is planned to be completed by end 2021. If this is successfully taking forward, Sri Lanka will potentially have an evaluator competency assessment/ certification programme.

Sri Lanka has a network of professionals through the SLEvA. As of 30 June 2021, there are 334 members registered with SLEvA. Anyone interested with a bachelor degree and three-year experience in M&E can apply for the membership. However, these two criteria do not ensure that accepted members are competent evaluators. SLEvA which is institutionalized as a voluntary organization and registered as a NGO under the Ministry of Social Services is governed by its Constitution and its Executive Council is selected biennially at an Annual General Meeting. It is recognized internationally through the International Organization for Cooperation in Evaluation as a VOPE. SLEvA is one of the oldest and well-known VOPEs in the region. SLEvA also organizes capacity building training on evaluation for public officials and evaluation professionals. In 2020, with support from UNICEF Sri Lanka, SLEvA implemented an evaluation capacity building project for public officials which included four webinars and two training workshops.

SLEvA conducts monthly webinars since December 2019 on topics related to evaluation. The webinars are announced within the country as well as internationally through various electronic

media including social media channels. Up to August 2021, 21 webinars have been conducted by SLEvA by taking subject experts from around the world and the attendance range from 100-200 people per webinar. SLEvA also publish the recording of the webinar on the website (SLEvA, 2021) for further sharing of the knowledge product. In addition SLEvA disseminate information about evaluation webinars organized by other countries and organizations with members. However mostly evaluation community attend the webinars and access to webinars depend on availability of internet facilities and necessary equipment.

SLEvA also organizes biennial evaluation conferences in collaboration with the government and other organizations. A new initiative SLEvA started in 2019 is the young and emerging evaluators programme. Under this, SLEvA launched EvalYouth Sri Lanka in collaboration with the EvalYouth Asia. In September 2020, EvalYouth Sri Lanka and SLEvA conducted a two-day training for 30 young and emerging evaluators on evaluation and career development in M&E. On the success of the training, the training was repeated for a new batch in March 2021.

5.1.4.4 Existence and Compliance with Standards and Quality Obligations

There are no formal documents on standards, guidelines, principles on evaluation as such. OECD/DAC criteria and guidelines are mainly used for all evaluations. In 2017, PFDE-SA developed draft equity-focused and gender-responsive evaluation guidelines (PFDE-SA, 2017) which was never finalized. When it comes to evaluations led by donors, the guidelines stipulated by them become guidance to the evaluation if it is specifically mention in the TOR. The respondents agreed that there is a lack of institutional level methodologies, manuals and guidelines for evaluation that would enable conducting more rigorous evaluations (KIIs on 12 June 2019, 13 March 2020). Evaluation market is dominated by both individual and consultancy companies in the country.

Evaluation commissioners are expected to manage and undertake evaluations impartially and free from bias. All evaluations require terms of reference with a methodological framework and with draft evaluative questions based on the OECD/DAC criteria of relevance, efficiency, effectiveness, impact and sustainability. The draft evaluation framework with evaluative questions and design matrix is validated at the scoping session with all concerned stakeholders (Sivagnanasothy, 2014). This process helps to improve independence and minimize conflict of interests or undue pressure. Sri Lanka is yet to develop own standards, ethics, guidelines for

evaluations. Currently various international guidelines are referred and used for evaluation. Guidelines for evaluations and evaluation reports by UNEG are one of the key references. In addition, guidelines by donors who are financing the specific projects are also followed. Use of ethics and standards is not binding unless it is specifically highlighted in the TOR. However, there is an ongoing dialogue on development of national standards, ethics and guidelines specific to Sri Lanka.

5.1.5 Conclusion (Case Study Sri Lanka)

It is a significant progress that Sri Lanka endorsed the National Evaluation Policy after 15 years of efforts. Moving forward, the draft bill and the Parliament taking the lead in drafting it are important milestones. However, Sri Lanka is yet to implement the endorsed national evaluation policy as still DPMM is developing the National Evaluation Policy Framework to implement the policy. Taking more than three years to develop the implementation framework of the policy certainly made delays in yielding results of the policy. If the draft National Evaluation Bill is passed by the Parliament, the establishment of the Evaluation Commission will make a significant difference in the country although it is unlikely to happen soon as the present government does not show interest in evaluation generally. Therefore, unless the government takes ownership, leadership and championship to implement the policy, it will not be meaningful as expected. Similar behaviour can be seen in the Parliament also as the current Parliament does not seem to continue the work has been done by the previous Parliament. Perhaps it clearly shows why institutionalization is important so that things cannot be changed by individuals, parties or political interests. It may need further advocacy by stakeholders to convince the government and Parliament on this.

Although DPMM is the designated public institution for M&E, it is a question whether they have a clear mandate for evaluation and whether there is necessary capacity to perform evaluations across the public sector. The number of evaluations currently conducted particularly by the public sector is less compared to number of initiatives in place. As usual in many countries, monitoring takes the larger portion in M&E. Not having dedicated financial resources for evaluations and capacity building on evaluation is a major challenge faced by the country. This may also be a result of lack of demand for and use of evaluations as citizens are not aware of importance of it. The demand for evaluative evidence particularly from the public would urge the government to allocate more resources as well as conduct evaluations regularly.

It shows that civil society organizations also conduct or use evaluations where it is mandatory rather than doing it with ownership.

The Post Graduate Diploma in M&E is another significant achievement in Sri Lanka and diploma started by SLEvA with NILS is complementary to it. However, looking at the challenges in finding competent evaluators, it is a question how much academic courses contributed so far to produce evaluators. Lack of academic journals, lack of means of civic education on evaluation, lack of demand for evaluation and limited academic courses are hindrance in raising awareness and building capacity. It is a progressive step that SLEvA initiated competencies for evaluators as well as training for YEEs. SLEvA has been there for over 20 years and implementing many initiatives to promote evaluation although there is a long way to go in terms of what should be in place to institutionalize evaluation. Sri Lanka is yet to develop national standards, guidelines and capacity building strategies so that concerned officials are able to produce quality evaluations. These instruments will help to conduct evaluations regularly and encourage use for decision making which needs to be improved a lot at the moment. The government of Sri Lanka, the SLEvA and other actors need to pay further attention to the missing factors and address them meaningfully to establish a national evaluation system towards achieving SDGs in the country.

5.2 Case Study - Nepal



Image 5.2.1. Map of Nepal
Source: Asiatimes.com (2018)

5.2.1 General Country Overview

Nepal is a low-income country with a population of 28.09 million and a per capita gross domestic product (GDP) of US\$ 1,033.81. The adults (15+) literacy rate in Nepal is 67.9% while the female adult (15+) literacy rate is 59.72%. Life expectancy at birth is 70.17 (World Bank, 2021b). The population is mainly concentrated in rural areas (about 83 per cent). Nepal's economy is dominated by agriculture, which accounts for over one third of GDP and employs more than two thirds of the population. This population comprises significant ethnic diversity, with hundred plus languages and cultures. Population density varies considerably, as large parts of the country are too harsh for human settlement.

Development progress in Nepal is uneven across ethnic, gender and geographic categories, reinforced by lack of access to education, skill development and livelihoods assets and a lack of policy coherence. The poverty incidence in 2010-2011 was estimated to be 25.2 per cent, but 42 per cent of Dalits are poor, compared to 23 per cent of non-Dalits. The percentage of poor in urban areas is 15 per cent, as opposed to 27 per cent in rural areas, where lack of employment opportunities is particularly acute. In the Human Development Report 2017, Nepal is ranked 104 out of 189 countries (UNDP, 2017).

Geographic and environmental factors play a critical role in reproducing vulnerability and inequality. Of 16 countries listed globally as being at extreme risk from climate change over

the next 30 years, Nepal ranks fourth; the agriculture sector, which employs 64 per cent of the population, is heavily affected. The poorest, most marginalized people often live in remote, environmentally degraded, disaster prone areas vulnerable to climate change, such as the mid- and far western mountains and hills, and the central and eastern Terai. The frequency and intensity of major national hazards, including droughts, floods and landslides, is increasing. Nepal ranks as the 11th most at-risk country to earthquakes; this extreme vulnerability is compounded by unplanned urbanization and haphazard construction, of particular concern in the increasingly populated Kathmandu Valley (Stolyarenko, 2015).

Governance system in the country

Monitoring and evaluation as a political agenda, is largely influenced with the types of governance system that a country practices (Ansell & Torfing, 2016). The history of M&E, therefore, does align with the history of a country's governance system. Before 1951, Nepal had all round family rules where all high-ranking positions, be it civil or military, were captured by a single family which is called Rana family and governance was limited to the collection of taxes and punishment for those not paying the tax for 104 years. The clan governing governance system was overthrown in 1951 and a shared government between the main political party and the king emerged (Dhakal, 2007). But this resulted in power struggle between the palace and political parties and the king took over all powers by restricting political activities and banning political parties in 1960. During this period Nepal entered into the planned development with the preparation of the first five-year plan in 1956 (HMGN, 1995). From this time to 1990, Nepal exercised absolute monarchy system, but planned development continued. There was some limited role of M&E which was practice mostly in the supervision and monitoring of major development projects. It was largely monitoring of activities and inputs with limited monitoring of output and outcome (NPC, 2013). The people's movement brought the king under Constitution in 1991 and government exercised the liberalised economic policy. M&E role was strengthened during this period.

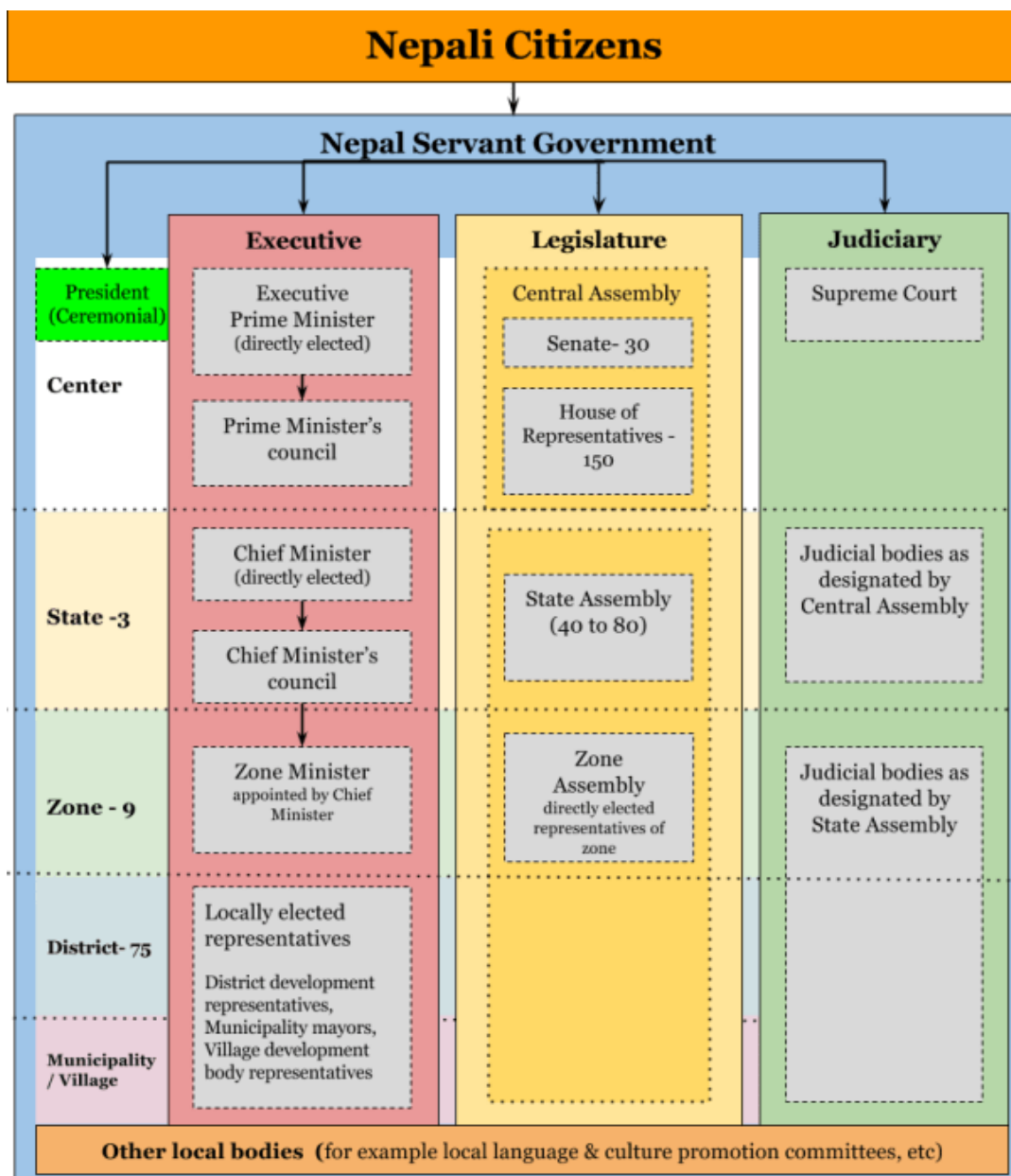


Figure 5.2.1: Political and Governing structure in Nepal
Source: Google images retrieved on 24 December 2020

The second people's movement established the federal republican structure of the governance and proportional representation of ethnic groups and one-third quota to women is made mandatory in political and social institutions at each level of governance. It has many clauses that provide directive principles, policies, and obligations to pay special attention to the development of vulnerable and marginalised people including women, ethnic and religious minorities, Dalits and differently abled persons. To ensure the implementation of the clauses, the Constitution has special provision for monitoring and evaluation Clause 54 (NLC, 2020). This encouraged M&E to pay special attention to equity, rights, and gender equality. The M&E

guidelines prepared thereafter and the Monitoring and Evaluation Management Bill are accordingly equity focused and gender responsive (NPC, 2018).

5.2.2 Institutional Structures and Processes

5.2.2.1 Evaluation Regulations

Nepal started planned development in 1956 and monitoring and evaluation (M&E) of projects has been an integral part since then (NPC, 2013). The role of M&E, however, was limited to the review of annual and periodic plans till 1975. Actual evaluation of the development projects/programmes commenced with the start of the fifth five year plan 1975/76. National Planning Commission as well as sectoral ministries started conducting M&E. During the period of fifth and sixth periodic plans, a weightage system of monitoring was brought into practice which was based largely on the expenses. In the seventh five-year plan (1985-90), M&E was conducted based on sectoral performance indicators (NPC, 2018). With the advent of the democratic system 1990, the government of Nepal took initiatives to further strengthen M&E system wherein a high-level political commitment was ensured for performance and result-based evaluation (ADB, 2014). And a New M&E system was introduced to achieve expected outcomes through regular, effective, and efficient M&E mechanisms. (ADB, 2014). An arrangement was made to have M&E presence from central level to the local level. The Local Self-Governance Act was introduced where M&E of local projects was made mandatory (HMGN, 1995).

Nepal's evaluation system has been aligned with the contemporary global evaluation systems. There has been a good influence of the donor funded development projects implemented by government as well as non-government sectors. A significant share of the development budget in Nepal comes from the donor agencies either in the form of grant or loan projects. After the Paris Declaration on Aid Effectiveness (2005) and the Accra Agenda for Action (2008) the development projects have laid emphasis on the results measurement and the role of M&E has been prominence. These international instruments contributed significantly to strengthen M&E systems in Nepal. Before these, M&E emphasis was on monitoring; whereas these instruments influenced the M&E system to gradually shift to the evaluation. The evolution of evaluation in Nepal is given below in a diagram.



Figure 5.2.2: Evolution of evaluation system in Nepal as per periodic plans, Source: ADB, 2014; NPC, 2018

Nepal has achieved several accomplishments regarding the evaluation. The Constitution of Nepal, various acts, regulations, and policies are integrated in M&E. The M&E bill has been drafted in 2016 to provide the legal base for strengthening the M&E system. Nepal is the only country in Asia Pacific region and one of the few countries around the world to have evaluation embedded in the national Constitution. Other examples are Morocco, Ivory Coast and Switzerland.

Following two articles: #54 and #293 in the constitution are directly related to evaluation. (NLC, 2020)

54. Provisions relating to monitoring: There shall be a committee, in accordance with law, in the Federal Parliament in order to monitor and evaluate whether the 42 directive principles, policies and obligations of the State set forth in this Part have been implemented progressively or not.

293. Monitoring of functioning of Constitutional Bodies: The chiefs and officials of the Constitutional Bodies must be accountable and responsible to the Federal Parliament. The committees of the House of Representatives may monitor and evaluate the functioning, including reports, of the Constitutional Bodies, other than the National Human Rights Commission, and give necessary direction or advice.

Article 54 and 293 of the Constitution of Nepal

There are 3 other sub-clauses where evaluation is included in the Constitution. (NLC, 2020)

51. Policies of the State: The State shall pursue the following policies: (j) Policies relating to social justice and inclusion: (4) to evaluate economically the work and contribution such as maintenance of children and care of families,

253. Functions, duties and powers of National Women Commission: (1) The functions, duties and powers of the National Women Commission shall be as follows: (c) in order to have the women included in the mainstream of national development and ensure proportional participation in all organs of the State, to assess, monitor and evaluate the existing policies and programs, and make recommendation to the Government of Nepal for their effective implementation,

256. Functions, duties and powers of National Dalit Commission: (1) The functions, duties and powers of the National Dalit Commission shall be as follows: (e) in order to have the Dalit community included in the mainstream of national development and ensure proportional participation in all organs of the State, to assess, monitor and evaluate the existing policies and programs, and make recommendation to the Government of Nepal for their effective implementation,

In addition, there are 7 other sub-clauses and 2 Schedules which emphasizes monitoring (NLC, 2020). In this way Nepal has the most progressive Constitution in terms of monitoring and

evaluation. The provisions included regarding M&E are comprehensive enough for the country to promote practice and use of evaluations across the programmes.

To translate constitutional provision into action, Nepal drafted a National Monitoring and Evaluation Bill. The process was started in 2015 and provides comprehensive policy guidance to evaluation in the country in addition to the provisions given in the Constitution. The process of drafting the Bill was led by the National Planning Commission with support from the National Parliamentarians Forum for Development Evaluation Policy in Nepal, Community of Evaluators – Nepal, UN agencies and other stakeholders.

It was a challenging process to take the draft bill to the parliament. The process took over four years and finally reached to the Cabinet of Ministers which has approved the bill for submission to the parliament. Currently the bill is at the National Assembly and once approved by them, it will be forwarded to the House of Representatives for approval.

In 2015, National Planning Commission prepared “Sustainable Development Goals 2016-2020: National [Preliminary] Report” (NPC, 2015). This report includes the identified indicators for SDGs, baseline data and targets for each indicator for each five year period until 2030. Evaluation is an integral part for reaching set targets ensuring that no one is excluded in the development process. In Nepal there are some sector wise evaluation regulations and provisions. Education Rule 2004, has 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. Likewise, Local Self-Governance Act 1999 has provisions for evaluating all projects local level. The Forest Regulation 1995 has provision for evaluation of the possible impact on the environment, monitoring and evaluating the implementation of forest work plan, for example.

The constitutional provisions for evaluation has provided opportunity for the above regulations to refine them and other sectors to design equity focused and gender responsive M&E along the line of the constitutional motive and spirit.

5.2.2.2 Parliament and National Audit Structure

There are 12 parliamentary committees closely related to evaluation is the Implementation, Monitoring and Evaluation Committee on Directive Principles, Policies and Obligations of the

State. The committee is formed based on the Constitutional article 54 (NLC, 2020). One of the scopes of the Committee is to monitor and evaluate progress on implementation of directive principles, policies and obligations of the state at federal, provincial and local levels (KII on 8 September 2020). As per the website of the parliament of Nepal, the committee has Monitoring and Evaluation Sub-Committee to monitor and evaluate progress. In the process, the sub-committee has provision of inviting evaluators and subject specialist and/or related organization to conduct M&E. The sub-committee parliamentary members, specialists/evaluators and other stakeholders can discuss the progress on the implementation of the directive principles, policies and obligations. The sub-committee has decided to prepare a roster of specialists/evaluators/organizations. The sub-Committee organizes a joint meeting with the NPC semi-annually. The team visit implementation sites, monitor activities and provides reports to the sub-committee. The information thus gathered is used for decision-making (Parliament of Nepal website).

The culture of working together was further enhanced by the hosting of the culmination of the International Year of Evaluation 2015 in the Parliament of Nepal where active participation of parliamentarians including the speaker of Parliament, government including the prime minister, civil society organizations, private firms, academic institutions and development partners was pronounced.

National Parliamentarians Forum for Development Evaluation Policy (NPFDEP)

The evaluation used to be considered as an area of specialists limiting evaluation only to the projects and programmes. Policies were seldom evaluated. Even if they were evaluated, politicians were rarely involved in the evaluation process. To bring change in this process parliamentarians have been emerged as a new stakeholder in the evaluation arena. In an evaluation conference held in February 2013, three parliamentarians, each from Bangladesh, Nepal and Sri Lanka created a panel and expressed their views on the importance of parliamentarians' engagement in evaluation (COE-SA, 2013). Thereafter, parliamentarians' forum for evaluation emerged in different countries. Nepal was the first country to form national evaluation forum for evaluation – National Parliamentarians Forum for Development Evaluation Policy. The forum included 15 members from five major political parties in the parliament of Nepal in 2014. The parliamentarians in the forum played important role in convincing other parliamentarians to have M&E agenda in the Constitution of Nepal which was in the process of preparation. They also organized evaluation training for parliamentarians

in 2015. The forum was highly instrumental in organizing the culmination of the International Evaluation Year 2015 in the legislature parliament of Nepal which declared EvalAgenda (EvalPartners website). The NPFDEP was also one of the active partners together with COE-Nepal, the government and UN systems, to organize a workshop in August 2016 and prepare Integrated National Evaluation Action Plan 2016-2020 (NPC, 2016). It has also been involved in other several national and international evaluation events.

The role of the Office of the Auditor General is to audit the accounts of all Federal and State Government Offices, in accordance with law, having regard to the regularity, economy, efficiency, effectiveness and the propriety. It audits the wholly owned corporate bodies. It is also consulted while carrying out the audit of a corporate body of which the Government of Nepal or State Government owns more than fifty percent of the shares or assets. The Office is centrally located with 647 staff who are deputed to carry out audit at federal, provincial, and local level. Its role is limited to financial audit and programme audit is not carried out. It prepares comprehensive financial audit report annually and submits to the President. The Office publicizes its reports on its website which is accessible to all (OAG, website).

5.2.2.3 Organisational Structure

To have a more systematic way of evaluation, M&E divisions and sections are established in the Office of the Prime Minister and Council of Ministers (OPMCM), the NPC, line ministries and departments.

The Planning and Monitoring Section of the OPMCM is assigned with a number of functions including monitoring and evaluation of annual, medium-term and long-term policies of the government (NPC, 2013). It's other major tasks are:

- Develop indicators of government policies and programmes
- Develop and implement standard operating procedures
- Performing policy auditing in coordination and collaboration with the NPC and concerned ministries, and conducting impact studies of policy implementation.
- Submission of reports based on the monitoring and evaluation of annual and periodic plans, programmes and projects
- Monitor the implementation status of policies and programmes approved by the cabinet
- Give priorities to government's priority programmes and projects in monitoring and evaluation.

It can be observed from the above that PM's office and cabinet is directly involved in monitoring, evaluation and implementation of priority programmes with opportunity for evidence-based policy planning and implementation in the country.

The National Planning Commission (NPC, 2021) is the specialized and apex advisory body of the Government of Nepal for formulating a national vision, development policy, periodic plans and sectoral policies for overall development of Nepal. The NPC assesses resource needs, identifies sources of funding, and allocates budget for socio-economic development. It serves as a central agency for monitoring and evaluating development policy, plans and programmes (NPC, 2013).

NPC is formulating development plans and policies of the country under National Development Council directives. It allocates resources for economic development and works as a central agency for monitoring and evaluating development plans, policies and programmes. Moreover, it provides a platform for the exchange of ideas, discussions and consultations pertaining to the economic development of the country. It also serves as an institution for analyzing and finding solutions to the problems of civil society, non-governmental organizations and the private sector in the country (NPC, 2013).

NPC is currently functioning by the Executive Order of March 12, 2018 issued by the cabinet. As per the Executive Order, following are the assigned roles by Government of Nepal for the NPC:

- To formulate basic development policies and prepare periodic development plans, accordingly within the framework of a long-term development perspective.
- To explore internal and external resources along as well as indigenous and foreign technology and to recommend suggestions to GON to accelerate the pace of development.
- To explore innovative approaches for sustainable development based on the economic situation of the country.
- To formulate annual programmes and assist GON in their implementation.
- To advice GON for the institutional development of monitoring & evaluation system, to monitor the implementation of programmes and projects according to plan target and outlay, and to carry out an impact evaluation of plans and projects.

- To provide guidelines, advice and suggestions to sectoral ministries, departments, other agencies and local bodies and assist them in the plans and projects formulation.
- To provide guidelines to collect data and to carry out action-oriented research necessary for the evaluation of new policies and for the refinement of the planning process.

5.2.2.4 Evaluation Practice and Use

In practice, the National Planning Commission M&E Division manages the overall M&E system (including information systems and capacities) and undertakes evaluations of programmes and projects. As Dhakal observed (2014) an apex planning and M&E agency, the National Planning Commission facilitates evaluations, engaging third parties hired through competitive processes. Each year, some programmes or projects are selected for evaluation using specific criteria received from line ministries. Steering committees, formed for each evaluation to facilitate the process, approves the terms of reference, select the evaluators, facilitate evaluation processes and maintain the quality of evaluations and reports (Dhakal, 2014). Sectoral divisions of the NPC conduct field inspections of programmes and projects and undertake policy, programme and project-related studies and evaluation reports of the sectoral ministry/agency.

Several government departments are tasked with M&E functions. Almost all government ministries have M&E Divisions/Sections which are responsible for preparing M&E plans, monitoring and evaluating projects implemented by the ministry and conducting regular evaluations as prescribed by the National Planning Commission. Those public institutions where there is no separate M&E division, have M&E focal points. It is observed that mid-term reviews/ evaluations are common in the public sector but final evaluations are rare. Therefore evaluations are mostly process evaluations than impact/ outcome evaluations. The government institutions do not have sufficient capacity to conduct evaluations. The new draft M&E Management Bill has provisions to make evaluation mandatory for all programmes and projects (Government of Nepal, 2016).

NPC has made efforts to make the monitoring and evaluation system more scientific, practical, and useful by introducing guidelines. In 2010, NPC introduced Results Based Monitoring and Evaluation Guidelines (NPC, 2010) followed by in 2013 National Monitoring and Evaluation Guidelines (NPC, 2013). Recently further guidelines were introduced to suit the new governance system (NPC, 2018). According to the national M&E guidelines, each programme/

project should have a Theory of Change (TOC) or a Logical Framework Analysis. However in practice, TOC or LFA is developed mainly for donor funded projects at the public level. All the major programmes have TOC/ LFA but projects under programmes do not necessarily have TOC/ LFA, only some of the projects include this. Once the TOC/ LFA are developed and available, they are used to develop annual work plans. All the projects funded by the national budget, monitoring and evaluation are compulsory. However in practice, monitoring has become compulsory but not the evaluation. Evaluations are conducted mainly for mega projects and donor funded projects (FGD on 20 April 2020).

The National Planning Commission-[website] has listed 46 evaluations conducted by the government. Out of them 36 are the third-party evaluations and 10 are the internal evaluations. These evaluations cover many development sectors including education, irrigation, agriculture, road, health, forestry, watershed management, cooperatives, forestry, women development, energy, employment, social security, poverty alleviation, tourism, communication and drinking water. The external evaluation covers also the six impact evaluations in which three projects were related to poverty alleviation, two agriculture and one irrigation (NPC, website). The conducted evaluations are publicly available at www.npc.gov.np. The low number of evaluations was conducted due to the limited budget allocated for evaluations through NPC and the limited capacities of evaluators. Preparing, implementing and monitor the Management Response Plans has been made mandatory to facilitate the implementation of evaluation recommendations. It has, however, not well practiced (Ojha et al., 2015, Thuladhar, 2016). Both demand and supply sides of evaluation have limited capacity to facilitate, conduct and use outcomes of rigorous evaluations. Sub-national entities have limited capacity and outcome data that could impede the rolling out the M&E of SDGs. Despite some efforts from the government side, there was inadequate networking and collaborative work among the evaluation actors. This was partly due to inadequate capacity within the government systems, lack of clear scope of the stakeholders on promoting evaluation and inadequate collaborative working culture (KII on 10 September 2020). The NPC has initiated documentation and dissemination of evaluation evidences.

As a regulatory body, The Social Welfare Council (SWC) is also responsible for monitoring and evaluation of the projects implemented by CSOs. Within the SWC, there is a monitoring and evaluation department which monitors, supervises, evaluates, and prepares reports of CSO activities (SWC, nd). Though SWC has been in evaluation business since 1992, it has prepared and is practicing Monitoring, Supervision and Evaluation Guidelines since 2015 and revised in

2020. This is meant for monitoring, supervision, and evaluating the activities and results of the national and international CSOs operating in Nepal. The SWC charges the projects for their M&E, facilitation, and supervision. The charge is fixed at the time of project approval based on the norms it has developed. The charge ranges from 0.1 percent for large projects to 0.5 percent for smaller projects of their total costs (SWC, 2020). They have also a common TOR for evaluation and team formation method. However, in the evaluation team the guideline has not made evaluation specialist mandatory, rather economist is a must. This indicates that the M&E guideline of the SWC requires further revision, especially in the team formation aspect.

Though the SWC has a separate M&E department, other CSOs rarely have a separate M&E unit. In most of the cases, the M&E is included in their planning section. The well-established CSOs which have also good funding size and sources have a separate M&E Unit with a size of 1-3 staff, sometimes just a focal person for M&E, sometimes management information system looking after the M&E; others do M&E activities through planning section. In the market, there are some independent firms which also carry out evaluation activities together with other activities.

The SWC has extensive database of the projects implemented by the affiliated CSOs, it has not yet kept evaluation reports in its database (See <https://swc.org.np>). The conducted evaluations are supposed to be placed in SWC website, but the SWC does not have evaluation reports placed in its website. Not only the SWC, CSOs also rarely place evaluation reports in their websites. However, they have monitoring data which survive till the project life in their management information systems. The data are not stored beyond the project period, in most of the cases.

The evaluation practice at decentralized level

The institutional arrangement of M&E at local level established with the introduction of the Local Self Governance Rules 1999 which has provision of having a Supervision and Monitoring Committee at local level. With the introduction of the federal system in 2015, Nepal is exercising a three-tier political system with each tier having rights to form Acts, Rules, policies, guidelines and plans. Recently, some provincial and local level M&E guidelines are

introduced. One such guidelines is prepared by the Gandaki provincial government. The institutional arrangement as given in the guidelines include the Problem Action Committees at provincial and local level as well as M&E Committees at provincial, district, municipality and ward level. The guidelines give special importance to SDGs and have made provision for SDG M&E Committee at provincial and municipality (local) level (GOGP, 2021). The guidelines encourage to have evaluation before the start of the project, during the project and after the project and suggest to use mix method blending qualitative and quantitative approaches.

Internal vs. External Evaluation Practices

Evaluations are conducted by the internal staff of government departments and by independent evaluators under contracts (Dhakal, 2015). For evaluations of the majority of donor funded projects, external evaluators are the main source of experts. In most cases of evaluation of donor funded projects, international evaluators are hired as team leaders and team members. This is due to the lack of expertise of local evaluators on the subject. Local external evaluators are taken as team members for certain evaluations depending on expertise and budgetary constraints. Local evaluators work as a team with international evaluators to match the knowledge on the context. As evaluations of donor funded projects through the government are led by donors, the selection of evaluation team is also driven by the donors. (FGDs on 21 and 24 April 2020). The staff at NPC and M&E units of the line ministries have general knowledge on evaluation. However they still need further capacity building on conducting evaluations. With more capacity building, internal staff at public institutions will be able to conduct evaluations by themselves. This is also well reflected in the provincial and local level M&E guidelines (GOGP, 2021).

Use of evaluations

It is necessary to ensure that development policies are based on evidence obtained through evaluation findings. It has been observed in most of the countries and also in Nepal that use of evaluations for policy planning and implementation is not adequate. Evaluation reports tend to focus on the results of processes and delivery of outputs rather than on outcomes and impacts. Studies are generally quantitative, and proper triangulations are not usually done on the tools, their design or data analysis. “Even when an evaluation was methodologically sound and captured many facts, if its recommendations were insufficiently based on rigorous analysis, its

overall quality and use declined” (Dhakal, 2014, p.139). The National M&E Guidelines are a mechanism to improve and systematize the M&E process in Nepal, making it “more scientific, practical and useful” (NPC, 2013, p. i). However, its impact is yet to be ascertained.

The National M&E Guidelines clearly indicate that monitoring and evaluation reports should be prepared at different intervals to measure the implementation status of programmes and projects as well as to ensure that a project is completed and results achieved within stipulated timeframe. It is indicated that periodic evaluations should be carried out focusing on relevance, effectiveness, efficiency, impact and sustainability of programmes and projects. The reports should then be prepared and submitted to the NPC.

The Guidelines include arrangements to implement appropriate findings and recommendations of evaluation reports. Also the summary of recommendations obtained through the M&E reports is used by the management at relevant levels to improve policy design and decision making process. The National M&E Guidelines highlight the various situations to use reports and recommendations (NPC, 2013)

The Guidelines also mentions that M&E reports should be disseminated by the following procedures:

- By posting on the website of concerned ministry or agency.
- By organizing meetings, interaction programmes or workshops to deliberate on monitoring and evaluation reports, and to inform all concerned stakeholders.
- By submitting important accounts, data, information, or reports to the decision making agencies such as the NPC, the OPMCM and the Ministry of Finance.

All recommendations and findings of evaluations may not be implementable as they are. Some of them may require immediate action. Accordingly, to implement the recommendations of an evaluation, the concerned agency should prepare a management response and action plan and regularly keep tracking of implementation.

The above guidelines show the intent of the government to utilize monitoring and evaluation results by institutions at various levels. But there is negligible evidence that there is an institutional mechanism to use evaluation findings.

There are established practices to disseminate evaluation findings to policymakers from line ministries and relevant partners and to publish evaluation reports on websites (Dhakal, 2014). Evaluation reports are made public and are easily available on government websites. The National M&E guidelines determine provisions ranging from parliamentary committees to public hearings committees and also an M&E Committee in order to ensure information is provided to stakeholders on programmes' activities and outputs, and in order to promote transparency, social responsibility and accountability (NPC, 2013).

Annual programme and project budgets also discuss evaluation findings. However, they are not conducted systematically or with clearly defined purposes, such as for specific policy needs. "A lack of clear evaluation objectives makes it difficult to frame evaluation questions that will generate evidence in areas of interest to policymakers. There is lack of a clear and coherent evaluation policy that drives systematic selection, conduct and use of evaluations. There are also weak capacities to demand, facilitate and conduct impact evaluations, which results in low-quality studies of limited use" (Dhakal, 2014, p.140).

Nepal submitted VNR in 2020 but it is ironical that no evidence from evaluation is reported while providing information in VNR. VNR 2020 however noted that in order to strengthen data monitoring system the government is developing National Data Profile as single depository. It is suggested in the VNR that data produced by universities, research organizations and NGOs should be considered. It is also reported that statistical system of local and provincial governments is weak. Because of unavailability of data civil society, media and researchers are not in position to monitor the progress of development (Government of Nepal. 2020, pp.64-65).

It is evident that use of evaluation is very low to various factors. Sometimes there are political compulsions to continue certain programmes in spite of the recommendations from the evaluations otherwise while sometimes the quality of evaluations is not adequate. Recommendations are biased towards donors' agenda and therefore are not on the basis of consultative process in true sense. It was reported that there is a need for professionalization of evaluations.

Thus the utilisation part of the evaluation has been weak. In many cases, evaluations are carried out to fulfil the donor's interest but they are hardly used for improvement, accountability and learning. Involving stakeholders in overall evaluation planning and management is encouraging recently but there are still room to improve by providing wider space to contribute and take lead (FGD on 12 April 2020).

5.2.3 Societal Dissemination/Acceptance (Social System)

5.2.3.1 Institutionalized Use of Evaluations by Civil Society

The demand side agencies such as the government, UN bodies, NGOs/INGOs, and donors are the users of evaluation. They use evaluation at varied levels. A study conducted in Nepal in 2014-2015 revealed that about 14% of the evaluations conducted were used in decision-making. This value differed largely by stakeholder type. Government ranked the least in using evaluation in decision making (4%), and INGOs the most (67%) whereas, the UN systems used 47% and the donor 48% (Ojha et al., 2015). This indicates that the use of evaluation in decision making by political decision makers is not encouraging.

The study shows NGO/ INGO sector, which can be considered as a part of CSO does make use of two-third of the evaluations conducted. They use largely the recommendations of mid-term evaluations rather than final ones. One of the reasons for largely using the recommendations of the mid-term evaluation is that they are mostly of the nature that they are implemented within the project period. In the case of final evaluations, most of the recommendations are applicable after the project period where the interest of their use by CSOs is limited (Ojha et al., 2015). In discussion with some renowned CSOs in Nepal it is known that the process evaluation recommendations are reviewed in the final evaluation and reported accordingly. The reporting of implementation of recommendations of the mid-term evaluation in the final evaluation encourages the projects to use such recommendations.

5.2.3.2 Public Perception and Public Discourse

Nepal has abundant number of the donor funded projects. The projects are spread in different parts of the country except the far-flung areas, not yet covered by road network and beyond the influence of leadership. Those involved in the donor-funded projects have some sort of dialogue with the evaluation teams. It is a common practice in most of the evaluation cases to

consult beneficiaries of the project at various level. It is also included in the evaluation methodology that the preliminary findings are discussed at district and central levels in most of the cases. In the discussion forum representatives of main stakeholders including CSOs are invited. Despite that they take part in evaluation, the public cares a little about the evaluation findings. The reasons being that actions on the evaluation findings that relate to them are rarely taken and thus influence of evaluation on them is very low, if any. Another reason is limited awareness about the importance of evaluation. Third point is that a large segment of the population thinks that evaluations are for project people for their upward accountability, and these have little to do with public (FGD on April 2020). Next point is that very few CSOs share evaluation findings publicly. A study conducted in three South Asian countries including Nepal shows that sharing evaluation with public is about 13% (Ojha et al., 2015). They even do not keep evaluation reports in their website. Therefore, limited access to evaluation findings is also important factor that limits public to make positive perception toward evaluation findings. The same study shows that sharing of action plan prepared to implement the evaluation recommendations is further low (6.25%).

CSOs rarely make evaluation reports public by putting them on their websites or any other media. Some share evaluation draft to the limited number of concerned agencies as disclosed by CSO personnel. Some studies on evaluation are also made public again through websites. For example, COE-Nepal has placed study on management response to evaluation on its website which is freely available to public (available at- <http://www.coe-nepal.org.np/files/MREReport.pdf>). The online repository is free to all which has evaluation approaches, themes, and options in its content area (<http://repository.coe-nepal.org.np/>). The repository intends to store evaluation reports from different agencies in future. In general, a culture of making the evaluation a subject for public debate, sharing evaluation publicly, and results discussing publicly in media is yet to be developed (FGD on 12 April 2020).

5.2.3.3 Participation of Civil Society in Evaluations

CSOs rarely have a separate M&E unit but the M&E is included in the planning section of theirs in most of the cases as informed by some CSOs. The well-established CSOs which have also good funding size and sources have an M&E separate Unit, for example Nepal Red Cross Society; others do M&E activities through Planning section. The SWC which monitors, supervises and evaluates CSO activities has a separate M&E division with full-fledged staff

(SWC, 2020), but not necessarily that the staff are well-versed in M&E. In the market, there are some independent firms which also carry out evaluation activities. They conduct not only the evaluations but also other research activities (FGDs on 12 and 24 April 2020).

In most of the cases, CSOs in Nepal have been implementing interventions funded by the external donors. They are project-based interventions. The project-based interventions funded by external donors have evaluation in-built into the project document, especially after the Paris declaration on aid effectiveness, 2005 and the Accra Agenda for Action, 2008. The projects with three years and longer duration have both mid-term and final evaluation, whereas those of less than three years have only one final evaluation (SWC, 2020).

Evaluation of donor funded projects implemented by CSOs is a mandatory arrangement. Therefore, it is a common practice that the projects implemented by CSOs are evaluated. The SWC which is the regulatory body of CSOs, and international NGOs conducts evaluation of each project funded by donors. It conducts around 100 CSO evaluations annually (Ojha, 2014). The donor funded projects to be implemented by CSOs require approval from the SWC and projects not having the provision for evaluation are not approved indicating that evaluation is common in CSO projects. Almost all projects implemented by CSOs conduct final evaluation, whereas mid-term evaluations are carried out only of those projects that have three year and more life span. However, these are project based evaluations. The institutionalization of evaluation in the CSOs is in primitive stage. Some CSOs, like Nepal Red Cross Society and Nepal Participatory Action Network have evaluation framework institutionalised as informed by them but this is not common to every CSO. Rather than evaluation, these CSOs conduct internal annual review of the project based on which the plan for the next year is revised (FGD on 12 April 2020).

Many CSOs conduct internal review largely with their staff using informal techniques such as staff workshop and draw lessons from the projects implemented by them. Some of the CSOs also collect lessons from the external evaluations. They use lessons from both internal review and external evaluation for preparing annual plan and periodic strategies. This is a common practice with some CSOs like Nepal Red Cross Society and NEPAN, for example (FGD on 12 April 2020).

In almost all cases, the evaluations are carried out largely because of requirement either by SWC or by donors. A very few evaluations, that also in the form of review are done while developing/reviewing the CSO strategy periodically, mostly in a five-year interval. Rather than evaluation, they carry out lesson learned exercises with their own staff and/or board to feed in the annual plan and strategic plan (FGD on 24 April 2020).

5.2.3.4 Demand for Evaluations by Civil Society Organizations

Evaluation demand by CSOs is quite low in Nepal. Demand of evaluation depends on capacity to use evaluation and ownership. Despite that the efforts to engage stakeholders in evaluation are continuing, they give low value to it and rarely use in decision-making. Discussions with some CSOs (FGD on 21 April 2020) reveal that some CSOs are thinking of demanding for evaluation for decision-making. Some of them take reference from other projects, some are partially doing it at the annual planning and strategy development. Some do not make this practice at all. Those who demand evaluation for decision-making they do it because it is made mandatory by donors and requirements for strategy development. They also mentioned that it is useful to make proposal strong to convince donor for project funding. Similarly, it has also good convincing capacity to stakeholders. There are some hindering factors for evaluation demand as revealed by the CSOs. These include lack of awareness about evaluation, importance of evaluation is not well understood, law of land does not require the demand for evaluation, and there is no robust system for evaluation demand. Other factors, as revealed by the interviewees working in CSOs are resource constraints both human and financial, irrelevant recommendations made by evaluation team, frequent turnover of decision-makers and inadequate enabling environment.

5.2.4 Professionalization (System of Professionalization)

5.2.4.1 Academic Study Courses and Training Practices

Some universities have M&E courses under certain faculties at graduate level. There are three universities offering M&E under education and agricultural extension faculties. The School of Education, Kathmandu University runs a 3-hours credit course on “Planning, Monitoring and Evaluation of Development Programmes/ Projects”. It has a module on “monitoring and evaluation” under the MPhil in Education (Development Studies). The course is designed to impart theoretical and practical aspects of monitoring and evaluation of the development projects and programmes. The content of the course includes conceptualizing planning,

monitoring and evaluation; project design and development; result-based monitoring and evaluation; log frame approach; linking project/programme plan in developing monitoring plan; evaluation; gathering, processing, and disseminating M&E information; report writing and dissemination; developing M&E system. Under the evaluation it has types of evaluation, mid-term and final (ex-post evaluation), evaluative research design, project/programme evaluation methods (tools/techniques), outcome and impact evaluation, programme evaluation in education, and reporting and feedback in evaluation (Dahal et al., 2016).

Similarly, Tribhuvan University has included a monitoring and evaluation unit in the Project Management course. The course aims at developing the skills of students in project monitoring and evaluation, linking project design and its results and monitoring and evaluation of development projects in the Nepalese context. Monitoring and evaluation has three units of the course. The Faculty of Education has evaluation as a compulsory component of the Bachelor of Education focused on students' performance evaluation and an optional specialization in the Master of Education degree (Ojha, 2014).

Likewise, M&E is offered at Agriculture and Forestry University's Extension Education programme at its graduate level. It has a two-credit course. The contents of the course include introduction, concept of evaluation and monitoring, principles and functions of evaluation, monitoring and evaluation, evaluation and extension, evaluation and research, evaluation and measurement, types of evaluation, role of objectives in programme evaluation, basic terminology, levels and types, taxonomy of educational objectives, criteria for selecting appropriate objectives, methods of stating objectives, techniques and procedure of quantitative and qualitative evaluation, different techniques and procedures and comparative analysis of other extension programme planning evaluation models. Here, practicum is offered in the design of a conceptual framework, develop objectives and indicators, conduct of a focus group, pre-test of a communication, processing of service statistics, use of participatory evaluation techniques, and writing an evaluation plan. (FGD on 21 April 2020) 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 (Ojha, 2014).

Non-academic training

Many development ministries have training centres which offer M&E courses of short period with focus on monitoring. The non-gazetted officer course is more about filling up formats, tick marking checklists and preparing report. The gazetted officer's course deals 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 (Ojha, 2014). The course differs by institution. For example, Local Development Training Academy and Nepal Administrative Staff College, each has 3-4 hours M&E course for five-week training and National Health Training Centre has 4-5 hours M&E section in a six-month course. The course content of the college include conceptualisation and definitions of monitoring and evaluation, timing for M&E and type and method of M&E. Regarding the evaluation, it deals with types of evaluation, level of evaluation, evaluation methods, use of evaluation, and M&E and follow up system (Uprety, 2008). However, these courses are offered on demand basis, therefore not regular.

Occasionally, VOPEs offer evaluation training on demand basis. Community of Evaluators Nepal offered general evaluation course to young and emerging evaluators (COE-Nepal, 2018). It also offered impact evaluation training to the evaluators. It conducted online training on the updated evaluation criteria. It has also carried out a three-day online evaluation training on evaluation in a crisis-situation to multisectoral agencies; a four-day online course for developing monitoring and evaluation plan for Hospital & Rehabilitation Centre for Disabled Children. Likewise, the Nepal Evaluation Society organises training and seminar to its members and others. One such training was on project monitoring and evaluation, a three-day training (KII on 18 April 2020).

The National Planning Commission provides M&E training with following approach: Capacity-building of the staff of its secretariat and ministry persons directly by its 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 (Ojha, 2014).

5.2.4.2 Journals and Communication Platforms

There is no academic journal of evaluation published so far, nor do the journals of other disciplines regularly deal with evaluation. However all three VOPEs have functioning websites

where updates of activities and initiatives are shared publicly. However the websites do not include scientific articles, blogs or academically written papers. COE Nepal has issued several volumes of the newsletter but it is not a regular publication. The newsletter includes updates about the COE-Nepal activities including training and updates from other countries or global events. Another platform for sharing the evaluation related issues is email lists such as COE-Nepal members coe-nepal@googlegroups.com; Nepal Evaluation Society nep.eva.society@gmail.com; Society of Monitoring and Evaluation Nepal somenepal@gmail.com. The list serves usually circulates training, job opportunities, events organized by various organizations. Evaluation conferences, webinars and events are another famous form of knowledge sharing opportunity. Many such events are attended by speakers/presenters from Nepal where knowledge and experience is shared. Evaluators from Nepal also have the opportunity to attend and learn from these opportunities. Nepal already hosted regional evaluation conclaves (similar to evaluation conferences) in 2013 and 2015 where many international participants attended.

Community of Evaluators-Nepal has also created online repository of evaluation for exploring, learning, and sharing evaluation options, approaches, methods, designs, tools, and techniques. In addition, it has code of conducts for evaluators (See <http://repository.coe-nepal.org.np/>). The repository is open. One of the objectives of the repository is to place evaluation reports conducted in Nepal in its dedicated file. However, it has not done yet to avoid duplication of activities with NPC, the government's main organ for evaluation. The NPC has also the similar activity in the Integrated National Evaluation Action Plan 2016-20 (NPC, 2016). NPC has uploaded evaluations conducted for it in its website (See <https://www.npc.gov.np>), not the evaluation reports carried out by other stakeholders.

One of the peculiarity in the current evaluation development in Nepal is that there exists a culture of working together by different stakeholders of evaluation since 2013. In this regard platform for sharing information is EvalNet where all the evaluation stakeholders participate and discuss common matters. EvalNet was established by NPC to strengthen the communication on evaluation. Through EvalNet meetings recommendations, different stakeholders contributed to development of national evaluation capacity enhancement plan.

5.2.4.3 Professional Organizations

Nepal currently has three VOPEs at the time of preparation of this writing. These are: Society of Monitoring and Evaluation, Nepal Evaluation Society, and Community of Evaluators Nepal. COE-Nepal was established in 2011 with the purpose of evaluation field building in Nepal. It is managed by a nine members governing board and the members include evaluators, development practitioners, academics and other interested people. There are 23 members actively engaged with the VOPE. COE-Nepal is a non-profit, non-partisan, non-governmental organization. Nepal Evaluation Society has been established in 2009 by a group of like-minded M&E professionals. Nepal Evaluation Society is housed to 36 members. SOME is a non-profit making organization, established on March 11, 2009.

All the three VOPEs are registered with the Government of Nepal in March 2010 under "Association Registration Act, 1978" as a non-governmental organization. All of them are members of the International Organisation for Cooperation in Evaluation (IOCE). While Nepal Evaluation Society is member of the Asia Pacific Evaluation Association, COE-Nepal is member of the Community of Evaluators South Asia. They are active in both national and international arena. They have developed code of conduct for evaluators (COE-Nepal, 2018) and contributed significantly to the preparation of equity focused and gender responsive evaluation, providing inputs to M&E Bill and in the preparation of the Integrated National Evaluation Action Plan 2016-2020 (NPC, 2016). They have participated in EvalNet workshops organised by the NPC in 2013, 2014 (KII on 10 September 2020).

While working together, they have also distinct areas of engagement. One of distinguishing features is that SOME and Nepal Evaluation Society do conduct project evaluation, whereas COE-Nepal does not do it. COE-Nepal, on the other hand, is engaged in organising evaluation conclaves and conferences, seminars and workshops, organising online courses, conducting research on evaluation, creating enabling evaluation environment by motivating parliamentarians to create evaluative culture, publishing newsletter and making evaluation tools available through the online repository. It was COE-Nepal that was instrumental in organising two international evaluation conclaves in 2013 and 2015 in partnership with Community of Evaluation South Asia (COE-SA). The COE-Nepal was also significantly engaged in hosting the culmination of the International Evaluation Year 2015 in Nepal in collaboration with the International Organisation for Cooperation in Evaluation and EvalPartners and COE-SA as well as other national partners like the government of Nepal and Parliamentary Forum on Development Evaluation Policy, Nepal. Such activities have

contributed to the professionalization of evaluation (KII on 8 September 2020). Having a greater number of VOPEs is good for evaluation professionalization but equally challenging due to competition, lack of coordination and lack of complementarity.

5.2.4.4 Existence and Compliance with Standards and Quality Obligations

There are no explicit guiding principles and standards for evaluators developed yet. But the commissioning agencies' terms of reference have some competency criteria required for evaluators. To have quality evaluation they look for education and experience. In addition, most of the agencies ask evaluators to use OECD/DAC criteria which are relevance, efficiency, effectiveness, impact, and sustainability depending on the nature of evaluation. The M&E Management Bill, which is yet to be approved, has also included coherence criteria in addition to the five above. The main features of the code of conduct for evaluators are maintaining integrity, confidentiality, honesty, quality assurance and respect participants rights; putting the beneficiaries at the centre; maintain confidentiality and ensure fair representation at all stages of evaluation; adopting do no harm principles; paying special attention to vulnerable persons, discriminated groups, deprived gender, equity, and human rights of beneficiaries and not being able to voice to be given special consideration into the project/programme; selecting participants to ensure that both women and men in relatively powerless, 'hidden', or otherwise excluded groups are represented; and avoiding conflict of interest (COE-Nepal, 2019).

Professional organisations such as VOPEs encourage their members to follow the code of conducts. Some members do follow the codes and encourage others to do so. However, applying these codes of conduct strictly by all evaluators is yet to be realised. Nepal is yet to work towards regularly issuing evaluation journal, developing certification system, arbitration board, and professorship (FGD on 21 April 2020).

5.2.5 Conclusion (Case Study-Nepal)

Nepal has comprehensive regulations for evaluation through the constitutional provisions being the only country in Asia Pacific region having evaluation directly embedded in the national Constitution. Nepal seems to be aiming to further strengthen the regulations for evaluation as the national evaluation bill is in process for approval. National Planning Commission as the designated public institution for evaluation is leading the evaluation function in the country. NPC through national evaluation guidelines have introduced a system for all the public

institutions to follow with clear instructions. The M&E units established at each public institution make the NPC role in evaluation easier and doable. The results based M&E guidelines (NPC, 2010) and national M&E guidelines (NPC, 2013) are key milestones in strengthening the evaluation practice. After introducing the new decentralized admin system in the country, NPC has developed new national guidelines for M&E (NPC, 2018) to suit the new system. This shows NPC's intention to improve M&E practices in changing situations. However the capacity of evaluators to conduct quality evaluations still seems to be a challenge in Nepal. And still monitoring is the most usual practice than conducting evaluations due to low demand and use of evaluations other than by donor community.

Evaluation practice at the public sector and the non-governmental sector is happening although that has not sufficiently supported to increase the supply side. The public sector seems to focus more on monitoring. However NPC, ministries and other departments conduct evaluations as per the national guidelines. NPC has been working at federal level but sub-national governments (provincial and municipal) have yet to institutionalize M & E systems. These structures are needed to ensure that evaluation is used in planning and management of development initiatives and the results are useful, help to assess the performance, impact and effectiveness of their programmes and learning are used for decision making process. Evaluation has been partly decentralized across the line ministries to facilitate this work but they are not well linked with major national development agenda and there in some cases contradicts with each other. All public institutions need costed annual evaluation plans and implemented properly. It is evident that non-governmental organizations are more active in conducting evaluations compared to the public sector as evaluation is included in many donors funded projects and it is a requirement of the SWC. However, use of evaluation needs to be strengthened.

Among the three VOPEs in Nepal, COE-Nepal has been instrumental in working with NPC, parliament, development partners and on regulations while other two VOPEs have contributed to some extent. Existence of three VOPEs doesn't show added value although there seems to be challenges due to competition among them. There are no academic courses specifically on M&E but M&E modules are taught in other academic courses. Capacity building of YEEs is a new area emerging in Nepal which needs more attention so that it will contribute to more qualified evaluators in future.

The role of parliamentarians is very critical and they seem positive to contribute towards this end but it was however difficult to see the notable actions from their side. Still the use of evaluation in the Parliament is not clearly evident and it needs to be thought of. It is true for beyond the Parliament too as use of evaluation is still need attention. This may require more advocacy and showcase how the evaluations can actually help in better management of development objectives. Although Nepal has many essential elements for the evaluation ecosystem, institutional and individual capacities on evaluation still face challenges. Changes in these two aspects will help to excel the evaluation practice and use.

5.3 Case Study- Philippines



*Image 5.3.1: Map of Philippines
Source: Geology.com*

5.3.1 General Country Overview

The Republic of the Philippines is an archipelagic country in Southeast Asia, bounded by the South China Sea, Philippine Sea and Celebes Sea. It has an area of around 300,000 km (120,000 sq. mi), which supports a population of over 100 million. As of January 2018, it is the eighth-most populated country in Asia and the 13th-most populated country in the world. The per capita GDP in Philippines is 3,102.71 while adult (15+) literacy rate is 98.2% and female adult (15+) literacy rate is 98.24%. Life expectancy at birth is 70.95 years (World Bank. 2021c). The country is considered to be an emerging market and a newly industrialized country, which has an economy transitioning from being based on agriculture to being based more on services, manufacturing and tourism industry.

The Philippines is governed as unitary state under a presidential representative and a constitutional republic where the President functions as both the head of state and the head of government of the country within a pluriform multi-party system. The government is also equally divided into three interdependent branches whose powers are vested by the Constitution of the Philippines:

The Legislative Branch - enacts legislation, confirms or rejects Presidential appointments, and has the authority to declare war. This branch is composed of the Upper house (Senate) formed by 24 elected senators and of the Lower house (House of Representatives) formed by 250 elected members from legislative districts in the provinces, cities, and municipalities, and representatives elected through a party-list system of registered national, regional, and sectoral parties or organizations.

The Executive branch - carries out and enforces laws and includes the President, Vice President, the Cabinet, executive departments, independent agencies, boards, commissions, and committees. The President and Vice-President both serve a six-year administrative term while cabinet members serve as advisors and are nominated by the President.

The Judicial branch - interprets the meaning of laws, applies laws to individual cases, and decides if laws violate the Constitution. The judicial power is vested in one Supreme Court and in such lower courts as may be established by law (Government of Philippines 1987a).

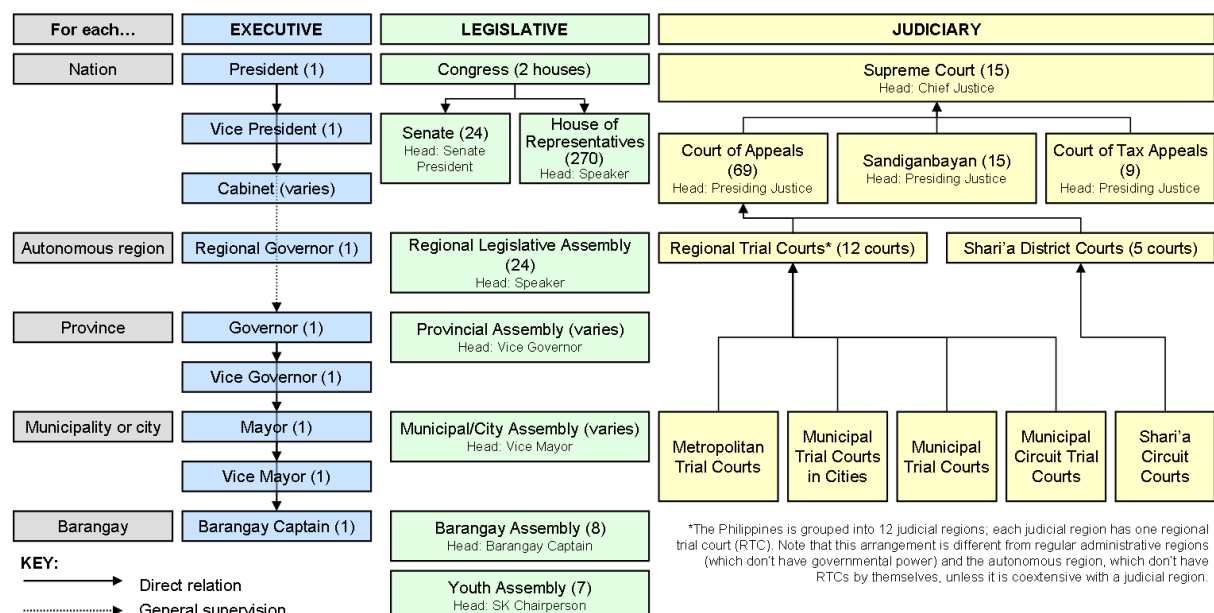


Figure 5.3.1: Philippine Government Structure
Source: Philippine Government Structure, retrieved from
https://commons.wikimedia.org/wiki/File:Philippine_government.png

The Philippines also has four main classes of administrative divisions and is collectively known as Local Government Units (LGUs). The divisions are the Autonomous regions, Provinces, Municipalities and Barangays.

The development agenda, Ambisyon Natin 2040 (NEDA, 2015a) is a nationwide vision statement developed in 2015 and was officially launched in March 2016. With Asia being projected to be the center of global economy by 2050, Ambisyon Natin 2040 is meant to keep the country in a forward-looking approach to become at par with the region's economic growth and development. In an effort to keep the country's citizens to be at the center of its development planning, a series of nationwide public consultations were convened to capture the Filipino's vision for themselves and use it as the government's guide to design initiatives that are geared towards the attainment of the people's aspirations. This consultation led to the development of the Ambisyon Natin 2040 and is now representing the nation's vision for the country and its citizens for the next 25 years.



Image 5.3.2: AMBISYON Natin 2040 - The Life of all Filipinos by 2040

This vision has been put into action after the signing of the Presidential Executive Order No. 05, Series 2016 “Approving and Adopting the Twenty-Five-Year Long Term Vision Entitled Ambisyon Natin 2040 as Guide for Development Planning” (Government of Philippines, 2016).

Ambisyon Natin 2040 was officially approved to be adopted as an anchor and guide for the development of all of the Philippine development plans until 2040 which covers up to four presidential

administrations. The rationale for this executive order is to ensure sustainability and consistency of strategies, policies, programmes and projects across political administrations. Within the same executive order there was an additional directive that all government departments, offices and instrumentalities, such as government-owned and/or controlled corporations and LGUs shall create plans that are consistent with the Ambisyon Natin 2040.

At the appointment of the current administration of the Philippine Government, incumbent President Rodrigo Duterte launched his economic agenda⁶ for his term at the presidential office. This agenda is also known as the Zero to 10 Point Socio-Economic Agenda which consists of 11 areas.

5.3.2 Institutional Structures and Processes

5.3.2.1 Evaluation Regulations

The Senate of Philippines participated at the EvalColombo2018 event where it became a signatory to the Colombo Declaration on Evaluation. As a follow up to its obligation to the Colombo Declaration, the Senate hosted the second day of the 2nd Asia Pacific Evaluation Association Conference at the Senate premises where it committed to bring an act to establish evaluation. As a result, two Senate bills were filed for the establishment of a legislated national evaluation in the Philippines. First was the Senate Bill No. 788 – An Act Establishing a National Evaluation Policy (Senate of Philippines, 2019b), filed few months after the APEA conference by Senator Risa Hontiveros. The submitted Bill refers to the NEDA-DBM joint memorandum for NEPF and mentions that the implementation is still challenging due to change in government administration. The purpose of the Act is to strengthen the legal and institutional framework for the regular conduct of monitoring and evaluation of the results of public policies, programmes, and projects. The Act also suggests to establish a National Evaluation Council (Senate of Philippines, 2019b) which is an important step in many ways.

Going beyond the above mentioned Bill, Senator Imee R. Marcos submitted the most recent Senate Bill No. 1885 – An Act Establishing A Result-Based National Evaluation Policy (RBNEP) (Senate of Philippines, 2020b) which already had its first reading of the upper house in October 2020. The Bill was then referred to the Senate committee secretary and NEDA for the refinement of the draft Bill for further review. This Bill aims to improve the overall effectiveness of public policies, strategies, programmes, projects, and overall organizational performance by strengthening accountability and learning through the enactment of the Results-Based National Evaluation Policy. The Bill also aims to contribute to the achievement of inclusive development and poverty reduction goals by institutionalizing the legal framework for the regular conduct of monitoring and evaluation of the results of ongoing and completed

⁶ Duterte Administration 0-10 Socioeconomic Agenda, retrieved from <http://www.neda.gov.ph/wp-content/uploads/2018/02/PDP-Brochure.pdf> visited on 7th August 2021.

development interventions (Senate of Philippines, 2020b). However both the Bills are yet to be approved by the Senate.

Supporting the two Senate Bills, the Congress of Philippines presented two Bills: #3293 and #8025 and had first reading⁷ of the same. The purpose of the Bills was to mandate the establishment of a NEP to strengthen regular evaluation of public policies, programmes, and projects, strengthening evidence-based decision, ensuring programme improvement, and promoting transparency and accountability in the public sector. The next step is to the Congress to approve the Bills. Once Bills are approved by both the Congress and the Senate after further reading, they become approved law in the country. The Bills include progressive features for institutionalization of evaluation in Philippines and once approved, could influence the evaluation field in the country (KIIs on 16 May, 17 September and 18 September 2020).

Currently in Philippines, the National Evaluation Policy Framework (NEPF) is in place which was developed by NEDA in an effort to improve the components of the public sector management cycle, and introduced to provide a framework for the purposive conduct of evaluation of all programmes and projects implemented by all government entities. In 2015, NEDA and Department of Budget Management (DBM) issued a joint memorandum circular (No. 2015-01: National Evaluation Policy Framework) to inform all public institutions on implementation of the Framework. The Circular has three purposes (NEDA, 2015b):

1. Promote and support for evidence-based decisions by providing essential knowledge and evidences to stakeholders regarding respective programmes and projects to create an evidence-based decision making related to the current and future planning of concerned initiative.
2. Ensure programme improvement by providing programme/project managers, decisions makers and key stakeholders of feedbacks and learnings to improve concerned initiative.
3. Ensure accountability by providing to the civil society, beneficiaries, donors and other interested parties of the evaluation results regardless whether it is positive or negative.

⁷ The first reading of the two Bills were held on 14 September 2021 which was reported by Violeta Corpus, Director, NEDA in the virtual event on “Institutionalizing a National Evaluation Policy Framework” held on 16 September 2021 and organized by the Congressional Policy and Budget Research Department, The Congress of Philippines.

NEPF covers the evaluation (at least once at the end of its life cycle) of all programmes and projects being implemented by all government entities (regardless of its funding source) or its instrumentalities such as government agencies, state universities and colleges, government-owned and/or controlled corporations, government financial institutions with budgetary support from the national government, and other instrumentalities of the government. All of the above-mentioned entities are also mandated to allocate adequate resources from their annual budget to ensure compliance with the provisions of this framework.

For the implementation and operationalization of the framework, an Inter-Agency Evaluation Task Force and its Secretariat composed of the NEDA and DBM Secretaries as Chairperson and Co-chair along with the President – Presidential Management Staff.

The functions of the taskforce involve the following:

1. provide overall policy direction and coordination on the evaluation agenda of the public sector;
2. report to NEDA Board on all evaluations conducted in the public sector;
3. authorize and commission the conduct of evaluations on top of those conducted by the implementing agencies;
4. issue evaluation standards and guidelines;
5. assess evaluation agenda of implementing agencies;
6. adopt sanctions and incentives system; and,
7. ensure the creation of appropriate institutional structures to mainstream the Policy Framework.

Through the NEPF, projects and programmes nationwide are assessed in terms of their efficiency, outcomes and impacts based on national priorities. This is done through a continuously maintained and updated six-year evaluation agenda (also known as the Philippine Development Plan – Results Matrix (PDP RM) which is meant to compliment and coincide with the timeframe of the Philippine Development Plan (PDP) and Public Investment Programme (PIP). As the framework covers all sectors and institutions in the country, there are no sector specific evaluation regulations exist and there is no need for that (KII on 17 September 2020).

Philippine Development Plan– Results Matrix and Public Investment Programme

The PDP RM (NEDA, 2017) was introduced and designed as part of the improvement of the planning process of the PDP (NEDA, 2016). The PDP RM is also based on results-based management, which focuses on performance by highlighting achievements of outcome and impact, to keep the PDP results oriented. As the first PDP integrating the Ambisyon Natin 2040, the 2017-2022 PDP RM were developed in coordination with all three main branches of the government to create guidelines and checklists to ensure that government agencies are on the same page and are all pulling towards the achievement of the Ambisyon Natin 2040. With the RM used as performance assessment tool, measurable targets and indicators that are assigned to its respective agency implementers is then monitored and reported on an annual basis through the Socio-economic Report (KII on 17 September 2020).

Monitoring and reporting of the Ambisyon Natin 2040, PDP and PIP (NEDA, 2018a) are all under the jurisdiction of the National Economic and Development Agency Secretariat, in coordination with various government implementing agencies. To secure the sustainability (Stockmann, 2012) and consistency in the implementation of the PDP across all government institutions and affiliates, NEDA and all the main three branches of the government have put in guidelines and checklists in the PDP (Banos, 2017) to monitor and evaluate all objectives under the PDP.

As stated in the Executive Order No. 05, Series 2016, the PDP 2017-2022 is the first medium term development plan to adopt and implement the Ambisyon Natin 2040 for its realization. The PDP aims to lay a strong foundation for inclusive growth, high trust society and globally competitive economy towards the realization of the nation's vision for 2040. It has outlined strategies that were classified into three main pillars: enhancing the social fabric, inequality-reducing transformation and, increasing growth potential of the economy.

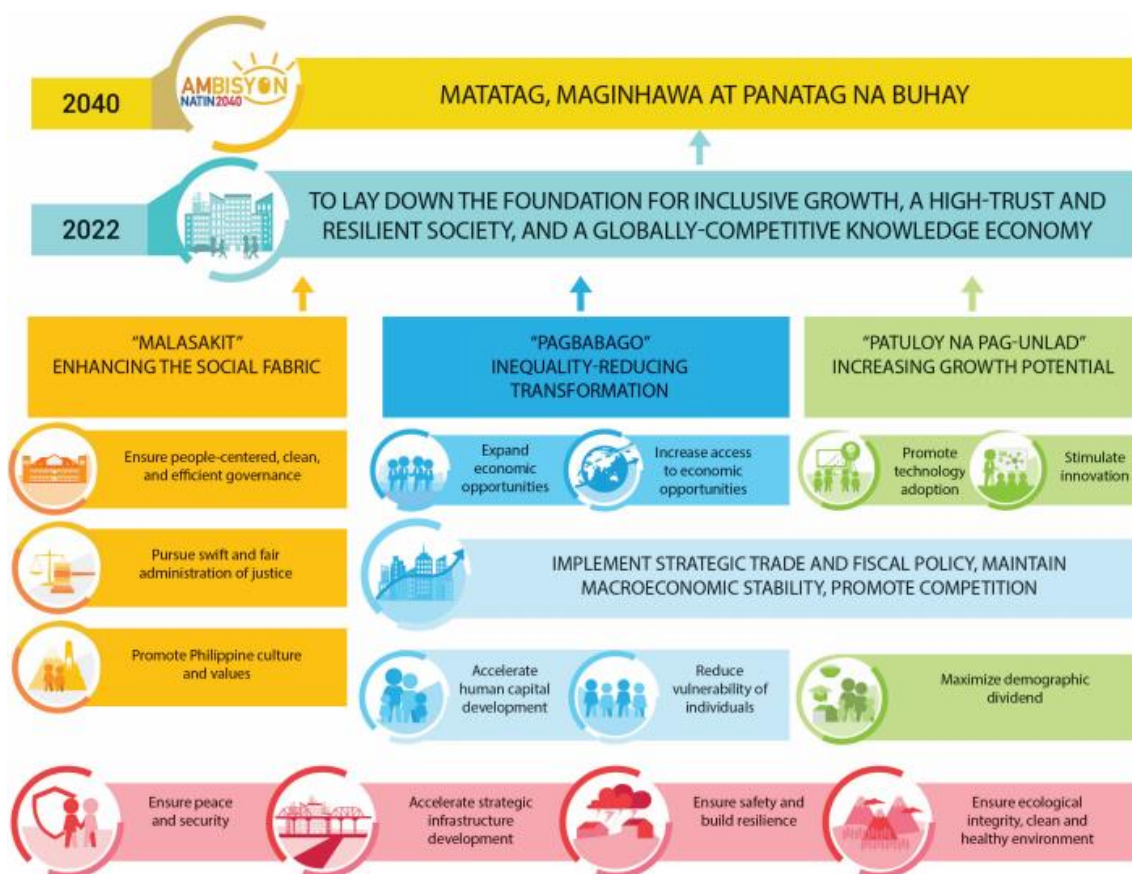


Figure 5.3.2: PDP 2017-2022 Overall Strategic Framework
Source: Philippine Development Plan 2017-2020

To boost project growth targets and strengthen coordination and consistency between all government agencies at all levels, Executive Order No. 27 (Government of Philippines, 2017) was approved on the 1st of June 2017. The executive order ensured that the PDP 2017-2022 is anchored on the current administration's 0-10 Point Socioeconomic Agenda and accounts for the country's commitments of the 2030 Sustainable Development Goals. It also directs all government agencies, and instrumentalities at the national and local levels, including government-owned and/or controlled corporations, to align their plans, programmes and budgets, with the PDP (KIIs on 24 February 2019 and 17 September 2020).

5.3.2.2 Parliament and National Audit Structure

As per the FGD on 16 May 2020, the Philippine Senate is the first national parliament in East Asia to host an international evaluation event, where a Parliamentarian's session was held at the House of the Philippine Senate during the conduct of the 2nd APEA Conference in February 2019. This session was a follow up to the previously held EvalColombo2018 in Colombo, Sri Lanka where participating countries created commitments to create a "call to action" towards

the development of evaluation agendas to support Agenda 2030 (GPFE, 2018b). Through the APEA Conference, the Philippine legislation acknowledged their role to strengthen the NEPF (Senate of Philippines, 2019a) and called for evaluating all government programmes and projects. This is an example how a VOPE can be instrumental in mobilizing governments and Parliaments for evaluation regulations. As mentioned in the previous section, two Senators submitted drafts Bills (#788 and #1885) to regulate the national evaluation policy. The both Bills comprehensively articulate the current status of evaluation in the country and why evaluation should be regulated with legal provisions. The Congress of Philippines already had the first reading of Bills #3263 and #8025 supporting above Bills. It is noteworthy to mention that both legislature houses in the Philippines actively proceed with the legal instruments for the evaluation.

The need for a stronger National Evaluation Policy (Bill) in the country was also addressed in recognition to evaluation being not widely and systematically integrated within all government processes and systems. Having a policy creates clearer language in setting expectations for performance, results and transparency and will help the government prioritize and make better decisions in spending, and serves as a guide in framing other policies (Senate of Philippines, 2020a).

Commission on Audit (COA) is an independent constitutional commission of the Philippines that examines, audits and settles all accounts pertaining to the revenue and receipts of, and expenditures or uses of assets of the government. According to the 1987 Philippine Constitution Article IX-D - The Commission on Audit, while COA have often been focused on monetary aspects, it has exclusive authority to “define the scope of its audit and examination, establish the techniques and methods required therefore, and promulgate accounting and auditing rules and regulations” (Commission on Audit, n.d.), in understanding that it’s for the prevention and disallowance of irregular, unnecessary, excessive, extravagant, or unconscionable expenditures, or uses of government funds and properties (Government of Philippines, 1987a). Hence, under the COA Resolution No. 2017-012, COA created a Performance Audit Office under its Special Services Sector. It is solely dedicated to conduct evaluation or performance audits on several low performing government projects and programmes and provide recommendations to improve its effectiveness and efficiency.

The following are few examples that COA has evaluated since 2017:

1. Herd Build-Up Carabao Development Programmes
2. National Greening Programme
3. GASTPE Programme
4. In-City resettlement Housing Programme
5. Disaster Risk Preparedness Programme
6. School-Based Immunization Programme

5.3.2.3 Organizational Structure

In 1987, under the Executive Order No. 230 (Government of Philippines, 1987b), the National Economic and Development Authority was restructured and mandated to be responsible for formulating, monitoring, evaluating and continuing coordinated and fully integrated social and economic policies, plans and programmes of the Philippine government.

According to the KII on 17 September 2020, at present NEDA is the country's premier socioeconomic planning body and is regarded as the authority in macroeconomic forecasting and policy analysis and research of the Philippines. It provides high-level advice to policymakers in Congress and the Executive Branch and is responsible for the following:

1. Coordination of activities such as the formulation of policies, plans, and programmes to efficiently set the broad parameters for national and sub-national (area-wide, regional, and local development);
2. Review, evaluation, and monitoring of infrastructure projects identified under the Comprehensive and Integrated Infrastructure Programme consistent with the government's thrust of increasing investment spending for the growing demand on quality infrastructure facilities; and
3. Undertaking of short-term policy reviews to provide critical analyzes of development issues and policy alternatives to decision-makers.

Under NEDA's investment programming group is the monitoring and evaluation staff. Whose main functions are the following (NEDA Secretariat, 2020):

1. Monitor the progress of ongoing strategic development programmes and projects that contribute to the achievement of the Philippine Development Plan goals, and evaluate their continued relevance/viability during implementation in coordination with NEDA-Central Office Staffs, NEDA-Regional Offices, implementing agencies, oversight agencies and development partners;

2. Prepare integrated reports on the status of ongoing development programmes and projects strategic to contribute in the achievement of the PDP goals;
3. Conduct ex-post evaluation of selected completed development programmes and projects strategic to the achievement of the PDP goals;
4. Provide technical input and secretariat support to the National Project Monitoring Committee, Project Implementation Officers, Investment Coordination Committee, and other inter-agency/inter-staff committees/working groups as may be deemed necessary;
5. Develop, operate and maintain information systems for the effective monitoring and evaluation of development programmes and projects strategic to contribute in the achievement of the PDP goals;
6. Set up standards, performance measurements, methodologies, procedures and guidelines on M&E related initiatives/ activities

Under the monitoring and evaluation staff also exists various Divisions: Transport Infrastructure Sector Division, Non-transport Infrastructure Sector Division, Social Sector Division and Economic Sector Division. All divisions are in-charge of monitoring the progress of their respective sector's development programmes, specifically its alignment and strategic achievement of the PDP. Each division is also designated to provide technical assistance for M&E of ongoing programmes, conduct ex-post project evaluations on selected completed programmes, maintain information systems and set-up standards, performance measurements, methodologies, procedures & guidelines on M&E-related initiatives/activities including RBM, post-evaluation, among others (FGD 16 May 2020).

To fulfil its role, NEDA, throughout the years have been conducting (along with the DBM) various reforms to build on previous planning and budgeting initiatives based on various tools and processes. In 2020, NEDA and DBM published the "Guidelines on Evaluation in the National Government" which covers seven areas on the evaluation process. It includes evaluation principles and basics, roles and responsibilities, initiate evaluations, prepare for an evaluation, implement and evaluation, report and ensure use, quality assurance of evaluation. The Guidelines have been published to support implementation of NEPF and request from the government staff to know how to conduct evaluations. It is important that the Guidelines ensure all aspects of evaluation including the use and quality assurance (NEDA, 2020).

Policy Context

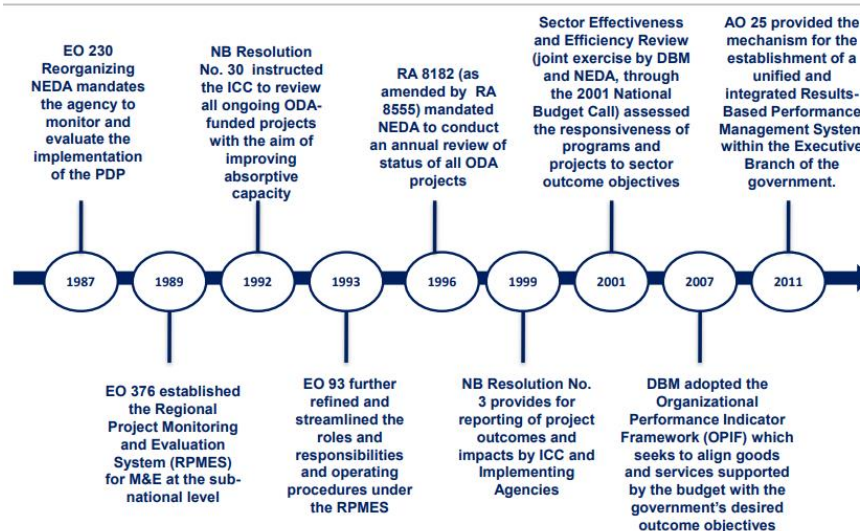


Figure 5.3.3: Policy Context of the Philippine National Evaluation Policy Framework
 Framework Source: Tungpalan, 2013

By 2011, NEDA started giving greater focus on the achievement of development results on priority sectors as DBM started to shift to results-based budgeting to ensure that the outputs of government agencies are consistent with their mandates. It was also within this year when harmonization of the Executive branch's performance management systems was prioritized, strengthening the link in the country's planning and budgeting process to ensure coherence on national targets and priorities (PDP RM) and agency deliverables. This harmonization was brought upon by the Administrative Order 25 - Creating an inter-agency task force on the harmonization of national government performance monitoring, information and reporting systems (Government of Philippines, 2011). Through administration order No. 25, it has been acknowledged that evaluation is an essential component for an effective and efficient performance management system and that there is a need for a harmonized results-based performance management system.

This change in focus brought upon a need for capacity to monitor and gather evidences that the government is able to achieve their intended development results and adopt alternative strategies when evidence suggests that results are not being achieved. Thus in 2015, NEDA and DBM developed a national evaluation policy framework for the conduct of evaluations in the public sector to ensure support for evidence-based decisions, and ensure programme improvement and accountability which is explained in 5.3.2.1.

5.3.2.4 Evaluation Practice and Use

With NEDA and DBM's focus shifted to results-based planning and budgeting process in 2011, demand for evaluation is steadily emerging, especially for the purposes streamlining and improving existing government initiatives that are often marked with extensions, cost overruns and outputs and outcomes that do not fit the desired national objectives. The release of Ambisyon Natin 2040 and other initiatives to further streamline government programmes towards achieving this vision, 0-10 Socioeconomic Agenda and country commitments in SDGs also further boosted the demand for evaluation (KII on 17 September 2020).

As of 2019, NEDA has commissioned several evaluation studies of varying statuses: and capacity building activities for NEDA and attached agencies (David, 2019). Since 2012, there have been a spike of government led national and regional evaluation studies. The following are some examples of completed evaluation studies commissioned by NEDA to Philippine Institute for Development Studies (PIDS, 2021), NEDA's attached agency and the government's primary socioeconomic think tank, since 2012 starting from their latest evaluation study:

1. Evaluation of the Effects of the Performance-Based Bonus Incentive Scheme
2. Process Evaluation of the Universal Access to Quality Tertiary Education Act (RA 10931): Status and Prospects for Improved Implementation
3. Process Evaluation of the Performance-Based Bonus (PBB) Scheme
4. Evaluation of the Impact of Agricultural Insurance Programme of the Philippine Crop Insurance Corporation on Agricultural Producers in Region IV-A (CALABARZON)
5. Impact Evaluation of Banana Insurance Programme in the Davao Region
6. More than Infrastructure and Equipment: Process Evaluation of the Health Facilities Enhancement Programme.
7. Formative Evaluation of the Department of Health's Complete Treatment Pack Programme.

Several government agencies do have their own fully established M&E units to conduct their monitoring and evaluation functions. However, the creation of these units still remains a challenge for other agencies, specifically for Local Government Units. For such instances, their M&E functions are often integrated into the mandates of their planning departments/divisions.

The following are examples of implementing agencies with their own M&E set-ups:

1. Department of Health
2. Department of Social Welfare and Development
3. Department of Transportation and Communications
4. Metropolitan Waterworks and Sewerage System
5. Technical Education and Skills Development Authority
6. Department of Science and Technology
7. Department of Trade and Industry
8. Supreme Court of the Philippines
9. Commission on Higher Education
10. National Council on Disability Affairs
11. National Housing Authority
12. Department of Environment and Natural Resources
13. Department of Agrarian Reform
14. Department of Agriculture

The FGD participants said (on 16 May 2020) that there are a lot of limitations on these agencies for them to conduct their own evaluations, such as financial barriers and varying levels of evaluation capacities across agencies and levels. For agencies who have the financial resources to conduct evaluations, ex-ante impact evaluations are most common than any other type of evaluations. Due to lack of capacity and experience in evaluation, these evaluations are often conducted by external evaluators. Evaluation is also more frequently conducted on foreign-assisted programmes and projects at the discretion of funding development agencies and donors.

Evaluations are also being conducted in the climate change initiatives in the Philippines. In the Philippine National Climate Change Action Plan (NCCAP) 2011-2028 (Climate Change Commission, 2011), a provision for the establishment of M&E system to track the progress and results of NCCAP is included (IIED, 2019) with an aim to integrate climate risks into the planning processes of current government initiative. The NCCAP Results Based Monitoring and Evaluation System draws data from gathered information at national and subnational levels, and aggregates the results from the seven thematic areas of NCCAP. This M&E system is geared towards measuring adaptation, and focuses on evaluating the outcomes of adaptation plans using the Results Based Monitoring and Evaluation as well as for the re-orientation of NCCAP if deemed needed.

While the Philippine NEPF states that all government initiatives should at least have one evaluation conducted in its project life cycle, its implementation is only limited to the executive branch (government departments, agencies, bureaus or offices) of the Philippine government. Thus, the establishment and operationalization of the NEPF is subject to uncertainty (Senate of Philippines, 2020c). This is especially true for when there are change in priorities in the advent of a new government administrations and for programmes led by local government units where strategic directions are heavily dependent on the “whims” of current elect administrative leaders. This phenomenon was also pointed out during key informant interview conducted on 16 May 2020. In addition, assessment of project and/or programme performance are often output oriented, and capacity for conduct of results-oriented evaluation is very limited. Should there be any, they are barely documented, often inaccessible and no standardized and systematic processes available in place. It is expected that the new “Guidelines on Evaluation in the National Government” will make a difference in the evaluation practice as it provides necessary knowledge and guidance in conducting evaluations (KII on 17 September 2020).

Strategic M&E Project

To strengthen the conduct of evaluations of priority government initiatives under the PDP and PIP, NEDA and UNDP have partnered up to implement the “Strategic M&E Project” (KII on 17 May 2020). The aim of the Strategic M&E Project is to accelerate the implementation of the Philippine Development Plan 2017-2022 and to build the evaluation capacity of NEDA and select government agencies. The project has the following components:

1. managing the conduct of independent evaluations of key government themes, sectors, and/or programmes;
2. supporting the implementation of the National Evaluation Policy Framework;
3. providing learning opportunities on evaluations to NEDA and other government agencies;
4. strengthening of a community of practice on evaluations; and
5. developing an online portal of government evaluation.

For the “managing the conduct of independent evaluations of key government themes, sectors, and/or programmes” component, UNDP have started to commission independent evaluation studies on behalf of NEDA (UNDP, 2020a). The evaluation studies will assess the relevance, efficiency, effectiveness, sustainability, and impact (if feasible) of completed or currently being

implemented government priority programmes. The end evaluation results from these studies are predicted to inform how policies (Smith & Brandon, 2011), and programmes should be designed and implemented to achieve the desired results of the PDP and SDGs. The studies are also expected to contribute to the development of government’s capacity to conduct evaluations by informing the implementing agencies of the M&E design, data collection systems and best practices.

Currently, UNDP have also moved to the implementation of the 2nd component of the project: “supporting the implementation of the NEPF” (UNDP, 2020b). To operationalize the framework, it was felt that a national evaluation agenda needs to be created to provide an overall policy direction and coordination of the evaluation of the public sector. Hence in October 2020, UNDP secured for the services of an individual consultant to formulate the National Evaluation Agenda Toolkit, and demonstrate how it can be used by drafting and validating the National Evaluation Agenda for 2017-2022.

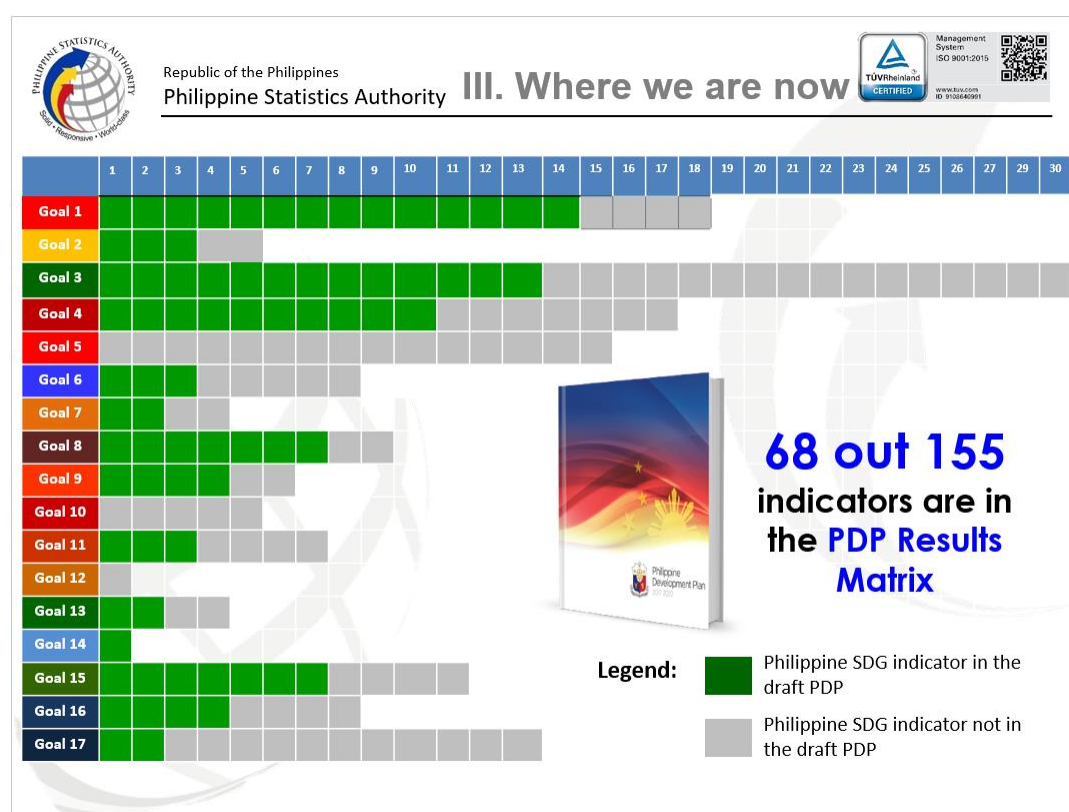


Figure 5.3.4: Philippine SDG Indicators vs. PDP Results Matrix Indicators

Philippine Statistics Authority (PSA), is the central statistical authority of the Philippines and collects, compiles, analyzes and publishes statistical information on multi-sectoral affairs of

the country (Government of Philippines, 2013). It is an attached agency of NEDA and is its main data partner in the monitoring of the country's achievement of the SDGs (PSA, 2016). Specifically, PSA conducts the following (Bersales, 2019):

1. Official repository of SDG indicators in the Philippines
2. Compile and maintain SDG Indicators Database and SDG Watch
3. Coordinate the generation and improvement of SDG indicators
4. Analyze the SDG indicators for policy-making
5. Dissemination and Raising public awareness on SDGs

PSA currently monitors 155 Philippine SDG indicators, 68 of which are indicated in the PDP RM. Aside from the PDP RM, the SDG indicators monitored at the provincial level are also being mapped into the Provincial Development Plan Result Matrices and City/Municipal SDG Assessment Matrices.

Use of evaluations

With DBM shifting from output to outcome-based budgeting process, evaluation results are used for the country's national budget formulation (KII on 16 May 2020). To develop the PIP 2017-2022, each government agency prepared a list of priority Programmes and Projects (PAPs) while taking note of the development agenda of the PDP and RM and guidelines issued by NEDA in identifying priority programmes. PAPs' that are complementary with other productive sectors and are identified with interregional and national impacts are also prioritized. These lists of priority PAPs are then submitted to NEDA for review and inclusion in the PIP (DBM, 2016). By having NEDA review the submitted PAPs, the evaluation results of each PAPs are used to identify which should be prioritized. The PAPs' efficiency, effectiveness, relevance and responsiveness to the PDP targets and RM outcome indicators are all taken into consideration before being included in the PIP.

The PIP is then used for the national budget preparation. Through the PIP, priority PAPs helps ensure that PAPs (which were initially identified by NEDA to be able to achieve sector outcomes) are accorded priority in the review of annual budget proposal of line agencies conducted by the oversight agencies and are expected to be provided with annual allocation. Despite evaluation being accepted as an indispensable tool for effective and evidence-based decision and policy making and should be institutionalized in the public sector management cycle, evaluations (its conduct and use) are never treated as priority as it is not mandated by

law to be implemented by government institutions. It is also widely acknowledged that government agencies do not have the capacity to conduct M&E and use evaluation results (FGD on 16 May 2020). Especially when faced with common evaluation issues such as contention against shifting baselines, activities to results attribution issues, differentiations on the levels of results and time lags between interventions and outcomes.

There are conflicting views regarding use of evaluation and of its results in the country. For the environmental/climate change sector, evaluation results are said to be used to inform government decision making, change policy priorities, create new programmes or implementation models and reallocate resources to programmes that are more cost effective or deliver higher results/impacts. For the government's legislative branch on the other hand, legislators still desire for a more robust, timely, evidence-based evaluation reports of government initiatives that are readily available and they could use for a more informed decision making (Senate of Philippines, 2020d).

5.3.3 Societal Dissemination/Acceptance (Social System)

5.3.3.1 Institutionalized Use of Evaluations by Civil Society

There is very limited documentation on use of evaluation and its results in the Philippines public sector or civil society. Awareness on evaluation is relatively low, and is often identified together with assessments or performance audits.

The most well-known evaluation however in civil society is impact evaluations. This is because impact evaluations are often conducted to satisfy requirements imposed by government agencies to achieve certifications, specifically the Environmental Compliance Certificate (ECC)⁸. An ECC is required permit for any project and be able to proceed with its implementation and/or acquisition of other approvals and other permits from other government agency and LGUs. ECC's primary requirement is for the project proponent to prepare an Environmental Impact Statement, which in short hand, is an impact assessment or evaluation report on the environmental impacts and mitigating measures of a project. Another example is in 2015 where the Department of Environment and Natural Resources (DENR) has mandated all mining contractors in the country to secure International Standard for Organizations Certification for Environmental Management Systems (ISO, 2015), and non-compliance shall

⁸ DENR Environmental Management Bureau Citizen's Charter – Environmental Compliance Certificate (ECC). Retrieved from <https://emb.gov.ph/wp-content/uploads/2020/07/Citizens-Charter-EIAMD.pdf>

lead to the suspension of their ECCs⁹. All organizations with ISO 14001:2015 certifications are required to have a complete procedure to monitor, measure, analyze and evaluate their environmental performance. In both instances, the results of these evaluation studies are only seen as regulatory or compliance documents and are rarely used by the proponent as a tool for planning, learning or decision-making processes (KII on 24 February 2019 and 18 September 2020).

5.3.3.2 Public Perception and Public Discourse

Evaluation is often perceived as a fact-checking and fault-finding tool, instead of an instrument used for improvement of the programme or intervention being evaluated. This is most especially true for community-based interventions where there is strong political play involved in choosing who could become beneficiaries for any government initiatives and programmes. Stakeholders involved in evaluation studies, more often than not, are more biased to say only favourable findings of the programme being evaluated to avoid being persecuted or having their status as programme beneficiary revoked.

And due to lack of use of evaluation and its weak linkage in planning processes, compounded with the issue of evaluation reports and discussions of its findings are rarely made publicly available, participation in evaluation activities is also publicly perceived as a futile effort with regards in its influence in improving programmes/projects (FGD on 21 October 2020).

Only exceptions where evaluation results are discussed are when “controversial” projects and programmes are involved and evaluation results (or lack thereof in certain cases) are weaponized for political play and agenda settings (Cabico, 2020). This weaponization is a common tactic often used by radical environmental advocates in the country and to create heated discussions on projects with high environmental impacts in news and social media. This use of evaluation results thus further strengthens the idea of evaluation being equivalent to a persecution tool.

5.3.3.3 Participation of Civil Society in Evaluations

⁹DENR mandates ISO certification for mining contractors. Retrieved from <https://mgb.gov.ph/2015-05-13-02-02-11/mgb-news/43-denr-mandates-iso-certification-for-mining-contractors>

Due to the large population (over hundred million), and as there are many disparities and enormous social issues in Philippines society, there are large number of social development programmes implemented mainly by non-governmental or civil society organizations. Their programmes are supported by external donors who emphasize monitoring and evaluation as part of the projects. Beneficiaries in the projects are usually passive participants of the monitoring data collection or evaluations. They usually participate as respondents in evaluations when they are selected as respondents. The evaluation reports produced by non-governmental or civil society organizations are submitted to donors as a requirement and rarely shared publicly. Therefore the beneficiaries do not see the evaluation results although they participate and provide information for evaluations. However their participation is limited to information provision rather than in key steps of an evaluation including planning, designing, analysis and dissemination. In addition general public is usually a subject of evaluations and research conducted in the country (FGD on 21 October 2020).

5.3.3.4 Demand for Evaluations by Civil Society Organizations

According to key informant interviews (16 May 2020), there are multiple cases where CSO leaders and programme beneficiaries would often create evaluation related demands during consultations. Such demand includes asking programme leaders or implementers to approach their group and inquire what their community needs and reform the programme to become more relevant to their context. And that these discussions should occur before implementing a programme. This shows that despite the lack of capacity and awareness on the concept of evaluation, stakeholders still often look for avenues to provide their feedbacks with regards to the improvement of efficiency, effectiveness and relevance of the initiatives that they are involved in. However, due to the lack of existing infrastructures to process such feedbacks from the programme beneficiaries (especially for government-led initiatives), the relay of such information is heavily dependent on the capacity and biases of the evaluator conducting the study.

5.3.4 Professionalization (System of Professionalization)

5.3.4.1 Academic Study Courses and Training Practices

Programmes of higher university education for evaluators do not exist in Philippines. Closest resemblance of evaluation being discussed academic institutions as a scientific subject only exists in the environmental sciences field. An example is an undergraduate course for environmental sciences from the Department of Environmental Science of Ateneo de Manila University, established in 1992 with a population of 333 students and alumni and 20 faculty members. The environmental science course offers discourse on “Environmental Monitoring”, “Environmental Impact Assessments” and “Environmental Risk Assessments and Management” as major subjects. However, these subject discussions are often oriented towards scientific research or urban development. There are 101 universities offering environmental science related studies in the country. From these, 79 universities offer of which are undergraduate courses, 40 offers graduate studies and only 6 post graduate courses. There are also 3 universities who offers certification courses (FGDs on 15 November and 5 December 2020).

Under government initiatives, capacity building activities are available for implementing agencies with M&E systems. However, it is not conducted on a regular basis, nor does it have a standard competency framework. Such activities are also heavily reliant on external evaluation companies or independent evaluators to provide such services.

During the FGD with various stakeholder conducted on 16 May 2020, a need to have courses on M&E was pointed out. It was said that such capacity development programmes are required at various levels. There should be specific long time course on M&E in the University as a separate discipline. More over short term workshops should be conducted for various stakeholders to enhance capacities in evaluation. Some awareness generation programmes are also needed at country level so that civil society is aware of the utility of evaluation based interventions and result could demand evaluations.

5.3.4.2 Journals and Communication Platforms

As usual in many Asian countries, there are no academic journals on evaluation in Philippines also. There have been scientific articles on evaluation in other academic journals but information on any of them is not available. NEDA introduced National Evaluation Portal <https://nep.neda.gov.ph/> which consists of information on evaluation, guidelines, leaning and networking. The portal is still merging as more information to be uploaded. None of the three VOPEs have a website or a listserve for dissemination of information to members and the

evaluation community in the country. Philippine Evaluators for Development (PHILDEV) has a FaceBook page (PHILDEV, 2021) which is regularly active with updates on ongoing programmes at the global, regional and national level. M&E Network Philippines also has a FaceBook page (<https://www.facebook.com/groups/MandENetworkPH/>) where they live telecasted the annual conference. Pilipinas Monitoring and Evaluation Society (PMES) have a website (PMES, 2021).

Most of the evaluators from Philippines are part of the regional and global evaluation listserves such as APEA Network, Peregrine, XCeval, IDEAS, IPDET, EvalYouth etc. Through these listserves, evaluators receive necessary information about jobs, events, training and other opportunities. (FGD on 21 October 2020).

5.3.4.3 Professional Organizations

Under the IOCE database¹⁰, there are three existing VOPEs in the Philippines. First is the M&E Network Philippines – is an informal network of development practitioners composed of government, development partner agencies, academia, M&E practitioners and consultants and other organizations doing M&E. It is established and maintained by the NEDA Project Monitoring Staff, with the support of UNICEF and is estimated to have over 150 members, a third of which are under the government sector. The network was launched with an intention to advance professionalism in the M&E community and develop a culture of result's orientation in evaluation. (NEDA, 2011) The Network is also part of the collaboration between NEDA and UNDP with the conduct of the Strategic M&E Project.

Since 2011, the network has been conducting annual the M&E Network Philippines Forum participated by national government agencies, development partners, M&E practitioners and other M&E stakeholders. The forum provides an opportunity to all of its participants to enhance their skills and competencies in evaluation results by providing learning sessions on M&E tools and skills. It also serves as a platform to house discussions on building and reinforcing

¹⁰ VOPE Directory | International Organization for Cooperation in Evaluation, at <https://ioce.net/vope-directory> visited on 10th August 2021

evaluation communities to develop the evaluation culture in the Philippines. In consideration with the COVID-19 pandemic, the network held the 8th Forum live on Facebook and have extended a webinar series with provisional theme of “Navigating the New Normal: M&E in the 2020s” (NEDA UNDP, 2020).

The second VOPE is the Pilipinas Monitoring and Evaluation Society. A group of 65 M&E practitioners committed for the development of the M&E profession in the Philippines. Their main goal is to promote M&E capacities and competencies among practitioners and stakeholders in the country. PMES on the other hand, does not engage in any activities addressing governmental evaluation policies. Its programmes are heavily focused on capacity building among its members and development of a database of M&E professionals for more efficient collection and distribution of M&E knowledge and information. Example activity includes workshops on Impact Evaluation and Qualitative and Quantitative Analysis on Monitoring and Evaluation (M&E). Its latest activity was to conduct a five-day learning workshop called “M&E Boot Camp” in 2019, to capacitate its stakeholders on Results Based Monitoring and Evaluation (RBM&E) (KII on 24 February 2019 and FGD on 21 October 2020).

The third VOPE is PHILDEV, a professional organization and think tank that adopts and advocates for the use of RBM&E, and aims to develop a culture of transparency, accountability and effective performance through evaluation. PHILDEV has 44 members and is the only VOPE that is the member of the APEA. It is heavily involved in regional and international evaluation engagements. PHILDEV hosted the 2nd APEA International Evaluation Conference in 2019 Manila, Philippines and is now currently involved in the Eval4Action campaign (Decade of Evaluation for Action, 2020). Through the campaign, PHILDEV also helped develop the Asia Pacific Regional Evaluation Strategy for the realization of its goal: “Greater use of evaluation contributing positively to achievement of national development goals and SDGs in Asia Pacific Region”.

PHILDEV also offers a variety of evaluation related public training courses, among others:

1. Results-Based Monitoring & Evaluation
2. Integrated Strategic Planning and RBME for Public Sector Management and LGUs
3. Impact Evaluation
4. Designing and Conducting Evaluation

5. Exit Strategy & Sustainability Planning

Out of the three VOPEs, only the Philippine M&E Network has direct network to NEDA. PMES and PHILDEV, on the other hand, while having their own networks and initiatives in promoting evaluation, they do not have the same network and connection to NEDA as the Philippine M&E Network does. And while there may be common networks among the three, there are no direct cooperation or coordinated activities between the three VOPEs.

Although there are three VOPEs in the country and NEDA plays the designated public institution for evaluation, there is no particular programme for certification of evaluators in the country or any prospective programmes towards for that. Evaluators are considered for hiring by recognizing their experience and past track record. However there are no pre-determined criteria commonly accepted to recognize evaluators in Philippines.

5.3.4.4 Existence and Compliance with Standards and Quality Obligations

During the Seventh M&E Network Forum conducted by NEDA in support from UNDP (NEDA, 2018b) it was announced that the preparation of the Philippines NEPF guidelines which was finally published in July 2020 as “Guidelines on Evaluation in the National Government” (NEDA, 2020). The Guidelines include technical aspects of conducting evaluations as well as full section on quality assurance as well. The Guidelines provided a quality assurance check list” which helps to check whether the evaluation is in line with set quality standards. However still evaluations of donor funded projects are conducted according to guidelines imposed or/specified by donors who are financing the specific projects. The OECD-DAC Evaluation Criteria is currently the most used standard for conduct of evaluation by NEDA and will be as the basis for the currently being developed bill for the establishment of the RBNEP Act, as demanded by the upper house of the congress during the first reading of the RBNEP Act. The use of new 2020 Guidelines will be gradually applied to all evaluations as a matter of time when monitoring and evaluation staff are more familiar with them.

There is also no existing local ‘certification system’ (Jones & Worthen, 1999), arbitration board or professorship available for the M&E field in the country to ensure the quality and competence of local evaluators (FGD on 21 October 2020).

5.3.5 Conclusion (Case Study- Philippines)

NEDA is the designated public institution to promote and implement evaluation in the country. Philippines has the National Evaluation Policy Framework established under the circular No: 2015 -10 which was jointly issued by the NEDA and DBM for public institutions to implement the NEPF. It has been complimented by the Philippine Development Plan Results Matrices which are followed by all the public institutions. The Senate of Philippines developed the draft national evaluation policy Bills and submitted to the house for approval. The Philippines Congress also complemented them by having two supportive Bills. Once approved, Philippines will have a legal framework for evaluation. Demand and use of evaluation in the Senate or Congress is not evident in Philippines. However the progressive steps in the both Senate and Congress of Philippines regarding the national evaluation policy Bill is commendable. The Commission on Audit conducts performance evaluations which is a new development and noteworthy to mention compared to other three countries.

Evaluation practice is mainly through NEDA as it is the institution initiate and leads evaluations but annual evaluation plan is missing or no systematic approach of evaluating public programmes. However there are no evaluation guidelines, ethics and standards established in Philippines for evaluations. Currently evaluations are conducted based on the guidance provided by NEDA.

Evaluations are conducted by internal and external evaluators at the public institutions whereas UN agencies, NGOs and other organizations mostly hire external evaluators. Evaluation use is a challenge as usual in Philippines too. Evaluation results are used for budget formulation by ministries and departments when preparing annual budgets.

Citizens are hardly aware of evaluation, and do not demand or use evaluations. Therefore evaluation does not become a priority of politicians or officials. The large number of civil society organizations as part of projects use M&E where monitoring gets more attention than conducting evaluations.

There are no academic courses on evaluation in Philippines and FGD participants see it is a need in the country. Although there are three VOPEs in Philippines: M&E Network Philippines, Pilipinas Monitoring and Evaluation Society and Philippine Evaluators for Development, evaluation is yet to be established as a profession. Network is part of the NEDA

and PHILDEV is a member of the Asia Pacific Evaluation Association. The three VOPEs do not coordinate with each other or do not work together on common agenda.

5.4 Case Study - Bangladesh



Image 5.4.1: Map of Bangladesh
Source: Geology.com

5.4.1 General Country Overview

The evaluation system in Bangladesh is not backed by any law or decree at national as well as district level. Efforts to establish a robust evaluation system were started after the independence of the country in 1971 but these are slow and ad hoc. No evaluation policy exists in the country to regulate monitoring and evaluation and results. Evaluations are mostly donor driven with very little utilisation of findings. Capacities of evaluators are not up to the mark. Bangladesh is making significant efforts in regulating the evaluations in the country with involvement of various stakeholders. It is necessary to understand the need for regulation of evaluation in the country in context of its demography, social, economic and political structure.

Bangladesh, home to 164 million people, is one of the world's most densely populated countries. While the population is predominantly rural, it is rapidly urbanizing with 35 percent of people now living in urban areas, according to World Bank estimates (2019b). The population shifts have brought changes in health demographics, exacerbated by a high rate of poverty which is posing challenges on several parameters of development health being one of these (Measure Evaluation, 2020). The GDP per capita income in 2018 was \$ 1,698.26. Adult (15+) literacy rate is 76.91% while female adult (15+) literacy rate is 71.18%. Life expectancy at birth in Bangladesh is 72.05. On certain parameters of socio-economic parameters, Bangladesh is regarded for significant achievements globally. It in a way is one of the very few countries in the world consistently maintaining an average steady growth rate of 6.5% during the last ten years (NPC-Bangladesh, 2017). With an all-time high national growth of 7.24% in financial year 2017, the per capita income is US\$ 1970 in June 2020 (www.ceicdata.com). In 2015, per capita income of the country crossed the Lower Mid Income threshold. Bangladesh today is the 44th largest economy in the world in terms of GDP and 32nd in terms of purchasing power parity. According to PricewaterhouseCoopers (2017), Bangladesh would emerge as the 28th economy of the world by 2030 and 23rd economy by 2050 (NPC-Bangladesh, 2017).

The Government envisions transforming Bangladesh into a middle-income country by 2021 and a developed country by 2041. This vision has already been translated into an actionable agenda by formulating Perspective Plan (2010-2021) and two five-year plans: 6th and 7th five year plans (NPC-Bangladesh, 2011 and NPC-Bangladesh, 2017). As the 2030 Agenda was in the process of being adopted at the UN, it was an opportunity for Bangladesh to integrate the priorities of 2030 Agenda in the 7th Five-year plan (2016-2020). Bangladesh is focusing upon two main areas namely Digital Bangladesh and Regional Connectivity in all the development activities. Geographical location, burgeoning middle class and existence of an industrious work force have made the country a natural hub for business, 'investment and networking' (Kistler, 2011) in the region and beyond.

Governance system in the country

Bangladesh has a framework of a parliamentary representative democratic republic that elaborates the administrative system of the country. According to this framework, the Prime Minister of Bangladesh is the head of the government, and of a multi-party system that prevails in the country. Executive power is exercised by the government. Legislative power is vested in

both the government and the parliament. The Constitution of the People's Republic of Bangladesh gives the legislature the name Jatiyo Shangsad which means House of the Nation. It is commonly known as Parliament.

Parliament of Bangladesh is a unicameral legislature consisting of 350 members of which 300 Members from 300 territorial constituencies that is one from each constituency, on the basis of adult franchise. Parliament has a gender focus and therefore the remaining 50 seats are reserved for women who are elected by the aforesaid elected Members in accordance with law on the basis of procedure of proportional representation in the Parliament through Single Transferable Vote. As per provision of clause (3) of article 72 of the Constitution, the term of a Parliament is five years.

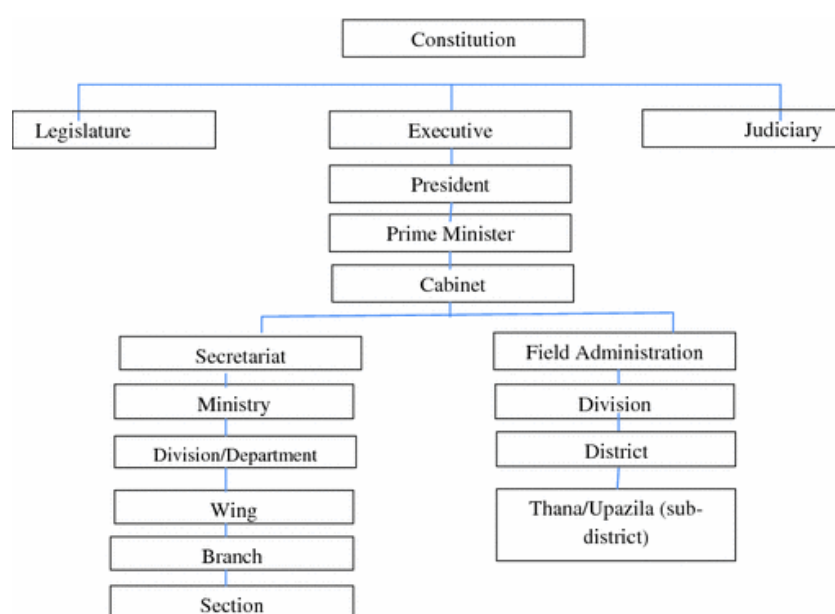


Figure 5.4.1. Governance Structure of Bangladesh

Source: P.K. Panday, *The Administrative System in Bangladesh: Reform Initiatives with Failed Outcomes*. https://doi.org/10.1007/978-3-319-90191-6_10

There are 8 divisions and 64 districts in Bangladesh, each district further subdivided into *upazila* (sub districts). The area within each sub district, except for those in metropolitan areas, is divided into several *unions*, with each union consisting of multiple villages. Direct elections are held for each union (or ward), electing a chairperson and a number of members. District Council (or Zila Parishad) is a local government body at the district level. The Bengali word *parishad* means council and *zila parishad* translates to *district council*. The District Council, being as a highest tier of the local government, is supposed to be an

autonomous and the supreme body to look after the overall development activities in district level. But in practice, it is merely a setup confined with few charitable works.

5.4.2 Institutional Structures and Processes

5.4.2.1 Evaluation Regulations

Evaluation started evolving in the country in 1975, with the introduction of Project Implementation Bureau (PIB) under the Office of the President. Later in the same year PIB was placed under Ministry of Planning. In 1977 PIB was given the status of an independent Division. In 1982 PIB was named as Implementation Monitoring and Evaluation Division (IMED).

Bangladesh has a system of preparing five-year medium-term development plans and currently the Seventh Five Year Plan (2016-2020) is in operation (NPC-Bangladesh, 2017). The SDGs priorities have adequately been reflected in the seventh development plan, which came out almost simultaneously with SDGs declaration. The Plan integrates the SDGs within its priority agenda of the economic, social and environmental development. Development policies and strategies reflect the overarching goal of achieving pro-poor growth. Sustained growth over the last one decade has been instrumental in reducing poverty (Government of Bangladesh, 2017).

It is noteworthy that Bangladesh does not have any mention of evaluation in the Constitution. The country also does not have any formal national evaluation policy or sectoral regulations on evaluation. However, in June 2019, IMED published “M&E Policy study” which proposes provisions and contents for a monitoring and evaluation policy framework for health, education and social development sectors (IMED, 2019a).

Understanding the need for a systematic, results oriented, reliable, and effective monitoring and evaluation system, IMED took the initiative to prepare this policy study consolidating various frameworks from the past monitoring and evaluation processes and practices, and consulting with many other M&E policy documents of different countries relevant to Bangladesh’s development strategic context in implementing the Annual Development Programme. This Monitoring and Evaluation Policy Framework has the core objectives to (IMED, 2019a):

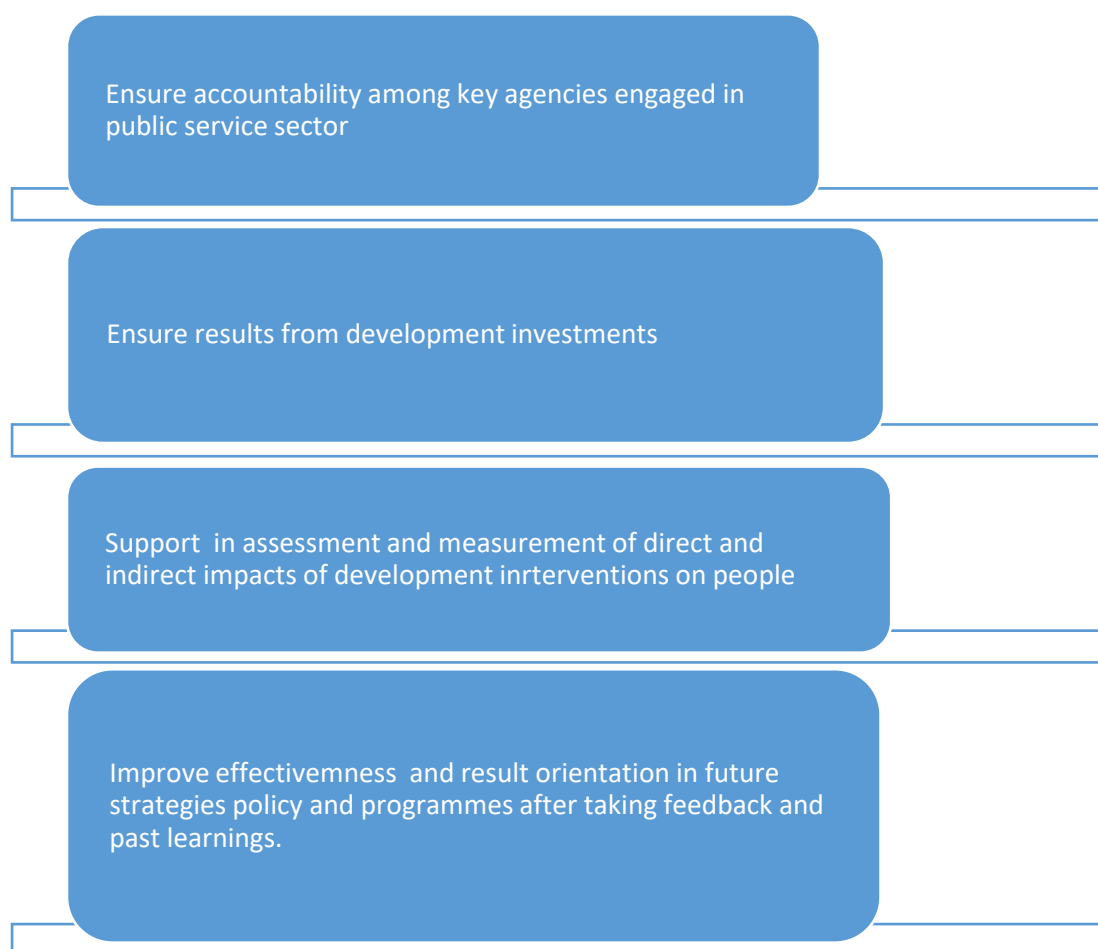


Figure 5.4.2: Core Objectives of IMED Policy Framework
Source IMED Policy framework, 2019

It is expected that the policy framework would be instrumental in making overall monitoring activity systematic and inclusive by establishing a well understood, user-friendly, and explicit monitoring and evaluation process and thereby would contribute towards ‘making the vision 21 happen’ which is details below. It can be noted that this framework is considered as IMED M&E policy rather than a national M&E policy. Its application in the evaluation system is yet to be ascertained. As such there are no laws or national decrees relating to evaluation. Also there are no sector wise M&E regulations in Bangladesh.

Moreover, the current Development Perspective Plan – vision 21, the 6th (2011- 2015) and 7th (2016 – 2020) Five Year Plans have given special importance to reform the present M&E system of IMED and to transform it into a result-based M&E management being equipped with information technology for ensuring efficient and transparent services (NPC-Bangladesh, 2011 and NPC-Bangladesh, 2017). The 6th Five Year Plan mentioned, in the context of vision 21

that the result based M&E would be critical to helping government track and monitor progress with implementation of the respective targets. The Plan further introduced RBM&E. The ongoing 7th Five-Year Plan takes specific steps to move towards results-based M&E. This system is likely to bring about major political and cultural changes in the way governments and organizations operate, leading to improved performance, increased accountability, transparency, learning and knowledge. In the specific context of “Vision 2021” and the 7th Five-Year Plan, results-based M&E is recognized as critical to helping the Government track and monitor progress with implementation of the respective targets and take corrective actions when major gaps or divergences emerge. The 7th Five-Year Plan has identified a Development Results Framework with 88 results against the 15 priority areas; each indicator has benchmark and target figures (NPC-Bangladesh, 2017).

It was envisaged that IMED would help the government in bringing out major cultural changes leading to improved performance; increased accountability and transparency; and build a knowledge base for preparing better future projects (NPC-Bangladesh, 2011. p 239). The 7th Five Year Plan has repeatedly mentioned that the IMED needs to take necessary initiative to undertake RBM&E in place of the traditional M&E, and for that the capacity, accountability and roles of IMED need to be developed, and towards that a policy framework necessarily should be in place (NPC-Bangladesh, 2017. p I). IMED has set out its strategy to redefine its M&E roles and approach in context of the need for RBM&E and towards that it considers that a policy framework necessarily should be in place and functional.

5.4.2.2. Parliament and National Audit Structure

The system of evaluation at Parliament level is very narrow. But some parliamentarians are aware of the need to strengthen it at that level. The role of parliament can be crucial in establishing professionalism in evaluation in the country. As such evaluations and evaluation use is not embedded in parliamentary structure. The need to engage parliamentarians in evaluation process was recognized by the Hon. M.A. Mannan, a Member of Parliament Bangladesh who participated as one of the three panelists of the first ever parliamentarians panel in an evaluation conference which was held in early 2013. He was also a founder member of the Parliamentarians Forum for Development Evaluation – South Asia, the first ever parliamentarians’ forum for evaluation in the world. He at present is the Minister of the Bangladesh Planning Ministry under which the IMED is positioned. Since 2013, the Bangladesh parliamentarians attended several regional and global evaluation events such as the

Regional Consultation on National Evaluation Policies and Systems held in September 2014, Global Evaluation Forum held in November 2015 and EvalColombo2018 held in September 2018 and opined the necessity of parliamentarians' engagement in evaluation. However, there is still no formal mechanism in the Bangladesh parliament to conduct or use evaluations (KII on 12 December, 2020).

The 2017 VNR mentioned that the Speaker of the parliament has decided to form goal specific (SDGs) parliamentary sub committees to offer regular guidance to the government in implementing SDGs and also oversee the progress (Government of Bangladesh, 2017). This has not yet been fully realized. Once implemented, this can be an entry point for the Bangladesh parliament to promote evaluation in the parliamentary set up. Parliament as such do not commission evaluations and evaluations conducted in the country as such are not utilised for policy planning. Evaluations hardly come up for any discussions in parliament (KII on 12 December 2020).

Controller and Auditor General (CAG) of Bangladesh is the supreme audit institution in the country. It was established with the articles 127-132 of the Constitution of the country. This institute is responsible for maintaining accounts of the republic and audits all receipts and expenditure of the Government of Bangladesh, including those of bodies and authorities substantially financed by the government. The reports of the CAG are discussed by the Public Accounts Committee, which is a standing committee in the Parliament of Bangladesh. In more recent times, in addition to carrying out the traditional approach of conducting financial audits and compliance audits, the Office of the Comptroller and Auditor General of Bangladesh has introduced performance audits, which focus on evaluating economy, efficiency and effectiveness in the management of public resources of different government entities. However still the main role CAG is playing is financial assessment rather than performance evaluation (KII on 22 December 2020).

5.4.2.3. Organisational Structure

Implementation Monitoring and Evaluation Division, under the National Planning Commission is the designated public institution for monitoring and evaluation in Bangladesh. IMED is the apex body of the Government of Bangladesh to monitor and evaluate the implementation of the public sector development projects included in the Annual Development Programme. In

addition there are no any autonomous evaluation units in presidential or Prime Minister's offices. Some ministries have M&E units but they are not autonomous units.

The prime function of the IMED is to monitor and evaluate the implementation of development projects in order to enable the Ministries and Executive Agencies to ensure timely implementation. Through monitoring and evaluation, it points out to the project implementing ministries and other appropriate authorities the progress of implementation and problems encountered, if any, relating to the quality, time, cost etc. for taking remedial measures (www.imed.gov.bd).

‘Functions of IMED include:

- Monitoring and evaluation of implementation of development projects included in the Annual Development Programme;
- Preparation & Submission of Monitoring and Field Inspection Reports of on-going projects,
- Preparation & Submission of ADP Implementation Progress Reports for Review,
- Preparation & submission of Quarterly, Half-yearly and Annual Progress reports to National Economic Council, Executive Committee of National Economic Council, Ministries and all other concerned;
- Carry out functions relating to Central Procurement and Technical Unit and Public Procurement Act & Rules;
- Increase efficiency of the officers in the work of monitoring and evaluation.
- Terminal and/or Impact Evaluation Reports of completed projects.
- In-depth monitoring & evaluation of selected projects by appointed specialized consultant’ (Rahman, n.d.).

IMED plays a role in each project at all stages such as before the project approval, during the project implementation and after the project implementation (Table 1). Before project approval, IMED recommends the project through the Project Evaluation Committee and Departmental Project Evaluation Committee or Special Project Evaluation Committee (SPEC) and Departmental Special Project Evaluation Committee for the approval of the project by sharing the experience of the previous phase of periodic projects. It provides technical support to prepare the log-frame, the rational budget and preparation of procurement plan. The IMED support also helps to avoid duplication of the project activity. During Project Implementation,

IMED is involved in monitoring the project activity including procurement process, participates in ADP review meeting of different Ministries/Divisions and share the field experience of project, recommends for the proper implementation of the project, provide training to the project personnel on monitoring and procurement and conduct mid-term evaluation where necessary. After project implementation, IMED evaluates the completed project. IMED also evaluates impact of the projects but this activity is limited for a few projects only. (Key informant interview on 12 December 2020). The table 5.4.1 indicates that the country has a government institution assigned to look after M&E activities. Specific activities and their modus operandi are well defined. The table also shows that there is a provision to involve civil society organizations as Citizens' Charter is a part of the system. Citizens' Charter is an important document which includes various stakeholders including private sector, teachers etc. It also elaborates their specific roles and actions.

Moreover, at the structural level, an inter-ministerial SDG monitoring and implementation committee comprised of Secretaries from 21 Ministries has been formed. A high level position, Principal Coordinator (SDG Affairs) had been created at the Prime Minister's Office to head the committee. (FGD on 20 December 2020). The General Economics Division (GED) of the Planning Commission serves as secretariat. The role of the committee is to implementation and monitoring of SDGs. The Committee mapped out the responsibilities of the Ministries/Agencies against 169 targets and 230 indicators so that individual ministry can prepare its own action plan to achieve the SDGs (Government of Bangladesh, 2017).

In order for carrying out their responsibilities, the Ministries are now in the process of preparing their own action plan which would have specific actions/ activities and interventions to achieve their respective goals/ targets. The Ministries are consulting both the 2030 Agenda and 7th FYP so that they can appropriately formulate short, medium and long-term development plans. The outcome of this consultation would be reflected in "Action Plan of 7th FYP to implement SDGs", a forward looking document which is expected to blend priorities of 2030 Agenda and our national plan. (FGD on 20 December 2020).

The action plans by ministries for the 7th five year plan (and 2030 Agenda) would serve as an important tool for performance evaluation of the Ministries. The government has felt the need for capacity building of the ministries to undertake this exercise. The government is taking initiatives to train relevant officials accordingly.

Plans for Improving Implementation

Government	Civil Society
<ul style="list-style-type: none"> • Strategic plan is introduced for monitoring and evaluation through various researches emphasizing the outcomes. • Impact evaluation and complex evaluations proposed in strategic plan for future • Proposed to set up a separate unit for research under IMED exclusively for formulating techniques for monitoring and evaluation • Consultation with private sector and academicians are introduced for better qualitative evaluation process 	<ul style="list-style-type: none"> • ‘Citizen’s Charter’ a composition of civil society with inclusion all categories of people is involved in the IMED • Evaluation findings are placed in access to general public and informed by the IMED to all its stakeholders • Bangladesh Institute of Development Studies (BIDS)
Capacity Building Needs	
Current Demand from Government, Civil Society and Donors	Specific Capacity Building Services (Future Demands)
<ul style="list-style-type: none"> • Training on result-based monitoring and evaluation of a project is under process in the IMED • Implied strategic plan for undertaking evaluation researches • Capacity building and training with in IMED • Training needs in execution plans, skills and knowledge in result based evaluation • Appropriate training course during orientation programs to the officials 	<ul style="list-style-type: none"> • Capacity for conducting evaluation to the officials of IMED • A periodic base training is needed because of rotation/promotions of officials • All the new entrants in IMED with basic knowledge in M&E • System of management accountability and on the-spot decisions

Table 5.4.1: Plans for improving implementation of evaluation in Bangladesh Source: Implementation Monitoring and Evaluation Division, 2016

5.4.2.4. Evaluation Practice and Use

In 2019, IMED through a consultancy company developed Monitoring and Evaluation Guidelines for Bangladesh. The main objective of the document was to provide a guideline for the employees of IMED, especially for the newly posted or recruited officers, to monitor and evaluate different projects related to Education, Health & Nutrition, Family Welfare and Social Welfare (IMED, 2019b). The team developed the guidelines on how to gather and assemble information to cross check quantitative and qualitative information and different types of monitoring and evaluation data and find out the requirements/gaps in monitoring and evaluation system.

These guidelines are helpful in conceptualizing the three major service sectors ministries (education, health and social welfare) and its subsidiary organizations that play vital roles in implementing the Annual Development Programmes (ADP) and its diverse nature of project components. To monitor and measure the progress of project activities, the guidelines include checklists for monitoring ongoing projects, assessing outcome of the project, assessment of the impact of the project and measuring index of ADP implementation, which could be used by the officials of IMED. There are 5 checklists to monitor ongoing projects, 5 checklists for assessing outcome of the projects and 5 checklists for assessing impacts of the projects in the areas of training, national nutrition services, education, health and social development programmes. To monitor and measure physical progress of the project implementation, a measuring index also been developed by major activities to compare physical progress with the financial expenditure. There is a need to consolidate all these checklists in standardized format so that all projects implementation activities could be monitored and evaluated on the same line. The checklists are used by IMED officers when they visit the projects and to report the progress of projects. They have been introduced for the IMED officials to report progress of projects through a consistent format. The forms from monitoring to impact include physical completion, procurement progress by ticking the boxes mostly. It is a big question how the impact is measured by one officer by ticking the boxes. And also checklists to measure outcomes and impact would not be an appropriate way as assessment of outcome/ impact needs in depth data collection and analysis (KII on 12 December 2020). Checklists would be appropriate for monitoring purposes. Based on above observations, it shows that the checklists have been developed with lack of M&E technical competency.

There are two M&E manuals developed by IMED under the Strengthening Monitoring and Evaluation Capacities of IMED (SMECI) project for the use of IMED staff. Before this there was a small inspection guideline which is followed by a format of Project Inspection Report. It was prepared in 1995 and was practiced till 2004 when Project Inspection Report format was revised and reduced to a smaller comprehensive format. It was renamed as IMED 06/2003. Both these guidelines contain number of instructions to the intending field inspecting officials. These instructions cover almost all aspects of project activities. It directs only what to be inspected. However the process of inspection was not elaborated. For example it was not clear as to how to inspect the quality of construction work. Therefore, necessity of a comprehensive manual on monitoring & evaluation is needed by staff the newcomers in the IMED. To facilitate and enhance skill of the officers and to strengthen the capability of the organization, Monitoring & Evaluation Manual for Civil Works (Buildings, Roads, Bridges and Culverts) was prepared in 2015. The manual consists of two parts. Part-I relates to 'Building' construction whereas Part-II deals with construction of 'Roads, Bridges and Culverts' (IMED, 2015a and IMED, 2015b).

The manuals are based on less theoretical deliberations and more practical oriented questions in the form of checklists on various aspects of project implementation. The checklists are supposed to lessen the burden of inspecting officials of going through various documents like DPP/TPP, procurement etc. this will help save valuable time and concentrate more on collecting useful data/information from the field. There are as many as 28 Checklists (Part-I contains 23 nos. and Part- II contains 5 nos.) in this manual (IMED, 2015a and IMED, 2015b). Some are quite elaborate and some are short. Although there are several checklists, they are for quality checks of procurement and construction. The checklists and the purpose doesn't seem to serve the monitoring and evaluation. It is a question why the manual is named as monitoring and evaluation manual by looking at the content and tools. Again M&E technical competency is not visible in the manuals. Therefore both guidelines and manuals do not serve the purpose of M&E of on-going projects.

In general over a 100 evaluations are conducted in the country per year in Bangladesh. There are variations in the number of evaluations as per their duration of completion since most of the evaluations are done once the project is complete. These evaluations are organised by IMED, National Planning Commission, Ministries and departments. As such there is no specified system of evaluations and its use. The evaluations are donor driven as competencies

in the field of evaluation are very limited locally. Moreover, donors provide funds for development and therefore, they ask for evaluations for their programme (KII on 12 December 2020).

The designated institution for conducting evaluations in Bangladesh is IMED as stated earlier. Each completed project is supposed to be evaluated by the IMED within 3-18 months of the completion. Mid-term evaluations of the project are also done by IMED for some projects (requested by the sponsoring Ministry/Division). Impact Evaluation of some selected projects are carried out based on the available resources (KII on 22 December 2020).

When conducting evaluations, IMED plays an important role in the process. IMED prepares the TOR and finalizes it which is posted in newspapers as invitation for EOI after the Steering Committee/Technical Committee finalizes the TOR, methodology, and other related issues. Based on the EOIs, selection of evaluation team experts is carried out. The evaluation team/experts are hired through the IMED procurement system. Then the evaluation team starts the field work including the visit to the project site, collection of information, analysis, preparation of draft report. The Steering Committee/Technical Committee reviews the draft report and recommends for finalization. IMED has clear procurement guidelines and process which includes hiring of external evaluators too. Usually, IMED conducts over hundred evaluations per year. According to IMED Evaluation Report 2011-2012, 195 evaluations have been conducted for completed projects. However, the so-called internal evaluations are conducted using checklists which are very basic quality checks as mentioned above. Therefore, in technical terms, most evaluations cannot be categorized as evaluations (FGD on 20 December 2020)

Bangladesh government has taken initiative to evaluate the national development plans. After 15 years of implementing the Millennium Development Goals, the National Planning Commission conducted the final evaluation to draw achievements and lessons learnt. Prof. Shamsul Alam, Senior Secretary, General Economics Division, National Planning Commission mentioned (NPC-Bangladesh, 2016) in the evaluation report that he believes the end period evaluation of MDGs by stocktaking of attainment of MDGs by targets will help as benchmarking for any future evaluation/progress of comparative performances of the SDGs attainments. So, the report bears particular significance and relevance throughout the implementing years of the SDGs. And therefore, they are meticulous to use

data/figures/information as latest as available and validating accuracies. The MDGs evaluation has been a joint exercise with collaboration of several ministries and the Bangladesh Bureau of Statistics. All relevant Ministries/Divisions/Agencies associated with the implementation of millennium development goals and targets provided information and data on the latest status of the implementation of the MDGs.

Bangladesh also evaluates the five- year plans. The sixth five- year plan (2011-2015) was reviewed at the mid-term review. The process of preparing the seventh plan was started in 2014 for which the findings of the mid-term review were fully taken into consideration. This is a significant advanced step from the government of Bangladesh evaluating the national development plan and use the learning for planning of the next development plan (NPC-Bangladesh, 2014).

In addition to the evaluations conducted by the National Planning Commission and IMED, line ministries also conduct reviews or evaluations of the specific projects based on the need (KII on 22 Dec 2020). International organizations such as United Nations agencies, Asian Development Bank, the World Bank, USAID also conduct regular evaluations of projects particularly for support to the government of Bangladesh. Reports of these evaluations are publicly available on the websites of the respective organizations. For example ADB conducted an impact evaluation of the ADB supported interventions in Bangladesh's secondary education sector (ADB, 2013). United Nations agencies also conduct evaluation of their country programmes at least one time during the programme cycle. Usually UN country programmes support the government of Bangladesh, therefore the evaluations also relate to the national programmes or public institutions (FGD on 20 December 2020).

Internal vs external Evaluation

IMED conducts evaluations both internally and by hiring external evaluators. Internal evaluations are conducted by IMED field officers by using formats and checklists mentioned above. For the external evaluations, IMED hire external consultants through competitive bidding. As mentioned before IMED has a separate procurement unit (Central Procurement Technical Unit) and process for procurement of goods and services. Evaluation teams/ consultants are hired under the same process. IMED is involved in the process from preparation of the ToR to finalization of the evaluation report. In consultation with the line ministry/ project team, IMED prepares the TOR and finalize it for announcement. Once the applications are

ready, IMED selects the evaluation team and assign them for evaluations. Generally IMED recruits external evaluators locally and only in rare instances, international evaluators are hired. IMED follows the established procurement process for hiring external evaluators. IMED is involved with the evaluation team until the final report is delivered. IMED and line ministries conduct project reviews which are conducted by internal teams. Generally, end of project evaluations are conducted or sometimes mid-term reviews are done (KII on 22 December 2020).

The evaluations managed by international organizations, development banks and NGOs are conducted mainly by external evaluators. Most international organizations announce ToRs for evaluations/ evaluation assignments publicly such as through the ‘bdjobs’ the largest job website in Bangladesh. Also organizations advertise evaluation assignments publicly on newspapers, online spaces as it is hard to find competent local evaluators for assignments. Most international organizations hire international consultants as lead evaluators and team members. In overall the government and the non-governmental sectors rely on external evaluators (KII on 22 December 2020).

Data gap

In spite of an evaluation system, a major challenge faced by the country in monitoring and evaluation and SDGs implementation is the data gap. To address this, the government conducted a review of various means of data generation in the country: (NPC-Bangladesh, 2018) which is expected to be an effective instrument for monitoring the SDGs achievement. The analysis reveals that Bangladesh has readily available data for 70 indicators and partially available data for 108 indicators. There is a need to devise new mechanism for data mining for the remaining 63 indicators. (NPC-Bangladesh, 2018). The government also developed and published the Monitoring & Evaluation Framework for SDGs implementation. This framework has a web based data repository system to facilitate data collection, analysis, progress tracking and reporting (FGD on 20 December 2020)

Use of evaluations

The use of evaluation is challenging area in Bangladesh too like other countries. But IMED disseminates evaluation reports as per following table. Once the evaluations are conducted, the ministry wise reports are uploaded on the IMED web portal. IMED also prepares annual list of evaluations conducted and post it on the web portal. The outcomes of the evaluation reports

are also shared with the Executive Committee of the National Economic Council. However all these measures do not ensure use of evaluation findings and recommendations. The FGD participants feel that practically use of evaluation is very low. In reality evaluations are conducted as to comply with the requirements rather than a learning exercise (FGD on 20 December 2020).

Accountability and Use

Availability of Evaluation Findings to Public	Frequency and Type of M&E reporting to Executive Legislature, Civil Society and Public	Availability of Financial Statements and Audit Reports to Public	Budgetary Performance Information sent to Legislature
Ministry wise evaluation reports are placed in the IMED web portal	Annual Report of Evaluation of completed schemes on various ministries is given in portal	Every stage of financial details of the scheme is placed in each evaluation reports (total cost of the project , cost of each component, time etc. is mentioned	The outcomes of the evaluations reports placed on the Executive Committee of the National Economic Council.

*Table 5.4.2: Accountability and use of evaluation
Source: Implementation Monitoring and Evaluation Division*

There are some important instances where the government of Bangladesh used evaluations. For instance, the government of Bangladesh used findings and recommendations of the mid-term review of the sixth five year plan for developing the seventh five year plan (NPC-Bangladesh, 2017). It is very important that the government conducts evaluations of the national development programme and use the learning for development of the next national programme (Burdescu et al., 2005).

When looking at the role of IMED, a specific role to ensure use of evaluation is not clearly identified. This can be a loophole in the design of IMED itself. Use of evaluation can be embedded in IMED guidelines and functioning and in the current evaluation process (KII on 12 December 2020).

5.4.3 Societal Dissemination/Acceptance (Social System)

5.4.3.1. Institutionalized Use of Evaluations by Civil Society

In Bangladesh, there is no practice of civil society using evaluations. According to the Bangladesh Constitution, there are no provisions for referendum. General elections are the most popular as that is the election where the representatives for the legislature and executive are elected. Local government elections are the next popular election as candidates are closer to the people as they are mostly from the same area or the village. There is no evidence that evaluation is used for elections or similar other opportunities in Bangladesh. But opinion polls are famous and conducted before an election particularly by the ruling party to check how popular they are (FGD on 22 December 2020).

As since the independence, Bangladesh was suffering from severe poverty and low literacy, the politicians could easily mislead the society by giving election promises as majority of people were pleading for just basic living conditions first. Election campaigns were full of promises which cannot be realized in a country like Bangladesh with available resources. The promises were mainly on giving material benefits to people rather than developing the country as a whole so that all people can be benefitted. People decide whom to vote based on maximum benefits they already got from candidates or expected benefits after they win. The decision of choosing the candidates is not based on the progress of the development in the area or the whole country. This has become a vicious cycle why the country and the people are under developed (FGD on 22 December 2020). However after decades of extreme poverty and low literacy level, Bangladesh shows improvement in these indicators in the recent past (Government of Bangladesh, 2017).

Citizens and civil society participate in evaluations as respondents. However whether citizens and civil society are informed participants of evaluations is a question as mostly they play a passive role in evaluations and are not fully briefed before participating in the evaluation. Religious institutions do not usually participate in evaluations. NGOs mostly have a better role as they conduct evaluations of the projects they implement as a requirement to the donors who fund the project. There is no culture of individual citizens or the civil society use evaluation findings (FGD on 22 December 2020). Therefore evaluations conducted by civil society are rare and ad-hoc. Findings implementation and use is not institutionalised.

5.4.3.2. Public Perception and Public Discourse

The public perception is almost nil so far as evaluations and its utility is concerned. Neither political members and parties nor the mass media or trade unions or industries give any heed to evaluation reports. Evaluations and complaints are mixed up and considered as raising voice against government. Evaluation is relatively a new field and therefore not considered as a discipline. Common man does not understand the nitty-gritty of evaluation approaches, designs methods etc. Evaluations also suffer from ‘for the government syndrome’ and not communicated to common man in simple and understandable terms. The public is not even aware of evaluation or not familiar with the term evaluation. Evaluation is not a known term in Bangladesh society. The most known familiar system to the society is assessment of students in schools and issuing the report cards based on that. Almost everyone in the society is used to the assessments in the schools. Other than that evaluation is a new term for majority in the society.

However, the general public is concerned about the success and failures of the development projects implemented in their geographical areas. There are incidents that people get together and make protests if the projects do not provide deliverables as promised. There are also instances people take legal action in similar situations however civil society organizations tend to back these actions and not considered as protests originated from citizens (KII on 22 December 2020).

5.4.3.3. Participation of Civil Society in Evaluations

Civil society representatives are supposed to get engaged in the Citizen’s charter under the IMED ensuring the citizen’s voice for the evaluation. But practically only a certain class of people (well educated with connections) represent the civil society in this process. Some evaluation reports are available on IMED website. But there is no specific provision that evaluation reports should be publicly available and all evaluation reports are not publicly available (KII on 29 December 2020).

As such there is no formal procedure prescribed for civil societies to have evaluations and management tool. Citizens and other stakeholders get involved in an evaluation during focus group discussions, key informant interviews or while using other methods of data collection. Role of private companies is very limited. But active participation of these stakeholders during designing the evaluation process (FGD on 22 December 2020).

5.4.3.4 Demand for Evaluations by Civil Society Organizations

Bangladesh is rich with a large number of civil society organizations and non-governmental organizations. They also implement a large number of donor funded social development programmes. Monitoring and evaluation is in-built in the project design itself. Usually mid-term or final evaluation is part of the project and it is conducted as a requirement. However most of these evaluations are donor-driven evaluations rather than country-led. In most of the evaluations conducted by NGOs or civil society organizations, donor has more say than the implementing organization. In most cases, the donor decides the ToR and who the evaluators are (FGD on 22 December 2020).

Traditionally, individual citizens do not demand evaluations. However in failed projects, as mentioned before in certain instances individuals backed by civil society organizations demand 'reasonable assessment' (Albrecht et al., 2014) of the progress to reveal the truth to the public. Usually these demands come when there is injustice to individuals or group of people or for some other motives like political reasons. Demanding evaluations to know the real benefit to the society is not seen in the Bangladesh society.

There is no specific evidence on media debates on evaluation. Media is also not aware of evaluation although they are aware of audits and sensitive to audit reports if there are any controversial findings of the audit reports.

5.4.4 Professionalization (System of Professionalization)

5.4.4.1. Academic Study Courses and Training Practices

There are no academic courses on monitoring and evaluation in Bangladesh at the moment. Also, there are no other academic disciplines where evaluation is taught as a subject. In terms of non-academic courses, National Academy for Planning & Development" under the Ministry of Planning has an M&E Course being conducted for 20 years. The course is offered for public officials who are involved mainly in project management. The course covers planning, project implementation, monitoring, reporting and evaluation. So far around 600 public officials have completed the course.

In addition, Bangladesh Public Administration Training Center under the Ministry of Public Administration conducts a short course on project management where monitoring and

evaluation is a course module. Bangladesh Institute of Management also conducts short training courses on “project monitoring and evaluation”. The three -day courses were started in 2017 and run based on demand.

It may be noted that evaluation is not considered a discipline and therefore academic full- term courses in the field are not available. Some evaluators take training from outside, mostly on-line training or attend workshops or seminars/conferences to develop their capacities (KII on 29 December 2020).

5.4.4.2. Journals and Communication Platforms

There are no academic journals, newsletters or any other scientific media on evaluation in Bangladesh. There are also no academic journals from other scientific disciplines regularly deal with evaluation. As there are no established academic courses yet in Bangladesh, it can be assumed that the academic sector is not yet ready or do not have the capacity to produce scientific literature on evaluation. Also COE-Bangladesh and Bangladesh Evaluation Society do not have their own websites or communication tools such as newsletters even for their members. Most evaluators from Bangladesh are part of regional and global email distribution lists such as “Evaluation Community of India” Google group, “Community of Evaluators – South Asia” Google group, XCEval Google group, IDEAS listserve and Peregrine email lists (FGDs on 20 and 29 December 2020).

5.4.4.3. Professional Organizations

There are two VOPEs in Bangladesh namely Bangladesh Evaluation Society (BES) and Community of Evaluators – Bangladesh (CoE-Bangladesh). Bangladesh Evaluation Society is a platform for sharing knowledge, theory and practices of evaluation and network. It's a forum of independent evaluators, evaluation commissioners and policymakers who consider evidence at the centre of policy making process through generating, facilitating and using credible evidence. Bangladesh Evaluation Society was largely inspired by Dhaka Conclave for International Development by International initiative for Impact Evaluation (3ie) and established by the evaluation professionals and practitioners in 2015. Initially BES decided to form and work independently. In 2018 in its 2nd Annual General Meeting BES took formal institutional shape and came up with broad based agenda and mandates by adopting new Article of Association. There are four categories of members which include 20 life members, 30

General Members, 10 Distinguish Members, 320 Associate members and 3 institutional members. But not all actively participate in BES activities. People who have following background can apply for BES membership.

- Practitioners involved in M&E,
- Have formal training on Evaluation,
- Work in government and development organization as M&E personnel or consultancy on evaluation field,
- Policy-makers on M&E in government and development organizations.

Members are basically independent evaluators, commissioners and policy makers engaged in evaluation knowledge sharing and generating credible evidence for evidence informed policy making working across the government, academics. National and international NGOs and private sectors as well. In 2020, BES designed an evaluation capacity building programme for evidence informed decision making for Krishi Gobeshona Foundation, Sher-e-Bangla Agricultural University and Begum Rokeya University in collaboration with Bangladesh Foundation for Education research and Development and Centre for Global Development Dialogue and Impact (CGDI). BES has partnered with the COE-SA for the Evaluation Conclave 2022 to be held in Dhaka, Bangladesh. Evaluation Conclave is a biennial evaluation conference held since 2010 in South Asia (KII on 29 December 2020).

Community of Evaluators – Bangladesh was initiated in 2013 as an affiliate to COE-SA. COE-Bangladesh was formally registered under the government regulation as Private Limited Company on 7th October 2013. At present, COE-Bangladesh has five members in the Governing Board. At the beginning there were 7 members and gradually membership increased to 25 in the year 2020. The criteria to become a member are similar to BES.

COE-Bangladesh has a very enthusiastic and highly professional core group (founding members), and a good number of national professionals in evaluation field have been already enrolled. It has a strong network with local, regional and international evaluation personnel and forums (including COE-SA and other COEs of the region). The mission is to promote and strengthen the quality of theory, practice and utilization of evaluation at regional and national level. The current activities include:

- Conduct evaluations including impact and result-based evaluation in NGOs, INGOs, Embassy and leading donor agencies like EU, Department for International

development, UN and USAID by the COE-Bangladesh members individually and jointly. Effort has also been given to utilize evaluation results by the implementing organizations and donors;

- Organizing sharing sessions to discuss the evaluation findings among the COE members and other evaluators and program implementers;
- Organizing workshops led by local experts;
- Administering mentoring programmes/training by the members individually and in team.

Bangladesh VOPEs do not show readiness to start an evaluation professionalization programme in the country. Most evaluators are self-declared professionals, commonly who have started the career as M&E officers and then considered themselves as professional evaluators for taking evaluation assignments. As Bangladesh does not have specific academic programme on evaluation, it would be something for consideration in future in the journey for professionalization of evaluation. Looking at membership criteria of the VOPEs, it seems that becoming a member is not difficult although it does not guarantee the members have an opportunity for an evaluator pathway by being a member. Both VOPEs also do not have any training or career development programme for members (KIIs on 22 and 29 December and FGD on 22 December 2020).

To develop evaluation as a professional stream it is better that both VOPEs come together and participate in various evaluation activities going around globally. There should be a common work agenda to give a fillip to evaluation activities in the country. It is not very clear as what activities have been performed so far by these two VOPEs and if they have any link with government.

5.4.4.4. Existence and Compliance with Standards and Quality Obligations

There are no established ethics and standards for evaluation in Bangladesh. As there is no formal evaluation policy in place or evaluation guidelines in place, a base document to follow quality obligations is not available in Bangladesh. The M&E guidelines and manuals of IMED provides some guidance with necessary checklists as mentioned before. As per the focus group discussions, evaluators generally and widely use OECD/ DAC criteria for evaluations but when it comes to standards and ethics, they follow standards related to various organizations who commission evaluations or fund the project/ programme. UN agencies, development banks and

other international organizations have their own standards and ethics established for evaluations. Evaluators follow these standards and ethics while conducting evaluations for these organizations or as elaborated in TORs.

There is no certification system in the country for evaluators. No specific standards are elaborated to maintain quality of evaluations. This is also one of the reasons that use of evaluations is very restricted. There is lack of enabling environment and evaluation culture both on the part of government and citizens (FGD on 22 December 2020).

5.4.5 Conclusion (Case Study - Bangladesh)

Bangladesh became an independent country in 1971 after getting liberated from then Pakistan. Therefore Bangladesh has just 50 years' history and newest country in the region. Bangladesh has an emerging evaluation system at the moment. It does not have any legal framework for evaluation such as national evaluation policy, Act of the Parliament or any provisions in the Constitution. IMED has conducted a study for a monitoring and evaluation policy which proposes to establish one; however it has not been materialized so far. There are monitoring and evaluation guidelines which have been developed by IMED. But these consist of checklists only for checking progress mainly on construction and procurement than actual monitoring and evaluation. There are two M&E manuals developed under the SMECI project of IMED, these are also focusing on quality and physical progress of mainly construction and procurement. Therefore, technical capacity of actual evaluations is a question in these documents.

Evaluations are conducted mainly by the IMED through internal staff or external consultants. National Planning Commission and ministries also conduct evaluations in practice. Civil society organizations and NGOs conduct evaluations as it is a requirement for most donor funded projects. However, absence of evaluation standards and norms is a challenge for the evaluation practice although OECD/DAC guidelines are generally used. Major development plans such as the five year development plans are reviewed before developing the next plan. For instance, the review of 6th five year plan has been used for development of the 7th five year plan. Bangladesh has evaluated the MDGs too. Therefore, it is a progressive step that the government evaluate national programmes and use them for future planning.

In spite of these efforts on the part of government, the lack of capacity and broad-based awareness about the importance of M&E is a major challenge. Data generation for the set of indicators and their useful analysis remains a formidable task. There is a total dearth of

institutions and lack of institutional coordination in terms of who will manage the overall M&E process. It is resulting in difficulty in generating the necessary data in a timely and reliable fashion. The data is not being examined adequately to find insights on the progress and the findings are not getting disseminated to all relevant state and non-state actors adequately in order to make amends in public policies and implementation. Thus, to mitigate such institutional, structural and policy deficits, which undermine the overall results-based M&E system within the public sector, the principal strategy of the Government of Bangladesh should be to undertake major institutional reforms and implement a comprehensive set of activities that will create a conducive environment for an effective M&E culture.

In Bangladesh, there are no academic courses on evaluation. The National Planning Commission conducts a monitoring and evaluation course for the last twenty years, which is the only formal course running continuously. There are two VOPEs in Bangladesh and both VOPEs are somewhat active. Their active engagement in advocacy for national evaluation policy or national evaluation system is not visible yet. Both VOPEs maintain routine functions rather than pushing for the evaluation agenda in the country. The role of VOPEs to promote the evaluation culture in a country is important. Therefore it can be concluded that Bangladesh is in very early stages of institutionalization of evaluation at national level.

Chapter 6

Analysis and Synthesis

6.1 Introduction

During the past half a century, evaluations have gradually become an important means of generating credible evidence on the effectiveness of development interventions across nations (Schwandt, 2009). However, the spread of evaluative thinking and the practice of systematic evaluations and utilizing evaluative evidence to reach decisions, supported by comprehensive national evaluations policies and systems, creation of appropriate institutional mechanisms and capacity building and professionalization of evaluation is not uniform across nations. The process of institutionalization of evaluations has been found to take different trajectories in different countries with varying results. Studies on what factors are significant in their contribution to the spread and realization of institutionalization of evaluation have not been many, and whatever research has been done is confined by and large to the developed countries. This study is an attempt to fill in part this gap in geographical coverage in the earlier studies by delving into the process and extent of institutionalization of development evaluation in the developing countries of Asia.

For the purpose of this study, four Asian countries have been selected: Sri Lanka, Nepal, Bangladesh and Philippines. As stated in Chapter 4, the choice of the four countries was dictated by the existence of active VOPEs, national evaluation legislations and systems, institutional mechanisms, evaluation standards and guidelines. The first three of these countries are from South Asia and Philippines from East Asia. All the four countries are economically and socially developing countries, though at slightly different rungs of development. Again, all the countries had been subject to colonial rule, and freed from the same in mid-or last quarter of twentieth century. Politically today, all of them enjoy in a large measure the benefits democratic institutions of governance. Politically Bangladesh and Sri Lanka inherited British parliamentary tradition where Sri Lanka changed it in 1978 to Presidential system. Philippines follow the USA model with executive presidential system. Nepal had the monarchy until recent past where it was changed to parliamentary democracy. Poverty was high in Nepal too but now recovering with new development interventions. The selected countries are developing countries and two countries: Philippines and Bangladesh are highly populated in the global

ranking as well. Bangladesh is the newest country among four as it was created in 1971. Bangladesh was one of the countries globally had highest poverty and in the recent past showed significant progress regarding this. Thus the countries chosen have similarity as well as variations on many indicators taken up for this study.

Accountability to the public on the part of the government, and a civil society and media that are alert to the performance of the government constitute the driving force for adopting monitoring and evaluation of socio-economic development programmes and evidence-based decision-making as a way of governance (Friedman & Phillips, 2004; Ansell & Torfing, 2016). Institutionalized monitoring and evaluation systems can only get established and flourish in such an environment. Table 6.1 provides a summary of socio-economic characteristics of the countries selected for the present study.

Characteristic	Sri Lanka	Nepal	Bangladesh	Philippines
GDP per capita (US \$) – 2018	4,102.48	1033.91	1698.26	3,102.71
Independence from colonial rule	1948	1923	1947/ 1971	1946
Form of government	Presidential system mix with British parliament tradition	Parliamentary system with the Prime Minister is the head of the government	Parliamentary system with the Prime Minister as the head of the government	Presidential system
Development planning	Election manifesto of the ruling party becomes the national vision	Five year plans	Five year plans	Long term plans depend on president administration initiative
Adult (15+) literacy rate – 2018	91.71%	67.9%	73.91%	98.2%
Female adult (15+) literacy rate – 2018	90.80%	59.72%	71.18%	98.24%
Life expectancy at birth – 2017	76.65 yrs	70.17 yrs	72.05 yrs	70.95 yrs

Table 6.1: Socio-economic Characteristics of Countries Selected for the Study

The study examines the extent to which the selected countries have progressed towards evaluation maturity and evaluation has become embedded in the governance in the selected

countries and compare the four countries among themselves and with the developed countries covered in the earlier studies. For the comparison and synthesis specific country reports formed the base. This could pave way to draw conclusions. Attempt are also made to identify factors that could contribute towards professionalization of evaluations for their effective and efficient use.

6.2 Approach Adopted in the Earlier Studies

As mentioned above, there have been a few earlier research studies on the subject. The International Atlas of Evaluation edited by Furubo et al (Furubo, Rist and Sandahl, 2002) and its follow up study of 2012 by Jacob et al (Jacob, Speer and Furubo, 2015) and the more recent study by Stockmann et al (2020) in the Evaluation Centre of Saarland University, Germany, are some of the important research contributions in the field. These studies point to the fact that the process followed different paths in different countries and the achievements are also not uniform across countries.

The International Atlas of Evaluation of 2002 assessed the status of M&E in 21 countries, mostly of Europe, but also include USA, Canada, Australia, New Zealand, U.K., Japan, China, Korea and Zimbabwe, the criterion of selection being the existence of substantive and multiple evaluation activities in each country. The Asia Pacific Region is represented in this study by Australia, New Zealand, Japan, China and Korea. The study employed nine criteria all of which must be fulfilled for considering a country to have a fully established evaluation culture. The indicators are shown below:

- Evaluation takes place in many policy domains;
- There is a supply of evaluators specializing in different disciplines and who have mastered different evaluation methods and conduct evaluations;
- There is a national discourse concerning evaluation in which more general discussions are adjusted to the specific national environment;
- There is a profession with its own societies or frequent attendance at international societies and at least some discussion on the norms or ethics of the profession;
- Institutional arrangements in the government for conducting evaluations and disseminating their results to decision makers;
- Institutional arrangements are present in Parliament for conducting evaluations and disseminating the results to decision makers;

- An element of pluralism exists, i.e., within each policy domain there are different people or agencies commissioning and performing evaluations;
- Evaluation activities within the Supreme Audit Institution of the country; and
- Evaluations do not focus just on inputs/outputs, but also on outcomes.

Each indicator was scored 2 or 1 or 0 according to the achievement of the indicator – a score of 2 indicating high, 1 medium and 0 low or non-existing level of activity pertaining to that indicator. The sum of the scores of all the nine criteria is taken as a measure of maturity of the evaluation systems in different countries. Criteria for assigning a particular score in a specific situation were listed, but divergence of opinion was very much possible. For example, regarding professionalization, countries which have professional associations and networks got a score of ‘2’, countries which have no VOPE but interactions on evaluation take place more or less regularly got ‘1’ and those which had only ad hoc meetings were scored ‘0’. The scores were the result of experts contributing to the research and interactions between experts and the researchers. The maximum overall score possible was therefore 18. The study concluded that three of the countries – USA, Canada and Australia had high overall scores of 18, 17 and 16 respectively. On the other hand, Japan (score 3), Spain (score 5), New Zealand, Ireland and Italy (score 7 each) were at the bottom of the table.

Jacob, et al. (Jacob, Speer, & Furubo, 2015) attempted to study the changes in the extent of institutionalization of evaluation during the decade 2001-2011 by updating the results of the above study. The comparison was done for 19 OECD countries and using the same criteria for scoring, the difference being in the responding experts from different countries. They found that there had been a fair amount of improvement in the level of maturity of evaluation during the decade. Most of the countries (15 out of 19) had an overall score of 12 or more, and even Ireland, at the bottom of the table, had a score of 9. It is, however, difficult to vouchsafe for these changes with utmost certainty because, while the countries and criteria remained the same, opinions on the status of evaluation infrastructure came from different set of respondents, which could be a source of bias while attempting a comparison. Nonetheless, the approach is pioneering and the results are insightful.

The latest study (Stockmann et al., 2020) looks at institutionalization of evaluation in a disaggregated way from the perspective of political and social systems and the system of professionalization. The criteria used in this work are mention in the previous chapters (Chapter

3 and 4). Compared to previous studies on institutionalization of evaluation, this following study uses two additional indicators under the professionalization system. These two additional indicators are: i) training for young and emerging evaluators and ii) existence of young and emerging national chapters. These two indicators were added as they were emerging areas in the Asia Pacific region which will contribute to the professionalization of evaluation.

The Stockmann study employed a total of 16 indicators – 7 for the political system, 5 for the social system and 4 for professional system – to capture the level of evaluation maturity in each of the above areas (Stockmann et al., 2020). Based on the above criteria and indicators, the study scored the level of institutionalization of evaluation in different countries using a scale (with scores of 1 to 0) to indicate the existence and level of activity pertaining to the indicator. For example, in the case of indicators for the political system, existence of national laws on evaluation is scored ‘1’ and ‘0’ otherwise. If the national audit office carries out only performance audit the score given would be ‘0’, but if it also carries out evaluations, the score would be ‘1’. In the case of evaluation embedding in decision-making (organizational embedding), the scores used were ‘0’ if comprehensive evaluations were carried out in less than 4 sectors or policy areas, ‘0.5’ if the number is 5 or 6 sectors, and 1 if it is more than 7 (as per the information in case studies conducted). In the case of social system (Stockmann et al., 2020, p.20), the scores assigned for each indicator were 0 for low spread, 0.5 for medium spread and 1 for good spread. The scores used for professionalization system are shown in the following table:

<i>Scale</i>	<i>I1 Education: study programs</i>	<i>I2 Communication: focused exchange</i>	<i>I3 Organisation: VOPE</i>	<i>I4 Norms: general agreement</i>
0	No offer available	No offer available	No VOPE existent	No rules existent
0.25	Only non-academic offers	Exchange in other discipline media	Open network without duties	Informal agreements
0.5	Only single academic courses	Exchange in open media	Formalised network	Self-commitment on internal rules
0.75	Minor subject courses	Exchange in regularly published media	Small formalised organisation	Endorsed general rules
1	Major subject courses	Exchange in academic journals	Large formalised organisation	Obligatory rules and certifications

Table 6.2: Scoring system for indicators of professionalization

Source: Stockmann et al., The Institutionalization of Evaluation in Europe, (2020), Appendix, p 521

6.3 Comparison of Results from Earlier Studies

An important aspect of the appropriateness of the approaches in the three studies is the presence of consistency in the results arrived at. The second study (2011) cited above was an updated version of the International Atlas of Evaluation (2001) that covered the same countries, used the same criteria or indicators, and adopted the same scoring system. Hence drawing conclusions from comparison of the two sets of results to identify changes during the intervening decade was relatively easy, which led to certain positive results regarding the evolution of evaluation culture in the OECD countries. It is not so when one comes to the Stockmann study of 2020. The countries covered were different, the indicators were different and the scoring system was different. In fact, only 10 countries were common to the earlier studies and the 2020 study. Secondly, even though the number of indicators is not that different, the content of the indicators was very different. Also, the scores assigned were 0, 1 and 2 in the earlier studies, whereas they were 0 to 1 in the 2020 study.

For purpose of comparison, therefore, only the 10 countries common to both studies were considered. While the indicator sets were different, it was assumed that collectively both the sets point to the same level of evaluation maturity, and the total scores are broadly comparable, while those of individual indicators might not be. Further, to adjust for the differences in scales of scoring, the total scores are converted to percentages of the maximum scores possible. The results are shown in the following table.

Country	2001		2011		2020	
	Total score	% of maximum (18)	Total score	% of maximum (18)	Total score	% of maximum (16)
Denmark	12	66.7	14.3	79.4	6	37.5
Finland	10	55.6	16.6	92.2	7.5	46.9
France	11	61.1	13	72.2	7	43.8
Germany	13	72.2	13.3	73.9	8.25	51.6
Ireland	7	38.9	9	50.0	3.25	20.3
Italy	7	38.9	10.7	59.4	5.25	32.8
Netherland	15	83.3	15.3	85.0	8.5	53.1
Spain	5	27.8	11.3	62.8	6	37.5
Switzerland	8	44.4	16.4	91.1	10.75	67.2
UK	15	83.3	15.3	85.0	6.75	42.2

Table 6.3: Comparison of evaluation maturity in 10 countries of Europe (2001, 2011 and 2020) Source: Jacob, et al (2015) and Stockmann et al (2020)

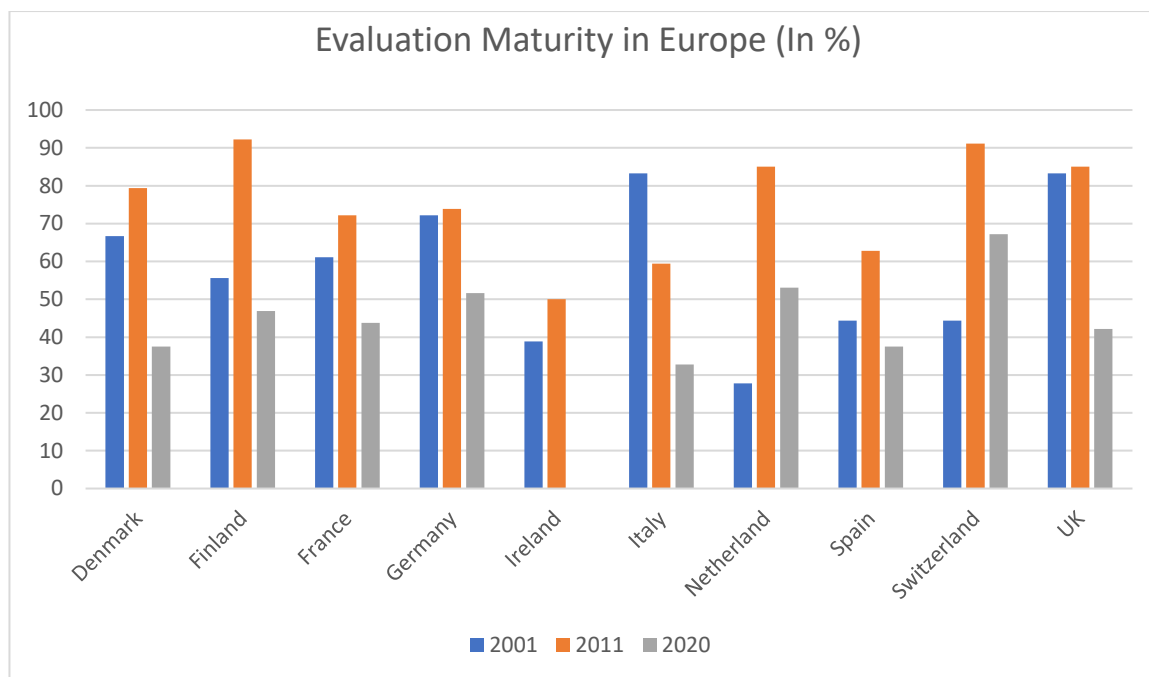


Figure 6.1: Comparison of Evaluation Maturity in Europe

As mentioned earlier, the studies of 2001 and 2011 are comparable and, as a result, the results of 2011 study are consistent with those of 2001 study for all countries. The percentage of observed (assigned by experts) scores to the maximum possible score for full maturity in evaluation in 2011 were higher than 2001 scores for every country as it normally should be logically. When it comes to a comparison of the results of 2020 study with 2011 situation, it is not so. The percentages measuring institutionalization of evaluation were substantially less than in 2011 for every country. The assumption that the set of indicators selected in each study captured entirely the overall penetration of evaluation culture in governance, society and profession could be wrong, or the assignment of scores to individual indicators, often being the subjective assessment of different experts, was more liberal in 2011 and harsher in 2020. The issue could be the subject for another piece of research. A closer look at the two sets of indicators adopted by the two studies would suggest that the 2011 study (and its precursor 2001 study) did not take account of the penetration of evaluation into the social system (Stockmann et al, 2020., p.20) and did not consider the four parameters used to measure that in the 2011 study. On all these parameters, all these countries scored rather low. If the scores pertaining to social system are ignored in the 2020 study, the results are more consistent with those of 2011. In fact, the correlation of ranks for various countries between 2011 study and 2020 study increased from 0.51 (when social system is included) to 0.75 (when social system is excluded).

Moreover, the decline in evaluation maturity can also be due to the evaluation fatigue as has been discussed in the earlier chapters.

6.4 Results for the Asian Countries

For the purpose of the present study of the four Asian countries, the approach followed by Stockmann et al. (2020) has been used. Firstly, it adopts an indicator set that appears to be more comprehensive, specific and clearer than the earlier two studies, covering the display of evaluation culture in political, social and professional arenas. Second, it would facilitate comparisons between the latest available assessments of the situation in the European and Asian countries unhampered by conceptual differences. However, considering that none of the four countries chosen for the study exhibited any penetration of evaluation in the social system (as the results presented in Table 6.4.a below would show), overall scores are computed both including and excluding the scores for social system (Stockmann et al., 2020, p.20). Third, this is the first study that assesses countries in Asia Pacific region in institutionalization of evaluation. Hence this study contributes to the existing literature on institutionalization of evaluation.

The results are summarized in the following three tables, the first on the level of institutionalization in the political system, the second in social system and the third in the professional system.

6.4.1 Political System

Each of the 7 indicators selected for an assessment of the level of spread of evaluation culture is assigned a score between 0 and 1. Table 6.4a) summarizes the results for the four countries.

Indicator area	Sri Lanka	Nepal	Philippines	Bangladesh
a) Institutionalization of evaluation				
i) Number of laws and statutes	0	1	0	0
ii) National decrees	1	0	1	0
iii) Organizational embedding	0.5	1	0.5	0.5
iv) Role of evaluation in audit office	0	0	0.5	0
b) Use of evaluation				
i) Role of parliament	0	0	0	0
ii) Sectoral spread	1	1	1	1
iii) Scope of evaluation practice	0.5	0.75	0.5	0.25
Sum	3	3.75	3.5	1.75
Overall Mean	0.428	0.535	0.4375	0.25

Table 6.4 a): Levels of institutionalization in political system

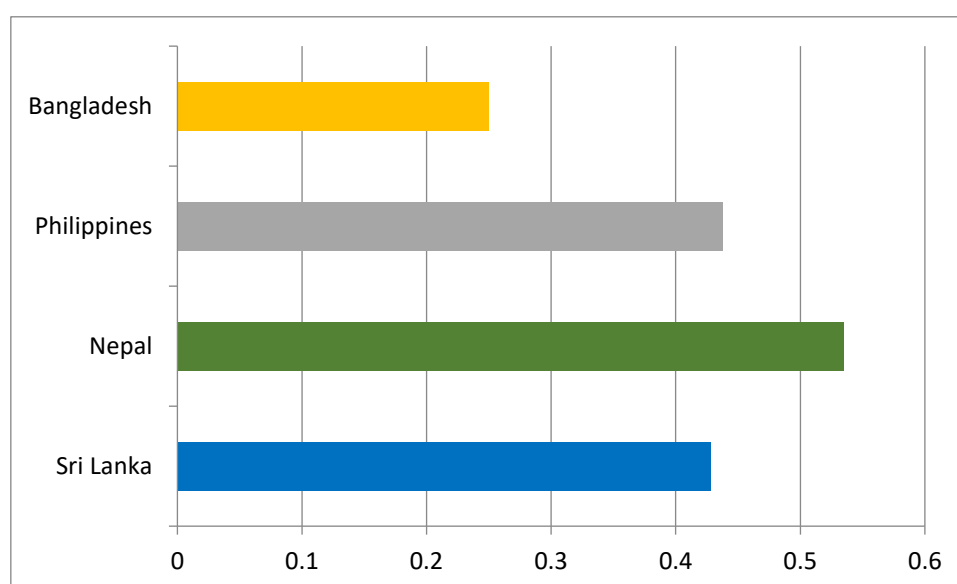


Figure 6.2: Overall levels of Institutionalization in Political Systems in the Selected Countries

Assignment of scores for four country studies are detailed in the following paragraphs:

i. Number of laws and statutes

Nepal is the only country among four which has legal provisions for evaluation reflected in the national Constitution (Coghlan et al., 2008, 35ff). The Constitution clearly includes provisions for both monitoring and evaluation. Sri Lanka, Philippines and Bangladesh do not have legal provisions for evaluation. The other only two countries in the region have legal provisions for evaluation are Japan and South Korea where Government Policy Evaluations Act No 86 of 2001 is in place approved by the Parliament of Japan and the Government Performance Evaluation Act of 2006 in South Korea. It is a matter of study if this legal provision has any substantial change towards professionalization in the country. Nepal has developed the National Evaluation Policy Bill also to elaborate legal provisions for evaluation than the constitutional provisions. The draft was first prepared in 2015 by NPC and in the process for few years. Now the draft Bill is in the parliament for approval. Sri Lanka Parliament also prepared the Draft National Evaluation Bill which was an initiative of the Parliament Select Committee established in 2019. The draft Bill was finalized and included in the PSC report also. Now it is to go through the Cabinet for approval to submit to the Parliament. Senate of Philippines drafted and presented two Bills to establish national evaluation policy which had its first reading in the Senate. In supporting Senate Bills, The Congress of Philippines also had first reading of two Bills on 14 September 2021. However both houses are yet to approve the Bills. If draft Bills in Nepal, Philippines and Sri Lanka are approved, those will widen the legal provisions for evaluation and add two more countries with legal provisions. In the light of this discussion, Nepal gets a score of 1 while others get Zero at present. However a process has started in other countries to give a legal status to evaluation. Once this gets nod, they will become catalytic for the other countries too in the region. If compared with the European countries, three countries out of 16 studied earlier have laws regarding evaluation (Globe Europe, p.485). The results indicate that legal status is an important component towards professionalization of evaluation. It is assumed that laws will enhance general awareness about the importance of evaluations.

ii. National decrees

Sri Lanka and Philippines have national evaluation policies approved by the respective governments. Philippines National Evaluation Policy Framework was endorsed and came in to implementation through the NEDA- DBM joint memorandum issued in 2015. As per the joint memorandum, all public institutions have to follow the national evaluation framework. Sri Lanka National Evaluation Policy was endorsed by the government in June 2018 after 15 years of the first draft prepared by the Sri Lanka Evaluation Association upon the request from the government. IMED Bangladesh has prepared a National Evaluation Policy study report for discussion. However it lacks advocacy to the government for buy in and leadership from IMED to continue the process. The only country among four without a law or decree is Bangladesh. In Europe also there are at least five countries where evaluation related decrees are in place. These include Germany, France, Finland, Netherlands, Poland, Switzerland, United Kingdom and Latvia (Globe Europe, pp.485-487).

iii. Organizational embedding

In all four countries there is a designated public institution for monitoring and evaluation although it is not specific to evaluation only. In Nepal, NPC is the designated public institution for evaluation with dedicated evaluation division. In addition, each government institution has a monitoring and evaluation unit. NPC coordinates and communicates with the M&E units of the respective public institutions regarding the M&E function. Department of Project Management and Monitoring is the designated department in Sri Lanka. By title of the department, evaluation is not reflected. However through the scope of work, evaluation is part of DPMM's mandate. There are no M&E units in other public institutions although having such units in a few is ad hoc. For example, Ministry of Agriculture has an M&E unit with dedicated M&E staff. DPMM does not possess evaluators or staff with evaluation technical capacity within the institution while staff is supposed to evaluate public projects (FGD on 13 March 2020).

In Philippines, it is NEDA which is the designated public institution for evaluation. NEDA has specific evaluation division to conduct and manage evaluations. And there are number of public institutions and ministries have M&E units in place. Department of Health is an example for this. IMED is the designated institute in Bangladesh for evaluation. By the title it involves implementation and monitoring too. By nature of work, it shows that IMED focuses highly on monitoring infrastructure projects and procurement. IMED has developed necessary formats

and tools for monitoring and evaluation. However, looking at formats, evaluation seems simple format filling exercise.

It can be observed that although there are designated public institutions for evaluations and M&E units in ministries/ departments, none of the institutions mentioned have sole function for evaluation. It is mainly combined with monitoring but in some cases with implementation (Bangladesh) and planning (Nepal). So evaluation is not the main function of any of these institutions. It is not clear whether the monitoring is bigger than evaluation when it comes to practical implementation. FGDs conducted during the study highlighted this phenomenon. The other issue with the organization is the capacity to conduct or manage evaluations. DPMM in Sri Lanka for example, Director General is a high ranking civil servant who has experience in the civil service but may not be in evaluation. Other officials are also recruited in the same manner. This could also be one of the reasons that low priority is given for evaluation by the institutions (FGD on 13 March 2020). The situation on this component is more or less similar in all the four countries studied except Nepal where there is a separate institution designated for evaluation activity. Therefore Nepal gets 1 and other 3 countries score 0.5 for this component.

Comparison of these results with European countries show that a number of countries have designated M&E units or departments at the government. For example, in Belgium it is the Evaluation Office for Development Cooperation (Globe Europe, p.487).

iv. Role of evaluation in audit office

In all four countries, performance audit and performance evaluations have been part of the audit office. However in practice performance evaluations in terms of technical requirements of evaluations are not happening in three countries except Philippines. In Sri Lanka, Nepal and Bangladesh, audit offices are focusing on financial compliance and utility of finances in a traditional manner. In Philippines, the Commission of Audit through a resolution (No. 2017-012), created a Performance Audit Office under its Special Services Sector. The role of the performance audit office is to conduct evaluation or performance audits on several low performing government projects and programmes and provide recommendations to improve its effectiveness and efficiency. Since 2017, this office has conducted several evaluations although it can perform better in producing evaluations. Thus these three countries get a zero while Philippines get 0.5 score on this component.

Contrast to this, several countries in Europe such as Belgium, Czech Republic, Denmark, Finland, Latvia, Netherlands, Portugal and Switzerland have evaluation role along with audits. For example in Switzerland between 2000 and 2014, the Swiss Federal Audit Office undertook 56 evaluations (Globe Europe, p.489).

The other important sub component of the Globe on political system in institutionalization of evaluation used for analysis is use of evaluations in chosen countries. This has three indicators as discussed below:

v. Role of The Parliament

Role of parliament in evaluation is scarce and mostly ad hoc. Sri Lanka and Nepal have parliamentarians national networks for evaluation: Parliamentarians Forum for Evaluation. Sri Lanka, Nepal and Bangladesh were instrumental in bringing this new phenomenon to South Asia through three parliamentarian champions. Three of them were instrumental in engaging other parliamentarians also by initiating Parliamentarians Forum for Development Evaluation – South Asia. In Sri Lanka and Nepal, parliamentarians started to work with the VOPE, evaluation community and development organizations to promote evaluation. The institutionalization of evaluation started only in Sri Lanka Parliament kicked off after the Colombo Declaration on Evaluation signed at the EvalColombo2018. The Parliament of Sri Lanka was the host of the event and a signatory to the Declaration. The Declaration was instrumental for the Sri Lanka Parliament to initiate the institutionalization process including the PSC, national evaluation bill, capacity building of parliament staff on evaluation. However after the election in 2020 and change of the government, the process did not continue smoothly as in the past. This indicates the influence of the political context of the country in pursuing the evaluation agenda.

A Nepal parliamentarian was instrumental in inclusion of evaluation in the 2015 new Constitution. He is the same parliamentarian founded the parliamentarians forum in South Asia. He was also the founder of the national parliamentarians forum in Nepal of which all parties represented in the parliament had representatives as members. The Parliament also accepted evaluation provisions and approved the Constitution becoming first Parliament in Asia approved evaluation provisions in the Constitution. However other than this the

Parliament of Nepal did not play any other role to institutionalize evaluation or promote use of evaluation in the Parliament.

Colombo Declaration on Evaluation and EvalColombo2018 was instrumental in Philippines too. Senate of Philippines started evaluation capacity building for their staff after the event and also stimulated towards bringing two Bills on evaluation and Congress of Philippines supported them. Bangladesh parliamentarian was also a founder member of the PFDE-SA and some other parliamentarians joined evaluation events in past several years. However Bangladesh Parliament did not play a specific role to institutionalize evaluation or use evaluation in the context of the Parliament. None of the four Parliaments have capacity or ability to commission evaluations.

In spite of these efforts and initiatives by some of the parliamentarians in each country studied, not much progress is observed in terms of commissioning evaluations or utilization of results of evaluation reports at the level of respective Parliaments. Therefore all four countries get a zero in this component. When these results are compared with earlier studies it can be noted that in European countries also many Parliaments do not play any specific and important role so far as evaluations are concerned. The exception is the Swiss Parliament at federal level and Canton level that has become initiator and utilizer of evaluation. Swiss Parliament commissions evaluations with a primary reason to exercise oversight powers (Globe Europe, p.491).

vi. Sectoral spread

In all four countries, sectors for evaluations are not specific. Evaluations are conducted in many sectors without any adequate policy and system. Evaluations are mostly seen in sectors such as health, education, environment, poverty and infrastructure but are not limited to that. Sectoral spread of evaluations depends upon the funding or where donors are involved. All four countries are heavily depended on donor funds. Donor funding comes generally for the projects initiated by them and not for the other intervention done by government and other organizations. All four countries get 1 point each for this component as the sectoral spread is in several sectors is similar although it is not based on a specific policy framework. In European countries also, education, development cooperation, science, health and economy are the main sectors (Globe Europe, pp.491, 492).

vii. Scope of evaluation practice

In Nepal, as per the national monitoring and evaluation guidelines, all public programmes should be evaluated. NPC directly conduct evaluations of selected programmes while individual ministries and departments are tasked to conduct evaluations through their M&E units. Majority of public programmes are evaluated by the internal staff while donor funded projects are evaluated by external evaluators. However the FGDs revealed that mostly monitoring is carried out than evaluations by the government departments. Monitoring and evaluation is introduced at decentralized level also in Nepal. The Regional Administration offices submit reports to OPMCM and the NPC after carrying out M&E of development activities under their jurisdiction. The NPC ensures availability of necessary budget to Regional Administration Offices to improve their M&E function. It is compulsory to evaluate all projects and programmes implemented by NGOs and CSOs as it is included when projects are approved by the SWC. Nepal is the only country among four which has a system of evaluation process which is wider as compared to other countries under study although there may be many aspects which may need improvement. The study revealed that mostly mid-term evaluations are conducted and final project evaluations are not many out of overall number of evaluations.

Although Nepal has provisions in the Constitution for evaluation and strong institution designated (NPC) for evaluation together with M&E units in ministries, still a long way to go in terms of country-led evaluations leading to use for decision making by the policy makers and citizens. Having strong legal provisions itself will not be sufficient for a strong evaluation practice in the country. This is evident in Europe also, France is an example (Globe Europe, 142). However a country like Germany, there is no formal legislation at the national level but internal and external evaluations are carried out in considerable manner (Globe Europe, 175; Stockmann et al., 2020). p.177).

In Philippines, NEDA has an evaluation division to conduct evaluations. Several ministries also have M&E units but not all. The ministries which have M&E units include health, science, environment, agriculture, transportation and social welfare among others. Although these ministries have M&E units, they have barriers such as lack of resources and lack of technical expertise to carry out evaluations. The institutions which have resources to conduct evaluations, mostly carry out ex-ante evaluations but through external evaluators due to the low internal capacity. Evaluations are usually conducted in foreign funded projects led by the donors or the funding agency again through external evaluators. UNDP supports NEDA under the “strategic M&E project” to conduct evaluations as internal capacity is limited. Under the

project, UNDP has started to commission evaluations on behalf of NEDA to conduct evaluations of government themes, sectors and programmes. The process also ensures the utility by use of evaluation results for policy making and programme designing which is strongly emphasized in the recent national Guidelines published by NEDA and DBM. The Guidelines has been a key resource for evaluation practice in the country. The UNDP supported evaluation studies are expected to support government capacity for conducting evaluations.

According to the Sri Lanka case study, in the past (specifically during DFABM), evaluations were conducted regularly and posted on the EIS as repository for government wide decision makers for use. It is evident that DFABM/ MPI pioneered the evaluation system with support from international organizations such as ADB and UNDP. The DFABM team was equipped with financial resources and technical capacity to conduct evaluations of the major government projects. There has been a culture at that time the conducted evaluations are widely shared and presented to concerned parties for action and make available in the public domain for wider use. Followed by DFABM, other public institutions such as HARTI also conducted evaluations. However, the system did not continue after 2011 with the change of the leadership of the institution. Therefore, conducting evaluations became ad hoc and use was not ensured.

Currently in Sri Lanka, there is no systematic way of conducting evaluations. Line ministries and DPMM conduct evaluations (rather reviews if not evaluations) conducted by internal staff who seem to have very limited technical capacity in conducting evaluations. Donor funded projects of the government and projects implemented by international organizations and NGOs are conducted by externally contracted evaluators.

DPMM replaced DFABM, but the established system did not continue due to various reasons. The study revealed that DPMM is more focusing on monitoring than evaluation. Line ministries are also undertaking evaluations through their M&E units if exist or relevant officials but due to the cost of evaluations they tend to conduct project reviews as an internal exercise. During DFABM time more in depth studies such as impact assessments, summative evaluations conducted, but currently it is limited to ex-ante evaluations and project reviews. Although Sri Lanka has endorsed National Evaluation Policy, there is no evidence that it has any impact in evaluation practice since the endorsement in 2018. However the country takes initiative from time to time to move from donor driven M&E to country led evaluations and developing internal capacities to this effect.

In Bangladesh, IMED conducts monitoring assessments/ field visits by the IMED staff. Checklists for evaluations are also used but they cannot be considered as evaluations as they are kind of checking progress although they are called evaluations. IMED plays an important role in the evaluation process from development of the TOR, hiring the consultants and getting the evaluation report from the evaluation team. These steps are clearly articulated in IMED M&E and procurement guidelines. However the study revealed that IMED main focus is to ensure the procurement happens according to the system and guidelines in place. Although IMED staff carry out monitoring activities and field visits (using formats introduced in IMED guidelines), evaluations are carried out by external evaluators. In addition to the evaluations conducted by IMED, line ministries also commission evaluations particularly for donor funded projects. In addition donors/ funding agencies conduct evaluations of the projects supported through the government of Bangladesh. However, evaluations commissioned by donors or evaluation of donor funded projects are mainly conducted by external evaluators which is the case in all four countries.

Looking at all four countries, evaluation practice is happening in varying degrees irrespective of the evaluation legislation in place. Nepal has clear legislative provisions, Sri Lanka and Philippines have endorsed decrees and Bangladesh does not have legislation or decree. All four countries have several gaps in the evaluation practice to make it to the optimal level to facilitate utilization and learning for improvement.

6.4.2 Social System

The results for the indicators relating to the social system are presented in the following table

Indicator area	Sri Lanka	Nepal	Philippines	Bangladesh
a) Institutionalized use of evaluation	0	0	0	0
b) Public perception of evaluation				
i) Knowledge about evaluation	0	0	0	0
ii) Public discussion / media	0	0	0	0
iii) Availability of reports	0.5	0.5	0	0.5
c) Civil Societies' demand of evaluation				
i) Civic demand	0	0	0	0
Total	0.5	0.5	0	0.5
Overall mean	0.1	0.1	0	0.1

Table 6.4.b): Levels of institutionalization in social system

Scores: Good spread 1, Medium spread 0.5, and non-existing 0

The levels of institutionalization of evaluation in social system in the four countries is similar to the situation in Europe as it is weak in all four countries. As per Table 6.4.b, all four countries do not score for criteria other than row 6 where only three countries score medium for availability of reports.

a) Institutionalized use of evaluation

The column on institutionalized use of evaluation (Table 6.4.b, row 8) includes whether and to what extent citizens and civil society organizations use evaluation for their organizational and political decision making and how they are practically involved in evaluations. In all four countries, the use of evaluation for political decision making by citizens is almost non-existent. Citizens and civil society participate in evaluations as respondents. However, whether citizens and civil society are informed participants of evaluations is a question as mostly they play a passive role in evaluations and are not fully briefed before participating in the evaluation. Religious institutions do not usually participate in evaluations. In all four countries NGOs are more involved in civil society as they conduct evaluations for their donor funded projects. In most cases of donor funded projects, evaluations are compulsory and embedded in the project itself. For example, in Nepal projects implemented by NGOs are approved by the SWC if evaluation is included in the project and budget. Sometimes civil society organisations and NGOs use evaluation findings to prepare a base for developing any proposal to be submitted to the government for funding approval. There is no data which could provide empirical evidence about use of evaluations by individuals or individual organisations.

Comparing with Europe, only Belgium and Switzerland indicate general use of evaluation in civil society. Switzerland which shows the high ranking in institutionalization of evaluation in the political system, evaluation is used to back up the political processes by the civil society. In Belgium, evaluation is used by the civil society for decision making although it does not have a central place (Globe Europe, p.501). All the other countries in the Europe study, use of evaluation by civil society does not exist. Therefore, there is no big difference between Europe and four countries in terms of this aspect although all four Asian countries are developing countries. It appears that general awareness about importance of evidence based policy planning is lacking and so the use of evaluations.

b) Public Perception of evaluation

i) Knowledge about evaluation

Public in all four countries is not familiar with the term evaluation and not used to it. The public is familiar with the exams as assessment of education level or environmental impact assessments as they appear in media when it comes to news. Other than that in the respective countries, there is no formal or informal process to educate citizens about evaluation. Therefore, the citizens or the civil society do not have proper understanding about the subject evaluation. The situation in Bangladesh is the same. One reason for the lack of knowledge on evaluation is the misconception regarding the term as it is seen as fault finding, policing or investigation rather than something used for learning and accountability. Due to the reason on lack of knowledge on evaluation at public level, Sri Lanka Evaluation Association conducts monthly webinars on different topics of evaluation. The webinars are announced widely by email and on social media inviting people to attend and learn about evaluation.

Similarly in Sri Lanka as the FGDs organized on 3rd and 4th November 2019 revealed that the webinars organized by VOPE is widely attended more than 150-300 people (SLEvA, 2019). In addition, the recordings of the webinars are posted on the SLEvA website for further knowledge sharing. There are several virtual knowledge sharing events on evaluation organized by different organizations which are open to people from any country. For instance conferences organized by various VOPEs in collaboration with other stakeholders are good examples of disseminating knowledge about evaluations. Some of the web sites providing knowledge are IPDET website, European Evaluation Society (EES, n.d.a) and so on. As the technology provides more opportunities for learning these days, use of technology to increase knowledge on evaluation is increasing (Streicher, 2017). Such steps would certainly enhance public perceptions in due course (Abeysekara, 2013).

ii) Public discussion/ media

Evaluation is not a subject which is discussed in the society or in media widely in all the four countries studied. In Europe also only in Demark and Switzerland, evaluation is well known in their societies. In all other European countries studied in the Evaluation Globe, evaluation is not familiar to the society. At present the discussions of evaluations are restricted to webinars, seminars and other platforms like paper presentations at some conferences by evaluators. While

this raises awareness at large but does not serve the specific purpose towards use of evaluations. The only exception where evaluation results are discussed when projects and programmes are controversial and they are used for agenda setting and political purposes. In this case evaluation is discussed with a wrong perception adding more negative views than providing positive side. In Europe only Denmark, Finland and Switzerland are rated for this criterion and all the other countries do not qualify for this.

Social media including Twitter, FaceBook and other platforms are also widely used for purpose of promoting evaluation. For example, most VOPEs have their own Twitter account and FaceBook page for instance, APEA, ECOI, SLEvA. Evaluation offices of UN agencies and other international organizations all have own social media accounts. UNFPA Evaluation Office has very dynamic Twitter (@unfpa_eval) handle which promotes evaluation in various ways. UNDP, the World Bank and other similar organizations have the same. However, to reach out to general public and non-evaluation community for awareness raising through social media need to be explored.

iii) Availability of reports

As per the table 6.4.b, row 6, Sri Lanka, Nepal and Bangladesh are ranked for medium while Philippines gets zero for availability of reports. Non availability of evaluation reports is one of the reasons for low use as well. Sri Lanka has the EIS where evaluation reports are uploaded which functioned well in the past. At that time most of the decision makers used evaluation reports through the EIS and also donors started to use them without repeating the evaluations for the same programme or the sector. But EIS is not functioning well now as it was doing in the past. “Only a few reports are made public and sometimes certain issues raised and these are discussed in the media. These discussions are only about the findings and not about evaluation or quality of evaluation or professionalization” (Sri Lanka, page 95). In Nepal, evaluation reports are available in the NPC website. However, this includes reports of evaluations conducted by NPC only. There is no single repository where all evaluation reports are located. IMED website provides evaluations conducted in Bangladesh. In Philippines, there is no central repository of evaluation reports. In general, in all four countries availability of evaluations publicly is a challenge and need a lot of improvement there. In Europe, this is the only area under institutionalization of evaluation in civil society, many countries (12) show at least medium for availability of evaluation reports (Globe Europe, p.501). This situation is similar to four countries in Asia too as three countries are rated for medium in this regard.

c) Civil societies' demand for evaluation

Citizens usually do not demand evaluations and it is obvious as they are not familiar with the evaluations and their utility. However, they do demand assessment of failed projects if they are affected by the results. This happens mostly when the citizens are supported by civil society organizations. In some cases, citizens supported by civil society organizations file court cases regarding the failed projects. In Nepal, also citizens raise concerns when projects fail but there is no formal way of demanding evaluations by them. The situation is similar in Sri Lanka and Philippines. This low demand from civil society is not different from European countries as all countries are ranked "0" for low spread (Globe Europe, p.501, Table 3, column 6). Therefore, in Europe also civil society do not demand evaluations. Thus, it can be seen that developed world is not different with that of Asian countries.

As the four countries are developing countries in Asia, and mostly depend on donor funds, the NGO sector plays a key role in working on the development sector. There are bi-lateral, multi-lateral donors and development banks that support the countries for various projects. Therefore, the NGO sector is very active and play a strong role in all the four countries. In this context, the demand for evaluation by the NGOs is twofold. NGOs usually conduct evaluations as part of the projects they implement and second NGOs are strong advocates that demand the government to conduct and use evaluations.

6.4.3 Professionalization

Results of scoring of indicators on professionalization for the four countries are shown in Table 6.4.c)

Aspect	Sri Lanka	Nepal	Philippines	Bangladesh
i. Education	1	0.5	0.5	0.25
ii. Training for YEEs conducted	1	1	0	0
iii. Communication	0	0	0	0
iv. Organization	1	0.75	0.5	0.5
v. Existence of EvalYouth chapter	1	0	0	0
vi. Norms	0	0.75	0.75	0.25
Total	4	3	1.75	1
Overall Mean	0.66	0.5	0.292	0.166

Table 6.4.c): Professionalization Index, Scoring is done as per scales in given in Table 6.4.(b)

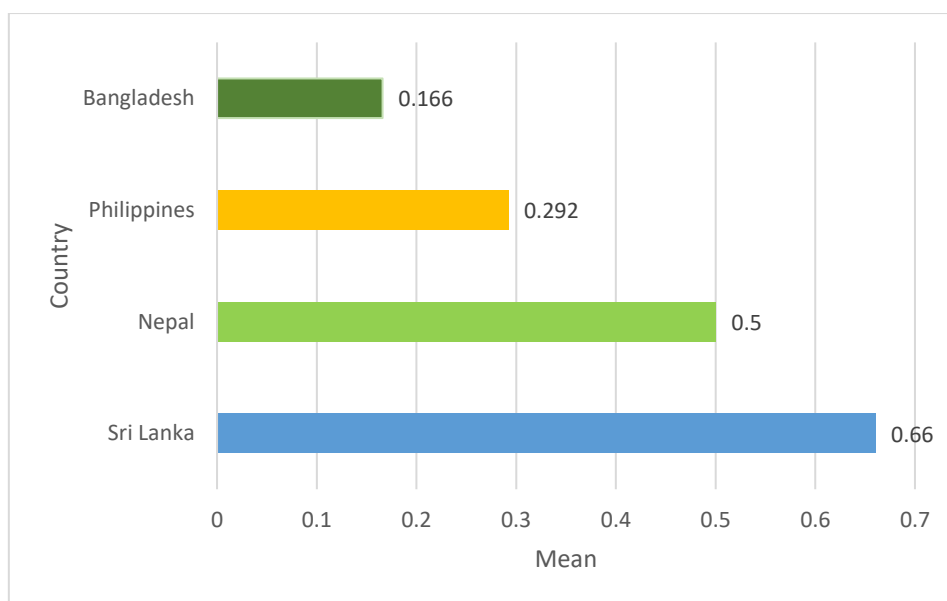


Figure 6.3: Overall Index on Professionalization

i. Education

Education on evaluation in respective countries is shown in table 6.4.3, row 2. Sri Lanka gets highest ranking (score 1) for having major subject courses in academic institutions. Nepal and Philippines get 0.5 for single academic courses while Bangladesh is scoring 0.25 for non-academic courses. The academic courses are found only in Sri Lanka, Nepal and Philippines but broadly on monitoring and evaluation rather than focusing only on evaluation. Sri Lanka has a stand-alone academic course on monitoring and evaluation titled Post Graduate Diploma in Monitoring and Evaluation offered by the Faculty of Graduate Studies, University of Sri Jayewardenepura which is one of the 15 state universities in the country. The course has less than four years history and about to start the fourth batch. The university is planning to start a Master course on monitoring and evaluation which is an extension to the Post Graduate Diploma as diploma students can complete the Master course by completing the second year of the Master course. Therefore, the first year seems equal to the Post Graduate Diploma course. The Post Graduate Diploma was started based on the curriculum developed through the Teaching Evaluation in South Asia (TESA) initiative supported by International Development Research Center and UNICEF. There were seven universities from seven South Asian countries involved in the initiative, Sri Lanka (and University of Sri Jayewardenepura) is the only country initiated the course.

The Post Graduate Diploma is more focusing on evaluation although the title is monitoring and evaluation. The final practicum to conduct an evaluation gives practical experience to the

students on conducting an evaluation (in a small scale). However as per the students' profiles and their role in current jobs, they are mostly doing the course for enhancing knowledge on monitoring and evaluation rather than becoming evaluators. This has been a challenge as academic courses are expected to fill the gap of quality evaluators.

In addition to the Post Graduate Diploma, the SLEvA together with NILS started the Diploma in Monitoring and Evaluation Course. Two batches were completed from 2017-2019 and the third batch was not processed due to the COVID 19 situation which shows challenges in continuing evaluation courses together with public institutions. The Post Graduate Diploma and Diploma course, the content is more or less similar as both are based on the TESA module. The main difference is the practicum exercise. In addition SLEvA has conducted various ad hoc courses related to monitoring and evaluation more frequently in the past.

In Nepal there are two universities run monitoring and evaluation courses: Kathmandu University and Tribhuvan University. The School of Education, University of Kathmandu conducts Planning, Monitoring and Evaluation of Development Programmes/ Projects which was started in 2013 being the first academic course related to monitoring and evaluation in South Asia region. The course includes planning aspect also and focusing on development programmes and projects. The other two academic interventions run by the university of Kathmandu and Tribhuvan University are modules on monitoring and evaluation as part of regular courses, one is a MPhil course at the School of Education, University of Kathmandu and the other is Project Management course at the Tribhuvan University.

In Philippines, there are no formal academic courses on evaluation at the university level. The only reference is the environmental science courses where monitoring and evaluation is a module. The undergraduate course for environmental sciences from the Department of Environmental Science of Ateneo de Manila University has M&E included like other such courses in 101 universities.

In Bangladesh there are no academic courses on evaluation. National Academy for Planning & Development under the Ministry of Planning conducts a monitoring and evaluation course for public officials. This has been conducted regularly for twenty years covering more than 600 officials. However this course enhances the participants' knowledge on M&E but do not expect them to become evaluators as the course does not go in to details and skills building on conducting evaluations.

In summary, none of the countries have developed evaluation in courses in independent discipline. While Nepal and Sri Lanka have university courses which are combined with planning and monitoring. Nepal and Philippines have evaluation topics as part of other academic courses. In all four countries, the government institutions conduct evaluation capacity building programmes on ad hoc basis only. That may be the reason that evaluations are conducted by external evaluators including international experts. All stakeholders including the government, academia, VOPE, evaluators from all four countries do express the need for academic courses on evaluation and regular capacity building to lead more competent evaluators.

In Europe there are eight countries running Master courses on evaluation. They are France, Italy, United Kingdom, Spain, Belgium, Germany, Romania and Switzerland (Globe Europe, pp507, 508). Netherlands with a well-developed evaluation tradition does not have a specialised evaluation master course but they have evaluation included as modules in other disciplines (Globe Europe, p.507).

ii. Training for YEEs conducted

The other emerging professional capacity building initiative in both Nepal and Sri Lanka are the training for young and emerging evaluators. Nepal conducted a four-day training on evaluation for YEEs as one-time training in 2017. Sri Lanka conducted a two-day training on evaluation for 30 YEEs each in September 2020 and March 2021. Courses for YEEs are important to have more trained evaluators in future. The only other country in the region conducted evaluation training for YEEs is Afghanistan. Philippines and Bangladesh have not started capacity building of YEEs in their countries yet. In 2021, a winter school for YEEs was conducted in Asia Pacific. The three days virtual event was organized by APEA, EvalYouth Asia and few other partners. Forty seven YEEs attended the event including five from Sri Lanka, four from Nepal, three from Bangladesh and two from Philippines (De Mel & Diwakar, 2021). The next winter school for Asia Pacific YEEs has been planned for December 2021. The European study did not research on evaluation training for YEEs therefore no specific information in this regard is available in the report. However existence of EvalYouth initiative in Europe is evident (details in topic v below).

iii. Communication

In all the four countries, there are no evaluation specific journals or academic instruments available. Also there are no other journals where evaluation is featured. In Sri Lanka and Nepal VOPEs have their own websites which are used as one of the tools for communication and sharing- learning with members and the general public. SLEvA has a website which includes “Resources” page with various resource materials. One example for resource materials include in the website is UNEG Norms and Standards so that people get access to it. SLEvA quarterly report is also posted on the same page which shows progress of the three months period. In Nepal, all three VOPEs have functioning websites, but Philippines and Bangladesh VOPEs do not have websites. However BES and PHIDEV have Face Book pages which they use for communication. Some VOPEs in the region have periodic newsletters used for sharing news and knowledge. ECOI is an example which issues a newsletter every three months and these are uploaded on the website too (ECOI, 2020). But none of the VOPEs in four countries currently do have newsletters of their own although SLEvA used to have one in the past and did not continue (FGD on 3rd November 2019). In Europe there are number of journals on evaluation and some other social science journals where evaluation papers are published. The most important one is “evaluation” published by Sage and edited by the Tavistock Institute in London, UK (Globe Europe, p.511).

iv. Organization

Regarding the VOPEs in the four countries, all of them have formalized VOPEs. Sri Lanka has one, Nepal and Philippines have three each and Bangladesh has two VOPEs. Sri Lanka Evaluation Association is one of the oldest in Asia and oldest among four countries under study. SLEvA is established as an organization with 334 members and was instrumental in bringing the National Evaluation Policy of the country. Three VOPEs in Nepal are formal but small organizations. Community of Evaluators – Nepal was instrumental in many recent developments of the evaluation field in the country including holding the EvalYear 2015 at the Parliament of Nepal, initiating National Parliamentarians Forum for Development Evaluation Policy in Nepal, drafting the National Evaluation Policy Act, developing the National Evaluation Agenda. CoE-Nepal worked closely with the National Planning Commission regarding most of above-mentioned achievements. Nepal Evaluation Society and SOME stick to regular functioning such as conducting board meetings and communicate with members etc.

Among three VOPEs in Philippines, M&E Network was created by NEDA and main positions are held by NEDA officials too. The main activity they conduct is the annual M&E Forum which can be named as the Philippines evaluation conference as there are no other evaluation conferences happening at the national level. PHILDEV is also a formal network which is a member of the regional VOPE too. PMES was active when it got established, however at the moment they do not seem to be an active network. So M&E Network is part of the government and both PHILDEV and PMES do not work with the government to push the evaluation agenda in the country. Thus in Philippines, there is a gap and lack of coordination between VOPEs and government.

In Bangladesh the both VOPEs are confined to internal operations such as board meetings and member affairs. Even board meetings and member affairs are not regularly happening. MES is headed by a senior official at the National Planning Commission. Although there are 300+ members, it is said that only around 30 members are active. Both VOPEs are not playing a role to advocate for National Evaluation Policy in Bangladesh or advance the evaluation agenda in the country.

Among four countries studied, Nepal, Philippines and Bangladesh do not have a programme on professionalization of evaluation or certification of evaluators. Sri Lanka started a new project to develop competency framework for evaluators and a pathway for assessment of competencies. Upon success implementation of the programme, this will be the first in the region as well as can be catalytic for other countries too.

In Europe all countries are rated positive for having a VOPE. Some have over 800 members such as the German Evaluation Society (DeGEval). There are five evaluation associations including the European Evaluation Society with over 400 members (Globe Europe, pp.509, 510).

v. Existence of EvalYouth chapter

The new development in Sri Lanka is the establishment of the EvalYouth Sri Lanka network which was initiated in December 2019. Sri Lanka is the only country among four countries having a EvalYouth national chapter. The other countries in the region have a national chapter are India, Afghanistan, Bhutan and Pakistan. This development came up with establishment of the EvalYouth Asia, regional chapter of EvalYouth Global Network in the region. In Europe

study this aspect is not researched, therefore no information about EvalYouth chapters mention in the Globe Europe study.

However in Europe, European Evaluation Society has a Thematic Working Group (TWG 5) for young and emerging evaluators (EES, n.d.b), which is actively participating in global campaigns such as Eval4Action and networks such as EvalYouth Global. France and Switzerland have national EvalYouth chapters and both are partners of the Eval4Action campaign too. Other countries do not have national EvalYouth chapters yet.

vi. Norms

Regarding the norms, standards and guidelines, none of the four countries have norms per say. However, Nepal has comprehensive guidelines developed by NPC and endorsed by the government for all public offices to use. Both Results Based Monitoring and Evaluation Guidelines and National Monitoring and Evaluation Guidelines provide comprehensive guidance for the public officials to conduct evaluations. Philippines also published “Guidelines on Evaluation in the National Government” to enhance quality of evaluations conducted by public institutions. Bangladesh has guidelines and two manuals on M&E developed by IMED to be used by their officials however they are not considered as national guidelines as not used public sector wide. In Bangladesh, norms and standards are used in informal agreements. Sri Lanka does not have any document on norms, standards and guidelines. All four countries widely use OECD/DAC criteria for evaluations. In all four countries, where needed evaluators use organization specific or widely accepted (such as UNEG) guidelines for evaluations. When it comes to evaluations commissioned by donors, their guidelines, norms are used.

6.5 Summary of Findings

The overall scores of the four countries are presented in the following table.

Country	2020 (incl. social system)		2020 (excl. social system)	
	Total score	% of maximum (16)	Total score	% of maximum (11)
Sri Lanka	7.50	46.9	7.00	63.6
Nepal	7.25	45.3	6.75	61.4
Philippines	4.75	29.7	4.75	43.2
Bangladesh	3.25	20.3	2.75	25.0

Table 6.5: Comparison of evaluation maturity in 4 Asian countries (2020)

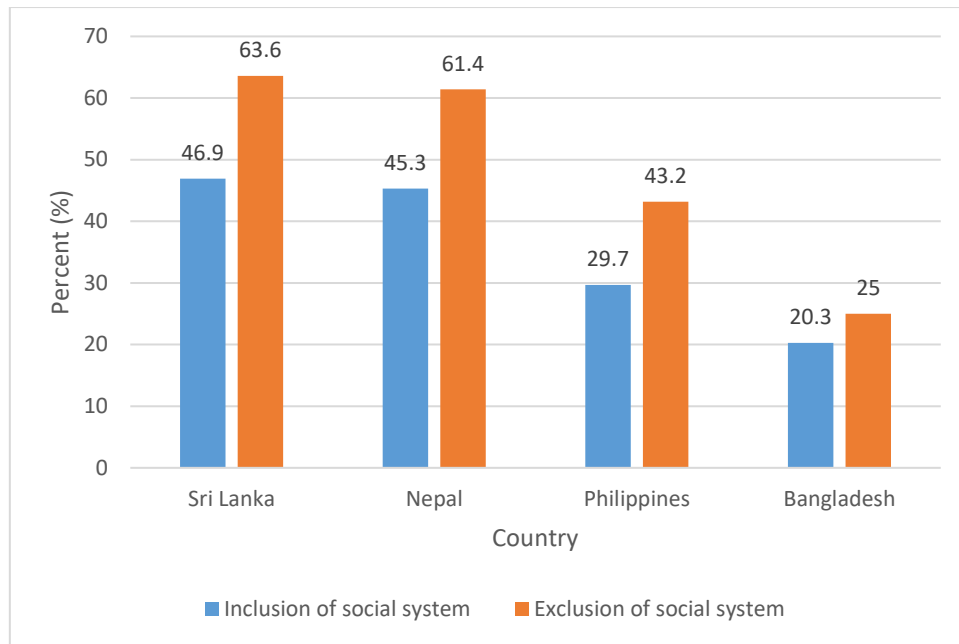


Figure 6.4: Comparison of evaluation maturity in countries studied (in %)

It would appear that Sri Lanka and Nepal have attained a fair degree of maturity in so far as evaluation culture is concerned, with Sri Lanka having a slight edge over Nepal.

Table 6.6. gives the country scores of all the four countries in each of the three systems:

Country	Political system	Social system	Professional system
Sri Lanka	0.43	0.1	0.66
Nepal	0.54	0.1	0.50
Philippines	0.43	0.0	0.21
Bangladesh	0.25	0.1	0.17

Table 6.6: Mean Scores of Asian Countries selected by system

As far as political system is concerned, the first three countries are more or less on the same footing. Only Bangladesh lags behind. All the countries have very low penetration of evaluation in the 'social systems' (Stockmann et al., 2020, p.20). Sri Lanka scores high in professional system followed by Nepal, leaving the other two countries far behind. It would seem that the overall institutionalization is impacted more by professionalization and somewhat less by the political system. In professional system, the differences are similar in all sub-areas, viz., education, training, organization, etc.

A comparison with the data for the developed European countries would indicate that both Sri Lanka and Nepal are as mature as several developed countries in their evaluation culture.

The following table presents the data for all the European countries covered by Stockmann study of 2020.

Country	Political System (mean score)	Social system (mean score)	Professionalization Index
Belgium	0.36	0.20	0.38
Czechia	0.29	0.10	0.75
Denmark	0.43	0.25	0.50
Finland	0.64	0.20	0.50
France	0.43	0.10	0.88
Germany	0.57	0.10	0.94
UK	0.33	0.10	0.94
Ireland	0.21	0.10	0.31
Italy	0.14	0.10	0.94
Latvia	0.36	0.10	0.50
Netherlands	0.86	0.25	0.50
Poland	0.07	0.10	0.63
Portugal	0.00	0.00	0.25
Romania	0.00	0.10	0.50
Spain	0.36	0.00	0.88
Switzerland	0.93	0.40	0.94
Sri Lanka	0.43	0.10	0.66
Nepal	0.54	0.10	0.50
Philippines	0.43	0.00	0.21
Bangladesh	0.25	0.10	0.17

Table 6.7: Scores of Institutionalization of evaluation ion European vis-à-vis Asian Countries, Source: For European countries – Stockmann study, Synthesis for Asian countries - Author

In so far as political system is concerned, Sri Lanka and Nepal stand below only Finland, Germany, Netherlands and Switzerland, and Sri Lanka is at par with Denmark and France. The Philippines is at par with Denmark and France. Bangladesh, though standing lowest among than four Asian countries, has a better penetration of evaluation in the political system than Ireland, Italy, Poland, Portugal and Romania. Barring Belgium, Finland, Netherlands and Switzerland, other European and Asian countries score low in the penetration of evaluation culture in the social systems. The Professionalization index for Sri Lanka, at 0.66 is marginally higher than the average of 0.65 for all the European countries.

Even though late starters in the field of evaluation, Sri Lanka, Nepal and Philippines, like almost all Asian countries, have progressed well in developing a culture of evaluation in the

political sphere. This came about primarily through national legislation, executive orders organizational embedding as well as sectoral spread in use of evaluation. Bangladesh, however, is yet to cover some distance in institutionalizing and using evaluations in its political system (Table 6.3.a).

None of the four countries has much to commend about evaluations in the area of social systems (Stockmann et al., 2020, p.20). This is so, in many of the advanced countries in Europe as well. In the matter of professionalization, Sri Lanka and Nepal have again scored well. Development of higher education (in Sri Lanka) and training in evaluation and the existence of strong professional organizational presence in the form of VOPEs have contributed to this fact. Prescription of evaluation norms in Nepal is an important factor.

Chapter 7

Findings, Recommendations and Conclusion

7.1 Findings

The study of four countries in the Asia Pacific region brought out several interesting results and shows that the region is progressing towards institutionalization of evaluation. A kind of evaluation culture is developing and gradually various stakeholders are getting involved with various evaluation related activities. On various indicators studied it is noteworthy that these countries are on par with the European world. Some important findings are summarised below:

1. The methodology adopted in this study was rational and appropriate to the objectives. Analytical Guideline: Evaluation Globe – Compendium on the Institutionalization of Evaluation by Stockmann et al was used being the latest and specifically designed to study factors towards institutionalization of evaluation. The earlier instruments used for such investigation had restricted indicators as they did not take note of social dimensions.
2. It was noted that some more specific indicators could have been included in each component by the authors of Evaluation Globe to identify specific factors leading to institutionalization. The components used are of generic nature. For instance, while considering the laws and regulations on evaluation process related indicators could be taken up which are important in assessing institutionalization. Specificity in indicators makes for objectivity in assessment and scoring which would better reflect the reality. Accurate assessment of the penetration of evaluation culture into the social system presents difficulties unless more specific indicators are developed and used (Stockmann, et al, 2020). Similarly, awareness and application of evaluative methods by media also needs to be taken account of.
3. Countries are at various levels of institutionalization of evaluation and maturity of evaluation culture. Some are taking good initiatives and introducing laws, policies, institutional mechanisms and guidelines that provide them an edge over others like some of the Asian countries that have a far shorter history of evolution of evaluation. No doubt these efforts have generated a lot of interest and awareness in the society contributing to

generation of demand for the evaluations at least from some stakeholders like government, parliamentarians, VOPEs. Other stakeholders like academia is also stepping into creating enabling environment for evaluations through organizing courses. The effective implementation of guidelines as well as utility of courses is yet to be ascertained.

4. Professionalization of evaluation is observed where VOPEs are strong like Sri Lanka and VOPEs are participating in various activities relating to evaluations and their professionalization. There is a need to strengthen VOPEs at national level. VOPEs should also develop their base at local level to be more effective.
5. The study brings out that national and local governments are very important stakeholders in the whole process. VOPEs are also more effective and influential where they are working in collaboration with the Governments. The cases of Nepal and Sri Lanka lend credence to this conclusion.
6. The use of evaluation is still in nascent stage in all the countries studied. This is not specific to this part of the world. This situation prevails in almost all the countries world over. While the use of evaluative methods, particularly where experimental designs were used, existed in countries like USA in the fields of education, medicine, agriculture, etc. their use in development evaluation is more recent. No specific laws, regulations and guidelines have been found in most of the country studied.
7. Specific institutions are designated by the governments to look into monitoring and evaluation functions. But they mostly focus upon monitoring. Role of civil society and citizens' participation is very limited in all the countries. Even when evaluations are conducted, these are donor driven and provide results for process only rather than indicating towards impacts and outcomes.
8. There are often no specific budget allocations for evaluations; that is also one factor that restricts institutionalization of evaluations. Evaluations are done for a few sectors only and as mentioned generally they have been donor driven. This has now been changing gradually with country-led development evaluations gaining momentum.

9. Independent evaluation system is restricted to individual/institutional evaluators whose capacities are not up to the mark. Usually, external evaluations are conducted. Some countries have initiated courses on M&E to overcome this issue (Sri Lanka).
10. Evaluation reports are not disseminated to the public at large in almost all the countries. Sometimes these are available on government websites but there is no public debate or discussions on the results of the evaluations. Media discussions, if any and if objective without being colored by political inclinations, are limited to utilization of funds and anomalies therein. Findings are often presented by evaluators on some of the platforms like conferences/ workshops/ webinars, with restricted audience.
11. Various factors together led to institutionalization of evaluation. No single factor could be traced in country study that could be designated as attribution factor. For instance, some countries are progressing well towards institutionalization even when they do not have a National Evaluation Policy. Results are in tune with the observations of Jacob et al, 2015 that institutionalization is not a one-dimensional model.
12. The study finds that countries are taking initiatives to move towards country led evaluation systems against the donor driven systems. Country led evaluation system is one factor that is an important step towards institutionalization as it creates awareness about importance of evidence-based policy planning at large. Burdescu et al, 2005 also observed this phenomenon.
13. System of professionalization is initiated by Sri Lanka especially as the country is working for competency framework and accreditation. Once the system is accepted it would be a great breakthrough and other countries may also be encouraged to adapt the system.
14. While factors like demand for evaluations from civil society, commitment on the part of governments to generate and use evaluative evidence for decision-making, availability of institutions providing quality evaluators and vibrant professional bodies of evaluators are important towards institutionalization of evaluations, there is a long way to go to inculcate evaluation thinking in the society at large and work for quality evaluations and their use.

7.2 Recommendations

This study has shown that a combination of factors contributes towards institutionalization of evaluation and of these, contextual factors are of vital importance. It would be interesting to study further what types of evaluation system works in which type of contextual setting. Another important issue for future research can be as to how various stakeholders such as parliamentarians, academicians can play an important role towards the institutionalization of evaluation.

This study has revealed that VOPEs have been working for the cause along with parliamentarians. The ideal situation would be to have champions from the government and the Parliament. VOPEs have challenges due to their voluntary nature. The challenges faced by the VOPEs can be studied further to understand their problems and coping strategies.

Development partners' support and intervention might be seen as external push and may not be sustainable if the government is still not ready. In some countries, the national evaluation policy was developed and endorsed by the government due to advocacy from the development partners. But the policy was not properly implemented as the government did not feel the ownership or need for the policy. Further studies can be conducted to determine how to address this issue.

As revealed in studied countries, academic courses are a need and respective governments should invest in academic courses in evaluation. A policy decision to promote universities to initiate academic courses and allocate necessary resources for that is a need. Also the universities should consider inclusion of evaluation in regular degree programmes.

Non-existence of evaluation cadre at the public sector has been a challenge in promotion of evaluation as a profession as it does not encourage people to access necessary qualifications. Also creation of a cadre will strengthen the internal capacity of institutions for evaluations. Therefore the governments should consider creating a cadre for evaluation or monitoring and evaluation.

In Asia, as regulations seem important for public institutions to work on policy areas such as evaluation, inclusion of evaluation particularly in the national Constitution is crucial. This is

an area where relevant stakeholders to advocate the respective governments to take necessary action. VOPEs can play a major role in mobilizing other stakeholders as well as advocating the governments on this.

As pointed out in Chapter 3, there are only a few studies conducted on the professionalization of evaluation within the Asia Pacific region. Since the degree of professionalization has been identified as an important factor in influencing an evaluation system and its institutionalization, it is a vital factor worth researching. It was also identified from the literature review that only three regional consultations on National Evaluation Policies and Systems have been conducted in Asia rather than academic research. This area of study can be further explored and its scope expanded to cover more of the region.

In general, one of the main gaps which this study strived to fill was the lack of comprehensive research analysing the institutionalization of evaluation in developing countries where the evaluation culture is underdeveloped. While this dissertation has focused on case studies of four countries in the Asia Pacific region, that in itself is a limitation of the study. It is suggested that the methodology and research objectives of this study can be further improved and replicated in other countries with a similar status.

7.3. Conclusion

The importance of evaluation for development, especially in terms of achieving SDGs under Agenda 2030, is the reason for there being so much interest in the academic study of the institutionalization of evaluation. This study has focused on the factors influencing institutionalization at a national level with special emphasis on certain factors which have not been sufficiently scrutinized in existing academic literature as identified through the literature review in Chapter 3. Accordingly, isolating factors which accelerate institutionalization, the significance of NEPS, and the role of VOPEs, parliamentarians and civil society groups were the main focal points of this study. These research gaps formed the basis for the research questions which were tested using the methodology specified in Chapter 4. The discussion and results of four case studies on the evaluation systems of Sri Lanka, Nepal, Philippines, and Bangladesh formed the crux of this dissertation and was presented under Chapter 5. This was analyzed and synthesized with existing research on the subject under Chapter 6 and the research findings were concisely presented under Chapter 7.

In conclusion, the salient outcomes of this study can be summarised as follows: It is useful to include specific indicators under each general factor used in assessing institutionalization. There is a pressing need to strengthen VOPEs at a national level since the study shows that they play a major role in the professionalization of evaluation which ultimately contributes towards institutionalization. The study also revealed that the impact of VOPEs is bolstered when there is collaboration with the government and especially the legislature. All of the countries studied have an evaluation culture which is still at a nascent stage but certain countries were making good progress towards institutionalization despite the absence of specific NEPS suggesting that NEPS are not an indispensable factor. There was an evident shift from donor driven systems of evaluation towards more country-led systems. The role of civil societies in demanding evaluation is an important factor which can influence institutionalization but it would take a long period of time to inculcate such thinking at a societal level.

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Annex 01: Interview protocol and interview questions

I would like to ask your permission in order to participate in this virtual (Phone/Zoom) interview voluntarily. The main purpose of this interview is to collect information for the research related to the PhD thesis on “institutionalization of evaluation in Asia”.

The interview will take around 50 minutes.

- I will take notes during the interview.
- I would like to seek your permission to record.
- The interview notes and transcripts will be kept confidentially and privately.
- There won't be any monetary compensation for participating in this interview.
- If you do not want me to include anything you said in the report, please let me know.

We are asking for your verbal consent in order to participate in this interview.

Interview questionnaire

1. Institutional Structures and Processes

1.1 Evaluation Regulations

1.1.1 Are there national laws or regulations about evaluation or use of evaluation?

1.1.2 Are there policies or strategies about evaluation or use of evaluation, either national or sectoral? If yes, which?

1.1.3 Are there administrative regulations about evaluation or use of evaluation in different policy fields (instructions, guidelines, etc.)? If yes, which?

1.1.4 What is the content of these laws/ regulations/ policies/ strategies or administrative regulations regarding independence of evaluation, quality, impact orientation and available budget?

1.1.5 Is evaluation and use of evaluation findings embedded in parliamentary structures? If yes, how?

1.2 Evaluation Practice

1.2.1 With regard to the whole country: How would you describe the scope of conducted evaluations? Is it possible to speak of a frequent rhythm of evaluations, for instance for every new legislation or for every national program? Does evaluation take place in all sectors/ policy fields of a country?

1.2.2 With regard to the whole country: How would you describe the relation between internal and external evaluations? Which form is carried out more often and for what purposes?

1.2.3 With regard to the whole country: How would you describe the relation between process and impact/ outcome evaluations? Which form is used more often and for what purposes?

1.2.4 Does an independent evaluation institute exist in your country?

1.2.5 Do independent internal departments exist, in ministries or elsewhere?

1.3 Use of Evaluations

1.3.1 Which sectors are “good performer” regarding use of evaluation and evaluation findings?

1.3.2 Which sectors are “bad performer” regarding use of evaluation and evaluation findings? Please describe up to 3 sectors that are lagging behind in the field of evaluation’s use.

1.3.3 Which professional groups use evaluation and evaluation findings regularly (e.g. political decision makers, program or project manager, administrative staff)?

1.3.4 How is the quality of evaluations guaranteed (e.g. regular conduction of meta-analyzes, competence requirements for evaluators, quality requirements for evaluations)?

2. Societal Dissemination/Acceptance

2.1 Institutionalized Use of evaluations by Civil Society

2.1.1 Is it usual practice in your country that evaluations are used to provide knowledge for referenda or political decision making on a communal basis?

2.1.2 Are evaluations and evaluation findings used by individual citizens/ civil society organizations and or private enterprises or other actors?

2.1.3 Is it usual practice in your country that citizens or civil society organizations (NGOs, CSOs, churches etc.) are participating in evaluations (as stakeholder)?

2.1.4 Public perception and discussion of evaluation and evaluation findings

2.1.5 How well-known is the instrument of evaluation in society?

2.1.6 Are evaluation reports (full version) made publicly available?

2.1.7 Are findings of actual evaluations publicly discussed (surprising findings, different possibilities of dealing with these findings)?

2.2 Civil societies demand for evaluations

2.2.1 Do individual citizens, civil society organizations, private enterprises or other actors in your country demand evaluations, e.g. from political decision-makers?

3. Professionalization

3.1 Academic study courses, further training etc.

3.1.1 Do programs of higher university education for evaluators (Diploma, Master) exist in your country?

3.1.2 If yes, how many and where?

3.2.3 In which other scientific disciplines is evaluation instructed as scientific subject? Please give as many examples as possible.

3.1.4 Do other forms of academic or non-academic training exist? (e. g. e-learning, training by consultancies, else)?

3.3 Profession/ Discipline

3.3.1 Does a professional organization (VOPE - Volunteer Organizations for Professional Evaluation) exist in your country?

3.3.2 Do standards, guiding principles for evaluators or something similar exist in your country?

3.3.3 Would you say that the evaluation market in your country is mostly dominated by freelancer, consulting firms or scientific research institutes?

3.3.4 Does a certification system for evaluators exist in your country?

3.4 Compliance to standards and quality obligations

3.4.1 Do professional organizations ask their members to follow standards or guiding principles? If yes, how obligatory is this?

3.4.2 Do clients demand a certain evaluation quality and/ or compliance to standards? How does this demand look like (is it obligatory)?

3.4.3 To what extent do evaluators (and clients) follow these standards and/ or quality obligations?