

**A Review of
Evidence of the
Effectiveness of
CIDA's Grants and
Contributions
2005/06 – 2010/11**

**Evaluation Directorate
Strategic Policy and Performance Branch
Canadian International Development Agency**

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DEVELOPMENT EFFECTIVENESS

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TABLE OF CONTENTS

1.	INTRODUCTION.....	1
1.1	PURPOSE OF ASSESSMENT	1
1.2	INTERNATIONAL AID CONTEXT.....	3
1.3	POLICY FRAMEWORK FOR DEVELOPMENT ASSISTANCE.....	6
1.4	CIDA’S EVALUATION SYSTEM	8
1.5	REVIEW APPROACH AND METHODOLOGY	9
1.5.1	<i>Methodology for Review of Bilateral and Partnership Channels</i>	9
1.5.2	<i>Methodology for Review of the Multilateral Channel</i>	14
□	2. ASSESSMENT OF THE EFFECTIVENESS OF THE BILATERAL CHANNEL.....	16
2.1	OVERALL AID EFFECTIVENESS	16
2.2	OBJECTIVES ACHIEVEMENT/RESULTS	16
2.3	RELEVANCE	27
2.4	SUSTAINABILITY	28
2.5	EXPLANATORY VARIABLES: IMPACT OF PARTNERSHIP AND PROGRAM MANAGEMENT	30
2.5.1	<i>Extent of Partnership</i>	31
2.5.2	<i>Nature and Extent of Program Management</i>	32
2.6	CONCLUSIONS ON EFFECTIVENESS OF BILATERAL PROGRAMMING.....	36
3.	ASSESSMENT OF THE EFFECTIVENESS OF THE PARTNERSHIP CHANNEL.....	38
3.1	OVERALL AID EFFECTIVENESS	38
3.2	OBJECTIVES ACHIEVEMENT/RESULTS	38
3.3	RELEVANCE	39
3.4	SUSTAINABILITY	40
3.5	EXPLANATORY VARIABLES: IMPACT OF PARTNERSHIP AND PROGRAM MANAGEMENT	41
3.5.1	<i>Extent of Partnership</i>	42
3.5.2	<i>Nature and Extent of Program Management</i>	43
3.6	CONCLUSIONS ON EFFECTIVENESS OF PARTNERSHIP PROGRAMMING	44
4.	ASSESSMENT OF THE EFFECTIVENESS OF THE MULTILATERAL CHANNEL	45
4.1	OVERVIEW OF MULTILATERAL CHANNEL	45
4.2	ASSESSMENT OF THE EFFECTIVENESS OF MULTILATERAL ORGANIZATIONS	48
4.2.1	<i>Performance Assessed in Recent Evaluations of Multilateral Organizations</i>	49
4.2.2	<i>Performance Assessed in Recent Pilots for Assessing Multilateral Organization Effectiveness</i> ...	54
4.3	KEY DEVELOPMENTS IN RESULTS MONITORING AND REPORTING	56
4.3.1	<i>UNDP</i>	56
4.3.2	<i>WHO</i>	58
4.3.3	<i>WFP</i>	59
4.3.4	<i>IFAD</i>	60
4.3.5	<i>Conclusions on Strengthening RBM in Four Multilateral Agencies</i>	61
4.4	CONCLUSIONS ON THE EFFECTIVENESS OF THE MULTILATERAL CHANNEL.....	61
5.	CONTINUING EFFORTS TO IMPROVE AID EFFECTIVENESS	63
5.1	FOLLOW-UP TO PREVIOUS REVIEWS OF CIDA	63
5.2	CLEARER STRATEGIC DIRECTION, PLANNING AND REPORTING	70
5.3	ORGANIZATIONAL, OPERATIONAL AND MANAGEMENT CHANGES AT CIDA	72
5.4	IMPROVED EFFICIENCY AT CIDA.....	75
5.5	STRENGTHENING CIDA’S ACCOUNTABILITY	77
5.6	STRENGTHENING MULTILATERAL ORGANIZATION ACCOUNTABILITY	79
5.6.1	<i>Strengthening MO Systems for Development Effectiveness</i>	79
5.6.2	<i>Strengthening External Assessment of Multilateral Performance</i>	82
5.7	CONTINUED INNOVATION WITH CANADIAN PARTNERS	85
6.	CONCLUSIONS	86

6.1 CONCLUSIONS	86
<i>Bilateral and Partnership Channels</i>	86
6.2 AREAS FOR CONTINUED ATTENTION.....	88
APPENDIX A: REVIEW APPROACH AND METHODOLOGY	91
APPENDIX B: EVALUATIONS REVIEWED	104
APPENDIX C: META-ANALYSIS CRITERIA, SUPPORTING INDICATORS AND SCORING SYSTEM.....	108
APPENDIX D: DOCUMENT BIBLIOGRAPHY.....	118
APPENDIX E: INTERVIEW RESPONDENTS.....	121
APPENDIX F: TABLES FOR QUANTITATIVE ASSESSMENT OF BILTERAL AND PARTNERSHIP CHANNELS	122
APPENDIX G: SUMMARIES OF CORPORATE/THEMATIC EVALUATIONS	126

LIST OF ACRONYMS

AAA	Accra Agenda for Action
ADB	Asian Development Bank
AfDB	African Development Bank
ALNAP	Active Learning Network for Accountability and Performance in Humanitarian Action
AMIS	African Union Mission in Sudan
APPR	Annual Project/Program Performance Reports
CDB	Caribbean Development Bank
CDPF	Country Development Programming Framework
CFOB	Chief Financial Officer Branch
CGIAR	Consultative Group on International Agricultural Research
CIDA	Canadian International Development Agency
COMPAS	Common Performance Assessment System
CPA	Country programmable aid
CPB	Canadian Partnership Branch
CPE	Country Program Evaluation
DAC	Development Assistance Committee of the OECD
DFAIT	Department of Foreign Affairs and International Trade
DFID	Department for International Development
DND	Department of National Defence
ED	Evaluation Directorate
Gs&Cs	Grants and Contributions
GE	Gender Equality
GEF	Global Environment Facility
GEIA	Gender Equality Institutional Assessments
GFATM	Global Fund to Fight AIDS, Tuberculosis and Malaria
GPB	Geographic Programs Branch
HIV/AIDS	Human immunodeficiency virus/Acquired immune deficiency syndrome
IDB	Inter-American Development Bank
IFAD	International Fund for Agricultural Development
IFC	International Finance Corporation
IFI	International Financial Institutions
IFRC	International Federation of Red Cross and Red Crescent Societies
IMRT	Investment Monitoring and Reporting Tool
IPR	Investment Performance Reports
JIA	Joint Institutional Approach
MAF	Management Accountability Framework
MDG	Millennium Development Goals
MO	Multilateral organizations
MOPAN	Multilateral Organization Performance Assessment Network
MGPB	Multilateral & Global Programs Branch
NGO	Non-governmental organization
OAG	Office of the Auditor General
OCAE	Office of the Chief Audit Executive
OCHA	Office for the Coordination of Humanitarian Affairs

ODA	Official Development Assistance
ODG	Office for Democratic Governance
OECD	Organization for Economic Cooperation and Development
PAA	Program Activity Architecture
PBA	Program Based Approaches
PD	Paris Declaration on Aid Effectiveness
PLHIV	People living with HIV
PPR	Project Performance Reports
PWCB	Partnerships with Canadians Branch
RBM	Results-based management
RMAF	Results-Based Management Accountability Framework
RRMAF	Results and Risk Management Accountability Framework
SADEV	Swedish Agency for Development Evaluation
SAE	Strengthening Aid Effectiveness
SPPB	Strategic Policy and Performance Branch
TACC	Tsunami Assistance Coordinating Committee
TB	Treasury Board
TBS	Treasury Board Secretariat
ToRs	Terms of Reference
UN	United Nations
UNAIDS	Joint United Nations Programme on HIV/AIDS
UN-DESA	United Nations Department of Economic and Social Affairs
UNDP	United Nations Development Program
UNEG	United Nations Evaluation Group
UNFPA	United Nations Population Fund
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development
WFP	World Food Programme
WHO	World Health Organization

EXECUTIVE SUMMARY

1. Introduction

This report presents a review of the effectiveness of the Canadian International Development Agency's (CIDA) Grants and Contributions (Gs&Cs) provided through its three programming channels – bilateral, partnership and multilateral. CIDA's Gs&Cs are governed by the Treasury Board (TB) approved Terms and Conditions for International Development Assistance. Prior to the renewal of the current Terms and Conditions in March 2007, CIDA had conducted a similar review.¹ However, the coverage of multilateral programming was limited and, as a result, when renewing the Terms and Conditions, TB required that CIDA also undertake a review of the effectiveness of its multilateral delivery channel. CIDA conducted that review in 2009.² CIDA was also asked to do another review of the effectiveness of the Gs&Cs to inform the next Terms and Conditions renewal.

The Terms and Conditions for CIDA's Gs&Cs will expire in March 2012. To support the renewal of these Terms and Conditions, CIDA undertook this review, which covers CIDA's bilateral and partnership programming over the period 2005/06 to 2010/11 and includes an update of the 2009 review of multilateral programming.

During the 2005/06 to 2010/11 period, CIDA's total expenditures were approximately \$20.4 billion. Of this, \$16.1 billion (79%) was disbursed through Gs&Cs.³ Geographic programs (including the Afghanistan and Pakistan Task Force) account for 49% of CIDA's expenditures during this period. Multilateral programming accounts for 42% and partnership programming for 8%.⁴

2. Methodology and Report Outline

This assessment of the effectiveness of CIDA's Gs&Cs was prepared by the Evaluation Directorate (ED) in the Agency's Strategic Policy and Performance Branch (SPPB). Given the different periods covered by the reviews of bilateral/partnership and multilateral programming, the two reviews were conducted using different methodologies.

Bilateral/Partnership Programming

The bilateral/partnership part of the review, which covers a longer time period, involved a systematic meta-analysis of 41 CIDA evaluations (25 higher-level program and corporate evaluations conducted by the Evaluation Directorate (ED) and 16 led by the Partnership with Canadians Branch). The evaluations were measured against specific criteria to assess the achievement of objectives/results, relevance and sustainability of CIDA's programming and the factors that contribute to, or detract from, achievements. The investments evaluated include:

1 *A Review of the Effectiveness of CIDA's Grants and Contributions*, Evaluation Directorate, Performance and Knowledge Management Branch, CIDA, December 2006

2 *Review of the Effectiveness of CIDA's Multilateral Delivery Channel*, March 2009

3 CIDA Departmental Performance Reports, 2005/06 – 2009/10, CFOB preliminary statistics 2010/11

4 Statistical Report on International Assistance 2008-2009, 2007-2008 and 2006-2007; Statistical Report on Official Development Assistance 2005-2006 and 2004-2005, CFOB preliminary statistics 2010/11

- \$4.4 billion or 49% of bilateral (geographic) program spending over the six-year period 2005/06 to 2010/11, evaluated by the Evaluation Directorate;⁵ and
- \$854 million or 58% of spending by the Partnership with Canadians Branch (and its predecessor, the Canadian Partnership Branch) over the six years. These evaluations were conducted by the Evaluation Directorate (\$663 million or 45%) as well as the Partnership Branch (\$191 million or 13%).

In addition, the bilateral/partnership channel review provides a qualitative assessment of lessons learned from ED-led evaluations, a review of the implementation of ED-led evaluation recommendations and a review of CIDA's ongoing measures to enhance performance. When TB approved the current Terms and Conditions for CIDA's Gs&Cs in March 2007, it also requested that CIDA review its performance with respect to the implementation of program-based approaches (PBAs) to programming. The results of that 2010 evaluation are also presented in this report.

Multilateral Programming: Building on the Results of the 2009 Review

In 2009, CIDA presented the Review of the Effectiveness of CIDA's Multilateral Delivery Channel which provided a comprehensive overview of CIDA's multilateral programming up to 2006/07. The 2009 review drew on information gathered using three key methodologies: a synthesis of evaluation findings from a representative sample of 117 evaluation reports published between April 2004 and April 2008;⁶ interviews with results monitoring and evaluation department staff of 21 multilateral organizations (MOs) accounting for 90% of spending through the multilateral channel by CIDA (2001/02 to 2006/07); and, a review of policy and reporting documents relating to managing for development effectiveness in key CIDA supported multilateral organizations.

This report builds on the information gathered in the 2009 review to provide a picture of the effectiveness of CIDA's multilateral programming in the 2007/08 to 2010/11 period. It encompasses new information on the effectiveness of multilateral programming and information on new initiatives led by CIDA to strengthen international processes and systems for assessing the effectiveness of multilateral programming, as well as a summary of CIDA responses to the recommendations of the 2009 review.

3. International Development and CIDA Context

Aid effectiveness has been a dominant issue in international development programming over the past decade. Although discussed in the 1980s and 1990s,⁷ the clear focus on aid effectiveness emerged with the establishment of the Paris Declaration on Aid Effectiveness (PD) in 2005. This Declaration identified concrete actions that donor and partner countries

⁵ Country program evaluations did not necessarily assess in-depth all investments within the country program. As such, evaluation findings reported here do not provide a detailed assessment of the total value of the programs.

⁶ This was based on the criteria of objectives achievement/results, relevance, cost-effectiveness and sustainability. Gender equality and environmental sustainability were included in objectives achievement.

⁷ See "Does Aid Work? Report to an Intergovernmental Task Force", Robert Cassen & Associates, 1988; "Shaping the 21st Century: The Contribution of Development Co-operation", Development Assistance Committee, OECD, Paris, May 1996; "Comprehensive Development Framework: Meeting the Promise? Early Experience and Emerging Issues" CDF Secretariat, The World Bank, September 17, 2001

needed to take to harmonize, align, and manage aid for results in order to reduce global poverty and meet the Millennium Development Goals (MDG). These commitments continued with the 2008 Accra Agenda for Action (AAA), the adoption of the Fragile States Principles, the ongoing commitment to reach the MDGs by 2015, and the increase in importance of the G8 and G20 summits as fora for discussing global economic issues and development cooperation. The PD and MDG are the main drivers of the international aid agenda.

While CIDA's focus continues to be on sustainable development and poverty reduction, its aid policy framework has changed considerably over the period of this review. Continuing its commitments to double international assistance from 2001/02 levels by 2010/11, the Government of Canada committed in Budget 2007 to strengthening the effectiveness and focus of its aid, reducing overhead rates, and increasing the accountability of international assistance programs. Changes in the Agency have also been influenced by the 2007 Peer Review by the Development Assistance Committee of the Organization for Economic Cooperation and Development; the 2009 Fall Report of the Auditor General of Canada; the passage of the *Official Development Assistance Accountability Act*, which came into force in June 2008; and internal evaluations, including the *2006 Review of the Evidence of Effectiveness of CIDA's Grants and Contributions* and *2009 Review of the Effectiveness of CIDA's Multilateral Delivery Channel*.

4. Findings on Aid Effectiveness

Bilateral Programming: The quantitative review of CIDA's corporate evaluations of its bilateral programming reflects positive results, particularly with respect to the achievement of objectives/results (14/15 programs rated "good" or better) and relevance (all 15 rated "good" or better). Ratings for the sustainability of programming tend to be lower (8/15 rated "good" or better), reflecting the inherent challenges of the complex international development environment and factors that are often beyond CIDA's control but affect sustainability of the benefits from development investments. A number of factors contribute to more effective programming, including the mix of modalities, program design (including clear results frameworks and a strategy for sustainability), constancy of program focus and staff continuity.

Mix of modalities: The review of the evaluations did not identify one modality as being more effective than another. Rather, all modalities appear to have their strengths and weaknesses and the evaluations suggest that it is the synergy among the aid channels and the mix of modalities that are key to program success, i.e., a "balanced" approach to programming, based on an assessment of the country's needs and the roles of the other donors. In the past decade, the development world has seen the emergence and growth of new aid modalities, such as program-based approaches (PBAs), to complement traditional development projects. CIDA's country programs reflect a number of these modalities, including general budget support, sectoral budget support, pooled funding arrangements, and technical assistance in addition to traditional projects. The evaluations highlighted the importance of the fit for the intended purpose of each aid modality.

CIDA's experience scaling up PBAs is relatively recent and, while it would be premature to make definitive conclusions or observe the full long-term benefits of these modalities, the early indications are encouraging. Intermediate benefits include strengthened partnerships

and improvements in capacity, public finance management and resource allocation, and policy changes. Through the strengthened partnerships between the donors and partner countries, these new aid modalities are introducing opportunities for better policy dialogue to affect reforms and systemic changes that are needed if the countries are to break out of aid dependency – changes that are unlikely to be achieved through traditional projects alone.

But, PBAs are not without challenges. These include the scale and complexity of the initiatives and the limitations on the local capacity; the continuing challenges with the sustainability of the benefits; the challenge of integrating cross-cutting themes, such as gender and the environment; and transaction costs, which were expected to decline with PBAs, but appear to have been under-estimated.

Program design is another essential factor that contributes to effectiveness. Results are better when there is clarity in program design. The review of CIDA's evaluations provides a mixed picture with respect to the clarity of expected results and risks. Some projects were hampered by overly ambitious designs that were not adequately informed by good baselines and planning. In addition, programming was found to remain more relevant when it was reviewed and adjusted in light of changes in the local context. The review of evaluations suggests that taking timely corrective action, based on reports and evaluations, was uneven across the Agency.

Not surprisingly, given the long-term nature of development and time required for results to become evident, better results were observed where CIDA maintained its **constancy of program focus** and **staff continuity**. Continuity not only leads to greater expertise and knowledge about the country and context, but also greater trust and a better partnership with the recipient country. In successful examples, even when Canada was a relatively small donor, CIDA was able to leverage its knowledge, credibility and trust to accomplish substantial high-level policy changes.

As noted, the sustainability of CIDA's bilateral programming was not rated as highly as the achievement of objectives or the relevance of the programming. Sustainability is improved with better planning. The chances of achieving sustainability are improved if sustainability is built into the program from the beginning and remains a focus throughout the program. The evaluations noted that efforts to achieve sustainability are sometimes hampered by the premature withdrawal of support.

Country ownership and commitment are also important for effectiveness and sustainability, although it should be noted that these are not controlled directly by donors. Ownership and commitment are enhanced when local country partners are engaged in planning and priority setting, and when donors have the appropriate sectoral and technical expertise available to work with governments to help build institutional capacity and overcome the challenges of their limited absorptive capacity.

Partnership Programming

Overall, CIDA's partnership programming was also rated positively (with 19/20 evaluations rated "good" on the criteria of the achievement of objectives/results and relevance), with sustainability rated somewhat lower (15/20 evaluations rated "good" or better). Many of the

same lessons identified for bilateral programming also apply to partnership programming – for example, the importance of clear frameworks, including clear statements of objectives and expected results and ensuring that these frameworks are revised, as necessary, to guide and focus the program; and the development of a sustainability strategy.

The review of partnership evaluations identified some specific lessons learned for this programming channel. Many partnership programs are implemented through a range of projects. This approach is more likely to be successful if it supports a smaller number of connected projects, rather than many isolated and unconnected projects. The approach is also more likely to be successful and have a multiplier effect if the projects are linked to public policies and there is a strategy to ensure their replicability. Sustainability of partnership programs is reportedly hampered by the weakness in developing country partner organizations – notably inappropriate mandates, lack of resources and limited support from host country governments. On the other hand, sustainability is enhanced when partner organizations lead their own capacity development process.

Multilateral Programming

The 2009 *Review of the Effectiveness of CIDA's Multilateral Delivery Channel* reported that CIDA resources funded through the multilateral channel (including core funding, initiative-specific funding and multi-bi funding) were achieving positive levels of effectiveness comparable to results in the bilateral channel. In the period since March 2009, CIDA can report continuing positive developments regarding both the performance of the multilateral programs it supports and CIDA's efforts to raise the level of effectiveness of multilateral organizations. Multilateral organizations and their programs achieve their development and humanitarian objectives at least two-thirds of the time.

These findings are supported by the results of a 2010 pilot study led by CIDA as part of a common approach to assess the development effectiveness of multilateral organizations. The approach, now endorsed by the Development Assistance Committee's Network on Development Evaluation, used a synthesis of evaluation results to assess the development effectiveness of multilateral organizations. The pilot study on the Asian Development Bank (ADB) and the World Health Organization (WHO) revealed that at least two-thirds of evaluations reported satisfactory or better objectives achievement for the programs evaluated.

5. CIDA's Ongoing Emphasis on Aid Effectiveness

CIDA has undertaken a number of initiatives over the past few years to improve its aid effectiveness, strengthen its focus, improve its efficiency, and increase its accountability. Driven by both Canadian and international factors, these efforts have substantially changed CIDA's operations and processes. Since this review covers programming that predates many of these changes, it has not been able to fully assess their impact. Rather, the reasons and expected effects of these changes are described.

When the Paris Declaration on Aid Effectiveness was introduced in 2005, donor and partner countries agreed to engage in monitoring activities to track progress and hold each other accountable. The Development Assistance Committee (DAC) Working Party on Aid Effectiveness has conducted three surveys in 2006, 2008 and 2011 to assess progress towards

implementation. Canada's performance over the three surveys has either improved and/or is consistent with that of other donors with respect to the following indicators:

- Use of host country's public financial management and procurement systems;
- Reduction in the number of project implementation units that are parallel to country structures;
- Bilateral aid is untied;
- Aid is provided through program-based approaches;
- Aid is more predictable; and
- Analytical work in the host country is conducted jointly with other donors.

The indicators for which Canada's performance has either declined or is below that of other donors are: alignment of aid flows with national priorities, coordination of technical assistance with country programs, and missions are undertaken jointly with other donors.

Aid Effectiveness at CIDA

Strategic direction: Beginning at the most strategic levels, CIDA has developed a more focused, results-based policy framework, which has been translated into renewed planning processes. The Agency focuses on one strategic outcome – reduction in poverty for those living in countries where CIDA engages in international development. The Program Activity Architecture identifies six program activities and includes expected results and performance indicators for each program activity to enhance aid delivery and report on aid effectiveness. The Agency has focused its aid along its three thematic priorities - increasing food security, stimulating sustainable economic growth and securing the future of children and youth.

Aid Effectiveness Action Plan: In response to 2007 Budget and the international focus on aid effectiveness, CIDA defined its own aid effectiveness agenda with the launch of "CIDA's Aid Effectiveness Action Plan (2009 – 2012)" in September 2009.⁸ This Plan includes two key initiatives: the untying of food aid (achieved) and all CIDA's aid (by 2012/13), and CIDA's intention to focus 80% of its bilateral assistance on 20 countries (including four fragile states).

Bilateral focus: Working within its thematic priorities, CIDA has focused its bilateral aid on 20 countries. While CIDA's thematic priorities are fairly broad in scope, allowing for a wide range of investments, each country program has a focus within the focus, and is designed to be aligned with partner country plans and priorities and complementary to the activities of other donors. Each country program also continues to integrate the cross-cutting themes of environmental sustainability, gender equality, and governance throughout its investments. CIDA has developed Country Strategies for each country of focus, and is revising and/or developing Country Development Programming Frameworks (CDPFs) and preparing annual country-level reports.

In 2008/09, CIDA amalgamated the separate geographic branches into one Geographic Programs Branch and consolidated its thematic specialists that support geographic programming into one division. This has facilitated the development of a clearer direction,

⁸ CIDA's Aid Effectiveness Action Plan (2009 - 2012)

greater coherence and consistency for the geographic programs, and better integration of results and performance measurement into program planning and reporting.

Multilateral focus: CIDA has also undertaken initiatives to provide better focus for the multilateral channel through the development of a corporate multilateral effectiveness strategy and specific organizational strategies for each of the eighteen most important multilateral organizations receiving CIDA support.

Partnership focus: CIDA's programming with Canadian partner organizations has also changed substantially. CIDA now sets the direction of programming in line with Canadian priorities and requests appropriate proposals from partners. This new approach places a stronger emphasis on result and merit, and a greater alignment with the Agency's geographic and thematic priorities while allowing flexibility.

Efficiency

CIDA has undertaken a number of initiatives to improve the efficiency of its aid. It has responded to recommendations of the OAG with respect to improving its long-term planning processes, mechanisms for managing risk, and clarifying the requirements for the use of PBAs. It is also in the process of implementing a Business Modernization Initiative (BMI), which includes decentralizing program staff.

Consistent with the direction outlined in Budget 2007, CIDA is moving to increase its field presence by decentralizing functions and staff to field offices and transfer authorities to field teams in countries of focus (except those in fragile states), in order to allow the organization to respond faster to local conditions and partners. In February 2010, CIDA received Ministerial approval for the decentralization of five country programs, with implementation in the summer of 2011. Decentralization to offices in the remaining non-fragile state countries is underway. The Agency is also undertaking a Business Modernization Initiative to streamline planning and approval processes, and has adopted a standardized, risk-based approach to all programming.

Canada's decision to untie aid, consistent with its Paris Declaration commitments, also improves CIDA's efficiency. CIDA has already untied 100% of its food aid. In 2007, 87% of CIDA's bilateral ODA was untied. The most recent global report on progress towards achieving the Paris Declaration principles indicates that, as of 2009, Canada had untied 100% of its bilateral aid.

Accountability

CIDA undertook a number of initiatives to strengthen its accountability, influenced by external and internal factors. Key among the external factors was the passage of the *Official Development Assistance Accountability Act*, which came into force in June 2008. It states that ODA expenditures must contribute to poverty reduction, take into account the perspectives of the poor, and be consistent with international human rights standards and that the Ministers responsible for ODA (including CIDA) must prepare an annual report to Parliament on ODA results. CIDA's first report was prepared in 2009.

Accountability and monitoring guidelines developed as a result of the *Aid Effectiveness Action Plan* identify specific actions, deliverables, targets and accountabilities for countries of focus, in the following areas: focus, efficiency, accountability, predictability, alignment, inclusive partnerships and fragile states.

CIDA has continued to take a leadership role in the ongoing improvement of the Multilateral Organization Performance Assessment Network (MOPAN) methodology to assess the organizational effectiveness of multilateral organizations. This has resulted in an enhanced common approach to assessing the performance of multilateral organizations, greater organizational coverage in the annual MOPAN surveys, and broadening of the assessment to include humanitarian programs and global funds.

Since 2009, CIDA has also led a very significant initiative to develop a common approach among bilateral agencies for assessing the development effectiveness of multilateral organizations to complement the MOPAN work on organizational effectiveness. This initiative has been successfully pilot tested and endorsed by the Development Assistance Committee (DAC) Network on Development Evaluation, and discussions are underway concerning the implementation of the approach.

In addition, CIDA has moved to strengthen its own evaluation function. CIDA maintains separate centralized and decentralized parts of the function, since it continues to believe that the two provide a mutual supporting role in assessing aid effectiveness – with the centralized part providing corporate and program-level assessments of aid effectiveness, and the decentralized part providing assessments to support decision-making at lower levels. CIDA is revising its evaluation policy to ensure consistency with the new TBS Evaluation Policy, has established Five-year Rolling Evaluation Work Plans and has created a new evaluation committee with a majority of external members from outside government. The committee serves as a governing and oversight body for the evaluation function, advising the President who chairs it on evaluation matters. These changes have been endorsed by the Treasury Board, which has rated CIDA’s evaluation function as “strong” in the Management Accountability Framework for the last four years.

Finally, in response to the 2006 Treasury Board Internal Audit Policy, the Agency established the Office of the Chief Audit Executive (OCAE) as well as an independent Audit Committee, with members external to the public service, with the exception of the President. The Chief Audit Executive reports directly to the President, and is a member of the Agency’s Management Board. The audits carried out by the OCAE are supported by a multi-year risk-based audit plan, and the corresponding audit reports are presented to the Audit Committee, whose primary role is to advise the President, who chairs the committee, on the Agency’s risk management, control and governance practices.

Areas for Continued Attention

The above achievements notwithstanding, CIDA will need to continue to adjust to the changing Canadian and international context as it implements and consolidates its reforms to enhance aid effectiveness. The lessons from the review indicate that some of the key areas for the attention of CIDA’s management could include:

- Ensuring quality at entry for its investments;

- Working with new aid modalities;
- Choosing the appropriate mix of instruments;
- Managing decentralization and delegation of authorities; and
- Using monitoring and evaluation as learning and improvement tools for all channels.

1. INTRODUCTION

This assessment of the effectiveness of the Canadian International Development Agency's (CIDA's) Grants and Contributions (Gs&Cs) was prepared by the Evaluation Directorate (ED) in the Agency's Strategic Policy and Performance Branch (SPPB). It presents a review of the effectiveness of Gs&Cs provided through its bilateral, partnership and multilateral channels.⁹ The bilateral and partnership channel review covered programming from 2005/06 to 2010/11; whereas the multilateral channel review is an update of a review conducted in 2009.

1.1 Purpose of Assessment

This review was conducted to support the renewal of the terms and conditions for CIDA's Gs&Cs that expire in March 2012. The Gs&Cs are governed by the Treasury Board (TB) approved Terms and Conditions for International Development Assistance. When the T&Cs were renewed in March 2007, TBS required that CIDA undertake a review of the effectiveness of its Gs&Cs, including an assessment of its multilateral delivery channel and a review of program-based approaches.

The review of the bilateral and partnership channels covers the period 2005/06 – 2010/11; whereas the multilateral channel review focuses on the period 2009/10 to 2010/11. During six-year period, CIDA's total Agency expenditures totalled approximately \$20.4 billion. Of this, \$16.1 billion (79%) was disbursed through Gs&Cs (see Exhibit 1.1).

Exhibit 1.1: CIDA Gs&Cs and Total Expenditures, 2005/06 – 2010/11 (in thousands)

	2005/ 2006	2006/ 2007	2007/ 2008	2008/ 2009	2009/ 2010	2010/ 2011	Total
Gs&Cs	\$2,215,927	\$2,379,715	\$2,474,027	\$2,930,845	\$3,059,367	\$3,042,377	\$16,102,258
Total Agency	\$3,073,430	\$3,043,260	\$3,254,420	\$3,591,465	\$3,762,135	\$3,614,580	\$20,339,290
Gs&Cs as % of Total Agency	72%	78%	76%	82%	81%	84%	79%

Source: CIDA Departmental Performance Reports, 2005/06 – 2009/10, CFOB statistics for 2010/11.

Note: 2010/11 figures are preliminary and may change following further quality assurance.

This portfolio comprises the Agency's payments to executing agents and partners in Canada and in developing countries and to multilateral agencies. Payments were made according to the terms of formal funding agreements that included contracts, contribution agreements, and grant agreements.¹⁰

⁹ This report describes CIDA programming with the term "channels", which is equivalent to programming "classes" used by Treasury Board analysts since 2007 in the Main Estimates.

¹⁰ CIDA's disbursements can be as grants or contributions. A grant is a payment made to an individual or organization and not subject to performance reporting or audit. The recipient may need to meet conditions for eligibility. A contribution is a conditional payment to an individual or organization for a specified purpose pursuant to an agreement that may require reporting and be subject to audit. In the past five years CIDA has

Gs&Cs have represented between 72% and 84% of all CIDA’s investments over the six year period. Exhibit 1.2 below shows a distribution of investments by various CIDA channels.

Exhibit 1.2: Aid Investments through Geographic Programs, Multilateral and Canadian Partnership with Canadians Branches, 2005/06 to 2010/11 (in \$ millions)

	2005/ 2006	2006/ 2007	2007/ 2008	2008/ 2009	2009/ 2010	2010/ 2011	Total	%
Geographic programs & APTF	\$1,262	\$1,447	\$1,525	\$1,686	\$1,475	\$1,646	\$9,041	49%
Partnership programs	\$254	\$254	\$245	\$264	\$242	\$235	\$1,493	8%
Multilateral and Global Programs	\$1,242	\$1,049	\$1,093	\$1,204	\$1,605	\$1,462	\$7,654	42%
Other	\$27	\$31	\$22	\$15	\$6	\$4	\$104	1%
Total	\$2,785	\$2,780	\$2,885	\$3,169	\$3,327	\$3,347	\$18,293	100%

Source: CFOB statistics.

Note:

- (1) CIDA investments include Gs&Cs as well as other budgetary items, including payments to international financial institutions. This table excludes CIDA’s operating costs.
- (2) APTF is an abbreviation for the Afghanistan/Pakistan Task Force.
- (3) Other includes SPPB, ODG and Communications.

Nearly half of CIDA investments are channelled through Geographic programs. MGPB accounts for somewhat over two-fifths of CIDA’s investments. Partnership programming accounts for a small percentage, at 8%. There have not been steady changes in the amounts over the years. In 2009/10, both geographic and partnership programming dropped somewhat, compared to 2008/09. However, overall between 2005/06 and 2010/11, both bilateral and multilateral programming had increased by 22% and 37% respectively. However partnership investments had declined by 5% over the same period.

The distribution across the geographic branches has shifted slightly over the five-year period (see Exhibit 1.3). The percent of all geographic program disbursements going to Africa has grown from 37% to 48%, while the disbursements to Asia and Eastern Europe have declined. Disbursement to the Americas has remained relatively stable, increasing in 2010/11.

increased its use of grants. Although strictly speaking, a grant recipient does not have to account for the funds provided (a grant is unconditional), CIDA requires that both grant and contribution recipients must report on progress and results achieved. Reports on grants are generally required annually rather than semi-annually or quarterly as is the usual case for contribution funding. The funded organization's reports are due within 3 months after the end of the calendar year (31 March) with one exception – programs or projects lasting 12 months or less require that the report be submitted 3 months after termination.

Exhibit 1.3: CIDA Geographic Programs Aid Disbursements FY 2005/06-2010/11 (\$ millions)

Branch	2005/ 2006	2006/ 2007	2007/ 2008	2008/ 2009	2009/ 2010	2010/ 2011
Africa	\$525	\$613	\$567	\$784	\$710	\$748
Middle East	\$85	\$82	\$76	\$82	\$84	\$77
Asia	\$382	\$447	\$597	\$512	\$395	\$416
Americas	\$215	\$241	\$236	\$268	\$255	\$380
Eastern Europe	\$67	\$64	\$49	\$41	\$29	\$26
Unallocated	\$3	\$0	\$0	\$0	\$2	\$0
All Recipients	\$1,276	\$1,447	\$1,525	\$1,686	\$1,475	\$1,646

Source: CFOB statistics.

Note:

- (1) Table excludes CIDA’s operating costs. Amounts include both ODA and non-ODA (Sudan AMIS, Russia).
- (2) Disbursements for the Middle East include core funding to UNRWA which was funded through GPB.

1.2 International Aid Context

The first decade of the 21st century proved to be momentous for advancing international development cooperation policies and practices, beginning with the Organisation for Economic Cooperation and Development (OECD) publication in 1996 of “Shaping the 21st Century: The Contribution of Development Co-operation.” This document galvanized nations, multilateral and regional organizations, as well as civil society organizations to take significant steps to address how development aid is delivered, realizing that the means are just as important as achieving the desired ends of poverty reduction and improved economic and living conditions.

Aid effectiveness has been a dominant issue in international development cooperation over the past ten years. Discussions began with the International Conference on Financing for Development in Monterrey in 2002 and were followed up at the 2005 High-Level Forum on Harmonization in Rome and soon after in Paris, where more than 100 signatories committed to working towards the principles set forth in the Paris Declaration on Aid Effectiveness (PD). A near-universal understanding was reached in regards to concrete actions both donor and partner countries needed to take to harmonize, align, and manage aid for results in order to reduce global poverty and meet the Millennium Development Goals (MDG). The commitments continued with the 2008 Accra Agenda for Action (AAA), the adoption of the Fragile States Principles, the ongoing commitment to reach the MDG by 2015, and the increase in importance of the G20 summits as a forum for discussing global economic issues and development cooperation.

The 2000s also saw a host of other global trends that, depending on circumstances and context, have influenced development progress and continue to be a factor in international development cooperation. These include, but certainly are not limited to, the global financial crisis and the rise of non-DAC members, including country and private donors. While the

impact these issues have on aid effectiveness and reducing poverty may not be easily measured, they have had an effect on aid financing, development priorities and the international aid architecture in general.

Since 2005, the OECD DAC Working Party on Aid Effectiveness has conducted three surveys to assess the implementation of the Paris Declaration. The report based on the latest survey, conducted in 2001, describes the results as “sobering.”¹¹ There is “considerable variation in the direction and pace of progress across donors and partner countries since 2005. For the indicators where responsibility for change lies primarily with developing country governments, progress has been significant. ... While progress against many indicators requires joint efforts by both developing countries and donors, in some areas it depends mainly on donors’ efforts (e.g. untying aid; donor co-ordination). Stakeholders at the country level frequently cite constraints imposed by donor headquarters as bottlenecks to further progress, suggesting that many of the challenges are political in nature.”¹² Canada’s performance over the three surveys has either improved and/or is consistent with that of other donors with respect to the following indicators:

- Use of host country’s public financial management and procurement systems;
- Reduction in the number of project implementation units that are parallel to country structures;
- Bilateral aid is untied;
- Aid is provided through program-based approaches;
- Aid is more predictable; and
- Analytical work in the host country is conducted jointly with other donors.

The indicators for which Canada’s performance has either declined or is below that of other donors are: alignment of aid flows with national priorities, coordination of technical assistance with country programs, and missions are undertaken jointly with other donors.

This survey provides the data to review progress against the principle’s indicators at the 4th High Level Forum being held in Busan, Korea in November/December 2011. Participants will review global progress in improving the impact and effectiveness of aid and make commitments that set a new agenda for development.

The MDG are the main driver of the international aid agenda and with less than five years remaining to meet the goals, concerns about meeting these goals were highlighted in the outcome document produced at a September 2010 MDG summit. In addition to reaffirming all 192 member states’ commitment to the MDG, the report highlighted progress made and areas where progress has been slow or hindered by unexpected factors, such as the global financial crisis. While some areas of the world are expected to meet the 2015 deadline, other areas will not.¹³ Among the successes highlighted include the anticipation of reducing the

¹¹ OECD DAC Working Party on Aid Effectiveness. *Aid Effectiveness 2005-10: Progress in Implementing the Paris Declaration*, p. 15.

¹² *Ibid.*

¹³ United Nations. *The Millennium Development Goals Report: 2010*. New York: United Nations, 2010 <http://www.un.org/millenniumgoals/pdf/MDG%20Report%202010%20En%20r15%20-low%20res%2020100615%20-.pdf>

global poverty rate by 15%, reducing the number of child deaths, increasing the number of people receiving antiretroviral drugs, and the expansion of mobile telephone services. Challenges continue to be faced in respect to hunger issues, gender equality, and access to improved sanitation facilities.

The impact of the global financial crisis that occurred between 2007 and 2009 continues to be felt in developed and developing countries alike. For international development cooperation, the crisis led to widespread concerns over the slowing and possible reduction of Official Development Assistance (ODA). This would translate into the slowing of progress on the MDG. Additionally, changes in funding could hinder meeting the PD objectives of aid predictability and would fail to meet the commitments to increase aid made at the Gleneagles G8 and Millennium +5 summits held in 2005.

Reports based on 2009 OECD data found that bilateral aid for development programs and projects increased by 8.5% in real terms in 2009, with sub-Saharan Africa seeing an increase of 3%.¹⁴ Of particular note is the fact that Denmark, Luxembourg, the Netherlands, Norway and Sweden exceeded the 0.7% ODA/GNI target and a number of countries increasing their net ODA in real terms. The OECD also provided aid predictions based on planning by donor countries that found that while the 2010 commitments would not be as high as previously expected, they would still increase compared to the 2009 amount, and ODA/GNI would rise to 0.32% from the 2004 baseline of 0.26%.¹⁵ Moreover, some countries were planning to reduce or postpone 2010 pledges. The failure of donors to meet their commitments will mostly affect sub-Saharan Africa, as the region would receive slightly less than half the \$25 billion USD promised at the 2005 Gleneagles Summit.

Even as the world is now emerging from the financial crisis, there will continue to be ongoing effects for a few years as donor countries regain their footing with their aid allocation. The 2010 OECD report on aid predictability praises the continued growth of country programmable aid (CPA) from 2009 to 2012; although this is a decrease from the growth seen in the previous three years. Further, the OECD anticipates that this growth will be seen in 2010 with zero growth forecasted for 2012.¹⁶

Non-DAC donors, a group that includes nations and large organizations, are significant contributors to international development cooperation although it is challenging to ascertain fully the amount of development funding from these sources as they are not required to provide data to the OECD or other institutions. Twenty non-DAC nations have voluntarily provided data on their ODA, which totalled more than \$9 billion USD in 2008.¹⁷ Leading this group is Saudi Arabia. Donors not releasing information include China, India, and Brazil.¹⁸ Private philanthropic organizations such as the Bill & Melinda Gates Foundation and the Aga Khan Foundation also provide large amounts of funding in addition to influencing

¹⁴ OECD. "Development aid rose in 2009 and most donors will meet 2010 aid targets," OECD, April 14, 2010 http://www.oecd.org/document/print/0,3455,en_2649_33721_44981579_1_1_1_1,00.html.

¹⁵ *Ibid.*

¹⁶ OECD-DAC. *2010 OECD Report on Aid Predictability: Survey on Donors' Forward Spending Plans 2009-2011* (Paris: OECD, 2010), p. 3

¹⁷ OECD-DAC. *Overview of Multilateral Agencies and Non-DAC Donors' Statistical Reporting to the DAC*. Paris: OECD, 2010 <http://www.oecd.org/dataoecd/44/54/45896100.pdf>

¹⁸ OECD - DAC. *Development Co-operation Report 2010* (Paris: OECD, 2010), p. 137

development policies. While most non-DAC partners are signatories to the PD and AAA, they do not undergo the same level of scrutiny as DAC members, making it challenging to hold them accountable to their commitments to not just disburse pledged funds, but to do so in accordance with the aid effectiveness principles.

In response to the increasing number of non-DAC donors, the UN Economic and Social Council established the Development Cooperation Forum (DCF) with the mandate to “review trends and progress in international development cooperation and promote greater coherence.”¹⁹ The DCF provides a forum for DAC and non-DAC donors, in addition to multilateral organizations, civil society organizations, local governments and the private sector to engage in dialogue on development issues. The DAC also initiated the Working Group on Aid Effectiveness to bring together DAC and non-DAC parties to focus on aid effectiveness-related issues, with the understanding that a global consensus is needed to achieving long-term development results. These initiatives are but two examples of how the traditional development aid donors are recognizing the need to change the aid architecture in order to recognize the emergence of new donors and to improve development partnerships, notably to incorporate the use of public-private relationships, to improve international development cooperation and, ultimately, work towards the MDG.

1.3 Policy Framework for Development Assistance

While CIDA’s focus continues to be on sustainable development and poverty reduction, its aid policy framework has changed considerably over the period of this review.

Development or Aid Effectiveness?

Although the title of this report refers to CIDA’s *development* effectiveness, the report will focus primarily on its *aid* effectiveness. Aid effectiveness refers to the effectiveness of CIDA’s international assistance investments, i.e., how well the design, delivery and management of these aid investments contribute to development results. Development effectiveness, on the other hand, is a much broader concept, referring to not only CIDA’s actions, but also those of its partners in development (partner countries, civil society, other bilateral and multilateral donors and the private sector). It is often taken to include all the actions of a country with respect to a partner country, in a whole of government perspective. This includes not only the provision of aid, but also the impact of a broad range of policies related also to trade, finance, security, immigration etc. As such, while CIDA can be expected to provide effective aid to contribute to development, development effectiveness is broader than the Agency’s efforts.

Although several international and domestic policy frameworks – notably the internationally endorsed Millennium Development Goals by 2015²⁰ and *CIDA Policy Statement on Strengthening Aid Effectiveness* (SAE) produced in 2002²¹ – continue to be relevant to

¹⁹ UN Economic and Social Council. “Development Cooperation Forum,” ECOSOC <http://www.un.org/en/ecosoc/newfunct/develop.shtml>

²⁰ Millennium Development Goals (MDGs) were agreed at the United Nations Millennium Summit in September 2000 and virtually all members of the United Nations have subsequently signed up to them. The goals are in the following eight areas: poverty and hunger; education; gender; child mortality; maternal health; HIV, AIDS, malaria and other diseases; environment; aid, trade, growth and global partnership.

²¹ Canadian International Development Agency, *Canada making a difference in the world: A Policy on*

defining CIDA's directions, new policy initiatives have served to focus and strengthen CIDA's policy framework.

These policy frameworks have been influenced by both international and domestic changes. The defining international event was the establishment in 2005 of the Paris Declaration on Aid Effectiveness that emphasizes developing country ownership, harmonization of donor efforts and alignment to country priorities, mutual accountabilities, and a results orientation including refining targets and establishing baselines to monitor progress on the commitments. Canada solidified its commitment to aid effectiveness by subscribing to the Paris Declaration and the subsequent initiatives, including the commitments made in the Accra Agenda for Action. CIDA's policies and operations have also changed as a result of its responses to the 2007 Peer Review by the Development Assistance Committee of the Organization for Economic Cooperation and Development.

Domestically, in line with its commitments to double international assistance from 2001/02 levels by 2010/11, the Government of Canada committed in the 2007 Budget to strengthening the effectiveness and focus of its aid, improving its efficiency by reducing overhead rates, and increasing the transparency and accountability of international assistance programs. These commitments included independent evaluation of the aid program and more frequent, easier to understand reporting to Canadian citizens. The Official Development Assistance Accountability Act, which came into force in June 2008, and the 2009 Fall Report of the Auditor General of Canada have also contributed to changing CIDA policies and operations. Finally, CIDA's response to several internal evaluations, including the 2006 Review of the Evidence of Effectiveness of CIDA's Grants and Contributions, the 2009 Review of the Effectiveness of CIDA's Multilateral Delivery Channel and the 2008 Evaluation of CIDA's Implementation of its Policy on Gender Equality have also improved policies.

In response to the 2007 Budget commitment, CIDA defined its own aid effectiveness agenda with the launch of "CIDA's Aid Effectiveness Action Plan (2009 – 2012)" in September 2009.²² This Plan, which builds on the foundation established in the SAE "... translates into concrete measures all of CIDA's commitments to aid effectiveness. It is meant to focus the Agency's efforts on clear and measurable actions."²³ The Plan reflected two key initiatives that had previously been announced:

- In April 2008, CIDA had announced that its food aid would be untied and then, in September 2008, announced that all aid would be untied by 2012/13; and,
- In February 2009, CIDA had announced its intention to focus its aid on 20 countries (includes four fragile states). By 2010/11, 80% of all geographic country program funding will go to these 20 countries. The remaining 20% will go to other countries (referred to as countries of modest presence).

Strengthening Aid Effectiveness, 2002 includes included four key social development priorities: health and nutrition; basic education; HIV/AIDS; and protecting children.

22 CIDA'S Aid Effectiveness Action Plan (2009 - 2012)

23 *Ibid*, p. 1

Twenty Countries of Focus:

- **Low-income countries:** Bangladesh, Ghana, Mozambique, Senegal, Vietnam, Ethiopia, Mali, Pakistan and Tanzania.
- **Middle-income countries:** Bolivia, Colombia, Indonesia, Ukraine, Caribbean, Honduras, Peru.
- **Fragile states:** Afghanistan, Sudan, Haiti, West Bank Gaza.

In May 2009, CIDA also announced the Agency's three thematic priorities: increasing food security, stimulating sustainable economic growth and securing the future of children and youth. In addition to these thematic priorities, CIDA has three cross-cutting themes for all its programs and policies:

- increasing environmental sustainability;
- Promoting equality between women and men; and,
- Helping to strengthen governance institutions and practices.²⁴

Recent CIDA policy changes are more fully discussed in Section 5.

1.4 CIDA's Evaluation System

The Agency's evaluation system is governed by an evaluation policy that is in the process of being revised.²⁵ The purpose of the revised policy is "to provide Canadians, Parliamentarians, beneficiaries, Ministers, central agencies, partners and CIDA's President and management with timely, credible and neutral evidence-based information on the relevance and performance of the Agency's policies, programs and projects, including the results achieved in developing countries, for the purposes of accountability, expenditure management, decision-making and learning."²⁶

The revised policy governs the two types of evaluation at CIDA:

- Centralized evaluations are conducted by the Evaluation Directorate of SPPB and are independent of line managers. These include country program evaluations and corporate/thematic evaluations that are identified in the Five-year Rolling Evaluation Plan.
- Decentralized evaluations are led by program branches, which commission different types of evaluations (mid-term, end-of-phase and end-of-project evaluations, as well as institutional assessments). Independent consultants under contract to the Agency conduct these studies which offer line managers the tools to better manage for results, complementing their monitoring, performance measurement and Annual Project Performance Reports (PPRs). Last year, PPRs were replaced by the Investment Performance Reports (IPRs), which are now generated in the Investment Monitoring and Reporting Tool (IMRT) and are housed in CIDA's SAP system.

²⁴ Priority Themes, CIDA <http://www.acdi-cida.gc.ca/acdi-cida/ACDI-CIDA.nsf/eng/FRA-1015144121-PWW>, Accessed June 2011

²⁵ "CIDA Evaluation Policy" (Draft for consultation), Evaluation Directorate, Strategic Policy and Performance Branch, Canadian International Development Agency, January 2010. This policy replaces the 2005 CIDA Evaluation Policy.

²⁶ *Ibid.*, p. 5

In order to ensure the quality of decentralized evaluations, the ED provides guidance and support to the program branches in the form of tools, guides, training and ongoing advice on quality assurance. ED also refers branches to qualified consultants to conduct evaluations. These firms and individuals are chosen by a competitive process, administered by ED, and are retained under standing offer arrangements for a three- to four-year period. The new policy specifically stipulates that all Gs&Cs will be evaluated every five years, as required by Section 42.1 of the *Financial Administration Act*.

CIDA has also strengthened its evaluation function by staffing its evaluation committee with a majority of external members from outside government. The committee serves as a governing and oversight body for the evaluation function, advising the President who chairs it on evaluation matters.

1.5 Review Approach and Methodology

The last review of bilateral and partnership channel Gs&Cs was conducted in 2006. However, a review of the multilateral channel was conducted in 2009. As a result, different methodologies were chosen for the review of the bilateral and partnership channels than the multilateral channel. The former was a more extensive methodology; the latter was an update of the 2009 review, with a focus on CIDA's ongoing activities in assessing multilateral organizations. Each is described in the following sections and details are provided in Appendix A.

1.5.1 Methodology for Review of Bilateral and Partnership Channels

The assessment of CIDA's Gs&Cs was based on a review of 41 evaluations and reviews conducted between 2005/06 and 2010/11, of which 25 were ED-led and 16 branch-led.²⁷ The ED-led evaluations included:

- 16 evaluations of geographic programming (including 15 country program evaluations and one regional program evaluation);
- Four evaluations of partnership programming;
- One evaluation of inter-departmental programming;
- One evaluation of multilateral programming; and,
- Four corporate/thematic Agency-wide evaluations.

Different approaches were used for the reviews of the bilateral and partnership channels. Given the changes in the organization of CIDA's partnership programming in recent years, ED had only conducted a few evaluations of partnership programs during the period of this review. As a result, for the purpose of this review, the ED-led evaluations have been supplemented with branch-led evaluations of partnership programs. The approaches were both quantitative and qualitative:

- For bilateral programming, a quantitative meta-analysis was conducted of 15 ED-led country program evaluations, and a qualitative review of lessons learned was carried out across the ED-led evaluations, including four corporate/thematic evaluations, the multilateral evaluation, and the inter-departmental evaluation; and,

²⁷ For a complete list of all evaluations reviewed, see Appendix B.

- For partnership programming, a quantitative meta-analysis was conducted of four ED-led and 16 branch-led evaluations of partnership projects or programs.

In addition, a review of selected documents relevant to the assessment of CIDA's aid effectiveness was conducted and interviews conducted with key senior CIDA staff.

The credibility of the assessment depends on three factors. Firstly, the review must cover an adequate number of evaluations of CIDA's investments (i.e. capturing a significant proportion of the Agency's investments). Secondly, the evaluations must be of high quality. Finally, the review must also be conducted in a consistent and rigorous way.

The investments evaluated between 2005/06 and 2010/11 and covered by this review cover a significant portion of CIDA's overall investments, both in terms of financial contributions and CIDA's Program Activity Architecture (PAA). They include:²⁸

- \$4.4 billion in geographic programs evaluated by the ED – 49% of CIDA's investments in bilateral programming over the six-year period 2005/06 to 2010/11;²⁹
- \$663 million in partnership programming evaluated by the ED – 45% of total investments in partnership programming over the six years; and,
- \$191 million in partnership programming evaluated by the Partnership Branch – 13% of the total investments in partnership programming over the six years.

Exhibit 1.4 on the following page highlights the relationship between the ED-led evaluations (in shaded green boxes) and CIDA's PAA.³⁰ The 16 geographic evaluations, conducted between 2005/06 and 2010/11, covered:

- Twelve of CIDA's twenty countries of focus (Afghanistan, Bangladesh, Bolivia, Ethiopia, Ghana, Indonesia,³¹ Mali, Mozambique, Pakistan, Senegal, Sudan, Vietnam);
- Three former countries of focus and now countries of modest presence (Cameroon, Egypt, Malawi); and,
- One low-income regional program (Canada Fund for Africa).

²⁸ The program costs covered by the evaluations did not necessarily occur within the five-year period covered by this evaluation. However, this figure gives a rough estimate of the volume of CIDA programming covered by this review.

²⁹ The country program evaluations did not necessarily assess in-depth all investments within the country program. As such, the evaluation findings do not provide a detailed assessment of the total value of the programs reported here.

³⁰ The shaded blue boxes represent the multilateral evaluations conducted by ED.

³¹ Assessed through an evaluation of CIDA's response to the 2004 tsunami.

Exhibit 1.4: Evaluation Coverage of CIDA’s Program Activity Architecture

Strategic outcome: Reduction in poverty for those living in countries where the Canadian International Development Agency engages in international development

Coverage of CIDA’s Program Activity Architecture

	Fragile countries and crisis-affected communities	Low-income countries	Middle-income countries	Global engagement and strategic policy	Canadian engagement
Program activities	SA – Humanitarian Assistance SSAs – Food assistance; Non-food assistance	SA – Bangladesh SA – Ethiopia	SA – Bolivia SA – Caribbean	SA – International development policy, research and analysis	SA – Human development SA – Governance
	SA – Afghanistan	SA – Ghana	SA – Colombia	SA – Multilateral strategic relationships SSAs – International financial institutions; International development institutions;	SA – Economic growth and environmental sustainability • Industrial Cooperation
Sub-activities and Sub-sub-activities	SA – Haiti	SA – Mali	SA – Honduras	• Multilateral channel review • GEF • MOPAN • CIDA evaluation pilot	SA – Volunteer Cooperation
	SA – Sudan	SA – Mozambique	SA – Indonesia • Tsunami R&R		
	SA – West Bank / Gaza	SA – Pakistan	SA – Peru	SSA – Humanitarian assistance organizations • UNHCR • ALNAP	SA – International Youth Internships • NetCorps • CCUPP/SFD
		SA – Senegal	SA – Ukraine	SA – Multilateral and global programming SSAs – Health programming; Sectors/themes other than health • UNAIDS • GFATM	SA – Public engagement and training in Canada • University Partnership
		SA – Tanzania	SA – Middle-income countries of modest presence • Egypt • Sri Lanka (Tsunami R&R)		
		SA – Vietnam			
		SA – Low-income countries of modest presence • Malawi • Cameroon	SA – Middle-income regional programs		
		SA – Low-income regional programs • Canada Fund for Africa			

Note: Internal Services activities from PAA are not listed here. Some internal services (e.g. human resources management, financial management, information and technology management) are captured through the individual major evaluations.

Over the period of this review, a significant portion of CIDA's PAA has been covered by ED-led evaluations. Branch-led evaluations have supplemented the ED-led evaluations for this review for the Partnerships with Canadians Branch (PWCB) where the coverage of ED-led evaluations was limited. However, given the retrospective nature of evaluation, it should be noted that many investments evaluated had been designed prior to the review period. These investments would not capture the initiatives that the Agency has initiated to strengthen aid effectiveness during and since the review period.

CIDA also maintains high quality in its evaluation function. As noted in Section 1.4, CIDA conducts evaluations at two levels: centralized evaluations conducted by the ED and decentralized evaluations conducted by branches. There are formal processes for ensuring the quality of evaluations at both levels. In addition to conforming to CIDA's meta evaluation quality criteria, which are consistent with the TBS Evaluation Policy and Directives as well as the international Evaluation Quality Standards of the DAC Evaluation Network, ED-led evaluations are reviewed by an Evaluation Committee, with a majority of external members³² and are approved by Agency senior management. In addition, CIDA has received a strong rating from TBS for the quality and use of evaluation over the last five years.³³

Periodically, a review of branch-led evaluation is conducted by ED in order to attest to the quality of these evaluations as per the standards described above. The 2008 review noted that the quality of branch-led evaluations had improved since the previous review in 2003.

The meta-analyses were carried out by a CIDA review team, assessing explicit criteria for each evaluation. Using a four-point scale, the meta-analyses covered three key variables (criteria) and two explanatory factors:

- Criteria:
 - Objective achievement/results;
 - Relevance of the program; and,
 - Sustainability of results/benefits;
- Explanatory factors:
 - Extent and nature of partnership; and,
 - Management of the projects/programs.

In some cases, the rating on the four-point scale reflected the average of the ratings for indicators for each criterion, and very rarely, the average of two reviewers' differing (but contiguous) ratings. As a result, the reviewers had to translate the non-whole number scores that resulted from these averages into a descriptor that refers back to the four points on the original rating scale ("very good", "good", "average" and "poor"). The review team developed the following interpretation:

- 3.501 – 4 = very good

³² While the Committee has had external members for some years, it is only since 2009 that the majority has been external to CIDA.

³³ Management Accountability Framework; 2009-10 MAF Results <http://www.tbs-sct.gc.ca/maf-crg/assessments-evaluations/2009/ida/ida-eng.asp> Accessed June 2011

- 2.501 – 3.5 = good
- 1.501 – 2.5 = average³⁴
- 1 – 1.5 = poor
- NA (not available) = missing

While the scale appears to be unbalanced (“very good” and “poor” each only cover only half a point), it represents the most balanced approach to interpreting the findings, as it does not bias them either positively or negatively.

Note that while the three criteria are analysed separately, they are all interconnected in practice; for example, relevance affects sustainability, which in turn affects the achievement of objectives over time.

The qualitative reviews of selected evaluations were carried out by CIDA and consultant staff. Some lessons learned were identified as such in the evaluation reports. Others were extracted from a review of the text – usually of the synthesis or executive summary report of the evaluation and were documented using a review grid. The lessons learned include both positive achievements of CIDA programming and areas for improvement.

In addition to the meta-analyses and review of lessons learned, this review was supplemented by documented evidence from key CIDA and external stakeholder documents and interviews with key CIDA senior staff.

Limitations of the Bilateral and Partnership Channel Review

In spite of efforts to minimize subjectivity and maximize rigour, there are a number of factors that potentially limit the extent to which this review accurately reflects CIDA’s aid effectiveness:

- The review is based on evaluations undertaken in 2005/06 to 2010/11. However, some of these evaluations covered programming that occurred as much as ten years earlier. The development context, and CIDA’s response to it, has changed considerably over this period. As a result, the review findings do not reflect CIDA’s current approach to programming. While this review reports on CIDA’s ongoing efforts to improve programming effectiveness, these efforts may not yet be reflected in program results.
- The conduct of the meta-analyses through rating of the evaluation reports by CIDA staff introduces a certain level of subjectivity. Although measures were put in place to strengthen the level of inter-rater reliability, there is always a risk of inaccuracy and lack of consistency in how the information was assessed and coded.
- There is no apparent difference in the overall quantitative ratings for the bilateral and partnership programming. However, this potentially masks a difference because the partnership programming is assessed primarily on a review of branch-led evaluations. Branch-led evaluations cover lower-level projects and initiatives (at the sub-sub-sub activity level in the PAA) and the assessment of these more micro-level investments

³⁴ Note that the category “average” is not a mathematical mid-point, but an interpretation of mixed results.

are likely to be more positive than a program, where a portfolio of investments was covered in the evaluations.

- This review is indicative of the results of 41 evaluations of CIDA programming, chosen to be as comprehensive as possible without overlapping. However, the total universe of CIDA project evaluations that were conducted over the five-year period of this review is not easily available. As a result, the team does not know the extent to which evaluations reviewed are representative of the universe of CIDA programming over the period. However, the ED-led evaluations cover a significant proportion of CIDA's current PAA. Since there is only a small number of evaluations, the report reflects only the number of evaluations in a given category, not the percentages. The presentation of percentages could be misleading since the results could easily be affected by changes in the scores of one or two evaluations.
- Evaluation reports did not always address all criteria and indicators for assessing program effectiveness. This further reduces the evidence available for some criteria. The number of evaluations that provided information is reflected in all tables.
- The definitions of outcomes and outputs changed at CIDA in 2009 – mid-way through the period for this review. This means that some programs were implemented and/or evaluated using the previous definitions and some under the revised definitions. This may lead to inconsistency in the data.
- It was intended that the results presented in the 2006 review would be a baseline for future assessments of the Agency's performance. However, this is difficult because the approach to this 2010 review is substantially different from that of the 2006 review.

See Appendix A for details of the approach and methodology and Appendices B – E for other methodology details.

1.5.2 Methodology for Review of the Multilateral Channel

In March 2009, CIDA presented the report of a *Review of the Effectiveness of CIDA's Multilateral Delivery Channel* to the Treasury Board Secretariat. The review employed three principal methodologies: a systematic review of published evaluations of multilateral organizations and their programs; interviews of staff of CIDA and over twenty key partner multilateral organizations; and a review of policy and reporting documents relating to managing for development and humanitarian effectiveness.

In order to update the results of the 2009 review and provide a comprehensive picture of the effectiveness of the multilateral channel in the 2007/08 to 2010/11 period, this current review includes:

- A profile of CIDA support to the multilateral channel showing the three different types of investment (core funding, initiative specific funding and multi-bilateral funding) made by CIDA in each significant multilateral agencies programs in the three year period 2007/08 to 2009/10;
- A summary of CIDA responses to the findings and recommendations of the 2009 review;

- A description and progress report on the CIDA Evaluation Directorate-led initiative to develop, pilot test and put into operation an improved approach to measuring the development effectiveness of Multilateral Organizations as part of its ongoing participation in the OECD/DAC Network on Development Evaluation;
- An update and progress report on CIDA efforts to continue improving the approach and quality of information produced by the Multilateral Organization Performance Assessment Network (MOPAN);
- A review of six of the most significant publications regarding the effectiveness of Multilateral Organizations made available to CIDA since March 2009; and,
- An assessment of recent efforts on the part of key CIDA partner multilateral organizations to improve their results reporting.

2. ASSESSMENT OF THE EFFECTIVENESS OF THE BILATERAL CHANNEL

This section presents the findings for the assessment of the effectiveness of CIDA’s bilateral channels and the factors affecting effectiveness. It is based on a review of country program evaluations led by ED. A summary is provided below in Exhibit 2.1, and the tables to support the findings from the quantitative review of the evaluations are found in Appendix F (Figures F.1 and F.2).

2.1 Overall Aid Effectiveness

The effectiveness of CIDA’s aid was analyzed using three variables (criteria):

- Objectives achievement/results;
- Relevance; and,
- Sustainability of results/benefits.

This section explores the effectiveness of CIDA’s Gs&Cs implemented through its bilateral programming with respect to each of these variables, based on both a quantitative review of evaluations of bilateral programming and a qualitative assessment of lessons learned from ED-led evaluations.

Generally speaking, the results of the review of bilateral evaluations were positive – that is “good” or better – with respect to the achievement of expected results and the relevance of the program. The scores were somewhat lower (“average” to “good”) with respect to sustainability.³⁵ As a result, a preliminary conclusion is that CIDA’s country programs are mostly achieving their objectives and are generally relevant. However, the sustainability is not as assured. Exhibit 2.1 summarizes overall results below, and each criterion is explored in greater detail in the following sections.

Exhibit 2.1: Criteria Ratings: Bilateral Evaluations

Evaluation Criterion	Number Rated: Very good	Number Rated: Good	Number Rated: Average	Number Rated: Poor	n =
Objective achievement / results	2	12	1	0	15
Relevance	4	11	0	0	15
Sustainability	0	8	7	0	15

Total Number of Evaluations: 15

2.2 Objectives Achievement/Results

The achievement of the defined objectives was assessed by rating the extent to which there was evidence of results reported and achieved with respect to impacts, outcomes and outputs and unintended results. Prior to September 2008, CIDA’s Results-Based Management (RBM) framework defined outcomes and outputs in a different way than it currently does. Initially,

³⁵ Note that the category “average” reflects mixed results. For detailed definitions of each criterion, see Appendix C.

CIDA used two concepts: outcomes and outputs. CIDA defined outputs as the goods and services produced by an organization or program –something beyond what is commonly referred to as outputs in other federal government departments.³⁶ With the development of CIDA’s RBM framework in 2008, three levels of outcomes (immediate, intermediate and ultimate) were defined and outputs were redefined as the “direct product or service stemming from the activities of an organization, policy, program or initiative.”³⁷ This review spans a period during which both RBM frameworks were in place and, as such, there may be some lack of consistency in how these concepts were used across the evaluation reports.

Overall the achievement of defined objectives was “good” for the achievement of outcome and output level objectives, with two rated as “very good” for output level objectives and three for outcome level objectives. Only one of the fifteen bilateral program evaluations provided evidence of results at the impact- level or of unintended impacts.

Factors emerging from the evaluations as important in Objectives Achievement/Results:

- Complementarity among CIDA’s funding channels – bilateral, partnership and multilateral.
- The *mix of delivery modalities* such as program-based approaches, traditional projects and technical expertise.
- The *quality of policy dialogue* with the recipient countries and other donors.
- The *technical expertise* of staff in providing leadership (e.g. on gender equality), even with limited financial investment.
- Program design which is informed by good context analysis and risk assessment.
- *Continuity* in programming focus and program team, which enhance expertise, knowledge about the country and context.
- The *nature of the partnerships* with the recipient country and other donors.
- The *quality of management* in ensuring quality at entry and during implementation.

³⁶ The RBM in CIDA – Policy Statement (1996) specifies that an outcome as a “result at the [Logical Framework Approach] purpose level, constituting the short-term effect of the program/project. This is generally the level at which the beneficiaries or end-users take ownership of the program/project and CIDA funding comes to an end.” (RBM in CIDA – Policy Statement, 1996) An output was the “immediate, visible, concrete and tangible consequences of program/project inputs. It is the short-term change produced by (or for the benefit of) project/program delivery partners or intermediate groups. These results are the logical consequences of project/program activities and inputs. As such, the meaning of outputs has gone beyond what is commonly considered the goods and services produced by an organization.” (RBM in CIDA: An Introductory Guide to the Concepts and Principles, 1999)

³⁷ In CIDA’s 2008 RBM, an ultimate outcome is defined as the “highest-level change that can be reasonably attributed to an organization, policy, program, or initiative in a causal manner, and is the consequence of one or more intermediate outcomes. The ultimate outcome usually represents the *raison d’être* of an organization, policy, program, or initiative, and takes the form of a sustainable change of state among beneficiaries.” An intermediate outcome is a change that is expected to logically occur once one or more immediate outcomes have been achieved. In terms of time frame and level, these are medium-term outcomes, which are usually achieved by the end of a project/program and usually occur at the change of behaviour/practice level among beneficiaries.” An immediate outcome is a “change that is directly attributable to the outputs of an organization, policy, program or initiative.” An output is a direct product or service stemming from the activities of an organization, policy, program or initiative.

The evaluations of country programs suggest that the achievement of objectives is enhanced with an appropriate program design that includes complementarity among CIDA's funding channels – bilateral, partnership and multilateral. The lack of complementarity and a “whole of agency” approach within the Country Development Program Framework is likely to lead to less effective programming. For example, in Senegal the program could have been more effective if there had been more synergy among the different sectors and delivery mechanisms in the program.³⁸ While CIDA had coordinated its activities in Mali with the government and other donors, there was a need for greater complementarity between bilateral and partnership programming.³⁹ On the other hand, the evaluation of the regional program – Canada Fund for Africa – benefited from a whole-of-government approach that strengthened policy guidance, technical expertise and networking.⁴⁰

Practical Achievements from Sector Budget Support in Ethiopia—Protecting Basic Services (PBS)

The PBS packaged the delivery of basic government services in multiple sectors (health, education, agriculture, and water) into one holistic program. Its ultimate purpose was to strengthen Government of Ethiopia systems at sub-national levels so that the rural poor would have better access to all basic services. CIDA supported components related to basic health commodities and social accountability to public demand for basic services. Together, PBS and multilateral investments in Ethiopia have contributed to improvements in health indicators:

- 1.5 million malaria nets contributed by CIDA (of about 20 million total) resulting in 26% fewer malaria cases in the past two years;
- 63% fully immunized children against 20% fully immunized two years ago;
- 81% partial vaccination coverage;
- 51% contraceptive prevalence rate against 36% two years ago; and,
- 90% coverage of vitamin A supplementation twice a year.

In a PBA, it is a challenge to attribute results directly to CIDA. However, CIDA's leadership role in coordinating the design, planning and negotiation of PBS with other donors and the Ethiopian Government, at a time of considerable political volatility and uncertainty, cannot be underestimated. (Source: “Synthesis Report: CIDA's Review of Program-Based Approaches”)

The Canada Fund for Africa noted also that the whole-of-government approach is strengthened by having a clear, senior-level government structure for coordination. The Cameroon country program evaluation noted particularly the importance of having a consultative mechanism that includes all CIDA branches (at the time, the Africa Branch, the Canadian Partnership Branch and the Sectors and Global Partnerships Branch) to maximize mutual awareness of each other's programs and encourage and facilitate synergies.⁴¹

³⁸ “Senegal Country Program Evaluation 2001-2002 to 2009-2010: Synthesis Report”

³⁹ “Executive Report of the Canada – Mali Cooperation Program Evaluation”, Evaluation Division, Performance and Knowledge Management Branch, CIDA, December 2007, p. 16.

⁴⁰ “Canada Fund for Africa Summative Evaluation: Draft Executive Report”, Evaluation Directorate, Strategic Policy and Performance Branch, CIDA, January 2011, p. v.

⁴¹ “Canada – Cameroon Cooperation Program Evaluation”, p. 33

Complementarity is facilitated when there is a coordinating body responsible for integration. The evaluation of CIDA's governance programming noted that when there is no lead coordinating body within the Agency, the branches tend to operate independently.⁴² However, when such a coordinating body exists positive results are seen. The evaluation of CIDA's response to the 2004 tsunami in the Indian Ocean provides a good example of CIDA's whole-of-agency approach.⁴³ The Vice President of Asia Branch led a Tsunami Assistance Coordinating Committee (TACC) that included senior representation from all relevant branches and country programs. The evaluation reports that the TACC was effective in improving coordination, communication, decision-making and oversight.

As will be seen in subsequent sections, integration of CIDA's aid channels contributes also to greater relevance and sustainability. The importance of this observation and its application generally to CIDA's aid is reflected in one evaluation report, in which it was noted specifically that this is corporate issue, not one that is specific to the country covered by the evaluation. Yet synergy among the channels did exist and contributed to program success. Without it, opportunities may be missed.

CIDA and other donors provide aid through a range of modalities. In the past decade, the development world has seen the emergence and growth of program-based approaches (PBAs) to supplement or replace the traditional development projects. PBAs are "a way of engaging in development cooperation, guided by the principle of coordinated support for a locally owned program of development—a national development strategy, a sectoral program, a thematic program or a program of a specific organization."⁴⁴

CIDA's review of its PBAs noted that PBAs were very relevant to the needs of partner countries but that, given how recently CIDA had scaled up its use of PBAs⁴⁵, there was insufficient evidence to determine if they contribute to poverty reduction.⁴⁶ But early indications were encouraging. Intermediate benefits include strengthened partnerships and improvements in capacity, public finance management and resource allocation and policy changes. Through the strengthened partnerships between the donors and partner countries, these new aid modalities are introducing opportunities for better policy dialogue to affect reforms and systemic changes that are needed if the countries are to break out of aid dependency – changes that are unlikely to be achieved through traditional projects alone.

However, there was also evidence to indicate that PBAs, combined with other delivery modalities, should serve to provide strong development results and promote effectiveness.⁴⁷ Since no one modality was identified as being more effective than another in achieving program objectives, a "balanced" approach to programming that includes support for both

⁴² "Review of Governance Programming in CIDA: Synthesis Report", Performance and Knowledge Management Branch, CIDA, April 2008, p 15

⁴³ "Tsunami Reconstruction and Rehabilitation Program Executive Evaluation Report", p. 5 – 6

⁴⁴ "Synthesis Report: CIDA's Review of Program-Based Approaches", Evaluation Directorate, CIDA, March 2010, p. 1

⁴⁵ *Ibid*, p. 17. Approximately two-thirds of PBA investments between 1999/2000 and 2008/2009 were disbursed in the three year period of 2006/2007-2008/2009.

⁴⁶ *Ibid*, p. 5. Similar findings were reflected in CIDA's review of its General Budget Support funding.

⁴⁷ *Ibid*, p. 4-5

pooled funds and projects may be appropriate, based on an assessment of the country's needs and the roles of the other donors. All modalities appear to have their strengths and weaknesses and it is the mix of modalities and the synergy among the various modalities and aid channels that is key to achieving program objectives.

Country programs evaluated during the 2005/06 to 2010/11 period reflect a number of these modalities. They illustrate how the combination of program-based approaches (PBAs) and projects can strengthen the achievement of objectives, through the analysis of risks before launch (quality at entry) and the adjustment of programming in a changing context (quality during implementation). Projects have demonstrated positive results and bring specific advantages to country programs and have contributed directly to results for beneficiaries, ensured that CIDA had appropriate technical expertise in the field, contributed to the development of knowledge products and led to the scaling up of initiative to the national level. For example, the Vietnam country program has made good use of different delivery instruments, evolving over time to include a good mix of projects and PBAs at the national and sub-national levels.⁴⁸ The use of more PBAs that relied on the Government of Vietnam's (GoV) systems fostered ownership and worked well. The program has also balanced its investments in PBAs with expert technical assistance in its areas of strategic focus, and invested in upgrading the financial and administrative systems of the GoV to improve the latter's capabilities. It has done so by working closely with other donors. The report also noted that the inclusion, at CIDA's insistence, of a capacity building facility to complement targeted budget support for Education For All, contributed to strengthening implementation.⁴⁹

CIDA and the BRAC Education Program (BEP): A Bangladesh PBA Success Story

BRAC (Building Resources Across Communities) is one of the world's largest non-governmental organizations. One of its principal initiatives in Bangladesh is the BRAC Education Program (BEP), which is financed through a PBA Pooled-Funding mechanism. This PBA includes the participation of CIDA, DFID, NOVIB (Oxfam Netherlands) and the Royal Netherlands Embassy. For the period 2004-2009, this consortium provided US\$129 million (96% of the total funds). CIDA has a long history of cooperation with BRAC and has contributed C\$24,850,000 to BEP for the years 2005–2009.

BRAC has provided better access to quality non-formal education for 1.3 million children in poor areas of Bangladesh. These are children who have dropped out of formal school or who have never attended school. The students, sixty-five per cent of whom were girls, included 55,000 children from ethnic backgrounds and children with disabilities.

The program-based approach used for funding BEP ensures that there are harmonized progress reports to consortium members, common audits, common semi-annual reviews and Mid-Term Reviews. Complementing its assistance to BEP, CIDA has also supported BRAC's pre-primary education and adolescent empowerment programs. (Source: "Synthesis Report: CIDA's Review of Program-Based Approaches")

⁴⁸ "Evaluation of CIDA's Investments in Vietnam: Synthesis Report", Evaluation Directorate Strategic Policy and Performance Branch, CIDA, p. 45

⁴⁹ Ibid, p. 20

Similarly, the Ethiopia evaluation noted the importance of diversity in delivery mechanisms in a volatile country context. Facing considerable approval delays at CIDA, the program made strategic use of PBAs, projects and flexible funds.⁵⁰ CIDA's support in the areas of food security and governance has been pursued through numerous project-level initiatives. The results and learning from CIDA's successful project-level initiatives (notably in the areas of court administration reform, enhancement of the Auditor General function and support to the House of Representatives) have been scaled up to the national level and integrated within government-driven, multi-donor funded programs.⁵¹ The Ethiopia program also reflected the responsiveness of projects and the extent to which they can be used to manage the risk of PBAs. In Ethiopia, the multi-bi investment proved a very effective solution for rapid reprogramming, when General Budget Support was suspended in 2005 and an alternative was sought to continue basic services for the poor. It allowed the program to retain some control over how the funds would be used, while minimizing risk by avoiding direct transactions with the Government of Ethiopia.⁵²

The increase in the new aid modalities has been accompanied by an increase in the importance of policy dialogue. CIDA's programs are reportedly more likely to be successful if sufficient attention is paid to this policy dialogue, both in the context of PBAs and pooled funds, but also for project implementation. CIDA has successfully used policy dialogue to enhance the effectiveness of its activities. For example, by engaging in policy dialogue in Vietnam, CIDA was able to have an impact beyond its relatively modest financial contribution. It was through policy dialogue and policy discussions that CIDA was able, as noted above, to secure the inclusion of a capacity-building facility to complement targeted budget support. It also promoted universal quality standards for schools and policy content in primary education and stakeholders identified these as being important elements in the budget support program.⁵³ Similarly in Ethiopia, CIDA emerged as a leader in the realignment and harmonization of the development environment by working closely with other donors and the Ethiopian government to ensure ongoing program relevance.⁵⁴ In the Senegal country program, CIDA's gradual but steady adoption of PBAs have changed Canada's aid in that country and the country team's engagement increased Canada's influence and resulted in broad recognition of the quality of Canada's contribution in the education sector.⁵⁵

Policy dialogue is reportedly more effective if there is an explicit strategy for engaging in policy dialogue. In spite of the fact that CIDA had been actively involved in the joint donor structures in Ethiopia since 2004, the country program evaluation noted that the Country Development Programming Framework (CDPF) did not address policy dialogue and harmonization and was not revised after major changes in the Ethiopian context and in spite of significant changes to the program strategy.⁵⁶ The evaluation of CIDA's programming in

⁵⁰ "Ethiopia Country Program Evaluation 2003 – 2004 to 2008 – 2998: Synthesis Report", p. 40

⁵¹ *Ibid*, p. 26

⁵² *Ibid*, p. 40

⁵³ "Evaluation of CIDA's Investments in Vietnam: Synthesis Report", Evaluation Directorate, Strategic Policy and Performance Branch, CIDA, July 2010, p. 20

⁵⁴ "Ethiopia Country Program Evaluation 2003 – 2004 to 2008 – 2998: Synthesis Report", 2010, p. 19

⁵⁵ "Senegal Country Program Evaluation 2001-2002 to 2009-2010: Synthesis Report", p. vii

⁵⁶ "Ethiopia Country Program Evaluation 2003 – 2004 to 2008 – 2998: Synthesis Report", 2010, p. 30

Mali goes so far as to suggest that policy dialogue is so important that it should be a program element.⁵⁷

At the same time, flexibility in dialogue is important, particularly in changing policy contexts, as demonstrated in the Ethiopia country program discussed above.

Similarly, CIDA continues to provide effective leadership toward the achievement of its objectives through its technical expertise, even in the face of limited financial investment. For example, until 2004, CIDA was reported to have had an influential and highly respected role in Malawi for both its financial and non-financial support. However, given the uncertainty about Malawi's status as a country of focus, CIDA made very few new investments after 2004. Yet the Malawi program did its best to maintain its leadership in several sectors, within a very difficult context. CIDA's leadership role in gender was maintained by its engagement in the Development Assistance Group on Gender by providing technical support. As a result, in 2009, CIDA was still seen as a leader in gender equality. Similarly CIDA was viewed as a strategic donor in the water sector because of its involvement in sector coordination and the planning phases of the water and sanitation Sector-wide Approach (SWAp), including being the coordinating agency for the sector. It also played a lead role in HIV/AIDS up to 2008, despite the fact that it had provided no new funding.⁵⁸ In Vietnam, CIDA was able to use a variety of aid delivery instruments including expert technical assistance and a gradual investment in PBAs, to encourage government reforms and upgrades to Vietnam's financial and administrative systems.

CIDA's country programs provide support in a number of different sectors and the priorities for Canadian aid have changed over the years. However, success was not necessarily enhanced by reducing the number of sectors in which CIDA was engaged in a country; but rather by focusing within the sector on a limited number of subsectors or issues.

Not surprisingly, given the long-term nature of development and time required for results to become evident, better results were observed where CIDA maintained its focus and achieved staff continuity. Continuity not only leads to greater expertise and knowledge about the country and context, but also greater trust and a better partnership with the recipient country. This contrast was evident in the positive experiences of some country programs (Ghana, Vietnam and Bangladesh) compared to the mixed results of others (Malawi and Cameroon). In the successful examples, although a small donor, CIDA was able to leverage its knowledge, credibility and trust to accomplish substantial high-level policy changes.

Whatever the focus of the program, results are reportedly better when there is clarity in program design. The quantitative review of CIDA's effectiveness highlighted mixed results with respect to the clarity of expected results and risks in CIDA's program management (see Section 2.5.2). For example, in Cameroon the achievement of objectives was hampered by the lack of a clear vision of program goals. This is a particular challenge in programming that involved multiple stakeholders. The Canadian Landmines Fund, which involved three departments – CIDA, Department of Foreign Affairs and International Trade (DFAIT) and the

⁵⁷ "Executive Report of the Canada – Mali Cooperation Program Evaluation", p. 10

⁵⁸ "CIDA Malawi Country Program Evaluation 1998 – 2008: Synthesis Report", p. 72

Department of National Defence (DND) – would have benefited from a more coordinated management approach to ensure that CIDA’s objective of saving lives and promoting development was at the centre of all the activities of all three departments.⁵⁹

Some projects are hampered by overly ambitious designs. Programs have more chance of being successful if the designs are realistic in what can be achieved during the course of the program, particularly in the area of institutional change, which takes a long-term, sustained commitment. Program design is also improved with better planning, informed by good context analysis and risk assessment. This includes the use of pre-implementation assessments, the development of program frameworks and the inclusion of flexibility to respond to changing situations. CIDA’s evaluation of its governance programming noted that the lack of front-end investment in developing an understanding of the context in which programming was being implemented contributed to weak results in governance programming.⁶⁰

Cross-cutting themes

CIDA currently has three cross-cutting themes for its programming: gender equality, environment, and governance.⁶¹ The coverage of the cross-cutting themes was not rated in the quantitative review. However, a number of lessons learned were identified in the evaluation reports. In addition, CIDA has undertaken corporate evaluations of two of the three themes: gender equality and governance. There is more evidence of CIDA’s integration of gender equality as a cross-cutting theme than environment or governance.

Gender

The main finding of CIDA’s evaluation of the implementation of its gender equality policy was that, while the policy has been adopted across the Agency, there have been some challenges in monitoring, and reporting on, gender equality results, especially with non-governmental organizations (NGOs).⁶² As such, it is challenging to know if GE was truly implemented as a cross-cutting theme across programs and projects. The results that were most often documented were in the area of increasing women’s access to resources and benefits of development. The second most commonly identified results were in the area of advancing women’s participation as decision-makers. However, results were less frequently identified in the area of strengthening human rights for women and girls.

⁵⁹ “Interdepartmental Evaluation Canadian Landmine Fund Phase II: Executive Report

⁶⁰ “Review of Governance Programming in CIDA: Synthesis Report”, Performance and Knowledge Management Branch, CIDA, April 2008, p vi

⁶¹ Over the years, the cross-cutting themes have varied. In 2004, HIV/AIDS was identified as a cross-cutting theme for Africa (*Departmental Performance Report 2004*, Canadian international Development Agency, p. 43). This is reflected in some country program evaluations (e.g. Malawi, Ethiopia, Mozambique). In recent years, the cross-cutting themes have been gender equality and the environment. Governance was added in 2010/11. In addition, the evaluation reports reflect that capacity development was also a cross-cutting theme in some countries (e.g. Mozambique).

⁶² “Evaluation of CIDA’s Implementation of its Policy on Gender Equality”, Bytown Consulting and C.A.C. International, April 2, 2008

Gender equality can be both a cross-cutting theme as well as the focus of a component of country programming. Generally speaking, the evaluations of all country programming reflect on positive GE results achieved; some reflect on the factors contributing to, or detracting from, the achievements.

The importance of GE results was noted in the Vietnam country program evaluation. The Vietnam program worked in areas it selected with due care and attention to CIDA's cross-cutting themes of gender equality and the environment. Policy Implementation Assistance Project in Vietnam, which complements its support of the Poverty Reduction Support Credit, is "an excellent example of integrated equality programming, with a number of successful achievements, going beyond what had been expected. Its accomplishments in the equality domain include involving stakeholders in significantly strengthening the draft Gender Equality legislation and in strengthening the capacity of women Deputies in the National Assembly."⁶³ The evaluation of CIDA's programming in Bangladesh reported impressive GE results that demonstrate that competent, emerging social justice NGOs can advance women's rights and gender equality in policy circles, regulatory environments and workplaces, as well as within households and communities.⁶⁴

However, a number of evaluations attributed the positive achievements in gender equality, and particularly CIDA's leadership role in this area, to the quality of individual staff, particularly gender advisors, rather than to an explicit gender equality strategy or significant financial contributions. The contributions to GE in Malawi were not attributed to CIDA's modest financial contribution, but rather to the active engagement of the gender specialist and CIDA's engagement in coordination mechanisms. In some countries positive GE results have been achieved in spite of the lack of an explicit strategy to guide activities. The Vietnam country program evaluation reports "A recurring theme in some of these projects that was also encountered in other equality programming is the lack of an equality strategy and reliance on ad hoc action by people who take a personal interest in the topic and champion the issue."⁶⁵ Similarly, a lesson identified in the Ethiopia report is that "CIDA is perceived to have played a leadership role in the promotion of equality between women and men and environmental sustainability in Ethiopia. And this has been done despite an implicit gender strategy in the CDPF, few dedicated human resources to the cross-cutting issues, no formal budget allocations and no program level accountability mechanisms. CIDA largely depended on the personal commitment of individual staff involved and they delivered at the level of individual projects/initiatives."⁶⁶ The Bangladesh program, on the other hand, was well anchored in the CDPF and, as a result, with the addition of strong gender technical expertise, solid partnerships in civil society and government and useful GE tools, the program was able to provide strong GE leadership.⁶⁷

⁶³ "Evaluation of CIDA's Investments in Vietnam: Synthesis Report", p. 24

⁶⁴ "Evaluation of CIDA's Program in Bangladesh 2003 – 2008: Administrative Report", Strategic Policy and Performance Branch, CIDA, January 2009, p. 26 – 27

⁶⁵ "Evaluation of CIDA's Investments in Vietnam: Synthesis Report", p. 25

⁶⁶ "Ethiopia Country Program Evaluation 2003 – 2004 to 2008 – 2009: Synthesis Report", p. 47

⁶⁷ "Evaluation of CIDA's Program in Bangladesh 2003 – 2008: Administrative Report", p. 26

Environment

The environment has been a cross-cutting theme for CIDA programming for a number of years. It has also been the focus of specific program components. The results reflected in the evaluations tend to be focused on the program components, rather than on the environment as a cross-cutting theme. Positive results were found in some countries (Senegal, Ethiopia, Cameroon and Ghana).⁶⁸ The limited results noted in some other countries (Vietnam and Mozambique) were attributed to a lack of CIDA capacity, both in terms of human and financial resources.⁶⁹ In Senegal and Ghana, it was noted that environment was not adequately mainstreamed.⁷⁰ On the other hand, in Bangladesh, the evaluation questioned whether having environmental only as a cross-cutting theme, rather than a component of the program, would be sufficient to meet the country's needs.⁷¹

Governance

Governance was included only recently as a cross-cutting theme for CIDA's programming. However, like GE, it can be both a component of country programming as well as a cross-cutting theme. Lessons from the country program evaluations focus on governance as a program component. Overall, the review of CIDA's governance programming found the management and delivery of this programming to be ineffective. CIDA has failed to adjust management and operational practices to current realities regarding human rights, democratization and good governance in addition to minimal support to build internal capacity to support the policy. While the policy was considered to be innovative and reflect not only Canada's approach to development with respect to the inclusion of human rights and good governance programming, but also that of the wider international cooperation community, in which Canada was seen as influential key player on these issues, there was, at the time of the review, a disconnect between the policy and its implementation. As noted above, one reason for this disconnect was the lack of front-end investment in developing an understanding of the context in which governance programming is being implemented to inform decision-making.⁷² In Senegal, for example, governance programming was enhanced by the strategic targeting of initiatives and coordination with the programming of other donors and the Government. However, the governance programming suffered from a lack of definition of governance as a cross-cutting theme and lack of synergy among initiatives across sectors, projects, stakeholders and regions.⁷³ In Malawi, the lack of a strategy to guide the

⁶⁸ "Senegal Country Program Evaluation 2001-2002 to 2009-2010: Synthesis Report", p. 18 – 19; "Ethiopia Country Program Evaluation 2003 – 2004 to 2008 – 2998: Synthesis Report", p. 33; "Canada – Cameroon Cooperation Program Evaluation", p. 14; "Evaluation of CIDA's Program in Ghana 1999 – 2005: Executive Report", p. 16

⁶⁹ "Evaluation of CIDA's Investments in Vietnam: Synthesis Report", p. 25; "Mozambique Country Program Evaluation: Synthesis Report 2004-2005 to 2008-2009", p. 24

⁷⁰ "Senegal Country Program Evaluation 2001-2002 to 2009-2010: Synthesis Report", p. 23; "Evaluation of CIDA's Program in Ghana 1999 – 2005: Executive Report", p. 16

⁷¹ "Evaluation of CIDA's Program in Bangladesh 2003 – 2008: Administrative Report", p. 27

⁷² "Review of Governance Programming in CIDA: Synthesis Report", p v - vi

⁷³ "Senegal Country Program Evaluation 2001-2002 to 2009-2010: Synthesis Report", P. 16

governance investment meant that the positive results achieved were unlikely to be sustainable.⁷⁴

This highlighted a lesson that applied to all cross-cutting themes – that is, the importance of a clearly developed framework for expected results (not only in programming, but also in policy dialogue) is as important to these cross-cutting themes as the overall program if programming is to achieve its objectives. For example, in the Vietnam country program, the preparation of a Gender Equality Action Plan as tool for assisting with implementation of the next CDPF would be beneficial in setting out concrete plans for mainstreaming of equality in projects and in the program as a whole, including policy dialogue in PBAs.⁷⁵ Similarly, the Ghana country program evaluation report called for the development of a carefully articulated strategy, considering the need to mainstream equality between women and men at various levels in the country, build the capacity of key governmental institutions, and coordinate efforts with other donors.⁷⁶ In Ethiopia, strategies, program resources, accountability frameworks and mechanisms to support the three cross cutting themes were not well developed or articulated in the CDPF leading to results that were tangible, yet ad hoc and piece meal rather than effectively mainstreamed.⁷⁷

Fragile states

The evaluation of the Afghanistan program reflected on the conditions for achieving program objectives in fragile states or in the face of humanitarian crises in developing countries. Joint approaches, through partnerships with other development and humanitarian response agencies were noted as being particularly beneficial in fragile states. But these also require flexibility to be able to respond to a rapidly changing situation. The evaluation emphasized the amount of coordination required: joint approaches require coordination and harmonization with other government departments/ agencies, as well as international and multilateral partners to manage risks, care in choosing implementing partners, the exercise of due diligence (e.g. the establishment of clear selection criteria for selecting implementing partners, close progress monitoring). The parties must have realistic expectations, a level of risk tolerance that allows for trial and error, and experienced staff with a sufficient incentive package appropriate for fragile states or states in crisis. It is important to have surge capacity in the country office to deal with a humanitarian response in countries with a development program, so that, in the case of a humanitarian crisis, staff are not diverted from the development program.

Similar lessons were identified in the multi-donor evaluation of programming in Southern Sudan. With conflict prevention and peace building activities vital to reducing violence in Southern Sudan, many of the activities were not entirely relevant. One reason for this was the challenge of analysing and understanding the context. Bilateral interventions were the most effective as they could connect together objectives from different sectors but there were challenges to the efficiency of programming because donors, in their bilateral support, were

⁷⁴ “CIDA Malawi Country Program Evaluation 1998 – 2008: Synthesis Report”, p. 20

⁷⁵ “Evaluation of CIDA’s Investments in Vietnam: Synthesis Report”, p. 24

⁷⁶ “Evaluation of CIDA’s Program in Ghana 1999 – 2005: Executive Report”, Evaluation Division, Strategic Policy and Performance Branch, CIDA, June 2008, p. 26

⁷⁷ “Ethiopia Country Program Evaluation 2003 – 2004 to 2008 – 2009: Synthesis Report”, p. 42

bypassing the system of pooled funds and multilateral programming. The evaluation recommended that donors engage in conflict analysis before implementing or revising programs and that this analysis should be included throughout the programming cycle to help donors respond to changing circumstances and be more responsive to local contexts.⁷⁸ The importance of flexibility, identified in the Afghanistan evaluation, was also noted in the Sudan evaluation. The report noted that multi-year commitments, while beneficial, can also restrict responsive programming. Instead, donors should engage in ongoing monitoring of the situation and utilize mechanisms that are flexible and will help meet the needs of the targeted beneficiaries.⁷⁹ Finally, donors should commit to building capacity and providing support for the various levels of government to support good governance in addition to establishing sustainable programs.

2.3 Relevance

CIDA's projects/programs are considered to be relevant when they respond to local needs, are focused on poverty reduction and are consistent with CIDA's policies and directions. As a result, in the quantitative review, relevance was rated by assessing three specific indicators:

- Consistency with beneficiaries' needs (partners and institutions);
- Consistency with poverty reduction if applicable; and,
- Consistency with Agency's policies and direction.

For the bilateral programs, the ratings for relevance indicated that the programs were "very good" or "good" – the majority being "good" – for all indicators (see Appendix F). However, there were more "very good" ratings than there were for the achievement of objectives. Programs were highly consistent with the goal of poverty reduction.

Factors emerging from the evaluations as important in Relevance:

- Relevance is ***not static***. It is important to review and adjust the country program and its activities, in light of changes in the local context and the strategies of the recipient country and other donors. Continued due diligence during implementation and alignment with Paris Declaration principles improves relevance.
- ***Program design*** based on analysis and coordination with other donors.

The ED-led evaluations reflected on the alignment of CIDA's programs with host government priorities, more so than with the needs of beneficiaries or even the strategies of other donors. The evaluation of the country program in Mali reflected on the importance of the alignment with the Paris Declaration principles to ensure the alignment of CIDA's activities with those of other donors and the strategic priorities of the country. Some evaluations suggested there is tension between focusing on immediate results for beneficiaries (through supporting the delivery of basic services) and the longer-term results of institutional capacity building, with the former reflecting stronger results in the short-term. The balance between the two should be determined at the country level, based on needs and other donor supports.

In general, while CIDA's programming is considered to be relevant, relevance is not a static state. It is important to review and adjust the country program and its activities, in light of

⁷⁸ "Multi-Donor Evaluation of Support to CPPB Activity in Southern Sudan – Synthesis Report", p. 20-21

⁷⁹ *Ibid*, p. 21

changes in the local context (e.g. development of a new Poverty Reduction Strategy, changes in the strategies of other donors). In Vietnam, the Hanoi-based staff adopted “a flexible management approach within a principled framework, combined with local decision authorities and its effective networking capacity, [enabling] it to achieve results well beyond what might have been expected relative to its modest level of funding.”⁸⁰ Similarly, in Ghana, the program demonstrated the ability to adapt and respond well to the evolving local development context, shifting to new approaches and aid modalities and evolving a project portfolio that includes general, sector and district budget support and traditional, Canadian-partner implemented projects.⁸¹ This was also reflected in the evaluations of the two fragile states: Afghanistan and Southern Sudan. Ongoing monitoring and assessment of the context is important to ensure that programming remains relevant.

The relevance is also assessed in terms of the consistency of the programming to CIDA’s policies and direction. The vast majority of the bilateral programs were considered to be relevant to CIDA’s policies and direction. The evaluation of the Senegal country program noted specifically that, not only was CIDA’s programming relevant to the objectives and priorities of the country’s poverty reduction strategy and the Millennium Development Goals, but it was also relevant to CIDA’s evolving strategic policies and directions.⁸²

This challenge of ensuring the continued relevance of programming affects other donors as well. As noted above, the multi-donor evaluation of conflict prevention and peace-building activities in Southern Sudan noted that not all donor activities were relevant because they had, in fact, not analyzed and adjusted the program in light of the changing context and the causes of the conflict. This analysis needed to be continued throughout the programming cycle.⁸³

2.4 Sustainability

Sustainability refers to the “continuation of the benefits from a development intervention after major development assistance has been completed; the probability of continued long-term benefits; the resilience to risk of the net benefit flows over time.”⁸⁴ For this review, sustainability was measured by assessing five specific indicators:

- Country's ownership of the program goals;
- Funding for future operations is secured;
- Appropriateness of technology/approach;
- Institutional capacity to sustain results/program; and,
- The policy environment is enabling.

⁸⁰ “Evaluation of CIDA’s Investments in Vietnam: Synthesis Report”, p. 24

⁸¹ “Evaluation of CIDA’s Program in Ghana 1999 – 2005: Executive Report”, p. 9

⁸² “Senegal Country Program Evaluation 2001-2002 to 2009-2010: Synthesis Report”, p. []

⁸³ “Multi-Donor Evaluation of Support to Conflict Prevention and Peace Building Activity in Southern Sudan”, 2010, p. 20 – 21

⁸⁴ “Generic Terms of Reference for Country Program Evaluations: For Country Program Evaluations commissioned by CIDA’s Evaluation Directorate in Low/Middle-Income Countries of Focus”, Evaluation Directorate, Strategic Policy and Performance Branch, Canadian International Development Agency (CIDA), Version 4, (November 2010). Drawn from OECD-DAC, Glossary of Key Terms in Evaluation and Results Based Management, OECD, 2002

In the fifteen bilateral program evaluations, the overall sustainability of eight programs was rated as “good” and seven were rated as “average.”⁸⁵ The ratings for the indicators of sustainability were also mixed. The indicators that received slightly higher ratings were:

- Country's ownership of the program goals;
- Funding for future operations is secured; and,
- Appropriateness of technology/approach.

Factors emerging from the evaluations as important in Sustainability:

- ***Country ownership and commitment.***
- ***Local capacity.***
- ***A deliberate strategy*** with sustainability built into the program design and monitoring during implementation.
- ***Continuity*** in programming (long-term, consistent, integrated support and enduring partnerships together with technical expertise).

However, the majority of programs received an “average” rating for two indicators:

- Institutional capacity to sustain results / program; and,
- Extent to which policy environment is enabling.

Overall, the ratings for sustainability were generally lower than those for the achievement of objectives or relevance.

Key among the conditions for sustainability is country ownership and commitment. Ownership and commitment are enhanced by having the appropriate sectoral and technical expertise available to work with governments to overcome the challenges of the limited absorptive capacity of host governments and help build institutional capacity. The integration of local country partners into planning, priority setting and assigning resources is key to facilitating ownership and commitment. Host government commitment will be reflected in their long-term support for the activities.

The capacity of the partner country governments to ensure sustainability varies. In Ethiopia, the government committed to accelerating achievement of the MDG and devoted an increasing proportion of its resources to poverty reduction.⁸⁶ It invested considerable resources to improve its institutional efficiency and technical capacity. On the other hand, human resource capacity was weak and the absence of civil service reform limited the sustainability of government capacity building efforts. The capacity of partner governments does not only imply financial and human resources, but also the political commitment and appropriate organizational culture necessary for sustainability. In Mali, the financial support and technical assistance generated positive results, but sustainable change also needs a change of culture, mentality and work habits.⁸⁷

⁸⁵ Note that the category “average” reflects mixed results. For detailed definitions of each criterion, see Appendix C.

⁸⁶ “Ethiopia Country Program Evaluation 2003 – 2004 to 2008 – 2009: Synthesis Report”, p. ix

⁸⁷ “Executive Report of the Canada – Mali Cooperation Program Evaluation”, p. 16

Sustainability also needs to be planned. The chances of achieving sustainability are improved if sustainability is built into the program from the beginning with an explicit strategy. As with relevance and program performance, the existence of a robust, focused program framework that includes all CIDA's aid channels (bilateral, partnership and multilateral) is not only a contributor to the achievement of a program's results, but also to its sustainability. Sustainability should remain a focus throughout the program. The development of a robust framework for sustainability is informed by good baseline studies and strategic assessments of the sector, local partners and the social and political dynamics. The framework should also include an exit strategy.

Efforts to achieve sustainability are often hampered by the rapid withdrawal of support. As noted above, the uncertainty about Malawi's future as a country of focus and the withdrawal of financial investment in that country contributed to questionable sustainability of CIDA's support in that country. The likelihood of sustainability of results in Malawi is quite mixed and modest overall. This reflects not only CIDA's practices in managing for sustainable results but also the challenging context of the country.⁸⁸

Resources – both human and financial – have an important role to play in ensuring sustainability and the key message is undoubtedly the need for long-term, consistent, integrated support and enduring partnerships. Program-based approaches, although they can bring efficiency gains in aid management, need to be accompanied by adequate program management skills, policy dialogue and human resource allocation.⁸⁹ Similarly, the evaluation of CIDA's gender equality programming noted that gender equality results were fragile and suggested that, if gender equality commitments are not sustained over the long-term, the positive results of the past investments will not be sustained.⁹⁰ In Mali, the country program evaluation noted that support for traditional projects needed to be sustained beyond the project time frames, even if short-term results had already been achieved.⁹¹ Sustainability of results in Mali would be improved with the close and enduring partnerships between Canadian and Malian organizations.⁹²

The right sectoral and technical expertise needs to be available to the program to ensure sustainability. For example, the Vietnam country program evaluation noted that, although CIDA officials and Project Support Unit (PSU) staff were actively engaged in policy dialogue, they were not noted for their preparation of analytical work. However, on occasion analytical inputs from experts engaged by CIDA in other technical assistance projects in Vietnam made valuable inputs to the [Poverty Reduction Credit Support] process, but these depended on availability of appropriate expertise at the right moment.⁹³

2.5 Explanatory Variables: Impact of Partnership and Program Management

The quantitative review postulated that there are two factors that contribute to, or detract from, CIDA's aid effectiveness:

⁸⁸ "CIDA Malawi Country Program Evaluation 1998 – 2008: Synthesis Report", p. 23

⁸⁹ "Evaluation of CIDA's Program in Ghana 1999 – 2005: Executive Report", p. 25

⁹⁰ "Evaluation of CIDA's Implementation of its Policy on Gender Equality", p. 18

⁹¹ "Executive Report of the Canada – Mali Cooperation Program Evaluation", p. 16

⁹² Ibid.

⁹³ "Evaluation of CIDA's Investments in Vietnam: Synthesis Report", p. 29

- The extent and nature of partnership; and,
- The extent and nature of program management.

These factors were rated for each program. The scoring for each explanatory factor was based on specific indicators, which were averaged to develop a rating for the overall factor of partnership or management.

Although a statistical assessment of how these factors influence the objectives achievement, relevance and sustainability was not possible, this section provides the quantitative ratings for these factors and explores qualitatively their impact on aid effectiveness. Strengths and weaknesses identified here are believed to have an impact on CIDA's overall aid effectiveness.

Factors emerging from evaluations as important for Partnership and Program Management:

- Strong ***partnerships*** and effective ***program management*** contribute to the relevance, results and sustainability of development programming.
- ***Partnerships*** are strong relationships where CIDA's expertise and time investment allow for stronger leadership.
- The right mix of ***sectoral and technical skills*** at field level is important for the policy dialogue required by new aid modalities.
- ***Presence on the ground*** can allow decision-making to take place closer to the beneficiaries and programming to be more responsive.
- ***Coordination*** can create opportunities for partnership and improved management.
- ***Continuity*** of support is helps ensure effective programming.
- Delays and ***transaction costs*** can hamper PBAs.
- The ***identification of clear, measurable results*** contributes to improved program management and performance.

2.5.1 Extent of Partnership

Overall, the fifteen bilateral programs were rated as “good,” with respect to partnership. The extent of partnership was measured with two specific indicators:

- Extent of policy engagement and dialogue with partners; and,
- Opportunities seized and taken advantage of with other donors.

The extent of policy engagement and dialogue with partners was rated as “very good” or “good” for all programs. However, the indicator of opportunities seized and taken advantage of with other donors was slightly lower, receiving an “average” rating in two programs, indicating mixed results.

Partnerships reflecting the complementarity of programming with that of other development stakeholders, particularly involving CIDA branches and other government departments, were evident in some country programs. Such partnerships contribute to increased relevance, strengthened program performance and improved sustainability. For example, in Ethiopia, CIDA's joint work with DFAIT, in providing leadership and resources during and after the

election crisis, was a key element of the success of the program.⁹⁴ The two departments worked together to manage risk while delivering aid effectively. On the other hand, the evaluation of the Canadian Landmines Fund noted challenges of coordination and coherence among CIDA, DFAIT and the Department of National Defence (DND) Landmine Treaty activities.⁹⁵ The evaluation suggested several approaches to overcoming the challenge that each department has its own distinct culture and management practices. Firstly, it would have been beneficial to establish an administrative body to oversee the coordination of activities and to improve planning, reporting, and monitoring of those activities. Secondly, the development of a five-year strategic plan or a detailed management plan would have helped improve collaboration.

The evaluations reflect challenges with establishing partnerships with host governments and other donors. Partnership is not just about providing financial resources. Country program evaluations provide examples of the importance of participation in the various overall and sectoral coordination mechanisms in-country. While there are examples of CIDA's participation, in some countries, CIDA needs to improve the alignment of its programming with that of the host governments and the other donors. For example, the evaluation of the country program in Mali called for CIDA to align its programming more fully with the Government of Mali's new strategic framework for growth and poverty reduction and to ensure complementarity with programs and interventions of other donors.⁹⁶

Overall, partnerships contribute more effectively to aid effectiveness if CIDA invests the time and resources to build them. However, the resources required are not just financial. Developing and maintaining an effective relationship with host government and institutions and donor partners implies having the right mix of expertise in human resources at both HQ and in the field, in order to work with local authorities. The evaluation of CIDA's programming in Mozambique, noted that a sound and significant relationship with host institutions and donor partners implies having the right balance of human resources at headquarters and in the field either at the embassy or at the Program Support Unit (PSU) and within Canadian agencies/institutions working in the country. Such partnerships matter if Canada wants to exercise leadership abroad that contributes to development outcomes.⁹⁷

2.5.2 Nature and Extent of Program Management

The overall ratings for program management were positive – 11 of the 15 programs received a rating of “good.” Program management was rated on six specific indicators:

- Clear roles and responsibilities;
- Clarity of results expected and risks to be managed;
- Evidence of appropriate management oversight;
- Evidence of timely corrective action taken when needed;
- Organizational dynamism (motivation, leadership, human resources); and,

⁹⁴ “Ethiopia Country Program Evaluation 2003-2004 to 2008-2009: Synthesis Report”, p. ix

⁹⁵ “Interdepartmental Evaluation Canadian Landmine Fund Phase II: Executive Report”

⁹⁶ “Executive Report of the Canada – Mali Cooperation Program Evaluation”, p. 15

⁹⁷ “Mozambique Country Program Evaluation: Synthesis Report 2004-2005 to 2008-2009”, Evaluation Directorate, Strategic Policy and Performance Branch, CIDA, February 10, March 2010, p. vii - viii

- Evidence of coordination/harmonization with others.

On these specific indicators, the majority of bilateral programs were rated as “very good” or “good.” However, each indicator also reflects a number of programs (between one and eight) for which the rating was “average.”⁹⁸ The two indicators that show somewhat less positive results than others are:

- Clarity of roles and responsibilities – for which the majority of programs (eight of fifteen) received an “average” rating;
- Evidence of appropriate management oversight (six of fifteen); and,
- Evidence of timely corrective action taken when needed (five of fifteen).

Challenges of management oversight, reported to have a negative impact on program results in some country program offices, can be related to inadequate staffing, both in terms of numbers and skill sets. Not only does the right balance of technical and sectoral expertise at both HQ and the field contribute to improved partnership, as noted above, but it also contributes to program results and allows CIDA to provide stronger leadership at the country level. The importance of skills to support policy dialogue was reflected in the evaluations, particularly for programs that include components of PBAs or pooled funds. These new aid modalities require different skills than have been required for traditional project approaches: it is important to have staff who can engage effectively in policy dialogue with both host governments and other donors and who have a knowledge public sector financing.

The importance of having adequate technical expertise for programming was highlighted in the evaluation of CIDA’s governance programming – without it the Agency is reliant on a few individuals to support policies and programs.⁹⁹ In Ethiopia, CIDA responded to the demands of the new aid modalities by recruiting and deploying technical expertise and making strategic use of different delivery mechanisms to respond to changes in the program context and the development of new management tools and processes.¹⁰⁰

The availability of appropriate expertise is linked to CIDA’s emerging decentralization efforts. The country programs evaluated reflect contexts in which decentralization has been partially implemented (essentially, deconcentration – the relocation of staff to the field with limited changes in program authorities) and others in which decentralization has not yet begun. The decentralization of decision-making authority to the field is seen as a positive factor in improving program effectiveness, by allowing decision-making to take place closer to the beneficiaries and, hence, allowing programming to be more responsive. This was identified as being particularly critical to the successful implementation of PBAs. For example, the evaluation of the Ghana country program noted that the decentralized management structure in that country served the program well. The success was attributed to good communication between Canadian High Commission and headquarters’ senior management, a clear division of roles and flexibility at all levels in responding to new

⁹⁸ Note that the category “average” reflects mixed results. For detailed definitions of each criterion, see Appendix C.

⁹⁹ “Review of Governance Programming in CIDA: Synthesis Report”, Performance and Knowledge Management Branch, CIDA, April 2008, p 15

¹⁰⁰ “Ethiopia Country Program Evaluation 2003-2004 to 2008-2009: Synthesis Report”, p. 44

approaches and delivery mechanisms. However, the report also noted that the move to decentralization required specialized expertise and is expected to result in an increase in the number of long-term program advisors.¹⁰¹ CIDA's response to the 2004 tsunami in the Indian Ocean also reflected the importance of having an on-ground presence to improve the capacity for rapid decision-making and trouble-shooting.¹⁰² However, CIDA needs to have the appropriate people, with the necessary level of authority and responsibility to make decisions.

Continuity of support is also important to ensure effective programming. Two country programs were hampered by the uncertainty about the future of CIDA's support in these countries, as CIDA was realigning its programming priorities. In Cameroon, there was a slowdown in the program between 2003 and 2006, because of uncertainties about the future of the program, and this was costly in terms of planning efforts, inhibiting the implementation of projects.¹⁰³ Similarly, the uncertainty about CIDA's future programming in Malawi limited the effectiveness of CIDA's programming. In the early years of the program in Malawi, there was strong leadership, close collaboration with development partners in Malawi, staff continuity and dedication, and flexible procedures. As a result, Canada earned a very positive profile and reputation in Malawi. However, "staff turnover and a vacuum in leadership in 2004/05 negatively affected the performance of CIDA's Malawi Program. Starting in 2006, the uncertainty about the future of the program continued to affect its management and leadership."¹⁰⁴

CIDA's slow approval processes and delays in program starts (at times, coupled with delays in the host government) have a negative impact on the efficiency of CIDA's programming. The evaluation of the Ethiopia country program noted that delays and uncertainty in CIDA's approval processes undermined the Agency's influence with both the government and other donors.¹⁰⁵ The report went on to note that the timeliness of approval processes could be improved with more delegation of more authority to the field.¹⁰⁶ Similarly, the Ghana country program evaluation noted that the timeliness of delivery was an issue with some traditional bilateral projects, due to delays with implementation start-up, problems with contractors, procurement issues disbursement delays.¹⁰⁷

On the other hand, the evaluation of CIDA's support after the 2004 tsunami noted more timely approval processes when adequate coordination mechanisms were in place to ensure timely decision-making and disbursement of funds. The Vice President of Asia Branch led a Tsunami Assistance Coordinating Committee that contributed to effective coordination, communication, decision-making and oversight. Since communication between the field and headquarters was excellent, this allowed for quick decisions. In addition, the TACC

¹⁰¹ "Evaluation of CIDA's Program in Ghana 1999 – 2005: Executive Report", p. 18

¹⁰² "Tsunami Reconstruction and Rehabilitation Program Executive Evaluation Report"

¹⁰³ "Canada – Cameroon Cooperation Program Evaluation", p. 28

¹⁰⁴ "CIDA Malawi Country Program Evaluation 1998 – 2008: Synthesis Report", p. xv

¹⁰⁵ "Ethiopia Country Program Evaluation 2003-2004 to 2008-2009: Synthesis Report", p. viii

¹⁰⁶ *Ibid.*, p. 30

¹⁰⁷ "Evaluation of CIDA's Program in Ghana 1999 – 2005: Executive Report", p. 17

developed a financial tracking system that was effective and helpful in program planning. As a result, projects were approved more quickly for tsunami reconstruction than usual.¹⁰⁸

CIDA's ability to take timely corrective action was an area of some weakness, as reflected in the quantitative reviews. The importance of ensuring the continued relevance of programming was noted earlier. While this continues to be a challenge, there are positive examples of appropriate corrective action. The Vietnam country program evaluation notes that program managers took corrective action to terminate a couple of initiatives which were not performing well.¹⁰⁹

Delays and high transaction costs appear to still hamper PBAs, in spite of expectations to the contrary.¹¹⁰ Rapid, flexible funding mechanisms are important to compensate for these delays. The multi-donor evaluation of activities in Southern Sudan noted that a number of factors, including transaction costs and delays in the disbursement of funds affected the extent to which the programming could meet its objectives.¹¹¹ The evaluation of the Ethiopia country program noted that it would be wrong to assume that transaction costs to CIDA (or host governments) have been reduced in a PBA environment. The report suggests that transaction costs can only be reduced if CIDA plans and manages strategically its participation in joint donor activities, in line with the program focus, expected results, human resource constraints and CIDA's technical capacity. In addition, rapid and flexible funding mechanisms are necessary to support programming gaps and priority needs as they emerge, in order to compensate for the slow pace of decision-making with respect to PBAs and CIDA's lengthy and complex approval processes.

Management oversight is supported by the implementation of results-based management (RBM). However, country programs reflect a mix of results with respect to the use of RBM. In some cases, CIDA's long-term investment and commitment to RBM is reported to be paying off (albeit with areas for improvement, particularly with host governments) and has reportedly contributed to program success through monitoring and focus on results. In other programs, RBM is still not fully implemented and there is not adequate focus on results. Effective RBM (through the identification of clear, measurable results) contributes to improved program performance. For example, the Ghana country program evaluation noted gaps in the development and utilization of indicators for specific expected results related to the monitoring and evaluation of the sector programs.¹¹²

Expectations need to be tempered with respect to planning for results. A recommendation arising from the Ghana country program evaluation called for the development of a Results Framework for the new CDPF with appropriate performance indicators and data collection,

¹⁰⁸ "Tsunami Reconstruction and Rehabilitation Program Executive Evaluation Report", p. 26

¹⁰⁹ "Evaluation of CIDA's Investments in Vietnam: Synthesis Report", p. 45

¹¹⁰ "Transaction costs are the direct and indirect costs incurred by aid providers and recipients, which are specifically associated with the management of aid and the aid partnership generally. Costs may be in terms of funds, time, use of resources, efficiency losses, etc. Often, the term is used particularly about the transaction costs on the recipient side." "Aid Management Guidelines Glossary Explanation", Ministry of Foreign Affairs, Denmark 29 March 2011 <http://amg.um.dk/en/servicemenu/Glossary/Glossary.htm>

¹¹¹ Multi-Donor Evaluation of Support to Conflict Prevention and Peace Building Activity in Southern Sudan, 2010, p. 19

¹¹² "Evaluation of CIDA's Program in Ghana 1999 – 2005: Executive Report", p. 18

including emerging risks.¹¹³ The Malawi report echoed the concerns about planning (in terms of developing strategies and identifying resources) for reporting at both program and sector levels.¹¹⁴

The evaluation reports reflect specific challenges in measuring results in the context of the new aid modalities. For example, the interdepartmental evaluation of the Canada Landmine Fund noted that, while the activities were considered to be relevant, it was a challenge to assess the impact of Canada's funding for clearance activities because of the nature of the pooled funding mechanism used with other donor countries.¹¹⁵

2.6 Conclusions on Effectiveness of Bilateral Programming

Overall, the quantitative assessment of CIDA's Gs&Cs for bilateral programming from 2005/06 – 2010/11 reflects that it has been relatively effective. The qualitative review identifies both strengths and areas for improvement.

The ratings for objectives achievement for bilateral programming, based on output and outcome results, were positive. At the levels of impact and unintended impacts, the evaluations provided little information on the objectives achievement. While it is understandable that there could be limited information on unintended impacts, the lack of data on impact-level objectives suggests that either the projects/programs are not setting objectives at this level or that the evaluations have been unable to measure impact objectives.

There are a number of factors that contribute to more effective programming, including ensuring complementarity among programming channels and a mix of aid modalities. Programs that achieve their objectives also reflect a high level of policy dialogue and high quality program design, including clarity of expected results. While it is too early to assess whether PBAs are contributing to greater poverty reduction, PBAs are largely seen as relevant to partner countries.

The ratings for the relevance of the bilateral programming in both corporate and branch-led evaluations were "good" to "very good." While CIDA's programming is generally considered to be relevant, the bilateral programming reflects a greater alignment with host government priorities than with the needs of beneficiaries or even the strategies of other donors. The evaluations noted the importance of ensuring the continued relevance of the programming by adjusting the programming as the local context changes.

The ratings for sustainability were generally lower than those for objectives achievement or relevance, suggesting that, while CIDA's bilateral programming is largely relevant to country needs and is achieving its objectives (at least in the short- to medium-term), it experiences challenges in ensuring the sustainability of its programming. The lack of focus in the evaluations on impact-level objectives suggests that the programming may not be sufficiently focused on the longer-term. The evaluations noted that having a focused program framework

¹¹³ *Ibid.* p. 26

¹¹⁴ CIDA Malawi Country Program Evaluation 1998 – 2008: Synthesis Report, p. 40

¹¹⁵ "Interdepartmental Evaluation Canadian Landmine Fund Phase II: Executive Report", CIDA Evaluation Directorate, DFAIT Evaluation Division & DND Directorate of Evaluation; Government of Canada, January 2010

that includes all CIDA's aid channels (bilateral, partnership and multilateral) is not only a contributor to the success of the program, but also to its sustainability. The chances of achieving sustainability are improved if there is an explicit strategy and sustainability is built into the program from the beginning and remains a focus throughout the program. Sustainability is also enhanced by strong country ownership and commitment and integration with other donors.

While some evaluations noted CIDA's strengths in its policy engagement and dialogue with partners, there were weaknesses in the Agency's ability to take advantage of opportunities with other donors. This suggests that, while CIDA's programming engages in dialogue with partners, it does not take the next step to more coordinated programming with partners. The evaluations provide good examples of CIDA coordination with other government departments and the effectiveness of these approaches.

CIDA has demonstrated both strengths and challenges in program management. The strength and flexibility of CIDA's resources in some countries (and the beginnings of decentralization) have contributed significantly to the achievement of program objectives. On the other hand, the uncertainty about CIDA's long-term engagement in countries, and the resulting lack of continuity in staffing, has detracted from results in others.

3. ASSESSMENT OF THE EFFECTIVENESS OF THE PARTNERSHIP CHANNEL

This section presents the findings of the assessment of the effectiveness of CIDA’s Gs&Cs through the partnership channel. Unlike the review of the bilateral channel, this assessment is based largely on a review of branch-led evaluations of partnership programs. These evaluations supplemented the four ED-led evaluations of partnership programming over this period. A summary is provided below in Exhibit 3.1, and the tables to support the findings of the quantitative review of evaluations are found in Appendix F (Figures F.3 and F.4).

3.1 Overall Aid Effectiveness

The assessment of the Agency’s Gs&Cs in its partnership channels was based on the same criteria as the review in the bilateral channel and included:

- Objectives achievement/results;
- Relevance; and,
- Sustainability of results/benefits.

As with the bilateral programming, the ratings of the Agency’s overall aid effectiveness of CIDA’s partnership Gs&Cs were generally positive. The majority received ratings of “good” on all criteria; although the ratings for sustainability were lower (as they were for the bilateral programming)¹¹⁶. Exhibit 3.1 summarizes overall results below, and each criterion is explored in greater depth in the following sections.

Exhibit 3.1: Criteria Ratings: Partnership Evaluations

Criterion	Number Rated Very good	Number Rated Good	Number Rated Average	Number Rated Poor	n =
Objective achievement / results	0	19	1	0	20
Relevance	0	19	1	0	20
Sustainability	1	14	5	0	20

3.2 Objectives Achievement/Results

The achievement of the defined objectives was assessed by rating the extent to which there was evidence of results reported and achieved with respect to impacts, outcomes and outputs and unintended results.¹¹⁷ Similarly to the bilateral programming, few evaluations provided evidence of impact-level or unintended impacts. Almost all partnership programs evaluated received ratings of “good” for the outcome and output level results.

Partnership programming, like bilateral programming, highlighted the importance of clear frameworks that are revised, as necessary, to guide and focus the program. Many partnership programs are implemented through a range of projects. The evaluations identified factors for

¹¹⁶ Note that the category “average” reflects mixed results. For detailed definitions of each criterion, see Appendix C.

¹¹⁷ As noted in Section 2.2, the definitions of outcomes and outputs at CIDA changed during the period in which a number of these programs were implemented.

ensuring the success of this project approach. The program is more likely to be successful if it supports a smaller number of connected projects, rather than many isolated and unconnected projects. The approach is also more likely to be successful and have a multiplier effect if the projects accompany public policies and there is a strategy to ensure the replicability of the projects. The evaluation of the Canada Corps University Partnership Program and the Students for Development Program noted that the dispersion of efforts across a number of projects has the potential to reduce program effectiveness and that a strategy to concentrate the program in fewer locations would result in more target and effective interventions.¹¹⁸

Factors emerging from evaluations as important in Objectives Achievement/Results:

- Clear ***objectives*** and ***results frameworks***.
- Improved ***coordination*** and ***complementarity*** with other initiatives.
- A smaller number of ***connected projects***, rather than many isolated and unconnected projects, especially if the projects accompany public policies and there is a strategy to ensure the replicability of the projects.

As with bilateral programming, partnership programs are more likely to achieve their objectives if the programs have clear objectives and results frameworks. The NetCorps Canada International Program achieved development results in the areas of good governance and democracy, capacity building and gender. Although development results were not the primary objectives of the program, the evaluation noted that there would be greater achievements if the program had a clear design that focussed on development results.¹¹⁹

The partnership programs are strengthened by improved coordination and complementarity. The University Partnership in Cooperation and Development Program evaluation noted that the program would have benefited from better lines of communication with CIDA as a whole.¹²⁰

3.3 Relevance

As for bilateral programming, the relevance of partnership programming was rated based on three specific indicators:

- Consistency with beneficiaries' needs (partners and institutions);
- Consistency with poverty reduction if applicable; and,
- Consistency with Agency's policies and direction.

Overall, the ratings for the relevance of partnership programming were positive – nineteen of the twenty programs received ratings of “good” on the overall assessment of relevance. There was little variation in the ratings for the specific indicators. The indicator with respect to the consistency with Agency policies and direction received a slightly lower rating –an “average” rating in three evaluations, but a “very good” in one.

¹¹⁸ “Canada Corps University Partnership Program and Students for Development”, Evaluation Division, Performance and Knowledge Management Branch, CIDA, May 2007, p. iii

¹¹⁹ Evaluation of NetCorps Canada International Program, Evaluation Division, Performance and Knowledge Management Branch, CIDA, May 2007, p. 22

¹²⁰ “University Partnership in Cooperation and Development Program Evaluation: Executive Report”, Evaluation Division, Performance and Knowledge Management Branch, CIDA, February 2007, p. 17

Relevance covers a wide range of components, including alignment with the needs of the beneficiary populations, host governments and CIDA's strategies and priorities, and complementarity with other donors and other federal government departments. Relevance can be improved through more strategic program design, including clearer statements about the objectives and expected results. However, program design also needs to be revised in order to ensure continued relevance. Maintaining the relevance to CIDA's strategies and priorities of responsive programs, when the implementing organizations are identifying the needs is a difficult balancing act – CIDA priorities and partner priorities can differ.

It is also difficult to maintain the relevance of partnership programming when the programming is geographically dispersed. The evaluation of the University Partnership in Cooperation and Development Program noted that, while the projects remained relevant to the needs and priorities of the host countries, they were scattered and lacked consistency with CIDA's overall programming, trying to meet too many objectives at the same time.¹²¹

Factors emerging from evaluations as important on Relevance:

- ***Program design***, as with bilateral programming.
- Relevance in ***not static***, as with bilateral programming.

The goal of CIDA's Industrial Cooperation Program (CIDA INC) – part of CIDA's private sector programming – was to encourage long-term business relationships between Canadian and developing country businesses to promote development and poverty reduction. The evaluation concluded that, even though CIDA INC support had been leveraged by partner companies to create both direct and indirect jobs in Canada and in partner countries, CIDA's evolving priorities and the reduction in the number of eligible countries, had resulted in a loss of relevance of the program to CIDA.¹²² CIDA responded to these findings by negotiating the transfer of a modified program to DFAIT.

3.4 Sustainability

As for the bilateral programming, sustainability in partnership programming was rated using five specific indicators:

- Country's ownership of the program goals;
- Funding for future operations is secured;
- Appropriateness of technology/approach;
- Institutional capacity to sustain results / program; and,
- Policy environment is enabling.

While the overall rating for the sustainability of the partnership programs was “good,” as with the bilateral programming, the quantitative review reflected lower ratings for sustainability than objectives achievement and relevance. The rating for the specific indicators – factors affecting sustainability were mixed. While all indicators reflected that a majority of programs were rated as “good” on each indicator, each of the criteria reflect mixed results – a number of

¹²¹ *Ibid.*, p. 5

¹²² “Executive Report on the Evaluation of the CIDA Industrial Cooperation Program”, Evaluation Division, Performance and Knowledge Management Branch, CIDA, December 2007, p. 19

“average” ratings – four to eleven out of twenty, depending on the criterion. Notably the majority of programs received only an “average” rating for the securing of funding for future operations.

As with the bilateral programming, the qualitative review highlighted the importance of a strategy for ensuring sustainability in partnership programming. This is important to ensure that there is a focus on sustainability throughout the program and that there is an adequate exit strategy.

Given the nature of the programming, partnership also plays a key role. It is important to take the time to develop solid partnerships and investing the resources necessary for effective policy dialogue. Yet the evaluation of the University Partnership in Cooperation and Development Program evaluation noted that partnership programming does not necessarily result in sustainable results if there is not a focus on broad-based institutional support.¹²³ There needs to be mutual trust based on long-term partnerships for project results to be sustainable and that trust should be based on a shared understanding of the partners' respective needs, capacities, perspectives and environment and both organizations need to have mandates firmly based on service to the community. Building these relationships takes time and may need investments in travel costs and dialogue. CIDA's changing operational approaches, discussed in Section 5, may inadvertently have an adverse effect in this regard.

Sustainability is reportedly hampered by the weakness in developing country partner organizations – notably inappropriate mandates, lack of resources and limited support from host country governments. Sustainability, on the other hand, is enhanced when partner organizations lead their own capacity development process, based on multi-stakeholder consultations.

Factors emerging from evaluations as important on Sustainability:

- An ongoing *focus* on sustainability throughout the program, including an exit strategy.
- Solid long-term *partnerships* based on mutual trust, grown from a shared understanding of the partners' respective needs, capacities, perspectives and environment and organizational mandates.
- *Capacity* in developing country partner organizations.

3.5 Explanatory Variables: Impact of Partnership and Program Management

The quantitative review of CIDA's programming postulated that there are two factors that contribute to, or detract from, CIDA's aid effectiveness:

- The extent and nature of partnership; and,
- The extent and nature of program management.

These factors were rated for each program. The scoring for each explanatory factor was based on specific indicators, which were averaged to get a rating for the overall factor of partnership or management. Although a statistical assessment of how these factors influence the

¹²³“University Partnerships in Cooperation and Development Program Evaluation: Executive Report”, Evaluation Division, Performance and Knowledge Management Branch, CIDA, February 2007, p. 25

objectives achievement, relevance and sustainability was not possible, this section provides the quantitative ratings for these factors and explores qualitatively their impact on aid effectiveness. Strengths and weaknesses identified here are believed to have an impact on CIDA's overall aid effectiveness.

Factors emerging from evaluations as important for Partnership and Program Management:

- ***Program design*** that includes partnership and engagement (including shared interests and visions of development).
- The ***quality of the partnerships***, which depends on the time and resources spent on strengthening the relationships.
- ***Coordination*** and ***consistency*** in all programs in a sector helps to ensure focus and a more strategic contribution to programming.
- ***Program management***, including good context analysis and regular project monitoring, can help ensure the program remains relevant.
- Programming is more effective if ***focused*** on fewer areas and provided effective ongoing support for operational projects.

3.5.1 Extent of Partnership

Overall, the twenty partnership programs were rated as “good,” with respect to partnership. The extent of partnership was measured with two specific indicators:

- Extent of policy engagement and dialogue with partners; and,
- Opportunities seized and taken advantage of with other donors.

The extent of policy engagement and dialogue with partners tended to be rated somewhat higher than the indicator of opportunities seized and taken advantage of with other donors, which reflected mixed results and received an “average” rating in six programs.

Partnership programs are more likely to be relevant if partners are involved in program design. The Canada Corps University Partnership Program and the Students for Development Program noted that the participation of overseas partners in the planning phase could improve the relevance and effectiveness of such an internship or team project.¹²⁴

Dialogue with partners was enhanced in the University Partnership in Cooperation and Development Program by developing exchanges between developed and developing countries rather than simply transfers of knowledge. The partnerships are generally sustainable and work best when there are two “champion” organizations that have worked together for a while and share interests and visions of development. The quality of the partnerships depends on the invested resources and the time spent strengthening the relationships.¹²⁵

It is important to ensure coordination and consistency among partnership, bilateral and multilateral program branches and CIDA field offices. For example, bringing together all the

¹²⁴ “Canada Corps University Partnership Program and the Students for Development Program”, p. vi

¹²⁵ *Ibid.*, p. 13

higher education programs would help to ensure that the sector is coordinated, is more focused and makes a more strategic contribution to programming. However, this coordination can limit efforts of partnership programming to attract innovative proposals.

3.5.2 Nature and Extent of Program Management

The overall rating for program management was “good” – thirteen of the twenty programs received this rating. The program management assessment was based on six specific indicators:

- Clear roles and responsibilities;
- Clarity of results expected and risks to be managed;
- Evidence of appropriate management oversight;
- Evidence of timely corrective action taken when needed;
- Organizational dynamism (motivation, leadership, human resources); and,
- Evidence of coordination/harmonization with others.

More than half the programs (based on those for which a rating was provided) received a majority of “good” or “very good” ratings for:

- Clear roles and responsibilities;
- Organizational dynamism (motivation, leadership, human resources); and,
- Evidence of coordination/harmonization with others.

For all the other indicators, the majority of the programs received ratings of “average”¹²⁶:

- Clarity of results expected and risks to be managed;
- Evidence of appropriate management oversight; and,
- Evidence of timely corrective action taken when needed.

As with the bilateral programming, there were some limitations to the relevance of CIDA’s management oversight. The evaluation of the University Partnership in Cooperation and Development Program evaluation noted the challenges of responsive programs, noting the importance of significant investments in program management, including good context analysis and regular project monitoring, to ensure the program remains relevant.¹²⁷ This suggested that programming was more effective if the program focused on fewer countries and provided effective ongoing support for operational projects. It noted that staff in the field need to be empowered to respond to local needs and contexts. The program also suffered from delays in program approval associated with staff turnover, changes in regulations and procedures and shifts in CIDA’s policy directions.¹²⁸ It recommended the formation of a committee to monitor the program, with a mandate to help the program adjust to changes in CIDA’s policy and programming and strengthen strategic decision-making.

¹²⁶ Note that the category “average” reflects mixed results. For detailed definitions of each criterion, see Appendix C.

¹²⁷ *Ibid.*, p. 27

¹²⁸ *Ibid.*, p. 19

3.6 Conclusions on Effectiveness of Partnership Programming

Overall CIDA's partnership programming from 2005/06 – 2010/11 has been effective, with ratings generally in the "good" range.

As with the bilateral programming, evaluations provided little information on the **objectives achievement** at the levels of impact and unintended impacts of partnership programming.

The ratings for objectives achievement in the ED-led evaluations were slightly lower for partnership projects/programs than they were for bilateral projects/programs. However, the branch-led evaluations reflected more variation in the quality of bilateral programming than for branch-led evaluations of partnership programming. The assessment of branch-led evaluations of the partnership projects/programs, were almost all assessed as good.

The ratings for the **relevance** of the projects/programs in both corporate and branch-led evaluations were higher for bilateral, than partnership programming. The ratings for the partnership programming were almost all "good" compared to a number of "very good" ratings for bilateral programming, particularly for the branch-led evaluations of bilateral projects/programs. The evaluations noted the challenges of ensuring the continued relevance of partnership programming when the programs are responsive and projects are geographically dispersed.

As with the bilateral programming, the ratings for **sustainability** were generally lower than those for objectives achievement or relevance. The ratings by the evaluation authors and the review team were similar for both corporate and branch-led evaluations. The one indicator that detracts from sustainability is securing funding for future operations. The importance of the lack of institutional capacity to sustain results/program as a factor detracting from sustainability was somewhat less clear than for bilateral programming.

4. ASSESSMENT OF THE EFFECTIVENESS OF THE MULTILATERAL CHANNEL

This section presents the assessment of the effectiveness of CIDA's use of multilateral programming as a means of providing developmental and humanitarian assistance to developing countries. The effectiveness of the multilateral channel builds primarily on a review conducted in 2009. After the 2006 review of CIDA's Gs&Cs, which focused on CIDA's bilateral and partnership channels, TB requested an advance review of the multilateral channel, which was provided to TB in 2009. This 2011 follow-up review focused on three things: recent evidence of the effectiveness of MO programming, ongoing efforts to strengthen the measurement of MO performance, and CIDA's initiatives to improve MO effectiveness. The first two are reported in this chapter; the latter in Section 5.6.

This chapter begins with an overview of the multilateral channel. It then includes three perspectives on the effectiveness of MOs: one based on a review of recent CIDA evaluations of multilateral programming; a second based on a meta-evaluation of MO evaluations and a third based on a review of development on MO monitoring and reporting.

4.1 Overview of Multilateral Channel

For purposes of programming and budgeting at CIDA, multilateral aid can be defined as money channelled through international institutions whose members are governments and who conduct all or a significant part of their activities in favour of international development. Multilateral aid accounts for approximately one quarter of the world's official development assistance to developing countries.

The main rationale for the use of multilateral aid programs is that the global problems of international development can often be better addressed through global institutions. The multilateral system is often the primary channel to deliver strong development and humanitarian results in fragile states and is essential to CIDA's development efforts in Afghanistan, Haiti and Sudan.

Multilateral organizations (MOs) allow member states to pool resources. They provide coordinated assistance, knowledge and expertise to address specific global problems, for example, the Global Environmental Facility (GEF) for environmental issues and the Global Fund to fight AIDS, Tuberculosis and Malaria (GFATM). Similarly, International Financial Institutions (IFIs), like the World Bank can mobilized very large pools of capital and combine those with advice and technical assistance in very sensitive policy areas such as economic reform, where a single donor government would be reluctant to act alone. Finally, multilateral aid provides donor countries with global reach since many MOs are mandated to operate in all developing countries. This allows countries like Canada to concentrate their bilateral aid on priority countries without neglecting needs elsewhere.

Overall Multilateral Funding

Over the four-year period from 2007/08 to 2010/11 disbursements to the twenty most significant multilateral organizations (from a CIDA perspective) totaled 6.6 billion Canadian dollars. The pattern was quite similar to the disbursements detailed in the 2009 review for

the six-year period from 2001/02 to 2006/07, and the four largest recipients of CIDA funding (the World Bank, the World Food Programme, UNDP and UNICEF) remained the largest and stayed in the same order of ranking (one through four) respectively. Exhibit 4.1 contains a list of the twenty largest multilateral recipients of CIDA disbursements.

Overall, international development institutions account for 31% of this funding, consisting of the organizations like UNDP, UNICEF, the Global Fund to Fight AIDS, Tuberculosis and Malaria, and Consultative Group on International Agricultural Research. Humanitarian Assistance Organizations account for 25%, led by the World Food Programme, the United Nations High Commissioner for Refugees, the United Nations Central Emergency Response Fund, and the International Committee of the Red Cross. Other multilateral organizations, such as World Bank and World Health Organizations, account for 23%. International Financial Institutions such as the African Development Bank, Asian Development Bank, Global Environment Facility and Inter-American Development Bank receive 20%. The Pan-American Health Organisation is the only regional multilateral organization in the top twenty list.

CIDA uses multilateral aid in three ways, each with its own rationale and characteristics: long-term institutional funding, funding to specific initiatives, and funding provided by other branches. One notable trend has been the continuing rise in the importance of funding from other branches, including multi-bilateral (multi-bi) funding.

Long-term Institutional Funding (approximately \$620M per year)

Long-term institutional funding can be defined as un-earmarked funding to a MO in support of that organization's mandate. According to the OECD there are currently 170 MOs active in development and eligible to receive aid funding. As of 2010/11, CIDA provided long-term institutional funding to 30 of these MOs. CIDA's funding was highly concentrated with 9 MOs receiving 80% of its total long-term institutional funding from 2007/08 to 2010/11.

Funding to Specific Multilateral and Global Initiatives (approximately \$500M per year)

Specific multilateral and global funding can be defined as funding to MOs in support of a key program or activity usually in a specific thematic area and often global in scope. Within this category there are two sub-types: 1) humanitarian assistance; and 2) other global initiatives programming.

Humanitarian assistance is provided on the basis of need and usually in response to specific appeals issued by MOs with expertise in providing humanitarian assistance. The main MOs involved in providing humanitarian assistance are the World Food Programme (WFP), the United Nations High Commissioner for Refugees (UNHCR), the International Committee of the Red Cross (ICRC) and the UN Office for Coordination of Humanitarian Affairs (OCHA). The United Nations Children's Fund (UNICEF), although not primarily a humanitarian organization, also delivers humanitarian assistance with a specific emphasis on the needs of children.

Exhibit 4.1: CIDA Disbursements to Multilateral Organizations, 2007/08 to 2010/11

Rank 07/08 to 10/11	Multilateral Organizations	Core Funding	Initiative-Specific	Other branches (incl. Multi-Bi)	Total
1	World Bank Group	-	\$442.84	\$797.65	\$1,240.49
2	World Food Programme	\$57.00	\$633.46	\$362.92	\$1,053.38
3	United Nations Development Programme	\$249.63	\$37.21	\$321.03	\$607.87
4	United Nations Children's Fund	\$54.00	\$285.92	\$240.72	\$580.64
5	Global Fund to Fight AIDS, Tuberculosis and Malaria	\$450.00	-	-	\$450.00
6	African Development Bank	\$391.25	\$27.00	\$20.99	\$439.24
7	Asian Development Bank	\$253.37	\$2.00	\$74.37	\$329.74
8	World Health Organisation	-	\$196.79	\$87.11	\$283.89
9	United Nations High Commissioner for Refugees	\$66.96	\$118.28	\$28.95	\$214.19
10	Global Environment Facility	\$200.35	-	-	\$200.35
11	United Nations Central Emergency Response Fund	\$182.60	-	-	\$182.60
12	Consultative Group on International Agricultural Research	\$63.48	\$40.74	\$68.92	\$173.13
13	Inter-American Development Bank	\$34.74	\$8.20	\$114.30	\$157.24
14	United Nations Population Fund	\$64.40	\$26.80	\$39.79	\$130.99
15	Caribbean Development Bank	\$108.81	-	\$20.97	\$129.78
16	International Committee of the Red Cross	\$18.25	\$87.95	\$8.60	\$114.80
17	United Nations Relief and Works Agency for Palestine Refugees in the Near East	-	-	\$92.99	\$92.99
18	International Fund for Agricultural Development	\$87.35	\$1.00	\$0.15	\$88.50
19	Pan-American Health Organisation	-	\$11.28	\$76.56	\$87.84
20	United Nations Mine Action Service	\$0.50	\$1.00	\$81.55	\$83.05
Totals 07/08 to 09/10		\$2,282.69	\$1,920.45	\$2,437.57	\$6,640.71
Percentage		34.37%	28.92%	36.71%	100.00%

Note: Figures are based on the CIDA Database 'Multi Program Review - Multi Vendor Summary.' This data separates core and initiative-specific funding data which has been combined in the data in Exhibit 1.2. Additionally, the tables are derived from different CIDA data sets and cover somewhat different program timeframes. 2010/11 data is preliminary.

The second sub-type of specific multilateral and global funding involves global initiatives in other sectors. These initiatives are in sectors which deal with issues which transcend borders and thus lend themselves to a multilateral approach. The main sectors CIDA supports with this type of funding are health, environment and economic growth. The health sector is the most important of these, especially in light of the challenges of infectious diseases like AIDS and tuberculosis which do not respect international borders. Bilateral programming in a single country is unlikely to succeed in meeting the challenges of infectious diseases in the absence of regional and global programs.

Funding to Multilateral Initiatives Delivered by other CIDA branches – including multi-bi funding delivered by Geographic Programs (approximately \$680M per year)

Multilateral initiatives can also receive funding from other CIDA branches, mostly through multi-bi funding from Geographic programs. Multi-bi funding refers to earmarked funding to a specific MO initiative by a CIDA geographic program to support a specific activity in a specific country or group of countries. It is considered “bilateral” assistance because it is funded through CIDA’s geographic programs in the context of the program’s country strategies or programming frameworks.

Multi-bilateral funding accounts for a large and growing share of CIDA resources. It more than tripled in the five years from 2002/03 to 2007/08, mainly as a result of substantial funding to programs in fragile states. By 2007/08, CIDA multi-bi funding had reached \$691 million, with 53% spent in fragile states including 37% of all multi-bi funding spent in Afghanistan.

In fragile states, where United Nations (UN) organizations and the World Bank are often assigned specific roles by member governments, use of multi-bi funding by CIDA can sometimes help the Agency to limit fiduciary risk and result in a reduced administrative burden on the very weak national institutions. The use of this type of funding is also consistent with Canada’s commitment to the Paris Declaration principles of aid effectiveness which includes a call for donors to harmonize their aid and use program based approaches where they can be effective.

It is important to note that CIDA’s geographic programs manage multi-bi funding according to the same basic processes that govern all of the Agency’s geographic programming. For example, CIDA’s geographic programs are responsible for monitoring and reporting on the effectiveness of funds used in this way. Country Program Evaluations which examine CIDA’s bilateral programs in a given country include in their remit programming delivered by MOs and supported by multi-bi funding.

4.2 Assessment of the Effectiveness of Multilateral Organizations

This review presents information on the performance of multilateral organizations from two perspectives:

- A review of recent evaluations, carried out by CIDA or its partners, of multilateral organizations and their programs; and,
- Results of the pilot test of the new CIDA-led approach to assessing multilateral organizations (see Section 4.2.2).

4.2.1 Performance Assessed in Recent Evaluations of Multilateral Organizations

In the period since the 2009 review, multilateral organizations and the bilateral development agencies which support them have conducted a number of significant, large scale evaluations. This section briefly examines the results of six key evaluations. The reported results of the evaluations are comparable to the results of the 2009 review of MOs and their programs. The evaluations reviewed in this round include:

- *The State of the Humanitarian System: Assessing Performance and Progress*. The evaluation was undertaken by the Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP) and published in January 2010;
- *Progress toward Impact: The Fourth Overall Performance Study of the Global Environmental Facility (GEF)*, carried out by the Evaluation Office of the Global Environment Facility and published in 2010;
- *UNAIDS Second Independent Evaluation 2002-2008*, carried out by an external team of evaluators on behalf of the UNAIDS member organizations and published in September 2009;
- *The Assessment of the Institutions of La Francophonie and the Evaluation of Canada's Involvement in La Francophonie*, carried out by the Evaluation Directorate of CIDA and published in March 2009;
- *The Five-Year Evaluation of the Global Fund to Fight AIDS, Tuberculosis and Malaria*, carried out under the guidance of the Technical Evaluation Reference Group of the GFATM and published in March 2009; and,
- *The Evaluation of the UNHCR Joint Organisation Strategy: 2007 to 2009*, carried out under the guidance of the evaluation offices of CIDA (Canada), Danida (Denmark) and DFID (the United Kingdom) and published in October 2009.

Given the brief period since the completion of the 2009 review and the resulting small number of significant evaluations available in the intervening period, the evaluations listed here were not subjected to a detailed statistical analysis with results coded according to a four-point scale as in the earlier review. Rather, the review team undertook a content analysis of the results of each evaluation in three key issues areas: objectives achievement/results, relevance and sustainability.

The most important findings and conclusions of these most recent evaluations of MOs and their programs are summarized in the following sections.

Objectives Achievement/Results

The six evaluations reviewed covered different types of programming (health, environment, humanitarian assistance, institutional support and organizational strengthening). In addition, the evaluations defined the objectives of the MOs and their programs at quite different levels. This results in very different approaches to assessing aid effectiveness and makes it difficult to summarize the overall results. For each evaluation, results are summarized below:

- The UNAIDS evaluation examined the MO's success in achieving objectives as a global framework for providing leadership on the issue and engaging in broad based political and

social mobilization. It also examined the success of UNAIDS in promoting and achieving global consensus in policies and programs and in capacity building at country level. The evaluation did not examine the impact of UNAIDS on program delivery and results at a country level, although it does praise UNAIDS for its efforts to promote the human rights of people living with HIV (PLHIV) and to make their participation a feature of the programming it supports.

Within this framework which focuses on political and social mobilization and coordination, the UNAIDS evaluation had mostly positive findings on the performance of the MO. It rated the organization as successful in achieving global leadership and contributing to broad-based political and social mobilization and praised its technical leadership and support to PLHIV. The evaluation rated UNAIDS as only partly successful in achieving global consensus in policy and programs and in supporting capacity at country level. On the one hand it pointed to successful efforts to mobilize resources but on the other, indicated that there has been slow progress in translating strategies into programs at country level.

- The GFATM evaluation, in contrast, directly addressed field level results of GFATM programming and found that it had resulted in increases in service availability, better coverage of services and, most importantly, a reduction of disease burden. The evaluation also praised GFATM for including equity considerations as key concerns in its guiding principles and organizational structure but indicated more needed to be done to reflect equity in its granting processes.
- The ALNAP Assessment of the State of the Humanitarian System had very positive findings under the heading of objectives achievement. It pointed to improved timeliness of responses due to investments in rapid response emergency mechanism and improved sectoral coordination through the Cluster approach. It also indicated that monitoring has improved in quality (but remains weak) and that there has been increased investment in human resources but staff turnover and weak HR management systems remain problematic.
- The assessment of *La Francophonie* found that, generally, institutions have been achieving expected results. However, the performance of individual institutions has been uneven. It also noted that positive impacts have been achieved in promoting the French language and cultural and linguistic diversity. At the same time, the assessment concluded that management systems continued to focus on activities rather than results and that there was continued overlap in the operations of some institutions especially in the areas of education, youth and the environment. Particularly notable achievements of *La Francophonie* occurred in the areas of gender equality and women's participation.

As far as Canada's participation is concerned, the assessment found that investments in multi-country programs produced concrete and positive results. It also reported that the investment in TV5 had been highly successful in showcasing Canadian French-language productions abroad and providing a cross perspective of international Francophonie to Canadians. Finally, the assessment highlighted success of Canada's investment

contributions in the institutions of *La Francophonie*'s RBM capacities which led to the adoption of a ten-year policy framework and a new four-year program.

- The evaluation of the Joint Organisation Strategy for support to UNHCR reported that the JOS had contributed to strengthening UNHCR's overall performance in the attainment of its strategic goals, most notably in the evolution of its management systems. It also concluded that the JOS had been a valuable tool for enhanced donor harmonization and the exercise of collective influence beyond the level which could have been achieved with a purely bilateral approach.
- The assessment of the GEF directly addressed the questions of the facility's overall role as well as its ability to produce impacts at developing country level. In terms of role, the assessment reports that the GEF acts as a catalyst for effective programming in sustainable development by operating on three levels of action – the scientific and institutional foundation for programming, demonstration of successful approaches and methodologies, and encouraging investment.

In the area of impacts, the assessment found that 70% of finished GEF supported projects show moderate to solid progress towards impact. Further, 80% of GEF projects were found to achieve moderately satisfactory and higher outcomes (compared to a benchmark norm of 75%). On the other hand, inefficiencies continue to cause problems during the project preapproval phase.

Relevance

For the most part, these six large-scale, recent MO evaluations re-confirm the relevance of the programs being implemented by the organizations concerned, including those supported by CIDA. For example:

- The UNAIDS and GFATM evaluations reiterate the unprecedented and global nature of the challenges presented by AIDS, tuberculosis and malaria and the necessity of a coordinated global response through a common programming mechanism.
- The UNAIDS and GFATM evaluations also point to the success of both MOs in mobilizing a sustained and growing global response including massive increases in financial resources channelled through multiple organizations. On the other hand, they also point to continuing resource gaps and the need for continued global leadership.
- The evaluation of the Joint Organisation Strategy (JOS) of Canada, Denmark and the United Kingdom in their support of UNHCR points to the natural alignment of the program to UNHCR's own strategic priorities as an indication that the program meets commitments of all three countries to the Paris Declaration and enhances the coherence among the three donor partners.

- The assessment by ALNAP of the State of the Humanitarian System as a whole is still a pilot study but it does indicate that the system continues to face important challenges in needs assessment.

On the one hand the assessment notes that the quality of needs assessment in the early stages of international emergencies has improved in recent years. It also points to improvements in prioritization of the international response due to innovations in needs assessment and the use of innovative programs such as conditional cash grants.

On the other, it indicates that the state of needs assessment remains weak overall. In particular, it notes that beneficiary consultation and involvement remains insufficient and that there is insufficient follow-up on initial needs assessment.

- The assessment of the institutions (and of Canada's involvement) in *La Francophonie* reports that the institutions are generally found to be relevant, given their validity and capacity to respond continually to the diverse needs of their constituents. It praises *La Francophonie's* strong culture of inclusion. At the same time it points out that weak communication mechanisms limit the reach of publications and that the process of modernization has slowed among constituent institutions. Finally, the assessment points out that there are ongoing financial issues resulting from a lack of coercive mechanisms for contribution payments and diversified sources of funding. Regarding the relevance of Canada's involvement, the assessment points out that Multi-country projects targeted beneficiaries and met previously identified needs. Projects supported by Canada also encouraged the development of partnerships based on the areas of intervention.
- The Fourth Overall Assessment of the GEF points to continued deterioration in environmental conditions and the facility's ability to add value to multilateral environmental programs as positive dimensions of its institutional relevance. It also notes the facility's ongoing relevance to national priorities in environmental protection and sustainable development. On the other hand the report notes that the GEF continues to be underfunded and that it still lacks a fully developed framework for Results Based Management (RBM).

Sustainability

Not surprisingly, the UNAIDS and GFATM evaluations approach the issue of sustainability first in terms of the continued success of both MOs in mobilizing very large resource commitments at a global level, a key issue in sustaining efforts to address the challenges of AIDS, tuberculosis and malaria. Both organizations are assessed positively for their ability to forge new partnerships and to involve stakeholders at global and national level as a strategy for increasing sustainability.

On the other hand, the GFATM evaluation notes that health systems in most developing countries will need to be greatly strengthened if current levels of service are to be significantly strengthened and both evaluations point out that reliance on external resources makes national programs vulnerable to shifts in priorities on the part of donors. The UNAIDS evaluation, for example, notes continuing pressures for political attention and resources to be

diverted to other issues such as climate change. Both evaluations note the need to make more effective investments in capacity development at a national level, especially in human resources.

The ALNAP assessment of the State of the Humanitarian System also focuses on the problem of resource mobilization with only 85% of overall needs being met and acute under-funding of some sub-sectors of humanitarian relief such as disaster risk reduction. It does note that there has been an improvement in the working relationship between global and local elements of the system with better capacity building over the past 2-3 years. However, the evaluation also notes that growing insecurity for aid workers and difficulties in gaining access to disaster-affected populations may further limit effectiveness of the system in the future.

The assessment of *La Francophonie* emphasizes improvements in governance structures in recent years but points out that there is a need for greater vertical integration in the institutions which make up the network. It also points to the absence of a management accountability framework as a factor which could undermine sustainability along with the fact that governance structures impose high costs on member institutions. With regard to Canada's involvement the assessment found some multi-country projects to be more sustainable due to ownership by local partners and/or beneficiaries, successful diversification of funding resources, and RBM development.

The GEF assessment looks at sustainability primarily in terms of the overall sustainability of the institution, its governance arrangements and its funding. It finds that the governance model for the facility compares well to that used for other multilateral institutions and that (since the GEF is mainly a facility for channelling resources) it manages its financial and other resources well. At a micro-level the assessment notes that the GEF's Small Grants Program (SGP) continues to be an effective tool for addressing local livelihood needs, with special attention to the poor. This in turn should contribute to the local sustainability of GEF activities.

On the other hand, the assessment finds that learning is not structurally or systematically encouraged at the GEF, which along with weaknesses in the RBM framework of the GEF might have the effect of reducing relevance and sustainability over the longer term.

Conclusions on Effectiveness from Recent Evaluations of Multilateral Organizations

The major evaluations reviewed indicate that, since the 2009 review, the programs implemented by MOs continue to receive broadly positive evaluation results, especially in relation to the relevance of multilateral programs and the achievement of stated program objectives.

Global programs and facilities such as the GFATM, UNAIDS and the GEF continue to foster global and national support and policy coordination for addressing global challenges in health (diseases with global reach such as AIDS, tuberculosis and malaria) and the environment. A majority of the programs and projects the MOs support achieve outcomes rated as satisfactory or better. In the case of the GEF, there was progress towards achieving significant impacts in 70% of the projects supported.

There have been achievements in the global system for providing humanitarian relief during disasters. Very important improvements in the timeliness of emergency responses and improved coordination have been achieved due to the creation of new facilities in both areas. The UNHCR Joint Organisation Strategy has been a useful mechanism for coordinating the support of three donor countries (Canada, Denmark and the United Kingdom) to strengthen the strategic direction and management of UNHCR.

Canada's support for *La Francophonie* has helped to strengthen this very different MO, while it has achieved some important successes in meeting Canadian objectives. There were some difficulties inherent in governing and managing a network of large, multi-faceted institutions like those of *La Francophonie* but the evaluation identified Canada has achieved successes in strengthening management particularly through its support of RBM systems.

On the other hand, there continues to be challenges for these MOs in coordination, strengthening systems for monitoring results and sustaining resource flows to implement their global mandates. There is a continued need to strengthen results reporting and RBM among these MOs, which supports the validity of CIDA's ongoing efforts to strengthen their systems for managing for results.

It is important to emphasize that CIDA does this both directly (by engaging with individual organizations through its strategies and through joint programs such as the JOS at UNHCR) and indirectly. It works indirectly by taking a central role in strengthening cooperative approaches to strengthening MO effectiveness monitoring such as MOPAN, the Peer Reviews of the Evaluation Function and the new approach to strengthening information on multilateral development effectiveness led by CIDA's Evaluation Directorate from 2009 to 2011.

4.2.2 Performance Assessed in Recent Pilots for Assessing Multilateral Organization Effectiveness

As noted above, beginning in 2009 CIDA led an initiative subsequently endorsed by the DAC Network on Development Evaluation to supplement information from MOPAN and provide information on MO development effectiveness. Two pilot studies were carried out in 2010 under the leadership of CIDA's Evaluation Directorate, with support from DFID and SADEV. They included a systematic review of 45 evaluations of ADB programs and 25 evaluations of WHO programs.

For each pilot test, the evaluation team drew a sample of available evaluation reports produced by the MO under review, assessed the quality of each evaluation, and then systematically assessed and classified the content of each evaluation chosen according to a four-point scale (highly satisfactory, satisfactory, unsatisfactory, highly unsatisfactory). The results for each MO are presented in the following sections.

Review of Evaluations of Asian Development Bank (ADB)

The overall pattern of evaluation findings matched against development effectiveness review criteria is one of solid performance by the ADB.

ADB evaluations reported positive results in the core criterion relating to relevance (especially alignment with national development goals, with 77.5% of 40 ADB reports for this criterion rated as satisfactory or highly satisfactory). The ADB scored less well on the suitability of the programs and projects it supports to meeting the needs and priorities of target group members: 31.6% of the 38 evaluations dealing with the issue reported findings classified as unsatisfactory or highly unsatisfactory.

On the key question of whether or not ADB supported programs achieve their development objectives; the evaluation reports reviewed were mainly positive. Of the 44 evaluations with findings for this key criterion, 68.2% reported that objectives were achieved at a satisfactory or highly satisfactory level. Similarly, 71% of the evaluation reports containing findings on impacts reported that ADB supported programs produced positive changes for beneficiaries at the satisfactory or highly satisfactory level.

Review of Evaluations of World Health Organization (WHO)

The main problem faced by the pilot test team in interpreting the review results for WHO was the lack of knowledge of the overall level of program coverage provided by the evaluations available. For many development effectiveness criteria, the problem of the small sample evaluation reports available for review combined with low numbers of valid findings in those evaluations weakens the case for generalizing the results of the pilot test.

For those criteria where there were a reasonable number of evaluations with findings which could be classified, WHO achieved similar percentage distributions of the findings to those recorded for the ADB. In particular, objectives achievement was scored at the satisfactory level in 71.4% of the 21 evaluations scored for that criterion, while positive impacts were scored satisfactory or better in 64.2% of the 14 evaluations which dealt with the issue.

WHO supported programs and projects also score very well in terms of relevance with 88.8% of the 18 evaluation reports which addressed the issue reporting findings which were either satisfactory or highly satisfactory. Indeed, 44.4% of the evaluations reported that the WHO supported programs are suited to the needs of target group members at the highly satisfactory level.

Conclusions on Effectiveness from Recent Pilot Studies of Multilateral Organizations

The 2009 review reported that 71% of the evaluations drawn from across the multilateral channel as a whole rated objectives achievement as satisfactory or highly satisfactory. Similarly, the 2010 pilot test reported that 68.2 % of ADB evaluations reported objectives achievement as satisfactory or better, while the figure for the WHO was 71.4%.

The pilot tests demonstrated that the latest available evaluation evidence indicates that WHO and ADB are achieving effectiveness levels similar to those recorded for the multilateral channel as a whole during the 2009 review. The pilot studies reflected positive results with respect to relevance, in terms of alignment with national development goals, but less well on the sustainability of the program in meeting the needs and priorities of target group members. There were also mainly positive results with respect to the achievement of objectives and positive change for beneficiaries. There was a challenge in assessing the performance of

WHO because of the limited coverage of the available evaluations. Where there were sufficient evaluations, WHO had similar ratings to the ADB with respect to objectives achievement, and positive impacts and better results with respect to relevance.

4.3 Key Developments in Results Monitoring and Reporting

The 2009 *Review of the Effectiveness of CIDA's Multilateral Delivery Channel* included a brief review of the state of systems for managing for development effectiveness (evaluation, reporting on effectiveness and results based management) in 21 different MOs receiving significant CIDA funding. The review noted that four of the MOs reviewed were at very significant points in the development of those systems, some showing considerable promise and some presenting significant risks. The four MOs mentioned were UNDP, WHO, WFP and IFAD. It is worth examining each in turn and assessing progress since 2009, based on readily available published reports.

4.3.1 UNDP

During the 2009 review, the review team visited UNDP's offices and had discussions with operational staff on the evolution of the Program's systems for monitoring and reporting on development results. The system described at that time was just in the process of being made fully operational. Its most basic element was an effort to link program and project design and implementation at the unit level to UNDP's higher level strategic objectives. As described in the *Strategic Plan (2008-2011)* – since extended to 2013 – submitted to the Executive Board of UNDP in May 2008, the system is built around country programs:

UNDP country programmes and development projects constitute the heart of this system. At the country level, the United Nations Development Assistance Framework (UNDAF) outcomes provide the overall framework for United Nations-wide support to national development *goals*. Below the level of national development goals and UNDAF outcomes are agency specific UNDP country programme *outcomes*, which are the expected development changes for which UNDP is one contributor and shares accountability with government and other partners. These outcomes are nationally owned. The UNDP contribution to achieving outcomes is made through *outputs* produced by programmes and projects. UNDP country programmes are designed with governments and approved by the Executive Board.

At the country level, government counterparts participate directly in the oversight of UNDP activities at the project and programme levels, meeting regularly with UNDP project and programme staff to review results achieved, analyse the recommendations of evaluations, and take decisions on future actions.

At the corporate level, accountability and reporting is based on country-level results and is achieved through the alignment of unit level work plans with the strategic plan development and institutional results frameworks. Individual units map their expected development and management results to the corporate results outlined in these frameworks.

The frameworks serve to sharpen the focus and facilitate corporate reporting on the UNDP contribution to development results by providing a menu from which units

select the results that are most relevant to their particular context.¹²⁹

Looking forward from 2008, the UNDP Strategic Plan pointed to ongoing efforts to consolidate existing tools and to establish an integrated, coherent system to support both results-based management and reporting on effectiveness to outside agencies. A key part of this was to ensure further development of information management systems to allow different units at UNDP to access, interpret and analyze the same set of data, thereby enhancing both transparency and effectiveness. Further, the Plan committed UNDP to better aligning its evaluation function with the Strategic Plan by focussing future evaluation activities in thematic priorities and on the organization's key roles.

The Administrator of UNDP reports annually to the Executive Board on progress toward strategic objectives, including the progress of efforts to strengthen results reporting. The June 2010 Meeting of the Executive Board of UNDP received the Annual Report of the Administrator on the Strategic Plan (DP 2010 17) comments on ongoing efforts to strengthen RBM:

In line with the management response to the 2007 Evaluation of RBM at UNDP, UNDP's senior management at the headquarters, regional and country levels committed considerable staff time and resources in 2009 to strengthening results-based planning, monitoring, evaluation, and reporting. UNDP's senior management will place particular emphasis on the quality and evaluability of results frameworks in the new UNDAF/CPD roll-out countries over the remaining period of the Strategic Plan, and is taking steps to establish stronger organizational incentives to strengthen the results-based culture in UNDP.¹³⁰

Under the heading of development effectiveness, the Administrator's report for 2009 tracks progress in UNDP partner countries toward achievement of the Millennium Development Goals and then examines the organizations performance regarding specific development outcomes including:

- Enhanced national and local capacities to plan, monitor, report and evaluate MDGs and related national development priorities, including within resource frameworks;
- Strengthened capacity for local governments and other stakeholders to foster participatory local development and support achieving the MDGs;
- Strengthened national capacity for inclusive governance and coordination of AIDS responses, and increased participation of civil society entities and people living with HIV in the design, implementation and evaluation of AIDS programs;
- Strengthened capacity of local institutions to manage the environment and expand environment and energy services, especially to the poor;
- Disaster: Strengthened national capacities, including the participation of women, to prevent, mitigate and cope with the impact of the systemic shocks from natural hazards; and,

¹²⁹ *UNDP strategic plan, 2008-2011, Addendum 1: Development and institutional results frameworks**, p. 2

¹³⁰ "Annual report of the Administrator on the Strategic Plan: performance and results for 2009", Annual session 2010, 21 June to 2 July 2010, Geneva, DP/2010/17, p. 5

- Post-crisis socio-economic infrastructures restored, economy revived and employment generated; crisis-affected groups returned and reintegrated.

For each key outcome, the report examines the distribution of UNDP financial contribution by country and comments on specific, numeric outcomes. It also presents a summary of key lessons learned from program evaluations regarding each strategic outcome. These are presented under the headings of areas of UNDP strength, areas requiring improvement, and the UNDP response. The evidence base used for these findings is not, however, presented in the report.

The Administrator's report also summarizes results under four key cross cutting themes for UNDP programming: Poverty Reduction; Democratic Governance; Crisis Prevention and Recovery; and Environment and Sustainable Development.

Finally, UNDP continues to invest in strengthening RBM systems at country office level. Under the heading of Management Results, the Administrator's report for 2009 comments on these efforts:

In 2009, UNDP undertook a thorough review of 2008-2009 results-based management/budgeting experience. Lessons learned guided the improvement in 2009, and introduction in 2010, of an integrated and simplified web-based work plan, driven by development results articulated in country programme action plans. This enhanced management system and tool emphasizes focus on development outcomes, integration of lessons learned, alignment to national priorities and UNDP areas of focus, understanding of operational and political environment to deliver development results, identifying key risks, and capacity and resources available to support achievement of those outcomes. Furthermore, the internal performance management system through the balanced scorecards is being expanded and revised to continuously balance development, coordination and management results.¹³¹

In summary, it seems clear that UNDP has continued its efforts (described to the review team in 2008) to strengthen the development effectiveness component of its reporting to the Executive Board and to further link its work planning, results monitoring and performance management systems.

4.3.2 WHO

When the team visited WHO while preparing the 2009 review report, the organization was focusing considerable effort on the development and implementation of a computerized system for resource planning and management (the Global Management System) which had as one goal the alignment of program and project planning, implementation and monitoring with agency strategic objectives at a corporate, regional and national level. The system was to be based on an Oracle software platform and to be implemented in 2009 (according to interviews with WHO staff in the autumn of 2008).

¹³¹ *Ibid.*, p. 30

Since then WHO has made a very significant effort to implement the System in each of its regions and by January 2011 was able to report to its executive board that it had made “considerable progress” in implementing the system in five regions and at headquarters. The Executive Board (EB128/3) welcomed the reported progress but expressed concern that the Region of the Americas/PAHO had chosen not to implement the system. The Global Management System is to be subject to an internal audit during 2011 with the results reported to the Executive Board members in early 2012.

Available documentation on the System suggests its primary focus is still finance, administration, resource allocation planning and human resources management. It is not yet clear if the System as implemented will effectively strengthen the results management system at WHO (as posited by WHO staff in 2008).

At the same time, it is worth noting that WHO has identified a need to re-draft its Evaluation policy and to re-orient the evaluation function so that it provides better coverage of WHO programming globally and so that the role and mandate of the Office of Internal Oversight which carries out centrally planned evaluations is more clearly defined. Weaknesses in the coverage and quality of WHO evaluations were noted in CIDA’s Report of the *Pilot Test on Improving Development Effectiveness Information on Multilateral Organizations*. The WHO evaluation policy (with implications for both structure and practice) is currently being reviewed and re-defined with support from outside agencies.

4.3.3 WFP

At the time the 2009 review was being prepared, WFP had taken steps to reduce the complement of its staff assigned to support the development and implementation of RBM based on its own assessment that the function had been “mainstreamed” into the organization’s overall systems for program planning, implementation, monitoring and reporting. The review team expressed some concern at this development and noted it in the review report. This concern was echoed in the report of the External Auditor to WFP’s Executive Board (2008/EB.2/8):

The External Auditor presented his report, drawing attention to the difficulties WFP faced in measuring performance against its Strategic Objectives, monitoring project performance in terms of outcomes, and building on lessons learned and good practices. The audit had found a loss of momentum in WFP’s implementation of RBM in the field, but noted the Secretariat’s commitment to implementing the External Auditor’s recommendations... He suggested that the Board consider the role it would like to play in moving RBM implementation forward at WFP, and agreed with the concern of some Board members about the disbandment of the RBM Division. Although the External Auditor’s findings and recommendations were independent, the factual content of the report had been agreed with the Secretariat.¹³²

The Secretariat of the WFP responded to the Auditor’s report by emphasizing that the implementation of a new automated system for reporting on result (WINGS II) combined with

¹³² “Summary of the Work of the Second Regular Session of the Executive Board, 2008” Executive Board Second Regular Session, Rome, 27–30 October 2008, WFP/EB.2/2008/16, 11 February 2009, p. 8

the recent establishment of a new, dedicated RBM unit in the office of the Executive Director would address the concerns raised by the external audit report. The report of the WFP audit committee submitted to the Executive Board at its meeting in June, 2010 as it summarized implementation of the WINGS II project concluded that “some expected benefits such as improved results-based management will not be available until the end of 2010”.

A report by the Joint Inspection Unit (JIU) of the United Nations (JIU/REP/2009/7) reported that WFP had taken important steps toward improving RBM in the period from 2008 to 2010:

Through experience, WFP realized that a centralized level of organizational support was indeed needed to strengthen the RBM agenda. The loss of momentum following the closure of the RBM Division was noticed both by staff and delegates. In that spirit, the Inspectors welcome the fact that, in 2009, the mandate of a newly created Performance and Accountability Division includes the overseeing and promotion of RBM.

The Inspectors concur with WFP views that RBM has already produced a number of positive results. There is consensus among senior managers that RBM contributed to reinforcing country office capacities not only for planning and performance monitoring, but also for understanding the corporate mission. As a consequence, RBM created better awareness and comprehension among donors of project implementation and their outcomes (including reasons for less positive developments or absence of achievements), thereby enhancing relationships, which is crucial to voluntary-based funding.¹³³

Thus it seems that WFP has recognized the shortcomings in RBM resulting from the closure of the RBM Office and has gone at least some way to addressing this through the creation of the Performance and Accountability Division of the Office of the Executive Director. More improvement is expected as WINGS II is fully implemented.

4.3.4 IFAD

In 2008, IFAD was continuing to strengthen its RBM system as it implemented the Action Plan for responding to the 2005 Independent External Evaluation of IFAD (the Action Plan and its implementation were reviewed in a joint CIDA-NORAD-Netherlands review led by CIDA’s MGPD in 2008).

At that time, IFAD was working on the problem of how better to link its results monitoring and reporting systems to project development and implementation systems and to systems for monitoring the performance of staff. In a 2010 report to the Executive Board on the continued implementation of the organizational change agenda (EB 2010/101/R.48) the IFAD Secretariat commented on developments in performance management:

Management has reviewed the existing Performance system, and has made several changes. The revised Performance system, now called the Performance Enhancement

¹³³ “Review of Management and Administration in the World Food Programme (WFP)”, JIU/REP/2009/7 Yishan Zhang and Nikolay Chulkov, Joint Inspection Unit, Geneva 2009, p. 6 – 7

System (PES) instead of Performance Evaluation System, places greater emphasis on the responsibility of directors to provide objective feedback on both performance and development of staff. In addition, the Management Review Group (MRG) will provide only a single rating, together with a clear indication from the relevant director on the staff member's performance and future within the organizational unit. Finally, the performance enhancement system will become fully automated (ePES) – starting with the 2010 exercise to be completed by March 2011 – which is expected to reduce the system's transaction costs substantially.

Other performance-related changes are also under way. These include the roll-out of a new staff awards programme to recognize and reward strong individual and team performance; the revision of the 360 degree feedback form and rating system and roll-out of new in-house training modules.¹³⁴

4.3.5 Conclusions on Strengthening RBM in Four Multilateral Agencies

In summary, each in their different ways, all four of the MOs identified by the 2009 review as requiring follow up, have continued to invest in implementing different aspects of improved systems for monitoring and reporting on effectiveness. In the case of WHO and UNDP this has been mainly through efforts to strengthen electronic systems for disseminating effectiveness information to all organizational units and staff. In the case of WFP, there has been an effort to make up for lost momentum in the RBM function (with progress recognized by the Joint Inspection Unit) while IFAD has tried to move forward by better linking performance information to the staff appraisal system.

What is striking is that in all four cases it has taken somewhat longer than planned for these complex initiatives to be fully implemented and most were not expected to be fully operational until early 2011. Nonetheless, there is both an effort to improve the underlying systems which provide data to support results reporting and a willingness to include more concrete information on results in reports to the executive bodies of the agencies concerned.

4.4 Conclusions on the Effectiveness of the Multilateral Channel

The review of the multilateral channel was carried out as a follow-up to the 2009 review and reflected strengths and challenges in multilateral effectiveness. The first component was a review of the six evaluations of MOs that had been conducted by ED and other donors since the 2009 review. The second was a meta-evaluation of evaluations conducted by two MOs, which was carried out as the pilot test of a new approach to measuring development effectiveness developed in consultation with the DAC Network on Development Evaluation.

The qualitative review of multilateral evaluations found that the programs implemented by MOs continue to receive broadly positive evaluation results, especially in relation to the relevance of their programs and the achievement of stated program objectives. Global programs and facilities continue to foster global and national support and policy coordination

¹³⁴ “Update on change and reform implementation Progress report on IFAD's operations, Strategic Framework, Medium-term Plan, human resources reforms and other change initiatives”, IFAD, EB 2010/101/R.48, 6 December 2010, P. 10 – 11

for addressing global challenges in health and the environment. A majority of the programs and projects the MOs support achieve outcomes rated as satisfactory or better. In addition, there have been achievements in the global system for providing humanitarian relief during disaster, with respect to the timeliness of emergency responses and improved coordination. There have also been results with respect to organizational effectiveness, through the joint donor support for strengthening the strategic direction and management of UNHCR, strengthening support for *La Francophonie*, strengthening RBM systems and achieving some successes in meeting Canadian objectives. On the other hand, there continues to be challenges for these MOs in coordination, strengthening systems for monitoring results and sustaining resource flows to implement their global mandates.

The meta-evaluation reported on the development effectiveness reported in the evaluations of the ADB and WHO. WHO and ADB are achieving effectiveness levels similar to those recorded for the multilateral channel as a whole during the 2009 review. The 2009 review reported that 71% of the evaluations drawn from across the multilateral channel rated objectives achievement as satisfactory or highly satisfactory. The recent meta-evaluation found that 68% of ADB evaluations reported objectives achievement as satisfactory or better, while the figure for the WHO was 71%. The evaluations reflected positive results with respect to relevance, in terms of alignment with national development goals, but less well on the sustainability of the program in meeting the needs and priorities of target group members. There were also mainly positive results with respect to the achievement of objectives and positive change for beneficiaries. There was a challenge in assessing the performance of WHO because of the limited coverage of the available evaluations. Where there were sufficient evaluations, WHO had similar ratings to the ADB with respect to objectives achievement, and positive impacts and better results with respect to relevance.

In the *2009 Review of the Effectiveness of CIDA's Multilateral Delivery Channel*, four MOs were identified as requiring follow-up (UNDP, WHO, WFP and IFAD). They have all continued to invest in implementing different aspects of improved systems for monitoring and reporting on effectiveness. However it is notable that, in all four cases, it has taken longer than planned for these complex initiatives to be fully implemented and most were not expected to be fully operational until early 2011. Nonetheless, there is both an effort to improve the underlying systems and a willingness to include more concrete information on results in reports to the agencies' executive bodies.

5. CONTINUING EFFORTS TO IMPROVE AID EFFECTIVENESS

The information in the preceding sections provides a picture of the effectiveness of CIDA's Gs&Cs, based on evaluations of investments that were mostly designed well before 2010. As such, they do not necessarily reflect the recent and ongoing improvements to enhance the Agency's aid effectiveness. There are a number of initiatives worthy of note and these are discussed in this section.

In addition to the 2006 Gs&Cs and 2009 multilateral channel reviews of CIDA's aid effectiveness and the 2007 Budget commitment towards increased aid effectiveness, transparency and accountability, two significant reports in the past five years have closely examined Canada's provision of ODA and identified strengths and challenges:

- The Development Assistance Committee (DAC) peer review conducted in 2007;¹³⁵ and,
- The report of the Office of the Auditor General (OAG) on CIDA's aid effectiveness agenda in 2009.¹³⁶

The key challenges that Canada and CIDA, specifically, were facing in providing effective aid can be grouped under the following recurring themes:

- The lack of a legal mandate or governing legislation that informs and guides CIDA's work;
- The lack of targeting or focusing of aid;
- The lack of an assessment of the effectiveness of CIDA's use of PBAs;¹³⁷
- The highly centralized nature of CIDA's organizational structure; and,
- Gaps in CIDA's communication and education strategies.

CIDA has addressed the factors within its control to improve aid effectiveness. These improvements are discussed in greater detail in the following sections.

5.1 Follow-up to Previous Reviews of CIDA

This section presents a summary of the recommendations from four major reports and the resulting changes at CIDA.

2006 Review of the Evidence of Effectiveness of CIDA's Grants and Contributions

The 2006 review of the effectiveness of CIDA's Gs&Cs identified some challenges that were subsequently addressed in follow-up action by CIDA. The review noted a lack of consistency in management across the Agency and challenges with the quality of programming (including quality at entry, quality during implementation, consistent application of existing tools such as results-based management (RBM), monitoring and evaluation frameworks etc.).

¹³⁵ "Canada Development Assistance Committee (DAC) Peer Review", Organisation for Economic Co-operation and Development, 2007

¹³⁶ "Report of the Auditor General of Canada to the House of Commons Fall 2009", "Chapter 8 Strengthening Aid Effectiveness – Canadian International Development Agency" Office of the Auditor General of Canada

¹³⁷ This was also a condition of the TB's approval of CIDA's Gs&Cs in 2007.

CIDA reported on the follow-up to this review in an executive report in 2008.¹³⁸ In that report, CIDA indicated that it had accepted all recommendations of the review and that it was still working on the recommendation with respect to greater complementarities across delivery channels, which was subsequently addressed by the “Whole-of-Agency” CDPF preparation process. The report’s major recommendations and CIDA’s resulting actions are summarized below in Exhibit 5.1.

Exhibit 5.1: CIDA’s Progress from the 2006 Review

Recommendations	CIDA’s Progress
<ul style="list-style-type: none"> ➤ Increase emphasis on RBM and greater focus and clarity of expected results. 	<ul style="list-style-type: none"> ✓ Created the Performance Management Division to catalyze the integration of performance management into all programming and updated policy on RBM in 2008; and ✓ Improved performance management and enhanced the clarity of expected results by revising and creating key documents such as the Risk and Results-Based Management Accountability Framework (RRMAF), developing tools such as the Investment Monitoring and Reporting Tool (IMRT) and the Program Monitoring and Reporting Tool (PMRT), introduced in 2010, and putting in place a knowledge sharing website to support the preparation of CDPFs.
<ul style="list-style-type: none"> ➤ Better complementarity across delivery channels with better coordination and alignment to program objectives, with clearly defined roles and responsibilities. 	<ul style="list-style-type: none"> ✓ Updated the CDPF guidelines to further reflect aid effectiveness principles and to better integrate different activities, across delivery channels, as a reflection of specific country circumstances; ✓ Created a PBA Policy (in early 2008); and ✓ Developed a policy on Fiduciary Risk Assessment and a matching tool for programming.
<ul style="list-style-type: none"> ➤ Improved integration of the cross-cutting themes of gender equality and the environment. 	<ul style="list-style-type: none"> ✓ Conducted evaluation of the implementation of CIDA’s Policy on Gender Equality; ✓ As a result of the evaluation, created a Gender Equality Action Plan which requires that gender equality be explicitly and systematically integrated into all of CIDA’s policies, programs and investments; and ✓ Provided standardized guidance on recording gender equality and environmental issues in CIDA’s Corporate Investment Coding Guide;
<ul style="list-style-type: none"> ➤ Implement the new evaluation policy including strengthening decentralized evaluations and 	<ul style="list-style-type: none"> ✓ Implemented CIDA’s 2005 Evaluation Policy, including creating costed, rolling five-year evaluation work plans. Presently in process of approval for updated 2011 Evaluation Policy; ✓ Conducted a second meta-evaluation of program-led evaluations; and

¹³⁸ “Executive Report on the Follow-Up to Evaluation Recommendations 2004-06”, Evaluation Directorate, Performance and Knowledge Management Branch, Canadian International Development Agency, March 2008

Recommendations	CIDA's Progress
encouraging the identification and dissemination of lessons learned.	✓ Drafted a strategy and work plan for the dissemination of evaluation knowledge as a part of CIDA's wider learning agenda, currently in process of approval.
➤ Reduction of rapid staff turnover.	✓ Realigned Human Resources and Corporate Services Branch programs with CIDA's business needs, mainly the performance management and the learning plan, and implementation of key recommendations related to staff recruitment and development in line with the new <i>Public Service Modernization Act (PSMA)</i> .

2009 Review of the Effectiveness of CIDA's Multilateral Delivery Channel

Similarly, the 2009 review of multilateral programming identified recommendations based on the most important factors that contributed (either positively or negatively) to the achievement and sustainability of development and humanitarian objectives by MOs supported by CIDA. The 2009 review's recommendations and CIDA's resulting actions are summarized below in Exhibit 5.2.

Exhibit 5.2: CIDA's Progress from the 2009 Multilateral Review

Recommendations	CIDA's Progress
<ul style="list-style-type: none"> • Develop a concise organizational strategy for each multilateral organization where significant funding is channelled, with a view to providing more clarity to the organization on CIDA's goals and expectations. 	<ul style="list-style-type: none"> • Developed strategies for support for each of CIDA's 18 key MOs within the context of <i>CIDA's Multilateral Effectiveness Strategy 2010-2013</i>.
<ul style="list-style-type: none"> • Explore with other bilateral donor agencies the feasibility of undertaking a similar review of evaluations for assessing the effectiveness of individual multilateral organizations. Any resulting proposed approach should build on work undertaken under the MOPAN Common Approach. 	<ul style="list-style-type: none"> • Supported the Common Approach (MOPAN) to assessing MOs organizational effectiveness; • Led pilot study approach, now endorsed by the DAC's Network on Development Evaluation, to use a synthesis of evaluation results to determine MOs development effectiveness. This approach is complementary with the MOPAN Common Approach; and • Undertaking joint evaluations to determine development effectiveness of MOs.
<ul style="list-style-type: none"> • Continue to underscore to multilateral institutions the importance of strengthening systems for managing for effectiveness, including RBM, evaluation and effectiveness reporting. 	<ul style="list-style-type: none"> • Developing and promoting a new approach to measuring MOs development effectiveness; and • Provided consistent impetus to MOs to

Recommendations	CIDA's Progress
	encourage RBM, evaluations and effectiveness reporting by incorporating these factors in the CIDA MO strategy.
<ul style="list-style-type: none"> Encourage UN agencies to improve their capacity to provide quality assurance and technical assistance to improve the quality of decentralized evaluations. 	<ul style="list-style-type: none"> Supporting MOs to strengthen their decentralized evaluation systems.
<ul style="list-style-type: none"> Place strong emphasis on programming factors which evaluations indicate are strongly linked to increased effectiveness when it engages in providing core funding, supporting specific initiatives or providing multi-bilateral support. 	<ul style="list-style-type: none"> For those MOs for which CIDA provides core funding, encouraging MO evaluations to focus on key factors that contribute to effective programming.

2007 Canada DAC Peer Review

The 2007 DAC Peer Review provided 18 recommendations for Canada, some of which were out of CIDA's direct control. The DAC is undertaking another Peer Review of Canada in 2011, which will provide a comprehensive update on Canada's progress since the last review. Summaries of some of CIDA's actions in response to the 2007 review are provided below. Recommendations fully outside of CIDA's control, for example, about the policy coherence for development and deciding on a whole-of-government approach, are not listed below in Exhibit 5.3.

Exhibit 5.3: CIDA's Progress from the 2007 DAC Peer Review

Recommendations within CIDA's control	CIDA's Progress
<p>Overall framework and new orientations:</p> <ul style="list-style-type: none"> Develop a clear, simple and consistent vision for development assistance; Broaden perspective on aid effectiveness to strengthen the focus on outcomes in partner countries; Integrate environmental sustainability more systematically into programming; and Develop a communications strategy that strengthens outreach to the public and promotes a wider understanding of the efforts and outcomes of development co-operation and of the reform agenda 	<ul style="list-style-type: none"> CIDA's <i>Strategic Planning and Reporting Framework</i>, adopted in June 2009, lays out CIDA's mandate, mission and the results CIDA aims to achieve, making the "reduction in poverty for those living in countries where CIDA engages in international development" CIDA's strategic outcome. CIDA's <i>Aid Effectiveness Action Plan</i> guides the implementation of key commitments under the Paris Declaration on Aid Effectiveness and the Accra Agenda for Action to make aid more effective by outlining a set of clear actions and measurable targets. CIDA has established a <i>Corporate Communications Framework and Workplan 2011–2014</i>, to demonstrate transparency and accountability, share results, and communicate

Recommendations within CIDA's control	CIDA's Progress
embodied in the Paris Declaration.	CIDA field and partner stories.
<p>ODA Distribution:</p> <ul style="list-style-type: none"> • Allocate aid in fewer countries on the basis of development criteria that maintain the focus on reducing poverty and give greater predictability to aid partners. Specify the list of core countries and priority sectors for international development assistance; and • Step up efforts to be more strategic in allocating multilateral aid and harmonize its own initiatives for multilateral aid effectiveness with existing frameworks, such as the Multilateral Organization Performance Assessment Network 	<ul style="list-style-type: none"> • Identified 20 countries of focus (and committed to spending 80% of bilateral aid there by 2010/11) as well as on three thematic priorities (sustainable economic growth, children and youth and food security) to guide programming efforts. Actual disbursements in countries of focus in 2010/11 was 88%. • CIDA's 2009 multilateral review noted that CIDA's core funding is highly focused (with 95 percent going to 15 organizations). The review enabled CIDA to determine which multilateral organizations are the most effective and most closely aligned with Canadian priorities, and to reprioritize programming accordingly.
<p>Organization and Management</p> <ul style="list-style-type: none"> • Review organization and consider adapting structures that enable increased management and financial authority to field directors/heads of aid; • Provide appropriate incentives to strengthen commitment in implementing the Paris Declaration and commit firmly to working with other donors at field level; • Streamline and simplify monitoring and reporting system for results-based management as part of its performance management reforms; • Canada should encourage strategic approaches to capacity development, working together with other donors to strengthen partner countries' ability to formulate and coordinate their own capacity development frameworks and technical assistance needs; and • Build on IDRC's unique approach to capacity building in developing countries; draw further on the IDRC's research to enhance its 	<ul style="list-style-type: none"> • CIDA is increasing its field presence in a phased plan, with the management of some geographic programs already decentralized, and others in progress. • CIDA's <i>Aid Effectiveness Action Plan (2009-2012)</i> puts accountability at the forefront by making aid effectiveness commitments a mandatory component of executive management performance agreements. This has created an incentive to deliver on aid effectiveness objectives and encourages widespread focus on domestic and international commitments to aid effectiveness. • CIDA's <i>Results-Based Management Policy Statement</i> updated in May 2008 streamlines and simplifies its monitoring and reporting system for RBM. It also aligns and harmonizes CIDA's RBM terminology with that used by the Treasury Board and the international donor community. • The <i>Aid Effectiveness Action Plan (2009-2012)</i> underscores capacity and institutional development in order to strengthen country systems. • Increased collaboration with IDRC, including on a number of research initiatives. For example, CIDA and IDRC jointly hosted the

Recommendations within CIDA’s control	CIDA’s Progress
policy formulation and evidence-based programming.	International Forum of Research Donors (IFORD) annual meeting in April 2009.
Humanitarian Action: <ul style="list-style-type: none"> • Consider untying its emergency food aid entirely. 	<ul style="list-style-type: none"> • In 2008, the Minister of International Cooperation announced that Canada would untie 100% of its food aid within the year to improve the food aid’s speed, effectiveness and efficiency.

2009 Fall Report of the Auditor General of Canada

The report of the Office of the Auditor General noted that CIDA’s selection of projects for funding is consistent with principles of aid effectiveness and CIDA is well-regarded in the field and is working collaboratively with other donors to harmonize its efforts with those of other donors. The report, however, was critical of the lack of clear direction and action plans, the lack of focus and the broadly defined and shifting priority sectors.

At the time of the audit, the Agency was in the process of completing the Aid Effectiveness agenda, and was developing a new planning process and country strategy documents. In addition, many weaknesses identified by the OAG were traced to a lack of corporate management processes to guide and monitor the implementation of CIDA’s aid effectiveness commitments. “The Agency’s early intentions were not matched with specific action plans and follow-through, and it has yet to develop a comprehensive strategy for implementing its commitments. In addition, frequent changes in policy direction and substantial turnover of senior personnel in recent years have posed significant challenges for CIDA’s aid effectiveness agenda.”¹³⁹

Since then, CIDA has implemented most of the audit’s recommendations, as reflected in its 2011 updated response. The recommendations and CIDA’s resulting actions are summarized below.

Exhibit 5.4: CIDA’s Progress from the 2009 Report of the Auditor General

Recommendations	CIDA’s Progress
To support the use of PBAs, CIDA should set clear performance targets regarding how much of its aid should be delivered through these approaches. <ul style="list-style-type: none"> • To support the use of PBAs, CIDA should • define the specific conditions under which it will or will not participate in such approaches; 	<ul style="list-style-type: none"> • CIDA finalized an Aid Effectiveness Action Plan, which identified measurable actions with accompanying targets for aid effectiveness commitments, including PBAs. • CIDA implemented a Policy on PBAs in July 2009, which articulates the circumstances under which it is appropriate to use PBAs. The policy is supported by tools to assess the capacity of national systems to better identify

¹³⁹ “Report of the Auditor General of Canada to the House of Commons Fall 2009”, p. 3

Recommendations	CIDA's Progress
<ul style="list-style-type: none"> • clarify the types of assessments of national systems and capacities, as well as of project-related risks, it requires to have undertaken, alone or in collaboration with other donors, prior to agreeing to use a program-based approach; and • institute processes to ensure the systematic and uniform application of such assessments 	<p>and manage project-related risks.</p> <ul style="list-style-type: none"> • CIDA has also established a Geographic Programs Branch Investment Review Committee to ensure rigor, consistency and coherence across GPB for project design and implementation. • As per CIDA's updated Business Process Roadmap and in compliance with the requirements of TB Transfer Payment Policy, all new PBA initiatives will be required to complete a risk register at point of approval, taking into account institutional capacity of the recipient. • Lastly, CIDA instituted a process to ensure the systematic and uniform application of the assessment tools.
<ul style="list-style-type: none"> • CIDA should undertake a comprehensive evaluation of its use of program-based approaches with a view to determining whether they are achieving the Agency's goals. 	<ul style="list-style-type: none"> • CIDA has completed an evaluation of PBAs that assesses the effectiveness of these approaches in contributing to the Agency's achievement of its goals. Approved by the President on the advice of CIDA's Evaluation Committee and submitted to the TBS by March 31, 2010, the evaluation is available on the Agency's website.
<p>To ensure transparent and predictable long-term planning, CIDA should</p> <ul style="list-style-type: none"> • finalize the new planning process for all countries included within its Geographic Programs Branch; • ensure that future planning is based on sound analysis, taking into account recipient country needs and capacities and CIDA's relative strengths, and reflects an integrated whole-of-Agency perspective; • provide ongoing oversight of the process's application and renew country plans, under defined and monitored conditions; and • communicate approved country plans to development partners, including recipient governments, as appropriate. 	<ul style="list-style-type: none"> • The Minister has approved Country Strategies for 2009-10 to 2013-14. • The President has approved: • CDPF Guidelines with specific guidance for analysis of recipient country needs; • communication of CDPF guidelines to CIDA staff; and, • the new country program planning process, including Country Strategy, CDPF process, and its oversight.
<p>To achieve greater sectoral focus CIDA should</p>	<ul style="list-style-type: none"> • In 2009, the Government of Canada identified five thematic priorities to guide its

Recommendations	CIDA's Progress
<ul style="list-style-type: none"> • clarify, for each of its priority sectors, the specific programming areas that it will support in the future as well as those that it will not; • set measurable expectations and targets for country programs to achieve; and • monitor and report on progress against these expectations and targets. 	<p>international assistance decisions. CIDA announced that it would focus its development investments on three of these priorities: food security, children and youth and sustainable economic growth.</p> <ul style="list-style-type: none"> • Following extensive consultations in Canada and in focus countries, the Agency completed Agency-wide strategies for each of the thematic priorities to inform program decisions - Food Security (October 2009); Children and Youth (November 2009); Sustainable Economic Growth (October 2010). All of the strategies have been released publicly.
<p>To support achieving sector focus and building its relative strengths, the Canadian International Development Agency should</p> <ul style="list-style-type: none"> • define the skills and expertise it requires to support its priority sectors and specific programming areas; and • determine and implement the means it will use to provide those skills and expertise. 	<ul style="list-style-type: none"> • In 2008/09 the Strategic Policy and Performance Branch and Geographic Programs Branch undertook a number of organizational changes to enhance and ensure the right capacity and skills-mix of its in-house specialists, thereby enabling the Agency to support effective policy development and program delivery.
<p>The Canadian International Development Agency should establish and implement a comprehensive strategy for achieving its aid effectiveness commitments. To ensure that such a strategy can withstand changes in personnel and the passage of time, the Agency should</p> <ul style="list-style-type: none"> • clearly document action plans, targets, and performance indicators; • assign clear accountability for their implementation; • evaluate and monitor progress against targets and performance indicators on an annual basis; and • communicate its strategy publicly and report on its implementation externally, as appropriate. 	<ul style="list-style-type: none"> • CIDA's <i>Aid Effectiveness Action Plan</i> consolidates guidance for meeting the CIDA's commitments to aid effectiveness. It is applicable to all of the Agency's programs, as well as corporate and policy functions, and has been communicated throughout the Agency. "Accountability and Monitoring Guidelines" clarify accountabilities and tracking methodology for each action and target of the plan.

5.2 Clearer Strategic Direction, Planning and Reporting

Over the past few years CIDA has implemented extensive measures to provide clearer, more

focused and stable direction for its aid, with a clearer focus on development results. These initiatives are consistent with the principles of the 2005 Paris Declaration on Aid Effectiveness, which provides the guiding framework for like-minded donors. Beginning at the most strategic levels, CIDA has driven a more focused, results-based policy framework, which has been translated into renewed planning processes.

CIDA's mission is "to lead Canada's international efforts to help people in poverty and in crisis build better lives for themselves and for their communities."¹⁴⁰ The Agency has one strategic outcome – reduction in poverty for those living in countries where CIDA engages in international development.¹⁴¹ Previous strategic documents have also included outcomes that were means to an end, rather than ends in themselves. Similarly, the Agency's PAA was revised to provide a greater results focus to this key framework document. The new PAA identifies six program activities (Fragile countries and crisis-affected communities; Low-income countries; Middle-income countries; Global engagement and strategic policy; Canadian engagement; and Internal services). Expected results and performance indicators are identified for each program activity to enhance aid delivery and report on aid effectiveness.

Countries and Thematic Priorities

In 2009, CIDA announced that in order "to achieve effectiveness in delivering its international aid, Canada is focusing its efforts geographically and thematically."¹⁴² The Agency developed an *Aid Effectiveness Action Plan* in 2009 (with accompanying targets for aid effectiveness) and moved to focus its aid on 20 countries (includes four fragile states).¹⁴³ In that plan, CIDA committed that, by 2010/11, 80% of all geographic country program funding will go to these 20 countries. The remaining 20% would go to 21 other countries (referred to as countries of modest presence). In fact, by the summer of 2011, CIDA's preliminary estimates were that in 2010/11, 88% of CIDA's geographic program aid went to the 20 countries of focus (see Exhibit 5.5). It also estimated that, as a further indication of the concentration of programming, the number of country programs declined from a high of 89 in 2000/01 to 49 in 2010/11.

In addition to the geographic focus, CIDA is focusing its aid on three thematic priorities:

- Increasing food security;
- Stimulating sustainable economic growth; and,
- Securing the future of children and youth.

While these thematic priorities are fairly broad in scope, allowing for a wide range of investments, this broad scope gives CIDA the flexibility to align its programming with that of its partner countries and other donors.

¹⁴⁰ Report on Plans and Priorities, For the period ending March 31, 2011, CIDA, p. 2

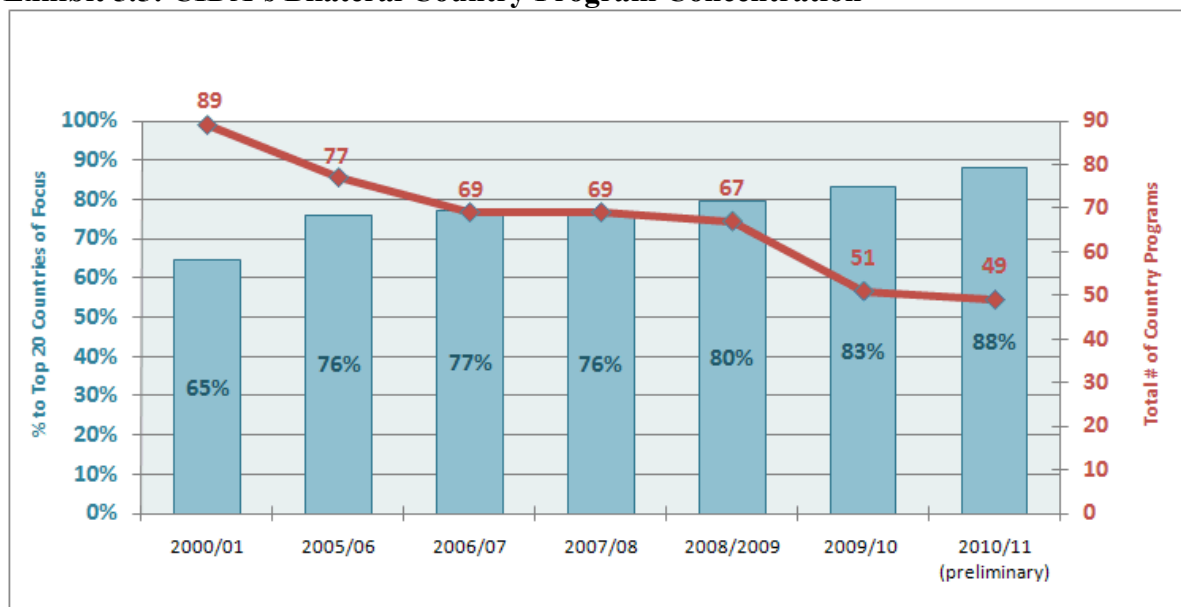
¹⁴¹ *Ibid.*

¹⁴² "Aid Effectiveness Agenda", <http://www.acdi-cida.gc.ca/acdi-cida/ACDI-CIDA.nsf/eng/FRA-825105226->

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¹⁴³ The 20 countries of focus were selected on the basis of country needs, the ability to benefit meaningfully from Canada's assistance and alignment with Canada's foreign policy.

Exhibit 5.5: CIDA’s Bilateral Country Program Concentration



Source: CFOB Statistics, CIDA, August 2011

5.3 Organizational, Operational and Management Changes at CIDA

The establishment of a clearer and more stable direction for the Agency has been supported also by changes in the organizational context. The OAG expressed concern about shifting priorities and the lack of stability in senior leaders at CIDA. By laying out its commitments and revising its programming approaches and processes (as in the *Aid Effectiveness Action Plan*), CIDA is institutionalizing its direction and reducing the chances of unanticipated disruptions.

Changes in bilateral operations

In 2008/09, CIDA amalgamated the separate geographic branches into one Geographic Programs Branch (GPB). GPB serves as the focal point for country-based operations. This has facilitated the development of a clearer direction for the geographic programs and the integration of the various systems for program planning and reporting. The amalgamation has allowed GPB to consolidate its specialists and develop a new operational business model. As well, GPB has conducted a gap analysis and implemented a human resources plan, including recruitment, training and retention strategies to address identified gaps.

In order to strengthen its planning at the country level, CIDA has developed Country Strategies for each of its countries of focus, as well as the countries of moderate presence. At the same time the Agency was revising and/or developing the Country Development Programming Frameworks (CDPFs).¹⁴⁴ These were being developed in parallel with the Country Strategies and, as a result, there is some mis-match between the two documents. However, this will be resolved in subsequent rounds of Country Strategies and CDPFs. The Country Strategies will be reviewed annually to identify any significant changes to the

¹⁴⁴ CIDA has had CDPFs for a number of years but, as noted in the OAG audit, a number had expired and had not been maintained or renewed.

country's development context and program performance. In addition, CIDA is now preparing annual country-level reports, based on a self-assessment of the extent to which the Country Program is meeting its objectives and milestones.

Changes in multilateral operations

CIDA has also undertaken initiatives to focus its multilateral programming. Multilateral and Global Programs Branch (MGPB), which serves as the focal point in CIDA's dealings with multilateral organizations, developed *Strategies for Engagement 2010-2013* for its 18 main multilateral partners: African Development Bank (AfDB), Asian Development Bank (ADB), Caribbean Development Bank (CDB), Inter-American Development Bank (IDB), World Bank, Consultative Group on International Agricultural Research (CGIAR), Global Environment Facility (GEF), International Fund for Agricultural Development (IFAD), Commonwealth, *La Francophonie*, United Nations Development Programme (UNDP), United Nations Population Fund (UNFPA), United Nations Children's Fund (UNICEF), Office of the United Nations High Commissioner for Refugees (UNHCR), World Food Programme (WFP), World Health Organization (WHO), Joint United Nations Programme on HIV/AIDS (UNAIDS), and Global Fund to Fight AIDS, Tuberculosis and Malaria (GFATM).

The *Strategies for Engagement 2010-2013* were approved by the Minister of International Cooperation in November 2010 and shared with relevant desks across the Agency. Specifically, they describe Canada's relationship with the multilateral institutions and specific contributions to the institutions. They provide an overview of the relevance of the organization's mandate, goals and operations to CIDA's development objectives and thematic priorities. They also examine institutional effectiveness and delivery of development gains. Strategic objectives and supporting actions for CIDA's engagement with the institutions are also outlined.

The strategies are guided by *CIDA's Multilateral Effectiveness Strategy 2010-2013*, which ensures a coherent approach to these commitments with a view to advancing CIDA's international assistance priorities and to deliver aid and humanitarian assistance. *CIDA's Multilateral Effectiveness Strategy 2010 – 2013* also sets out CIDA's strategic directions for achieving development results through multilateral and global organizations. It outlines the overall objectives for enhancing the effectiveness of Canada's multilateral engagement as well as the strategic directions that the Agency will undertake to achieve these objectives.

Changes in partnership operations

Changes have also occurred in the branch managing CIDA's partnership programs with Canadian partners. These changes go beyond a name change – from Canadian Partnership Branch (CPB) to Partnerships with Canadians Branch (PWCB). The new PWCB has the mandate to:

- Serve as the CIDA focal point for relationships with Canadian organizations;
- Support initiatives of Canadians that align with government development priorities and will deliver strong development results;

- Support multi-country or multi-region programmatic approaches; and,
- Enable Canadians to participate in international development through support of strong development programs involving Canadian volunteers or interns.

These changes reflect a different approach to developing projects with Canadian partner organizations. In the past, CIDA allowed for a continuous intake of projects – projects that met the CPB criteria were funded, within available resources. Under the new approach, programming has become more directive to ensure that it is in line with CIDA priorities and has been consolidated under two new results-focused programs: Partners for Development Program and Global Citizens Program.

CIDA now issues calls for proposals to ensure the best partners and projects are selected, in order to ensure that the “partnership” relationship is dynamic and is not guaranteed to continue if CIDA or its partners’ priorities change. A new decision framework has been implemented to streamline and standardize the assessment process. It is based on the five partnership principles of sound governance, support of Canadians, relevance to CIDA mandate and coherence with Government of Canada policy, results and development effectiveness.

It is expected that these changes will result in greater motivation for Canadians to get involved in international development, an increased focus on poverty reduction results in the field, clearer expectations for CIDA and Canadian partners, increased emphasis on the partnership between the Canadian and local partners and improved knowledge creation and dissemination.

Cross-cutting themes

The Agency has confirmed the three cross-cutting themes of gender equality, strengthening governance institutions and environmental sustainability and has invested considerably in these themes over three to five years (see Exhibit 5.6). CIDA’s *Gender Equality Policy and Tools: CIDA’s Policy on Gender Equality* requires gender to be explicitly and systematically integrated into all of its policies, programs, and investments.¹⁴⁵ However, as noted in Section 2.2, these gender equality-related investments are not always properly recorded. As a result, the information in Exhibit 5.6 may underreport CIDA’s investment in gender equality. CIDA will continue to implement these themes throughout its investments.

¹⁴⁵ *Gender Equality Policy and Tools: CIDA’s Policy on Gender Equality*, CIDA, 2010

Exhibit 5.6: Percent of CIDA Disbursements to Cross-cutting Themes, 2005/2006 to 2010/2011

	2005/ 2006	2006/ 2007	2007/ 2008	2008/ 2009	2009/ 2010	2010/ 2011
Gender equality	54%	48%	54%	55%	64%	65%
Environmental sustainability (cross-cutting)				11%	21%	23%
Participatory development and good governance				28%	30%	35%

Source: Statistical Database, prepared by: Statistical Analysis and Reporting, CFO Branch.

Note:

- (1) Gender includes projects coded as "specific" "integrated" and "limited."
- (2) Environmental sustainability and Participatory development and good governance policy-marker coding became mandatory in FY 2008-09 for all new projects entered into SAP, therefore not all projects for which the disbursements are included above were subject to the mandatory Policy Marker coding. The above includes "significant" or "principal" disbursements on projects. The definitions of the policy markers are found in the "Corporate Investment Coding Guide," Strategic Monitoring Unit, Strategic Planning Division, 10 August 2011.

5.4 Improved Efficiency at CIDA

CIDA has undertaken a number of initiatives to improve the efficiency of its aid. It has responded to recommendations of the OAG with respect to improving its long-term planning processes, mechanisms for managing risk, and clarifying the requirements for the use of PBAs. It is also in the process of untying aid and implementing a Business Modernization Initiative (BMI), which includes decentralizing program staff.

In 2009, CIDA announced its three thematic priorities: increasing food security, stimulating sustainable economic growth and securing the future of children and youth. In the same year, it launched its *Aid Effectiveness Action Plan*. In order to strengthen its planning at the country level, in line with the action plan, CIDA has developed Country Strategies for each of its countries of focus, as well as the countries of moderate presence. At the same time the Agency was revising and/or developing the Country Development Programming Frameworks (CDPFs).

The quantitative assessment of effectiveness noted that one of the lowest rated indicators with respect to program management was "timely corrective action taken when needed." This has reportedly been an ongoing problem with respect to risk management at CIDA. An OAG report in 1999 identified that CIDA is good at assessing the risks, but not as good at making the necessary changes to manage the risks.¹⁴⁶ This issue potentially limits the achievement of long-term development outcomes. In 2011, CIDA introduced a Fiduciary Risk Evaluation Tool (FRET), with the goal of reducing risk aversion and moving towards risk management. FRET standardizes fiduciary risk assessment across the Agency and allows risk to be tracked

¹⁴⁶ 1999 November Report of the Auditor General of Canada, Chapter 28—Canadian International Development Agency—Financial Controls Over Projects

over time. It is expected to strengthen corporate memory and promote collaboration, and ultimately contribute to accountability and support aid effectiveness.

Also in 2009, the Agency developed a PBA policy to outline the circumstances in which it is appropriate to use PBAs to increase the effectiveness of CIDA's aid. It clearly states CIDA's commitment to strengthening the effectiveness of its aid through the implementation of the principles of local ownership, alignment, donor harmonisation and coordination, managing for results and mutual accountability.

Canada's decision to untie aid is also consistent with its Paris Declaration commitments. CIDA has already untied 100% of its food aid. In 2007, 87% of CIDA's bilateral ODA was untied, but the most recent global report on progress towards achieving the Paris Declaration principles indicates that, as of 2009, Canada had untied 100% of its bilateral aid.¹⁴⁷ This is well above the average donor country percentage of 88%. Other countries for which 100% of bilateral aid was untied in 2009 included Australia, Ireland, Netherlands, Norway, Sweden, and the United Kingdom.¹⁴⁸

The Agency is undertaking a Business Modernization Initiative that is expected to streamline CIDA's processes in support of CIDA's aid effectiveness agenda. There are four main components to the BMI: a focus on aid effectiveness (establishment of country and thematic foci and country and thematic strategies); business process engineering (including program strategy development and investment decision-making); workforce management; and decentralization.

Decentralization includes the transfer of CIDA staff to the field. The OAG's report noted that only 132 Canada-based staff were located in the field, while 1,852 were based at headquarters. The DAC review noted also that CIDA was a leader in the decentralization of operations until 2002 when budget cuts ended this practice.¹⁴⁹

Consistent with the direction outlined in Budget 2007,¹⁵⁰ CIDA is moving to decentralize staff and functions to field offices and transfer authorities to field teams in countries of focus (except those in fragile states), in order to allow the organization to be more responsive to local conditions and partners. In these countries, there will be a full-service program hub headed by a program director and smaller spoke offices, in countries of modest presence, managed from the hubs. In addition, there will be regional service centres to provide financial and administrative support and technical expertise to decentralized offices. The roles and responsibilities will be structured and staff will receive training to ensure that they are able to implement effectively the Paris Declaration and the Accra Agenda for Action. In February 2010, CIDA received Ministerial approval for the decentralization of five country programs: Bangladesh, Caribbean, Ghana, Tanzania and Ukraine, with implementation in the summer of 2011.¹⁵¹ Decentralization to offices in the remaining non-fragile state countries is underway.

¹⁴⁷ OECD DAC Working Party on Aid Effectiveness. *Aid Effectiveness 2005-10: Progress in Implementing the Paris Declaration*, p. 154..

¹⁴⁸ *Ibid*

¹⁴⁹ "Canada Development Assistance Committee (DAC) Peer Review", p. 46

¹⁵⁰ Canada, Department of Finance, Budget Plan (Budget 2007), Chapter 6, p. 262.

¹⁵¹ "Decentralization Implementation Plan", CIDA, May 31, 2010.

5.5 Strengthening CIDA's Accountability

CIDA undertook a number of initiatives to strengthen its accountability, influenced by external and internal factors. Key among external factors was the passage of the *Official Development Assistance Accountability Act*, which came into force in June 2008. It states that ODA expenditures must contribute to poverty reduction, take into account the perspectives of the poor, and be consistent with international human rights standards. The *Act* also identifies three groups (governments, international agencies and Canadian civil society organizations) that must be consulted at least once every two years as part of the decision-making process with respect to ODA expenditures, and specifies that the Ministers who are responsible for ODA (including CIDA) must prepare an annual report to Parliament on ODA results – the *Development for Results* report. CIDA's first report was prepared in 2009.¹⁵²

As noted above, there is a clearer results focus in CIDA's revised PAA and a commitment to regular review of, and reporting on, the new Country Strategies. In addition, Accountability and Monitoring Guidelines were developed for CIDA's Aid Effectiveness Plan.¹⁵³ These guidelines identify specific actions, deliverables, targets and accountabilities for countries of focus, in the following areas: focus, efficiency, accountability, predictability, alignment, inclusive partnerships and fragile states.

An evaluation of CIDA's PBAs was conducted in 2010 and the new CIDA PBA policy also commits to the regular conduct of audits and evaluations of country programs that involved PBAs and the use of lessons learned from these reviews to improve the management of ongoing PBAs, as well as influence CIDA's contribution to future PBAs.¹⁵⁴

The DAC Mid-Term Review noted that CIDA has improved accountability by consolidating "some of its internal results-based management and reporting procedures so that the way these requirements filter down to project and programme staff has been streamlined. For example, annual project monitoring reports are now, on average, a third of the length they were in 2007, because information requirements and processes are better aligned."¹⁵⁵

CIDA has also harmonized its measurement of multilateral organization effectiveness through participation in joint approaches such as the Multilateral Organisation Performance Assessment Network (MOPAN). The DAC update on its peer review of Canada's aid noted "Although in 2009 CIDA conducted its own bilateral review of multilateral organizations it has since made a proposal to develop a joint donor approach to assessing multilateral effectiveness – indicating a willingness to work jointly with other donors in the future. This proposal is being considered amongst members of the DAC Evaluation Network." Work on CIDA's engagement in joint assessments of multilateral organizations has continued and details are provided in Section 5.6.

In addition, CIDA has moved to strengthen its evaluation function. CIDA maintains its split centralized and decentralized function, since it continues to believe that the two functions

¹⁵² "Development For Results 2009", CIDA

¹⁵³ "CIDA'S Aid Effectiveness Action Plan (2009 - 2012), Accountability and Monitoring Guidelines"

¹⁵⁴ "Policy On Program-Based Approaches", Canadian International Development Agency, 2009, p. 7

¹⁵⁵ "DAC Mid-term Review of Canada: Letter from Richard Care", November 25, 2009, p. 3 – 4

provide a mutual supporting role in assessing aid effectiveness – with the corporate function providing a high-level, strategic overview of aid effectiveness and the decentralized function providing the detailed assessments and lessons learned to support program- and project-level decision-making.

CIDA is revising its evaluation policy to ensure consistency with the new TBS Evaluation Policy and has established a Five-year Rolling Evaluation Work Plan.¹⁵⁶ This Plan identifies the contextual factors affecting evaluation, both in Canada and internationally; an overview of achievement in the previous period; the strategy that led to the development of the planned activities; the focus of the work plan and the resources and challenges; and the specific evaluation activities planned for 2010/11 to 2014/15. One particular activity, which will be expected to contribute to CIDA's accountability for aid effectiveness, is the establishment of a new evaluation committee with a majority of external members. The committee serves as a governing and oversight body for the evaluation function, advising the President (who also chairs it) on evaluation matters.

During the previous period, ED also developed standard ToRs for country program evaluations. These are consistent with the new TBS Evaluation Policy and provide consistency in the conduct of these evaluations and a focus on the measurement of results. Ensuring a consistent approach to evaluation is important if CIDA wants to measure the overall effectiveness of its aid. It needs to ensure that both corporate and branch-led evaluations are carried out in a way that facilitates a meta-analysis of evaluation and the identification of lessons learned.

ED monitors the quality and use of CIDA's evaluations through periodically reviewing the quality of the branch-led evaluations and monitoring the implementation of recommendations from ED-led evaluations. The most recent meta-evaluation of decentralized evaluations was undertaken in June 2008.¹⁵⁷ It concluded that branch-led evaluations are well entrenched at CIDA, consistently across all branches and that the quality of the evaluations in the sample had improved.¹⁵⁸ CIDA has good track record with respect to the implementation of recommendations. Nearly all recommendations in reports from 2007 to 2008 and ongoing recommendations from 2004 to 2006 have been implemented.¹⁵⁹

Finally, in response to the 2006 Treasury Board Internal Audit Policy, the Agency established the Office of the Chief Audit Executive (OCAE) as well as an independent Audit Committee, whose members who are not from the public service, with the exception of the President. The Chief Audit Executive reports directly to the President, and is a member of the Agency's Management Board. The audits carried out by the OCAE are supported by a multi-year risk-based audit plan, and the corresponding audit reports are presented to the Audit Committee,

¹⁵⁶ Rolling Five-Year Evaluation Work Plan 2010/2011 to 2014/2015, Evaluation Directorate, Strategic Policy and Performance Branch, CIDA, March 2010

¹⁵⁷ Meta Evaluation: An Evaluation of the Quality of Decentralized (branch-led) evaluations, Final Report, June, 2008, Hay Management Consulting

¹⁵⁸ "Meta Evaluation: An Evaluation of the Quality of Decentralized (branch-led) Evaluations Final Report", Hay Management Consulting, June 2008

¹⁵⁹ "CIDA Evaluations Monitoring Report – Part II", Evaluation Directorate, Strategic Policy and Performance Branch, CIDA, May 17, 2010, p. 12

whose primary role is to advise the President, who chairs the committee, on the Agency's risk management, control and governance practices.

5.6 Strengthening Multilateral Organization Accountability

The 2009 *Review of the Effectiveness of CIDA's Multilateral Delivery Channel* noted that four of the MOs reviewed were at very significant points in the development of their systems for managing for development effectiveness and that follow-up was warranted. The follow-up review indicated that while the progress has been slower than expected, there is a willingness to strengthen accountability and the four MOs have all continued to invest in implementing improved systems for monitoring and reporting. This suggests, however, that continued support for MO accountability is important. As a result, CIDA continues its efforts to strengthen accountability within the multilateral channel. These initiatives focused in two areas:

- Strengthening the organizations themselves, in terms of their capacity to monitor, evaluate and report on development effectiveness; and,
- Improving the system for external assessments of MO effectiveness.

5.6.1 Strengthening MO Systems for Development Effectiveness

CIDA has supported three approaches to strengthening MO capacity for development effectiveness. It has supported MOs in improving their RBM systems, strengthening their capacity to carry out decentralized evaluations and working to ensure that organizations follow-up on evaluations within multilateral organizations and that lessons learned are incorporated into future programming.

Promoting Improved MO Systems for Managing for Development Effectiveness

CIDA's strategies for engagement with MOs incorporate support to institutional effectiveness and initiatives to improve results-based management, reporting and dissemination of lessons learned as key priorities. These measures include regular engagement with the organizations on strengthening multilateral capacity to monitor results and report on outcomes to their Executive Board and support to integration of evaluation findings into policies, programs and planning (see box for an example).

Example of Canada's Contribution to Strengthening MO Monitoring and Reporting Activities

Since 2005, Canada (through CIDA), Sweden and the UK have been working together and in dialogue with UNICEF through the Joint Institutional Approach (JIA) to support progress on the organization's cross-cutting strategies and its capacity for implementation, in an attempt to strengthen the achievement of the results set out in UNICEF's strategic plan. The JIA aimed to contribute to the reduction of transaction costs over time and advance harmonization amongst the three donor partners.

CIDA also encourages the integration of gender equality principles and practices into multilateral institutions’ policies and programming. This includes the completion of Gender Equality Institutional Assessments (GEIA) to review the extent to which institutions that receive core funding from CIDA plan for, achieve and report on results related to gender equality as part of ongoing institutional monitoring. They also form the basis for improved policy dialogue with CIDA partners as part of a broader effort to ensure the achievement of results related to gender equality in CIDA investments.

The following GEIAs have been completed: AfDB and International Finance Corporation (IFC), World Bank Group in 2008, UNAIDS and OCHA in 2009 and UNFPA and UNHCR in 2010, Commonwealth Secretariat in 2011, with most other multilateral institutions to be assessed by 2013 as outlined in the *Strategies for Engagement 2010-13*.

CIDA continues to be an active member of MOPAN, collaborating with other donors in the organizational assessments of multilateral organizations. This commitment is outlined in the relevant *Strategies for Engagement, 2010-13*. These assessments focus on whether multilateral organizations have mechanisms in place (processes and systems) to ensure of organizational effectiveness along four key dimensions — strategic, operational, relationship and knowledge management.

In 2009, CIDA was institutional lead in the assessment of UNICEF and played a catalytic role in both Peru and Guatemala by leading the process in these countries. In 2010, CIDA was instrumental in the assessments of both WHO and IFAD. (See Exhibit 5.7.)

Exhibit 5.7: MOPAN Assessments

Year	Multilateral Organization Assessed	Survey Countries
2010	WHO, IFAD, UNFPA, and the ADB	Afghanistan, Benin, Colombia, Indonesia, Kenya, Nicaragua, Rwanda, Sri Lanka, Vietnam, and Zambia
2009	AfDB, UNDP, UNICEF, World Bank	Ethiopia, Guatemala, Mozambique, Pakistan, Peru, Senegal, Serbia, Thailand and Uganda
2008	UNFPA, World Bank, European Commission	Albania, Bangladesh, Bolivia, Bosnia & Herzegovina, Burkina Faso, Cambodia, Nepal, Sudan, Tanzania, Vietnam

CIDA has also made an important contribution to the advancement of MOPAN through its role as chair of the MOPAN Technical Working Group, overseeing the deepening and broadening of the MOPAN Common Approach methodology and instrumentation (see Section 4.2.2). CIDA uses the findings from these assessments as a source of information and input for decision-making.

Strengthening Decentralized Evaluation by Multilateral Organizations

The *Strategies for Engagement, 2010-13* for UNDP, UNFPA, and UNICEF identify action points for an increase in evaluation quality and coverage and where appropriate, for the strengthening of MO evaluation activities at the country and regional level (see box for an example).

Example of Canada's Contribution to Strengthening MO Evaluation Activities

The *Annual Report on the Evaluation Function* in UNICEF was presented at the UNICEF Executive Board meeting in September 2010. The report provides information on global developments in evaluation in UNICEF. It also includes a summary of selected major evaluations of UNICEF programming. The report showed that for 2009 only, UNICEF conducted 209 evaluations. Canada used the findings to fulfill its role as executive board member. The Canadian representative delivered a statement on behalf of Canada, Denmark, Finland, Iceland, Sweden and Norway praising the continued efforts made to better understand impact of programming but suggesting to better link findings to knowledge management, planning and decision-making. The Board reaffirmed the critical role played by the evaluation function of UNICEF and encouraged UNICEF to continue strengthening its evaluation capacity, particularly within regional and country offices. (<http://www.unicef.org/about/execboard/index.html>)

In its *Strategy for Engagement* with UNDP, CIDA has committed to closely monitor the results of coordination and joint program initiatives, particularly the 'Delivering as One' pilots and encourage UNDP to apply the lessons drawn from evaluation of the pilots to all countries undertaking the new approach. CIDA provided \$300,000 in support to the UN Department of Economic and Social Affairs (UN-DESA) for an independent evaluation of the Delivering as One pilot initiative that will take place in 2011. CIDA will also request UNDP to strengthen the quality of decentralized evaluations at country office and regional levels by insisting that development of the new UN country program documents be based on in-house data collection and strong results reporting and take into account recommendations from evaluations of the previous ones.

Emphasis on Key Factors in Achieving Objectives

The 2009 review indicated that CIDA could help improve the level of MO objectives achievement if it continuously emphasized the elements of effective programming, as identified in the many evaluations analyzed during the review.

Where CIDA provides MO core funding, MGPB is working through its representatives on governing bodies to ensure that multilateral organizations follow-up on their evaluations and that lessons learned are incorporated into future programming. Moreover evaluations have informed CIDA's institutional strategies in both our assessments of the organizations and strategic objectives for the organizations.

Where CIDA provides initiative specific funding, MGPB assesses non-humanitarian initiative specific programming on aid effectiveness criteria including capacity development and the use of cost-benefit analysis. For example a guiding principle for initiative specific health programming – the largest initiative specific sector – is the cost of the initiative per life saved or illness averted.

Initiative-specific interventions in other areas often specifically target capacity development (e.g. aid for trade, financial sector reform initiatives). Cost effectiveness is also a criteria used to evaluate humanitarian interventions. Evaluation findings and how they have been

incorporated in program design are among criteria used by the Branch Oversight Committee which looks at new proposals or new phases of existing programs.

5.6.2 Strengthening External Assessment of Multilateral Performance

CIDA has provided leadership in two international initiatives to improve accountability for the effectiveness of MOs – one focusing on organizational effectiveness and the other on development effectiveness.

Strengthening the Multilateral Organization Performance Assessment Network

The Multilateral Organization Performance Assessment Network (MOPAN) was established in 2002 to harmonize existing bilateral donor approaches to assessing multilateral organization effectiveness. The creation of MOPAN also responded to the recognized need for a common, comprehensive multilateral organization assessment system. Members include Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Ireland, the Netherlands, Norway, the Republic of Korea, Spain, Sweden, Switzerland, and the United Kingdom. Canada was a founding member of MOPAN and continues to play a leadership role on its development and in the annual institutional assessments.

Every year, MOPAN assesses a select number of multilateral organizations in several countries. Data is collected through a survey of MOPAN member representatives at headquarters and at the country level, and of direct partners of the assessed organizations. A review of documents published by the multilateral organizations is also conducted.

Findings are used as a basis for dialogue on organizational effectiveness with these key partners; to support discussion between developing country partner governments, bilateral donors and multilateral organizations; to support the steering of, and participation in, the governance of the multilateral organizations (for example, at a board or governing body meeting); and as a source of input to decision-making. MOPAN reports and management responses are available at: <http://www.mopanonline.org/>.

Since its creation in 2002, MOPAN had carried out an annual perception-based survey, capturing information on multilateral organizational effectiveness at the country level. That survey assessed multilateral organizations in a range of developing countries and relied on one source of data: the perceptions of MOPAN member embassies or country office representatives.

In 2009, MOPAN adopted a new methodology – the Common Approach. The Common Approach takes a systematic look at the effectiveness of internal systems and processes. Multilateral organizations are now assessed on four dimensions of organizational effectiveness: strategic, operational, relationship, and knowledge management. The annual survey was also expanded to take into account the views of national partners of multilateral organizations at the country level (such as government ministries, non-governmental organizations, or private sector corporations) and MOPAN members at headquarters.

In 2010, the Common Approach was broadened to include a review of documents published by the multilateral organizations surveyed to provide additional information on organizational

effectiveness and ensure a mix of perception and factual information. By adding new sources of information, these methodological advances have enhanced the quality of data, allowed for triangulation of information, and enhanced robustness and credibility of MOPAN findings.

In 2010, as chair of the MOPAN Technical Working Group in 2010, CIDA led the initiative to develop instrumentation to assess new types of organizations starting in 2011 (humanitarian organizations) and conduct preliminary testing of instrumentation with a view to assessing in future years the organizational effectiveness of global funds. In 2011, the Technical Working Group is responding to an ambition of MOPAN members to broaden the Common Approach with a view to integrating development effectiveness into its assessment.

Strengthening Development Effectiveness of Multilateral Organizations

Following the publication of the 2009 *Review of the Effectiveness of CIDA's Multilateral Delivery Channel*, CIDA's Evaluation Directorate saw an opportunity to use the core methodology of that review (a meta-evaluation of program evaluations studies of and by MOs) to assess MO development effectiveness. This would build on the assessment of organizational performance carried out by MOPAN and systematically strengthen the information available to all bilateral donors.

In mid-2009, the Evaluation Directorate made a proposal to the DAC Network on Development Evaluation, the most appropriate coordinating body for a joint initiative of this type. The DAC then established a Task Team to discuss and refine proposed approaches for assessing MO development effectiveness. After meeting in Ottawa in October 2009 to discuss further the initiative, the sixteen-member Task Team agreed to establish a smaller Management Group, composed of representatives from CIDA, the United Kingdom's Department for International Development (DFID), the Swedish Agency for Development Evaluation (SADEV), the United States Agency for International Development (USAID), the World Bank and the United National Evaluation Group (UNEG), to guide the work.

A revised proposal, prepared by CIDA under the guidance of the Management Group, was submitted to the February 2010 meeting of the Evaluation Network for discussion. The meeting agreed to a pilot test phase to be carried out in 2010 and asked CIDA to coordinate the work, working in close cooperation with MOPAN to avoid duplication. The Management Group met in Ottawa in April 2010 to finalize the details and agreed to pilot test the approach on the Asian Development Bank (ADB) and the World Health Organization (WHO), two of the organizations being surveyed by MOPAN in 2010.

The pilot test was carried out from June to October 2010 and the results were reported to the Network meeting in November. The pilot test concluded that the proposed approach was workable and that it provided a reasonable picture of MO development effectiveness that can be obtained within a reasonable timeframe of six to eight months and with a resource envelope of approximately \$125,000, with little burden for the MO under review. Supplemented with the organizational effectiveness information from MOPAN, the approach provides a viable alternative to infrequent joint evaluations by shareholders of MOs (e.g. WFP and IFAD) which can take two to two and half years, cost over \$US 1 million and be burdensome to the MOs.

The pilot test also concluded that the proposed approach works well when the evaluation function of the MO produces a volume of evaluation reports of reasonable quality over a three to four-year period that cover a significant portion of its investments. Where the MO has not produced a sufficient number of evaluation reports over the three to four year timeframe of the study and where data on both evaluation and program coverage is lacking, the approach is still workable and useful in providing valuable information on development effectiveness. However, the findings cannot be easily generalized to the performance of the MO with a reasonable level of confidence. The approach still complements the data available from other exercises and offers insights that can be used for dialogue between the MO and its stakeholders through their regular channels of communication.

The pilot test noted that there were further opportunities to refine and improve the methodology and to reflect these improvements in updated guidelines. The pilot test team met in February 2011 to discuss the detailed improvements proposed in the pilot test report along with other suggestions from team members. The results of the February workshop were incorporated into a revised methodology and guidelines. The initiative was endorsed for implementation by the Evaluation Network at the June 2011 meeting. The revised approach is to be implemented from 2011 onward.

As it becomes more fully implemented, the new approach holds out the promise of a more cost-effective, timely, coordinated instrument for assessing the extent that MOs meet their development objectives. Further, the initiative is consistent with the principles of the Paris Declaration in that it harmonizes the requirements of many donor agencies and reduces the burden placed on MOs and their partners. The results of the first round of reviews carried out under this initiative are reported in Section 4.2.2.

During this period, CIDA has continued to monitor ongoing developments among other systems and processes for assessing MO performance such as the Multilateral Aid Review (MAR) completed by the DFID,¹⁶⁰ as well as ongoing efforts to strengthen the Common Performance Assessment System (COMPAS) and Multilateral Organization Performance Assessment Network (MOPAN) systems. The MAR carried out in 2010/11 by DFID is close to CIDA's initiative in its focus. CIDA's initiative is complementary to DFID's and, had it been in operation for three to four years before the completion of the MAR, it might have been expected to have made a strong contribution to that exercise.

The Agency has been careful to proceed using consultative mechanisms which have included both bilateral and multilateral organizations. The net result should be both a broadening (through the coverage of more organizations than CIDA could review on its own) and a deepening (by supplementing MOPAN information with development effectiveness data based on evaluations) of the information used to assess effectiveness. Using a common framework and approach for assessing the investments of each MO, the initiative can generate valuable information on the performance of the MOs relative to core development effectiveness criteria, such as the relevance of their investments, the results achieved, the sustainability of the benefits and contribution to the partner countries' objectives.

¹⁶⁰ *Multilateral Aid Review: Ensuring maximum value for money for UK aid through multilateral organizations*, Department for International Development, United Kingdom, March 2011
http://www.dfid.gov.uk/Documents/publications1/mar/multilateral_aid_review.pdf

5.7 Continued Innovation with Canadian Partners

As discussed in Section 5.3, CIDA has adopted a different approach to programming delivered through Canadian partners, and now sets the direction of programming in line with Canadian priorities and requests appropriate proposals from partners. CIDA's revamped Partnership with Canadians Branch is also developing an innovative approach to evaluation, moving away from project evaluations and toward thematic evaluations, with a focus on learning and improvement for both CIDA and its partners.

6. CONCLUSIONS

This section presents the conclusions of the various lines of evidence with respect to the effectiveness of CIDA's Gs&Cs implemented through its bilateral, partnership and multilateral channels and then an indication of some of the key areas for CIDA's continued attention as it implements its reforms to enhance aid effectiveness.

6.1 Conclusions

Development is a challenging business, but much is known about what makes for effective assistance, including a focus on needs and sustainable results guided by focused country plans and thematic priorities. Effective development also requires the engagement of a multitude of partners (including partner countries, civil society, other bilateral and multilateral donors and the private sector), each acting within its own sphere of influence and providing the necessary supports in a collaborative way. For a bilateral aid agency like CIDA, this means that effective aid is based on a clear assessment of the real needs, the establishment of realistic, achievable objectives and cost-efficient project/program implementation to achieve the objectives. If the results are to be sustainable, the aid must be provided in a way that does not compromise the work of other partners or compromise future generations.

This quantitative and qualitative review of CIDA Gs&Cs focused on three key criteria for assessing aid effectiveness: objectives achievement, relevance and sustainability. The approach to the assessment was different across the CIDA programming channels, but the overall findings suggest that CIDA's performance could be considered solid, taking into account the challenges of the development environment. CIDA's performance since the 2006 Gs&Cs review appears to have strengthened.

Bilateral and Partnership Channels

Results:

The quantitative review of the bilateral and partnership channels reported on the positive results found in CIDA's meta-analysis of its evaluations. CIDA's Gs&Cs have been effective with respect to these three key criteria (objectives achievement, relevance and sustainability) in both its bilateral and partnership programming. For the most part, the projects/programs received good or very good ratings on all the criteria and indicators.

The ratings for objectives achievement were generally good. However, most evaluations reported results at the output and outcome levels and few reported results at the impact level. Overall, the achievement of program objectives were most likely to be achieved when there were good, planned policy engagement and dialogue with partners and clear statements of expected results and the risks to be managed (a results and risk-based approach).

Relevance:

All programming was identified as being relevant. There is some indication that the projects/programs are more likely to be aligned with the needs of beneficiaries (including partner country governments and institutions) and with the Agency's policies and direction than they are with poverty reduction. However, this may be an artefact of the timeframes of the

programming covered by the evaluations. The lessons learned identified the importance of maintaining a balanced approach, including a range of programming mechanisms, to ensure both relevance and the achievement of objectives.

Sustainability:

Sustainability was assessed as being good to average overall, with somewhat lower ratings than objectives achievement or relevance. Sustainability was more likely to be achieved if it was planned and adequate financial and human resources were invested. This was the case for both bilateral and partnership programming. CIDA has recently undertaken a number of organizational changes affecting both its bilateral and partnership programming. These were designed to enhance and ensure the right capacity and skills mix of its in-house specialists. Recently, a human resources gap analysis was conducted, which led to the development of a human resources plan, including recruitment and training strategies.

Aid Modalities:

All instruments of international assistance can be used effectively, but the choice must be assessed and used on the basis of context and the results to be achieved. A mix of aid modalities can be more effective in achieving development results than any single modality.

The evaluations reflected that the mix of interventions is important and should include both new aid modalities and projects. Continuing to support projects, as well as the PBAs was reflected in the bilateral evaluations and the PBA thematic evaluation. As noted in the lessons learned, projects contribute directly to results for beneficiaries, ensure that CIDA has appropriate technical expertise in the field and contribute to the development of knowledge products.

CIDA has increased its use of the new aid modalities to achieve development results. Its experience scaling up PBAs is relatively recent and, while it would be premature to make definitive conclusions or observe the full long-term benefits of these modalities, the early indications are encouraging. The review of PBAs suggests that given the complexity of development, PBAs, when applied with due diligence and supported by project funding, are an important component of the development programming toolkit. CIDA is exercising that due diligence in assessing and, as required, modifying its use of PBAs in different contexts. In order to make these aid modalities more effective, CIDA has established clear performance targets through its development of the *Aid Effectiveness Action Plan*. It has also strengthened processes for its engagement in partner countries, through the development of Country Strategies and improving its Country Development Planning Frameworks.

Partnership Programming:

Most findings from this review apply equally to bilateral and partnership programming. However, there was one finding that was unique to partnership programming. Several evaluations noted the challenge of addressing CIDA priorities when programs are implemented through partner organizations and based on a series of projects dispersed throughout the world. While, with the adequate engagement of local authorities, the programming is seen to be relevant to local needs, it is more difficult to ensure that it is

relevant to CIDA's priorities. CIDA has recently changed its approach to partnership programming. Programming is now consolidated under two new results-focused programs and based on the five partnership principles. The application of these principles is intended to ensure that programming is relevant to CIDA's mandate, more coherent with Government of Canada policy and focused on results and development effectiveness.

Multilateral Channel

The results of evaluation activity since 2009 continue to support the findings of the 2009 review, which suggested that MOs and their programs achieve their development and humanitarian objectives two-thirds of the time. Given that these programs often address very significant global challenges and national and local levels, this can be seen as an acceptable level of achievement.

This review updated the results of the 2009 multilateral channel review and highlighted both the performance of the multilateral channel and CIDA's continuing efforts to raise the level of effectiveness of MOs. CIDA implemented the key recommendations of the 2009 review, especially relating to the development and implementation of organizational strategies for the eighteen most significant multilateral organizations receiving CIDA support. CIDA's dialogue with MOs has also become more strategic, with a focus on factors shown to contribute to greater aid effectiveness and continued involvement in strengthening and broadening international efforts to measure the effectiveness of multilateral organizations.

6.2 Areas for Continued Attention

The context in which CIDA operates is changing rapidly. CIDA has done much to improve aid effectiveness over the past five years. It needs to continue to adjust to the changing Canadian and international context. As has been noted, the review covers programming that predates many of CIDA's recent programming and management changes, and has not been able to fully assess the impacts of all of CIDA's recent changes. The lessons from the review indicate some of the key areas for CIDA's management to focus upon as it continues to implement and consolidate its reforms. These areas include ensuring quality at entry, working with new aid modalities, choosing the mix of investments appropriately, managing decentralization and delegation of authorities, and continuing to use monitoring and evaluation as learning and improvement tools across all channels.

Ensuring Quality at Entry:

CIDA continues to face a challenge with project design and how the project design relates to local needs and the overall country strategy. This was confirmed in interviews and lessons learned from the ED-led evaluations. There is still need for greater attention to the "quality at entry" for some interventions. The challenges appear to be related to the quality of the local assessment of needs and the identification of the problématique. There is also still a tendency to develop interventions with overly ambitious objectives, thus weakening aid effectiveness. The evaluations noted the importance of better planning, through assessments and baseline studies.

Working with New Aid Modalities:

The evaluation of PBAs indicated that CIDA is analyzing and managing risk with respect to these new programming approaches. Planning, assessments and baseline studies are particularly important in this context, which requires a better understanding of the sector, including the capacities of the partner country government and institutions and other donors. The results then need to be integrated into better frameworks with clearer and realistic objectives and explicit strategies for sustainability.

Efforts have been made to reassess situations and address “quality at entry” weaknesses of some programs that adopted the PBA. Programming frameworks are expected to be strengthened further in the future by improving the development and revision of the Country Strategies and the CDPFs.

Choosing the Mix of Instruments:

The growth of new aid modalities has highlighted the tension between funding short-term projects that provide direct services to beneficiaries and the longer-term institutional capacity building initiatives that are likely to contribute to greater sustainability. However, as emphasis is given to alignment with external stakeholders, the challenge remains to ensure the complementarity among and within CIDA’s bilateral, partnership and multilateral aid channels.

Managing Decentralization and Delegation:

Much has been done in the past few years to strengthen CIDA’s management practices. The meta-analysis suggests that while program management is generally good, there are areas for improvement, including timelier decision-making, ensuring the right mix of sectoral and technical expertise at the field level and continuing to strengthen results-based management.

CIDA’s new focus on countries of concentration positions it well to ensure that adequate planning and alignment with partner country governments and other donors is in place to determine the mix of programming at the country level. The Paris Declaration principles and the requirements of the new aid modalities also present challenges for the mix of skills required at headquarters and in the field. There is a greater need for staff to be located closer to development partners in the field and to have skills and delegated authorities in the areas of policy dialogue, consultation and analysis of public sector finances.

Improving program management will take time, but will be critical to the success of CIDA’s decentralization. The Business Modernization Initiative currently underway links the decentralization with other initiatives to improve program management, including improving the focus of programming, workforce and change management, improved communication and the development of a guidebook to CIDA’s procedures to ensure managers have the right tools.

Using Monitoring and Evaluation as Tools to Learn and Improve Across All Channels:

Concerns about quality at entry and during implementation are also related to possible weaknesses in the use of evaluation results. The Review suggests that although a high

percentage of the recommendations emerging from evaluations are implemented and the Agency is prepared to take corrective action on specific projects/programs, timely corrective action based on evaluations and reports is uneven across programs. Also, the Agency has not systematically extracted and disseminated lessons learned from the body of evaluation work conducted by the ED or the program branches.

Continued effort through MOPAN and the DAC Evaluation Network initiative to improve the availability of information on the performance of MOs is essential to further improve aid effectiveness.

Searching for innovative ways to evaluate investments through the PWCB, with a focus on learning for both CIDA and its partners, will also help CIDA to further improve its programming.

APPENDIX A: REVIEW APPROACH AND METHODOLOGY

1. Bilateral and Partnership Channels

The assessment of CIDA’s bilateral and partnership Gs&Cs was based on a review of 41 evaluations and reviews conducted between 2005/06 and 2010/11, of which 25 were ED-led and 16 branch-led.¹⁶¹ The ED-led evaluations included:

- 16 evaluations of geographic programming;
- Four evaluations of partnership programming;
- One evaluation of inter-departmental programming;
- One evaluation of multilateral programming; and,
- Four corporate/thematic Agency-wide evaluations.

However, different approaches were used for the reviews of the ED- and branch-led evaluations. The approaches were both quantitative and qualitative:

- A quantitative meta-analysis was conducted of 15 ED-led geographic evaluations (bilateral programming) and two ED-led and 16 branch-led evaluations of partnership projects or programs;¹⁶² and,
- A qualitative review of lessons learned from the ED-led evaluations, including four corporate/thematic evaluations, the multilateral evaluation, and the inter-departmental evaluation.

Exhibit 1 summarizes how each evaluation covered in the review was assessed.

Exhibit 1: Evaluations Covered in Review, by Type of Analysis

ED-led Bilateral Evaluations by Project	Quantitative Meta-Analysis	Qualitative Review of Lessons Learned
1. Bolivia Country Program Evaluation	yes	yes
2. Canada-Cameroon Cooperation Program Evaluation	yes	yes
3. CIDA Malawi Country Program Evaluation	yes	yes
4. CIDA Pakistan Program Evaluation	yes	yes
5. Ethiopia Country Program Evaluation	yes	yes
6. Evaluation of CIDA's Investments in Vietnam	yes	yes
7. Evaluation of CIDA's Program in Bangladesh	yes	yes

¹⁶¹ For a complete list of all evaluations reviewed, see Appendix B.

¹⁶² Given the changes in the organization of CIDA’s partnership programming in recent years, ED had only conducted a few evaluations of partnership programs during the period of this review. As a result, for the purpose of this review, the ED-led evaluations have been supplemented with branch-led evaluations of partnership programs.

ED-led Bilateral Evaluations by Project	Quantitative Meta-Analysis	Qualitative Review of Lessons Learned
2003-2008		
8. Evaluation of CIDA's Program in Ghana 1999-2005	yes	yes
9. Executive Report of the Canada-Mali Cooperation Program Evaluation	yes	yes
10. Mozambique Country Program Evaluation	yes	yes
11. CIDA Egypt Country Program (Prospective) Evaluation (2001- 2011) and Forward-Looking Assessment	yes	yes
12. Review of Afghanistan Program	yes	yes
13. Tsunami Reconstruction and Rehabilitation Program	yes	yes
14. Evaluation of CIDA's Senegal Program from 2001 to 2010	yes	yes
15. Summative Evaluation of the Canada Fund for Africa	yes	yes
ED-led Corporate/Thematic Evaluations by Project	Quantitative Meta-Analysis	Qualitative Review of Lessons Learned
16. CIDA's Review of Program-based Approaches		yes
17. Evaluation of General Budget Support: Synthesis Report		yes
18. Evaluation of CIDA's Implementation of its Policy on Gender Equality		yes
19. Interdepartmental Evaluation Canadian Landmine Fund Phase II		yes
20. Multi-donor evaluation of Support to Conflict Prevention and Peace Building Activity in		yes

ED-led Corporate/Thematic Evaluations by Project	Quantitative Meta- Analysis	Qualitative Review of Lessons Learned
Southern Sudan: Synthesis Report to the CIDA Evaluation Committee ¹⁶³		
21. Review of Governance Programming at CIDA: Synthesis Report		yes
ED-led Partnership Evaluations by Project	Quantitative Meta- Analysis	Qualitative Review of Lessons Learned
22. Executive report on the Evaluation of the CIDA Industrial Cooperation Program (ED-led)	yes	yes
23. University Partnership in Cooperation and Development Program Evaluation (ED-led)	yes	yes
24. Evaluation of the NetCorps Canada International Program	yes	yes
25. Evaluation of Canada Corps University Partnership Program (CCUPP) and Students for Development (SFD) (Partnership with AUCC)	yes	yes
Branch-led Partnership Evaluations by Project	Quantitative Meta- Analysis	Qualitative Review of Lessons Learned
26. 2001-06 Program Evaluation: Code	yes	
27. Alternative - Relever les défis du nouveau millénaire, programme 2006-2009	yes	
28. An Institutional and Program Evaluation of the Canadian Rotary Committee for International Development	yes	
29. CHF's "Building Capacity for Sustainable	yes	

¹⁶³ This evaluation was a multi-donor evaluation carried out by 6 development organizations and 9 donors (including Netherlands, Belgium, Canada, Denmark, Germany, Norway, Sweden, United Kingdom and the United States). Canada was member of the evaluation steering committee and the interdepartmental Evaluation Reference Group, which was chaired by CIDA and was established to bring together the Canadian stakeholders involved in Sudan (CIDA, DFAIT, DND and RCMP). The evaluation covered Canada's investments in Sudan.

Branch-led Partnership Evaluations by Project	Quantitative Meta- Analysis	Qualitative Review of Lessons Learned
Livelihoods in Vulnerable Communities" Programme Evaluation		
30. CIDA-CARE Canada Program Agreement S- 62409 Evaluation	yes	
31. Community Access to Basic Needs Through Local Empowerment	yes	
32. Education for Democracy, Prosperity and Peace: A Program of Coady International Institute	yes	
33. Evaluation de Mis-Parcours: La Finance au Service Des Pauvres	yes	
34. Evaluation of World Accord Development Program	yes	
35. Final Report: Evaluation of the Christian Reformed World Relief Committee	yes	
36. Institutional and Program Evaluation: The Canadian Council for International Cooperation (CCIC)	yes	
37. La finance au service des pauvres, mis en oeuvre par Développement international Desjardins	yes	
38. Organizational Assessment and Program Evaluation of Seva Canada	yes	
39. Results-Based Program Evaluation of the World Literacy of Canada	yes	
40. Save the Children Canada Institutional Assessment	yes	
41. Version finale du mandat d'évaluation de deux projets de la Centrale des syndicats du Québec (CSQ)	yes	

1.1 Meta-analysis of ED- and Branch-led Evaluations

The credibility of the assessment depends on three factors:

- The review must cover an adequate number of evaluations of CIDA's investments (i.e. capturing a significant proportion of the Agency's investments), in order to ensure that the sample of evaluations is representative and valid;
- The evaluation considered in the review must be of high quality; and,
- The review must be conducted in a consistent and rigorous way.

Coverage

The investments evaluated between 2005/06 and 2010/11 and covered by this review cover a significant portion of CIDA's overall investments, both in terms of financial contributions and CIDA's Program Activity Architecture (PAA). They include:¹⁶⁴

- \$4.4 billion in geographic programs evaluated by the ED – 49% of CIDA's investments in bilateral programming over the six-year period 2005/06 to 2010/11;¹⁶⁵
- \$663 million in partnership programming evaluated by the ED – 45% of total investments in partnership programming over the six years; and,
- \$191 million in partnership programming evaluated by the Partnership Branch – 13% of the total investments in partnership programming over the six years.

The ED-led evaluations covered a significant portion of CIDA's Program Activity Architecture (PAA):

- Twelve of CIDA's twenty countries of focus (Afghanistan, Bangladesh, Bolivia, Ethiopia, Ghana, Indonesia,¹⁶⁶ Mali, Mozambique, Pakistan, Senegal, Sudan, Vietnam);
- Three former countries of focus and now countries of modest and one regional program evaluation presence (Cameroon, Egypt, Malawi); and,
- One low-income regional program (Canada Fund for Africa).

In addition, the ED-led partnership evaluations address another component of the PAA:

- Canadian engagement – Economic growth and environmental sustainability (CIDA's Industrial Cooperation Program), Public engagement and training in Canada (University Partnership in Cooperation and Development Program Evaluation), and international youth internships (NetCorps Canada International Program and Canada Corps University Partnership Program (CCUPP) and Students for Development (SFD)).

Over the period of this review, a significant portion of CIDA's PAA has been covered by ED-led evaluations. Branch-led evaluations have supplemented the ED-led evaluations for this

¹⁶⁴ The program costs covered by the evaluations did not necessarily occur within the five-year period covered by this evaluation. However, this figure gives a rough estimate of the volume of CIDA programming covered by this review.

¹⁶⁵ The country program evaluations did not necessarily assess in-depth all investments within the country program. As such, the evaluation findings do not provide a detailed assessment of the total value of the programs reported here.

¹⁶⁶ Assessed through an evaluation of CIDA's response to the 2004 tsunami.

review for the Partnerships with Canadians Branch (PWCB) where the coverage of ED-led evaluations was limited. However, given the retrospective nature of evaluation, it should be noted that many investments evaluated had been designed prior to the review period. These investments would not capture the initiatives that the Agency has initiated to strengthen aid effectiveness during and since the review period.

Quality of Evaluations

The quality of the evaluations is assured by systematic review processes at CIDA. CIDA conducts evaluations at two levels: centralized evaluations conducted by the ED and decentralized evaluations conducted by branches. There are formal processes for ensuring the quality of evaluations at both levels. In addition to conforming to CIDA's meta evaluation quality criteria, which are consistent with the TBS Evaluation Policy and Directives as well as the international Evaluation Quality Standards of the DAC Evaluation Network, ED-led evaluations are reviewed by an Evaluation Committee, with a majority of external members¹⁶⁷ and are approved by Agency senior management. In addition, CIDA has received a strong rating in its Management Accountability Framework ratings from TBS for the quality and use of evaluation over the last five years.¹⁶⁸

ED also monitors the quality and use of CIDA's evaluations through periodically reviewing the quality of the branch-led evaluations and monitoring the implementation of recommendations from ED-led evaluations. The most recent meta-evaluation of decentralized evaluations was undertaken in June 2008.¹⁶⁹ This meta-evaluation included a review of 63 branch-led evaluations from the total of 211 evaluations conducted.¹⁷⁰ The main findings were that branch-led evaluations are well entrenched at CIDA, consistently across all branches. It also indicated that, since the previous review in 2003, the median assessment of evaluations in the sample has improved from "average/good" to "good/very good."¹⁷¹

Systematic Review of Evaluations

Different approaches were used for the reviews of the ED- and branch-led evaluations. The approaches were both quantitative and qualitative:

¹⁶⁷ While the Committee has had external members for some years, it is only in the past year that the majority has been external.

¹⁶⁸ Management Accountability Framework; 2009-10 MAF Results <http://www.tbs-sct.gc.ca/maf-crg/assessments-evaluations/2009/ida/ida-eng.asp> Accessed June 2011

¹⁶⁹ Meta Evaluation: An Evaluation of the Quality of Decentralized (branch-led) evaluations, Final Report, June, 2008, Hay Management Consulting

¹⁷⁰ The review included: structure of the report/readability; evaluation context and objectives; program or project description and context; valuation focus/scope/coverage; adequacy and credibility of research design; adequacy and credibility of sampling methodology, data collection, and data analysis techniques; limitations and constraints in conducting the evaluation; validity and completeness of conclusions; and validity and relevance of recommendations. The confidence interval level of this sample was $\pm 10.4\%$. That means that, if this exercise was conducted infinite number of times, then 95% of the time the results would be within this range for the average score for the evaluations conducted between 1 April 2003 and 31 March 2006.

¹⁷¹ "Meta Evaluation: An Evaluation of the Quality of Decentralized (branch-led) Evaluations Final Report", Hay Management Consulting, June 2008

- A quantitative meta-analysis was conducted of 15 ED-led country program evaluations (bilateral programming) and four ED-led and 16 branch-led evaluations of partnership projects or programs;¹⁷² and,
- A qualitative review of lessons learned from the six ED-led evaluations, including four corporate/thematic evaluations, the multilateral evaluation, and the inter-departmental evaluation.

The meta-analyses were carried out by a three-person CIDA review team, led by a senior evaluator from ED. All ED-led evaluations were rated by two reviewers and their scores were averaged to develop the score for each variable.¹⁷³ The branch-led evaluations were rated by only one reviewer. Frequent internal consultations were carried out with the team leader during the review process.

The main focus of the meta-analyses was on what the sample of evaluations said about the effectiveness of CIDA's projects and programs. The content of each evaluation report was on the three key variables (criteria):

- Objective achievement/results;
- Relevance of the program; and,
- Sustainability of results/benefits.¹⁷⁴

Relevance and sustainability were rated by an assessment of the factors affecting relevance and sustainability, using the average of the following specific indicators:

- Relevance: consistency with beneficiaries' needs, with poverty reduction, if applicable,¹⁷⁵ and with Agency's policies and direction; and,
- Sustainability: Country's ownership of the program goals, funding for future operations is secured, appropriateness of technology/approach, institutional capacity to sustain results/program, and extent to which policy environment is enabling.

In addition, the review rated two criteria related to the factors that potentially contributed to, or detracted from, the effectiveness of the programs. These were:

- Extent and nature of partnership; and,
- Management of the projects/programs.

Based on the evaluation study, the performance of the program with respect to each criteria and indicator was rated using the following four-point scale:

¹⁷² Given the changes in the organization of CIDA's partnership programming in recent years, ED had only conducted a few evaluations of partnership programs during the period of this review. As a result, for the purpose of this review, the ED-led evaluations have been supplemented with branch-led evaluations of partnership programs.

¹⁷³ A few evaluations that were added to the list towards the end of the meta-analysis process were only reviewed by one reviewer.

¹⁷⁴ The specific indicators used to measure each criterion are provided in Appendix B.

¹⁷⁵ CIDA's strategic outcome is the reduction in poverty for those living in countries where CIDA engages in international development. Some forms of CIDA support, such as financial management training for developing country civil servants, contribute in a supporting role to poverty reduction.

- Very good = 4
- Good = 3
- Average = 2
- Poor = 1
- Missing = NA (not available)

Note that the “average” rating reflects mixed results – some positive and some negative. See Appendix C for the final definitions and scoring criteria for the review criteria and indicators. For the criteria for which there were specific indicators, the ratings for each indicator were averaged to provide a score for the criterion. Then, for the ED-led evaluations, which had been rated by two reviewers, the scores from the two reviewers for each criterion and indicator were averaged to provide one score for each criterion and indicator. The average scores were then interpreted as follows:

- 3.501 – 4 = very good
- 2.501 – 3.5 = good
- 1.501 – 2.5 = average
- 1 – 1.5 = poor
- NA (not available) = missing

While the scale appears to be unbalanced (“very good” and “poor” each only cover only half a point), it represents the most balanced approach to interpreting the findings, as it does not bias them either positively or negatively. Due to potentially missing explanatory factors, the factors reported in Appendix F cannot be directly aggregated to the criteria scores. A separate review team analyzed the lessons learned identified in the synthesis reports (or executive summaries) for all ED-led evaluations (bilateral country program evaluations and partnership program evaluations).

1.2 Document Review and Interviews

In addition to the meta-analysis of evaluations, this review is also supplemented by documented evidence from key documents. This includes documents that reflect:

- International context for aid management and issues related to aid effectiveness from the perspective of other donors;
- CIDA’s aid priorities, planning processes and structures;
- Agency performance-related documents, including the Agency’s reports to Parliament);
- External reviews of CIDA’s performance, including reports from the Office of the Auditor General, the Development Assistance Committee of the Organization for Economic Development and Cooperation; and a Senate Committee; and,
- CIDA evaluation-related documents, including evaluation policies and plans, thematic evaluation reports, reviews of the quality of decentralized evaluations and summaries of CIDA’s follow-up on evaluation recommendations).

A list of all the documents consulted is found in Appendix D.

Interviews were also conducted with six CIDA senior staff to explore three key issues:

- Perceptions of CIDA’s aid effectiveness;
- Factors affecting CIDA’s ability to provide effective aid; and,
- CIDA’s success in measuring and reporting on its aid effectiveness.

A list of all interview respondents is found in Appendix E.

1.3 Comparison of 2006 and 2011 Reviews

Initially, the results of the 2006 review were intended to provide a baseline for assessing CIDA’s aid effectiveness in 2010. However, the approach for the review of CIDA evaluations was different for this 2011 review than it was for the 2006 review. The main differences are outlined in the Exhibit 2.

	2006 Review	2011 Review
Project sampling	<p>Included:</p> <ul style="list-style-type: none"> • All 25 ED-led evaluations conducted during the review period, with no distinction made between evaluations of bilateral and partnership programs; and • A random sample of branch-led evaluations of both bilateral and partnership evaluations. <p>The sampling of the branch-led evaluation ensured that no projects/ programs also covered by the ED-led evaluations were included in the sample.</p> <p>All evaluations were combined into one data set.</p>	<p>Included:</p> <ul style="list-style-type: none"> • 25 ED-led evaluations – separated into two groups: 15 bilateral country program evaluations, one regional program evaluation and 4 partnership evaluations; and • 16 branch-led partnership program evaluations. <p>The branch-led evaluations were selected to ensure that no projects/programs covered by the ED-led evaluations were included.</p> <p>The evaluations were analyzed separately in two data sets – separating bilateral and partnership programming..</p>
Criteria	<p>Criteria included:</p> <ul style="list-style-type: none"> • Objectives achievement • Relevance • Cost effectiveness • Likelihood of sustainability • Development effectiveness (combined average for all criteria) 	<ul style="list-style-type: none"> • 3 criteria were the same (objectives achievement/results, relevance and sustainability). • Data available for cost-effectiveness was not sufficient for analysis • Decision was made to not calculate an overall development effectiveness criteria because such an average is based on the unreasonable assumption that the criteria was mutually exclusive and equally weighted

Scales	5-point scale: <ul style="list-style-type: none"> • Outstanding • Highly satisfactory • Satisfactory • Unsatisfactory • Very unsatisfactory 	4-point scale: <ul style="list-style-type: none"> • Very good • Good • Average • Poor
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As a result of these differences, a comparison of the findings of the two reviews is difficult.

1.4 Limitations of the Review

In spite of efforts to minimize subjectivity and maximize accuracy, there are a number of factors that limit the extent to which this review accurately reflects CIDA’s aid effectiveness.

Mismatch between the Programming and Evaluation Periods

The review is based on evaluations undertaken in 2005/06 to 2010/11. However, these evaluations covered programming that occurred as much as ten years earlier. The development context, and CIDA’s response to it, has changed considerably over this period. As a result, the review findings do not reflect CIDA’s current approach to programming. While this review reports on CIDA’s ongoing efforts to improve programming effectiveness, these efforts may not yet be reflected in program results.

Subjectivity of Meta-Analyses Results

The conduct of the meta-analyses through rating of the evaluation reports by CIDA staff introduces a certain level of subjectivity to this review. This was compounded by changes in the definitions of the ratings during the implementation of the review. However, measures were put in place to strengthen the level of inter-rated reliability: a template was developed to guide the reviews, pilot reviews were conducted and discussed, each evaluation (with the exception of the decentralized evaluations) was rated, for the most part, by two different reviewers and reviewers could consult on a regular basis with the project leader. However, there is always a risk of inaccuracy and lack of consistency in how the information was assessed and coded.

Small Number of Evaluations

This review reflects the results of 41 evaluations of CIDA programming. However, the total universe of CIDA projects/programs that were implemented over the five-year period of this review is not easily available. As a result, the team does not know the extent to which evaluations reviewed are representative of the universe of CIDA programming over the period. However, the ED-led evaluations cover a significant proportion of CIDA’s current PAA.

Given the small number of evaluations, the use of percentages could give overly heavy importance to the finding of one evaluation – particularly for criteria and/or indicators that were not addressed by some evaluations. As a result, the report reflects only the number of evaluations that were reported as “very good”, “good” etc. on each criterion/indicator.

Changing Definitions

The definitions of outcomes and outputs changed at CIDA in 2009 – mid-way through the period for this review. This means that some programs were implemented and/or evaluated using the previous definitions and some under the revised definitions. This may lead to inconsistency in the data.

Missing Data

Evaluation reports did not always address all criteria and indicators for assessing program effectiveness. However, this was limited, in both the ED- and branch-led evaluations, to selected criteria/indicators, primarily with respect to:

- Assessment of impact-level objectives achievement and unintended impacts; and
- Assessment of one indicator of program management (organizational dynamism, including motivation, leadership, human resources).

Interpretation of Averaged Scores

Each evaluation was reviewed by two reviewers. When they did not agree on the rating for a given criteria or indicator, when the scores were averaged, this resulted in numbers that were not whole numbers (e.g. 2.67, 3.13). This meant that rules had to be developed to interpret how the fractions related to the qualitative ratings of “very good”, “good” etc. The review team developed the following interpretation.

- 3.501 – 4 = very good
- 2.501 – 3.5 = good
- 1.501 – 2.5 = average
- 1 – 1.5 = poor
- NA (not available) = missing

This means that the range of values for a project/program to receive a “very good” or “poor” rating is smaller than for the other two ratings. However, it represents the most balanced approach to interpreting the findings, as it does not bias them either positively or negatively.

Limited Comparability with 2006 Review Results

It was intended that the results presented in the 2006 review would be a baseline for future assessments of the Agency’s performance. However, this is not possible because the approach to this 2010 review is substantially different – in terms of:

- Sample of evaluations being reviewed – separating the corporate and branch-led evaluations and the evaluations of bilateral and partnership programming;
- Scale used (moving from a bipolar five-point scale to a four-point one-dimensional scale); and,
- Some change in the performance criteria (variables) against which each evaluation were assessed, including notably not calculating, for the 2011 data, an average development effectiveness rating.

2. Multilateral Channel

2.1 2009 Review of the Effectiveness of CIDA's Multilateral Delivery Channel

In March 2009, CIDA presented the report of a *Review of the Effectiveness of CIDA's Multilateral Delivery Channel* to the Treasury Board Secretariat. The review employed three principal methodologies: a systematic review of published evaluations of multilateral organizations and their programs; interviews of staff of CIDA and over twenty key partner multilateral organizations; and a review of policy and reporting documents relating to managing for development and humanitarian effectiveness.

The review of evaluations encompassed a representative sample of 117 evaluation reports published between April 2004 and April 2008 including 34 evaluations of International Financial Institutions (IFI) and their programs, 66 evaluations of UN organizations and their programs and 17 evaluations of the programs of other organizations including the Red Cross agencies. The report can be accessed at: <http://www.acdi-cida.gc.ca/acdi-cida/acdi-cida.nsf/En/MAR-618103446-K4T>.

The review team also undertook interviews with 21 multilateral organizations accounting for over 87% of the \$7.6 billion which CIDA invested through the multilateral channel between 2001/02 and 2006/07. It supplemented those interviews with an analysis of each organization's documents on RBM, evaluation and effectiveness reporting. Interviews and document reviews were also used to document CIDA's role and contribution in influencing multilateral organizations to improve their effectiveness in development and humanitarian assistance programming.

Using an aggregate measure (an averaging of ratings for objectives achievement, relevance, cost effectiveness, and sustainability), the 2009 review found that:

- 69% of the multilateral organization programs evaluated were either highly satisfactory (3%) or satisfactory (66%) in development and humanitarian effectiveness;
- 30% of the multilateral programs evaluated were unsatisfactory; and,
- 1% highly unsatisfactory (see Exhibit 3).

Exhibit 3: Distribution of Evaluated Initiatives by Performance Category: 2009 Review of the Effectiveness of CIDA's Multilateral Delivery Channel

Criterion	Highly Unsatisfactory	Unsatisfactory	Satisfactory	Highly Satisfactory	Total
Objective Achievement (114 evaluations)	1%	28%	67.5%	3.5%	100%
Relevance (113 evaluations)	0%	12%	83%	5%	100%
Cost Effectiveness (67 evaluations)	0%	43%	54%	3%	100%
Likelihood of Sustainability (106 evaluations)	3%	39%	59%	0%	100%

Criterion	Highly Unsatisfactory	Unsatisfactory	Satisfactory	Highly Satisfactory	Total
Overall Development and Humanitarian Effectiveness	1%	30%	66%	3%	100%

For most of the criteria assessed by the review, UN agencies and IFIs were broadly similar in the portion of evaluations rating their programs satisfactory or better. For relevance this was true for 82% of IFI programs and 92% of UN agency programs. Turning to objectives achievement the figures are 70% satisfactory or better for IFIs and 67% for UN agencies. With regard to sustainability, results were more often satisfactory for UN agency programs (56%) than for IFIs (49%).

2.2 Current Review of Multilateral Channel

The current review of the effectiveness of the multilateral channel was carried out by a two-person team, including a CIDA ED staff person and an external consultant. The team carried out the following activities:

- Based on information provided by MGPB, it developed a profile of CIDA support to the multilateral channel;
- Based on interviews and a document review, it identified:
 - CIDA’s responses to the findings and recommendations of the 2009 review;
 - A description and progress report on the CIDA initiative to improve the Multilateral Organization Performance Assessment Network and develop, pilot test and put into operation an improved approach to measuring the development effectiveness of Multilateral Organizations;
- It reviewed six of the most significant publications regarding the effectiveness of Multilateral Organizations made available to CIDA since March 2009; and,
- Based on a document review and interviews, it developed an assessment of recent efforts on the part of key CIDA partner multilateral organizations to improve their results reporting.

APPENDIX B: EVALUATIONS REVIEWED

1. Evaluations Reviewed in Meta-Analysis of ED-led Bilateral Programming

Project Name	Project Budget	Project Start Date	Project End Date	Evaluation Report Date
1. Bolivia Country Program Evaluation	\$213,000,000	1995	2005	2007/11
2. Canada-Cameroon Cooperation Program Evaluation	\$60,490,856	2001	2006	2008/03
3. CIDA Malawi Country Program Evaluation	\$216,000,000	1998	2008	2010/02
4. CIDA Pakistan Program Evaluation	\$253,400,000	2001	2006	2006/10
5. Ethiopia Country Program Evaluation	\$532,956,062	2003	2009	2010/01
6. Evaluation of CIDA's Investments in Vietnam	\$257,000,000	2004	2008	2010/02
7. Evaluation of CIDA's Program in Bangladesh 2003-2008	\$318,516,644	2003	2008	2009/01
8. Evaluation of CIDA's Program in Ghana 1999-2005	\$215,001,739	1999	2005	2008/06
9. Executive Report of the Canada-Mali Cooperation Program Evaluation	\$326,000,000	2000	2010	2007/12
10. Mozambique Country Program Evaluation	\$323,958,892	2004	2009	2010/02
11. CIDA Egypt Country Program (Prospective) Evaluation (2001- 2011) and Forward-Looking Assessment	\$119,693,509	37257	39448	39819
12. Review of Afghanistan Program	\$285,000,000	2004/04	2007/01	2007/05
13. Tsunami Reconstruction and Rehabilitation Program	\$425,000,000	2004/12	2009/03	2009/04
14. Evaluation of CIDA's Senegal	\$350,000,000	2001/1	2011/12	2011/2

Project Name	Project Budget	Project Start Date	Project End Date	Evaluation Report Date
Program from 2001 to 2010				
15. Summative Evaluation of the Canada Fund for Africa	\$500,000,000	2002/1	2007/12	2011/1

2. Evaluations Reviewed in Meta-Analysis of ED- and Branch-led Partnership Programming

Project Name	Project Budget	Project Start Date	Project End Date	Evaluation Report Date
1. Executive report on the Evaluation of the CIDA Industrial Cooperation Program (ED-led)	\$482,834,000	1995/01	2005/12	2007/12
2. University Partnership in Cooperation and Development Program Evaluation (ED-led)	\$151,000,000	1993	2007	2007/02
3. Evaluation of the NetCorps Canada International Program (ED-led)	\$25,000,000	1997	2006	2007/05
4. Evaluation of Canada Corps University Partnership Program (CCUPP) and Students for Development (SFD) (Partnership with AUCC) (ED-led)	\$4,000,000	2005/01	2007/05	2007/05
5. 2001-06 Program Evaluation: Canadian Organization for Development through Education (CODE)	\$8,380,000	2001	2006	2006/02
6. Alternative - Relever les défis du nouveau millénaire, programme 2006-2009	\$2,025,000	2006	2014	2008/10
7. An Institutional and Program Evaluation of the Canadian Rotary Committee for International Development	\$2,800,000	2001	2005	2005/03
8. CHF's "Building Capacity for	\$4,556,235	2006	2009	2009/06

Project Name	Project Budget	Project Start Date	Project End Date	Evaluation Report Date
Sustainable Livelihoods in Vulnerable Communities" Programme Evaluation				
9. CIDA-CARE Canada Program Agreement S-62409 Evaluation	\$13,649,250	2003	2006	2007/02
10. Community Access to Basic Needs Through Local Empowerment	\$3,790,655	2004	2007	2007/05
11. Education for Democracy, Prosperity and Peace: A Program of Coady International Institute	\$3,000,000	2003	2006	2006/03
12. Evaluation de Mis-Parcours: La Finance au Service Des Pauvres	\$21,622,565	2002/10	2007/03	2005/02
13. Evaluation of World Accord Development Program	\$861,146	2004	2007	2007/03
14. Final Report: Evaluation of the Christian Reformed World Relief Committee	\$3,372,000	2004/07	2007/06	2007/01
15. Institutional and Program Evaluation: The Canadian Council for International Cooperation (CCIC)	\$94,740,000	2001	2007	2006/05
16. La finance au service des pauvres, mis en oeuvre par Développement international Desjardins	\$19,878,052	2002/10	2007/03	2005/02
17. Organizational Assessment and Program Evaluation of Seva Canada	\$562,050	2007	2010	2010/02
18. Results-Based Program Evaluation of the World Literacy of Canada	\$579,000	2004	2007	2006/12
19. Save the Children Canada Institutional Assessment	\$11,479,183	2002	2005	2005/09

Project Name	Project Budget	Project Start Date	Project End Date	Evaluation Report Date
20. Version finale du mandat d'évaluation de deux projets de la Centrale des syndicats du Québec (CSQ)	\$3,900,000	2006-06 and 2008-09	2008-10 and 2011-09	2009/08

3. Evaluations Reviewed in Qualitative Assessment of Lessons Learned

Project Name	Project Budget	Project Start Date	Project End Date	Evaluation Report Date
1. CIDA's Review of Program-based Approaches	\$1,732,000,000 ¹⁷⁶	2006/07	2008/09	2010/03
2. Evaluation of General Budget Support: Synthesis Report	\$4,000,000,000	1994/01	2004/12	2006/05
3. Evaluation of CIDA's Implementation of its Policy on Gender Equality	\$792,800,000	1999/01	2006/12	2008/04
4. Interdepartmental Evaluation Canadian Landmine Fund Phase II	\$72,000,000.00	2003/1	2008/1	2010/1
5. Multi-donor evaluation of Support to Conflict Prevention and Peace Building Activity in Southern Sudan: Synthesis Report to the CIDA Evaluation Committee ¹⁷⁷	\$647,000,000 ¹⁷⁸	2005	2010	2011/1
6. Review of Governance Programming at CIDA: Synthesis Report	\$3,800,000 ¹⁷⁹	1995/1996	2004/2005	2008/4

¹⁷⁶ Includes spending from 2006/07 to 2008/09

¹⁷⁷ This evaluation was a multi-donor evaluation carried out by 6 development organizations and 9 donors (including Netherlands, Belgium, Canada, Denmark, Germany, Norway, Sweden, United Kingdom and the United States). Canada was member of the evaluation steering committee and the interdepartmental Evaluation Reference Group, which was chaired by CIDA and was established to bring together the Canadian stakeholders involved in Sudan (CIDA, DFAIT, DND and RCMP). The evaluation covered Canada's investments in Sudan.

¹⁷⁸ This includes investments by CIDA, DFAIT, RCMP and other spending, concentrated in Darfur and Southern Sudan. Canadian aid to South Sudan between 2005 and 2009 was \$US 230 million, of which 69% reported expended.

¹⁷⁹ Between 1994/95 and 2004/05, the Agency disbursed \$3.8 million in over 3,000 initiatives coded in the Agency's system as "governance" initiatives.

APPENDIX C: META-ANALYSIS CRITERIA, SUPPORTING INDICATORS AND SCORING SYSTEM

Program Effectiveness: Criteria and Supporting Indicators

Criterion	Indicators (where applicable)
Stated level of achievement vs. defined objectives	<ul style="list-style-type: none"> • Evidence of results reported at the impact level and their level of achievement • Evidence of results reported at the outcome level and their level of achievement • Evidence of results reported at the output level and their level of achievement • Evidence of reporting unintended results level and their level of achievement
Relevance	<ul style="list-style-type: none"> • Consistency with beneficiaries' needs (Partners-Institutions) • Consistency with poverty reduction if applicable • Consistency with Agency's policies and direction
Sustainability	<ul style="list-style-type: none"> • Country's ownership of the program goals • Funding for future operations is secured • Appropriateness of technology/approach • Institutional capacity to sustain results / program • Extent to which policy environment is enabling
Extent and nature of partnership	<ul style="list-style-type: none"> • Extent of policy engagement and dialogue with partners • Opportunities with other donors seized and taken advantage of
Management of the projects / programs	<ul style="list-style-type: none"> • Clear roles and responsibilities • Clarity of results expected and risks to be managed (Results and Risk based approach) • Evidence of appropriate management oversight of the initiative • Evidence of timely corrective action taken when needed (e.g. action on monitoring reports, mid-term evaluations etc.) • Organizational dynamism (motivation, leadership, human resources) • Evidence of coordination-harmonization with others

META-ANALYSIS SCORING SYSTEM

C1: Objectives Achievement/Results

Very good (4):	All program/project objectives indicated within each evaluation report are achieved and exceeded.
Good (3):	All program/project objectives indicated within each evaluation report are achieved.
Average (2):	Some of the program/project objectives indicated within each evaluation report are achieved.
Poor (1):	Few program/project objectives indicated within each evaluation report are achieved.
Not Demonstrated (0):	It cannot be determined from the evaluation report how the objectives contributed to the overall project goal.

C1a: Evidence of results reported at the impact level and their level of achievement

Very good (4):	The program/project has achieved or exceeded its stated goals and priorities including poverty reduction if applicable at the impact level.
Good (3):	The program/project has achieved consistency with the stated goals and priorities including poverty reduction if applicable at the impact level.
Average (2):	The program/project is somewhat consistent with the stated goals and priorities including poverty reduction if applicable at the impact level.
Poor (1):	The program/project is scarcely consistent with the stated goals and priorities including poverty reduction if applicable at the impact level.
Not Demonstrated (0)	One cannot tell from the evaluation report whether there are any objectives achieved at the impact level.

C1b: Evidence of results reported at the outcome level and their level of achievement

Very good (4):	The program/project has achieved or exceeded its stated goals and priorities including poverty reduction if applicable at the outcome level.
Good (3):	The program/project has achieved consistency with the stated goals and priorities including poverty reduction if applicable at the outcome level.
Average (2):	The program/project is somewhat consistent with the stated goals and priorities including poverty reduction if applicable at the outcome level.
Poor (1):	The program/project is scarcely consistent with the stated goals and priorities including poverty reduction if applicable at the outcome level.
Not Demonstrated (0):	One cannot tell from the evaluation report whether there are any

objectives achieved at the outcome level.

C1c: Evidence of results reported at the output level and their level of achievement

Very good (4):	The program/project has achieved or exceeded its stated goals and priorities including poverty reduction if applicable at the output level.
Good (3):	The program/project has achieved consistency with the stated goals and priorities including poverty reduction if applicable at the output level.
Average (2):	The program/project is somewhat consistent with the stated goals and priorities including poverty reduction if applicable at the output level.
Poor (1):	The program/project is scarcely consistent with the stated goals and priorities including poverty reduction if applicable at the output level.
Not Demonstrated (0):	One cannot tell from the evaluation report whether there are any objectives achieved at the output level.

C1d: Evidence of reporting unintended results level and their level of achievement

Very good (4):	The program/project has exceedingly achieved any unstated results.
Good (3):	The program/project has achieved any unstated results.
Average (2):	The program/project has somewhat achieved any unstated results.
Poor (1):	The program/project has scarcely achieved any unstated results.
Not Demonstrated (0):	No unintended results were evident in the report.

C3: Factors influencing Relevance (calculated score)

Very good (4):	The program/project has achieved or exceeded consistency with the priorities of targeted beneficiaries including poverty reduction strategies if applicable, and CIDA's poverty reduction priorities and strategies
Good (3):	The program/project has achieved consistency with the priorities of targeted beneficiaries including poverty reduction strategies if applicable, and CIDA's poverty reduction priorities and strategies
Average (2):	The program/project is somewhat consistent with the priorities of targeted beneficiaries including poverty reduction strategies if applicable and CIDA's poverty reduction priorities and strategies
Poor (1):	The program/project is scarcely consistent with the priorities of targeted beneficiaries including poverty reduction strategies if applicable and CIDA's poverty reduction priorities and strategies

Not Demonstrated (0): One cannot tell from the evaluation report whether there the relevance issue was addressed

Criteria 3a: Factor influencing relevance: Consistency with beneficiaries' needs (Partners-Institutions)

Very good (4): The program/project has achieved or exceeded consistency with the priorities of targeted beneficiaries.

Good (3): The program/project has achieved consistency with the priorities of targeted beneficiaries

Average (2): The program/project is somewhat consistent with the priorities of targeted beneficiaries

Poor (1): The program/project is scarcely consistent with the priorities of targeted beneficiaries

Not Demonstrated (0): One cannot tell from the evaluation report whether there the relevance issue in terms of beneficiaries' priorities was addressed

Criteria 3b: Factor influencing relevance: Consistency with poverty reduction if applicable

Very good (4): The program/project has achieved or exceeded consistency with the poverty reduction priorities and strategies of the beneficiaries

Good (3): The program/project has achieved consistency with the poverty reduction priorities and strategies of the beneficiaries

Average (2): The program/project has somewhat achieved consistency with the poverty reduction priorities and strategies of the beneficiaries

Poor (1): The program/project has scarcely achieved consistency with the poverty reduction priorities and strategies of the beneficiaries

Not Demonstrated (0): One cannot tell from the evaluation report whether there the relevance issue in terms of poverty reduction strategies of the beneficiaries was addressed

Criteria 3c: Factor influencing relevance: Consistency with Agency's policies and direction

Very good (4): The program/project has achieved and exceeded consistency with the priorities of CIDA's poverty reduction priorities and strategies

Good (3): The program/project has achieved consistency with the priorities of CIDA's poverty reduction priorities and strategies

Average (2): The program/project has somewhat achieved consistency with the priorities of CIDA's poverty reduction priorities and strategies

Poor (1): The program/project has scarcely achieved consistency with the priorities of CIDA's poverty reduction priorities and strategies

Not Demonstrated (0): One cannot tell from the evaluation report whether there the

relevance issue in terms of CIDA's poverty reduction priorities and strategies was addressed

C7: Factors influencing Sustainability (calculated score)

Very good (4):	The program/project has achieved and exceeded expectations of sustained results after the termination of CIDA's involvement in this particular project/program
Good (3):	The program/project has achieved expectations of sustained results after the termination of CIDA's involvement in this particular project/program
Average (2):	The program/project has somewhat achieved expectations of sustained results after the termination of CIDA's involvement in this particular project/program
Poor (1):	The program/project has scarcely achieved expectations of sustained results after the termination of CIDA's involvement in this particular project/program
Not Demonstrated (0):	One cannot tell from the evaluation report whether the results of the intervention will be sustainable

C7a: Country's ownership of the program goals

Very good (4):	The project/program goals are stated as key objectives and priorities in the national budget or other key priority-setting documents such as a national Poverty Reduction Strategy Paper.
Good (3):	The project/program goals are stated as objectives and priorities in the national budget or other key priority-setting documents such as a national Poverty Reduction Strategy Paper.
Average (2):	The project/program goals are stated as objectives in the national budget or other key priority-setting documents such as a national Poverty Reduction Strategy Paper.
Poor (1):	The project/program goals are stated only in a MOU with the national government or host agency, without reference to key national documents.
Not Demonstrated (0):	It is unclear from the evaluation report whether country ownership of the goals of the program/project was established

C7b: Funding for future operations is secured

Very good (4)	Either no future funding is needed for day-to-day operations to maintain the benefits of the program/project, or the host government/agency has endowed the program/project authority with sufficient resources for day-to-day operations for an extended period after CIDA's inputs end.
Good (3):	There is no actual endowment but there is a firm commitment of funds for future day-to-day operations and it is credible because of good past performance on similar commitments.

Average (2):	There is a firm commitment of funds for future day-to-day operations but it is not fully credible because of mixed past performance on similar commitments.
Poor (1):	There is a firm commitment of funds for future day-to-day operations but it is doubtful because of generally poor past performance on similar commitments.
Not Demonstrated (0):	It is unclear from the evaluation report whether there was a commitment of funds for future day-to-day operations or not.

C7c: Appropriateness of technology/approach

Very good (4):	The design and the approach of the project/program was exceedingly appropriate and was based on sound understanding of local and international context
Good (3):	The design and the approach of the project/program was appropriate and was based on understanding of local and international context
Average (2):	The design and the approach of the project/program was somewhat appropriate and demonstrated some understanding of local and international context
Poor (1):	The design and the approach of the project/program was almost inadequately appropriate and was scarcely based on understanding of local and international context
Not Demonstrated (0):	It cannot be determined by the report whether the approach and design used were appropriate and based on understanding of local and international context

C7d: Institutional capacity to sustain results / program

Very good (4):	The program/project design included a capacity building plan, with substantial investment in this activity. The plan was credible and successfully executed.
Good (3):	The program/project design included a capacity building plan, with substantial investment in this activity. The plan was credible and successfully executed for the most part with minor exceptions.
Average (2):	The program/project design included a capacity building plan, with modest investment in this activity. The plan was largely credible and successfully executed for the most part with minor exceptions.
Poor (1):	The program/project design did not include a capacity building plan. There were some capacity building activities but they were not a substantial part of the project or their success was poor.
Not Demonstrated (0):	It is unclear from the evaluation report whether capacity building was a significant part of the program/project, and was successful, or not.

C7e: Extent to which policy environment is enabling

Very good (4):	The policy environment is fully supportive of the success of the program/project and the program/project has strongly reinforced the desirable aspects of that environment.
Good (3):	The policy environment is largely supportive of the success of the program/project and the program/project has made a significant positive contribution to a good policy environment.
Average (2):	The policy environment supports the success of the program/project to a reasonable degree and the program/project has made a modest contribution to the desirable aspects of that environment.
Poor (1):	The policy environment supports the success of the program/project to a small degree and the program/project has made a small contribution to the desirable aspects of that environment.
Not Demonstrated (0):	It is unclear from the evaluation report whether the policy environment supports the project/program or whether the policy/program has significantly contributed to a good policy environment.

C8: Partnership: Extent and nature of Partnership

Very good (4):	The program/project had a clear plan for policy engagement and dialogue with partners and exerted great influence by executing its plan successfully. It also seized all opportunities to work with other donors and succeeded in those collaborations.
Good (3):	The program/project had a clear plan for policy engagement and dialogue with partners and exerted some influence by executing its plan successfully. It seized all opportunities to work with other donors and succeeded in most collaboration.
Average (2):	The program/project had a clear plan for policy engagement and dialogue with partners and exerted a small but significant influence by executing its plan successfully. It seized most opportunities to work with other donors and succeeded in most collaboration.
Poor (1):	The program/project did not have a completely clear plan for policy engagement and dialogue with partners and exerted only a very small influence on partners. It seized few opportunities to work with other donors and succeeded in little collaboration.
Not Demonstrated (0):	One cannot tell from the evaluation whether the program/project had a clear plan for policy engagement and dialogue with partners or exerted influence by executing its plan successfully. Or if it seized any opportunities with other donors or whether it succeeded in those that it did pursue.

C8a: Extent of policy engagement and dialogue with partners

Very good (4):	The program/project had a clear plan for policy engagement and dialogue with partners and exerted great influence by executing its plan successfully.
Good (3):	The program/project had a clear plan for policy engagement and dialogue with partners and exerted some influence by executing its plan successfully.
Average (2):	The program/project had a clear plan for policy engagement and dialogue with partners and exerted a small but significant influence by executing its plan successfully.
Poor (1):	The program/project did not have a completely clear plan for policy engagement and dialogue with partners and exerted only a very small influence on partners.
Not Demonstrated (0):	One cannot tell from the evaluation whether the program/project had a clear plan for policy engagement and dialogue with partners or exerted influence by executing its plan successfully.

C8b: Opportunities with other donors seized and taken advantage of

Very good (4):	The program/project seized all opportunities to work with other donors and succeeded in those collaborations.
Good (3):	The program/project seized all opportunities to work with other donors and succeeded in most collaboration.
Average (2):	The program/project seized most opportunities to work with other donors and succeeded in most collaboration.
Poor (1):	The program/project seized few opportunities to work with other donors and succeeded in little collaboration.
Not Demonstrated (0):	One cannot tell from the evaluation whether the program/project seized opportunities with other donors or whether it succeeded in those that it did pursue.

C9: Management of the Project/Program

C9a: Clear roles and responsibilities

Very good (4):	Authorities and accountabilities were fully defined and all contracts and agreements related to the program/project were performance based (linking clear outputs to payment).
Good (3):	Authorities and accountabilities were well defined and all contracts and agreements related to the program/project were performance based (linking clear outputs to payment).
Average (2):	Authorities and accountabilities were adequately defined, with few exceptions, and most contracts and agreements related to the program/project were performance based (linking clear outputs to payment).
Poor (1):	Some important authorities and accountabilities were not defined and many contracts and agreements related to the

program/project were not performance based (linking clear outputs to payment).
Not Demonstrated (0): It is not possible to tell from the evaluation report whether or not roles and responsibilities were clear.

C9b: Evidence of appropriate management oversight of the initiative

Very good (4): Exceedingly appropriate management oversight was employed throughout the project/program design, delivery and closing phases.
Good (3): Appropriate management oversight was employed throughout the project/program design, delivery and closing phases.
Average (2): Somewhat appropriate management oversight was employed throughout the project/program design, delivery and closing phases.
Poor (1): Scarcely appropriate management oversight was employed throughout the project/program design, delivery and closing phases.
Not Demonstrated (0): It is unclear according to the report whether any management oversight was employed throughout the project/program design, delivery and closing phases.

C9c: Evidence of timely corrective action taken when needed (e.g. action on monitoring reports, mid-term evaluations etc.)

Very good (4): Timely and corrective action was taken immediately and it was exceedingly suitable to the situation, during the progression of the project/program
Good (3): Timely and corrective action was taken, and it was suitable to the situation, during the progression of the project/program
Average (2): Somewhat timely and corrective action was taken and it was somewhat suitable to the situation, during the progression of the project/program
Poor (1): Belated corrective action was taken, and it was scarcely suitable to the situation, during the progression of the project/program
Not Demonstrated (0): Any need for corrective action or its suitability to the situation can be determined by the information provided in the report.

C9d: Organizational dynamism (motivation, leadership, human resources)

Very good (4) There is evidence of great organizational dynamism regarding team motivation, leadership and human resources.
Good (3): There is evidence of organizational dynamism regarding team motivation, leadership and human resources.
Average (2): There is evidence of some organizational dynamism regarding team motivation, leadership and human resources.
Poor (1): There is evidence of little organizational dynamism regarding

Not Demonstrated (0): team motivation, leadership and human resources.
Team dynamism regarding motivation, leadership and human resources cannot be determined with the information provided in the report.

C9e: Evidence of coordination-harmonization with others

Very good (4): There was evidence of exceedingly successful coordination-harmonization with other donors
Good (3): There was evidence of successful coordination-harmonization with other donors
Average (2): There was evidence of somewhat successful coordination-harmonization with other donors
Poor (1): There was evidence of diminutively successful coordination-harmonization with other donors
Not Demonstrated (0): It cannot be determined whether there was any coordination-harmonization with other donors

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APPENDIX E: INTERVIEW RESPONDENTS

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Naresh Singh (with Nalini Perera)

Director General Strategic Planning and Operations Directorate, Partnership with Canadians Branch

APPENDIX F: TABLES FOR QUANTITATIVE ASSESSMENT OF BILTERAL AND PARTNERSHIP CHANNELS

Figure F.1: Criteria Ratings: Bilateral Evaluations

n = number of evaluations for which a rating was provided

Objective achievement / results Criterion	Number Rated Very good	Number Rated Good	Number Rated Average	Number Rated Poor	n =
Stated level of achievement vs. defined objectives	2	12	1	0	15
Evidence of results reported at the impact level and their level of achievement	0	1	0	0	1
Evidence of results reported at the outcome level and their level of achievement	3	11	1	0	15
Evidence of results reported at the output level and their level of achievement	2	10	1	0	13
Evidence of reporting unintended results level and their level of achievement	0	1	0	0	1

Relevance Criterion	Number Rated Very good	Number Rated Good	Number Rated Average	Number Rated Poor	n =
Factors influencing relevance (rated by review team – calculated score)	4	11	0	0	15
Consistency with beneficiaries' needs (partners/ institutions)	3	12	0	0	15
Consistency with poverty reduction, if applicable	5	9	1	0	15
Consistency with Agency's policies and direction	3	11	1	0	15

Sustainability Criterion	Number Rated Very good	Number Rated Good	Number Rated Average	Number Rated Poor	n =
Factors influencing sustainability (rated by review team – calculated score)	0	8	7	0	15
Country's ownership of the program goals	1	9	5	0	15
Funding for future operations is	2	6	6	1	15

Sustainability Criterion	Number Rated Very good	Number Rated Good	Number Rated Average	Number Rated Poor	n =
secured					
Appropriateness of technology/ approach	0	8	7	0	15
Institutional capacity to sustain results / program	0	3	12	0	15
Extent to which policy environment is enabling	1	3	11	0	15

Figure F.2: Explanatory Variables Ratings: Bilateral Programs

n = number of evaluations for which a rating was provided

Extent and Nature of Partnership Criterion	Number Rated Very good	Number Rated Good	Number Rated Average	Number Rated Poor	n =
Extent and nature of partnership	3	12	0	0	15
Extent of policy engagement and dialogue with partners	4	11	0	0	15
Opportunities with other donors seized and taken advantage of	1	12	2	0	15

Program Management Criterion	Number Rated Very good	Number Rated Good	Number Rated Average	Number Rated Poor	n =
Management of the programs	0	11	4	0	15
Clear roles and responsibilities	0	7	8	0	15
Clarity of results expected and risks to be managed	1	10	4	0	15
Evidence of appropriate management oversight	2	6	6	1	15
Evidence of timely corrective action taken when needed (e.g. action on monitoring reports, mid-term evaluations etc.)	0	8	5	0	13
Organizational dynamism (motivation, leadership, human resources)	2	1	1	0	4
Evidence of coordination/harmonization with others	0	12	3	0	15

Figure F.3: Criteria Ratings: Partnership Evaluations

n = number of evaluations for which a rating was provided

Objective achievement / results Criterion	Number Rated Very good	Number Rated Good	Number Rated Average	Number Rated Poor	n =
Stated level of achievement vs. defined objectives	0	19	1	0	20
Evidence of results reported at the impact level and their level of achievement	0	2	0	0	2
Evidence of results reported at the outcome level and their level of achievement	1	17	2	0	20
Evidence of results reported at the output level and their level of achievement	2	18	0	0	20
Evidence of reporting unintended results level and their level of achievement	0	8	0	0	8

Relevance Criterion	Number Rated Very good	Number Rated Good	Number Rated Average	Number Rated Poor	n =
Factors influencing relevance (rated by review team – calculated score)	0	19	1	0	20
Consistency with beneficiaries' needs (partners/ institutions)	1	17	2	0	20
Consistency with poverty reduction, if applicable	0	18	1	0	19
Consistency with Agency's policies and direction	2	15	3	0	20

Sustainability Criterion	Number Rated Very good	Number Rated Good	Number Rated Average	Number Rated Poor	n =
Factors influencing sustainability (rated by review team – calculated score)	1	14	5	0	20
Country's ownership of the program goals	1	13	6	0	20
Funding for future operations is secured	1	7	11	1	20
Appropriateness of	1	11	8	0	20

Sustainability Criterion	Number Rated Very good	Number Rated Good	Number Rated Average	Number Rated Poor	n =
technology/approach					
Institutional capacity to sustain results / program	0	13	7	0	20
Extent to which policy environment is enabling	1	15	4	0	20

Figure F.4: Explanatory Variables Ratings: Partnership Programs

n = number of evaluations for which a rating was provided

Extent and Nature of Partnership Criterion	Number Rated Very good	Number Rated Good	Number Rated Average	Number Rated Poor	n =
Extent and nature of partnership	0	15	5	0	20
Extent of policy engagement and dialogue with partners	2	17	1	0	20
Opportunities with other donors seized and taken advantage of	0	14	6	0	20

Program Management Criterion	Number Rated Very good	Number Rated Good	Number Rated Average	Number Rated Poor	n =
Management of the programs	0	13	7	0	20
Clear roles and responsibilities	1	10	9	0	20
Clarity of results expected and risks to be managed	0	7	13	0	20
Evidence of appropriate management oversight	0	9	11	0	20
Evidence of timely corrective action taken when needed (e.g. action on monitoring reports, mid-term evaluations etc.)	1	5	12	0	18
Organizational dynamism (motivation, leadership, human resources)	1	6	0	0	7
Evidence of coordination and harmonization with others	1	17	2	0	20

See Appendix A for methodological details on aggregating sub-criteria to the main criteria.

APPENDIX G: SUMMARIES OF CORPORATE/THEMATIC EVALUATIONS

1. CIDA's Review of Program Based Approaches

In 2010, CIDA completed a review of program-based approaches.¹⁸⁰ This review was, in part, driven by CIDA's commitment to assess its PBAs when TB last approved the Terms and Conditions for the Agency's Gs&Cs. The review also looked at budget support, alternative delivery systems, and identifying lessons learned from international experience with PBAs. Using a methodology guided by OECD-DAC evaluation criteria as well as CIDA's, the evaluation team reviewed programming in five countries

The review consisted of country program evaluations in five countries, a review of multi-donor evaluations, and reviewing corporate program and project documents as well as financial data.

PBAs are defined in the Paris Declaration on Aid Effectiveness as a way of engaging in development cooperation that is guided by the principle of coordinated support for a locally-owned development program. PBAs can take various forms – general budget support, sector budget support or pooled funds.

Canada's investment in PBAs, since it endorsed the 2005 Paris Declaration, has been significant. Between 1999 and 2009, CIDA contributed more than \$2.6 billion CDN to PBAs, with two-thirds of that spent between 2006 and 2009.¹⁸¹ According to the 2008 monitoring survey of the PD, Canada's 2008 spending on PBAs accounted for 56% of its ODA, an increase of 4% from the previous survey conducted in 2005, and places Canada above the average of 46% for countries and organizations that provided data. CIDA's significant use of PBAs is in line with the Paris Declaration and AAA principles of harmonization, local ownership, and capacity building. Through PBAs, donor countries make use of local systems for program design and implementation and are usually aligned with the needs and priorities of partner countries.

The CIDA review found that PBAs were very relevant to the needs of partner countries. However, while the PBAs are relevant, their effectiveness varied across countries. The limitations included:

- Results falling short of plans because of overly ambitious expectations, the scale and complexity of the initiatives and the limitations on the local capacity;
- Continuing challenges with the sustainability of the benefits;
- The challenge of integrating cross-cutting themes, such as gender and the environment, into PBAs; and,
- Transaction costs, which were expected to decline with PBAs, appear to have been under-estimated.¹⁸²

The review found that, from an operational perspective, CIDA managers had exercised risk-based due diligence in the assessment of when, and what type of PBA, to use. It also noted

¹⁸⁰ "Synthesis Report: CIDA's Review of Program-Based Approaches", Evaluation Directorate, CIDA, March 2010

¹⁸¹ *Ibid*, p. 2

¹⁸² *Ibid*, p. 3 – 4

that the Agency has made adjustments throughout the period of the investment when the risk situation becomes more unfavourable. When the risks of working through partner governments were too high, the Agency made use of third parties, such as multilateral institutions or international NGOs. The risk of PBAs is also managed through CIDA's participation in in-country coordination and review mechanisms. Although some mechanisms are not functioning as well as they might be, they do provide opportunities to work with partner country governments and other donors to strengthen the coordination and accountability for PBAs.

Given how recently CIDA scaled up its use of PBAs, there is insufficient evidence to determine if PBAs contribute to the reduction of poverty. However, there was evidence to indicate that PBAs combined with other delivery modalities should serve to provide strong development results and promote effectiveness.¹⁸³ This finding was consistent with the findings of other PBA reviews.

2. Evaluation of General Budget Support

The intent of General Budget Support (GBS) is to improve the effectiveness of aid by disbursing funds through the partner country's own financial management system, keeping in line with the Paris Declaration principles. The Joint Evaluation of General Budget Support focused on the delivery of partnership general budget support (PGBS) by a group of bilateral and multilateral donors, including Canada. PGBS is a package that includes not only the financial aid provided, but also the conditionality, dialogue, technical assistance, harmonization and alignment associated with the delivery.¹⁸⁴ The intent of the evaluation was to examine the relevancy, efficiency and effectiveness of GBS in relation to poverty reduction and growth and focused on seven recipient countries.¹⁸⁵

In total, almost USD \$4 billion was transferred from donor countries to the study countries, of which Uganda received approximately half.¹⁸⁶ A breakdown of each donor's contribution was not included in the report reviewed. Moreover, the evaluation focused on the overall impact of PGBS rather than trying to assess each individual donor's impact.

The review found that the use of PGBS varied from country to country, in part due to the varying start dates of the funding. Overall, however, the evaluation team found results from the PGBS to be positive, largely due to the time and effort spent by donors on country analysis to understand local conditions, including the capacity of the public financial management systems and political risks.¹⁸⁷ Additionally, the report notes that while there were improvements to aid harmonization, there were still some challenges with disbursement arrangements and tranching.¹⁸⁸ Other areas in which PGBS had a positive impact were in strengthening public finance management systems, increased expenditures, and the ability of the partner country to expand basic services. With respect to the impact on poverty reduction,

¹⁸³ *Ibid*, p. 4-5

¹⁸⁴ "Evaluation of General Budget Support: Synthesis Report", IDD and Associates, May 2006, p. S1

¹⁸⁵ *Ibid*, p. S1

¹⁸⁶ *Ibid*, p. S2

¹⁸⁷ *Ibid*, p. S3

¹⁸⁸ *Ibid*, p. S4

the evaluation could not find definitive links between PGBS effects and poverty levels, due in part to the availability of data, time lags as well as other aid modalities in the countries.¹⁸⁹ PGBS as an aid modality has a number of advantages, including its inherent ability to support harmonization and alignment, its focus on improving government capacity and supporting country poverty reduction strategies and its intent to improve aid.¹⁹⁰ Part of the success of PGBS, however, is ensuring that there is a long-term commitment to its use in addition to not “overload” and expect more from the PGBS than what is feasible.¹⁹¹

The effects of PGBS extend to other aid modalities as this approach can influence the wider harmonization and alignment of aid, improve efficiency of budgeting and operations, improve coherence between sectors, and promote dialogue.¹⁹² Despite risks such as corruption and politics, the use of PGBS is, depending on country context, a modality donor countries should continue to consider as an option for aid delivery.

3. Multi-Donor Evaluation of Support to Conflict Prevention and Peace Building Activity in Southern Sudan

In 2010, the Multi-Donor Evaluation of Support to Conflict Prevention and Peace Building Activity in Southern Sudan was conducted to assess the impact of donor interventions in Southern Sudan since the signing of the Comprehensive Peace Agreement in January 2005. Canada, along with six development organizations and nine other donor countries, took part in the multi-donor evaluation which focused on the collective impact of interventions in Sudan rather than assessing the individual performance of each donor.

In total, Canada has contributed approximately CDN \$647 million in aid to Sudan from several departments, including: CIDA, DFAIT, DND and the RCMP.¹⁹³ Of this, USD \$250 million was included as part of the multi-donor program activities, representing 5.7% of the consolidated funding from the various donors.¹⁹⁴ Among the Conflict Prevention and Peace Building Activities (CPPB) funded included those relating to socioeconomic development, governance, just and peace-building.¹⁹⁵ Funding for Southern Sudan was channelled through actors such as the UN, NGOs, pooled funds, contractors and the government.¹⁹⁶

The CPPB activities have been seen as crucial to reducing violence in Southern Sudan in addition to establishing long-term, sustainable peace and development. That said, the evaluation team found that many of the activities were not entirely relevant to the context in which they were taking place, namely that of a country considered still to be “in conflict.” A contributing factor to this was the challenge of analysing and understanding the context, notably in understanding whether Southern Sudan is a ‘state’ and also of the causes of the conflict. In assessing the effectiveness of the CPPB, the team found that bilateral interventions

¹⁸⁹ *Ibid*, p. S7

¹⁹⁰ *Ibid*, p. S4 and S9

¹⁹¹ *Ibid*, p. S10

¹⁹² *Ibid*, p. S12

¹⁹³ “Multi-Donor Evaluation of Support to CPPB Activity in Southern Sudan – Synthesis Report”, p. 26

¹⁹⁴ *Ibid*, p. v

¹⁹⁵ *Ibid*, p. v

¹⁹⁶ *Ibid*, p.24

were the most effective as they could connect together objectives from different sectors. Problems with efficiency were due to donors often bypassing the system of pooled funds and multilateral programming, instead choosing to provide support bilaterally. Where pooled funds continued to be supported, transactional costs and delays in disbursement of funds affected the meeting of objectives. Problems were also noted with coherence of activities between donors with donors focusing on their own individual objectives. Sustainability of projects was found to be weak as there was a failure to sufficiently include the different levels of government. Ultimately, the team found that while the CPPB did have a positive impact in some aspects, overall, the conflict is ongoing despite the attempts to reduce violence.¹⁹⁷ Among the recommendations made by the evaluation team, critical among these is the need to engage in conflict analysis before implementing or revising programs. Engaging in such an analysis will help to build an understanding of the political tensions that exist in the area of focus as well as the causes of the conflict and instability. This analysis should be included throughout the programming cycle to help donors respond to changing circumstances and be more responsive to local contexts.¹⁹⁸ In respect to funding mechanisms, the evaluation found that multi-year commitments, while beneficial, can also restrict responsive programming. Instead, donors should engage in ongoing monitoring of the situation and utilize mechanisms that are flexible and will help meet the needs of the targeted beneficiaries.¹⁹⁹ Finally, donors should commit to building capacity and providing support for the various levels of government to support good governance in addition to establishing sustainable programs.

4. Review of Governance Programming in CIDA

CIDA published its synthesis report on Governance programming in the Agency in 2008.²⁰⁰ CIDA adopted its Policy on Human Rights, Democratization and Good Governance (HRDGG) in 1996 and a 2005 evaluability assessment found that conducting a full evaluation of the policy would be challenging due to a lack of reliable data. From this assessment, however, it was determined that a management review would provide a beneficial analysis of the implementation of the HRDGG Policy at CIDA. Two portfolio analyses accompanied the Policy review to provide information on results and lessons learned.

The HRDGG Policy outlines Canada's commitment to promoting human rights, democratization and good governance in the world and includes definitions of key terms and directions for implementing the policy, in addition to monitoring and evaluation. At the time of its adoption, there was a growing worldwide movement to integrate more thoroughly good governance into development programs, starting in early 1990s with the OECD/DAC producing resources on the issue.

Between 1995/96 and 2004/05, CIDA contributed between \$3.4 billion to \$3.8 billion in support of the implementation of the HRDGG Policy, with between \$450 million and \$500 million disbursed in the 2004/05 fiscal year.²⁰¹ The majority of funding has come from the

¹⁹⁷ *Ibid*, p. 18-20

¹⁹⁸ *Ibid*, p. 20-21

¹⁹⁹ *Ibid*, p. 21

²⁰⁰ "Review of Governance Programming in CIDA; Synthesis Report", Performance and Knowledge Management Branch, CIDA, April 2008

²⁰¹ *Ibid*, p. 3. The exact amount of funding is not known due to coding differences within CIDA.

Canadian Partnership Branch, representing between 23% and 25% of the total contribution.²⁰² Among the countries receiving the largest amounts of funding were Afghanistan, Haiti, and Ghana.²⁰³ Public sector reform and democratization initiatives account for approximately 80% of funding.²⁰⁴

The HRDGG Policy review found the management and delivery of governance programming to be ineffective. Further, there has been a failure within CIDA to adjust management and operational practices to current realities regarding human rights, democratization and good governance in addition to minimal support to build internal capacity to support the policy. At the time of its writing, the HRDGG Policy was deemed to be innovative and reflected not only Canada's approach to development with respect to the inclusion of human rights and good governance programming, but also that of the wider international cooperation community, in which Canada was seen as influential key player on these issues. Since then, however, this perspective has shifted and, further, the review found there to be a disconnect between the policy and its implementation. Among the key reasons for this disconnect are those pertaining to coordination, coherence, and communication across the Agency, including:

- An organizational culture that facilitates “silos” and leads to communication problems, minimizing the effectiveness and efficiency of the policy;
- Lack of front-end investment in developing an understanding of the context in which governance programming is being implemented to inform decision-making; and,
- Monitoring and evaluation of the policy is a challenge due to the inadequacy of data systems, the distribution of accountability throughout the Agency, and the inability to evaluate impacts and outcomes at a policy level.

The review further noted that in addition to lack of senior-level leadership for the policy, there is no lead coordinating body within the Agency on governance, leaving branches operating independently of one another on these issues. Compounding this issue is a lack of technical expertise in governance, leaving the Agency relying on a few individuals to provide support on policies and programs. These issues fed directly into the recommendations made in the review, namely to strengthen leadership, address accountability and coordination issues, build internal capacity and expertise and to ensure that managers have the ability to operationalize the policy, that is, they have the resources and tools necessary to incorporate governance into programming.

5. Evaluation of CIDA's Implementation of its Policy on Gender Equality

In 2008, CIDA conducted an evaluation of its implementation of the CIDA policy on gender equality (GE).²⁰⁵ CIDA has a long-standing commitment to the full and equal involvement of all people, regardless of gender, in sustainable development. In 1999, the Agency released its Policy on Gender Equality, reaffirming CIDA's commitment to advancing women's equality.

²⁰² *Ibid*, p.4. The difference in percentage is due to whether sector or priority coding was used.

²⁰³ *Ibid*, p. 4. The recorded amounts each country received depended on whether sector or priority coding was used.

²⁰⁴ *Ibid*, p. 1-2.

²⁰⁵ “Evaluation of CIDA's Implementation of its Policy on Gender Equality”, Bytown Consulting and C.A.C. International, April 2, 2008

Gender equality is a cross-cutting theme for all Canada's development assistance and, as a result, the advancement of GE is expected to be reflected to some extent in all CIDA investments.

The evaluation examined issues of commitment, enabling outcomes and effectiveness, development outcomes and relevance pertaining to CIDA's activities in gender equality. The evaluation involved a survey of CIDA staff, file review, document review, interviews and field missions to seven countries. During the course of the evaluation, the team experienced challenges due to the quality of sources for corporate data and documents and limited information available for the file and document review. Because of limitations in CIDA's project coding system, the evaluation was not able to report on the total GE investments. Although it is possibly an under-estimate of the total GE investment, between 1998/99 and 2005/06 CIDA reported spending \$793 million (5% of Canadian ODA) on GE programming.

The evaluation reported on the development outcomes of the GE-designated and non-designated investments, according to the three objectives of the GE policy:

- Reducing gender inequalities in access to, and control of, resources and benefits of development;
- Advancing women's equal participation as decision-makers; and,
- Realization of human rights for women and girls.

The evaluation found that the results were most often documented were in the area of increasing women's access to resources and benefits of development. This was explained by the fact that women have an important place among the beneficiaries for CIDA projects in key sectors. The second most commonly identified results were in the area of advancing women's participation as decision-makers. This was driven by investments that focused on building awareness and generating action on GE issues, building organizational capacity and strengthening civil society. Results were identified less frequently in the area of strengthening human rights for women and girls. (It was noted, however, that these results would only likely be identified in GE-designated investments.)

Similar results were found in CIDA's core funding and institutional support investments (albeit based on a limited number of investments). The evaluation noted that there was less reporting on GE results from the investments in core funding with non-government organizations (NGOs) and multilateral institutions.

The results of the field missions conducted for the evaluation highlighted GE results in some of the countries covered in the meta-analysis of country program evaluation reports. These included:

- Important investments, channelled through or targeting women, in socio-economic support to the ultra-poor in Bangladesh in which Canada plays a significant role and support to Bangladeshi NGOs dedicated to physical and emotional rehabilitation and reintegration of acid throwing victims, as well as punishment of perpetrators and prevention measures, which was a recognized success story for Canada;
- Significant results for Canada in promoting women's participation in water resource management, sanitation and hygiene-related practices in Ghana; and,

- Canada's successful support of the integration of GE into training of future political leaders and public servants responsible for implementing the GE law in Vietnam.

The evaluation noted that CIDA officials and staff of implementing partners and other donor organizations felt that the GE results are fragile. If GE commitments are not sustained over the long-term, the positive results of the past GE investments will not be sustained.

The recommendations of the GE evaluation reflect some themes emerging elsewhere in this report:

- CIDA's strong ongoing corporate commitment to GE needs to be redirected to achieve more focused and consistent results;
- Enabling outcomes need to be strengthened to support components of the GE policy that were not adequately addressed because of a lack of clear direction and accountability;
- CIDA needs to strengthen its accountability for, and reporting on, GE results; and,
- Since the GE policy remains relevant to CIDA's investments, the Agency needs to develop a strategic approach to addressing the new aid modalities.

The main finding of the evaluation is that, while the policy has been adopted across the Agency, there have been some challenges in monitoring, and reporting on, GE results, especially with NGOs. As such, it is challenging to know if GE was truly implemented as a cross-cutting theme across programs and projects.

6. Interdepartmental Evaluation: Canadian Landmine Fund Phase II

The interdepartmental evaluation of the Canadian Landmine Fund Phase II (CLF II) covered activities taking place between 2003 and 2008, following the conclusion of CLF Phase I which took place from 1997 to 2002. The objectives of CLF II consisted of five components: Treaty Ratification and Universalization, Advocacy: Research, Policy Development, Partnership, and Outreach; Promoting National and International Mine Action Technologies; Humanitarian Mine Action, Including Clearance, Mine Risk Education and Victim Assistance; and, Supporting the Research and Development of Mine Action Technologies.²⁰⁶ Both phases of the CLF involved the participation of three Canadian departments: CIDA, DFAIT and DND. CIDA's Mine Action Unit (MAU) had lead responsibility for activities pertaining to clearing landmines, mine risk education, and assisting mine victims. DFAIT was given lead responsibility for diplomatic activities such as promoting the Mine Ban Treaty and working with civil society on advocacy efforts. DND focused on research pertaining to landmines.²⁰⁷

Funding for CIDA's activities totalled \$34 million of a total \$72 million budgeted by the Canadian government for CLF Phase II. This amount is a decrease in funding from the previous phase, during which CIDA received \$50 million of the budgeted \$100 million. Globally speaking, Canada has contributed significantly to mine action activities with funding being allotted not only through the CLF, but also via CIDA's bilateral desks, Partnership

²⁰⁶ "Interdepartmental Evaluation Canadian Landmine Fund Phase II: Executive Report", CIDA Evaluation Directorate, DFAIT Evaluation Division & DND Directorate of Evaluation; Government of Canada, January 2010, p. 3-4.

²⁰⁷ *Ibid*, p. 4.

Branch, and International Humanitarian Assistance as well as DFAIT's Global Peace and Security Fund.²⁰⁸

In looking specifically at CIDA, the evaluation team found that the Agency was largely successful in its activities. Highlights of their successes include ensuring NGOs were actively participating in Treaty activities, including advocacy, mine risk education, and delivery of assistance to mine victims and linking mine clearance with long-term development in affected countries. The team found it was a challenge to sufficiently assess the impact of Canada's funding for clearance activities due to the nature of the pooled funding mechanism utilized with other donor countries. That said, the evaluation found that this activity continues to be one of great relevance as it is a core component of the Mine Ban Treaty. The report did not, however, find that there is a need for all three departments to focus more efforts on building capacity within affected countries to address mine-related issues.

The evaluation team also looked at the overall coordination of CLF Phase II and determined that there was potential to improve coordination and coherence among the three departments to work more collaboratively on Treaty activities. Each department has its own distinct culture and management practices and given the whole-of-government approach taken with the CLF, it would have been beneficial to establish an administrative body to oversee the coordination of activities and to improve planning, reporting, and monitoring of those activities.²⁰⁹ Further, the development of a five-year strategic plan or a detailed management plan would have helped improve collaboration. A coordinated management approach also would have ensured the objective of saving lives and promoting development was at the centre of all three department's activities, rather than being an objective only of CIDA.

²⁰⁸ *Ibid*, p. 5.

²⁰⁹ *Ibid*, p. 32.