

Evaluation Cooperation Group

Final Report - Annexes

Working Group on evaluation recommendations, management responses and feedback loops

This Final Report is the product of collective work by an ECG Working Group composed of the staff members from the following ECG members and observers:

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- GEF - Geeta Batra, Neeraj Kumar Negi
- WBG – Brenda Barbour, Kristin Strohecker, Bahar Salimova

The ECG Working Group was supported by a consortium of consultants led by Ramboll Management Consulting A/S. The team of consultants comprised: Xavier Le Den, Karin Attström, Tsvetelina Blagoeva and Georg Ladj (Particip GmbH).

Annex 1 – List of sources for the literature review

Documents provided by the ECG WG

Asian Development Bank (2016) Evaluation Recommendations, Management Responses and Action Plans in Report Year 2015

Asian Development Bank (2009) Revised evaluation policy

Boehmer, Hans-Martin (2015) Review of the Pilot Phase of the IDB's New Recommendation Tracking System

European Investment Bank (2015) "What makes good recommendations from evaluations?", Note to file: IG/EV/-/IY/EP

European Investment Bank (2009) Operations Evaluation (EV) Terms of Reference

European Investment Bank (2017) "Procedures for the Follow up of Recommendations (FUR) Issued by EV", Draft note to file: IG/EV/-/IY/DS/DD, 04 April 2017

Evaluation Cooperation Group (2010) Peer Review of IFAD's Office of Evaluation and Evaluation Function;

GEF IEO (2014) Report of the Second Professional Peer Review of the GEF Evaluation Function

Inter-American Development Bank (2016) AM-140-1 Procedures to Review, Respond and Follow-Up on Evaluations Prepared by the Office of Evaluation and Oversight

Inter-American Development Bank (2011) Report of the Independent Review Panel on Evaluation at the Inter-American Development Bank;

Islamic Development Bank (2016) ISDB GROUP OPERATIONS EVALUATION DEPARTMENT – GOED Evaluation lessons and recommendations formulation, dissemination and reporting: A guidance note'

International Fund for Agricultural Development (2015) Revised IFAD Evaluation Policy Paper (EB/2011/102/R.7/Rev.3)

International Fund for Agricultural Development (2016) President's Report on the Implementation Status of Evaluation Recommendations and Management Actions (PRISMA)

Independent Office of Evaluation of IFAD (2015) Evaluation Manual, Second Edition

Independent Office of Evaluation of IFAD (2016) Evaluation Manual II - Evaluation Processes Guidelines

Independent Evaluation Group, The World Bank Group (2015) Managing Evaluations: A How-To Guide For Managers and Commissioners of Evaluations

World Bank Group (2015) MAR Agreed Definitions and Process

World Bank Group (2015) External Review of the Independent Evaluation Group of the World Bank Group - Report to CODE from the Independent Panel

World Bank Group (2016) Management Action Record System Protocol

Academic literature

- Alkin, M. C. and Taut, S. M. (2003) Unbundling Evaluation Use; *Studies in Educational Evaluation* Vol. 29, pp. 1-12
- Balthazar, A. (2006) The effects of institutional design on the utilization of evaluation: Evidenced using qualitative comparative analysis (QCA); *Evaluation*, 12(3), 353-371.
- Cousins, J. B. and Leithwood, K. A. 1986 Current Empirical Research on Evaluation Utilization; *Review of Educational Research* Vol. 56(3), pp. 331-364
- Henry, G. T. and Mark, M. M. (2003) Beyond Use: Understanding Evaluation's Influence on Attitudes and Actions; *American Journal of Evaluation* Vol. 24(3), pp. 293-314
- Johnson, K., Greenesid, L. O., Toal, S. A., King, J. A., Lawrenz, F. and Volkov, B. (2009) Research on Evaluation Use: A Review of the Empirical Literature from 1986 to 2005; *American Journal of Evaluation*; Vol. 30(3), pp. 377-410
- Kirkhart, K. E. (2000) Reconceptualizing Evaluation Use: An Integrated Theory of Influence *New Directions for Evaluation*; Vol. 2000(88), pp. 5-23
- Leviton, L. C. (2003) Evaluation Use: Challenges and Applications; *American Journal of Evaluation*; Vol. 24(4), pp. 525-535
- Mark, M. M. and Henry, G. T. (2004) The Mechanisms and Outcomes of Evaluation Use *Evaluation*; Vol. 10(1), pp. 35-57
- Ramirez, R., Kora, G., & Shephard, D. (2015) Utilization Focused Developmental Evaluation: Learning Through Practice. *Journal of MultiDisciplinary Evaluation*, 11(24), 37-53
- Patton, M. (2008) *Utilisation Focused Evaluations* 4th Edition; ISBN 978-1-4129-8561-5
- Posavac, E. (2015) *Program evaluation: Methods and case studies*
- Shulha, L. M. and Cousins, J. B. (1997) Evaluation Use: Theory, Research, and Practice since 1986 *Evaluation Practice (now: American Journal of Evaluation)* Vol. 18(3), pp. 195-208
- Scriven, M. (1993) Hard-Won Lessons in Program Evaluation. *New Directions for Program Evaluation*.
- Svensson, K., & Cousins, B. (2015) Meeting at the Crossroads: Interactivity, Technology, and Evaluation Utilization. *Canadian Journal of Program Evaluation*, 30(2).
- Weiss, C. H. (1998) Have We Learned Anything New About the Use of Evaluation? *American Journal of Evaluation*; Vol. 19(1), pp. 21-33

Other sources

OECD (2016) *Review of evaluation systems in development co-operation*

Annex 2 – Methodology

DATA COLLECTION

Literature review

Objective: The literature review aimed to gather information on the processes by which ECG members and observers formulate recommendations and follow-up on their implementation. The review also considered theoretical research on this topic, including in the fields of evaluation utilisation and implementation theory, in order to frame the analysis of the processes applied by the ECG organisations.

Approach: The literature review takes the form of a Rapid Evidence Assessment (REA) that covered both documentary sources from the ECG organisations and academic research. The review of documents provided by ECG members focused on:

- Institutional policies and guidelines pertaining to evaluation recommendations and their follow-up;
- Reports on the status of recommendation implementation; and
- Relevant publicly available documentation on the formulation of evaluation recommendations and their follow-up.

Output: The part of the literature review that concerns documents provided by ECG members fed primarily into the stocktaking exercise. The review of research on the topic of the study was synthesised and integrated in the analysis. An overview of the sources included in the review is available in Annex 1.

Stocktaking exercise

Objective: The stocktaking exercise aimed to map the processes by which ECG members and observers formulate recommendations and follow-up on their implementation.

Approach: This task was based on the information provided by the ECG members through desk research and interviews. For each of the considered organisations, a mapping grid was filled out. The grid (see Annex 3) comprises a set of indicators/descriptors for the relevant processes in each organisation. The stocktaking took the approach of comparing the completed mapping grids for the purpose of identifying similarities and differences, as well as gaps in the available information. In addition to mapping the presence of guidelines or requirements for the studied processes, the review took stock of whether the processes are documented or not and, in case of the former, whether there are formally enacted policies (e.g. endorsed by the management or the Board) or working documents (not formally approved/enacted papers, guidelines).

Output: The mapping part of the stocktaking exercise resulted in completed mapping grids for each organisation. The comparison of the results was synthesised along the main themes for the review:

- The process for formulating recommendations;
- The process for formulating management response to the recommendations; and
- The process for following-up and reporting on recommendations.

Interviews

Objective: The objective of the interviews was to gather in-depth information about the experience of representatives of the evaluation, service, management and board functions at ECG organisations with the implementation of the studied processes and the utilisation of evaluation recommendations.

The interviews were used to:

- Fill in gaps and validate the mapping grids for each organisation;
- Collect examples of cases where the processes in question had favourable or unfavourable outcomes;
- Understand the contributing factors to these outcomes; and
- Identify lessons that can be drawn from the experience.

Approach: The interview programme covered representatives of the different functions of the ECG members who have agreed to participate in this review. On average, six persons were interviewed in

each organisation over the phone or via video conference connection. The interviews were documented in minutes by the interviewers.

The interviews were semi-structured. Certain interview questions were posed to all respondents, while others were added, omitted or tailored on a case-by-case basis, depending on the information identified about the recommendation response and follow up process at the interviewee’s organisation during the stock taking exercise.

Each interview with evaluation function representatives started with a discussion of the processes and procedures in the interviewee’s organisation as regards the utilisation of evaluation recommendations; thereby validating the information summarised in the mapping grids produced by the stocktaking exercise.

Output: A total of 40 interviews were carried out. The following tables provide an overview of the interviews by organisation and type of respondent.

Table 1 Overview of interviews carried out by function of the interviewee

Function	Number of interviews carried out
Board	2
Evaluation	19
Management	9
Services	10
Total	40

Table 2 Overview of interviews carried out by organisation of the interviewee

Organisation	Number of interviews carried out
ADB	5
EIB	7
GEF	3
IDB	9
IFAD	5
IsDB	6
WBG	5
Grand Total	40

Each interview was documented in interview minutes. The interview minutes were coded in line with the main research questions and the results were synthesised for the subsequent analysis.

ANALYSIS

Objective: The objective of the analysis task was to identify both the main factors that influenced the attainment of favourable outcomes in the studied processes and the lessons for promoting the recurrence of desirable outcomes in the aforementioned stages in the evaluation process, while precluding the recurrence of undesirable outcomes.

Approach: The results of each of the data collection activities were synthesised and integrated at the analysis stage of this assignment.

In order to illustrate the findings, a selected number of **case studies** of particular situations in which the studied processes had desirable or undesirable outcomes were presented.

The results of the analysis fed into the formulation of **lessons/guidance** for promoting the recurrence of desirable outcomes while precluding the recurrence of undesirable ones.

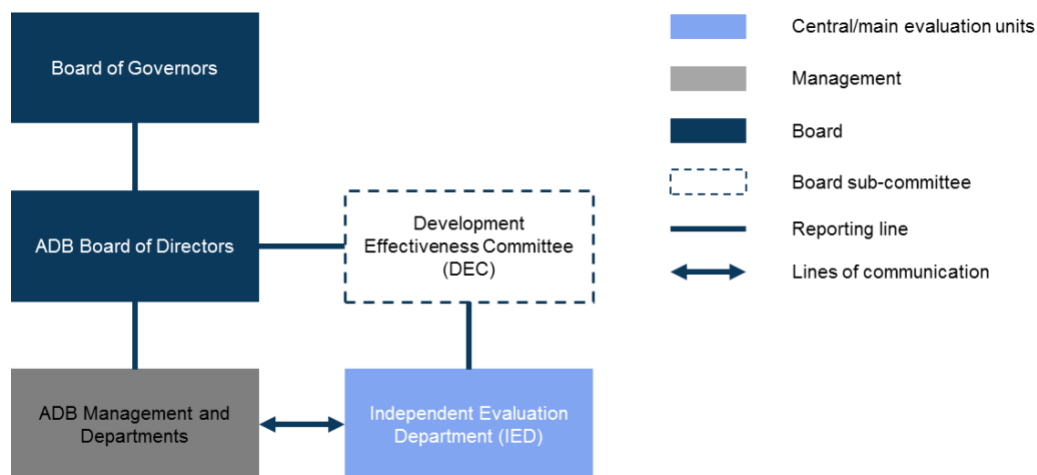
Output: The analysis is presented the main deliverable – this Final Report.

Annex 3 – Organisational schemes of the ECG participating institutions

The following organisational schemes have been developed in order to give the reader a better understanding of the governance structure of the ECG members and observers participating in this review and the position of the evaluation functions within these in terms of reporting and communication lines.

The schemes and description are developed on the basis of the models featured in the OECD 2016 Review - Evaluation Systems in Development Co-operation.

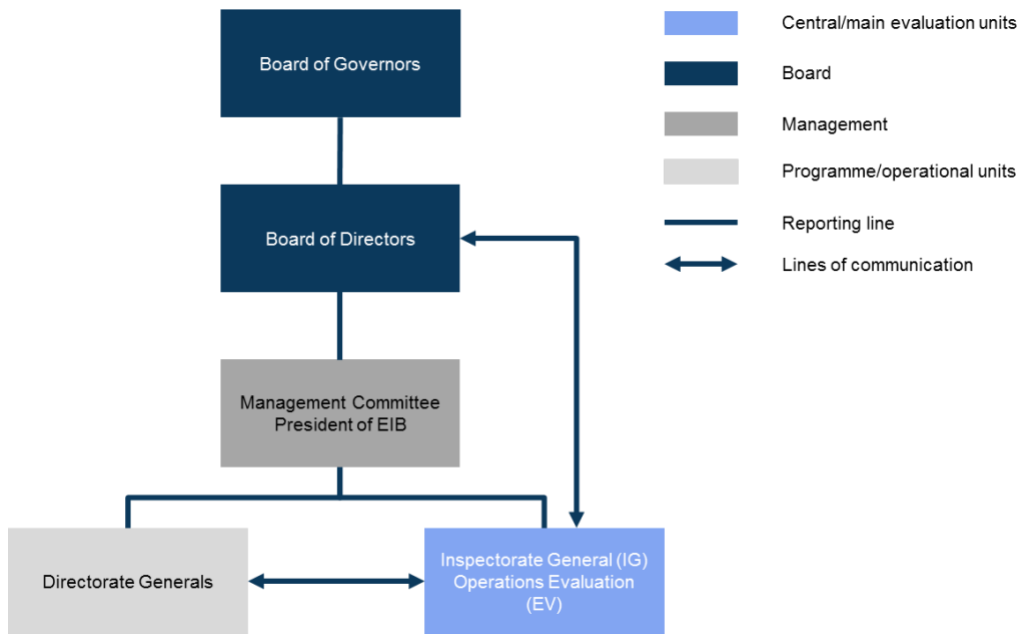
1. ADB



IED reports to ADB’s Board of Directors through the Development Effectiveness Committee (DEC). The DEC consists of six members of the Board of Directors. The Dean of the Board of Directors proposes the members of the DEC - and the designated DEC Chairperson - to the President, who then approves these. The DEC provides the oversight function for ADB’s independent evaluation and plays a central role in the communication between the IED and the Board. The DEC oversees the evaluation programme, reviews all IED reports, reports to the Board on important development effectiveness issues, and assists the Board in ensuring the achievement of the desired outcomes and the efficient use of resources.

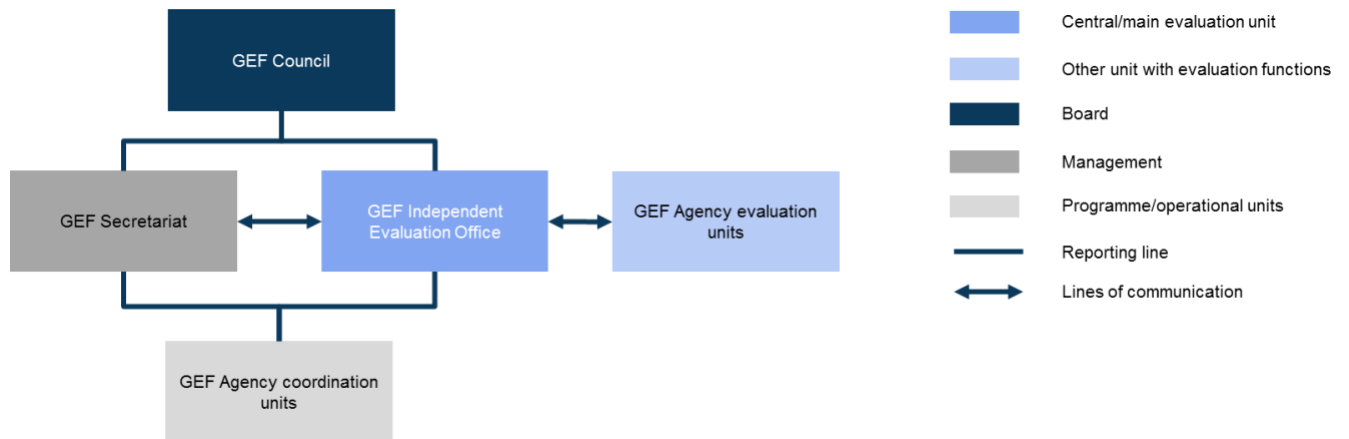
IED annual prepares and updates its rolling three-year evaluation programme in consultation with both ADB Management, the DEC and the Board. The work programme is reviewed by the DEC and subsequently submitted to the Board for approval.

2. EIB



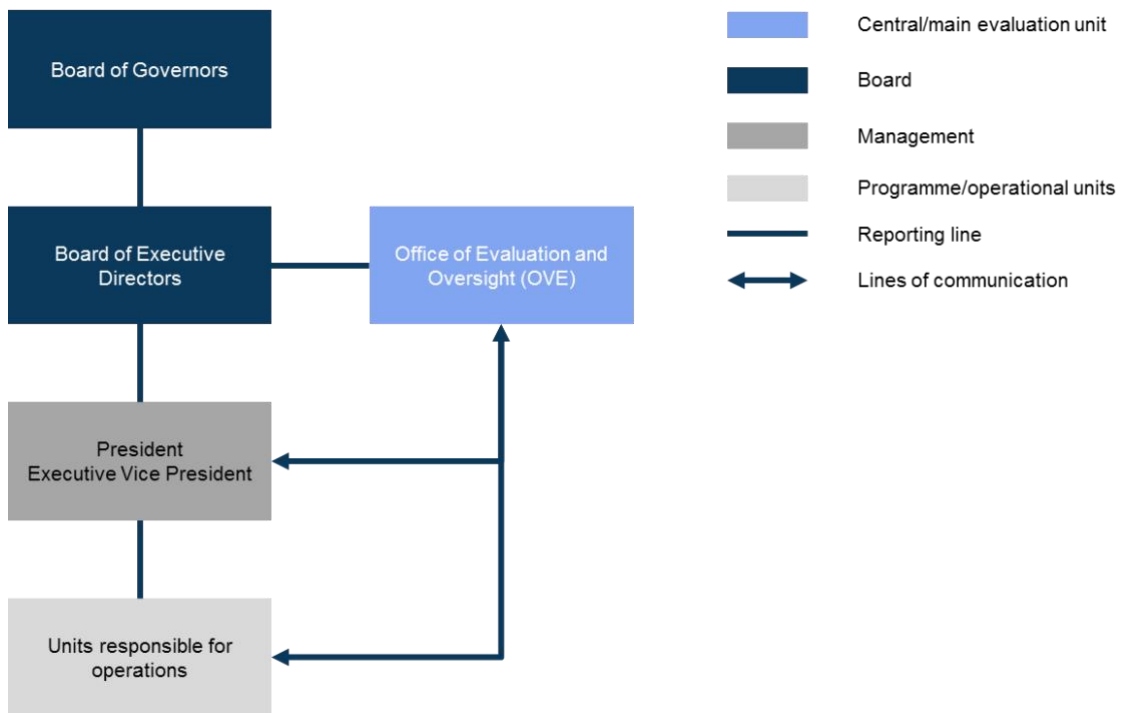
EIB's Inspectorate General comprises three control and accountability functions: Operations Evaluation, Fraud Investigation and Complaints Mechanism. Operations Evaluation (EV) is a division within the Inspectorate General. EV's evaluation reports are presented to the Management Committee for discussion. Following this, evaluation reports are sent without change to the Board of Directors for discussion. EV reports on the implementation of recommendations to the Management Committee on a quarterly basis and twice a year to the Board of Directors.

3. GEF



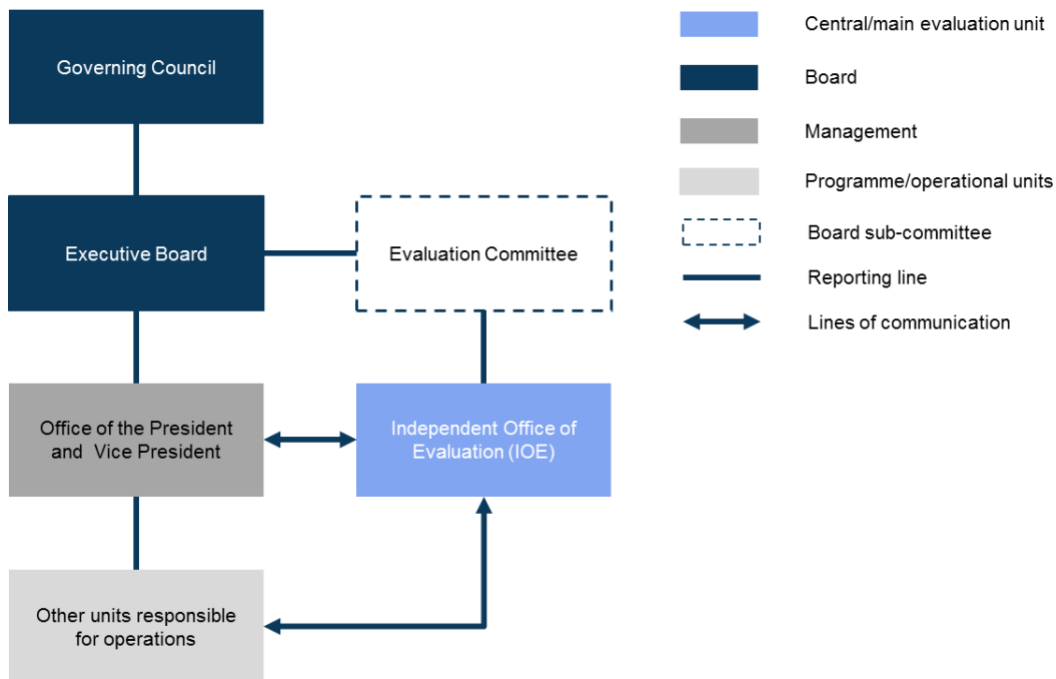
The GEF IEO is independent from the policy-making, the delivery, and management of assistance in the GEF. The IEO Director is accountable directly to the GEF Council for the work of the Office and reports directly to the Council. The GEF coordination units report to the GEF IEO on evaluation related matters – they facilitate GEF IEO's access to GEF projects on the round and are responsible for submitting terminal evaluations of completed projects to the GEF IEO.

4. IDB



OVE is an independent unit reporting directly to the Board of Executive Directors of the IDB. OVE prepares brief summaries of its evaluation and sends them to Senior Management, including the President of the Bank, prior to the scheduled Board presentation.

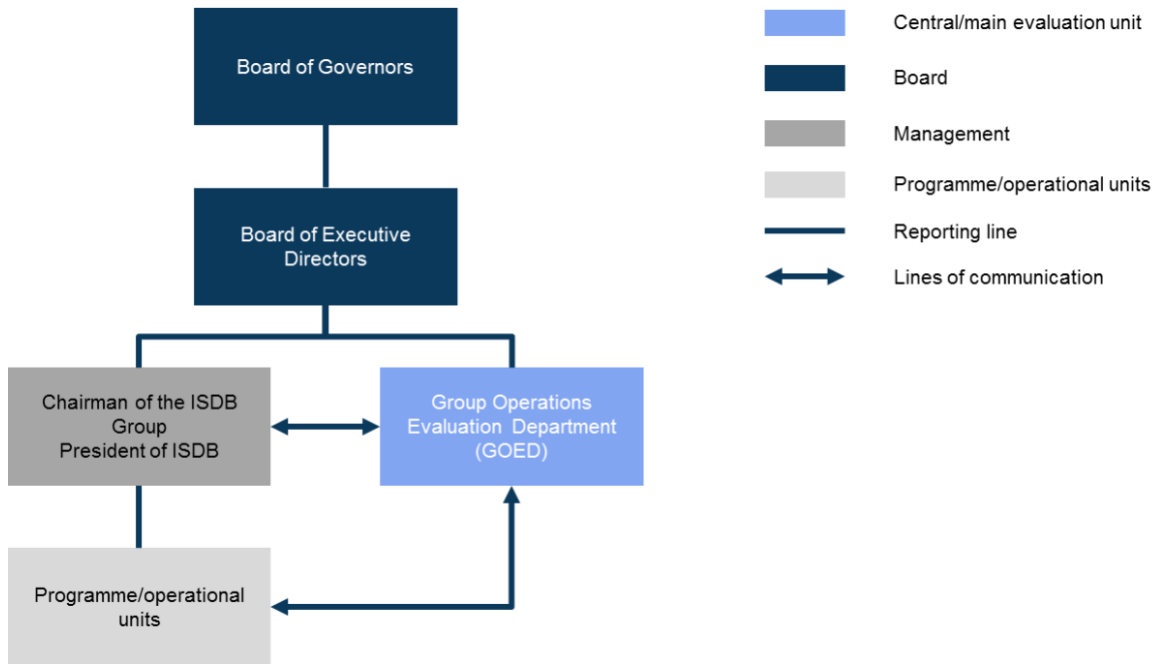
5. IFAD



IOE is fully independent from the Management and reports to the IFAD Executive Board via the Evaluation Committee. The Evaluation Committee is a sub-committee of the Executive Board which performs in-depth reviews of selected evaluation issues and the Independent Office of Evaluation's (IOE) strategies and methodologies. It discusses selected evaluation reports and it also makes suggestions for including evaluations of particular interest to the Committee in the IOE annual work programme.

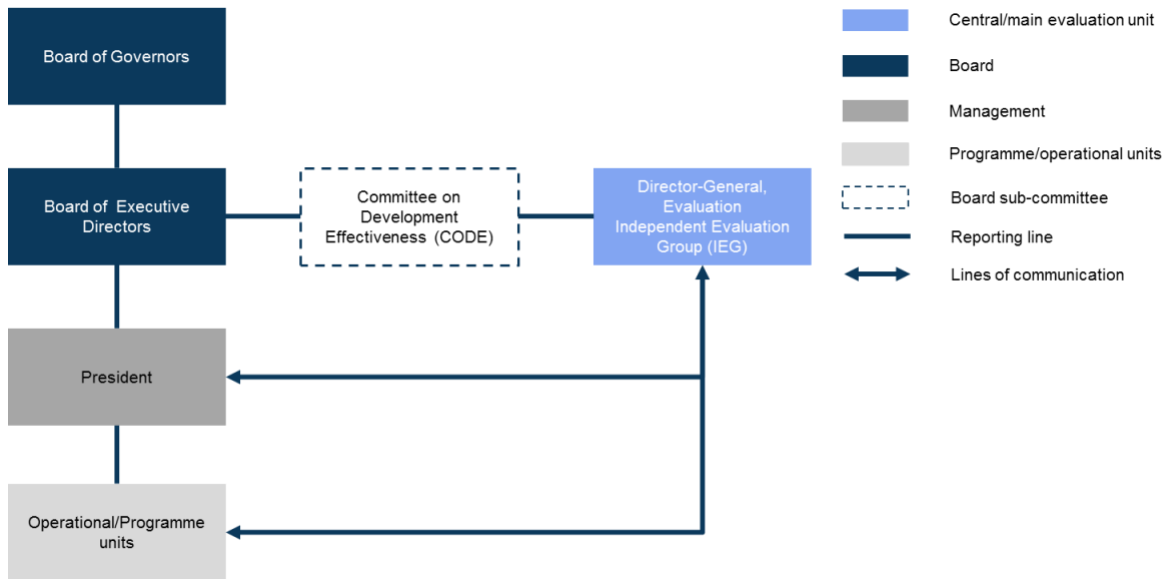
The Evaluation Committee members are elected by the Executive Board itself for a three-year term of office. The Committee meets formally four times a year; before each of the (three) sessions of the Executive Board. Another meeting is held in October with the specific objective of discussing the annual IOE work programme and budget. The Committee may also hold informal meetings if and when required.

6. IsDB



The Group Operations Evaluation (GOE) Department reports directly to the Board of Executive Directors (BED) of the Islamic Development Bank. The GOE mandate and scope of work were expanded to encompass all types of interventions of the IDB and IDB Group entities.

7. WBG



The Independent Evaluation Group (IEG) is an independent unit within the World Bank Group. The Director General, Evaluation (DGE) is the head of IEG and oversees IEG's evaluation work, which includes all independent evaluation work as well as assessment of the Bank Group's self evaluation systems. The DGE reports directly to the Board of Executive Directors, which oversees IEG's work through its Committee on Development Effectiveness (CODE). CODE has an oversight functions over the IEG.

Annex 4 – Mapping grids for the ECG participating institutions

In the following mapping grids, the presence of different elements and roles in the studied processes is described, with clarification of the status as either:

- Formal policy – formally enacted policy
- Draft policy – work in progress, for future formal policy
- Working document – paper, guideline, not formally approved/enacted
- Practice – informal practice reported during interviews or referred to in other sources (e-mail, presentations etc.)

1. ADB

Indicator / Descriptor	Status	Description	Source
Background			
Name of organisation	-	Asian Development Bank (ADB)	-
Name of evaluation function	-	Independent Evaluation Department (IED)	-
Overall comments/ Summary	-	The Management Action Record System (MARS) tracks actions taken by the Management of the Asian Development Bank (ADB) on evaluation recommendations and their corresponding management responses, action plans, and actions taken by Management. The process flow through its main phases: (i) acceptance; (ii) implementation, and (iii) reporting. IED inputs recommendations into the MARS from its major evaluation studies (e.g., thematic, corporate, country assistance, sector wide). The Office of the Managing Director General, ¹ in collaboration with the concerned implementing and coordinating departments, is responsible for monitoring actions taken in response to the recommendations and for recording implementation progress in the system. The results are consolidated and analyzed in IED's Annual Evaluation Review (AER) report.	-
Process of developing recommendations			
Presence of policy/guidelines for development of recommendations	Formal policy	In the section "Guiding principles" of the evaluation policy of ADB, overall considerations for quality, relevance and utility of evaluations and recommendations is addressed. There are no specific policies or guidelines for recommendations.	Revised evaluation policy 2009, p14
Entity responsible for the process	Formal policy	Evaluation function - IED IED conducts evaluation and formulates recommendation(s). It then uploads and tags formulated recommendation(s) in a management action record (MAR) stored in the MARS. All evaluation recommendations from major evaluations like thematic/corporate evaluations, impact evaluations, and country program evaluations/validations are uploaded onto MARS.	Revised evaluation policy 2009 and ADB (2017)

¹ The function of MDG is vacant at the moment, and it seems this function will not be retained. At the moment, Management's responsibility for monitoring actions rests with the Strategy, Policy and Review Department (SPRD).

Indicator / Descriptor	Status	Description	Source
Involvement of management in the process	Formal policy	Meeting For major evaluations, IED holds a meeting with the relevant directors general to discuss and, ideally, reach a mutual understanding on corresponding conclusions and recommendations. Draft evaluation recommendations will be discussed with ADB operations management, as appropriate.	Operations manual 2013 Revised evaluation policy 2009, p16
Involvement of staff / beneficiaries in the process	Formal policy	Meeting In the evaluation policy it is stated that all draft IED reports are to be circulated to the relevant operations department(s) as well as the assisted DMCs for review and comments and that draft evaluation recommendations are to be discussed with ADB operations management, as appropriate.	Revised evaluation policy 2009, p 16
Presence of recommendation standards (type, format, level of detail etc.)	-	-	-
Presence of defined users of recommendations	Practice	Not directly defined, however management appears to be the main recipient of recommendations.	Interview
Timelines for the development of recommendations	-	Technical meeting on recommendations typically takes places one week after the meeting with the Heads of Department to discuss the draft evaluation, as revised following interdepartmental comments	-
Process of formulating management response to the recommendations			
Presence of policy/guidelines for management response to evaluation report recommendations	Working document/Formal Policy	The evaluation policy and the working document on the MAR system (ADB (2017)) provide a description of the process.	ADB (2017) Revised evaluation policy 2009
Entity responsible for the process	Working practice	Management At the moment, this responsibility rests with SPRD (see also footnote 1), which coordinates and consolidates the input from operations.	ADB (2017)
Roles in the process	Working practice	Responsibility is shared between relevant regional departments and SPRD.	-
Involvement of the organisation's board(s) in the process	Working document	Yes. Development Effectiveness Committee (DEC) of the Board of Directors discusses the response.	ADB (2017)
Requirements for management to meet and discuss the recommendations	Working document	Yes. Both recommendations and management response are discussed at the Development Effectiveness Committee (DEC) meeting. The DEC is a subcommittee of the board of directors.	ADB (2017)
Requirement for management to provide a formal response to the recommendations	Working document	Yes. Management is required to accept or reject the recommendations in its management response. Recommendations that are not accepted are stored into a MAR but are not tracked.	ADB (2017)

Indicator / Descriptor	Status	Description	Source
Presence of templates/tools for management response	Working practice	Management response used to be done in the form of a memo from the MDG's office; this memo now comes from SPRD (see also footnote 1).	ADB (2017)
Presence of an (IT) system to facilitate the process	Working document	There is no specific IT system to facilitate this. In the next stage of the process, the Management Action Record System (MARS) tracks actions taken by ADB on evaluation recommendations and their corresponding management responses and action plans.	ADB (2017)
Timelines for the formulation of management response	Working Practice	Management accepts or rejects the recommendations in its Management response within two weeks .	ADB (2017)
Process for following-up and reporting on the take up of recommendations			
Presence of policy/guidelines for follow-up to evaluation report recommendations	Working document	The working document on the MAR system (ADB (2017)) provides a description of the process.	ADB (2017)
Entity responsible for the process	Working document Formal policy	Management for monitoring implementation; IED for reporting to DEC/ Board ADB Management is responsible for ensuring that the implementation of action plans is periodically tracked. IED is responsible for reporting to the DEC, with a copy to the Board (through the MARS chapter in the Annual Evaluation Review).	ADB (2017); Revised evaluation policy 2009, p17 (para 64)
Roles in the process for: management, evaluation unit, operational units	Working document	ADB Management follows the process, approves actions and ensures follow up is undertaken by the implementing or coordinating department. IED validate, follow-up and report on progress.	ADB (2017)
Involvement of the organisation's board(s) in the process	Working practice	Yes. DEC discusses the consolidated reporting and progress on the implementation of recommendations (i.e., the MARS chapter in the AER).	ADB (2017)
Requirement for formulation of an action plan for follow-up actions	Working document	Yes. As the focal points in implementing and coordinating ADB departments subsequently enter proposed action plans and action completion target dates in MARS, no later than 60 days after the management response or DEC meeting.	ADB (2017)
Requirement for monitoring the implementation of follow up actions	Working document	Yes. A two-stage assessment of actions taken on completed recommendations begins with Management doing a self-assessment of the action plan status. By the action completion target date, the implementing/coordinating department assesses and classifies the extent of implementation of the accepted recommendation as fully, largely, partly or not implemented, in the MARS. The extent of adoption and supporting details are then uploaded into the MARS. IED validates and reports on Management's own assessment of actions completed on a yearly basis. This vetting is done every October-December in line with the AER timeline. The validation process involves consultations between IED and the concerned implementing, and coordinating department staff. IED	ADB (2017)

Indicator / Descriptor	Status	Description	Source
		will then upload the validation results, extent of implementation and supporting details into the MARS.	
Presence of tools or templates to facilitate the process	Working document	MARS system (internal IT system for MAR) Lotus Domino platform	ADB (2017)
Presence of an (IT) system to facilitate the process	Working Document	MARS system (internal IT system for MAR) Lotus Domino Platform	ADB (2017)
Requirement for reporting on the implementation of follow up actions (e.g. in Annual report)	Formal policy	Yes. IED validates and reports on implementation progress in the AER.	Revised evaluation policy 2009, p17
Timelines for following up on recommendations	Working document	60 days after management response or DEC meeting	ADB (2017)
Timelines for reporting on the take-up of recommendations	Working document	Implementing or coordinating department management update on action-plan progress twice a year. Annual reporting via AER.	ADB (2017)
Feedback loop mechanisms			
Presence of policy/guidelines for feedback loop mechanism	-	-	
Roles in the feedback loop mechanism	-	-	
Presence of an (IT) system to facilitate the process	-	-	
Publication and dissemination processes			
Presence of policy/guidelines for publication and dissemination of evaluation-related documents	Formal policy	The Revised evaluation policy includes guidelines for the publication of evaluation-related documents. The Lessons Database allows users to search ADB's activities as documented in evaluation reports and other official documents. The website (http://evaluation-lessons.org/) is managed by IED as part of its mandate to identify and communicate evaluation lessons for improving the development impact of policies, strategies, programs, and projects.	Revised evaluation policy 2009, p17 http://evaluation-lessons.org/
Requirements (timing, process, target groups) for publications of evaluations and recommendations	Working practice	Evaluations and recommendations are published when the report has been discussed in the DEC.	Revised evaluation policy 2009, p17
Requirements (timing, process,	Formal policy	Management response is published with the evaluation report on the IED website	AER 2016

Indicator / Descriptor	Status	Description	Source
target groups) for publications of management response			
Requirements (timing, process, target groups) for publications of follow-up reports	Formal policy	Follow up of evaluation recommendations and management actions is published in the MARS chapter of the Annual Evaluation Review	AER 2016

Sources:

ADB (2009) Review of the Independence and Effectiveness of the Operations Evaluation Department – Policy paper – **includes revised evaluation policy**

ADB (2016) Annual Evaluation Review (AER) 2016

ADB (2017) The Management Action Record System

2. EIB

Indicator Descriptor /	Status	Description	Source
Background			
Name of organisation	-	European Investment Bank (EIB)	-
Name of evaluation function	-	Operations evaluation (EV)	-
Overall comments /Summary	-	<p>EIB has developed a comprehensive system for the formulation and follow-up of recommendations. In line with its mandate (<i>Operations Evaluation (EV) Terms of Reference (2009)</i>), EV makes recommendations for every evaluation it undertakes. In February 2013, the EIB Board of Directors (BoD) requested: (i) to have an explicit Management response for each recommendation issued by EV and for the overall evaluation report and, (ii) to receive more regular and substantial reporting on the implementation of recommendations. EV addressed these requests and, in cooperation with the Services, developed a quarterly follow up of recommendations (FUR) approach. Prior to 2013 the BoD received a “Services Response” to evaluation reports and recommendations, however, the BoD requested that the MC takes responsibility for the recommendation implementation process and that responses to recommendation be signed off by the Management Committee.</p> <p>A recent “draft note to file” records: existing practice; the launch of the FUR’s SharePoint Application; the integration of the improvements agreed with the Services; and changes stemming from the most recent requests of the Management Committee (MC) and BoD (e.g. the elaboration of time-bound action plans for each recommendation)².</p>	-
Process for developing recommendations			
Presence of policy/guidelines for development of recommendations	Formal policy	<i>The Operations Evaluation (EV) Terms of Reference (2009)</i> foresees that recommendations are part of evaluations.	EIB (2009), p3
	Working document	A “note to file” authored by EV (2015) defines a “good recommendation”. The main criteria for a good recommendation are credibility, usefulness and timeliness. Each criterion is further operationalised into a set of sub-criteria and a number of useful pieces of practical advice to ensure that recommendations fulfil the criterion.	EIB (2015)
	Draft Formal policy	A “draft note to file” prepared by EV (2017) describes procedures for the Follow up of Recommendations (FUR), which integrates current practice as well as upcoming improvements, and provides some information on drafting recommendations so that they are in line with good practice.	EIB (2017)

² The rating scale for implementation of recommendations needs to be revised. The share point application has been rolled out internally in EV but still needs to be fully deployed. Apart from this the current note is deemed to reflect current practice at the EIB.

Indicator / Descriptor	Status	Description	Source
Entity responsible for the process	Formal policy	<p>Evaluation function (EV)</p> <p>EV is mandated by the BoD to draft evaluation reports, including synthesis reports, which present the findings of the evaluation and make recommendations for implementation.</p>	EIB (2009), p3
Involvement of management in the process	Working document	<p>2 consultation rounds - (written comments) at Services and at DG level followed by discussion by management.</p> <p>Under the criterion “usefulness”, the note advises to “encourage [the] participation of both operational and decisional Services to the Reference Group” and “discuss emerging issues identified in the course of the evaluation process with the Reference Group, prior to delivering the final report”.</p>	EIB (2015), p1-2
	Draft Formal policy	<p>EV organises two consultation rounds of the thematic evaluation report: one at Services level and a second one at DG level (see below).</p> <p>The thematic evaluation report is then sent to the MC for discussion.</p>	EIB (2017), p2
Involvement of staff / beneficiaries in the process	Working document	<p>Written comments + Workshop</p> <p>Under the criterion “usefulness”, the note advises EV to “encourage participation by stakeholders in the development of recommendation”. It is suggested that EV presents emerging findings and conclusions during a workshop, in view of drafting recommendations.</p>	EIB (2015), p1-2
	Draft Formal policy	<p>The Services are encouraged to provide input and comments to EV on the draft recommendations at two different moments:</p> <ul style="list-style-type: none"> ▪ While drafting a thematic evaluation report, EV organises a workshop to discuss findings, conclusions and emerging recommendations with the members of the reference group and other relevant staff; services are encourage to participate in a Reference Group ▪ Prior to sending a thematic evaluation report to the MC for discussion, EV organises two consultation rounds: one at Services level and a second one at DG level. <p>Note that prior to the aforementioned workshop, EV organises a workshop with EV staff to present the main findings, key conclusions and recommendations of the report. The aim of this internal workshop is to test the main findings and conclusions of the report, as well as the relevance and robustness of the recommendations before presenting them to the reference group and other relevant staff.</p>	EIB (2017), p2

Indicator / Descriptor	Status	Description	Source
Presence of recommendation standards (type, format, level of detail etc.)	Working document Practice	Guidance + Internal peer-review process Under the criterion “usefulness”, the note on what makes good recommendations provides some indication of how recommendations should be drafted (formulation, level of detail, target group etc.). There is an internal peer review process for the recommendations which involves a Team Leader, the Head of EV and the Inspector General. The review is based on the evidence available in the report and the reviewers’ experience in evaluation.	EIB (2015) Interviews
Presence of defined users of recommendations	Working document	Yes. Under the criterion “usefulness”, the note advises to high level decision makers. Then, “the subsequent action plan is targeted to clearly specified users (actions are within the responsibilities of these users)”.	EIB (2015), p1-2
Timelines for the development of recommendations	Draft Formal policy	No overall timeframe. The “draft note to file” (2017) provides an indicative timing of the key steps of the FUR. 7 weeks are allocated to for the consultation on recommendations (t1 + 7 weeks).	EIB (2017), p2
Process for formulating management responses to the recommendations			
Presence of policy/guidelines for management response to evaluation report recommendations	Formal policy Draft Formal policy	<i>The Operations Evaluation (EV) Terms of Reference (2009)</i> foresees that: <ul style="list-style-type: none"> • Management responds to the recommendations within evaluation reports • BoD is informed and discusses <i>The “draft note to file” prepared by EV (2017)</i> describes procedures for the Follow up of Recommendations (FUR), including management response and action plan.	EIB (2009), p3 EIB (2017), p3
Entity responsible for the process	Draft Formal policy	Management + Services Management responses are drafted by the Services, and discussed and approved by the MC.	EIB (2009), p3
Roles in the process	Draft Formal policy	On behalf of the MC, the Services draft the management response. The MC discusses and signs off on the response. EV dispatches to the BoD a package composed of the thematic evaluation report and the management response.	EIB (2017), p2
Involvement of the organisation’s board(s) in the process	Draft Formal policy	Yes. The BoD discusses the recommendations.	EIB (2017), p2
Requirements for management to meet and discuss the recommendations	Formal policy	Yes. EV ToR (2009) requires that evaluation reports and recommendations are sent to BoD for discussion. Reports may (or may not) be accompanied by a reply from the MC. As further specified in the latest “draft note to file” (2017), in practice, MC meets to discuss the evaluation report and recommendations, and	EIB (2009), p3 EIB (2017), p2

Indicator / Descriptor	Status	Description	Source
	Draft Formal policy	discuss and approve the management response to the report and recommendations, as drafted by the Services. EV then dispatches to the BoD a package composed of the thematic evaluation report and the management response. In turn, BoD discusses the recommendations.	
Requirement for management to provide a formal response to the recommendations	Formal policy	Yes. The EV ToR (2009) foresees that MC expresses its point of view when a recommendation is rejected by the operational Services.	EIB (2009), p3
	Draft Formal policy	More recently, the BoD has requested MC to issue responses (not just Services) so that responsibility is assumed at the appropriate level within the EIB's governance structure. Each EV thematic evaluation report is now accompanied by an overall Management response, and a response for each recommendation.	EIB (2017), p2
Presence of templates/tools for management response	Draft Formal policy	For each recommendation, a specific Management response needs to be prepared. The Management response for each recommendation must start with the words "not agreed", "partially agreed" or "agreed".	EIB (2017), p2
Presence of an (IT) system to facilitate the process	Practice	There is no specific IT system to facilitate this. Initially the Management Response is inserted within placeholders in the template evaluation report. Once the Management Response is finalised, it can then be copied and pasted into the Sharepoint application for the follow up of recommendations	Interviews
Timelines for the formulation of management response	Draft Formal policy	The "draft note to file" (2017) provides an indicative timing of the key steps of the FUR. Following the MC's discussion of the evaluation report, 9 weeks are allocated to formulating management response to the recommendations.	EIB (2017), p3
Process for following-up and reporting on the take up of recommendations			
Presence of policy/guidelines for follow-up to evaluation report recommendations	Formal policy	<i>The Operations Evaluation (EV) Terms of Reference (2009)</i> foresees that EV periodically reports on the implementation of the recommendations.	EIB (2009), p3
	Draft Formal policy	<i>The "draft note to file" prepared by EV (2017)</i> describes procedures for the Follow up of Recommendations (FUR), including formulation of actions plans, as well follow-up and reporting on the progress on the implementation of the action plans.	EIB (2017), p4
Entity responsible for the process	Draft Formal policy	Services + EV The Services are responsible for the drafting and implementation of actions plans. These plans lay down: the actions to be taken to implement the recommendation; the timeline for the implementation of each action; the type of evidence that will be provided to show that the action has been implemented; and details the specific Service responsible/accountable for implementing or coordinating the actions for that recommendation.	EIB (2017), p2

Indicator / Descriptor	Status	Description	Source
	Formal policy	EV has taken lead in ensuring periodical reporting on the implementation of the recommendations.	EIB (2009), p3
Roles in the process	Draft Formal policy Draft Formal policy	<p>The Services prepare an action plan for all recommendations that are agreed and partially agreed. The action plans are informally sent to, and discussed with EV³.</p> <p>The Services (through a Designated Counterpart) collect, check, and input relevant information on the implementation of recommendations within the follow-up system. They review and comment upon FUR Reports, which are shared by EV in draft form with the relevant Services (yet EV maintains full discretion over the content of the final version of the FUR reports).</p> <p>EV prepares the FUR report quarterly. An EV Contact Person reviews and summarises information provided by the Services on the implementation of recommendations. The FUR Panel, composed of EV's team leaders and Head of Division, validates the changes in the status of recommendations, as proposed by the Contact Person. It ensures consistency in the treatment of recommendations across evaluations over time.</p> <p>The MC receives the FUR report quarterly for discussion and possible action.</p>	EIB (2017), p2 EIB (2017), p4
Involvement of the organisation's board(s) in the process	Draft Formal policy	Yes. The BoD receives the FUR report twice a year for discussion.	EIB (2017), p4
Requirement for formulation of an action plan for follow-up actions	Draft Formal policy	Yes. Action plans are prepared by the Services for all recommendations that are agreed and partially agreed. The action plans are discussed with EV.	EIB (2017), p2
Requirement for monitoring the implementation of follow up actions	Draft Formal policy	Yes. EV follows up on the implementation of recommendations based on the action plan developed by the Services. EV solicits the Services to provide evidence on the implementation of a recommendation quarterly and validated accordingly.	EIB (2017), p4
Presence of tools or templates to facilitate the process	Draft Formal policy	<p>Yes – template for action plans.</p> <p>Action plans should clearly state:</p> <ul style="list-style-type: none"> ▪ The actions to be taken; ▪ The timeline for the implementation of the actions; ▪ The type of evidence that will be provided to show the action was implemented; ▪ The specific Service taking the lead in implementing or coordinating the actions for that recommendation, including a clearly 	EIB (2017), p2

³ EV will flag to the Services if the action plan is not addressing the recommendation. But it is formally role of the MC to comment on the Action Plan.

Indicator / Descriptor	Status	Description	Source
		<p>Designated Counterpart for the follow up process.</p> <p>For assessment of implementation, different implementation status categories (i.e. implemented, in progress, no progress, no longer relevant) are defined. EV assesses the degree of implementation of recommendations based on the evidence provided by the Services as per the action plan. Within EV, the Contact Person for each evaluation proposes the change of status of a recommendation and the FUR Panel either: validates the proposition; validates the proposition subject to further evidence; or rejects the proposition.</p>	EIB (2017), p4
Presence of an (IT) system to facilitate the process	Draft Formal policy	<p>Yes. Action Plans are included in a follow-up system.</p> <p>In the past, the system applied a Microsoft Excel to capture, store and analyse all information relating to the FUR. A new application based on Microsoft SharePoint is soon to be rolled out⁴: it will allow for easier exchange and storage of information for all participants in the FUR process.</p> <p>Follow up is primarily done through the follow-up system (currently a Microsoft Excel spreadsheet but soon a Microsoft SharePoint application), and may be supplemented by email correspondence or face-to-face meetings between the Services and EV.</p>	EIB (2017), p2 EIB (2017), p4
Requirement for reporting on the implementation of follow up actions (e.g. in Annual report)	Draft Formal policy	<p>Yes. EV reports to the MC and to the BoD:</p> <ul style="list-style-type: none"> ▪ The objective of the MC's FUR Note is to ensure that the MC is aware of the progress the Bank has made in implementing recommendations, and any bottlenecks that require the MC's intervention. When an evaluation is monitored in the MC's FUR Note for the first time, its action plans may be found in annex. ▪ The BoD report includes an annex listing all outstanding recommendations as well as those that reached completion during the reporting period 	EIB (2017), p5
Timelines for following up on recommendations	Draft Formal policy	<p>Yes. The "draft note to file" (2017) provides an indicative timing of the key steps of the FUR. Following the Board's discussion on the evaluation report, 5 weeks are allocated for the formulation of action plans.</p>	EIB (2017), p2 EIB (2017), p4

⁴ In Q1 2017, the SharePoint system was tested within EV in parallel with the Excel spreadsheet. In Q2 2017, the SharePoint will be rolled out and replace the Excel spreadsheet.

Indicator / Descriptor	Status	Description	Source
		EV follows up on the implementation of recommendations on a quarterly basis. The “draft note to file” (2017) provides an indicative timing of the key steps of the FUR. 17 weeks are allocated to the quarterly follow up process during Q1 and Q3, as the FUR reports are only sent to the MC for discussion. While, for Q2 and Q4, when FUR reports are also sent to the Board, the time allocated is approximately 19 weeks.	
Timelines for reporting on the take-up of recommendations	Draft Formal policy	Yes. EV reports to the MC every quarter, and to the BoD twice a year. The “draft note to file” (2017) provides an indicative timing of the key steps of the FUR. In principle, the launch of the quarterly follow up process starts during the first 10 days of the last month of a quarter (i.e. March, June, September and December). A total of 17 weeks are allocated to the reporting on the take-up of recommendations, including 13 weeks for reporting to the MC and 17 for reporting to the BoD.	EIB (2017), p4 EIB (2017), p5-6
Feedback loop mechanisms			
Presence of policy/guidelines for feedback loop mechanism	None	Recent initiatives illustrate continuous learning: <ul style="list-style-type: none"> EV is currently finalising the development of a SharePoint application to support the follow up on the implementation of recommendations; the tool is currently being tested and feedback from EV (in Q1 2017) and the Services (in Q2 2017) is now being collected. EV is currently liaising with the Secretariat General (SG) in relation to the practical modalities for their involvement in the evaluation recommendation process. Reasons for SG’s involvement include (i) The need for action at a higher level (e.g. MC and/or BoD-level) and (ii) A lack of clear allocation of responsibility for the implementation of the recommendation 	Interviews
Roles in the feedback loop mechanisms	None	Not specified.	-
Requirements for a feedback loop mechanism	None	Not specified.	-
Presence of an (IT) system to facilitate the process	None	Not specified	-

Indicator / Descriptor	Status	Description	Source
Publication and dissemination processes			
Presence of policy/guidelines for publication and dissemination of evaluation-related documents	Formal policy	<i>The Operations Evaluation (EV) Terms of Reference (2009)</i> foresees that the findings, conclusions and recommendations of evaluation work are communicated to operational staff, EIB Group decision makers and stakeholders.	EIB (2009), p3
Requirements (timing, process, target groups) for publications of evaluations and recommendations	Formal policy	All evaluation reports are disclosed. The findings, conclusions and recommendations of evaluation work are communicated to operational staff, EIB Group decision makers and stakeholders. The EIB disclosure policy is applicable.	EIB (2009), p3
Requirements (timing, process, target groups) for publications of management response	Practice	The management response is published with the rest of the evaluation.	
Requirements (timing, process, target groups) for publications of follow-up reports	Draft Formal policy	Follow-up reports are addressed to the board Board and Management Committee but are not made public. The Services will soon have access to the follow-up system on the Sharepoint application. MC and BoD access to the Sharepoint application may be explored at a later date. MC Reports are dispatched during the month following the end of a quarter (i.e. April, July, October and January). BoD reports are dispatched for the next available BoD meeting, following discussion of the report in the MC	EIB (2017), p5

Sources:

“EV Procedures Manual 2017”

“What makes good recommendations from evaluations?”, Note to file: IG/EV/NotNum/IY/EP, 11 September 2015

Operations Evaluation (EV) Terms of Reference, September 2009 (As approved by the EIB Board of Directors)

“Procedures for the Follow up of Recommendations (FUR) Issued by EV”, Draft note to file: IG/EV-/IY/DS/DD, 04 April 2017

“Follow up of Evaluation Recommendations: Involvement of the Secretariat General”, Draft note to file: IG/EV/2017-38/IYP/SVV, 19 April 2017

Additional sources consulted:

“ECG June meeting – Session 7: Recommendations and feedback loop”, IG/-/EV/-/-, 26 June 2015

“The Follow-Up of Recommendations at the European Investment Bank”, 12th EES Biennial Conference, 26-30 September 2016

Operations Evaluation (EV) Activity Report 2013 and Work Programme 2014-2015” (CA/475/14).

3. GEF

Indicator / Descriptor	Status	Description	Source
Background			
Name of organisation	-	Global Environmental Facility (GEF)	-
Name of evaluation function	-	Independent Evaluation Office (IEO)	-
Overall comments/ Summary	-	The process of formulating recommendations, management response and follow-up/report at the GEF is based on a mix of formal policies and working practices. Key roles in the processes are played by the GEF IEO, the GEF Secretariat and the GEF Council. The results of the process are reported on annually, in the context of the Management Action Record report.	-
Process of developing recommendations			
Presence of policy/guidelines for development of recommendations	Practice	All recommendations are developed by IEO staff and there are no formal guidelines for this. There are emerging working practices about this, but not documented ones.	Interview
Entity responsible for the process	Practice	Evaluation function - GEF IEO	Interview
Involvement of management in the process	Practice	Written comments + meeting The GEF secretariat, GEF Agencies and other stakeholders, receive a draft final report, which includes recommendations, that they are invited to comment on. There is also involvement via the reference groups set up for major evaluations (described in the following row).	Interview
Involvement of staff / beneficiaries in the process	Practice	Written comments + meeting GEF Secretariat, Agencies and other stakeholders may provide inputs on the draft report and may suggest areas for action, including potential recommendations. Recommendations are developed taking into account the evaluation findings and conclusions. For major evaluations, a reference group is set up with the relevant agencies, the Secretariat, and other key stakeholders represented in the group. Thus, these stakeholders are in the loop on findings emerging from the analysis of data. They are able to provide real time feedback on factual errors and errors of analysis. They are also able to identify important areas for recommendation. The GEF IEO prepares draft evaluation recommendations. These are then shared with the GEF management. In instances where there are major differences in the perspectives of GEF IEO and the Management, a meeting may be called to discuss and resolve these. Often these differences may be resolved by making the recommendations more precise. Where difference in perspectives continues to persist, the Management may note it in its formal response to the evaluation.	Interview
Presence of recommendation	Practice	Working practices on the type and level of detail of the recommendations	Interview

Indicator / Descriptor	Status	Description	Source
standards (type, format, level of detail etc.)		The current practice is to clarify who the recommendation is addressed to in the explanation of the recommendation, although most of the recommendations tend to be targeted at the GEF Secretariat. Increasingly, the timeline for implementation is also suggested in the recommendations. Content-wise, the practice is to avoid too directional recommendations (e.g. "GEF should improve M&E"), which are considered not very useful, unless specific actions are also suggested in the explanation; the recommendations should provide sufficient detail on the objective of the recommendation and how it can be achieved. The usual practice in developing recommendations is to consider if the recommendation is realistic, what action can be taken, what is the timeframe within which the action to be tracked and the expected result.	
Presence of defined users of recommendations	Practice	Yes. The practice is that each recommendation is addressed to a specific entity that is relevant for its implementation.	Interview
Timelines for the development of recommendations	Practice	There is no overall timeline, but services/management have two weeks or more to provide feedback on the proposed recommendations.	Written feedback
Process of formulating management response to the recommendations			
Presence of policy/guidelines for management response to evaluation report recommendations	Formal Policy	The GEF Monitoring and Evaluation Policy 2010 contains policy/ guidelines for management response to evaluation report recommendations.	GEF (2010), p. 8
Entity responsible for the process	Formal Policy	Management The GEF CEO coordinates the preparation of the management response with Agency stakeholders for GEF Council consideration, tailored to each evaluation report.	GEF (2010), p. 8
Roles in the process	Formal Policy	The GEF IEO verifies the quality of responses to ensure recommendations have been addressed and have a chance of being implemented, but is not responsible for the substance of the response. The GEF Agencies ensure that recommendations from GEF-related evaluations, whether conducted by the GEF Independent Evaluation Office or independent evaluation units within the Agencies, are submitted for decision making and action within the Agencies.	GEF (2010), p. 8
Involvement of the organisation's board(s) in the process	Formal Policy	Yes. The Council discusses and reviews GEF M&E reports, the recommended actions, and the management responses; takes any necessary decisions; and gives guidance to the GEF on policies or an appropriate plan of action within specific time frames.	GEF (2010), p. 8

Indicator / Descriptor	Status	Description	Source
Requirements for management to meet and discuss the recommendations	Practice	In some instances, the management may set up a working group to address a recommendation (in anticipation of the decision).	Interview
Requirement for management to provide a formal response to the recommendations	Formal Policy	Yes. A management response is required for all evaluation and performance reports presented to the GEF Council by the GEF Independent Evaluation Office. Management responses should clearly indicate whether management accepts, partially accepts, or rejects the recommendations, and explain the reasons.	GEF (2010), p. 8
Presence of templates/tools for management response	-	There is no standard template for the management's response. The management response to an evaluation is provided to the GEF Council by the Management as a separate Council Working Document. The document is presented to the Council during its discussions on the relevant evaluation. The response to the recommendations is embedded within the response to the evaluation.	Written feedback
Presence of an (IT) system to facilitate the process	-	An IT system is not used. The exchange of information on management response that is under formulation is through word documents. The final response is uploaded as a working document for the GEF Council, along with the evaluation.	Written feedback
Timelines for the formulation of management response	Practice	The management usually has at least two weeks to formulate its response.	Written feedback
Process for following-up and reporting on the take up of recommendations			
Presence of policy/guidelines for follow-up to evaluation report recommendations	Formal policy	The GEF Monitoring and Evaluation Policy 2010 contains policy/ guidelines for following-up and reporting on the take-up of recommendations	GEF (2010), p. 8
Entity responsible for the process	Formal policy	GEF Independent Evaluation Office	GEF (2010), p. 8
Roles in the process	Formal policy	In consultation with the appropriate GEF partners, the GEF Independent Evaluation Office and the GEF Secretariat report to the Council on the follow-up of Council decisions; these decisions and follow-on actions are compiled in a management action record provided to the Council on an annual basis. The process goes as follows: GEF IEO prepares a template with the issued recommendations and the corresponding council decision. Management makes a self-assessment of the level of adoption. The GEF IEO responds to that and both assessments are published in the annual report.	GEF (2010), p. 8
Involvement of the organisation's board(s) in the process	Formal policy	Yes. The GEF Council is the recipient of information on the follow-up to recommendations.	GEF (2010), p. 8

Indicator / Descriptor	Status	Description	Source
Requirement for formulation of an action plan for follow-up actions	-	There is no formal requirement for an action plan in response to decisions of the Council. In many cases, by the time an evaluation report is discussed by the Council, actions have already been initiated by management to enact issues identified in the evaluation and addressed by the recommendations. In some instances the management may establish working groups to address the recommendations.	Interview
Requirement for monitoring the implementation of follow up actions	Formal policy	Yes. There is systematic follow-up on the implementation of the evaluation recommendations that have been accepted by management and/or the GEF Council, with periodic review and follow-up on the status of implementation of the evaluation recommendations.	GEF (2010), p. 8
Presence of tools or templates to facilitate the process	Working practice	Yes. Management's response on progress is provided in the template provided to them by the GEF IEO. The template is in form of a table which lists the recommendations of the relevant evaluation, the Council's decision on the recommendation, and, where applicable, past assessments of the progress in adoption of the Council's decision.	Interview
Presence of an (IT) system to facilitate the process	-	-	Interview
Requirement for reporting on the implementation of follow up actions (e.g. in Annual report)	Formal policy	Yes. Decisions and follow-on actions are compiled in a management action record provided to the Council on an annual basis.	GEF (2010), p. 8
Timelines for following up on recommendations	Formal policy	There is no general timeline. Each recommendation is tracked on the basis of its individual timeframe for implementation. The implementation of a decision is generally tracked for up to 4-5 years. The decisions are graduated when the GEF IEO assesses the adoption of the decisions to be "high" or, where appropriate, "significant". They may be retired if the relevant Council decision becomes obsolete due to subsequent Council decisions.	Interview
Timelines for reporting on the take-up of recommendations	Practice	Reporting is done annually for the recommendations which were due to be implemented during the year. The Management Action Record (MAR) report was first presented in 2006 (MAR 2005) and, thereafter, it has been prepared and presented annually.	Interview; MAR 2015
Feedback loop mechanisms			
Presence of policy/guidelines for feedback loop mechanism	-	-	Interview

Indicator / Descriptor	Status	Description	Source
Roles in the feedback loop mechanism	-	-	
Requirements for a feedback loop mechanism	-	-	
Presence of an (IT) system to facilitate the process	-	-	
Publication and dissemination processes			
Presence of policy/guidelines for publication and dissemination of evaluation-related documents	Practice	Finalized evaluations are published online, and are available at the GEF IEO website. In addition, the Council Working Document or Council Information Document versions are also available at the Council document webpage. Hard copies of the evaluation may also be published on a needs basis and at request of the evaluation stakeholders. The evaluators are also encouraged to share the findings of the evaluations through inter-agency meeting, seminars, blogs and knowledge products.	Written feedback
Requirements (timing, process, target groups) for publications of evaluations and recommendations	Practice	The evaluation reports are published online at the GEF IEO website. The documents uploaded for the Council meetings also remain available through the council documents webpage of the GEF Secretariat. The detailed steps of the process are as follows: The draft of the evaluations that are presented to the Council should be ready about two months before the Council meeting during which they are presented. Usually, the management is given at least two weeks to provide feedback on the draft report. A revised draft of the evaluation report is shared with the Management. Its given about two months for its response – the Office may discuss the evaluation report and the Management’s draft response with the Management’s response, and the two may revise their respective documents based on the feedback from the other. After this interaction, the Office may either upload the document without any changes or with minor changes. The finalized evaluation report is uploaded as a Council document four weeks before the Council meeting where it is to be presented. However, these Council documents are not treated as final documents. The evaluations are then edited and prepared for publication. This process is usually completed within six month of the relevant Council meeting.	Written feedback
Requirements (timing, process, target groups) for publications of	Practice	The management response should be published along with the GEF IEO evaluation, usually at least four weeks before the Council meeting where the evaluation is discussed.	Written feedback

Indicator / Descriptor	Status	Description	Source
management response			
Requirements (timing, process, target groups) for publications of follow-up reports	Practice	Follow-up on implementation is published in the MAR report.	Written feedback

Sources:

Global Environment Facility Evaluation Office - The GEF Monitoring and Evaluation Policy 2010 Evaluation Document November 2010, No. 4

GEF (2016) Management Action Record 2015

4. IDB

Indicator Descriptor /	Status	Description	Source
Background			
Name of organisation	-	Inter-American Development Bank (IDB)	-
Name of evaluation function	-	Office of Evaluation and Oversight (OVE)	-
Summary / Overall comments	-	The process of formulating recommendations, obtaining management response and follow-up on implementation/reporting at the IDB is based on a set of formal policy documents. There are ongoing initiatives for the continuous development of the process, including the IT system used to facilitate the tracking of implementation of recommendation as well as the specifics of the process for assessing implementation and the roles of OVE and its counterparts from services and management functions therein.	-
Process of developing recommendations			
Presence of policy/guidelines for development of recommendations	Formal policy	AM-140-1 "Procedures to review, respond and follow-up on evaluations prepared by the office of evaluation and oversight" contains requirements for the process of development of recommendations	AM-140-1
Entity responsible for the process	Formal policy	Evaluation function (OVE)	AM-140-1 3.3.1
Involvement of management in the process	Formal policy	Written comments + technical review meeting OVE sends the draft evaluation report to Management (Lead Department(s), Office of the Executive Vice President (EVP), the Office of the Presidency (PCY), the Office of Strategic Planning and Development Effectiveness (SPD), the corresponding vice-presidents, and other relevant departments), with an invitation to provide written comments and to attend a technical review meeting, chaired by OVE, in ten (10) working days.	AM-140-1 3.3.1
Involvement of staff / beneficiaries in the process	Formal policy	Written comments + technical review meeting The Lead Department(s) can raise issues during the technical review meeting (peer review process) that in their view could affect the quality and actionability of the evaluation's recommendations.	AM-140-1 3.3.1
Presence of recommendation standards (type, format, level of detail etc.)	-	There are no set standards for recommendations	Document reviews and Interviews
Presence of defined users of recommendations	Formal policy	Recommendations are addressed to the IDB [management]. However, it is clear who the "specific user" will be. It is typically management's designated counterpart during the evaluation process that will most likely be responsible for implementing the recommendations.	AM-140-1
Timelines for the development of recommendations	-	There are no set timelines for the process of developing recommendations. Recommendations are developed as part of completing the evaluation and follow the same time line as the evaluation itself. There are set timelines for certain steps of the process, such as the scheduling of the review meeting. Written comments are to be provided within 10 days of receiving the draft report	Interviews

Indicator / Descriptor	Status	Description	Source
Process of formulating management response to the recommendations			
Presence of policy/guidelines for management response to evaluation report recommendations	Formal policy	AM-140-1 "Procedures to review, respond and follow-up on evaluations prepared by the office of evaluation and oversight" describe in detail the steps related to the provision of management response	AM-140-1
Entity responsible for the process	Formal policy	Services + management In those cases where Management is required to submit a response or where one is not required but Management decides to prepare written comments, the Lead Department(s) consolidates management's response, which must be reviewed by SPD. Upon incorporating SPD's comments, the Lead Department(s) clears the final response with EVP and PCY before submission to Office of the Secretary (SEC) for distribution to the Executive Directors.	AM-140-1 3.3.6
Roles in the process	Formal policy	There are defined roles for OVE, Management and the Board in the process. OVE submits its evaluations in final form to the relevant Board Committee for discussion. The document with consolidated Management response prepared by the Lead Department should be distributed to Executive Directors at least five (5) working days prior to the corresponding Board Committee meeting. OVE presents the main findings, suggestions or recommendations of the evaluation at the meeting. Management verbally shares a summary of its response to the evaluation. In some cases, Management may also opt for an audiovisual presentation. Following their presentations, OVE and Management address questions raised by Committee members during the meeting.	AM-140-1 3.3.7
Involvement of the organisation's board(s) in the process	Formal policy	Yes. The Board considers OVE evaluations and decides which recommendations should be implemented by IDB Management.	AM-140-1 2.1.1
Requirements for management to meet and discuss the recommendations	Working practice	The Technical review meeting provides an opportunity for management to meet. The lead department (and SPD) may have informal meetings to prepare their response.	Interviews
Requirement for management to provide a formal response to the recommendations	Formal policy	Yes. Management is required to prepare a response for evaluations that are considered by the Board. Evaluations submitted to the Board for information only do not require a response. Evaluations or oversight studies that do not contain formal recommendations can be sent to the Board for information only, or for consideration (if requested by the Executive Directors or if OVE considers a Board discussion is warranted). When these documents are sent to the Board for information only, a response from Management is usually not necessary, unless one is requested by the Committee. In those cases where a response is not required, Management may decide to prepare written comments and submit them, through the Chair of the Evaluation and Audit Committee to OVE and the Board.	AM-140-1 3.3.4

Indicator Descriptor /	Status	Description	Source
		Management's response to the final evaluation report includes a matrix indicating either agreement or disagreement along with the related justification for each of the evaluation recommendations. The Board considers OVE evaluations and decides which recommendations should be implemented by IDB Management.	
Presence of templates/tools for management response	Formal policy	Yes. Management's response to the final evaluation report includes a matrix indicating either agreement or disagreement along with the related justification for each of the evaluation recommendations.	AM-140-1 3.3.5
Presence of an (IT) system to facilitate the process	-	There is no specific IT system to facilitate the formulation of management response	Interview
Timelines for the formulation of management response	Formal policy	The document with consolidated Management response prepared by the Lead Department should be distributed to Executive Directors at least five (5) working days prior to the corresponding Board Committee meeting.	AM-140-1 3.3.6
Process for following-up and reporting on the take up of recommendations			
Presence of policy/guidelines for follow-up to evaluation report recommendations	Formal Policy	IDB's Evaluation Recommendation Tracking System (ReTS) Protocol for Implementation – Third Revised Version requires the follow-up and reporting on evaluation recommendations via ReTS. 'AM-140-1 "Procedures to review, respond and follow-up on evaluations prepared by the office of evaluation and oversight" describe in detail the administrative procedures for tracking of evaluation recommendations through the ReTS	AM-140-1; ReTS protocol
Entity responsible for the process	Formal Policy	Services for action plan and monitoring implementation; OVE for assessing progress and reporting to the Board The Lead Department (coordinates the preparation, implementation and tracking of Management's action plan to address Board-endorsed recommendations. It provides updates and periodic reports on progress in implementing action plans, as needed. OVE is the entity responsible for reporting to the Board on the take up of recommendations	ReTS protocol, 3.7 AM-140-1 2.5.1
Roles in the process	Formal Policy	The main actors involved in the ReTS include: the Board, OVE, the Evaluation and Audit Committee in which the Inter-American Investment Corporation Manager is invited to participate as needed, SPD, and those departments designated as Lead Department(s) for any given evaluation. For the role of the Lead Department – see above. SPD ensures the preparation, validation and tracking of Management's action plans to implement Board-endorsed evaluation recommendations. SPD manages the day-to-day operation of the ReTS including the ReTS Portal. It develops tutorials and tools and provides ReTS-related instruction and/or training to system users.	ReTS protocol Section III. AM-140-1 Section 2

Indicator / Descriptor	Status	Description	Source
		<p>OVE monitors and reports on the actions taken by Management to implement Board-endorsed evaluation recommendations.</p> <p>The Evaluation and Audit Committee is a management committee, which reviews progress in the implementation of Board-endorsed recommendations stemming from OVE evaluations tracked in the Evaluation Recommendation Tracking System (ReTS).</p> <p>Note: The Committee role was introduced in the Administrative Procedures approved in November 2016 (3.5.6) but has not yet been enacted.</p>	
Involvement of the organisation's board(s) in the process	Working document	<p>Yes. The Board of Executive Directors decides which of OVE's evaluation recommendations should be implemented by Management upon consideration and recommendation by the corresponding Board Committee. In addition to discussing OVE's evaluations as well as Management's response on the same, the Board Committee may provide guidance as to how recommendations should be implemented. The Board also considers OVE's reports on the implementation of evaluation recommendations and Management's comments on the same.</p>	ReTS protocol 3.3
Requirement for formulation of an action plan for follow-up actions	Formal Policy	<p>Yes. The Lead Department coordinates the preparation, implementation, and tracking of Management's action plans to address Board-endorsed evaluation recommendations. The Lead Department also provides periodic reports on progress in implementing action plans.</p> <p>The Lead Department(s) is required to prepare an action plan to respond to each of the Board-endorsed evaluation recommendations. The action plan outlines key steps to be taken to implement the corresponding recommendation. The Lead Department has 90 working days after consideration of the evaluation by the Board Committee to draft, finalize and post the action plans in the ReTS. Lead Department identifies Action Plan Leader for each endorsed recommendation who uploads the Action Plan in the system within 90 days .</p>	ReTS protocol, 3.7 AM-140-1 3.5.1
Requirement for monitoring the implementation of follow up actions	Formal Policy	<p>The Evaluation and Audit Committee reviews progress in the implementation of Board-endorsed recommendations stemming from OVE evaluations tracked in the Evaluation Recommendation Tracking System (ReTS).</p> <p>OVE monitors and reports on the actions taken by Management to implement Board-endorsed evaluation recommendations.</p> <p>Note: The Committee role was introduced in the Administrative Procedures approved in November 2016 (3.5.6) but has not yet been enacted.</p>	ReTS protocol 3.5 AM-140-1 2.3.4 OR 303
Presence of tools or templates to facilitate the process	Practice	<p>Yes. IT based monitoring and reporting system is currently being updated/revised</p>	

Indicator / Descriptor	Status	Description	Source
Presence of an (IT) system to facilitate the process	Formal Policy	<p>Yes. The Evaluation Recommendation Tracking System (ReTS) of the Inter-American Development Bank (IDB) was jointly developed by the Office of Strategic Planning and Development Effectiveness (SPD) and the Office of Evaluation and Oversight (OVE), with the support of the Information Technology Department (ITE) in 2013. The ReTS is designed to track the implementation of Management's actions taken, as instructed by the Board of Executive Directors (the Board), in response to OVE's recommendations. ReTS is open, on a read-only basis, to all staff and members of the Board.</p> <p>The ReTS Portal is a one-stop site that offers access to all information, documents, and links related to the ReTS.</p>	ReTS protocol; 1.1
Requirement for reporting on the implementation of follow up actions (e.g. in Annual report)	Formal Policy	<p>Yes. IDB's Evaluation Recommendation Tracking System (ReTS) Protocol for Implementation – Third Revised Version requires the follow-up and reporting on evaluation recommendations via ReTS. The Lead Department is called to do a self-assessment of progress made by management in implementing OVE recommendations . The Lead Department(s) must update the action plan status in the ReTS at least once a year, by September 30th, but is encouraged to do so on a continuous basis, as relevant. SPD is called to assess and validate progress reported by the Lead Department(s) by October 31st of each year. OVE independently assesses the relevance and implementation status of the action plans at the end of each year, using the information reported in the ReTS. OVE's final assessment is reported to the Board and posted in the ReTS Portal, together with Management's comments on the same.</p>	ReTS protocol Sections I, II; III AM-140-1 3.5.5 - 3.5.6
Timelines for following up on recommendations	Formal Policy	<p>The Lead Department has 90 working days after consideration of the evaluation by the Board Committee to draft, finalize and post the action plans in the ReTS. The Committee may decide during the meeting to extend the 90 working day timeframe for Management to prepare the action plan.</p> <p>The action plan for a recommendation should be designed to be implemented over a maximum period of four (4) years, which corresponds to the ReTS cycle</p>	AM-140-1 3.5.1
Timelines for reporting on the take-up of recommendations	Formal Policy	Reporting on the implementation status of the action plans is done at the end of each year in the context of OVE's Annual Report.	ReTS protocol, 4.1
Feedback loop mechanisms			
Presence of policy/guidelines for feedback loop mechanism	-	An element of feedback loop mechanism can be found among OVE's thematic evaluations which highlight recurring evaluation recommendations.	-
Requirement for a feedback loop mechanism	-		
Roles in the feedback loop mechanism	-		

Indicator / Descriptor	Status	Description	Source
Presence of an (IT) system to facilitate the process	-		
Publication and dissemination processes			
Presence of policy/guidelines for publication and dissemination of evaluation-related documents	Formal policy	The IDB Access to Information Policy regulates how IDB documents are disclosed to the public.	ReTS Protocol, Access to Information Policy
Process / timeline for publication and dissemination of evaluations and recommendations	Formal policy	OVE Approach Papers and evaluations, are disclosed to the public on OVE's website, in accordance with the Bank's Access to Information Policy.	AM-140-1 3.4.1
Process / timeline for publication of management response	Formal policy	Management responses, are disclosed to the public on OVE's website, in accordance with the Bank's Access to Information Policy.	AM-140-1 3.4.1
Publication of action plans, progress reports, final reports	Practice	Details of Management action plans and updates in implementation of individual actions are not publicly disclosed, information on implementation status is only made public in summary format in OVE's report assessing implementation status.	Written feedback

Sources:

IDB (2016) AM-140-1 Procedures to review, respond and follow-up on evaluations prepared by the Office of Evaluation and Oversight

IDB (2016) Evaluation Recommendation Tracking System (ReTS) Protocol for Implementation – Third Revised Version

IDB (2015) Review of the Pilot Phase of the IDB's New Recommendation Tracking System

5. IFAD

Indicator / Descriptor	Status	Description	Source
Background			
Name of organisation	-	The International Fund for Agricultural Development (IFAD)	-
Name of evaluation function	-	IFAD Independent Office of Evaluation (IOE)	-
Summary / Overall comments	-	IFAD's Evaluation Manual lays down specific guidelines for the approach to formulation of recommendations, management response and follow-up/reporting. The approach offers tailored processes for the different types of evaluation products provided by the Independent Office of Evaluation (IOE): <ul style="list-style-type: none"> - Project Completion Report Validations (PCR/V) - Project Performance Evaluations (PPE) - Country Strategy and Programme Evaluations (CSPE) - Corporate Level Evaluations (CLE) 	-
Process of developing recommendations			
Presence of policy/guidelines for development of recommendations	Formal policy	IFAD Evaluation Manual lays down specific guidelines for the approach to formulation of recommendations in the case of Country strategy and Programme Evaluation (CSPE) and for Corporate level evaluations.	IOE (2015)
Entity responsible for the process	Formal policy	Evaluation function - IFAD Independent Office of Evaluation (IOE)	IOE (2015)
Involvement of management in the process	Formal policy	Written comments + Debriefing sessions / Emerging findings workshops For PPEs, IEs, CSPEs, CLES and ES, IFAD management (and government representatives for PPEs, IES, CSPEs) provide written comments on draft which include recommendations. In-country debriefing session, presenting initial findings and recommendations are organised at the end of a PPE or CSPE missions. For Corporate level evaluations, a dedicated meeting to discuss the main findings and recommendations of the report with IFAD Management may also be organized. For Evaluation synthesis reports, emerging findings workshop is organised and includes IFAD management.	IOE (2015), p. 56 IFAD (2015), p.6
Involvement of staff / beneficiaries in the process	Formal policy	Written comments + Debriefing sessions / Emerging findings workshops In-country debriefing session, presenting initial findings and recommendations are organised at the end of a PPE or CSPE mission.	IOE (2015) , 32

Indicator / Descriptor	Status	Description	Source
		<p>The PPE's include field visits, feedback from beneficiaries and stakeholder consultation. Implementing agencies and (where possible) farmers' organisations will also be invited to the debriefing session.</p> <p>In CSPEs, stakeholders are given a chance to comment on the draft final report, and IOE will carefully consider their feedback before finalizing it, with due consideration to the independence of IOE. Beneficiaries would also be involved at other stages of the evaluation, for example, they are consulted during field visits and take part in the country workshops where the main conclusions and recommendations from CSPEs are discussed.</p> <p>For evaluation synthesis reports, an emerging findings workshop is organised. The workshop is a critical step, aimed at discussing the draft final report once it has been peer reviewed within IOE and the corresponding comments included in the draft final report. Such workshops will normally be organized at IFAD headquarters and include the participation of IFAD Management and staff, IOE staff, consultants, the SIA, representatives of the United Nations Rome-based agencies and others concerned. It is important that the Associate Vice-Presidents of PMD and the Strategy and Knowledge Department attend the session. Resources permitting, representatives from developing member countries might be invited to participate. The main background document – the draft evaluation synthesis report – should be shared with all participants ahead of the session. The comments generated at the workshop will be used to finalize the report.</p> <p>There is no process of involving staff in developing recommendations in corporate evaluations; the draft reports are sent to Management who may provide feedback on them.</p>	<p>IOE (2015) , 114</p> <p>IOE (2015), 92</p>
Presence of recommendation standards (type, format, level of detail etc.)	Formal policy	<p>The Evaluation manual lays down the following guidelines for the formulation of recommendations: "Care must be taken to ensure that recommendations are appropriate for achieving the objectives of the interventions, are positioned strategically, and once implemented, will add value to the organization. Recommendations must be grounded in solidly evidenced findings and follow logically from the conclusions. It must be possible to track back from a recommendation to the evidence that supports this recommendation and with the</p>	<p>IOE (2015), 30</p>

Indicator / Descriptor	Status	Description	Source
		<p>transparency described above, be assured that the recommendation is solidly anchored in coherent analysis.</p> <p>The full utility of an evaluation hinges on dissemination, learning and follow-up and therefore recommendations should be presented in a form that allows different decision-makers to clearly identify their responsibility</p> <p>There is an internal peer review process for all major evaluations.</p>	
Presence of defined users of recommendations	Formal policy	Yes. For CSPEs the Agreement at Completion Point will indicate responsibilities for agreed follow up actions.	Interview
Timelines for the development of recommendations	Formal policy + practice	<p>In corporate evaluations, IFAD Management will be given around four weeks (20 working days) to provide their consolidated written comments on the draft final report.</p> <p>In CSPEs, IFAD Management and the government will be given around four weeks (20 working days) to provide their consolidated comments on the draft final report.</p> <p>There is no formal timeline for evaluation synthesis reports, but in practice this is usually <i>3 weeks</i>.</p>	
Process of formulating management response to the recommendations			
Presence of policy/guidelines for management response to evaluation report recommendations	Formal Policy	IFAD Evaluation Manual lays down the processes for formulating management response to recommendations for different types of evaluations.	
Entity responsible for the process	Formal Policy	IFAD Management	IOE (2015), p. 48 p.61,p. 81, p.118, p.92
Roles in the process	Formal policy	<p>1. Project Completion Report Validations:</p> <p>PCRVs do not include recommendations and therefore no IFAD Management's response is required.</p> <p>2. Project Performance Evaluations:</p> <p>IFAD Management will prepare a written Management's response on the PPE report, which will be included in the final report at the time of publication by IOE.</p> <p>Under normal circumstances, Management's response</p>	<p>IOE (2015),p. 48</p> <p>IOE (2015), p. 61</p> <p>IOE (2015), p. 81</p>

Indicator / Descriptor	Status	Description	Source
		<p>should provide IFAD Management's views on the main findings and their agreement or otherwise on the recommendations, as well as an overall appreciation of the evaluation process.</p> <p style="text-align: center;">3. Country Strategy and Programme Evaluations:</p> <p>IFAD Management and the government will prepare the ACP. An ACP is included in each CSPE, as stipulated in the IFAD Evaluation Policy. The ACP will contain a summary of the main evaluation findings and recommendations that IFAD Management and the concerned government agree to adopt and implement within specific time frames. The ACP will also document any recommendations that are not found feasible by either IFAD Management and/or the government.</p> <p>When a CSPE (country-specific program evaluation) has been undertaken by IOE, its agreement at completion point (ACP) must be included as an annex to the COSOP submitted for consideration by the Board. This allows the Board to assess whether the CSPE findings and recommendations have been adequately included in the COSOP. In addition, when a COSOP is presented to the Executive Board and a CSPE has been conducted prior to that COSOP, IOE will also present the CSPE to the Executive Board.</p> <p style="text-align: center;">4. Corporate Level Evaluation</p> <p>At the end of a CLE (corporate level evaluation), IFAD Management will prepare a written response. As at 2015, a Management's response will also be prepared for PPEs and evaluation synthesis reports. Management's response (3-5 pages) is included in the final [evaluation] report when published.</p>	<p>IOE (2015), p. 64</p> <p>IOE (2015), p.118, p.92</p>
Requirements for management to meet and discuss the recommendations	Formal policy	<p>Yes. This is the case for CSPEs – the workshop organised by IOE serves as a meeting between the stakeholders, including management and government, who are to draft a joint response to it afterwards.</p> <p>For CLEs there will be a meeting with management to discuss the recommendations.</p>	IOE (2015)

Indicator / Descriptor	Status	Description	Source
Requirement for management to provide a formal response to the recommendations	Formal policy	Yes. The Evaluation Manual specifies that management response is to be provided in all types of evaluations apart from Project Completion Report Validations Management response is included in the evaluation report. It also provides guidelines as to how the recommendation is addressed. Afterwards recommendations are entered into the PRISMA system and management reports on the follow up.	IOE (2015)
Presence of templates/tools for management response	Practice	For CSPEs, the ACP follows a standard format.	Written feedback
Presence of an (IT) system to facilitate the process	None	There is no system to facilitate the process. The small size of IFAD and the good institutional memory facilitate the process.	Interview
Timelines for the formulation of management response	Working practice	For CSPEs, management response is usually prepared within 2 months of the workshop.	Interview
Process for following-up and reporting on the take up of recommendations			
Presence of policy/guidelines for follow-up to evaluation report recommendations	Formal Policy	IFAD's Evaluation Manual outlines the approach taken for following-up and reporting on the take-up of recommendations in the context of PRISMA (President's Report on the Implementation Status of Evaluation Recommendations and Management Actions) .	IOE (2015) , 31
Entity responsible for the process	Formal policy	IFAD Management; Programme Management Department (PMD) Front Office	IOE (2015) , p.31
Roles in the process	Formal policy	The Programme Management Department (PMD) Front Office prepares a list of recommendations classified by selected themes for follow-up. The classification criteria used include level (country, project etc.), nature (operational, strategic, policy) and theme. The IOE reviews the list prepared by PMD and once PRISMA is ready – comments thereon. IFAD Management will report in the PRISMA on the implementation status and follow-up to PPE recommendations made to IFAD (and not on those directed to the government) as it does for the ARRI, CLEs, CSPEs and IOE comments on the RIDE. IFAD management will submit its written response on the ARRI to the Evaluation Committee and Board at the same time.	IOE (2015), p.31
Involvement of the organisation's board in the process	Formal policy	Yes. The Evaluation Committee and Executive Board together with IOE comment on PRISMA.	IOE (2015)

Indicator / Descriptor	Status	Description	Source
		Country programme evaluations are usually presented to the Evaluation Committee together with a new strategy for the country programme, so the Committee may comment on whether they consider that the strategy implements the recommendations.	
Requirement for formulation of an action plan for follow-up actions	Practice	<p>There is no requirement for action plans.</p> <p>The management response provides a roadmap of sorts, but it is not a detailed action plan specifying concrete actions with set timelines. This is not done in general.</p> <p>IOE evaluations usually inform the design of a new project/programme/strategy. They are ex-post and are meant to be addressed by the new design. Therefore, the follow up will be the new design or plan or policy or strategy which IOE will also comment on.</p> <p>In corporate evaluations, a specific action plan may be recommended.</p>	Interview
Requirement for monitoring the implementation of follow up actions	Formal policy + working practice	<p>Yes. IFAD Management will report in the PRISMA on the implementation status and follow-up to PPE recommendations made to IFAD (and not on those directed to the government) as it does for the ARRI, CLEs, CSPEs and IOE comments on the RIDE.</p> <p>There isn't any defined qualitative assessment of implementation but when IOE comment on new designs e.g. new country strategy, they assess whether the recommendations are truly addressed.</p>	IOE (2015), Interview
Presence of tools or templates to facilitate the process	Practice	Excel-based templates are used.	Written feedback
Presence of an (IT) system to facilitate the process	-	There is no dedicated IT system for the process.	Interviews
Requirement for reporting on the implementation of follow up actions (e.g. in Annual report)	Formal policy	<p>Annual Report on Results and Impact of IFAD Operations (ARRI) aims to provide an aggregated insight into the performance of IFAD operations and identify systemic issues and lessons, as well as generate recommendations to enhance IFAD's development effectiveness. The ARRI draws on the different evaluations (e.g. project evaluations and validations, CSPEs, etc.) done by IOE based on a common methodology, as enshrined in its evaluation manual.</p>	IOE (2015), p.13

Indicator / Descriptor	Status	Description	Source
		<p>President's Report on the Implementation Status of Evaluation Recommendations and Management Actions (PRISMA) – PRISMA contains an account of the follow-up actions taken by Management and government (where applicable) on the recommendations made by independent evaluations.</p> <p>The PRISMA includes follow-up actions taken to recommendations made in the ARRI, CLEs, CSPEs, PPEs and evaluation synthesis reports. The PRISMA also includes an account of how IOE comments on the Report on IFAD's Development Effectiveness have been treated by Management.</p> <p>For the ARRI, this includes recommendations agreed with the Board. For CSPEs, these are extracted from agreements at completion point finalized at the end of the evaluation. For CLEs and evaluation synthesis reports, these are outlined in Management's responses or action plans submitted to and agreed by the Executive Board following evaluations. As far as PPEs are concerned, the PRISMA only includes the recommendations addressed to IFAD Management.</p> <p>PRISMA is a key instrument to promote learning and improvement, and is presented each year to the Evaluation Committee and Executive Board together with IOE comments thereon.</p>	
Timelines for following up on recommendations	None	<p>No overall time frame for implementation.</p> <p>The timelines depend on the nature of the recommendation. Some recommendations may be strategic and they might need 2-3 years. They are tracked in PRISMA until they are completed.</p>	Interview
Timelines for reporting on the take-up of recommendations	Practice	PRISMA is published annually.	Prisma (2016)
Feedback loop mechanisms			
Presence of policy/guidelines for feedback loop mechanism	-	There are no dedicated feedback loop mechanisms for the studied processes.	Interview
Roles in the feedback loop mechanism	-		
Presence of an (IT) system to facilitate the process	-		
Publication and dissemination processes			
Presence of policy/guidelines for publication and dissemination of	Formal policy	The Evaluation Manual outlines the standard dissemination approaches for each product, including publications, reports and the like,	IOE (2015) , p.119

Indicator / Descriptor	Status	Description	Source
evaluation-related documents		websites and social media, press releases, audio visuals, and events.	
Requirements (timing, process, target groups) for publications of evaluations and recommendations	Formal policy	The evaluation manual contains details about the publication of: <ul style="list-style-type: none"> - Evaluation insights - Evaluation profiles - Overview booklets - Evaluation reports - Project performance evaluations - Impact evaluations - Evaluation synthesis reports - Corporate level evaluations - AARI 	IOE (2015)
Requirements (timing, process, target groups) for publications of management response	Formal policy	Management response is included in the final evaluation reports	IOE (2015)
Requirements (timing, process, target groups) for publications of follow-up reports	Formal policy	PRISMA is publically available.	Prisma (2016)

Sources:

International Fund for Agricultural Development (2015) Revised IFAD Evaluation Policy Paper (EB/2011/102/R.7/Rev.3)

International Fund for Agricultural Development (2016) President's Report on the Implementation Status of Evaluation Recommendations and Management Actions (PRISMA)

Independent Office of Evaluation of IFAD (2015) Evaluation Manual, Second Edition

Independent Office of Evaluation of IFAD (2016) Evaluation Manual II - Evaluation Processes Guidelines

6. ISDB

Indicator / Descriptor	Status	Description	Source
Background			
Name of organisation	-	Islamic Development Bank (ISDB)	-
Name of evaluation function	-	Group Operations Evaluation Department (GOED)	-
Summary / overall comments	-	The process of formulating recommendations, management response and follow-up/report at the ISDB is based on a mix of formal policies and working practices. Group Operations Evaluation Department (GOED) has a key role on the process, which culminates in the annual reports on the implementation of recommendations which are submitted to the ISDB Board of Directors. GOED is in the process of developing further different steps of the process.	-
Process of developing recommendations			
Presence of policy/guidelines for development of recommendations	Working document	'Evaluation lessons and recommendations formulation, dissemination and reporting: A guidance note' is meant to ensure high quality lessons learned and, recommendations in all GOED independent evaluations	Evaluation policy, 1, p.1
Entity responsible for the process	Formal Policy	Evaluation function - GOED The main functions of GOED include the preparation of independent evaluation that draw evidence-based lessons and recommendations which feed into future policies, strategies, and operations; thus contributing to maximizing IDB Group's development effectiveness.	Evaluation policy, 2.1, p.5
Involvement of management in the process	Formal Policy	Written comments + ad-hoc meetings The GOE Department ensures that Management's views are taken into consideration in the formulation of the recommendations and follow-up actions. Comments of Management on evaluation reports are obtained in writing, indicating areas of agreement and disagreement. Ad-hoc meetings between management and the evaluators may also be organised.	Evaluation policy 5.7, p.10
Involvement of staff / beneficiaries in the process	Working document	Written comments + meetings ISDB departments and divisions and executing or implementing agencies responsible for taking actions and monitoring them should be identified and notified. After comments on the draft report have been considered, a meeting may be convened between the managers of the concerned GOED and operations divisions to discuss the recommendations and to develop commitments to addressing and acting on the proposed recommendations. It is a common practice that such meetings will take place.	Guidance note p.5; Interview

Indicator / Descriptor	Status	Description	Source
Presence of recommendation standards (type, format, level of detail etc.)	Working document	Key recommendations included in the report should be subject to a completed template , annexed to the report. According to the Guidance Note, recommendations should be (i) limited to those that are specific to the project, program, strategy or policy; (ii) capable of being implemented and monitored. Checklists are available to evaluation specialists and consultants to guide them on formulating, capturing, reporting, disseminating, and using evaluation lessons learned and recommendations. When preparing the evaluation reports, the checklist will help them ensuring that lessons learned or emerging good practices are identified and recommendations are made and presented according to the GOE Evaluation Guidelines.	Guidance note, p.3
Presence of defined users of recommendations	Working document	They are targeted to those who will act upon them, monitor and report back (possibly through a management action record).	
Timelines for the development of recommendations	Practice	1 month from the date of the Post Evaluation Mission	Written feedback
Process of formulating management response to the recommendations			
Presence of policy/guidelines for management response to evaluation report recommendations	Formal Policy / Practice	ISDB's Evaluation Policy and "Guidelines for Preparing Performance Evaluation Reports for Public Sector Operations" contain provisions regarding management response.	Evaluation policy, p.10
Entity responsible for the process	Formal Policy	Management	Evaluation policy, p.10
Roles in the process	Practice	Operations Policy and Services Department (OPSD) generally takes the lead to collect the responses of the management during the Annual Evaluation Report process.	Interview
Involvement of the organisation's governance board (or similar) in the process	Practice	Yes. The Board discusses the Annual Evaluation Report which includes management's response to the recommendations of evaluations.	Interview
Requirements for management to meet and discuss the recommendations	Practice	No specific meeting. It is the management who sends a request to the GOED to arrange for a meeting to present the findings, lessons and recommendation of an evaluation product	Interview
Requirement for management to provide a formal response to the recommendations	Formal Policy	Yes. Management is responsible for responding to evaluation findings and ensure that relevant lessons are adequately reflected in the Bank's operations. Comments of Management on evaluation reports are obtained in writing indicating areas of agreement and disagreement. Management comments are attached to the final	Interview

Indicator / Descriptor	Status	Description	Source
		evaluation report with GOE Department's response and clarification.	
Presence of templates/tools for management response	Practice	No specific template, however, when responding to the recommendations listed in the Annual Evaluation Report, the management is provided with a separate column to indicate their actions on the recommendations.	Interview
Presence of an (IT) system to facilitate the process	Working document	Recommendations are entered into their respective modules in the lessons learned and recommendations database (or a Management Action Record System) Note: An IT solution for this system is currently being considered.	Guidance note p.6
Timelines for the formulation of management response	Practice	1 week or 2 weeks depending on the request by GOE	Interview
Process for following-up and reporting on the take up of recommendations			
Presence of policy/guidelines for follow-up to evaluation report recommendations	Working document	'Evaluation lessons and recommendations formulation, dissemination and reporting: A guidance note' covers elements of the follow-up and reporting process	Guidance note
Entity responsible for the process	Formal Policy	Management + Evaluation Management keeps track of the implementation of evaluation recommendations and regularly informs the Board about their progress. The Director of GOE Department validates the progress reported by management in implementing evaluation recommendations.	Evaluation policy 4.1, p.9
Roles in the process	Working document	Follow-up actions need to be discussed with the intended key stakeholders in order to facilitate their uptake and implementation and monitoring. Knowledge management specialist in GOE Department enters information in the Management Action Record System The GOE Department has put in place a process by which it oversees the use, implementation, and follow up of lessons learned and recommendations resulting from GOE project as well as high-level evaluations. Its objective is to promote institutional follow-up of independent evaluation findings and accepted recommendations, and to provide pertinent information and advice to ISDB Management and the Board on progress made.	Guidance note, p.3 Guidance note p.6 Guidance note p.7
Involvement of the organisation's board(s) in the process	Working document	Yes. The recommendations that are acted upon and the level of implementation of follow-up actions are reported annually to the Board.	Evaluation policy, 7.2, p.11
Requirement for formulation of an action plan for follow-up actions	None	No general requirement for action plans. Management prepares an action plan when deemed necessary by themselves.	Interview

Indicator / Descriptor	Status	Description	Source
Requirement for monitoring the implementation of follow up actions	Formal Policy	Management keeps track of the implementation of evaluation recommendations and regularly informs the Board about their progress.	Evaluation policy, 5.8, C, p.10
Presence of tools or templates to facilitate the process	Practice	Excel-based templates are used.	Interview
Presence of an (IT) system to facilitate the process	Working document	No system at present. The Guidance note foresees that such a system is set up, whereby the recommendations are entered into their respective modules in the lessons learned and recommendations database (or a Management Action Record System) by the Knowledge management specialist in GOE Department. Recommendations Uptake and Follow-Up generate reports which are searchable by intervention sector, themes, policy, country, region, etc. Recommendations data can be clustered by topic (process, practice, policy, strategy) and made available for use in validation and synthesis exercises undertaken by GOE evaluation specialists or sector and policy experts.	Guidance note, p.6
Requirement for reporting on the implementation of follow up actions (e.g. in Annual report)	Formal Policy	The Annual evaluation report (AER) summarises the findings for the previous year's evaluation activities.	Evaluation policy 7.2, p.11
Timelines for following up on recommendations	Practice	There are no fixed timelines as such. The timeline for following up on recommendations is often the planning stage for the next projects/programmes. Same timeline as with the follow-up	Interview
Timelines for reporting on the take-up of recommendations	Practice	Information on the follow up of recommendations in a given year are reported in the Annual evaluation report for that year. It should be noted that the recommendations are not reported on in the following reports, i.e. actions are only tracked for one year.	Interview
Feedback loop mechanisms			
Presence of policy/guidelines for feedback loop mechanism	None	-	
Requirements for a feedback loop mechanism	None	-	
Roles in the feedback loop mechanism	None	-	
Presence of an (IT) system to facilitate the process	None	-	
Publication and dissemination processes			

Indicator / Descriptor	Status	Description	Source
Presence of policy/guidelines for publication and dissemination of evaluation-related documents	Formal Policy	Findings and recommendations should be disseminated appropriately to all concerned stakeholders utilizing all available channels. 'Evaluation lessons and recommendations formulation, dissemination and reporting: A guidance note' includes specifications referring to the publication and dissemination of reports and recommendations.	Guidance note, 2, 3.9, p.7
Requirements (timing, process, target groups) for publications of evaluations and recommendations	Working document	Evaluation summaries containing recommendations and proposed follow-up actions are posted on the public website of ISDB (GOE Department Homepage), with the full report.	Guidance note, p.7
Requirements (timing, process, target groups) for publications of management response	None	-	Interview
Requirements (timing, process, target groups) for publications of follow-up reports	Working document	Evaluation summaries containing recommendations and proposed follow-up actions are posted on the public website of ISDB (GOE Department Homepage), with the full report.	Guidance note, p.7

Sources:

ISDB GROUP OPERATIONS EVALUATION DEPARTMENT – GOED Evaluation lessons and recommendations formulation, dissemination and reporting: A guidance note'

ISLAMIC DEVELOPMENT BANK GROUP - Evaluation Policy

GUIDELINES FOR PREPARING PROJECT PERFORMANCE EVALUATION REPORTS FOR PUBLIC SECTOR OPERATIONS

Acronyms:

GOED: Group Operations Evaluation Department

OPSD: Operation Policy and Services Department

AER: Annual Evaluation Report

7. WBG

Indicator / Descriptor	Status	Description	Source
Background			
Name of organisation	-	World Bank Group (WBG)	-
Name of evaluation function	-	Independent Evaluation Group (IEG)	-
Overall comments/ Summary	-	Process for the full cycle of developing and following up on recommendations is defined, with actions, steps and main actors involved. An internal platform/system Management Action Record (MAR) for follow up has been developed and implemented where all agreed recommendations and subsequent management actions are registered and progress tracked for 4 years (with a rating implementation progress). Each year Management provides updates on the implementation progress for each action plan and rates itself. These updates are validated and independently rated by IEG. Both parties may meet during this process to discuss any outstanding questions and issues before finalizing the update cycle.”	-
Process of developing recommendations			
Presence of policy/guidelines for development of recommendations	Formal policy + Working document	IED’s ‘A guide for managers and commissioners of evaluation’ contains guidelines for the development of recommendations. The 2016 Procedure document on “Working Arrangements between Independent Evaluation Group and WBG” is a formal document that sets out how IEG and the WBG engage in carrying out their roles and responsibilities with regard to the processing of key IEG work products, including the process of formulating recommendations.	IEG (2015), WBG (2016) Procedure
Entity responsible for the process	Working document	Evaluation function IEG is responsible for providing Management with recommendations, directly substantiated with the evaluative findings and conclusions presented in the report. Recommendations should be presented together with the underlying findings and conclusions in MAR Matrix included in the report.	MAR Guidance note
Involvement of management in the process	Formal policy + Working document	Written comments + meetings Once the draft report is formally sent to Management counterparts, including technical experts, Management has 15 business days to review the report and recommendations and provide formal comments. In that period of time, or shortly after, two protocol meetings are held between IEG and Management counterparts, one of which is focused on IEG’s recommendations. The meeting on IEG’s recommendations provides a chance for Management counterparts to give feedback on the actionability and feasibility of recommendations from operational perspective and suggest some alternative language. Although	IEG (2015), pp.34-35; WBG (2016) Procedure

Indicator / Descriptor	Status	Description	Source
		IEG is committed to collaboration with Management on recommendations, it reserves the right to make only the changes that are supported by evaluation findings and main messages of the evaluation.	
Involvement of staff / beneficiaries in the process	Formal policy	Written comments + meeting See the description of the process for involvement of management, which also includes service functions.	WBG (2016) Procedure
Presence of recommendation standards (type, format, level of detail etc.)	Working document	The IEG has developed a 10-point checklist on writing good recommendations. The points concern both quality and process, e.g. links to findings and conclusions, prioritised recommendations, process and consultations with stakeholders etc.	IEG (2015) Appendix B and separate document received from IEG
Presence of defined users of recommendations	Working document	Guidelines on the direction of the recommendations part of standards, e.g. to whom the recommendation is addressed.	IEG (2015) Appendix B
Timelines for the development of recommendations	-	There are no set timeframes for this stage of the process.	-
Process of formulating management response to the recommendations			
Presence of policy/guidelines for management response to evaluation report recommendations	Working document	The Management Action Record Guidance Note outlines the process of providing management response to evaluation recommendations. 'Managing evaluations: A how-to guide for managers and commissioners of evaluation' contains description of process for management response.	Guidance note IEG (2015), Appendix C
Entity responsible for the process	Working document	WBG Management + services At the WB, OPCS (Operational Policy and Country Strategy unit) gathers Management feedback on the evaluation and prepares a formal response. Similar counterparts in IFC and MIGA.	Snapshot of MAR and Guidance note Written feedback
Other roles in the process	Practice	The management response is prepared by the department responsible for the evaluated activity , in consultation with other involved departments as relevant. The whole process is coordinated/followed up by the strategy and risk departments in the WBG which also have a role throughout the evaluation process in coordinating and liaising between IEG and management/operations. Management response is discussed prior to the CODE meeting, through discussions and meeting with the department drafting the response, the centralised management unit and IEG. Management accepts, partially accepts or rejects each recommendation put forward, and summarise a response/justification.	Interviews

Indicator / Descriptor	Status	Description	Source
Role of the organisation's governance board (or similar) in the process	Working document	Yes. At the CODE meeting IEG present the evaluation findings and recommendations, management presents the response to each recommendation, and whether they agree or do not agree. If Management disagrees with any recommendation, Management will inform CODE in Management Response to IEG report, clearly indicating the disagreement and the reasons for the disagreement, as well as requesting CODE guidance on the issue for disagreement. The management response is approved by CODE.	MAR Guidance note
Requirements for management to meet and discuss the recommendations	Working document	Yes. Management response is discussed prior to the CODE meeting, through discussions and meeting with the department drafting the response, SRRD and IEG. Meeting between the Committee on Development Effectiveness (CODE) and the WBG Board. CODE/Board provide comments, CODE Chair provides summary. IEG presents the draft report to CODE discussing its main findings and recommendations, while WBG Management provides its formal comments and outlines which recommendations it agrees or disagrees with.	IEG (2015) Appendix C and Snapshot of MAR.
Requirement for management to provide a formal response to the recommendations	Working document	Yes. World Bank Group (WBG) Management reviews draft report and provides response to evaluation report, findings, and indicates, agreement or disagreement with the recommendations	IEG (2015) Appendix C and Snapshot of MAR.
Presence of templates/tools for management response	Practice	Yes. There is a template for the Management Response and for the Management Action Record Table that is part of all IEG major evaluations.	Interviews
Presence of an (IT) system to facilitate the process	-	There is no specific IT system to facilitate this. For the next steps of the process, the Management Action Record (MAR) is a tool that facilitates the annual follow up on the adoption of IEG's recommendations by the Bank Group. Each IEG recommendation is reviewed and rated for a period of four years.	-
Timelines for the formulation of management response	-	The Management Response is finalised within 90 working days after the CODE discussion and is tied to the issuance of the CODE Green Sheet, which is the summary of the CODE meeting.	-
Process for following-up and reporting on the take up of recommendations			
Presence of policy/guidelines for follow-up to evaluation report recommendations	Working document	The MAR Guidance note sets out the steps of the process for following up and reporting on the take up of recommendations.	IEG (2015) Appendix C

Indicator / Descriptor	Status	Description	Source
Entity responsible for the process	Working document	Management and IEG for monitoring implementation IEG for reporting to the Board	MAR Guidance note
Roles in the process for: management, evaluation unit, operational units	Working document	<p>WBG Management develops an action plan, which is commented by IEG before Management finalizes it. IEG's comments are not binding to Management. IEG is responsible for sending the final action plan to CODE, which it does through a quarterly CODE update.</p> <p>The annual implementation updates and rating are done by the designated operational departments (self-assessment). Thereafter IEG can see the update but not the rating itself, and assigns a rating and provides a justification. Once the rating process is finalised, the system is "opened" so everybody can see ratings, and there may be discussions to reconcile differences and request additional information.</p> <p>The validation by IEG is generally done by the evaluator who led the evaluation or a designated sector expert, which is then reviewed and approved by the unit Manager.</p> <p>IEG prepares the annual report on WBG Results and Performance which includes a chapter on the results and trends of MAR updates.</p>	MAR Guidance note
Role for the governance board (or similar) in the process	-	Yes. The action plans are included in the IEG quarterly report to CODE sent for information only. The results of MAR updates are included in the IEG's annual flagship report on WBG Results and Performance, which is sent to the Board	MAR Guidance note
Requirement for formulation of an action plan for follow-up actions	Working document	<p>Yes. Within 90 days after the meeting with the Committee on Development Effectiveness (CODE) a draft action plan with more specific actions and timelines are laid out by Management for each accepted recommendation.</p> <p>Management is responsible for developing and finalizing the MAR Action Plan, which includes specific steps, measurable indicators, targets and timeline for reaching the objective(s) stated in the Management Response and should be in line with IEG's recommendations. MAR Action Plan should be clearly aligned with the Management Response. The actions should be specific, measurable, achievable, relevant, and time bound.</p>	IEG (2015) Appendix C Document received from IEG "Management Action Record (MAR)"
Requirement for monitoring the implementation of follow up actions	Working document	Yes. All ratings and progress assessment are carried out on the internal online system to ensure accuracy of information and coordination among all parties during the update cycle. Management and IEG I rate separately the overall progress made vis-à-vis the Management's Action Plan in response to an recommendation. IEG reports final action plans to CODE through its Quarterly Update document.	IEG (2015) Appendix C MAR Guidance note

Indicator / Descriptor	Status	Description	Source
Presence of tools or templates to facilitate the process	Working document	Yes. The internal MAR database helps facilitate the process.	MAR Guidance note
Presence of an (IT) system to facilitate the process	Working document	Yes. The Management Action Record (MAR) is a tool that tracks follow-up on the adoption of recommendations made by IEG. There are two online platforms utilized by IEG and WBG to track annual progress. One is an internal platform accessible by the update providers only during the update cycle, and the other one is a public database that includes all of the ratings and updates once they are completed.	IEG (2015) Appendix C
Requirement for reporting on the implementation of follow up actions (e.g. in Annual report)	Working document	Yes. The progress of implementation become part of IEG's annual flagship report .	IEG (2015) Appendix C
Timelines for following up on recommendations	Working document	Yes. Draft action plan within 90 working days of the CODE meeting. IEG and WBG management start monitoring the progress of implementation a fiscal year after the CODE discussion of an evaluation. Implementation of the action plans are tracked (annually) for four years, after which they are retired.	Guidance note
Timelines for reporting on the take-up of recommendations	Working document	Yes. IEG reports annually on the status of implementation of recommendations.	IEG (2015) Appendix C
Feedback loop mechanisms			
Presence of policy/guidelines for feedback loop mechanism	Practice	IEG and WBG Management continuously collaborate and discuss on how to improve the MAR process.	Written feedback
Roles in the feedback loop mechanism	-		-
Presence of an (IT) system to facilitate the process	-	-	-
Publication and dissemination processes			
Presence of policy/guidelines for publication and dissemination of evaluation-related documents	Formal policy	The 2016 Procedure document on "Working Arrangements between Independent Evaluation Group and WBG" set out the principles for the publication of evaluation related documents.	WBG (2016) Procedure

Indicator / Descriptor	Status	Description	Source
Requirements (timing, process, target groups) for publications of evaluations and recommendations	Practice	All major evaluations are publicly disclosed.	Written feedback
Requirements (timing, process, target groups) for publications of management response	Practice	Management responses are disclosed with IEG's evaluations and are part of the reports that are available in print and on IEG's website.	Written feedback
Requirements (timing, process, target groups) for publications of follow-up reports	Practice	Data from the MAR annual updates is discussed through an annual flagship report on Results and Performance of the World Bank Group. The MAR action record data base is public.	Written feedback

Sources:

Independent Evaluation Group, The World Bank Group (2015) Managing Evaluations: A How-To Guide For Managers and Commissioners of Evaluations

WBG (2017) Management Action Record System (MARS) Infographic

WBG (2016) Management Action Record System Guidance note

WBG (2016) Procedure: Working Arrangements between Independent Evaluation Group and WBG

WBG (2015) MAR Agreed Definitions and Process

WBG Process for not rating Management Action Plans

WBG Guide to Developing Good Recommendations

Annex 5 – Summary sheets for the ECG participating institutions

The summary sheets present the key features of the evaluation recommendation processes deployed by ECG participating institutions. In addition, the summary sheets indicate: what works well and why for each system; their respective challenges; and how these challenges could be addressed.

1. ADB

Processes	Key features	What works well, and why	Challenges	How challenges can be addressed
Developing recommendations	<p>The Independent Evaluation Department (IED) is responsible for drafting recommendations</p> <p>The draft evaluation report is peer-reviewed, then revised and shared with relevant ADB departments for feedback.</p> <p>On the initiative of the Director General (DG) of the IED, since November 2016 a dedicated technical meeting with heads of ADB departments is scheduled to discuss the recommendations. The objective of the meeting is not to seek agreement on the recommendations, but to discuss them and ensure there is a common understanding and clarity on what they mean and how they should be interpreted.</p> <p>These meetings are intended to enable more effective discussions at the Development Effectiveness Committee (DEC)⁵ meetings where the evaluation report and recommendations are presented and discussed.</p>	<p>During the course of the evaluation, the IED has continuous communication and consultation with the department(s) whose activities are the subject of the evaluation. This is seen as essential to a good evaluation process.</p> <p>Although the practice of a “recommendations meeting” is a new initiative, early indications are that it is working well and has led to constructive discussions on sensitive issues.</p>	<p>A key challenge in the development of recommendations is to strike the right balance between high-level strategic recommendations and more operational specific recommendations. While the IED aims to prioritise and put forward not more than five overall recommendations, in reality the sub-recommendations may become numerous and varied in nature. The challenge is to arrive at recommendations which are actionable but not prescriptive.</p>	<p>Early results of the new initiative to discuss recommendations have been promising, with a key focus on ensuring that the substance of the recommendations is clear and the recommendations are evidence-based and actionable.</p>

⁵ DEC is a subcommittee of ADB's board of directors and reports to them.

Processes	Key features	What works well, and why	Challenges	How challenges can be addressed
Formulating management response to recommendations	<p>Formulation of the management response is coordinated by the Strategy, Policy, and Review Department (SPD) which is the main counterpart to the IED on the operations side. The management response is prepared by the department that has responsibility for the evaluated activity, in consultation with other departments as relevant. It is sent to SPD for consolidation and coordination of the management response prior to the DEC meeting, through discussions and meetings with the department drafting the response. Management accepts, partially accepts or rejects each recommendation put forward, and provides a response and justification.</p> <p>At the DEC meeting, the IED presents the evaluation findings and recommendations, and management presents their response to each recommendation, indicating whether they agree or disagree.</p> <p>After the DEC approves the evaluation report and management response, it enters the next stage of action preparation and follow-up.</p>	<p>The process of gathering input to management responses from different departments is clearly anchored in the SPD. This ensures clarity and follow-up and helps “push” the recommendations down the line in the organisation.</p>	<p>There have been occasions when the management response was unclear or ambivalent e.g., management agreed to the recommendation but did not follow through on the actual intent. This was one of the reasons for proposing a technical meeting on recommendations.</p>	<p>The meeting on recommendations aims to overcome the identified challenges. The intent is for the technical meeting to lead to better action plans which are more aligned with the intent of the recommendations. Early results suggest a higher acceptance rate of recommendations compared to previous evaluations, but it remains to be seen if this translates to better action plans.</p>
Following up and reporting on the implementation of recommendations	<p>For each recommendation that is “agreed” or “partially agreed”, the operational departments are responsible for the drafting and implementation of an action plan, with timelines and targets.</p>	<p>The system is geared towards ensuring accountability, and this is also how it is perceived by the operations departments. It has enabled tracking and follow-up of implementation, which was</p>	<p>A key challenge in the follow-up of actions is the quality of the action plan, as it is often perceived to be output based rather than targeting the evaluation recommendations as such. When the assessment on</p>	<p>The IED and Management are reviewing and discussing how to improve the processes, notably through engagement with operations departments in the development of action plans. The</p>

Processes	Key features	What works well, and why	Challenges	How challenges can be addressed
	<p>Recommendations, management responses and action plans are uploaded in the Management Action Record System (MARS). Follow-up is conducted on the due date of the action, and once it has been assessed on due date, the action is retired from the system.</p> <p>On the due date, the assessment is done on a 4-point scale (fully, largely, partly or not implemented) by the operations department (self-assessment) and validated by the IED.</p> <p>The validation is done by staff who led the preparation of the evaluation report, if they are still with the IED, or by a validator designated by the IED manager. In practice, the validation is based on the information or justification given by operations departments, and if necessary, additional information requested by IED staff to verify the information.</p> <p>The results of the follow-up are made public in the annual evaluation review, which uses the MARS system to track implementation of actions.</p>	<p>previously either not done or was ad-hoc.</p>	<p>implementation is done, it then becomes a box-ticking exercise which is easy to fulfil (e.g. guidelines developed) rather than following through on the actual intent of the recommendation.</p> <p>Sometimes, it is unclear what the IED should assess when validating, e.g. if it is the recommendation or the actions which are being assessed. This is an issue where there is a perceived disconnect between the recommendation and the action.</p> <p>Follow-up of action is only done on the due date as stated in the action plan. There is no continuous follow-up, or tracking of progress, which could be insufficient especially more strategic recommendations.</p> <p>Another issue is that actions which are not implemented (assessed as not implemented) on the due date are retired from the system. There is no follow up to determine whether the recommendation is still valid and relevant.</p>	<p>IED has proposed that it assesses upfront (i.e., before the Action Plan enters MARS) the relevance of the Action Plan vis-à-vis the intent of the recommendation.</p>
<p>Feedback loop and continuous learning on the development and follow-up of recommendations</p>	<p>There are few formal feedback loops, but currently an initiative is underway to review different ways of improving the process.</p>	<p>The annual evaluation review is a public document providing feedback and to some extent a snapshot of if and how evaluations are used in the ADB. In 2017 it also contained a survey of ADB staff to</p>	<p>-</p>	<p>-</p>

Processes	Key features	What works well, and why	Challenges	How challenges can be addressed
		explore their view on lessons learned in project evaluations and how the organisation uses lessons.		
Involvement of the management and board in these processes	The IED presents the final evaluation report and recommendations at the DEC meeting, and ADB management present their response. The evaluation report is made public after circulation to the DEC, about 3 weeks before the DEC meeting date.	By all indications, the new initiative of a technical meeting on recommendations has improved the quality and the acceptance of the recommendations put forward. The communication and discussions allow for smoother process further down the line, with fewer surprises at the DEC meeting.	-	-
Use of IT software tool to support these processes	<p>The ADB has an IT system which supports the process and enables tracking and validation of the implementation of recommendations.</p> <p>The system is used to assess implementation on the due date only, first by operations in a self-assessment, and then validated by IED. After the due date, the recommendations are retired from the system and are no longer followed up.</p>	The system enables tracking and information sharing, mainly from an accountability perspective.	The system is currently not used to generate lessons about how recommendations have been implemented. A follow up is done in the annual evaluation review, but mainly tracking basic performance such as acceptance rates and implementation rates, with no real learning or explanatory information.	As part of the current MARS improvement process, IED has proposed to introduce a learning exercise at the point where all recommendations for an evaluation have been implemented. This would be a joint learning exercise between Management and IED, to assess whether or not an evaluation had an impact.

2. EIB

Processes	Key features	What works well, and why	Challenges	How challenges can be addressed
<p>Developing recommendations</p>	<p>EV (Operations Evaluation) is responsible for drafting recommendations.</p> <p>EV organises consultations with the reference group and other relevant staff in order to collect feedback. This includes a workshop with the Services concerned.</p> <p>Guidelines are available to support the drafting of “good recommendations”, which should be useful (address a real problem, and be clear and specific, and targeted), and timely (take into account current or next mandate, corrective actions already taken etc.).</p> <p>Recommendations are targeted to specific decision-makers and managers; labels are used to categorise recommendations (i.e. strategy and policies, operations, organisation design & negotiation of partnerships, implementation of partnerships, cooperation) and facilitate comprehension, follow up and reporting.</p> <p>The final report is sent to the Management Committee (MC) together with recommendations for discussion and feedback. EV attends the meeting to present the results and recommendations.</p>	<p>EV puts great emphasis on consulting with relevant Services. This approach is appreciated: it facilitates a common understanding of the issue the recommendation intends to address; it provides the opportunity to the Services to provide feedback (e.g. on actions already taken to address this issue). Overall it contributes to improving the usefulness and timeliness of the recommendation.</p> <p>At the stage of drafting the final report—and prior to the workshop with the Services to present and discuss the draft final report—an internal workshop is organised within EV. This workshop is deemed helpful as colleagues review findings that will ultimately support the drafting of the evaluation’s recommendations.</p> <p>A healthy peer review process is in place: it involves a Team Leader, the Head of EV and the Inspector General. The review is based on the evidence available in the report and their experience in evaluation. During that process, recommendations receive the highest level of attention.</p>	<p>In ensuring that recommendations are useful, EV is challenged by the need to find the right balance between too general (difficult to follow-up) and too specific (difficult to implement) recommendations.</p> <p>Similarly, in ensuring that recommendations are timely, EV is hampered by the fact that recommendations are drafted at the end of the evaluation when there is not much time to spare. Misunderstandings between EV and the Services may also remain at this stage.</p> <p>EIB operates in a constantly changing environment: Some issues identified by the evaluation may already be addressed by the Services at the time of drafting the report; priorities may have shifted, and so recommendations may have been overtaken by events.</p> <p>Services are willing to be involved in the formulation of recommendations. This can be a challenge as consultation with the Services may create expectations that all feedback will be on-boarded; while EV must remain independent. As a result Services may be frustrated that their comments are not always taken into account.</p>	<p>EV tries to think about recommendations during the data collection and analysis phases of the evaluation.</p> <p>EV tries to be clear on the issues that need to be addressed, without prescribing how they can be addressed. It is the responsibility of the Services to draft action plans.</p> <p>EV strives to stay informed about changes in the operations and strategic orientations of the Bank, in order to ensure the timeliness of its recommendations. Consultation with the Services helps ensure the timeliness of recommendations.</p> <p>Recommendations are tested within EV and with the Services during meetings. The Vice-President (VP) providing oversight of EV is also consulted prior to sending the report to the MC.</p> <p>Based on the current guidelines it would be useful to have a template to guide the drafting and peer review of recommendations.</p> <p>The tension between ensuring useful and realistic recommendations through consultation with the Services and independence of the evaluator can be resolved through</p>

Processes	Key features	What works well, and why	Challenges	How challenges can be addressed
<p>Formulating management response to recommendations</p>	<p>For each recommendation, a specific management response is prepared. The management response for each recommendation must start with the words "not agreed", "partially agreed" or "agreed". There is also a management response for the evaluation as a whole.</p> <p>The Services are responsible for drafting the management response. The Services usually consult with EV in order to make sure the response builds on a correct understanding of the recommendation. This exercise is coordinated by a "Services Coordinator" who liaises with relevant staff within the Services.</p> <p>The MC discusses, provides feedback and ultimately approves the management response.</p> <p>EV then dispatches the evaluation report, including recommendations and management response, to the Board of Directors (BoD) for discussion. EV attends the meeting to present the results and recommendations. The VP providing oversight of EV also attends the meeting on behalf of the MC.</p>	<p>In the past, it was the Services that validated responses to recommendations. But, nowadays – and due to a request by the BoD - the responses are drafted by the Services for approval by the MC. This brings responsibility to the appropriate level within the hierarchy.</p> <p>When an evaluation is strategic and timely, meaning that it matches the current agenda and priorities of the EIB, and contributes to current discussions on the future orientations of the bank, the process of formulating a management response (and an action plan) tends to be easier, as it benefits from the commitment of all parties involved. The EFSI evaluation is a good example where the process was facilitated by the proactive involvement of all parties, due to the importance of the intervention to the EIB and the EU.</p>	<p>A "good management response" is clear and comprehensive. Clear: it should be unequivocal on what the MC understands and thinks. Comprehensive: it should address all aspects of a recommendation. If possible it should also help the drafting of the subsequent action plan. This is particularly important when the response is "partially agree". However, ensuring clarity and comprehensiveness is difficult to achieve under time constraints.</p> <p>It can be difficult for the MC to take a position on a recommendation and arbitrate between EV (who formulates the recommendation) and the Services (who may disagree with that recommendation). The MC is jointly responsible in overseeing the management response; so far the VP providing oversight of EV has been mediating between EV and the Services, which is a difficult role; especially when the VP also provides oversight for other service lines within the Bank.</p> <p>The process of formulating a management response can be cumbersome and time consuming. The management response can go back and forth between different parties, before it is finally approved by the MC. Moreover, these discussions take place under time constraints, as the response needs to be ready at a given date before the next BoD meeting. This can lead to prolonged discussions and a lack of consensus</p>	<p>continuous communication about EV's Work Programme and FUR process.</p> <p>"Good" recommendations facilitate "good" management responses.</p> <p>A template to support the formulation of management responses could be used to increase the quality of responses. This could also include guidance for discussions that the MC has on the management responses drafted by the Services.</p> <p>A high level of commitment from the Management and Services contributes to good and timely management responses.</p> <p>Before sending the draft management response to the MC, the Services can involve EV to ask if their answer is based on a correct interpretation of the recommendations. It is important that EV and Services fully understand one another's position regarding a recommendation and draft Management Response prior to it being presented to the VP or other MC members for mediation purposes.</p> <p>For each evaluation, a member of the MC could take the responsibility of the management response in order to provide for a</p>

Processes	Key features	What works well, and why	Challenges	How challenges can be addressed
			<p>between EV and the Services by the time the management response is approved by the MC, and sent to the BoD.</p> <p>EV sometimes finds that the management response builds on a lack of understanding of the recommendations. This can become a challenge and lead to further discussions when drafting and monitoring the action plan, as the Services have to deal with a response that is not fully in line with their understanding.</p> <p>The process of formulating a management response becomes even more complicated when recommendations concern various Services. In that case the process has suffered from a lack of ownership, coordination and decision, particularly at the level of the Services.</p>	<p>more clearly defined role for the VP overseeing EV.</p> <p>Another way to simplify the process includes: (i) limiting the number of recommendations; and (ii) limiting the number of different Services involved in the process to those that are primarily targeted by the recommendations.</p> <p>Recently, the MC tasked the Secretary General (SG) with overseeing <i>the implementation of recommendations of a more difficult or complex nature of Bank-wide importance</i>. The role of the SG includes coordinating the elaboration of management responses. SG has appointed a member of its staff as EV counterpart in the follow up of recommendations system.</p>
<p>Following up and reporting on the implementation of recommendations</p>	<p>For each recommendation that is “agreed” or “partially agreed”, the Services are responsible for the drafting and implementation of an action plan. The preparation and follow up of the action plan is coordinated by a “Designated Counterpart” in the Services.</p> <p>The action plan is informally sent to, and discussed with EV. The plan also reflects comments or suggestions made by the MC and the BoD during the process of formulating a recommendation.</p>	<p>The action plan is a positive feature of the system. Previously, the follow up was based on the recommendation and management response, which are not specific enough and difficult to monitor, and could lead to endless discussions on the status of a recommendation. An action plan provides a much stronger basis for monitoring, as it includes information on the actions to be taken, the timeline for the implementation of the actions and the type of evidence that will be provided</p>	<p>The MC is pushing the Services to draft “good action plans” but it is not always clear what a good plan should be and what the MC has in mind.</p> <p>Overall the process of drafting an action plan can be seen as cumbersome by the Services. They would prefer to prepare an action plan together with the management response, rather than waiting for a response to prepare the action plan.</p> <p>The Services also consult with EV in order to ensure a common understanding of the recommendation and draft the action plan accordingly. On this occasion they seem to seek (informal) validation of the action</p>	<p>Clearer instructions from the MC at the time they formulate a response (e.g. through a template to support the formulation of a management response, see above) would be useful. Also, the MC could review and approve the Action Plan.</p> <p>A guidance document and/or template could also be used to support the drafting of the action plan.</p>

Processes	Key features	What works well, and why	Challenges	How challenges can be addressed
	<p>EV is responsible for the monitoring of implementation of recommendations, and ensures quarterly reporting (FUR Notes). To this end, a Contact Person within EV is designated for each evaluation.</p> <p>Upon EV's request, a Designated Counterpart in the Services collects, checks, and inputs relevant information on the implementation of recommendations in the follow-up system. The EV Contact Person reviews and summarises information provided by the Services and prepares an opinion on the status of the recommendation (implemented, in progress, no progress, no longer relevant).</p>	<p>to show the action was implemented. This allows for a detailed follow-up at the level of each action.</p> <p>The Services have clearly defined responsibilities in this process: A Designated Counterpart is in charge of drafting the action plan, and then collecting evidence on the progress made as per this action plan.</p> <p>The drafting of an action plan is made easier when the recommendation is clear, specific, and commonly understood.</p> <p>The FUR Panel provides a joint assessment between EV and the Services. It ensures independence and consistency in the treatment of recommendations across evaluations and over time.</p> <p>Recently the FUR Note has been re-structured in order to provide the MC with sufficient contextual information on each evaluation and detail on each recommendation.</p>	<p>plan by EV. This common understanding may however be challenged during the follow-up of recommendations as the EV Contact Person for the follow-up of recommendations may not have participated in the evaluation itself. The memory of the discussions at the time of drafting the action plan is then lost, which can become a problem when assessing the implementation of the action plan (need to explain again, loss of consensus etc.).</p> <p>The EV Contact Person makes a first assessment based on the evidence provided by the Designated Counterpart in the Services. A dialogue usually takes place on this occasion. However, the FUR Panel makes the final assessment, and this assessment can sometimes contradict the outcome of the discussion as the Panel considers that progress is not sufficient. For this reason, the Services consider that the Panel is a non-transparent body. Yet EV – for independence reasons – wishes to provide a degree of distance between the Pane; and the Services.</p> <p>The collection of information for the follow-up of recommendations necessitates a lot of coordination and maintenance by EV.</p> <p>As with the process of formulating a management response, the process of formulating an action plan and following up on its implementation is difficult when the action plan concerns various Services.</p>	<p>To the extent possible, the EV Contact Person for the follow-up of recommendations should have been involved in the evaluation and formulation of recommendations.</p> <p>The interaction between the EV Contact Person and the Services at the time of collecting input for the review and assessment could be managed more carefully. A new application based on Microsoft SharePoint should streamline the process and clarify what input is provided by the Services, and what decision the FUR Panel makes and why. Moreover, better communication on the role and value added of the Panel could improve the understanding of its decisions.</p> <p>The new SharePoint application should allow for easier exchange and storage of information for all participants in the FUR process</p> <p>It has been agreed that SG will appoint a member of staff to play a coordination role with EV's</p>

Processes	Key features	What works well, and why	Challenges	How challenges can be addressed
	<p>The FUR Panel, composed of EV's team leaders and Head of Division, validates (or not) the changes in the status of recommendations, as proposed by EV Contact Person.</p> <p>The FUR Note is then drafted and is sent to the MC for discussion and possible action. The BoD receives the FUR Note twice a year for information.</p>			<p>counterparts in the Services on the implementation of those recommendations where SG and EV have agreed that SG involvement is needed. In 2016 SG was involved for the first time in the discussions on the elaboration of the action plan for a Bank-wide recommendation from the EFSI Evaluation</p>
<p>Feedback loop and continuous learning on the development and follow-up of recommendations</p>	<p>There is no formal feedback loop mechanism in place in the EIB. However, EV is working in close cooperation with the Services, SG and MC throughout the development and follow-up of recommendations, and EV is constantly seeking feedback for the continuous improvement of its evaluation recommendation process.</p>	<p>Recent initiatives illustrate continuous learning: The note to file on FUR has been drafted to clarify the whole process; and will be shared with the Services for comments.</p> <p>A new application based on Microsoft SharePoint is under development to facilitate the follow-up of recommendations.</p> <p>EV is currently liaising with the Secretariat General (SG) in relation to the practical modalities for their involvement in the evaluation recommendation process.</p>	<p>There is a tension between EV engaging in ongoing dialogue with the Services and the need to ensure independence of its judgment.</p>	<p>This tension can be solved through continuous and clearer communication about the evaluation recommendation process from EV to the Services.</p>
<p>Involvement of the management and board in these processes</p>	<p>The MC is involved in most steps in the recommendation process. It validates the responses to recommendations, may discuss action plans, and receives and discusses the monitoring report (FUR note) on a quarterly basis.</p> <p>The BoD is informed about an evaluation and its recommendations whenever an evaluation is concluded, and twice a year when the FUR Note is</p>	<p>The role of the MC has in the evaluation recommendation process has increased in the past few years following subsequent requests from the BoD. This has brought the responsibility of the evaluation recommendation process to an appropriate level in the Bank's hierarchy, and contributed to the increasing importance of</p>	<p>It can be difficult for the MC to take a position on a recommendation and arbitrate between EV (who formulates the recommendation) and the Services (who may disagree with that recommendation). Within the MC, there is a lack of clear responsibility on who should oversee the management response; in the past, the VP providing oversight of EV mediates between EV and the services, which is a difficult role; especially when the VP also</p>	<p>The process can benefit from a more systematic description of the allocation of roles and responsibilities amongst key stakeholders: EV, Services, MC, BoD, etc.</p>

Processes	Key features	What works well, and why	Challenges	How challenges can be addressed
	<p>released. EV participates in BoD meetings on the aforementioned matters.</p>	<p>evaluation recommendations at the EIB.</p> <p>At the same time the MC is relying on a strong and independent evaluation function. Clear processes and regular involvement of the BoD provide EV with the necessary platform and support.</p>	<p>provides oversight for the service line under evaluation.</p> <p>Feedback from a BoD member indicated that among the BoD members there might not be sufficient awareness of the BoD's role with respect to the evaluation function. For example, the BoD could be pro-active in formulating EV's work programme in order to ensure it addresses questions that are of interest to the Board.</p> <p>Board members have limited capacity to review the wealth of documentation provided prior to Board meetings and, the number of items discussed during Board meetings may limit the number of lengthy discussions held, including on the implementation of evaluation recommendations.</p>	<p>Better prioritisation of which information (strategic issue or major risk) is conveyed to the Board in reports and during meetings would increase its ability to react and support the implementation of recommendations.</p>
<p>Use of IT software tool to support these processes</p>	<p>Action Plans are included in a follow-up system. Previously the system applied a Microsoft Excel spreadsheet to capture, store and analyse all information relating to the FUR. It may be supplemented by email correspondence or face-to-face meetings between the Services and EV.</p>	<p>The old system allowed generating reports in the form of overview tables and graphs.</p>	<p>The old system was unsatisfactory: it does not allow for different access rights; it is not very transparent in terms of making a distinction between Services contribution, EV opinion and Panel final assessment ; it necessitates a lot of coordination and maintenance by EV and email exchanges with the Services</p>	<p>A new application based on Microsoft SharePoint is soon to be rolled out: it should allow for easier exchange and storage of information for all participants in the FUR process. While the system intends to address issues identified by both the Services and EV, it is still to be rolled out and so it is too early to evaluate its impact.</p>

3. GEF

Processes	Key features	What works well, and why	Challenges	How challenges can be addressed
<p>Developing recommendations</p>	<p>All recommendations are developed by IEO staff and there are no formal guidelines for this. There are emerging working practices, but not documented ones.</p> <p>Not all evaluation reports of GEF IOE include recommendations – in some reports GEF IOE may restrict itself to providing findings and conclusions, and may not recommend a course of action.</p> <p>GEF IOE provide GEF secretariat, GEF Agencies and other stakeholders with the opportunity to comment on the draft evaluation report, which generally includes recommendations, in writing.</p> <p>For major evaluations, a reference group is set up with the relevant agencies, the Secretariat, and other constituents of the GEF partnership as appropriate.</p> <p>The practice is that each recommendation is addressed to a specific entity that is relevant for its implementation.</p>	<p>The flexibility involved in providing certain evaluation products without recommendations is useful for cases that are more political in nature – the evaluators provide the necessary data and analysis to the Council to make a political decision.</p> <p>Interaction is key for a positive outcome from the process, which needs to be based on trust and understanding of where each part of the GEF sits and the roles of the Secretariat and the GEF IOE as an independent body.</p> <p>According to both evaluators and management, for the uptake of recommendations, it is important that they are neither too broad nor too narrow – they should give direction but also not pre-empt the decision of the Council and management’s role in designing their implementation.</p>	<p>Often, services / management do not have enough time to provide feedback on the recommendations.</p> <p>A more systematic approach to communication and interaction is necessary – there have been cases where communication focused on a few focal points but not all relevant stakeholders were in the loop of what was going on, which meant that, at the end of the process, some results came as a surprise to them.</p> <p>Most of the recommendations of the GEF IOE are targeted at the Secretariat whereas only a few are targeted at the GEF implementing agencies, which are key players in the GEF partnership.</p>	<p>Having clear guidelines or standards accepted across the board would be useful to ensure the consistent performance of evaluation activities.</p> <p>The GEF IOE could review this issue and consider how to best target future recommendations, so as to ensure that the Agencies which will implement them are aware of them, and there is a stronger role for them in the preparation of feedback and management responses than what is currently the case. The Secretariat would also need more time to coordinate this.</p>
<p>Formulating management response to recommendations</p>	<p>The GEF Monitoring and Evaluation Policy 2010 contains policy/guidelines for the management response to evaluation report recommendations.</p> <p>The GEF CEO coordinates the preparation of the management response with Agency stakeholders</p>	<p>The practice of the GEF Secretariat is to send their management response to the GEF IOE before making it available to the Council is considered a good feature of the process. Even if GEF Management is in agreement with recommendations made, there may be findings in the evaluation they are not in full agreement with and this</p>	<p>-</p>	<p>-</p>

Processes	Key features	What works well, and why	Challenges	How challenges can be addressed
	<p>for GEF Council consideration, tailored to each evaluation report.</p> <p>The GEF IEO is not responsible for the substance of the response, although it verifies the quality of responses to ensure recommendations have been addressed and have a chance of being implemented.</p> <p>The GEF Council discusses and reviews GEF IEO's evaluation reports, the recommended actions, and the management responses and takes decisions on which recommendations are to be implemented.</p>	<p>additional stage of interaction is considered an useful opportunity for both sides to come together and discuss accordingly. The Evaluators get a chance to understand better the issues flagged by management and based on these conversations, the Secretariat may find the need to reformulate the management response. Such communication is considered to work towards better and more relevant evaluations overall.</p>		
<p>Following up and reporting on the implementation of recommendations</p>	<p>The GEF Monitoring and Evaluation Policy 2010 contains policy/guidelines for following-up and reporting on the uptake of recommendations.</p> <p>GEF IEO manages the process – it prepares the outline of the MAR report with the Council decisions (based on IEO recommendations) that are being tracked. Management makes a self-assessment of the level of adoption. The GEF IEO validates the Secretariat's response and also presents its independent assessment of the adoption. Both assessments are published in the report.</p> <p>There is no formal requirement for an action plan in response to decisions of the Council. In many</p>	<p>The MAR report is useful for Management to make sure there are no blind spots in the follow-up of recommendations.</p>	<p>Maintaining the number of Council decisions being tracked is a challenge as management must allocate time and resources to this task.</p>	<p>It could be relevant for GEF IEO and the Secretariat to discuss the approach and structure of this process to ensure it is designed in an optimal way in terms of the time needed for each party to perform its tasks.</p>

Processes	Key features	What works well, and why	Challenges	How challenges can be addressed
	cases, actions have already been initiated by management to enact issues identified in the evaluation and addressed by the recommendations. In some instances the management may establish working groups to address the recommendations.			
Feedback loop and continuous learning on the development and follow-up of recommendations	-	-	-	-
Involvement of the management and board in these processes	The GEF Council issues decisions on the recommendations that are to be implemented by management.	The role of the Council in the process is particularly useful in cases where management considers that IEO's recommendation does not fully capture the changes that need to be implemented or where the management feels that the IEO's recommendation goes beyond what may be practical. The GEF Council takes into account differences in perspectives of the IEO and the management in making its decision. The management is held accountable for implementation of the Council's decision and not the GEF IEO recommendation.	-	-
Use of IT software tool to support these processes	There is no specific IT software for these process.	-	-	Introducing IT software is not a priority at the moment; the current approach is considered to work well enough.

4. IDB

Processes	Key features	What works well, and why	Challenges	How challenges can be addressed
Developing recommendations	<p>The process is guided by a working document which defines different steps and the roles for OVE and its counterparts.</p> <p>Office of Evaluation and Oversight (OVE) is responsible for drafting recommendations</p> <p>OVE provides the Lead Department (operations) and management (SPD) the opportunity to comment on the draft evaluation report, which includes recommendations, in writing; followed by a peer review meeting to discuss the provided feedback.</p> <p>Recommendations are targeted to the IDB. There are no specific guidelines or templates for the recommendations.</p>	<p>For services/management, recent revision of the process that allow for more time for reviewing and interaction before/after the peer review meeting has been a positive development.</p>	<p>Some of the views shared by services / management indicate a perception that some of the recommendations provided by OVE are too general or that they address issues which are very high level and depend to a high extent on the client countries.</p> <p>Tensions between the evaluators and the services / management can arise concerning the extent to which recommendations should incorporate management's comments, besides those addressing factual mistakes.</p>	<p>It could be helpful for OVE to identify good practices or provide guidelines on how to formulate recommendations and share them with management to ensure a common understanding and expectations.</p> <p>Increased opportunities for interaction between OVE and its counterparts after the peer review meeting will give much needed room for clarifying / understanding recommendations and the feedback provided on them prior to the next steps of the process.</p>
Formulating management response to recommendations	<p>There are defined roles for OVE, Management and the Board in the process.</p> <p>There is a requirement to provide management response to all evaluations containing recommendations.</p> <p>The Lead Department (from services) for the evaluation (or SPD where relevant) organises the response from all bank services concerned by the evaluation / recommendations to formulate the management response. SPD has a quality control role in the process.</p>	<p>The delegation of responsibility for this task to the Lead Department for the evaluation representing the service functions is seen as a positive aspect, as the Lead Department will also be responsible for designing action plans and implementing the recommendations. Their incentive to engage in the process is therefore high.</p> <p>According to the interviewees, the quality control function of SPD contributes positively to ensuring higher quality and consistency of</p>	<p>For services / management, it can be challenging to draft the management response in cases where the recommendation is unclear or too high level (general).</p> <p>The evaluation of the ReTS Pilot noted that management response in the "partially agree" category leaves room for ambiguity in the assessment of implementation.</p>	-

Processes	Key features	What works well, and why	Challenges	How challenges can be addressed
	<p>The recommendations and the response are submitted to the board and discussed at a board meeting.</p> <p>The board endorses recommendations which are then to be implemented by management.</p>	<p>management responses across different units.</p>		
<p>Following up and reporting on the implementation of recommendations</p>	<p>The development of the process for following up and reporting on the implementation of recommendations is ongoing.</p> <p>The Recommendation Tracking System is an IT system that plays a key role in the process.</p> <p>The main actors involved in the ReTS include: the Board, OVE, SPD, and those departments designated as Lead Department(s) for any given evaluation.</p> <p>The Lead Department is required to prepare an action plan for each recommendation endorsed by the board which is then entered into ReTS. The Lead Department(s) must update the action plan status in the ReTS at least once a year.</p> <p>OVE independently assesses the relevance and implementation status of the action plans at the end of each year, using the information reported in the ReTS. OVE's final</p>	<p>The involvement of OVE in assessing the relevance and implementation status of the action plans at the end of each year is meant to ensure that the recommendations are implemented in substance and lower the possibilities for "gaming the system". The timing of this assessment should also allow for timely revision of the action plan to ensure proper implementation.</p> <p>Reporting to the board on the relevance and status of implementation should provide a further incentive to management to implement the recommendations.</p>	<p>Management perceived that there was not sufficient interaction and discussion on OVE's approach to assessing relevance and implementation by OVE, which led to a substantial disagreements on the assessment presented by OVE in the 2016 Annual Report.⁶</p> <p>There is some uncertainty among interviewees representing different function as regards the extent to which updates on implementation entered into ReTS are being followed by Management/the Board and due to issues with the current design of the system it is not really a tool which can be easily used to monitor implementation status at a corporate level.</p> <p>Some stakeholders question the extent to which the current approach to the process is efficient (costs vs benefits), especially in the case of evaluations on recurring programmes, in which the implementation of</p>	<p>A revision of the approach to assessing implementation to include an opportunity for OVE to provide feedback on the action plans can help avoid situations in which an action plan that is already being implemented is found to not be relevant.</p> <p>It is important to accompany the assessment and reporting process with communication measures that raise awareness of it for all relevant stakeholders in order to promote engagement and ownership of the results.</p>

⁶ MANAGEMENT'S RESPONSE TO THE OVE ANNUAL REPORT 2016 AND BACKGROUND NOTE ON MANAGEMENT'S IMPLEMENTATION OF OVE RECOMMENDATIONS

Processes	Key features	What works well, and why	Challenges	How challenges can be addressed
	assessment is reported to the Board and posted in the ReTS Portal, together with Management's comments on the same.		recommendations may be more effectively checked in the context of the next evaluation	
Feedback loop and continuous learning on the development and follow-up of recommendations	No formal feedback loop mechanism. There are ongoing developments of the processes in connection to the introduction of ReTS which have provided the opportunity to investigate and revise practices which were found lacking.	-	-	-
Involvement of the management and board in these processes	The board's role is to decide on which recommendations to endorse and receive reports on implementation.	<p>According to some of the interviewees, the role of the IDB board is a positive element in the process – the board members follow closely developments at the bank and take decisions on which recommendations to endorse based on the information provided by the parties concerned and informal consultations (meetings) with the evaluators and the management / service functions.</p> <p>Management has to implement all recommendations endorsed by the board regardless of whether they agree with them or not.</p>	There is relatively low turnover in the board but nevertheless resources need to be invested in providing new board members with information and training so that they can engage effectively in the process.	-
Use of IT software tool to support these processes	The Recommendation Tracking System (ReTS) was launched in 2013; it is an IT system which records recommendations endorsed by the board, the corresponding action plans and reports on implementation.	Revisions of the system leading to higher automation of processes (e.g. automatic reminders) are seen as a positive development	<p>The roll-out of the ReTS system has taken significant amount of time and resources and numerous revisions and updates.</p> <p>The current version of the system is not considered very user friendly and updates are challenging due to technical issues with the system.</p>	<p>The pilot review of the ReTS system noted several key aspects that could be improved (lessons learned)</p> <ul style="list-style-type: none"> - It is important to develop a comprehensive model for the business processes involved with such a system prior to the design of the technical solution so

Processes	Key features	What works well, and why	Challenges	How challenges can be addressed
			<p>As the updates to the system are not yet finalised, this has been an obstacle to designing and providing training courses for the users of the system.</p> <p>Users consider that there is room for improvement in terms of the ability of the system to facilitate learning opportunities</p>	<p>as to minimise the need for costly and time consuming revisions;</p> <ul style="list-style-type: none"> - It is necessary to have a communication strategy that ensures sufficient awareness among the users of the system of its objectives, of their roles and responsibilities and of how the information entered into the system is used; - It is important to design the system in a way that ensure that, besides accountability, it also promotes learning within the organisation; - It is important to carefully assess the necessity for such a system against the scope and nature of evaluations carried out and the costs involved in developing and using it.

5. IFAD

Processes	Key features	What works well, and why	Challenges	How challenges can be addressed
Developing recommendations	<p>IFAD Evaluation Manual lays down specific guidelines for the approach to formulation of recommendations in the case of Country strategy and Programme Evaluation (CSPE) and for Corporate level evaluations.</p> <p>Independent Office of Evaluation (IOE) is responsible for drafting recommendations</p> <p>For CSPEs, IOE organizes debriefing sessions and workshops with stakeholders in order to present preliminary findings and later on – main conclusions and recommendations. For evaluation synthesis evaluations, an emerging findings workshop is organised. No workshop is planned for corporate evaluations.</p> <p>Guidelines are available to support the formulation of recommendations; an internal peer review process takes place in IOE.</p>	<p>Efforts to prioritise the issued recommendations to 3-4 recommendations per evaluation are considered a positive development.</p> <p>Participation of government brings value to the process and increases ownership.</p> <p>The internal peer review process improves recommendations.</p> <p>The interactions with stakeholders in the context of meetings and workshops are seen as a positive factor for the desirable outcomes of the process.</p>	<p>A common challenge is to strike the right balance between too general and too specific recommendations. According to services/management, more consultations with stakeholders in the process of formulating recommendations could help avoid recommendations that are not tailored enough, e.g. to the country specifics.</p> <p>IOE also recognises that there is scope to improve the drafting of recommendations.</p>	<p>An additional meeting between IOE and Programme Management focusing specifically on the recommendations could improve the process of communication on feedback provided to the evaluation and recommendations and revising these.</p> <p>IOE is working on improving the drafting of recommendations for example by using checklists (which are under preparation in the UNEG).</p>
Formulating management response to recommendations	<p>IFAD Evaluation Manual lays down the processes for formulating management response to recommendations for different types of evaluations.</p> <p>For CSPEs, IFAD Management and the government will prepare an Agreement on Completion Point (ACP), which contains a summary of the main evaluation findings and recommendations that IFAD Management and the concerned government agree to adopt and</p>	<p>The joint response – involving the country government – is seen as a positive factor which increases the effectiveness of management response and later on – recommendation implementation.</p> <p>The requirement for management to agree or justify their disagreement is seen as bringing transparency to the process.</p>	-	-

Processes	Key features	What works well, and why	Challenges	How challenges can be addressed
	<p>implement within specific time frames. The ACP will also document any recommendations that are not found feasible by either IFAD Management and/or the government.</p> <p>The ACP must be included as an annex to the COSOP submitted for consideration by the Board. This allows the Board to assess whether the CSPE findings and recommendations have been adequately included in the Results-Based Country Strategic Opportunities Programme (COSOP).</p> <p>IFAD's input to the management response is mainly prepared by the service unit involved and its senior management, with the Operational Programming and Effectiveness Unit (OPE) of the Programme Management Department actions as a clearing house / quality assessor for all response.</p> <p>Responses are either of agreement or disagreement, no partial agreement is used.</p>			
Following up and reporting on the implementation of recommendations	IFAD's Evaluation Manual outlines the approach taken for following-up and reporting on the take-up of recommendations in the context of PRISMA (President's Report on the Implementation Status of Evaluation Recommendations and Management Actions) .	<p>The current approach is considered to work well, with clear roles to different parties.</p> <p>It is considered to give reasonable oversight over the implementation of recommendations, while also giving leeway and flexibility to management to address them as appropriate.</p>	Since the monitoring of the implementation of CSPEs recommendations is done via self-assessment by management in PRISMA, it will only be the next CSPE (in approx. 5-6 years) to establish if the recommendations have been followed up in the spirit of the evaluation. .	The mid-term review of the COSOP (in 3 years) could systematically assess the extent to which recommendations have been implemented.

Processes	Key features	What works well, and why	Challenges	How challenges can be addressed
	<p>The PRISMA includes follow-up actions taken to recommendations made in the ARRI, CLEs, CSPEs, PPEs and evaluation synthesis reports.</p> <p>Primsa is prepared by IFAD Management – the Programme Management Department (PMD) Front Office.</p> <p>IFAD Evaluation Committee and Executive Board together with IOE comments on PRISMA.</p> <p>There is no general requirement to set up action plans, but they may be prepared for corporate level evaluations.</p> <p>For country level evaluations, the IOE comments on the extent to which recommendations are reflected in the COSOP, but doesn't verify their implementation until the next planned evaluation.</p>			
Feedback loop and continuous learning on the development and follow-up of recommendations	There is no formal feedback loop mechanism in place, but the consultation meetings/workshops organised with evaluation participants as well as general in-house learning events provide an opportunity to discuss the quality of evaluations.	-	-	-
Involvement of the management and board in these processes	The Evaluation Committee and the Board receive PRISMA and comment on these.	-	-	-
Use of IT software tool to support these processes	No IT software tool is used to support these processes.	-	The current approach of IFAD in these process relies a lot on “institutional memory”, which	The use of an IT system may make the follow up process more systematic and facilitate learning in the organisation. But such a

Processes	Key features	What works well, and why	Challenges	How challenges can be addressed
			works because IFAD is a relatively small organisation.	solution would have to be proportional to IFAD's activities, and less complex than some of the IT solutions deployed by other ECG participating institutions.

6. ISDB

Processes	Key features	What works well, and why	Challenges	How challenges can be addressed
Developing recommendations	<p>The process is guided by the GOED evaluation policy as well as a guidance note providing further details.</p> <p>Group Operations Evaluation Department (GOED) is responsible for drafting recommendations</p> <p>GOED provides operations and management the opportunity to comment on the draft evaluation report, which includes recommendations, in writing. In practice, meetings may also be set up to discuss the report and recommendations.</p> <p>Recommendations are targeted to the ISDB.</p> <p>Checklists are available to evaluation specialists and consultants to guide them on formulating, capturing, reporting, disseminating, and using evaluation lessons learned and recommendations.</p>	<p>The checklists available to evaluators are seen as contributing to more useful recommendations.</p> <p>The opportunity for services/management to provide feedback in writing or in meetings is also seen as having a positive contribution to the results.</p>	<p>Often, services / management perceive that recommendations provided by OVE are too general.</p> <p>While there may be informal practice to organise meetings with operations and management counterparts to discuss their feedback, this is not systematic and may depend on the evaluator's individual approach or may not happen due to lack of time on either side.</p>	<p>GOED addressed feedback about recommendations being too general by hiring an external consultant to develop the recommendation template and providing training to individual GOED evaluators, e.g. by reviewing with them previously issued recommendations and discussing with them how they can be improved.</p> <p>More interaction between evaluators and counterparts in operations is seen as resulting in better understanding the recommendations and the provided feedback and facilitating recommendations take up. Such interactions are not mandated by the current policy and their codification is expected to lead to more systematic application and contributed to ensuring the engagement of all sides in the process and facilitating the implementation of recommendations and the next steps of the process.</p>
Formulating management response to recommendations	<p>ISDB's Evaluation Policy and "Guidelines for Preparing Performance Evaluation Reports for Public Sector Operations" contain provisions regarding management response.</p> <p>Once the evaluation report is finalised, Management prepares an</p>	-	-	<p>In order to developed a more detailed system of tracking recommendations, it would be necessary to ensure that management responds officially to each recommendation rather than the evaluation as a whole.</p>

Processes	Key features	What works well, and why	Challenges	How challenges can be addressed
	<p>official response to the evaluation, but not to specific recommendations.</p> <p>In the context of the Annual Evaluation Report, management responds to the evaluations issued in the year leading up to the report in connection to assessing their status of implementation.</p>			
Following up and reporting on the implementation of recommendations	<p>This process is at an early stage of development.</p> <p>GOED reports annually to the Board on the implementation of recommendations based on the self-assessment of implementation made by management.</p>	GOED's report contains all recommendations issued during the year and management assesses the status of implementation of each one of them.	<p>GOED requests information / reports only on recommendations issued in the year leading up to the reports preparation. There is no further monitoring on reporting on the recommendations beyond that point.</p> <p>The lack of an IT system to support this process is considered to present a challenge.</p>	<p>GOED is considering how to revise the current approach, so that reporting on the implementation of recommendations covers recommendations within 5 years of being issued.</p> <p>GOED is considering the development of an IT system to facilitate the process.</p>
Feedback loop and continuous learning on the development and follow-up of recommendations	-	-	-	-
Involvement of the management and board in these processes	<p>Findings of the evaluation process that require urgent action are escalated to management already during the evaluation process.</p> <p>Since GOED reports to the board, they can highlight in their reports recommendations where they consider that the board needs to enforce them with Management</p>	GOED's direct reporting line to the board is considered to reinforce their independence as evaluators.	-	-
Use of IT software tool to support these processes	N/A	-	-	-

7. WBG

Processes	Key features	What works well, and why	Challenges	How challenges can be addressed
Developing recommendations	<p>Independent Evaluation Group (IEG) is responsible for creating recommendations.</p> <p>Management/line operations are continuously involved in the evaluation process through feedback loops, from the development of the approach paper and throughout the process.</p> <p>After the draft report is finalised, two protocol required meetings are held between IEG and operations. The first concerns overall comments and feedback on the report from Management counterparts, and a second meeting which concerns specifically draft recommendations. At the meeting on recommendations management/technical experts provide feed-back on feasibility and operational relevance of the proposed recommendations. The IEG decides in the end how to formulate the final recommendations to stay in line with the evaluation findings and key messages. If some comments are not taken into account IEG provides justification to Management counterparts.</p> <p>Pilots to amend/improve the processes are currently underway (see last column in this row). Ultimately, the pilots aim to enable more effective discussions in CODE and better uptake of IEG's findings and</p>	<p>IEG has a continuous communication and consultation with management/operations in the evaluation process, which is seen as essential to a good evaluation process. Overall the cooperation works well.</p>	<p>When there are strong differences or views on the recommendations, it is often connected to Management's disagreement with IEG's methodological choices and failure to agree on what type of action a finding may require. Even if the approach paper for a particular evaluation is discussed with Management counterparts, management perceives that their input is not always fully taken on board, which leads to the challenges mentioned above.</p> <p>Another key challenge in the development of recommendations is how to find the right balance between high-level strategic recommendations that are directional and at the same time operationally relevant. While in general IEG aims to prioritise and put forward a limited number of recommendations, in some cases sub-recommendations may complicate the process. The multiple sub-recommendations lead to instances of management "partially agreeing" with the recommendations which then affects action plans not being in line with the recommendation's intent. The challenge is to arrive at recommendations which are actionable but not prescriptive or "micro" oriented.</p> <p>Another challenge for the usefulness and relevance of recommendations is that during the MAR follow-up years, they may become obsolete or irrelevant due to changes in the context of the evaluated intervention.</p>	<p>Currently the IEG and management is trying out alternative approaches to the development of recommendations. Three pilots are under way:</p> <ol style="list-style-type: none"> 1) A REACT workshop, which is an open brainstorming session based on findings, with evaluators and management, to discuss and elaborate on most important conclusions and recommendations. 2) An approach where reports only provide findings and conclusions, with management being responsible for developing recommendations to address the findings. 3) An approach where both IEG and management develop recommendations, separately, which then will be discussed at the CODE meeting and decided which set to adopt as the final one in order to follow up during the MAR update cycles <p>The pilots are currently underway and will be assessed in the fall of</p>

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	recommendations among Management counterparts.			2017. Overall, the experiences of involved staff have been positive.
Formulating management response to recommendations	<p>The management response is prepared by the department responsible for the evaluated activity, in consultation with other involved departments as relevant. The whole process is coordinated/ followed up by the strategy and risk departments in the WBG which also have a role throughout the evaluation process in coordinating and liaising between IEG and management/ operations. In the WB this is OPCS (Operational Policy and Country Strategy unit), at IFC it is the Strategy and Risk unit, and at the MIGA it is the Economics and Sustainability unit</p> <p>Management response is discussed prior to the CODE meeting, through discussions and meeting with the department drafting the response, the strategy and risk departments and IEG. Management accepts, partially accepts or rejects each recommendation put forward, and summarise a response/ justification.</p> <p>At the CODE meeting IEG present the evaluation findings and recommendations, management presents the response to each recommendation, and whether they agree or not. The management response is subsequently discussed and approved by CODE.</p> <p>Once the CODE has endorsed the evaluation report and management</p>		According to interviewees, the management response may at times be unclear, or ambivalent, in that management agrees to the recommendation but fails to follow through on the actual intent or thrust, meaning that actions in the action plan don't always align with the spirit of IEG's recommendations.	The pilots which have been initiated are intended to test different ways of reaching agreement or understanding on recommendations, which should transpire into better management responses.

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	<p>response, it enters the next stage of action preparation and follow-up. The CODE is a subcommittee of the board of directors and reports to the board of directors.</p>			
<p>Following up and reporting on the implementation of recommendations</p>	<p>For each recommendation that is “agreed” or “partially agreed”, the operational departments are responsible for drafting and implementing an action plan, with timelines and targets. The draft action plan should be provided within 90 days after the CODE meeting. The plan is reviewed by and commented on by IEG, but management does not have to take on board comments or seek approval of the final action plan.</p> <p>Once finalised, the action plans are entered into an internal online platform and become part of the annual MAR process a fiscal year after the CODE meeting. The internal online platform is one of the two online platforms utilised by IEG for the MAR annual process. The internal one is a closed system only available to those who participate in the annual update process during the update cycle itself. An important tool that the internal platform provides is the confidentiality of deliberative process which ensures that while each side is drafting their updates and reviews the content is only visible to the person taking actions on it. In addition, each individual can see their counterpart’s name assigned to each evaluation, which enables MAR participants on both sides to get in touch with each other informally during the update</p>	<p>The MAR update process as well as the introduction of the internal online platform have enabled more accurate and systematic tracking and follow-up of implementation, and has thus contributed to a more rigorous use of evaluation findings and recommendations.</p> <p>The fact that the MAR data is publicly available contributes to accountability and transparency on both sides.</p>	<p>A key challenge during the follow-up on actions is the quality of the action plans. According to IEG, action plans often tend to be output based and more risk-averse rather than targeting the full intent of evaluation recommendations.</p> <p>WBG Management, on the other hand, perceive the MAR update cycle as less flexible tool than it should be in order to allow for adjustment of the organisation to the dynamics of interventions or a changing environment. The actions plans are fixed and not subject to change, which often predisposes Management to opt for less risky and large scale commitments in the action plans. To find a solution, According to some interviewees, data from the recommendations and action plans implementation is not strategically used and integrated into the overall decision making process. Seen by some as a formal exercise, it is not fully integrated into management’s strategic planning.</p>	<p>Another pilot adopted by IEG and WBG Management is for Adaptable Action Plans for two of IEG’s recent evaluations. Adaptable Action Plans will be monitored just like other action plans during the MAR update process, but rated by IEG against the implementation of IEG’s recommendations (rather than actions) while Management reserves the right to adapt the action plans to new realities as long as the new actions are responsive to the main outcome envisioned in IEG’s recommendations.</p>

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	<p>process. This helps to deepen engagement and clarify any issues prior to formalizing the reviews.</p> <p>The data from the update exercise (including ratings and updates themselves) becomes publicly available on external online platform once the update cycle is closed. This second public database is hosted on IEG's external website, which allows users to filter through recommendations by evaluation title, keywords, years of follow up and status of recommendations.</p> <p>Actions are tracked yearly over a period of 4 years after which they are retired from the update process, but are archived in the online platforms for records keeping.</p> <p>The validation by IEG is generally done by the evaluator who led the evaluation or a designated sector expert, which is then reviewed and approved by the unit Manager.</p>			
Feedback loop and continuous learning on the development and follow-up of recommendations	There is a continuous discussion between IEG and management on how to improve the processes, but no formal procedure or process implemented.	-	-	-
Involvement of the management and board in these processes	The action plans are included in the quarterly report to CODE. The results of MAR updates are included in the IEG's annual flagship report on WBG Results and Performance.	-	-	Some interviewees suggested that a stronger involvement or engagement from CODE could be beneficial to the process. To have a clear senior management buy-in in the process is seen as important.
Use of IT software tool to support these processes	There are two online platforms utilized by IEG and WBG for the MAR annual process. One is a closed system only	The fact that the system is public adds accountability and transparency.	The fact that the MAR data is publicly available may contribute to a tendency for WBG Management to take a more	A pilot has been initiated with adaptable action plans which may help mitigate some of the

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	available to those who participate in the annual update process during the update cycle itself. The data from the update exercise (including ratings and updates) becomes publicly available on the second platform once the update cycle is closed.		conservative and cautious approach in setting targets and indicators in action plans.	challenges associated with the follow-up system. Overall, the openness of the system is nevertheless considered a strength.