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P O N S

Enabel Belgian  
Development Agency

**Evaluation of  
Results in the  
Management  
Cycle**

Final Report

December 2018

Enabel Belgian  
Development Agency

# **Evaluation of Results in the Management Cycle**

Final Report

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# Contents

|  |           |
|--|-----------|
| <b>Executive Summary.....</b>  | <b>5</b>  |
| <b>1 Introduction.....</b>   | <b>9</b>  |
| <b>2 Results-Oriented Monitoring at a Glance.....</b>  | <b>11</b> |
| 2.1 The Concept of Results-Oriented Management (RBM).....                                      | 11        |
| 2.2 Results-Oriented Management in the Belgian Development Cooperation.....                    | 12        |
| 2.3 Enabel's Results-Oriented Monitoring System.....   | 13        |
| <b>3 Evaluation Design .....</b>   | <b>16</b> |
| 3.1 Methodological Concept.....  | 16        |
| 3.2 Methodological Approach .....  | 18        |
| 3.3 Challenges and Limitations of the Methodology .....  | 24        |
| <b>4 Quality and Use of Results Information at Enabel .....</b>                                | <b>25</b> |
| 4.1 Analysis of Quality and Use of Results Information.....                                    | 26        |
| 4.2 Organisational Factors Influencing the Quality and Use of Results Information at Enabel .. | 44        |
| <b>5 Conclusions .....</b>   | <b>55</b> |
| <b>6 Recommendations.....</b>  | <b>57</b> |
| 6.1 Recommendations on the Results-Oriented Management System .....                            | 57        |
| 6.2 Recommendations for Supportive Organisational Structures and Processes.....                | 57        |
| 6.3 Recommendations for Organisational Incentives.....   | 60        |
| <b>Annexe.....</b>   | <b>62</b> |

## Table of Figures

|  |    |
|--|----|
| Figure 1 – Results Chain.....  | 11 |
| Figure 2 - MoRe Results' Structure and Processes along the Intervention's Project Cycle .....  | 14 |
| Figure 3 - MoRe Results System at Enabel.....  | 15 |
| Figure 4 - Evaluation Design .....   | 16 |
| Figure 5 - Phases of the Evaluation .....  | 18 |
| Figure 6 - Selection Criteria for Project Sample .....   | 19 |
| Figure 7 – Overview Samples According to Data Collection Method .....  | 23 |
| Figure 8 - Coverage Rate in Total and by Product .....   | 27 |
| Figure 9 - Quality of Logical Models in Total and by Product .....   | 29 |
| Figure 10 - Usage of Results-Information for Steering, Accountability and Learning at Enabel .....   | 30 |
| Figure 11 - Quality of the Proposed Monitoring Framework in Total and by Product.....  | 33 |
| Figure 12 - Information Availability and Quality in Total and by Product .....   | 37 |
| Figure 13 - Quality of the Provided Information on Accountability in Total and by Product.....   | 39 |
| Figure 14 - Quality of the Provided Information on Evidence-Informed Steering in Total and by Product.....                                   | 41 |
| Figure 15 - Quality of the Provided Information on Lessons Learned in Total and by Product.....  | 42 |
| Figure 16 - Perception of Leadership Supporting Results-Oriented Management at Enabel .....  | 46 |
| Figure 17 - Perceived Influence of Leadership on the Use of Results-Oriented Information.....  | 47 |
| Figure 18 - Perception of the Learning Culture at Enabel .....   | 48 |
| Figure 19 - Motivation to Implement Results-Oriented Management at Enabel.....   | 50 |
| Figure 20 - Motivation to Use Results-Oriented Information at Enabel .....   | 51 |
| Figure 21 - Influence of Intrinsic and Extrinsic Motivation of Enabel staff at Headquarters on the Use of Results-Oriented Information ..... | 51 |
| Figure 22 -Future Requirements for the Purpose of a Results-Oriented Management System at Enabel .....                                       | 90 |
| Figure 23 -Incentives and Disincentives for Results-Oriented Management at Enabel .....  | 93 |

## **Annexe**

|       |  |    |
|-------|--|----|
| I.    | Bibliography .....   | 62 |
| II.   | Overview of Conducted Interviews.....  | 68 |
| III.  | Analytical Grid for the Quality Assessment of Results Products .....                   | 70 |
| IV.   | Detailed Description of the Quality Assessment Procedure for the Results Products..... | 73 |
| V.    | Analytical Grid for the Results Management Processes .....                             | 77 |
| VI.   | Selected Sample for the Quality Assessment of Results Products.....                    | 79 |
| VII.  | Questionnaire of the Conducted Online-Survey .....                                     | 81 |
| VIII. | Requirements for Fit-for-Purpose .....   | 89 |
| IX.   | Terms of Reference .....   | 95 |

# Executive Summary

## Background

Since 2011 there have been many investments into results-oriented monitoring not only at Enabel, but also at the institutional level of the Directorate-General for Development Cooperation and Humanitarian Aid (DGD). In this regard, DGD undertook several actions to anchor results-oriented management in Belgian law. Furthermore, Enabel invested heavily in organisational and institutional improvement initiatives related to results-oriented management in the last years.

In 2018 the Belgian Technical Cooperation (BTC) was transformed into Enabel to anchor the Belgian Development Agency more strongly in the larger context of Belgian foreign affairs in a “whole-of-government” approach. As a result, an overhaul of the organisational and institutional structures and processes took place, which had strategic and operational implications that also influenced the monitoring and evaluation of Belgian development cooperation.

Results-oriented management in development cooperation in general thereby serves goals beyond the management cycle. While mainstream results-oriented monitoring systems of interventions are a fundamental pillar to improve an intervention’s results, results-oriented monitoring systems at the organisational level are similarly a means to multiple ends at the organisational and institutional level. These systems should enable development actors to monitor the overall development performance of all interventions in all portfolios and to demonstrate achieved results. Furthermore, these systems should highlight where the development actor needs to invest in adaptation measures and to inform organisational management decisions. On a more basic level, results-oriented management systems should also be used by development actors to acknowledge and take responsibility for successes and failures, to generate knowledge, to systematically develop expertise as well as to continuously improve the development strategies, be it directly through implementation, or indirectly through targeted policy-advice.

## Purpose of the Evaluation

Against this background it was viewed as meaningful by Enabel to assess the actual quality of results management and the use of results-oriented information, as well as to understand how the quality of results management can be further improved in the light of current and future needs. As a consequence, Syspons was commissioned by Enabel to conduct the “Evaluation of Results in the Management Cycle” in order to provide evidence on the overall quality of results-oriented management in the management cycle and practical guidance on how to improve results-oriented management in line with current and future needs. Hence, the objectives of this evaluation were threefold: (1) hold the organisation accountable for the quality of results-oriented management in the management cycle, (2) identify changes that are needed in order to improve results-oriented management and (3) build understanding across the relevant stakeholders and support learning.

In this regard the evaluation should answer the following four overarching evaluation questions:

- **Evaluation Question 1:** What is the quality (and quantity) of results products?
- **Evaluation Question 2:** What is the quality of the results processes and how well is results-oriented information used?
- **Evaluation Question 3:** Which factors – at individual, organisational and institutional level - determine the quality of results products and their use for accountability, learning, adaptive management purposes?
- **Evaluation Question 4:** To what extent is the results-oriented management system ‘fit-for-future’?

The scope of the evaluation covered the results products of the development interventions implemented by Enabel in the years 2012 to 2016 as well as the current normative framework for

results-oriented management at Enabel. Furthermore, for analysing the use of the interventions' results-oriented information for accountability, adaptive management and learning purposes, the following aspects were within the scope of this evaluation: existing information streams, reporting lines, roles and responsibilities as well as management/ steering bodies at the intervention, country and headquarter level.

The direct users of this evaluation within Enabel are the Board of Directors, the Management Committee, middle management, country directors, as well as headquarter and intervention staff. Furthermore, the evaluation is also of use for external stakeholders such as the Directorate General for Development Cooperation and partner countries. Moreover, it can be of potential interest for the Special Evaluation Office and the cabinet of the minister in charge of development cooperation.

The evaluation took place between July 2018 and December 2018. During this period, Syspons GmbH conducted an analysis of all relevant documents and data, exploratory interviews, an online survey of Enabel staff, a case study in Uganda and three vertical case studies.

### **Limitations of the Evaluation**

In general, it must be stressed that the evaluation approach is itself limited, as the evaluation questions primarily address the corporate needs of Enabel and not specifically Enabel's institutional dimensions. Enabel's institutional dimensions were outside the scope of this evaluation. Hence, the perspective of DGD has also been integrated solely from an organisational perspective. Thus, a future dialogue with DGD and other donors will need further attention when moving beyond the recommendations provided by this evaluation.

Furthermore, the scope of this evaluation was set by the MoRe Results system and not by the overall organisational functions of learning, accountability and steering in general. These organisational functions are larger than MoRe Results. While the evaluation came across elements that indicated that learning and steering also takes place outside More Results' processes and structures, the analysis of these elements was beyond the scope of this evaluation.

### **Key Findings and Conclusions**

In theory, Enabel possesses a well-developed and thought through results-oriented monitoring system. The results-oriented monitoring system is described comprehensively and detailed in established guidelines. Furthermore, the processes for results-oriented management are well described and responsibilities and roles are clearly defined. In addition, it covers all essential elements of a results-oriented monitoring system starting with the baseline process via Mid-Term Reviews to Final Results Reports and End-Term Reviews.

However, the implementation of the results-oriented monitoring system is currently experiencing several challenges at Enabel. In this regard, it can be concluded that the results-oriented management system often does not deliver the needed quality and/ or quantity of results-oriented information to facilitate the results-oriented management system's functions of accountability, learning and steering (**evaluation question 1**). As a result, the current results-oriented monitoring system at Enabel does not systematically contribute to the core organisational functions of Enabel, such as knowledge management, organisational learning or quality in implementation.

The challenges in the implementation of the results-oriented management system at Enabel can thereby be attributed to several factors that inhibit the smooth operation of the results-oriented management system and the systematic use of results-oriented information at Enabel, leading to a weak linkage to the core organisational functions of Enabel (**evaluation question 2 and 3**). In this regard, it could be observed that the existing organisational culture mainly promotes learning within the individual sphere of influence and not on a systematic level. In addition, a perceived organisational culture in which failures and challenges are viewed as leading to more work or negative consequences to Enabel's reputation also inhibits an adaptive and results-oriented management culture in which learning is seen as a priority. This in turn also reduces the overall quality of information reported in the results products. This is compounded by missing capacities at the level of

headquarters to systematise and analyse results-oriented information in a systematic way as well as missing external incentive structures to facilitate the use of results-oriented information. With regard to the latter, in particular missing feedback on results products, non-existent objectives about learning in human resource processes as well as a perceived reluctance of using results-oriented information at headquarters function as disincentives towards the systematic use of results-oriented information at Enabel. Moreover, leadership is perceived as not actively engaging in results-oriented management and using results-oriented information, also resulting in hindering the use of results-oriented information particularly at headquarters level.

Next to these hindering factors for results-oriented management and the use of results-oriented information at Enabel, the evaluation could show that there also exists a divergent understanding among Enabel staff regarding the purpose of the steering and learning function of MoRe Results (**evaluation question 2**). Here, the majority of Enabel staff are not certain where steering should occur in the organisation and for what purpose and for whom learning should occur beyond the intervention level. As a result, of this divergent understanding, the quality of information provided in the results products regarding both these functions is low and steering as well as learning takes place mainly at the intervention level and in an unsystematic way in other processes, such as backstopping or capitalisation processes. Moreover, capacities at intervention level are sometimes missing to conceptualise and set-up data collection systems for proposed monitoring systems due to missing internal and external support structures; thus, affecting the quality of the results-oriented information for steering.

Consequently, the use of results-oriented information currently takes place mainly at the intervention level and the provided information is seldomly used in a systematised way on other organisational levels of Enabel (**evaluation question 2**). Hence, available data for accountability purposes is not used for the core function of transparency and accountability on an overall organisational level at Enabel, while information regarding learning and steering is often missing in the results products and thus also cannot be used to inform core organisational functions of Enabel, such as knowledge management or quality in implementation.

Nevertheless, Enabel currently also has the opportunity to generally improve the results-oriented management system and specifically its contribution to the core functions of Enabel considerably under the new management contract, as the new management contract demands a new reporting structure and a new management philosophy to achieve development results (**evaluation question 4**). A prerequisite hereby is an open dialogue between the established structures in the field, the Operation Department, the Expertise Department and Human Resources to develop a fitting adaptive management strategy. Moreover, it requires courage to discuss failures openly and constructively, as well as investment in people and transparency.

Hereby, Enabel can build upon an organisational culture in which learning is prioritised and thus conducive for results-oriented management and the use of results-oriented information. Furthermore, its highly intrinsically-motivated employees as well as its perceived knowledgeable and supportive leadership form another asset for this change management process (**evaluation question 4**). In addition, Enabel already started and almost finished an overhaul of its IT-systems – among which is a new system for results-oriented management, called PILOT – can provide a backbone for the future results-oriented management system as it possesses the potential to allow Enabel to more easily systematise, aggregate and analyse results-oriented information on different organisational levels.

## Recommendations

At the same time further requirements have to be met in order to successfully make Enabel's current results-oriented management system fit-for-purpose. In this regard, the evaluation results show that the current results-oriented management system at Enabel exhibits particular strengths and weaknesses. To strengthen the identified strengths and to weaken the weaknesses as well as to make the results-oriented management system fit-for-purpose under the new framework conditions, the following ten recommendations are put forward (**evaluation question 4**). They are clustered into

recommendations for the results-oriented management system, for supportive organisational structures and processes as well as for organisational incentives.

The recommendations are based upon the evaluation results as well as a conducted requirement workshop at Enabel. The purpose of the implemented requirement workshop was thereby to develop preliminary ideas on the basis of the evaluation results that could make the existing results-oriented management system at Enabel fit-for-purpose.

In a participatory process Enabel should define in detail the purpose of the three functions accountability, learning and steering of the results-oriented management as well as the subsequent purpose and target group of its results products in order to enhance the quality and use of results-oriented information in the organisation.

1. *In a consultation process Enabel should define in detail the purpose of the three functions accountability, learning and steering of the results-oriented management as well as the subsequent purpose and target group of its results products in order to enhance the quality and use of results-oriented information in the organisation.*
2. *Enabel should focus its results products on specific functions of the results-oriented monitoring system and streamline them towards the newly adopted portfolio approach.*
3. *Enabel should build and expand on its well-developed MONOP system and introduce one digital system for results-oriented monitoring, management, risk management, procurement planning, reporting and finances to make processes leaner and to facilitate the aggregation of data on different organisational levels.*
4. *Enabel should establish organisational capacities to aggregate, systematise and analyse provided results-oriented information for different organisational levels to enable organisational learning, knowledge management and strategic evidence-informed decision-making.*
5. *Enabel should strengthen organisational capacities in the field of transversal themes to guarantee a high and consistent quality of provided results-oriented information in this area.*
6. *Enabel should introduce a central quality assurance mechanism for the results products at headquarter level to guarantee a consistent high quality of its results products.*
7. *Enabel should introduce internal and/ or external support systems for the conceptualisation and set-up of monitoring frameworks and its related data collection methods to guarantee a high quality of results-oriented information in the organisation.*
8. *Enabel should introduce reflection processes in which a dialogue about results-oriented information between the leadership and the operational management can take place to foster strategic decision-making beyond the intervention level.*
9. *Enabel should introduce strategic objectives for learning that also translate into different operational objectives on the department, country and individual level in order to incentivise Enabel staff to use results-oriented information in their daily work.*
10. *Leadership at Enabel should proactively engage in the implementation of results-oriented management and the use of results-oriented management by adopting an active feedback culture regarding results products and by using results-oriented information for their decision-making.*



# 1 Introduction

Since 2011 there have been many investments into results-oriented monitoring not only at Enabel, but also at the institutional level of the Directorate-General for Development Cooperation and Humanitarian Aid (DGD). In this regard, DGD undertook several actions to anchor results-oriented management in Belgian law. Furthermore, Enabel invested heavily in organisational and institutional improvement initiatives related to results-oriented management in the last years.

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The evaluation took place between July 2018 and December 2018. In this period, Syspons GmbH conducted an analysis of all relevant documents and data, exploratory interviews, an online survey of Enabel staff, a case study in Uganda as well as three vertical case studies. A detailed description of the methods applied in this evaluation can be found in chapter 3.

The final report is structured as follows:

- **Chapter 2** presents the Enabel's results-oriented monitoring system.
- **Chapter 3** outlines the general evaluation design and the adopted methodological approach for the evaluation.
- **Chapter 4** analyses the quality and use of results-oriented information at Enabel.
- **Chapter 5** details the overall conclusions.
- **Chapter 6** includes the recommendations for a future results-oriented monitoring system at Enabel.
- The **annexe** contains the bibliography, the list of conducted interviews, the analytical grids for the quality assessment of results products and the results-oriented management processes, a detailed description of the quality assessment procedure for the results products, the selected sample for the quality assessment, the documentation of the fit-for-purpose requirement workshop, the Terms of Reference, as well as the questionnaire for the conducted online-survey.

## 2 Results-Oriented Monitoring at a Glance

### 2.1 The Concept of Results-Oriented Management (RBM)

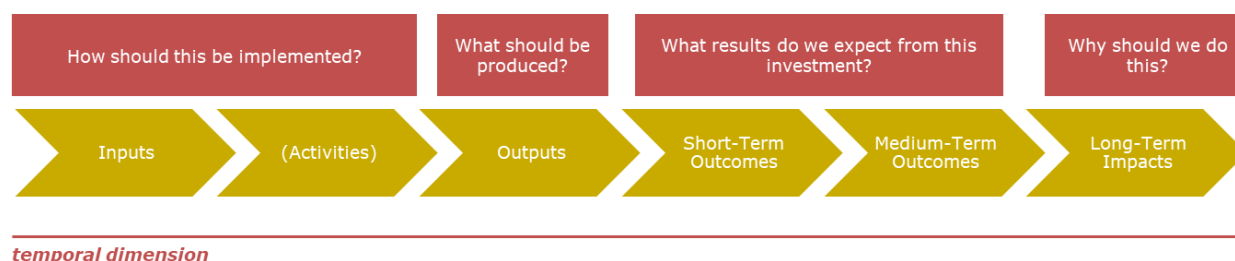
Results-oriented management was introduced in the 1990s in the context of the New Public Management discourse and since that time has continuously gained in importance in the public sector. Reforms aiming for more cost-effectiveness and efficiency had already begun in the 1980s when many OECD countries faced economic, social and political pressures (UN-Habitat 2017, p.12; Morra Imas & Rist 2009, p.51). In this context, results-based management, evolving from the new public management discourse, seemed to be a viable solution to react to these economic, social and political pressures (Holzapfel 2016, p.4).

In development cooperation, in particular, a need for reform became apparent. Evaluations of development projects in the early 1990s showed that they almost never achieved their targets (Vähämäki et al. 2011, p.12). In this regard, results-oriented management became “the management strategy of choice” for agencies like USAID in the USA, AusAID in Australia and Danida in Denmark, as well as multilateral organisations like the World Bank and different UN agencies to better achieve their intended objectives (Hatton & Schroeder 2017, p.427).

However, financial pressures and efficiency targets were not the only driving factors of the so-called *results agenda*, as Holzapfel (2016) and Bester (2012) describe. The global development community’s willingness to achieve visible results, enshrined in the Millennium Declaration Goals in 2000, gave further impetus to the adoption of results-oriented management systems in development cooperation (Meier 2003, p.5). This impetus was followed by the adoption of the Monterrey Consensus (2002), the Paris Declaration on Aid Effectiveness (2005), the Accra Agenda for Action (2008) and the Busan Partnership for Effective Development Cooperation (2011) – all of which stated a commitment to results as a key to the effectiveness of aid projects (Bester 2012, p.11).

While today the concept is widely known in the development sector, it is important to note that results-oriented management is not a singular model (Vähämäki et al. 2011, p.9). There are differing opinions on what results-oriented management is and how it can be effectively implemented. As Hatton and Schroeder (2007) put it, “it is not easy to find two people who will describe results-oriented management in the same way” (p.428). Hence, results-oriented management can best be understood as a mindset (UN Habitat 2017, p.2). At the core of this mindset lies a results chain (Hatton & Schroeder 2007, p.427; Meier 2003, p.7): “Human and financial resources (inputs) generate activities that produce results in the short term (outputs); in the medium, end-of-project, term (outcomes); and in the long term (impacts)” (Hatton & Schroeder 2007, p.427) (see figure 1).

**Figure 1 – Results Chain**



Source: Syspons 2018, adapted from Meier 2003, p. 7

In the end, results-oriented management aims “at achieving important changes in the way organizations operate, with improving performance in terms of results as the central orientation” (Meier 2003, p.6). Oftentimes, it is used interchangeably with Managing for Development Results (MfDR) which focuses on “sustainable rather than short-term results” and defines the positive impact on people’s lives as the ultimate goal (UN Habitat 2017, p.2). Compared to *traditional* Monitoring and

Evaluation (M&E), *results-oriented* M&E is a combination of the traditional approach to monitoring implementation and the assessment of results – outcomes and impacts (Morra Imas & Rist 2009, p.108). In the best-case scenario, results-oriented management helps focus on outcomes, stimulates the definition of key objectives and supports the decision-making of managers by providing the information needed to assess whether an intervention is adequate (Morra Imas & Rist 2009). Thus, results-oriented management serves three functions in an organisation: accountability, learning and steering.

## 2.2 Results-Oriented Management in the Belgian Development Cooperation

Within the Belgian context the Directorate-General for Development Cooperation and Humanitarian Aid (DGD) undertook several actions over the past years in order to improve results-oriented management and its three functions in the Belgian development cooperation. Results-oriented management was introduced in 2013 in the Law on Development Cooperation of March 19th, 2013. DGD developed subsequently a results strategy note. Furthermore, the Law on Development cooperation of 19th of March 2013 and the Royal Decree of 25th of April 2014 mandated the Special Evaluation Office with the development of a 'certification instrument' in order to 'certify' the evaluation systems of the Belgian development actors. This instrument was developed in 2017 and Enabel (then BTC) went through the certification process which resulted in obtaining the 'Fit-for-Purpose' declaration of its evaluation system and in an action plan to strengthen the evaluation system, including the evaluability of interventions.

Similarly, Enabel acknowledged the importance of results-oriented management in development. Since 2011, the organisation has invested majorly in actions for improving results management in the management cycle, and consequently the use of results information for accountability, learning & adaptive management by the actors involved. These investments targeted:

- the development of a coherent normative & methodological framework for monitoring & evaluation (Policy, Guidelines, Templates, Quality assurance checklist, process descriptions),
- capacity development of staff involved in monitoring & evaluation (training seminars, workshops on developing results frameworks and on results reporting, targeted coaching of intervention teams),
- quality assessments of M&E instruments.

Furthermore, over the past four years, Enabel launched several organisational improvement programmes that are assumed to influence the performance of the interventions:

- the TIME-programme has the purpose to define a clear and effective 'organisation' of interventions (roles and responsibilities, mandates and vertical escalation principles between management levels);
- the LEARN-programme addresses knowledge management and sharing in the organisation; the ERP+programme aims to implement a comprehensive ICT architecture, including a project management application, and the necessary tools for high-performance implementation of Enabel's duties;
- the NEW-programme focuses on the transformation of the organisational structure of Enabel while the STRATEX-programme addresses the institutional aspects related to the creation of Enabel.

Therefore, results-oriented management and consequently its three functions of accountability, learning and steering remained an organisational priority for Enabel in 2018, which is also reflected in Enabel's business plan.

## 2.3 Enabel's Results-Oriented Monitoring System

Results-oriented monitoring at Enabel is governed by the MoRe Results Guidelines, which were developed in 2011 to 2012 and streamlined into the organisation in 2013. These guidelines are divided into three parts. While the first part explains the M&E system, the role of MoRe Results within this system and Enabel's approach to results, the second part elaborates how to make M&E systems work at the intervention level. The third part of the guidelines finally provides guidance on the implementation of reviews (BTC, 2013b; BTC 2013c; BTC 2013d).

### 2.3.1 Objectives of MoRe Results

According to the MoRe Results guidelines, results-oriented monitoring at Enabel has the following three objectives (BTC, 2013b, p. 7):

- **Steering:** By providing quality information on progress towards results, MoRe Results helps interventions and the relevant steering committees to focus their dialogue on results and to take timely evidence-based decisions in order to re-orient interventions, sector or country programmes (Ibid., p. 5).
- **Learning:** By capturing and analysing lessons learned from the implementation process, MoRe Results creates an added value for other interventions and/ or provides important information on policy-making for partners and donors. It thereby helps Enabel and its partners to learn what works, what does not and why (Ibid., p. 5).
- **Accountability:** By providing accurate information to different management levels, partners, donors and beneficiaries on results achieved, MoRe Results supports the accountability function within Enabel.

### 2.3.2 Structure, Processes and Responsibilities of MoRe Results

Results-oriented monitoring at Enabel mainly takes place at the intervention level and is aligned with the project cycle. At the beginning of an intervention, a **baseline report** based upon the Technical and Financial File has to be formulated, which plans how the intervention and its results are going to be monitored. Furthermore, it has to collect baseline values for the results of the interventions against which the achievements of the intervention can be compared at a later stage. It must be delivered and uploaded on PITWEB at the end of the formulation phase (for projects commissioned after September 2015) or nine months after the first steering committee (JLCB 0) (for projects commissioned before September 2015) (BTC; 2013c, p. 4).

In addition, during the implementation of an intervention, **operational monitoring** takes place as a recurrent process every three months, resulting in four Excel-based reports (MONOP). The operational monitoring mainly consists of planning and following-up on inputs, activities and to some extent outputs (Ibid., p. 4).

Furthermore, every twelve months **results monitoring** takes place as another recurrent process resulting in one annual report (Results Report). In this process, achieved results of the intervention are measured on output, outcome and impact level, whereby the latter is not obligatory for Enabel interventions. Each Results Report must be delivered and uploaded by 31<sup>st</sup> of March of the following year on PITWEB (Ibid., p. 5).

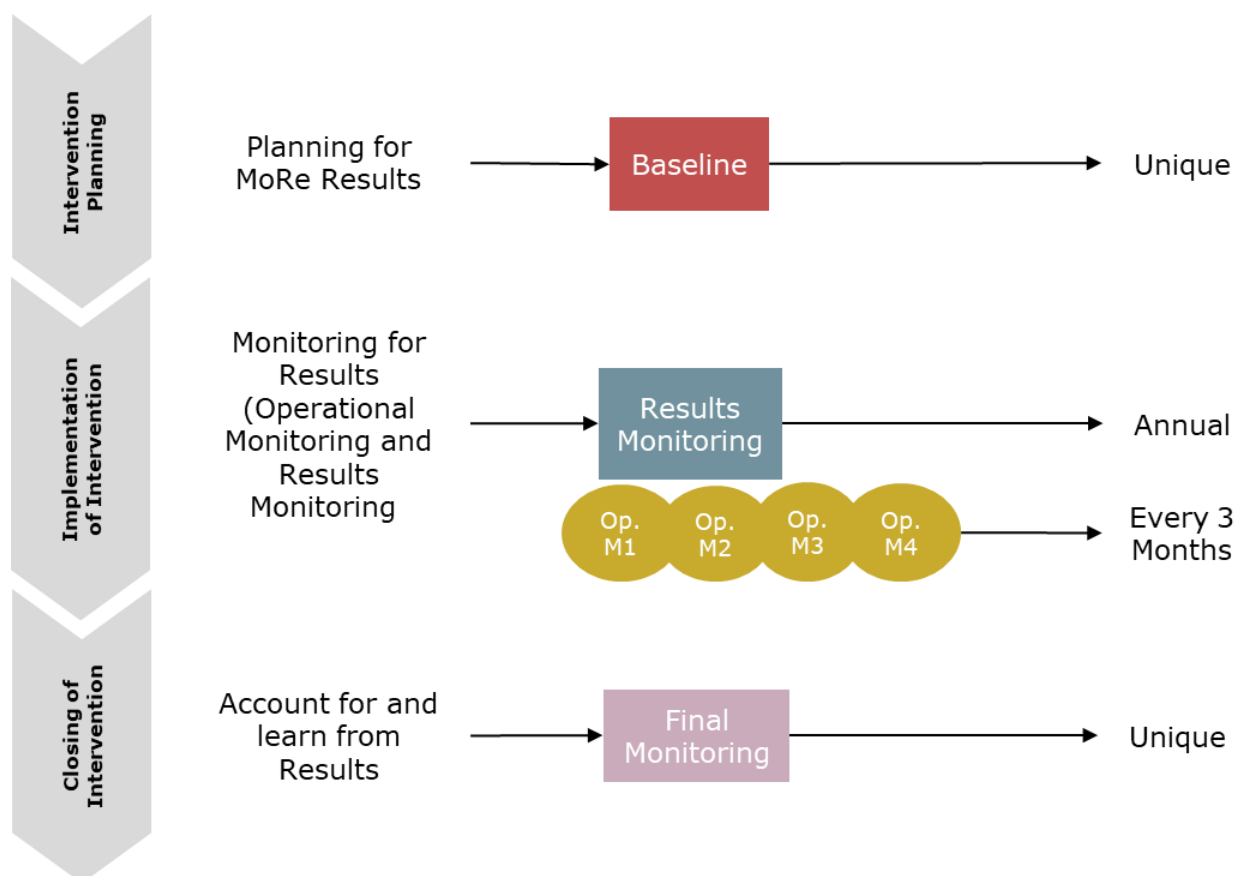
The Results Reports form the key information source for the steering committee of the respective intervention. Based upon the collected information in the Results Reports, the intervention team prepares recommendations and actions to be taken for the steering committee's first meeting of the year. In the second meeting of the steering committee in the respective year, the steering committee is kept up-to-date about the decisions taken and takes further decisions if necessary. The operational monitoring serves as an input for this (Ibid., p. 6).

At the end of the intervention cycle, a **final monitoring** is conducted, resulting in one report (Final Report). In this Final Report, all the information gathered throughout the operational and results

monitoring is recapitulated, further analysed and lessons learned are drawn. The Final Report has to be delivered and uploaded on PITWEB one month before the closing steering committee (Ibid., p. 5).

Figure 2 summarises the MoRe Results' structure and process along the intervention's project cycle.

**Figure 2 - MoRe Results' Structure and Processes along the Intervention's Project Cycle**



Source: BTC, 2013c adopted by Syspons 2018

The **respective intervention team of Enabel** is responsible for the implementation of the results-oriented monitoring in compliance with the MoRe Results Guidelines. Moreover, the **resident representative** needs to ensure that all interventions implement the results-oriented monitoring accordingly, as he or she is responsible for the overall quality of the results-oriented monitoring in her or his country portfolio. However, the resident representative can also delegate tasks to the **resident representative's staff** or ask for support from the **expertise department at headquarters**. The latter can give support to M&E activities either on their own initiative or on the request of the resident representative or the operation advisor (Ibid., p. 7).

Besides responding to calls for support from the resident representative, **operation advisors** provide oversight for results-oriented monitoring. In this regard, operation advisors follow up on the interventions' results-oriented monitoring from a country perspective. By doing so, they flag important issues about the quality and compliance of results-oriented monitoring as well as advise and support the resident representative (Ibid., p. 7).

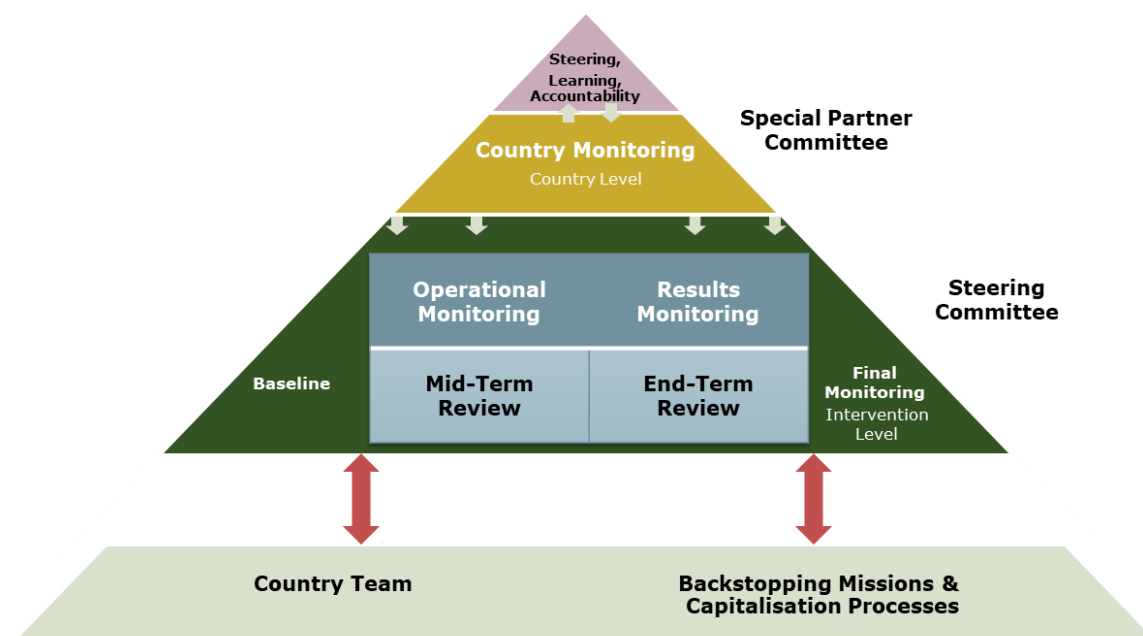
Next to the results-oriented monitoring Mid-Term and End-Term Reviews are part of Enabel's results-oriented monitoring system. They are viewed as complementary to the results-oriented monitoring at the intervention level, as they should provide information for higher levels of learning and steering. As a consequence, every intervention at Enabel has to conduct a Mid-Term Review about halfway through its lifetime and an End-Term Review at the latest 6 months before its end (BTC, 2013d, pp. 4-5).

The responsibility for the organisation and quality for the Mid-Term and End-Term Reviews lies with the **operation advisor of the respective country**. The operation advisor has to organise the

process, ensure the quality of the reviews and recruit the external consultant team that will implement the respective review (Ibid., pp. 5-6).

The complete results-oriented monitoring system at Enabel is summarised in figure 3.

**Figure 3 - MoRe Results System at Enabel**



Source: BTC, 2013d adopted by Syspons 2018



## 3 Evaluation Design

### 3.1 Methodological Concept

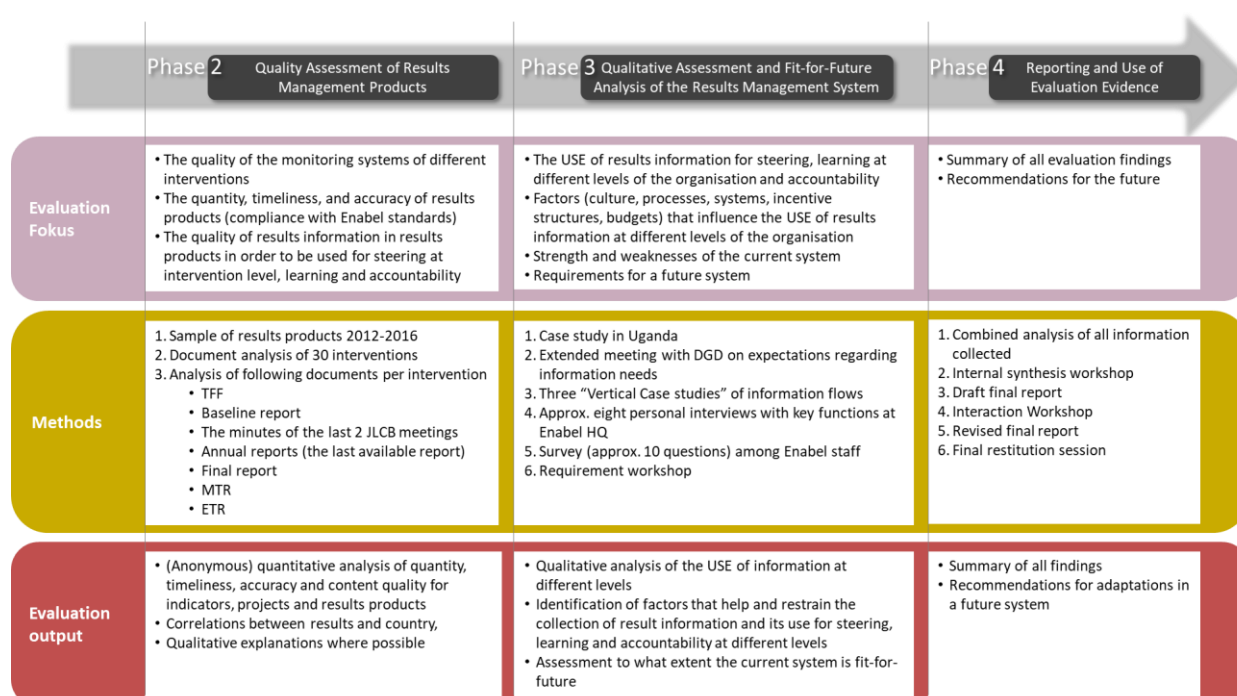
Given the ongoing organisational transformations at Enabel at the time of this evaluation, the evaluation was conducted at a crucial point in time that allowed for setting the direction for future results-oriented management in Belgian development cooperation. The evaluation hereby views results-orientation as a comprehensive concept that encompasses products, processes and organisational culture as well as context factors. As such, this evaluation addressed the following four overarching evaluation questions:

1. What is the **quality (and quantity) of results products**?
2. What is the **quality of the results processes** and how well is results-oriented information used?
3. Which **factors – at individual, organisational and institutional level – determine the quality of results products** and their use for accountability, learning, and adaptive management purposes?
4. To what extent is the results-oriented management system **'fit-for-future'**?

In this line, this evaluation is both retrospective and forward-looking in its design. The purpose is thus threefold: First of all, the evaluation serves to ensure the accountability of Enabel vis-à-vis its donors; second, it shall inform the decision-making within the organisation's management; and third, it is meant to build understanding across stakeholders and support learning with regards to the results-oriented management system.

To meet these evaluation objectives, the data collection process in this evaluation was structured in three phases, which each entailed a specific methodology and objective (see figure 4 and chapter 3.2).

**Figure 4 - Evaluation Design**





The objective of **phase 1** – the inception phase – was to gain a better understanding of the used results products and practiced results-oriented management processes at Enabel. Furthermore, it was the objective of this phase to establish an evaluation design for this evaluation.

Based upon the established evaluation design, the objective of **phase 2** was to assess the quality of the implemented results-oriented monitoring systems in different Enabel interventions against the standards set in Enabel's strategic documents. Furthermore, the intervention's results-oriented monitoring systems were compared to state-of-the-art standards in results-oriented management. Hence, this phase addressed mainly evaluation questions 1 and 3 and focused on:

- The **theoretical quality of the monitoring systems** of different interventions
- The **quantity, timeliness, and accuracy** of results products (**compliance** with Enabel standards)
- The **quality of results oriented-information** in results products in order to be used for steering at intervention level, learning and accountability

Once the quality of result-oriented information on the intervention level was evaluated, the USE of this information was analysed, and explanatory factors were identified.

Against this background, the **objective of phase 3** was to analyse organisational strengths and constraints in the implementation of the current system, define requirements for an improved results-oriented management system and identify gaps that should be addressed in the future. This concerned the design and implementation of results-oriented management systems at the intervention level as well as the way information is passed on through the organisational hierarchy from the intervention level to the board of directors and DGD. Thereby, information flows across different organisational pillars were looked at. Thus, this phase addressed evaluation question 2, 3 and 4 and focused on:

- The **USE of results-oriented information for steering, learning** at different levels of the organisation and **accountability**
- **Factors** (culture, processes, systems, incentive structures, budgets) **that influence the USE** of results-oriented information at different levels of the organisation
- **Strength and weaknesses** of the current system
- **Requirements** for a future system

Having completed the data collection, the objective of **phase 4** was to integrate all the data collected to provide Enabel with strategic and operational recommendations for its future results-oriented management system.

Following the evaluation, a conditional block might be commissioned by Enabel. The **objective of the conditional block** is to translate the accepted recommendations into a realistic and adequate change strategy and a concrete operational plan (change process). This might include facilitation of workshops and assistance in quality assurance of revised system components.

To ensure the quality throughout this evaluation we established rigorous **quality assurance processes** for this evaluation. In this regard the thematic and methodological quality in this evaluation was ensured through internal workshops, in which the methodological approach and needed working steps were discussed and developed with at least three persons. This triple control principle ensured that the chosen methodological approach was valid and useful. In these workshops we also discussed potential risks associated with the chosen approach and decided upon appropriate risk mitigation strategies.

## 3.2 Methodological Approach

Overall the evaluation consisted of four phases:

**Figure 5 - Phases of the Evaluation**



Source: Syspons 2018

### 3.2.1 Phase 1: Inception Phase

At the beginning of the evaluation, a **two-day kick-off meeting** between Enabel and Syspons was held on 3<sup>rd</sup> and 4<sup>th</sup> July 2018. In this kick-off meeting Syspons was informed by different Enabel staff about the institutional structures, processes and ongoing plans with regard to the institutional reform in general and results-oriented monitoring specifically at Enabel. Furthermore, the details of the assignment were discussed, and the organisation and detailed planning of the evaluation were adjusted.

Afterwards, Syspons conducted a **desk research**, which included an analysis of strategic documents regarding results-oriented monitoring and relevant processes at Enabel. Thus, the desk research had the objective of generating an understanding regarding the existing normative framework for results-oriented monitoring as well as about existing and on-going processes affecting results-oriented monitoring at Enabel. A complete list of all analysed documents can be found in annexe I.

Simultaneously with the desk research we conducted a **literature review** of academic and “grey” literature to gain a deeper understanding about state-of-the-art requirements for results-oriented monitoring. Furthermore, this literature review was used to identify influencing factors within an organisation that affect the use and quality of results-oriented monitoring in organisations. A complete list of all analysed literature can be found in the annexe I.

On the basis of the previously undertaken analytical steps, we developed an **analytical grid for the assessment of results products**<sup>1</sup> in close cooperation with Enabel (see annexe III). This analytical grid is structured into seven analytical categories that follow the logic of the project cycle management and describe the conceptualisation of a monitoring system, its use during the implementation as well as the usability for accountability, steering and learning. For each category, Syspons developed indicators that measure state-of-the-art monitoring practices. The grid consists of 64 indicators. In addition, 11 background variables were registered (country, duration, budget, sector etc.), that allowed a deeper analysis of potential correlations between observed result information quality. Furthermore, factors such as the fragility of countries according to the OECD definition<sup>2</sup>, the presence of a M&E officer, external support for the M&E system as well as the presence of a junior assistant were included as further background variables.

<sup>1</sup> It was decided in close cooperation with Enabel that the following products are defined as results products for this evaluation: Baseline Report, Annual Report, Mid-Term Review, JLCB Minutes, Final Results Report and End-Term Review. Furthermore, the Technical and Financial File was included in the analysis, as it forms the basis on which the results products are developed during the implementation of Enabel’s interventions.

<sup>2</sup> The OECD-DAC definition on fragility distinguishes between moderate and extreme fragility of countries by analysing their political, societal, economic, environmental and security context. For the purpose of this analysis, Syspons clustered the countries within the OECD-DAC list into the countries with severe and moderate fragility, while countries not being part of the list were clustered as countries with low fragility. The OECD-DAC definition is available at: [https://read.oecd-ilibrary.org/development/states-of-fragility-2016\\_9789264267213-en#page78](https://read.oecd-ilibrary.org/development/states-of-fragility-2016_9789264267213-en#page78) (accessed on 26.09.18).

At the same time Syspons also developed an **analytical grid for the assessment of the results-oriented management processes**. It details the evaluation questions and sub-questions, which were addressed in phase three of this evaluation. As an analysis of organisational processes constitutes a rather qualitative assessment, the analytical grid includes descriptors instead of indicators. The development of the analytical grid was based on good practices identified in the literature review and good monitoring practices observed in other organisations. The analytical grid is divided into two subsections: Section A "Use of results-oriented information", and Section B, "Organisational factors". The analytical grid can also be found in annexe V.

Afterwards, Syspons developed a **sampling strategy for the assessment of results products**. Hereby, we proceeded in two steps. In a first step, we defined selection criteria for the demarcation of the population in close cooperation with Enabel. It was decided that the scope of this analytical step should cover interventions with a starting date between 2012 and 2016 and with a budget above 2 million Euro. The selection criterion regarding the timeframe was chosen to have enough results products available (e.g., final reports) as well as to look at the most recent results products. Furthermore, the budget criterion was selected in order to look at typical Enabel interventions that follow the MoRe Results Guidelines. Based on these criteria a total population of 95 projects was available to draw a sample from.

In a second step we drew a sample of 30 interventions from these 95 projects in order to gain a comprehensive view of the entire organisation. The agreed selection criteria with Enabel are summarised in figure 6.

**Figure 6 - Selection Criteria for Project Sample**

|   |                            |  |
|---|----------------------------|--|
| The demarcation for the population of Enabel projects for the documentary review was chosen on the basis of the following criteria:   |                            |  |
| <b>Selection Criteria for the Demarcation of the Population</b>   | Start Date of the Projects | The population should include all projects with a start date between 01.01.2012 and 31.12.2016.  |
|   | Budget Size                | To focus on the most significant Enabel projects, all projects with a budget below 2.000.000 Euro were excluded.   |
| On the basis of these criteria a total population of 95 projects were identified. Out of these 95 projects 30 projects will be selected on the basis of the following criteria: |                            |  |
| <b>Selection Criteria for the Sample</b>  | Cohorts                    | To analyse if changes regarding the quality of the RBM products occur over time, projects from different cohorts should be chosen in the sample (starting date 2012, 2013, 2014 and 2015)      |
|   | Volume                     | To assess the effect of different budget sizes on the quality of the RBM products, projects with a small, medium and large budgets will be included into the sample.                           |
|   | Countries                  | To gauge differences between countries, projects from at least 4 different countries will be included into the sample.   |
|   | Sectors                    | To find out if there are differences in the quality of RBM products due to the different sectors in which the projects work, the sample will include projects from all 6 Enabel sectors.       |
|   | Donor                      | To find out if there are differences in the quality of RBM between donors, the sample should include the two most important donors (DGD) and (EU) with a minimum of 3 interventions per donor. |

Source: Syspons 2018

Based upon the agreed criteria a sample was drawn by Syspons. Out of this sample, five interventions had to be replaced due to a critical review of this sample by Enabel. One intervention did not have any data on PITWEB, another intervention was a Study Fund intervention. Three other interventions were taken out due to a perceived oversampling of a sector and a country. Based upon this revision process, the final sample was approved by Enabel. It can be found in annexe VI.

Following the above described steps, Syspons **adjusted the evaluation design** based upon the information collected in the previous steps and documented the methodological approach for this evaluation as well as the findings from the literature review in a **draft inception report**. The draft inception report was submitted to Enabel in mid-August 2018 and presented to the steering committee at the end of August 2018.

### 3.2.2 Phase 2: Quality Assessment of Results Management Products

After the selection of the intervention (see chapter 3.2.1), the **quality assessment** started in mid-August in order to address the evaluation questions 1 and 3. The quality assessment encompassed in agreement with Enabel the following documents: the Technical and Financial File, the Baseline Report, the agenda and minutes of the last two “first quarter JLCB meetings” discussing annual reports, the latest Annual Report, the Final Report, the Mid-Term Review and the End-Term Review. The MONOP was not included in the analysis due to the “living” nature of the document, making it difficult to find a fair assessment point in time. For this purpose, the aforementioned JLCB Minutes were chosen instead, as the main elements of the MONOP are discussed in these meetings and these meetings have a fixed regularity. Consequently, PowerPoint presentations held in JLCB meetings were also included in the analysis if they were available on PITWEB.

In order to have the highest consistency of data entry and analysis, Syspons used a software supported data entry form. Data was entered through the web-based software SurveyXact©. The allocation of projects to team members was thereby done by the software.

To assure the highest comparability of individual assessments, all team members were trained to conduct the qualitative assessment. Thereby, we discussed quality standards for all defined indicators and ran trials of the assessment. In case of uncertainty regarding the assessment of a particular indicator, we wrote short guideline memos defining the assessment standards. A detailed description of the quality assessment procedure can be found in the annexe IV.

Furthermore, we conducted reflection meetings during the assessment and discussed questions concerning the assessment of certain indicators if necessary. Furthermore, we randomly double-assessed 10% of the projects. As the software allocates projects to team members, the team members did not know that he or she were part of a double assessment. The team leader compared the assessment once both assessments were completed; no major discrepancies in the assessment could be found.

At the end of the assessment, the data output fed into a pre-designed excel file that aggregated and disaggregated the data according to the following analytical dimensions:

1. An average quality score (between 0-100%) of all interventions.
2. An average quality score (between 0-100%) in each of the seven categories.
3. An average quality score (between 0-100%) for each indicator.
4. An average quality score (between 0-100%) for each results product (e.g. baseline or annual report).

Further explanatory analyses were conducted by using - among others - the following bivariate analyses:

1. Potential influences of external factors (countries, donors, budget) by showing differences in scores across different background variables, if there are differences to be observed.
2. Furthermore, we analysed the relation between the quality of results products of the interventions and their received M&E support as well as possible relations between the quality of results products and the fragility of the respective country (see above).

In addition, Syspons and Enabel conducted a coverage analysis of 97 interventions in which we analysed the availability of results products on PITWEB according to the foreseen normative standards. For this purpose, the quantity and timely upload of the results products was analysed. The coverage analysis was, on the one hand, based on an analysis of 67 interventions conducted by the evaluation department of Enabel, and on the other hand on an analysis by Syspons of 30 sampled

interventions. The timeliness of the upload was only analysed in the coverage analysis conducted by Syspons. Moreover, it also included a more detailed analysis regarding the quantity of uploaded JLCB Minutes and Annual Reports, as in this analysis the total number of e.g., uploaded mandatory Annual Reports was compared to the actual number of uploaded reports. The analysis of the 67 interventions conducted by Enabel only assessed whether Annual Reports were uploaded or not uploaded.

### 3.2.3 Phase 3: Qualitative Assessment and Fit-for-Future Analysis of the Results Management System

Phase 3 - addressing evaluation questions 2, 3 and 4 – started with the implementation of the **field study in Uganda** in September 2018, which was selected in close cooperation with Enabel. The objective of the case study was to get a comprehensive overview of structures and results-oriented management processes at the intervention, partner, sector and country levels. Furthermore, the case study provided information on the practical implementation of MoreResults on the intervention level, assessing its importance for project steering, accountability and learning as well as its challenges (upstream and downstream). For this purpose, we developed **interview guides** based upon the developed analytical grids (see chapter 3.2.1) and conducted in total 21 individual or group **in-depth interviews** with 32 individuals encompassing Enabel country office and intervention staff, partners and donors from three interventions that Enabel was implementing in Uganda at the time of this evaluation. A complete list of interviews conducted can be found in the annexe II.

Next to the field study in Uganda, Syspons also conducted **three vertical case studies** to generate further insights into how the results-oriented information is generated and used in the field. Moreover, these vertical case studies were used to analyse the information flow from the intervention to headquarters and back to the intervention, as well as to identify influential factors promoting and restraining the use of results-oriented information on different levels of the organisation.

For the implementation of the vertical case studies, three different interventions that had been analysed in phase 2 were selected in close cooperation with Enabel. We hereby aimed at including interventions that different expertise departments were responsible for. Therefore, we chose interventions located in different sectors, namely Governance, Health and Agriculture & Rural Development. This allowed us to look at the information flow from the intervention to the country level to operations, to expertise and back to the intervention from different perspectives. The three following interventions were chosen:

- Burundi - PAISS-PC (BDI1408811); Health
- Niger - PHVP II (NER1203411); Agriculture & Rural Development
- Palestinian Territories - LGRDP II (PZA1303311); Governance Sector

To prepare for the vertical case studies we re-read the documents already analysed in phase 2 and developed specific **interview guides** on the basis of the analytical grids (see chapter 3.2.1) for the foreseen **interviews** and **focus groups**. The vertical case studies started with Skype interviews with the respective intervention managers and the resident representatives in the three countries. Afterwards a focus group with the responsible Operation Advisors, Experts, Finance Officer and Human Resource Officers were implemented. If needed, verification interviews with the intervention managers were conducted afterwards via Skype. A complete list of the conducted interviews can be found in annexe II.

Simultaneously to the vertical case studies, Syspons also conducted 21 **personal or telephone interviews with different key functions** to generate explanatory information and ideas for a future system. The selection of interview partners was conducted in close cooperation with Enabel. A complete list of the interviews can also be found in annexe II.

Furthermore, and in parallel to the above described steps, we implemented an **extended meeting with DGD (D1)** to learn about DGD's expectation and information needs regarding the results reports. The meeting was organised by Syspons and a complete list of persons interviewed can be found in annexe II.

At the same time, an **online-survey among Enabel staff** was implemented focusing on the organisational culture of results-oriented management as well as the importance of results-oriented management and factors enabling or restraining the use of results-oriented information at Enabel.

The online-survey was sent out to all staff that was involved in results management processes at Enabel, comprising a total population of 543 persons. Of these 334 answered, which translates into a response rate of 62%. The results of the online survey can be considered representative, as the participants exhibit the same distribution as the overall population in terms of location (stationed country) and role (Headquarters, Expert, Local).

The online-survey was conducted in English and French and implemented through the web-based software SurveyXact®. Prior to the launch of the survey, we conducted a **cognitive pre-test** with selected participants. The results of the survey were analysed using uni- and bivariate data analysis techniques. The English version of the questionnaire can be found in annexe VII.

When the data collection process was completed, and a preliminary analysis of the findings had taken place, we conducted a **requirements workshop** with different stakeholders at Enabel headquarters. The objectives of this workshop were to come to a common understanding regarding the main findings of this evaluation and on this basis to reflect upon necessary requirements for a fit-for-future results-oriented management system at Enabel. Furthermore, the workshop was used to make the evaluation results more user-centred for the relevant stakeholders at Enabel. The stakeholders invited to this workshop were selected in close cooperation with Enabel.

A complete overview of the sample size and its distribution according to specific characteristics can be found in figure 7.

### 3.2.1 Phase 4: Reporting and Use of Evaluation Evidence

The starting point of this phase was the **systematic aggregation and consolidation of the collected data** on the basis of the two analytical grids used in the evaluation. The analysis was conducted along the evaluation questions, sub-questions as well as indicators and descriptors of the grids. The objective was to triangulate the collected data via different methods of data collection (qualitative and quantitative) and from different data sources in order to come to conclusive and reliable findings on the basis of the developed assessment grids. Furthermore, we assessed the gathered data in an **internal synthesis workshop** with all the experts of our evaluation team. The added value of this workshop was that the perspectives of all evaluators could be taken into account. This form of researcher triangulation also increased the reliability in the data analysis for deriving findings and conclusions regarding the four evaluation questions put forward in the Terms of Reference.

Based upon this analysis, we developed a **draft final report** of the evaluation and submitted it to Enabel at the beginning of November 2018. The draft report was presented in an **interaction workshop** at the beginning of November 2018 to give key stakeholders from Enabel headquarters the opportunity to interact on the findings, conclusions and areas for improvement identified in the report. Furthermore, in this workshop we jointly developed the recommendations emanating from this evaluation. In this regard, this workshop also served to implement the user-centeredness approach of this evaluation.

All feedback received from the interaction workshop was incorporated into the report. The **final version of the report** was presented to the Board of Directors and the Management Committee in a **formal restitution session** in the beginning of December 2018 to make the evaluation results usable for these two particular target groups (user-centredness approach). The final report was submitted to Enabel in mid-December 2018.

**Figure 7 – Overview Samples According to Data Collection Method**

| Data Collection Methods | Number and Percentage of Involved Respondents According to Selected Characteristics |                     |               |             |                     |              |
|-------------------------|---|---------------------|---------------|-------------|---------------------|--------------|
|                         | Gender<br>(Female/ Male)  | Type of Stakeholder |               |             |                     |              |
|                         |   | Headquarters        | Field Staff   | Embassy     | Partner Institution | DGD          |
| Online-Survey           | N/A   | 16.8% (N=334)       | 83.2% (N=334) | N/A         | N/A                 | N/A          |
| Vertical Case Studies   | 33.3%/ 66.7%<br>(N=27)  | 70.4% (N=27)        | 29.6% (N=27)  | N/A         | N/A                 | N/A          |
| Case Study Uganda       | 43.8%/ 56.2%<br>(N=32)  | N/A                 | 75.0% (N=32)  | 3.1% (N=32) | 21.9% (N=32)        | N/A          |
| In-Depth Interviews     | 25.0%/ 75.0%<br>(N=28)  | 75.0% (N=28)        | N/A           | N/A         | N/A                 | 25.0% (N=28) |

| Quality Assessment Sample |              |              |                                 |              |                       |                |              |
|---------------------------|--------------|--------------|---------------------------------|--------------|-----------------------|----------------|--------------|
| Sector                    | Health       | Multisector  | Agriculture & Rural Development | Governance   | Education             | Infrastructure | Other        |
|                           | 10.0% (N=30) | 10.0% (N=30) | 23.3% (N=30)                    | 23.3% (N=30) | 13.3% (N=30)          | 16.7% (N=30)   | 3.3% (N=30)  |
| Country                   | Burundi      | Tanzania     | Benin                           | Mali         | Palestine Territories | Vietnam        | Uganda       |
|                           | 6.7% (N=30)  | 6.7% (N=30)  | 6.7% (N=30)                     | 3.3% (N=30)  | 6.7% (N=30)           | 6.7% (N=30)    | 10.0% (N=30) |
|                           | Niger        | Senegal      | DR Congo                        | Rwanda       | Burkina Faso          | South Africa   | Peru         |
|                           | 6.7% (N=30)  | 3.3% (N=30)  | 13.3% (N=30)                    | 13.3% (N=30) | 3.3% (N=30)           | 3.3% (N=30)    | 6.7% (N=30)  |
|                           | Morocco      |              |                                 |              |                       |                |              |
|                           | 3.3% (N=30)  |              |                                 |              |                       |                |              |

Source: Syspons 2018



### 3.3 Challenges and Limitations of the Methodology

As with every evaluation there are certain challenges and limitations which must be taken into account when interpreting the results in the following chapters:

- The evaluation approach is limited by itself, as the evaluation questions primarily address the corporate needs of Enabel and not specifically Enabel's institutional dimensions. Enabel's institutional dimensions were outside the scope of this evaluation. Hence, the perspective of DGD has also been integrated solely from an organisational perspective. Thus, a future dialogue with DGD and other donors will need further attention when moving beyond the recommendations provided by this evaluation.
- Furthermore, the scope of this evaluation was set by the MoRe Results system and not by the overall organisational functions of learning, accountability and steering in general. These organisational functions are larger than MoRe Results. While the evaluation came across elements that indicated that learning and steering also take place outside More Results' processes and structures, the analysis of these elements was beyond the scope of this evaluation.
- The timeframe for the evaluation was limited as the evaluation had to be undertaken within five months in order to provide information in time for Enabel's annual plans. As a consequence, it was not always possible to use information from previous phases of the evaluation in the subsequent phases as they had to be conducted in parallel. Therefore, opportunities were missed to analyse data in-depth and to increase the value of the data collection process.
- The quality assessment of the results products only considers interventions in the timeframe of 2012 to 2016. As a consequence, the evaluation analysed results products which were created under the processes and structures of BTC. These processes and structures may have changed, and thus results products might display a different quality today. However, as there are not sufficient comparable results products available from a later timeframe, this cannot be proven by this evaluation.
- The quality assessment can solely assess the quality of the information provided in the results documents. It cannot by its very nature analyse the quality of implementation of interventions in general. Therefore, the results have to be interpreted in the light of the quality of the results products and not concerning the quality of the interventions.
- Despite the precautions taken in assessing the indicators of the quality assessment in a similar way among the involved consultants (see chapter 3.2.2), it still cannot completely be avoided that there might be slight variations in the interpretation of the indicators by each consultant.
- The online-survey among Enabel staff was framed as a survey dealing with results-oriented management. As this was known to the respondents a certain respondents bias could not be avoided. Nevertheless, wherever possible survey questions were framed in a neutral way and results were triangulated with other data collection methods.
- In the following data collection exercises participation was low: focus groups in the vertical case studies and the requirement workshop. As a result, it was not always possible to capture all perspectives within the organisation at every occasion. Wherever possible additional interviews were conducted to collect the missing data on the divergent views in the organisations.



## 4 Quality and Use of Results Information at Enabel

This chapter presents the evaluation results and assesses the quality and use of results-oriented information at Enabel. The evaluation results stem from the analysis of documents and data (including a quality assessment of the results products of 30 interventions), a literature review, three vertical case studies, an online-survey among Enabel staff involved with results-oriented monitoring and a case study in Uganda.

The online survey was open to all 543 Enabel staff who were involved in results-oriented monitoring at Enabel, of which 334 participated. This translates into a response rate of 62%. The results of the online survey can be considered representative as the participants exhibit the same distribution as the overall population in terms of location (stationed country) and role (Headquarters, Expert, Local).

The case study was carried out in Uganda, where the evaluation team interviewed Enabel country office and intervention staff, partners and donors from three interventions that Enabel was implementing in Uganda at the time of this evaluation. In sum, 21 in-depth semi-structured individual and group interviews with 32 persons were conducted throughout the case study.

The vertical case studies encompassed three different interventions from three sectors (health, governance as well as agriculture and rural development), in which Enabel staff at headquarters and in the field were interviewed. In addition, in-depth interviews were carried out throughout the organisation to collect data on future requirements and cross-cutting themes. In total, 30 in-depth individual and group interviews as well as four focus groups with 55 persons were implemented. A detailed sample of all data collection steps can be found in chapter 3.2.

Pooled together, these different sources of primary and secondary data were analysed, systematised and triangulated. In conclusion, the triangulated data presented in this chapter allowed for the drawing of valid and specific conclusions on the quality and use of results-oriented information at Enabel with regard to the overarching evaluation questions of the Terms of Reference:

- **Evaluation Question 1:** What is the quality (and quantity) of results products? (see chapter 4.1)
- **Evaluation Question 2:** What is the quality of the results processes and how well is results-oriented information used? (see chapter 4.1)
- **Evaluation Question 3:** Which factors – at individual, organisational and institutional level - determine the quality of results products and their use for accountability, learning, adaptive management purposes? (see chapter 4.1 and 4.2)
- **Evaluation Question 4:** To what extent is the results-oriented management system 'fit-for-future'? (see chapter 4.1 and 4.2)

However, it has to be stressed that the scope of the evaluation was set by the MoRe Results system and not by the overall functions of learning, accountability and steering functions in general. These organisational functions are larger than MoRe Results. While the evaluation came across elements that indicated that learning and steering also takes place outside MoRe Results' processes and structures, the analysis of these elements was beyond the scope of this evaluation.

In detail, this means that the quality assessment was restricted to the results products of MoRe Results, while for the vertical case studies, online survey and in-depth interviews other learning, steering and accountability processes outside MoRe Results were taken into account. However, the latter could not be analysed in-depth as they were outside the scope of this evaluation (see also chapter 3.2 and 3.3). As a consequence, the evaluation cannot assess the importance of these other processes' contribution to the learning function at Enabel as a whole.

## 4.1 Analysis of Quality and Use of Results Information

As described in chapter 3, Enabel's results-oriented management system is envisioned to foster adaptive management by focusing on the development and analysis of Theories of Change including their context, involved stakeholders and underlying assumptions. By doing this the results-oriented management system should foster learning on the intervention and organisational level by emphasising intermediate outcomes and changes along the Theory of Change. Thus, the collection and analysis of monitoring data should allow Enabel to better understand results in order to draw conclusions for the design and further development of programmes and their successful implementation. Consequently, results-oriented management should be based on a continuous learning process at Enabel to further enhance the effectiveness of the action of all parties involved in the respective programmes.

This learning process in turn should form the basis for decision-making (steering) at the intervention and organisational level as well as provide accountability towards the various stakeholders situated at different levels. More precisely, it should support transparency and accountability with respect to funding bodies, the public and partners of Enabel as well as to support evidence-informed decision-making within the respective intervention as well as the respective departments (Expertise and Operations) and the management level.

As such, the availability, quality and use of the information provided by the results-oriented monitoring system forms the basis for Enabel's core functions, such as knowledge management, organisational learning, quality in implementation of interventions, accountability and transparency.

Hence, the following chapter traces the availability, quality and use of the information provided by the results-oriented monitoring system along the project cycle. It is divided into the following sub-sections, which each address the following evaluation questions (see chapter 4):

- Availability of Results Products (evaluation question 1)
- Quality and Use of Logical Models (evaluation question 1, 2 and 4)
- Quality of Proposed Monitoring Framework and its Effect on the Use of Results Information (evaluation question 1, 2 and 4)
- Information Availability and Quality and its Effect on the Use of Results Information (evaluation question 1, 2, 3 and 4)
- Quality and Use of provided Information regarding Accountability, Steering and Learning (evaluation question 1, 2, 3 and 4)

### 4.1.1 Availability of Results Products

A prerequisite for any results-oriented management system is that the information collected on outcomes achieved and lessons learned are stored on a central platform, which functions as an institutional memory for an organisation. Only if the uploaded information is accessible, available and correct, can it be used for accountability, learning and steering purposes in the organisation by employees or other relevant stakeholders, as it is also defined in the MoRe Results Guidelines (see chapter 3).

At Enabel, this platform is the digital PITWEB on which the specified results products should be uploaded by the respective interventions in order to supply the information needed for the foreseen learning, steering and accountability processes, not only on the intervention level but also on the organisational level (evaluation question 1). Hence, the availability of the results products in the right format and at the right time on PITWEB is crucial to make the results-oriented monitoring system and the subsequent processes of learning, accountability and steering at Enabel work.

In this regard, the coverage analysis of 30 analysed interventions shows that of the 397 results products that should have been uploaded to PITWEB, 287 were uploaded. This translates into an overall coverage rate of on average 69% (see figure 8). As a consequence, not all relevant results

products are stored on PITWEB and thus cannot not be used for processes of learning, steering and accountability. This became also apparent in the case study in Uganda and the vertical case studies, in which the results products on PITWEB were seldomly used for steering or learning processes on the intervention or organisational level.

**Figure 8 - Coverage Rate in Total and by Product**

|          |  | Baseline Report | JLCB Minutes | Annual Results Reports | Final Results Report | Mid-Term Review | End-Term Review | Total     |
|----------|--|-----------------|--------------|------------------------|----------------------|-----------------|-----------------|-----------|
| <b>1</b> | <b>Coverage rate</b>                           | <b>53</b>       | <b>69</b>    | <b>85</b>              | <b>79</b>            | <b>72</b>       | <b>56</b>       | <b>69</b> |
| 1.1      | % of compulsory reports submitted              | 73              | 68           | 83                     | 55                   | 82              | 54              | 69        |
|          | N=   | 30              | 215          | 100                    | 11                   | 28              | 13              |           |
|          | Enabel coverage analysis                       | 49              |              |                        | 64                   | 73              | 67              | 63        |
|          | N=   | 67              |              |                        | 11                   | 55              | 12              |           |
| 1.2      | % or reports that are delivered on time        | 32              | 69           | 87                     | 100                  | 70              | 29              | 64        |
|          | N=   | 22              | 146          | 83                     | 6                    | 23              | 7               |           |
| 1.3      | % of reports following the respective template | 55              | -            | 86                     | 83                   | 65              | 86              | 75        |
|          | N=   | 22              |              | 29                     | 6                    | 23              | 7               |           |

Source: Syspons 2018

In particular, results products that are due at the end of an intervention, such as the Final Report and the End-Term Review, are most often not uploaded to PITWEB and thus not into the institutional memory of the organisation (55%; N=11/ 54%; N=13). There is hence a lack of compliance when it comes to uploading all required documents to PITWEB. Furthermore, according to the interviews in the case study in Uganda and the vertical case studies, this is mainly due to the fact that the purpose of these results products is unclear for the persons writing these reports. It is unknown to many who the target group for the reports is and how the recipients use the reports for their work. In addition, it has been stated by many that they rarely receive feedback. This applies especially to feedback from headquarters to the intervention level. According to comments in the vertical case studies and the in-depth interviews, it is likely that not receiving feedback lowers the motivation and hence the effort to write reports - which might lead to a downward spiral (see also chapters 4.1.2 to 4.1.5). Hence, these products are currently not used in a systematic way on the organisational level - e.g., for learning.

In contrast, Annual Reports are uploaded very frequently to PITWEB (83%; N=100) as the purpose in terms of accountability is apparent to all stakeholders interviewed in the vertical case studies and the case study in Uganda. Moreover, a few interventions stated that they receive feedback from the donor on these results products, making the use of the information to them transparent; thus, facilitating the upload of these products onto PITWEB.

Almost the same pattern can be observed regarding the uploading of results products on time<sup>3</sup>. Overall on average 64% (N=287) of the results products have been uploaded on time to PITWEB. Also, here the Annual Reports are next to the Final Results Reports among the products which are most likely to be uploaded in a timely manner (87%; N=83). This can be also explained by the fact that the respective persons interviewed in the vertical case studies and case study in Uganda understand why and for which purpose they must be uploaded on time; namely to account for results towards the respective donor.

However, for End-Term Reviews this purpose is unclear and the interviewed persons do not possess knowledge about the usage of this results product, making it less urgent for them to upload it on time to PITWEB; thereby hampering possible learning and accountability processes on the organisational level, which are currently not taking place in a systematic way according to all stakeholders interviewed.

<sup>3</sup> In MoRe Results deadlines for the upload of results products to PITWEB are for some results products stated (e.g., Annual Reports or Baseline Studies), for other results products deadlines are not mentioned. Hence, for the latter results products (e.g., Mid-Term Reviews) upload deadlines were agreed upon – in close cooperation with Enabel – to rate the timeliness of the upload of these results products for this evaluation. In this regard, it could be possible that stricter deadlines were chosen than are actually adhered to in practice.

Strikingly, also a low number of baseline reports are uploaded on time (32%; N=22). Based upon the in-depth interviews and the vertical case studies this can on the one hand be explained by the fact that interventions are often a continuation of a former intervention, making it - from the perception of the interventions - obsolete to produce a Baseline Report on time, as the results of the last Annual or Final Report of the former intervention give a good indication of the baseline. On the other hand, however, high quality baselines are often difficult to administer for the interventions due to lacking capacities<sup>4</sup>, according to the case study in Uganda and the vertical case studies (see also chapter 4.1.4). Consequently, they take time to complete and are often only available after the intervention has already started, making it difficult for the interventions to set proper targets for their objectives (see also chapters 4.1.2 and 4.1.3).<sup>5</sup> This poses the question of to what extent results-oriented management can deliver high quality results-oriented information if the baselines are not implemented on time.

The 69% (N=146) on time upload rate for JLCB Minutes can firstly be explained by the EU-funded projects in the sample, which usually have a different steering structure leading to other upload times for JLCB Minutes. Secondly, this can be traced back to the fact that JLCB meetings sometimes take place at different times due to unforeseen external circumstances in the interventions, according to the persons interviewed in the vertical case studies.

Finally, it can be observed that overall an average 75% (N=87<sup>6</sup>) of the analysed results products follow the respective template. Hereby, more than three quarters of the Annual Reports (86%; N=29), Final Reports (83%; N=6) and End-Term Reviews (86%; N=7) follow the foreseen template. The exceptions to this are the Baseline Reports (55%; N=22) and the Mid-Term Reviews (65%; N=23). The analysis thereby shows that results products that follow their respective template possess a higher quality in terms of information provided. This is mainly due to the fact that they provide the necessary information for the processes for learning, accountability and steering while products not following these templates are missing essential results-oriented information, with negative consequences for the above-mentioned processes on intervention and organisational level.

Therefore, these results highlight that not all needed results products are available or available on time for employees at Enabel or other relevant stakeholders on PITWEB. Hence, these results products in approximately one-third of the cases cannot be used for Enabel's organisational core functions, such as knowledge management, organisational learning, implementation quality of interventions as well as accountability and transparency towards Enabel's stakeholders.

#### 4.1.2 Quality and Use of Logical Models

One of the core tenets to facilitate adaptive management in an organisation such as Enabel is the application and usage of logical models in interventions. Logical models (e.g., Theories of Change) in a results-oriented monitoring system have to be transparently depicted and elaborated to see if their underlying hypotheses can be underscored by the monitoring data collected (evaluation question 1). Only then can information of high quality be collected and used to make evidence-informed decisions along the observed changes of the Theory of Change in order to facilitate learning and accountability towards the relevant stakeholders (evaluation question 2 and 4). Therefore, the provided aggregated information of the interventions in turn also forms a prerequisite for steering, learning and accountability processes at Enabel's organisational level.

Hereby, the vertical case studies, the in-depth interviews and the case study in Uganda demonstrate that logical models, mainly in the form of Theories of Change, are often used at Enabel on intervention level. Moreover, there is a widespread understanding of the purpose and underlying mechanisms within the organisation. Hence, it is not surprising that the quality assessment shows that all

<sup>4</sup> For the purpose of this evaluation capacities are defined as organisational capacities entailing human resources, financial resources, competencies as well as needed organisational structures and processes.

<sup>5</sup> Until 2015 it was permissible to complete the baseline until up to 9 months after the JLCB0.

<sup>6</sup> In comparison to the analysis of the upload of results products to PITWEB and their timely upload, the analysis for these indicators only looked at the last uploaded Annual Report. Thus, reducing in comparison the amount of assessed Annual Reports considerably. Furthermore, JLCB Minutes were not assessed as there is no template for this particular result product. Hence reducing the N even further.

interventions use logical models - predominately log frames and Theories of Change - and that in 80% (N=27<sup>7</sup>) of the analysed interventions a clear and correct distinction is made between inputs, outputs, outcomes and impacts (see figure 9). Where this is not the case, outputs often take the form of outcomes and outcomes are often formulated on impact level. Thus, these interventions are in most cases too ambitious regarding their output and outcome formulations in their documents. In addition, logical models are seldomly visualised (23%; N=22<sup>8</sup>) as this is not a compulsory requirement in MoRe Results (see figure 9).

Moreover, the majority of the interventions analysed in the quality assessment have realistic logic models that can be either achieved within the given intervention's lifespan (90%; N=21<sup>9</sup>) or budget (82%; N=11<sup>10</sup>) (see figure 9). Regarding the latter, in one intervention the budget was reduced by approximately one third: however, the objectives and results stayed the same.<sup>11</sup> It was argued that the same results could be reached with two thirds of the budget - leaving out some activities. That was deemed to not be realistic. Furthermore, it can be observed that many interventions do not discuss this aspect in their results product as this is not a compulsory standard in MoRe Results.

**Figure 9 - Quality of Logical Models in Total and by Product**

| 2   | Logical Model  | Total | compulsory only | N= | TFF | Baseline Report | N=      |
|-----|--|-------|-----------------|----|-----|-----------------|---------|
|     |  | 69    | 74              |    | 75  | 71              |         |
| 2.1 | Hypotheses for the change process are elaborated.                                      | 69    |                 | 27 | 73  | 53              | 26 / 15 |
| 2.2 | A clear and correct distinction is made between inputs, outputs, outcomes and impacts. | 80    |                 | 27 | 77  | 87              | 26 / 15 |
| 2.3 | The logical model from outputs to outcomes and impacts is clearly elaborated.          | 61    |                 | 27 | 58  | 57              | 26 / 14 |
| 2.4 | The logical model can be achieved in the intervention's lifespan.                      | 90    |                 | 21 | 90  | 100             | 20 / 7  |
| 2.5 | The logical model can be achieved with the intervention's budget.                      | 82    | not compulsory  | 11 | 75  | 100             | 8 / 5   |
| 2.6 | A visualized ToC exists.   | 23    | not compulsory  | 22 | -   | 23              | 22      |
| 2.7 | The internal risks are clearly identified and explored.                                | 67    |                 | 27 | 73  | 57              | 26 / 21 |
| 2.8 | For each identified risk, a risk management strategy is elaborated.                    | 80    |                 | 25 | 82  | 88              | 22 / 16 |

Source: Syspons 2018

At the same time, a detailed engagement with the logical models is less pronounced in the relevant results products. Here the quality assessment highlights that overall 69% (N=27) of the assessed interventions elaborate hypotheses for the change process and 61% (N=27) clearly elaborate their logical model in their Technical and Financial File or their Baseline Report. With regard to the elaborated hypotheses it becomes apparent that these are less well elaborated in the analysed Baseline Reports (53%; N=15<sup>12</sup>) in comparison to the Technical and Financial Files (73%; N=26<sup>13</sup>) (see figure 9).

According to the in-depth interviews and the case study in Uganda, this elaboration of logic models has consequences for the use of this results information. As logical models are often not documented in detail (e.g., in terms of the mini-steps that have to be taken to go from outputs to outcomes) in the respective results products, information for steering and learning are missing. As a consequence,

<sup>7</sup> In the quality assessment 27 of the 30 interventions either uploaded a Technical and Financial File or a Baseline Report onto PITWEB. Hence, most of the indicators in this chapter could only be assessed for 27 of the 30 interventions.

<sup>8</sup> This indicator was only rated on the basis of the uploaded Baseline Reports to PITWEB. As only 22 interventions of the sample uploaded a Baseline Report to PITWEB, the N drops to 22.

<sup>9</sup> This indicator was rated when the feasibility of the intervention's implementation was discussed in the results products. This was done in 21 cases out of the 27 interventions that supplied the respective results products on PITWEB.

<sup>10</sup> This indicator was only rated if the budget was critically discussed in the provided results products or a budget change occurred that either did or did not have an influence on the intervention's design. This was the case in 11 interventions.

<sup>11</sup> The intervention developed two Technical Financial Files. The first Technical Financial File describes the originally foreseen intervention. The second one had to be developed after the budget cut and describes the intervention with the new foreseen budget. The budget cut was mentioned in the second Technical Financial File and explained as a genuine budget cut, meaning that a reduction of the intervention's budget occurred based upon a modification of the implementation agreement.

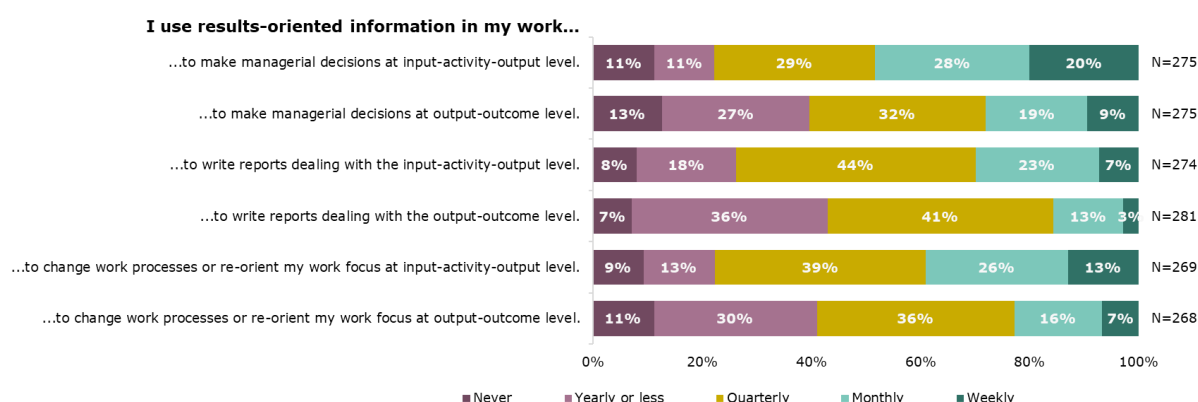
<sup>12</sup> In 15 cases it was necessary that the hypothesis for the change process had to be re-elaborated in the Baseline Reports of the respective interventions. As a consequence, only 15 Baseline Reports were assessed in this indicator.

<sup>13</sup> Only 26 interventions uploaded their Technical and Financial File onto PITWEB. Therefore, only 26 Technical Files could be assessed in this indicator.

steering mainly happens on input-activity-output level in the interventions and to a far lesser extent on the output-outcome level. Furthermore, the vertical case studies and the case study in Uganda showed that the persons interviewed had the impression that learning should take place in other processes such as backstopping missions and capitalisation processes, and not in MoRe Results. This explains missing information with regard to the learning dimension in the results products. In addition, results-oriented information is also not used at the organisational level, as there are no capacities to aggregate and analyse the existing results-oriented information accordingly (see chapter 4.1.5).

The usage of results information on these levels for steering, learning and accountability purposes is further complicated by a divergent understanding of its purpose among Enabel staff. In this regard, the online-survey among Enabel staff highlights that results-oriented information on the different levels is not always used correctly in daily work routines, although for 86% (N=201) of respondents it constitutes one of the Top 5 priorities in their daily work. For example, 59% of Enabel staff use results-oriented information at output-outcome level on either a quarterly or annual basis which corresponds to the principles of MoRe Results in which the MONOP, the Annual Reports and the Steering Committees are named as points of reflection to take evidence-informed decisions. However, at the same time 28% of Enabel staff use this information on a weekly or monthly basis, while 13% never use this information (see figure 10). The former thereby hints at a misunderstanding of the usage of the information, as it is highly unlikely that results-oriented information at output-outcome level can be used effectively in such a frequency. A difference between persons working at headquarters and in the field could thereby be not observed. This confusion in how to use results-oriented information for decision-making was also confirmed in the in-depth interviews.

**Figure 10 - Usage of Results-Information for Steering, Accountability and Learning at Enabel**



Source: Syspons 2018 Online-Survey

Similar examples can also be found for the use of results-oriented information for accountability and learning. Concerning accountability, 30% of the respondents state that they write reports on a weekly or monthly basis at output-outcome level, while this should only occur on a quarterly and annual basis according to MoRe Results. Also, with regard to learning, 23% re-orient their work focus on output-outcome level on a monthly or weekly basis, while 11% never do this. This seems excessive, as learning on this level should occur on a quarterly or annual basis according to MoRe Results. Also, here, the confusion when and where learning should take place was confirmed in the vertical case studies and the case study in Uganda.

As a result of these factors, it can be shown through the vertical case studies and the case study in Uganda that relevant information at these levels is in general collected through the logical models in the results-oriented monitoring system, but that the effective usage of this results-oriented information in the daily work of Enabel only takes place in few cases. Here it is interesting to note that the quality of the described logic model in the results products has an influence on the quality of the proposed monitoring system and the usage of the available information in the results products (see chapters 4.1.3 and 4.1.4).



According to the quality assessment, the risk analysis, which is conducted on the basis of the intervention's logic model, possesses in most cases (67%; N=27) a high quality, as internal risks are clearly identified and explored (see figure 9). In interventions in which this is not the case, a risk analysis is either missing or risks are described at a general level, e.g., staff turn-over. Interestingly, Technical and Financial Files are better in describing risks than Baseline Reports (see figure 9). This was explained in the vertical case studies by the fact that baseline processes are already overburdened in collecting baseline values and therefore often do not pay particular attention to the renewed identification of risks.

Furthermore, the vertical case studies and the case study in Uganda highlight that there is widespread awareness of the identification and monitoring of risks among Enabel staff to deliver the intended results of the respective intervention. Hence, in most interventions (80%; N=25<sup>14</sup>) a risk management strategy for each identified risk is elaborated (see figure 9).

These results demonstrate that logical models are widely used at Enabel, but that a detailed engagement with these models in terms of elaborating hypotheses and change processes from outputs to outcomes takes place to a much lesser extent. At the same time the appropriate use of results-oriented information is not taking place at Enabel as a divergent understanding regarding the purposes of learning, steering and accountability exists among Enabel staff. This causes challenges for the core functions of Enabel in terms of knowledge management, organisational learning, implementation quality of interventions as well as accountability and transparency towards Enabel's stakeholders, as necessary information for pathways of change are not documented in detail in order to feed into these core organisational functions. In contrast, risk analysis and risk management strategies are documented in a high quality in the majority of analysed interventions.

#### **4.1.3 Quality of the Proposed Monitoring Framework and its Effect on the Use of Results Information**

In order to ensure the core functions of Enabel in terms of knowledge management, organisational learning, implementation quality of interventions as well as accountability and transparency towards Enabel's stakeholders, it is essential that a sound monitoring framework in terms of functions, responsibilities, indicators and methods exists on the level of the interventions (evaluation question 1). Only then it is possible to collect data of sufficiently good quality to fulfil the results-oriented management system's function of steering, learning and accountability as well as ensure adaptive management throughout the organisation (evaluation question 2 and 4).

The implemented quality assessment of the results products hereby shows that Enabel's strength lies in consistently translating the logical model into a monitoring system (86%; N=22<sup>15</sup>) and in defining indicators on the output and outcome level (91%; N=22) that enable 71% (N=21<sup>16</sup>) of the interventions to measure the change path towards the outcome. However, challenges remain in the development of high-quality indicators (see below).

Moreover, in 73% (N=22) of the interventions the responsibilities are clearly described and in 93% (N=20<sup>17</sup>) of the interventions the partners are involved in the data collection of the monitoring system (see figure 11). The latter can be explained through the explicit partner orientation, which is - according to the vertical case studies, case study in Uganda and in-depth interviews - a unique feature of Enabel in comparison to other donors. Hence, results-oriented monitoring systems at Enabel are well designed on a structural level and partner-oriented.

However, according to the vertical case studies and in-depth interviews, there are different perceptions regarding the general use of the monitoring system and its functioning. While the majority

<sup>14</sup> In two interventions a risk analysis was missing. Hence, this indicator could only be assessed for 25 interventions.

<sup>15</sup> Most of the indicators in this chapter are assessed on the basis of the uploaded Baseline Report. As only 22 Baseline Reports were uploaded onto PITWEB, the N amounts to 22.

<sup>16</sup> One intervention did not document any indicators in its Technical Financial File or its Baseline Report. As a result, the N is reduced from 22 to 21 for this indicator.

<sup>17</sup> This indicator was only assessed if partner (non-) involvement was actively mentioned in the results products. This was the case in 20 of the 30 interventions' results products, explaining the N of 20.

agrees that it should serve the purpose of accountability, only a minority agrees that the monitoring systems should also be used for learning and steering. Furthermore, a general insecurity exists among the interviewed persons as to what the objective of these functions should be; e.g., learning for whom and on what level. This is also reflected in the quality assessment, in which in 59% (N=22) of the interventions, the use and functioning of the monitoring is described mainly in terms of accountability purposes in the Baseline Report (see figure 11). Moreover, the insecurity about the use and functioning of the monitoring is reflected in the selective description of functions as well as the different levels to which they should refer e.g., where steering or learning should take place. According to the persons interviewed in the in-depth interviews and vertical case studies this in turn affects the core functions of Enabel, such as organisational learning or knowledge management as data on different levels and for various purposes is collected.

When looking at the operational level of the proposed monitoring frameworks in the results products, it becomes apparent that according to the vertical case studies and the in-depth interviews, the development of high-quality indicators for the output and outcome level poses a challenge for Enabel. This is also reflected in the quality assessment, in which on average 68% (N=21<sup>18</sup>) of all developed indicators in the analysed Baseline Reports fulfil the SMART criteria<sup>19</sup>. Moreover, a disaggregation by at least sex or one other relevant characteristic occurs in 38% (N=21<sup>20</sup>) of the analysed Baseline Reports and 41% (N=22) of the Baseline Reports explain to what extent national indicators can be used on outcome level (see figure 11).

These values of the quality assessment can be explained by several factors. First, the vertical case studies highlight that indicators are sometimes negotiated in a political process between Enabel and the respective donor, making it difficult to adhere to general quality criteria for indicators. As a consequence, particular indicators on outcome level are often not SMART and are difficult to collect. In turn this causes difficulties for the core organisational function of Enabel (e.g., knowledge management or ensuring quality of implementation) as in these cases the collected data is often not useable for learning, steering or accountability purposes. Second, the in-depth interviews and the vertical case studies demonstrate that Enabel has limited personnel capacities to deal with transversal themes (see also chapter 4.1.4). As a result, the disaggregation of indicators for relevant characteristics must often occur without sufficient support and expertise; thus, explaining the low score in the quality assessment. Also, this poses a challenge for Enabel in terms of its learning and accountability functions as needed data regarding those characteristics is in general not captured by the results-oriented monitoring. Hence, organisational learning and knowledge management about these themes can also not occur. Third, referring to the vertical case studies and the in-depth interviews, the use of national indicators at outcome level is very burdensome for the interventions. To connect to indicators of the partner system is a complicated endeavour as data collection methods, the composition of the national indicators and their suitability for the respective intervention have to be understood in detail. In most cases this overburdens the baseline process and thus national indicators are seldomly used at outcome level and hence also not documented in the Baseline Reports.

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<sup>18</sup> See footnote 11

<sup>19</sup> The SMART criteria state that an indicator should be **s**pecific, **m**easurable, **a**ttainable, **r**elevant and **t**ime-bound.

<sup>20</sup> See footnote 11



**Figure 11 - Quality of the Proposed Monitoring Framework in Total and by Product**

|      |  | Total | compulsory only |    | Baseline Report |    | JLCB Minutes |    | Annual Reports |    | Final Results Report |    |
|------|--|-------|-----------------|----|-----------------|----|--------------|----|----------------|----|----------------------|----|
| 3    | Proposed monitoring framework  | 63    | 62              | N= | 62              | N= | 80           | N= | 89             | N= | 100                  | N= |
| 3.1  | The responsibilities for the monitoring are clearly described.   | 73    |                 | 22 | 73              | 22 |              |    |                |    |                      |    |
| 3.2  | The functioning of the monitoring system and its use is documented.  | 59    |                 | 22 | 59              | 22 |              |    |                |    |                      |    |
| 3.3  | The partner organisation(s) is/are involved in the data collection of the monitoring system.                             | 93    |                 | 20 | 100             | 15 | 80           | 5  | 88             | 8  | 100                  | 2  |
| 3.4  | The proposed monitoring framework includes a consistent translation of the proposed logical model.                       | 86    |                 | 22 | 86              | 22 |              |    |                |    |                      |    |
| 3.5  | Indicators are defined on output and outcome level.  | 91    |                 | 22 | 91              | 22 |              |    |                |    |                      |    |
| 3.6  | The indicators at outcome level enable to monitor the change path towards the outcome                                    | 71    |                 | 21 | 71              | 21 |              |    |                |    |                      |    |
| 3.7  | The disaggregation by sex and other relevant characteristics is sufficient.  | 38    |                 | 21 | 38              | 21 |              |    |                |    |                      |    |
| 3.8  | The indicators are SMART.  | 68    |                 | 21 | 68              | 21 |              |    |                |    |                      |    |
| 3.9  | Target values are defined for all output and outcome indicators.   | 63    | not compulsory  | 21 | 63              | 21 |              |    |                |    |                      |    |
| 3.10 | If there are target value missing, a plausible explanations is given, explaining why it is not possible to set a target. | 38    | not compulsory  | 16 | 38              | 16 |              |    |                |    |                      |    |
| 3.11 | The data collection methods for the monitoring are clearly described.  | 59    |                 | 22 | 59              | 22 |              |    |                |    |                      |    |
| 3.12 | The baseline report explains to what extend national indicators can be used on the outcome-level.                        | 41    |                 | 22 | 41              | 22 |              |    |                |    |                      |    |
| 3.13 | The data collection methods for the monitoring are feasible.   | 77    |                 | 13 | 77              | 13 |              |    |                |    |                      |    |
| 3.14 | The method to follow up on the internal risks is clearly described.  | 56    |                 | 22 | 56              | 22 |              |    |                |    |                      |    |
| 3.15 | The internal means needed (capacity development, HR, etc.) to implement the monitoring framework are defined.            | 41    |                 | 22 | 41              | 22 |              |    |                |    |                      |    |
| 3.16 | The costs for data collection are described in sufficient detail.  | 9     |                 | 22 | 9               | 22 |              |    |                |    |                      |    |
| 3.17 | Costs are planned per output.  | 72    |                 | 29 | 45              | 22 |              |    | 90             | 29 |                      |    |
| 3.18 | The monitoring framework is based upon a digital solution.   | 63    | not compulsory  | 8  | 63              | 8  |              |    |                |    |                      |    |
| 3.19 | The monitoring framework is user-friendly and visualises monitoring data in an easily understandable way.                | 67    | not compulsory  | 3  | 67              | 3  |              |    |                |    |                      |    |
| 3.20 | The partners have access to the digital monitoring framework.  | 100   | not compulsory  | 5  | 100             | 5  |              |    |                |    |                      |    |

Source: Syspons 2018

Despite these perceived difficulties in the development of high-quality indicators by the persons interviewed in the in-depth interviews and the vertical case studies, on average 63% (N=21<sup>21</sup>) of the indicators in the analysed Baseline Reports have assigned target values, although this is not a compulsory requirement of MoRe Results. Furthermore, in those 16 cases where target values were not assigned to all indicators in the Baseline Reports, 38% (N=16) of the interventions' reports give a plausible explanation why it was not possible to set a target (see figure 11). As a result, it can be seen also from the case study in Uganda and the vertical case studies that interventions already go further than requested in order to be accountable to their respective donors or other relevant stakeholders concerning their performance. Therefore, the results-oriented management system is collecting in almost two third of the analysed cases more data than required by MoRe Results in order to serve the accountability function of Enabel. This in turn provides more data to Enabel at organisational level to transparently report to its donors, as well as to improve the quality of implementation on an overall level. However, this data is currently rarely used according to the vertical case studies and the in-depth interviews, since there are no capacities at organisational level to aggregate and analyse it (see also chapter 4.1.5).

At the same time, the vertical case studies and the case study in Uganda show that the interventions also experience difficulties in conceptualising and setting up data collection methods for the proposed monitoring systems on the ground. Here, interviewed personnel from the field are missing either internal or external support structures that can assist them in this matter. This also explains the score of the quality assessment in which in 59% (N=21<sup>22</sup>) of the Baseline Reports the data collection methods for the monitoring are clearly described. In the other cases, the Baseline Reports refer to general methods such as survey and do not describe when, for whom and how these data collection methods should be implemented. In contrast hereto, in those cases (77%; N=13<sup>23</sup>), in which data collection methods are clearly described, these data collection methods are feasible for collecting robust and valid data for the respective intervention (see figure 11).

Hence, as stated in the in-depth interviews, the difficulties experienced in conceptualising and setting-up data collection methods pose a risk to the core organisational functions of Enabel (e.g., organisational learning, quality in implementation or knowledge management) as well as evidence-informed steering. If data for the results-oriented monitoring system is not collected in a robust and systematic way, it can impact the quality of the collected data leading to possibly ill-informed decisions and actions not only at the intervention level, but also at different organisational levels at Enabel. This was confirmed in the vertical case studies and the in-depth interviews, in which it was explained that field staff in general feel overwhelmed in setting up state-of-the-art data collection processes and methods. As a consequence, they look for possible support mechanisms when able but view the existing ones as inadequate.

These challenges in conceptualising and setting-up data collection methods also make it difficult for the interventions to pinpoint the internal means and costs of implementing the monitoring framework, according to the vertical case studies and in-depth interviews. Consequently, internal means needed to implement the monitoring framework are in 41% (N=22) of the Baseline Reports described, while 9% (N=22) document the costs for data collection referring to the results of the implemented quality assessment (see figure 11).

A slightly different picture emerges regarding the documentation and use of methods following up on internal risks. Here, the case study in Uganda and the vertical case studies illuminate that risk monitoring is mainly done in MONOP and not in the Baseline Reports. This also explains that in the quality assessment, 56% (N=22) of the Baseline Reports clearly describe the foreseen methods for monitoring risks (see figure 11). However, as explained in the in-depth interviews, this practice complicates the knowledge management and organisational learning of Enabel, as different sources

<sup>21</sup> See footnote 11

<sup>22</sup> One intervention did not document indicators and also did not document setting-up a monitoring system in its Baseline Report. As a result, only 21 of the 22 Baseline Reports could be assessed in this indicator.

<sup>23</sup> Of the 21 interventions, 13 describe in detail their data collection methods in their results product; hence reducing the N to 13.

have to be analysed to come up with systematised results concerning risk monitoring and mitigation for the organisation as a whole.

In contrast to the data collection methods and the methods for risk monitoring, the results products usually document the cost per output. According to the quality assessment conducted, 72% (N=29<sup>24</sup>) of the analysed interventions' results products do this. Strikingly, this is done in 45% (N=22) of the Baseline Reports and in 90% (N=29) of the Annual Reports (see figure 11). Therefore, there is sufficient information available in the results-oriented monitoring to be used for Enabel's accountability purposes vis-à-vis its donors or partners. Referring to the in-depth interviews, this is further strengthened by the existing financial systems of Enabel, which can e.g., aggregate finances across interventions or countries.

Lastly, when looking at the documented digitalisation of the results-oriented monitoring systems at intervention level, the quality assessment shows that eight interventions documented whether or not they have based their monitoring framework upon a digital solution.<sup>25</sup> The number of interventions is thereby not surprising as the criteria on digitalisation are not compulsory criteria in MoRe Results. However, of these interventions 63% (N=8<sup>26</sup>) outlined a digital approach in the Baseline Report. In three of these Baseline Reports, an assessment regarding the usability of the digital monitoring framework was possible. Here, 67% (N=3<sup>27</sup>) of these proposed digital solutions could be assessed as user-friendly and easily understandable. Moreover, in five of these interventions it could be evaluated whether the partners had access to the digital monitoring framework; this was the case in all 5 Baseline Reports (100%; N=5<sup>28</sup>) (see figure 11).

These results of the quality assessment were confirmed in the vertical case studies, the in-depth interviews and the case study in Uganda. Currently, digital solutions for monitoring systems at the intervention level are rare at Enabel. However, this should change in the future with the mandatory organisation-wide introduction of PILOT - a digital platform for monitoring. This introduction should also make the aggregation of data on different organisational levels easier for Enabel and thus will allow for better knowledge management, organisational learning and evidence-informed steering. Moreover, it could potentially increase the transparency and accountability of Enabel towards its donors and relevant stakeholders.

Consequently, these results show that Enabel's strength lies in consistently translating logical models into proposed monitoring frameworks and in defining indicators on the output and outcome level that enable the majority of interventions to measure the change path towards the outcome. However, at the same time approximately one-third of the proposed indicators do not fulfil the SMART criteria and are thus not of sufficient quality. Moreover, they are often not disaggregated by at least sex or one other relevant characteristic. This makes it difficult for Enabel to fulfil its organisational core functions of knowledge management, organisational learning, implementation quality of interventions as well as accountability and transparency towards Enabel's stakeholders as needed information is not collected and documented in the results products. Furthermore, this is enforced by the fact that interventions experience challenges in conceptualising and setting up state-of-the-art data collection methods, making it difficult for the interventions to collect the necessary robust data for the aforementioned functions.

<sup>24</sup> The population for this number consists of the Annual Reports and/ or Baseline Reports that have been uploaded onto PITWEB. Here, 29 interventions either uploaded an Annual Report or a Baseline Report. One intervention did not upload any Baseline Report or Annual Report; thus, reducing the population from 30 to 29.

<sup>25</sup> This indicator was only assessed if it was documented in the results product whether or not a digital solution was applied. This was the case in eight interventions; thus, setting the population at eight.

<sup>26</sup> See footnote 20

<sup>27</sup> This indicator was only assessed when the digital solution was presented in one of the results products e.g., in form of screenshots. This could be done in three cases.

<sup>28</sup> This indicator was only assessed when the access was mentioned explicitly in one of the results products. This was the case in five interventions.

#### 4.1.4 Information Availability and Quality and its Effects on the Use of Results Information

To facilitate adaptive management, organisational learning, knowledge management or to ensure quality in implementation at Enabel, a results-oriented monitoring system has to produce reliable and valid data on the relevant levels of a logical model (evaluation question 1). Only if this information is captured by the results-oriented monitoring system can it cater to its functions of learning, steering and accountability and thus to the above-mentioned core organisational functions at Enabel (evaluation question 2 and 4). Therefore, it is essential that baseline data, data on the progress of the intervention, financial data and information regarding risks is available in the results-oriented monitoring system.

The provision of baseline information is the first step in an intervention cycle to make evidence-based steering, accountability and learning possible as well as to provide information to Enabel's core organisational functions. In this regard, the quality assessment demonstrates that on average 67% (N=22<sup>29</sup>) and respectively 62% (N=22) of all developed indicators in the Baseline Reports provide baseline values on the output and outcome level (see figure 12). On impact level, which is a non-compulsory criterion, on average 39% (N=19<sup>30</sup>) of all developed impact indicators have allocated baseline values (see figure 12).

The vertical case studies and the in-depth interviews highlighted that the timing of the baseline process is essential to achieve relevant baseline values. Most of the interviewees shared the perception that baseline studies are conducted too early and thus cannot take into consideration the situation, when the intervention started; making the baseline values obsolete. Nevertheless, in general the interviewed persons agreed that the results-oriented monitoring system is capturing baseline data that can be used for steering and accountability purposes. However, it was not clear to most of them how the data is used beyond the immediate level of the interventions. Particularly, interviewed intervention staff argued that they only occasionally receive feedback on Baseline Reports. In this regard, interviewed staff at headquarters agreed that they only use the results-oriented information provided in the Baseline Reports on an ad-hoc needs basis - e.g., for the preparation of backstopping missions and to answer requests from donors - but not in a systematic way. This in turn illustrates that baseline information is currently not used in a systematic way for e.g., organisational learning and knowledge management.

A similar picture regarding the use of data emerges for results-oriented information on output and outcome level. Also, here the vertical case studies and the case study in Uganda illustrate that available information is not used in a systematic way for learning and steering purposes either on the intervention or organisational level. While the case study in Uganda shows that interventions are mainly steered by information collected on input-activity-output level, the in-depth interviews highlighted that there is currently insufficient capacity at Enabel headquarters to systematically aggregate and analyse the provided data through the existing results-oriented monitoring system. This is even though - according to the quality assessment - most interventions report on average 79% (N=29<sup>31</sup>) of their values achieved for the relevant indicators on output, and 69% (N=29) of values achieved on the outcome level in their Annual Reports, JLCB Minutes<sup>32</sup> or Final Results Reports. Furthermore, of the 13 interventions that documented and developed impact indicators in their Annual and Final Results Reports, 30% (N=13) documented achieved values, although this is not mandatory under MoRe Results (see figure 12).

<sup>29</sup> Most of the indicators in this chapter are assessed on the basis of the uploaded Baseline Report. As only 22 Baseline Reports were uploaded onto PITWEB, the N amounts to 22.

<sup>30</sup> In three interventions there were no indicators documented in the Baseline Report reducing the population by three to N=19.

<sup>31</sup> For this indicator the population is the Annual Reports uploaded to PITWEB. As one intervention did not upload any Annual Reports, the N for this indicator is 29.

<sup>32</sup> The in comparison low score for the JLCB Minutes can be explained by the fact that many interventions do not upload the annexes of the JLCB Minutes onto PITWEB. As a consequence, information on achieved values is rarely found in the uploaded PowerPoint presentations.

**Figure 12 - Information Availability and Quality in Total and by Product**

|      |  | Total | compulsory only |    |  | Baseline Report |    | JLCB Minutes |    | Annual Reports |    | Final Results Report |    |
|------|--|-------|-----------------|----|--|-----------------|----|--------------|----|----------------|----|----------------------|----|
| 4    | Information Availability & Quality   | 62    | 70              | N= |  | 54              | N= | 22           | N= | 65             | N= | 59                   | N= |
| 4.1  | Baselines are available for all output indicators.   | 67    |                 | 22 |  | 67              | 22 |              |    |                |    |                      |    |
| 4.2  | Baselines are available for all outcome indicators.  | 62    |                 | 22 |  | 62              | 22 |              |    |                |    |                      |    |
| 4.3  | Baselines are available for all impact indicators.   | 39    | not compulsory  | 19 |  | 39              | 19 |              |    |                |    |                      |    |
| 4.4  | The intervention uses the concept of a rolling baseline.   | 20    |                 | 25 |  | 20              | 20 |              |    | 14             | 22 |                      |    |
| 4.5  | If the intervention uses the concept of a rolling baseline, a plausible explanation is given to not provide a baseline in the baseline report.   | 100   |                 | 4  |  | 100             | 4  |              |    |                |    |                      |    |
| 4.6  | Values achieved are available for all output indicators.   | 73    |                 | 29 |  |                 |    | 33           | 8  | 79             | 29 | 80                   | 6  |
| 4.7  | Values achieved are available for all outcome indicators.  | 69    |                 | 29 |  |                 |    |              |    | 70             | 29 | 83                   | 6  |
| 4.8  | Values achieved are available for all impact indicators  | 30    | not compulsory  | 13 |  |                 |    |              |    | 25             | 12 | 26                   | 5  |
| 4.9  | A narrative explains the data for the outputs indicators.  | 84    |                 | 29 |  |                 |    |              |    | 83             | 29 | 100                  | 6  |
| 4.10 | A narrative explains the data for the outcome indicators.  | 90    |                 | 29 |  |                 |    |              |    | 93             | 29 | 67                   | 6  |
| 4.11 | Facts (Milestones and intermediate indicators) describe the progress form outputs towards the outcome.   | 67    |                 | 29 |  |                 |    |              |    | 64             | 28 | 83                   | 6  |
| 4.12 | If a result is not on track (DAC criteria – effectiveness addresses results: C,D rating on effectiveness), a plausible interpretation is given.  | 75    |                 | 12 |  |                 |    |              |    | 75             | 12 | 100                  | 1  |
| 4.13 | Costs per output are shown in results products.  | 86    |                 | 29 |  |                 |    |              |    | 90             | 29 | 50                   | 6  |
| 4.14 | Costs per outcome are shown in results products.   | 46    | not compulsory  | 29 |  |                 |    | 30           | 25 | 68             | 29 | 33                   | 6  |
| 4.15 | The collected monitoring data reported is sufficiently disaggregated.  | 30    | not compulsory  | 29 |  | 37              | 19 | 18           | 11 | 34             | 29 | 50                   | 6  |
| 4.16 | The information regarding the monitoring of internal and external risks is available.  | 46    |                 | 29 |  |                 |    | 6            | 24 | 79             | 29 | 0                    | 6  |
| 4.17 | Comprehensive information (at least actions taken and achievements) regarding transversal themes (at least gender and environment) is available. | 67    |                 | 29 |  |                 |    |              |    | 69             | 29 | 33                   | 6  |

Source: Syspons 2018

Moreover, 84% (N=29) and 90% (N=29) of the analysed interventions' documents underscore these values with a narrative on the output and outcome level in their Annual Reports and Final Results Reports, respectively. In these narratives, 67% (N=29) describe milestones and intermediate indicators between output and outcome (see figure 12). This reflects roughly the percentage of interventions that also elaborate on hypotheses of their change process either in the Baseline Report or the Technical and Financial File (see chapter 4.1.2).

Although this information is currently not used systematically for learning and steering purposes and thus also not for the core organisational functions (e.g., knowledge management or quality in implementation) at Enabel, the vertical case studies and in-depth interviews illuminated that this information is used for accountability and transparency purposes vis-à-vis the relevant stakeholders of Enabel. However, its usage so far remains restricted to the level of the intervention as the provided results-oriented information is not systematically analysed and systematised on the different levels of the organisation. Here, the main instrument is the Annual Report, which is sent to the respective donor and feedback on these reports either from headquarters or the donor, but is seldomly received according to the interviewed field staff.

In this line further information, which can be used for accountability or transparency purposes at Enabel, is also reported frequently in the results products. In this regard, the 75% (N=12<sup>33</sup>) of the 12 interventions in which the results are not on track give a plausible interpretation for this status in their OECD-DAC Criteria Review. In addition, 86% (N=29) of the documents of the analysed interventions report on the costs in relation to outputs, while costs related to outcomes are less frequently reported (46%; N=29). The latter can be explained by the fact that this is not a compulsory criterion in the MoRe Results Guidelines (see figure 12).

As the development of high quality and disaggregated indicators is posing a challenge at Enabel as described in chapter 4.1.3, it is not surprising that the reporting on these is also difficult. In the implemented quality assessment, 30% (N=29) of the analysed interventions report on disaggregated data in a variety of their documents, although this is not a compulsory criterion under the MoRe Results Guidelines. Similarly, 67% (N=29) of the analysed documents in the 29 interventions provide comprehensive information (actions taken and achievements) regarding transversal themes (at least gender and environment) (see figure 12). However, transversal themes are reported on very different levels in the results products. Furthermore, an in-depth analysis of measures mitigating effects on transversal themes is often missing. This was also confirmed by the interviewed donor.

The difference in quality was explained in the vertical case studies and the in-depth interviews by the fact that Enabel currently possesses insufficient capacity to work on transversal themes in a consistent quality throughout the interventions. Therefore, information in these fields is either scarcely provided or provided mostly in a low quality by the results-oriented monitoring system, making the use of this information on the intervention and organisational level not feasible. This in turn affects organisational learning, evidence-informed steering and accountability towards the respective donors.

Likewise, information on the monitoring of internal and external risks is available in 46% (N=29) of the interventions' results products (see figure 12). Also here this number can be explained on the one hand by the number of interventions that describe foreseen monitoring risks (56%; N=22; see figure 12); and on the other hand, by the fact that the monitoring of risks is mainly done in MONOP, according to the case study in Uganda and the vertical case studies (see chapter 4.1.3).

As a result, these results highlight that the results products do not sufficiently document – in quantity and quality – reliable and valid data on the relevant levels of the logical model in the interventions to facilitate adaptive management, organisational learning, knowledge management or to ensure quality in implementation at Enabel. Furthermore, as there is no clear understanding among Enabel staff of how and for whom the results-oriented information should be used, the existing results-oriented information is not used in a systematic way at Enabel. Thus, also the existing results-oriented

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<sup>33</sup> In the sample there were twelve interventions in which results were not on track. Hence, the population for this indicator amounts to N=12.

information in the results products does not feed into Enabel's core functions in terms of knowledge management, organisational learning, implementation quality of interventions as well as accountability and transparency towards Enabel's stakeholders.

#### 4.1.5 Quality and Use of Provided Information regarding Accountability, Steering and Learning

The core purpose of the results-oriented monitoring system at Enabel is to collect information on which basis learning and steering can occur as well as to provide accountability towards its relevant stakeholders (evaluation question 1). This information in turn is essential for Enabel to not only be able to make evidence-informed decisions and practice adaptive management on different levels of the organisation, but also to enable core organisational functions such as knowledge management or quality in implementation (evaluation question 2, 3 and 4).

With regard to the **accountability** function the results-oriented monitoring system needs to report on the achieved results of an intervention as well as on other relevant information needs of the respective donor. The quality assessment hereby shows that this is one of the strengths of the current results-oriented monitoring system, as 93% (N=29<sup>34</sup>) of the assessed documents of the 29 interventions conduct an OECD DAC Criteria Review and describe its results (see figure 13). Furthermore, the assessment of the integration of transversal themes is reported in 82% (N=29) of the documents of the analysed interventions. However, as stated in chapter 4.1.4, the quality of the information varies considerably between the interventions due to the lack of capacities to deal with transversal themes consistently throughout the whole organisation (see chapter 4.1.4). In addition, 61% (N=29) of the interventions report on their results (outcomes) and compare them to targets in one of the prescribed documents. Here it has to be noted that if only the Annual Reports and Final Reports were considered the average would be much higher (88%). The lower average for this indicator can be explained by the quality of the Mid-Term and End-Term Review, as in these results products either a plausibility assessment of reaching intended outcomes (Mid-Term Review) or a comparison of results to reached targets (End-Term Review) was not undertaken (see figure 13).

**Figure 13 - Quality of the Provided Information on Accountability in Total and by Product**

| 6   | Accountability   | Total |    | Annual Reports |    | Final Results Report |    | Mid-Term Review |    | End-Term Review |    |
|-----|--|-------|----|----------------|----|----------------------|----|-----------------|----|-----------------|----|
|     |  | 79    | N= | 83             | N= | 75                   | N= | 77              | N= | 86              | N= |
| 6.1 | Results (outcomes) are reported and compared to targets.                         | 61    | 29 | 76             | 29 | 100                  | 6  | 43              | 23 | 57              | 7  |
| 6.2 | Assessment of integration of transversal themes (stated in the TFF) is reported. | 82    | 29 | 79             | 29 | 50                   | 6  | 91              | 23 | 100             | 7  |
| 6.3 | OECD DAC Criteria Review is conducted and results are described.                 | 93    | 29 | 93             | 29 |                      |    | 96              | 23 | 100             | 7  |

Source: Syspons 2018

Interestingly, those interventions that scored higher on the quality of the logical model in the quality assessment generally speaking achieved a higher score in the accountability category. Furthermore, a bivariate analysis of several interventions' characteristics with respect to the quality of the information shows that the size of the budget ( $p < 0.05$ ;  $r = 0.39$ )<sup>35</sup> is positive correlated with the quality of information provided in the Annual Reports, as a larger budget enables interventions to put more resources into the writing of the Annual Report, according to the vertical case studies. Moreover, having DGD as a donor instead of the EU is positive correlated with the quality of information provided in the results products with regard to accountability ( $p < 0.01$ ;  $r = +0.49$ )<sup>36</sup>. Possible explanations for this difference are on the one hand that the results focus in the Belgian Law of Development Cooperation in accordance with the Paris Declaration was taken into account in the MoRe Results'

<sup>34</sup> In this chapter the population refers to average of the uploaded documents on PITWEB for each intervention. Hence, any intervention that either uploaded an Annual Report, a Mid-Term Review or an End-Term Review is counted as one. As one intervention did not upload any of those documents, the N=29.

<sup>35</sup> P shows the significance level of the finding. It means that the error margin of this finding is less than 5%. The correlation efficient (r) shows the size of the effect. Any effect above 0.2 can be considered large.

<sup>36</sup> P shows the significance level of the finding. It means that the error margin of this finding is less than 1%. The correlation efficient (r) shows the size of the effect. Any effect above 0.2 can be considered large.



instruments. On the other hand, the EU's focus is more on input and activity controlling in comparison to DGD, which has a strong focus on results-orientation.

These findings were confirmed in the vertical case studies, the case study in Uganda and in the in-depth interviews. Here, the large majority of the interviewees explained that they use the results-oriented monitoring system mainly for accountability purposes and that the Annual Report next to the MONOP is the main instrument for this purpose. At the same time, intervention staff often stated that they rarely receive feedback on these reports, which is having a negative effect on their motivation to write them. As such they argued that in-built feedback loops in the MoRe Results system do not take place at the organisational level at headquarters. In addition, they argued that their general impression is that the non-achievement of results should not be reported, as this causes an escalation at headquarters resulting in a number of different responses that are deemed as not helpful for going from failure to success (see chapter 4.2). This might also explain the fact that interventions seldomly receive a mark lesser than a "B" in the criteria of effectiveness and efficiency of the OECD-DAC Criteria Review. According to the in-depth interviews, in some interventions there was even an active intervention of the resident representative to increase the mark from C to B, although the intervention manager had a different opinion due the intervention manager's assessment of the intervention's performance.<sup>37</sup>

Hence, the current established results-oriented monitoring system at Enabel provides sufficient information on accountability, which could also be used for Enabel's core functions - especially for transparency purposes - at different levels. However, apart from the intervention level this information is rarely used on other organisational levels because there are limited capacities available to systematise and analyse the data provided, according to the vertical case studies and the in-depth interviews. These findings are further substantiated by the online-survey conducted among Enabel staff, in which the use of information provided by the results-oriented monitoring regarding accountability in their daily work is positively correlated with national personnel ( $p < 0.01$ ;  $r = 0.31$ ) and negatively correlated with staff from headquarters ( $p < 0.01$ ;  $r = -0.36$ ).<sup>38</sup> As a consequence, results products are usually only used by headquarters on an ad-hoc and needs basis (e.g., preparing backstopping missions or answering requests from donors) and not in a systematised way for e.g., communication or transparency purposes.

In comparison to the quality of the information provided for accountability purposes, the quality of information provided for **evidence-informed steering** is lower in the analysed results products, according to the quality assessment. In this regard, 60% ( $N = 25$ <sup>39</sup>) of the JLCB meetings, which occur in the first quarter, discuss the Annual Report (see figure 14). Thereby, it has to be stated that interventions in general do not upload the annexes of the JLCB Minutes onto PITWEB. Hence, it is possible that the Annual Report is discussed in more meetings than depicted by the quality assessment. This assumption was confirmed in the vertical case studies and the case study in Uganda. Interview partners in general explained that the relevant Annual Report is discussed in the JLCB meeting in the first quarter. However, they also explained that these discussions mainly remain on the level of inputs and activities. Strategic discussions do not often take place because firstly, the overall budget has been already decided upon in the fourth quarter of the previous year. Secondly, many intervention managers do not use their mandate e.g., to shift budget between outputs, as they state that this is not desired by headquarters. In their experience, if they make use of their mandate, they have to comply with a whole range of procedures at headquarters, which is too cumbersome for them. Hence, in general budget decisions are taken independently from information on progress towards outputs and outcomes. Thirdly, many intervention managers stated that steering occurs mainly on the

<sup>37</sup> However, the evaluation could not confirm whether the scoring of the intervention on DAC criteria in general initiates an open discussion on the performance of the intervention between director and co-director, which helps the intervention management to analyse performance and identify improvements that are required. For this aspect further research would be required, which was not within the scope of this evaluation.

<sup>38</sup> This analysis is based on a bivariate correlation to measure the relationship between the respective Enabel role and the usage of the results-oriented monitoring. The variables for the Enabel role are each constructed as dichotome variables (HQ - yes/no, Nationals - yes/no, Expats - yes/no) whereas the usage of the monitoring is measured by a mean index consisting of the statements regarding accountability shown in figure 10. Only significant relationships are mentioned here.

<sup>39</sup> 25 of the 30 interventions uploaded JLCB documents on PITWEB. Hence, the population for this indicator drops from 30 to 25.



basis of the identified risks and not on the information provided from the results-oriented monitoring system. Fourthly, partners are sometimes not interested in discussing the strategic level and thus do not engage in strategic discussions at JLCB meetings, explaining the quality assessment's value of 34% (N=25) of steering committees taking strategic decision that are based upon monitoring inputs (see figure 14).

**Figure 14 - Quality of the Provided Information on Evidence-Informed Steering in Total and by Product**

| 5   | Evidence-Oriented Steering  | Total | compulsory only | N= | JLCB Minutes |    | Annual Reports |    | Final Results Report |    |
|-----|---|-------|-----------------|----|--------------|----|----------------|----|----------------------|----|
|     |   | 53    | 61              |    | 47           | N= | 51             | N= | 75                   | N= |
| 5.1 | Conclusions for the intervention logic are drawn from the data (hypotheses are reflected based on collected evidence).              | 26    | not compulsory  | 27 |              |    | 26             | 27 |                      |    |
| 5.2 | A discussion of the annual report is part of the agenda of the Q1 JLCB-Meetings.  | 60    |                 | 25 | 60           | 25 |                |    |                      |    |
| 5.3 | The steering committee takes strategic decisions (on output and outcome-level) that are based on monitoring inputs (annual report). | 34    |                 | 25 | 36           | 25 |                |    | 50                   | 4  |
| 5.4 | Conclusions for the allocation of budgets are drawn from the data and described.  | 31    | not compulsory  | 29 | 45           | 20 | 18             | 29 |                      |    |
| 5.5 | If changes are made in the intervention logic after the baseline report, these changes are clearly reported and justified.          | 65    |                 | 13 |              |    | 55             | 11 | 100                  | 4  |
| 5.6 | Changes in the intervention logic after the baseline report are adequately integrated in the monitoring framework.                  | 67    |                 | 13 |              |    | 67             | 13 |                      |    |
| 5.7 | If indicators change after the baseline report, new baseline information is delivered.  | 63    | not compulsory  | 8  |              |    | 63             | 8  |                      |    |
| 5.8 | Conclusions for the risk assessment are drawn and the risk management strategy is adjusted.   | 79    |                 | 29 |              |    | 79             | 29 |                      |    |

Source: Syspons 2018

Nevertheless, if evidence-informed changes were made in the intervention logic after the Baseline Report, 65% (N=13<sup>40</sup>) justified and clearly reported these changes either in their Annual Reports or their Final Results Report. These changes were also integrated adequately by 67% (N=13) of the interventions according to their Annual Reports in their monitoring framework. Similarly, 63% (N=8<sup>41</sup>) of the interventions that had to change their indicators after the Baseline Report, deliver new baseline information for these indicators in their Annual Reports, although this is not a compulsory criterion in the MoRe Results Guidelines (see figure 14).

Interestingly, also here the size of the budget is positively correlated with the quality of the provided information on evidence-informed steering in the results products according to the quality assessment. The larger the budget, the better the quality of the provided information ( $p < 0.05$ ;  $r = 0.39$ ).

However, conclusions for the re-adjustment of intervention are seldomly drawn in the results products. The only exception to this is the risk assessment, for which 79% (N=29<sup>42</sup>) of the interventions draw conclusions and adjust their risk management strategy accordingly. In the other cases however, conclusions for the intervention logic are drawn in 26% (N=27<sup>43</sup>) of the interventions, and in 31% (N=26<sup>44</sup>) of the results products conclusions from the data are drawn for the allocation of the budget (see figure 14). This can, on the one hand, be explained by the fact that both these indicators are not compulsory for the interventions in the MoRe Results Guidelines. On the other hand, the vertical case studies, the case study in Uganda and the in-depth interviews demonstrate that the intervention staff interviewed did not see a purpose in documenting these lessons learned, as they do not know who will use this kind of information and for what purpose. Moreover, as they do not receive feedback on their results products, they are not motivated to provide additional information. Additionally, they highlighted that there are very few possibilities to reflect with e.g., the resident representative about possible adaptive management decisions, as these are only sparsely foreseen in the current processes. Hence, they focus more on the correct implementation of their activities than on engaging in discussions about evidence-informed steering on the output and outcome level.

<sup>40</sup> The logical model was changed in only 13 interventions after the Baseline Report. As a result, only 13 interventions can be assessed in this indicator.

<sup>41</sup> Indicators were changed in only eight interventions after the Baseline Report. As a result, only eight interventions can be assessed in this indicator.

<sup>42</sup> The conclusions for the risk assessment were rated based on the uploaded Annual Reports and the Technical and Financial File. As one intervention did not upload any documents, it was only possible to assess this indicator for 29 interventions.

<sup>43</sup> Only 27 interventions (see chapter 4.1.2) elaborated hypotheses for the logical model. As a result, this indicator could only be assessed for 27 interventions.

<sup>44</sup> This indicator was assessed on basis of the Annual Reports and the JLCB Minutes. As one intervention did not upload any documents, the assessment could only occur for 29 interventions.

In the same vein, the in-depth interviews and the vertical case studies also showed that even if this kind of information was provided in the results products, there would not be sufficient capacity at headquarters to systematise and analyse this information in order to draw conclusions for organisational learning, quality of implementation or knowledge management in general. As with information on accountability, this perception can be confirmed by the online-survey among Enabel staff as also here the use of results-oriented information in daily work is positively correlated with national personnel ( $p < 0.05$ ,  $r = 0.13$ ) and negatively correlated with staff at headquarters ( $p < 0.001$ ;  $r = -0.32$ ).

As a result, information for evidence-informed steering and possible lessons learned is often not provided in the results-oriented monitoring system. Thus, information that could inform the core organisational functions of Enabel, such as knowledge management, quality in implementation or accountability and transparency purposes, is missing. This is also criticised by the interviewed donor, who would like to have more documented information about decisions taken and about reasons why these decisions were taken in the results products.

Similarly, the interviewed donor also wants more substantial information about **learnings** in the results products. In the donor's view, the provided information about lessons learned in the results products is not sufficient to take evidence-informed decisions at its level, since it is too general and not targeted enough for its possible different purposes (e.g., informing future interventions, country or sector strategies).

This can also be confirmed by the quality assessment, in which 80% ( $N = 29^{45}$ ) of the analysed interventions document lessons learned, but the information is often not sufficiently detailed to be useful for policy advice to donors and partners or for improving implementation strategies of interventions (58%;  $N = 27^{46}$ ) (see figure 15). The documented lessons learned are thereby often not contextualised and do not include management suggestions.

**Figure 15 - Quality of the Provided Information on Lessons Learned in Total and by Product**

|   | Total |    | Annual Reports |    | Final Results Report |    | Mid-Term Review |    | End-Term Review |    |
|---|-------|----|----------------|----|----------------------|----|-----------------|----|-----------------|----|
| Learning  | 44    | N= | 35             | N= | 64                   | N= | 53              | N= | 74              | N= |
| Lessons learned are documented.   | 80    | 29 | 86             | 29 | 100                  | 6  | 74              | 23 | 100             | 7  |
| If lessons learned are documented: lessons learned are sufficiently detailed to be useful for policy advice to donors and partners or for improving implementation strategies of interventions. | 58    | 27 | 38             | 26 | 67                   | 6  | 84              | 19 | 100             | 7  |
| OECD DAC Criteria Review includes advice for future interventions.  | 13    | 29 | 4              | 28 | 20                   | 5  | 14              | 21 | 43              | 7  |
| Reports include advice for steering on sector level.  | 48    | 29 | 38             | 29 | 83                   | 6  | 57              | 23 | 57              | 7  |
| Reports include advice for steering on country level.   | 23    | 29 | 10             | 29 | 50                   | 6  | 35              | 23 | 71              | 7  |

Source: Syspons 2018

The vertical case studies, the case study in Uganda and the in-depth interviews hereby showed that also in this dimension, the majority of intervention staff is not aware of the purpose of documenting lessons learned beyond their immediate intervention level. Similarly to the observations made regarding evidence-informed steering (see above), intervention staff in general do not know for what purpose, why and for whom they should document lessons learned. As a result, they use lessons learned for their intervention, but do not document them in the results reports. Furthermore, the majority views the results products not as the right place to document lessons learned but sees capitalisation processes as the means to document lessons learned and initiate learning in the organisation.

Not surprisingly, the quality assessment thus highlights that 4% ( $N = 28$ ) of the Annual Reports and 20% ( $N = 5$ ) of the analysed Final Results Reports include advice for future interventions in their OECD-DAC Criteria Review. In comparison, Mid-Term Reviews and End-Term Reviews encompass such advice in 14% ( $N = 21$ ) and 43% ( $N = 7$ ) of the analysed documents (see figure 15). Overall, 13% ( $N = 29$ ) of the interventions include advice for future interventions in their OECD-DAC Criteria Review.

<sup>45</sup> As one intervention did not upload any results products onto PITWEB, the indicator could only be assessed for 29 interventions.

<sup>46</sup> As only 80% of the 29 interventions documented lessons learned, this indicator could only be assessed for 27 interventions.

Moreover, 23% (N=29) of the results products include advice for steering on country level in their results products and 48% (N=29) include advice for steering on sector level (see figure 15).

In line with the observation made for information provided on accountability and evidence-informed steering, the implemented online-survey among Enabel staff also demonstrates here that the use of lessons learned in daily work provided by the results-oriented monitoring system is positively correlated with national personnel ( $p < 0.01$ ;  $r = 0.22$ ) and negatively correlated with staff at headquarters ( $p < 0.01$ ;  $r = -0.28$ ). This can also be explained in this case because of the insufficient capacities at headquarters to systematise and analyse lessons learned according to the vertical case studies and the in-depth interviews. Hence, currently the results-oriented monitoring system is providing limited information on lessons learned. However, they could also not be taken up at the moment on other organisational levels - due to missing capacities - to support Enabel's core organisational functions such knowledge management, organisational learning or providing quality in implementation.

As a result, these results demonstrate that the current established results-oriented monitoring system at Enabel provides sufficient information on accountability, which could also be used for Enabel's core functions - especially for transparency purposes - at different levels. However, apart from the intervention level this information is rarely used on other organisational levels because there are limited capacities available to systematise and analyse the provided data. In contrast, information for evidence-informed steering and possible lessons learned is often not provided in the results-oriented monitoring system. Thus, information regarding all three functions is either not used systematically (accountability function) or missing (steering and learning function) and thus currently is not informing the core organisational functions of Enabel, such as knowledge management, quality in implementation or accountability and transparency purposes.

#### 4.1.6 Assessment of the Quality and Use of Results Information at Enabel

Drawing conclusions from this analysis, the evaluation team comes to a mixed assessment regarding the quality and use of results-information at Enabel and its usage for core organisational functions. Looking at information that is produced for **accountability** and transparency within the results-oriented monitoring system as well as for the core organisational functions of Enabel, it can be concluded that valuable information is available within the system. However, its quality is slightly diminished by the general quality of the developed indicators and a general absence of disaggregation of data e.g., according to gender. Furthermore, data for transversal themes is collected in different degrees of quality as capacities are missing and quality assurance is decentralised at Enabel.

Nevertheless, the results-oriented monitoring captures data concerning achieved values very well and also outlines the costs per output at intervention level. The former is specifically the case when the documented logical models of the intervention are of high quality. At the same time, however, this data is used mainly at the intervention level and is not systematised, analysed or used on other organisational levels of Enabel. This is due to limited capacities as well as undefined roles and responsibilities on "how" and "for what purpose" results-oriented information should be used on other organisational levels at Enabel. Hence, available data is not used for the core function of transparency and accountability on an overall organisational level.

Similarly, information on **evidence-informed steering** is mainly used at the intervention level. Beyond the intervention level it is however rarely used in the assessment of the evaluation team. Also, here undefined roles and responsibilities as well as limited capacities at the organisational level to systematise, analyse and use existing information are important explanatory factors. More importantly, however, there also exists a reluctance at the intervention level to perform adaptive management beyond the activity level due to cumbersome processes - which will be initiated at headquarter level - once adaptive management decisions have been taken.

At the same time there is room for improvement in terms of the quality of information generated by the results-oriented information system in this dimension. Currently, interventions do not consistently document their elaborated change hypotheses and also do not clearly elaborate their logical model

regarding the steps that have to be taken from output to outcome level. The latter is enforced by an inconsistent understanding of the usage of results-oriented information for steering and learning purposes among Enabel staff. This concerns in particular the usage of information generated for the output-outcome level. Furthermore, intervention staff experience difficulties in conceptualising and setting up data collection methods for the proposed monitoring systems on the ground due to missing internal and external support structures. Hence, adaptive management systems in form of monitoring systems and the collected data might not have the necessary quality to enable evidence-informed steering.

As a result of these findings, the evaluation team comes to the conclusion that information for evidence-informed steering and possible lessons learned is often not provided in the results-oriented monitoring system. Moreover, mechanisms for an uptake of this information are usually not in place at Enabel. Thus, the system is currently not informing the core organisational functions of Enabel such as knowledge management, quality in implementation or accountability and transparency purposes.

The same picture emerges concerning the results-oriented monitoring system's function of **learning**. Although information is documented in form of lessons learned in the results-oriented monitoring system, this information is often not sufficiently detailed to be useful for policy advice to donors and partners or for improving implementation strategies of interventions. This is due to the fact that there is insufficient understanding of why, for what purpose and for whom lessons learned should be documented. As a result, lessons learned are solely used at intervention level and are not documented in results products, but rather capitalised on in other processes such as backstopping or capitalisation processes. Furthermore, capacities are missing at other organisational levels to systematically use this information. As a consequence, learning takes place in an unsystematic way, ad-hoc and on a needs basis within the organisation.

## 4.2 Organisational Factors Influencing the Quality and Use of Results Information at Enabel

Literature on results-oriented management observes that the introduction of results-oriented management in organisations is widespread, but at the same time often has limited success. In this regard, the development and maintenance of an effective results-oriented culture in an organisation is often seen as key to building an adaptive management culture. The literature thereby points out that there needs to be a climate in the organisation where evidence on performance is valued, sought out and seen as essential to good management. Without such a climate, non-favourable attitudes can dominate the adherence towards the established systems and processes (e.g. Moynihan, 2005; UN Habitat, 2017; Mayne, 2008).

For this purpose, the academic debate has identified the following organisational factors that play a key role in fostering or hindering an effective implementation of results-oriented management in organisations (evaluation question 3) (e.g. Mayne, 2007; Binnendijk, 2001; Aarons et al., 2014)<sup>47</sup>:

- Leadership
- Learning culture
- Organisational incentives
- Supportive organisational structures and processes

Based upon these general insights, this evaluation analyses to what extent these factors have an influence on the quality and use of results-oriented information at Enabel. The analysis thereby focuses on the identification of organisational factors to understand what possible actions have to be taken in the future to enable more effective results-oriented and adaptive management at Enabel in order to improve Enabel's core organisational functions such as knowledge management,

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<sup>47</sup> An in-depth literature review of these factors can be found in the inception report.

organisational learning, quality in implementation as well as its accountability and transparency towards its relevant stakeholders (evaluation question 3 and 4).

To identify the relevant organisational factors influencing the quality and use of results information at Enabel, an online-survey, in-depth interviews, three vertical case studies and a case study in Uganda were carried out (see chapter 3 and 4). Pooled together, these different sources allow for the drawing of valid and specific conclusions on organisational factors that influence the quality and use of results-oriented information at Enabel.

#### 4.2.1 Leadership

In the literature leadership is considered as one of the key factors that either positively or negatively influences results-orientation in an organisation (e.g. Mayne, 2007; Aarons et al., 2014). Following Weiner's organisational theory of innovation, leaders are essential for enabling change and innovation, and for developing the preconditions (i.e., structures and plans) to enable adaptive management processes, organisational learning and results-oriented knowledge management (Weiner 2009). Relying on existing literature and their own research, Aarons et al. (2015) identify five aspects of leadership for a successful implementation of results-oriented management: leadership needs to be proactive, knowledgeable, supportive and perseverant in the implementation process as well as apply itself to the results-oriented management process (evaluation question 3).

Also, at Enabel support by leadership<sup>48</sup> is needed to foster a results-oriented culture and adaptive management to effectively implement a results-oriented management system that supports Enabel's core organisational functions such as knowledge management, organisational learning as well as transparency and accountability towards the relevant stakeholders (evaluation question 4).

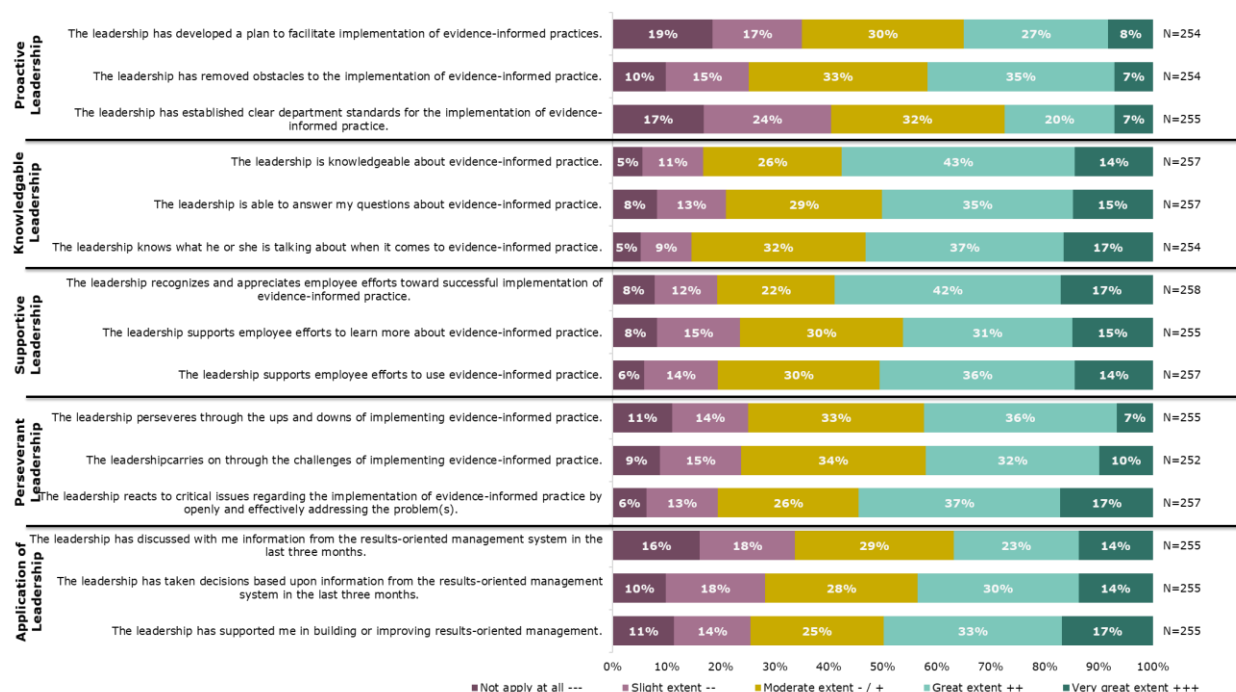
When looking at the online-survey results, Enabel staff perceives leadership as mainly knowledgeable, supportive and perseverant with regard to results-oriented management in the organisation. In this regard, on average 50% to 57% of the respondents view their leadership either to a great or very great extent knowledgeable about results-oriented management. At the same time around 20% of Enabel staff on average do not share this perception, as they either state that the leadership in their perception is not knowledgeable or only to a slight extent knowledgeable about results-oriented management (see figure 16).

Roughly the same division in percentage can be seen regarding the perception of supportive and perseverant leadership, meaning that leadership on the one hand supports efforts to successfully implement and learn about results-oriented management as well as to use results-oriented information. On the other hand, it is seen to persevere through the ups and downs and carrying through the challenges of implementing results-oriented management as well as reacting effectively to critical issues in the implementation of results-oriented management (see figure 16).

In contrast, leadership is seen as less proactive in applying itself to the implementation of results-oriented management by the responding Enabel staff. Concerning the proactivity of leadership, between 25% and 41% of the respondents either perceive the leadership as not at all proactive or proactive to a slight extent regarding the development of plans and standards to implement results-oriented management as well as to remove obstacles to its implementation. Also regarding the leadership's application, 25% to 34% views the leadership as less involved in the implementation of results-oriented management at Enabel; e.g., in terms of discussing information provided or taking decisions based upon provided results-oriented information (see figure 16).

<sup>48</sup> For the purpose of this evaluation the term "leadership" was not only restricted to the direct superior of an employee, but also entailed leadership within teams and initiatives taken by employees.

**Figure 16 - Perception of Leadership Supporting Results-Oriented Management at Enabel**



Source: Syspons 2018 Online-Survey

These results of the online-survey were confirmed by the in-depth interviews and the vertical case studies. Here, the majority of interviewees stated that there is a high level of knowledge among the leadership regarding results-based management and that the corresponding processes are accordingly supported by the leadership. However, at the same time, interviewees explained that there are in general no established processes on any organisational level at Enabel in which a dialogue could take place between the leadership and the operational staff to analyse results-oriented information and to take evidence-informed decisions. Moreover, it was stated that leadership usually takes decisions based not on the information provided by the results-oriented management system, but on the basis of their experience, anecdotal evidence or for political reasons. Furthermore, leadership also often does not have the capacity to deal with results-oriented information, as it is caught up in other tasks. This in turn proves frustrating to the operational staff, which collects results-oriented information that is in most cases not used.

However, when looking at the perceived influence of leadership on the use of results-oriented information at Enabel, it becomes obvious that current leadership efforts regarding results-oriented management are positively correlated with the use of results-information among national personnel ( $p < 0.01$ ;  $r = 0.39$ )<sup>49</sup>. In comparison, leadership negatively correlated with the use of results-information among expats ( $p < 0.01$ ;  $r = -0.19$ ) and headquarter personnel ( $p < 0.01$ ;  $r = -0.27$ ), although the effect among expat personnel is relatively small (see figure 17).

<sup>49</sup> This analysis is based on a bivariate correlation to measure the relationship between the respective Enabel role and the support of leadership. The variables for the Enabel role are each constructed as dichotome variables (HQ - yes/no, Nationals - yes/no, Expats - yes/no) whereas the support of leadership is measured by a mean index consisting of the statements regarding leadership shown in figure 16. Only significant relationships are mentioned here.



**Figure 17 - Perceived Influence of Leadership on the Use of Results-Oriented Information**

| Independent Variable   | Dependent Variables              |                                      |  |                                       |  |  |
|------------------------|----------------------------------|--------------------------------------|--|---------------------------------------|--|--|
|                        | Leadership: Total.<br>Mean Index | Leadership: Proactive.<br>Mean Index | Leadership: Knowledgeable.<br>Mean Index | Leadership: Supportive.<br>Mean Index | Leadership: Perseverant.<br>Mean Index | Leadership: Application.<br>Mean Index |
| Enabel Role: Expats    | -0,19                            | -0,22                                | -0,19                                    | -0,15                                 | -0,14                                  | -0,22                                  |
| Enabel Role: Nationals | 0,39                             | 0,38                                 | 0,31                                     | 0,34                                  | 0,31                                   | 0,43                                   |
| Enabel Role: HQ        | -0,27                            | -0,23                                | -0,17                                    | -0,25                                 | -0,24                                  | -0,28                                  |
|                        | Red                              | 0,01 significance level              |  |                                       |  |  |
|                        | Black                            | 0,05 significance level              |  |                                       |  |  |

Source: Syspons 2018 Online-Survey

The vertical case studies and the case study in Uganda thereby illuminated that national personnel in general feels not only supported but also proactively assisted by their intervention manager and team to implement and use results-oriented information on the intervention level. Interviewed expats and headquarter personnel, however, stated that they do not perceive the same support from their leadership, meaning thereby either headquarters or the resident representative (in the case of the expats) or leadership at headquarters (in the case of headquarter staff).

As a result, these results reinforce the findings presented in chapter 4.1 in which the use of results-oriented information was mainly seen at the intervention level, while at other organisational levels at Enabel, results-information was rarely used due to e.g., limited capacities (see chapter 4.1). Hence, this missing use of information at these organisational levels can also be contributed to a perceived limited support by leadership at these levels; simultaneously, underscoring the fact that results-oriented information at these levels is currently rarely used to inform the core organisational functions of Enabel such as knowledge management, quality in implementation or organisational learning.

#### 4.2.2 Learning Culture

All organisations have an existing culture that conveys a sense of identity to employees and provides unwritten und often unspoken guidelines on how to get along in the organisation (Kim, 2002). To foster a learning culture in an organisation is thus one of the main drivers behind the effective implementation of a results-oriented management system, according to the academic debate (evaluation question 3) (e.g., Moynihan, 2005; UN Habitat, 2017). However, according to Moynihan (2005, p.211), it is a widespread false assumption that once performance is being measured, decision-making processes will automatically take such information into account. As literature on organisational learning shows, besides collecting data more steps are needed in order for the information to be used (e.g., Meier, 2003; Winkler & Fyffe, 2016). To establish a learning culture in an organisation, the implementation of new ideas has to be encouraged, procedures have to be quickly adapted to changing circumstances and reflective thinking about conventional approaches has to be encouraged (Winkler & Fyffe, 2016).

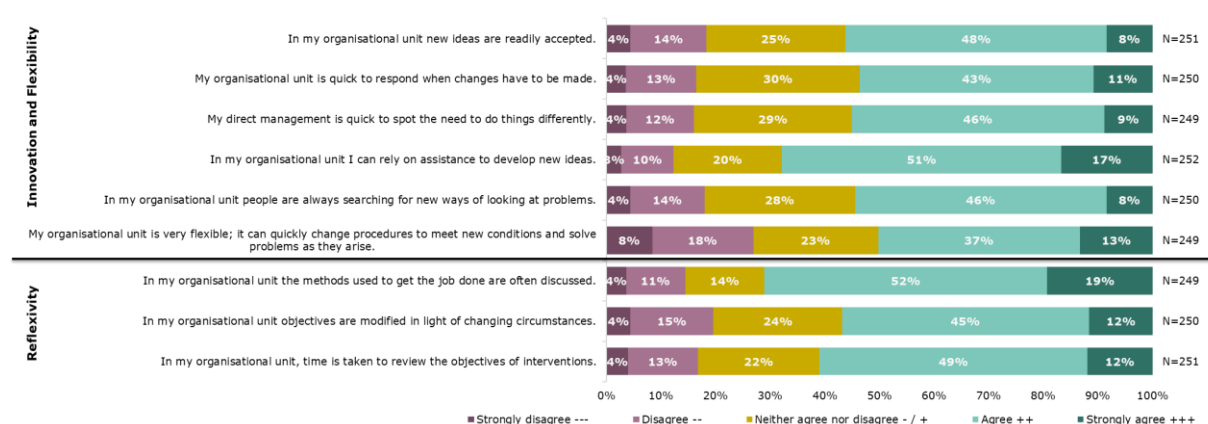
For Enabel, this means that its core function of knowledge management, organisational learning, quality in implementation as well as accountability and transparency have to be supported by a learning culture that continuously reflects Enabel's approaches to achieve its objectives (evaluation question 4). Therefore, results-oriented management plays a crucial role, as it provides the means for a learning culture to be reflective and come up with new ideas in light of changing circumstances and ultimately enables Enabel to practice adaptive management.

The online-survey hereby shows that the organisational culture at Enabel is perceived as a learning culture that fosters innovation, flexibility and reflexivity. For example, 68% of the respondents either strongly agree or agree that they can rely on assistance in their organisational unit when developing new ideas, while 56% either strongly agree or agree that new ideas are readily accepted. Moreover, 54% either strongly agree or agree that their organisational unit is quick to respond when changes have to be made. Furthermore, regarding reflexivity 71% either agree or strongly agree that methods



to get the job done are often discussed in their organisational unit, while 61% strongly agree or agree that time is taken to review the objectives of an intervention (see figure 18).

**Figure 18 - Perception of the Learning Culture at Enabel**



Source: Syspons 2018 Online-Survey

In general, these results were also confirmed in the vertical case studies, the case study in Uganda and the in-depth interviews, in which the interviewees attested to Enabel's organisational culture as one that fosters reflective thinking and learning. These traits were, however, not seen as a systematic feature of Enabel's culture. They were perceived to exist more within the individual sphere of influence where there is the freedom to try out new ideas in interventions or proposals as well as to think about most appropriate approaches to reach the respective objective. Innovative thinking and reflexivity are thus seen as emanating from the individual and not from a systematic use and learning from collected results-oriented information from the interventions. The latter is also inhibited by missing work time to systematically learn from result-oriented information.

This can also be seen from the online-survey results, in which the perceived learning culture neither has a positive or negative correlation on the use of results-oriented information ( $p > 0.05$ ). The only exception being the Operation Department, in which a negative correlation of the perceived organisational culture in terms of reflexivity regarding the use of results-oriented information can be observed ( $p < 0.05$ ;  $r = -0.36$ ). This correlation could however be explained in the in-depth interviews by the fact that the Operation Department by its nature has to ensure compliance with the existing processes and regulations of Enabel. Thus, a continuous reflection about approaches or methods in its daily work is limited by its existing job description.

Furthermore, it became obvious from the vertical case studies and in-depth interviews that Enabel currently exhibits an organisational culture in which obstacles or mistakes are not seen as favourable according to the interviewees. In this regard, it was explained that encountered challenges or failures<sup>50</sup> are not viewed positively at Enabel as they either result in more work processes or are not wanted due to perceived negative effects on the accountability of Enabel towards its relevant stakeholders. As a result, challenges and the resulting lessons learned are often discussed in sub-groups at Enabel and are not reported upstream where they could be systematised and used as a basis for evidence-informed decision making, if the needed capacities existed (see chapter 4.1)

Consequently, Enabel's organisational culture can be considered as a learning culture in which learning occurs in various different places without being systematised at higher organisational levels. Hence, the use of results-oriented information is centred on the individual and thus not informing Enabel's core function (e.g., knowledge management or organisational learning) on a systematic basis.

<sup>50</sup> For the purpose of this evaluation failure is defined as not reaching one's intended results in an intervention due to not only individual performance but also because of contextual factors.

### 4.2.3 Organisational Incentives

The literature shows that having the right formal and informal organisational incentives for individuals and units in place is essential for implementing an effective results-oriented management system (e.g. Mayne, 2008; Hatton & Schroeder, 2007). The organisational incentives should thereby aim at motivating individuals and units to deliberately plan for results and then monitor and analyse what results are actually being achieved in order to adjust activities and outputs to perform better. The bottom line for results-oriented management hereby should be evidence-informed learning and should be awarded accordingly (evaluation question 3). This contrasts with approaches that reward only meeting objectives (Mayne, 2008).

However, literature also points out that in this context the intrinsic motivation of staff and non-monetary rewards should not be underestimated. In addition, various non-monetary extrinsic rewards for achieving the results should be taken into account (e.g., praise, titles, autonomy and personal recognition) when designing results-oriented monitoring systems (Swiss, 2005; IFAD, 2002).

For Enabel's results-oriented monitoring system, this signifies that on the one hand staff has to be sufficiently intrinsically-motivated to implement results-oriented management and use results-oriented information. On the other hand, there also have to be sufficient extrinsic motivations incorporated into organisational processes and structures at Enabel to facilitate the implementation and use of results-oriented management. Only then will Enabel staff implement results-oriented management and adaptive management processes, which in turn can inform Enabel's organisational core function such as knowledge management or quality in implementation (evaluation question 4).

Analysing the existing **motivation among Enabel field staff to implement results-oriented management**, the online-survey demonstrates that there is a high intrinsic and extrinsic motivation (external regulation<sup>51</sup>) to implement results-oriented management. 92% of the respondents thereby either agree or strongly agree that the implementation of results-oriented-management is interesting for them, while 60% also view the implementation as fun. At the same time, 85% agree or strongly agree that results-oriented management is something they have to do and 83% agree or strongly agree that it is something they are supposed to do, hinting also at a strong extrinsic motivation (see figure 18).

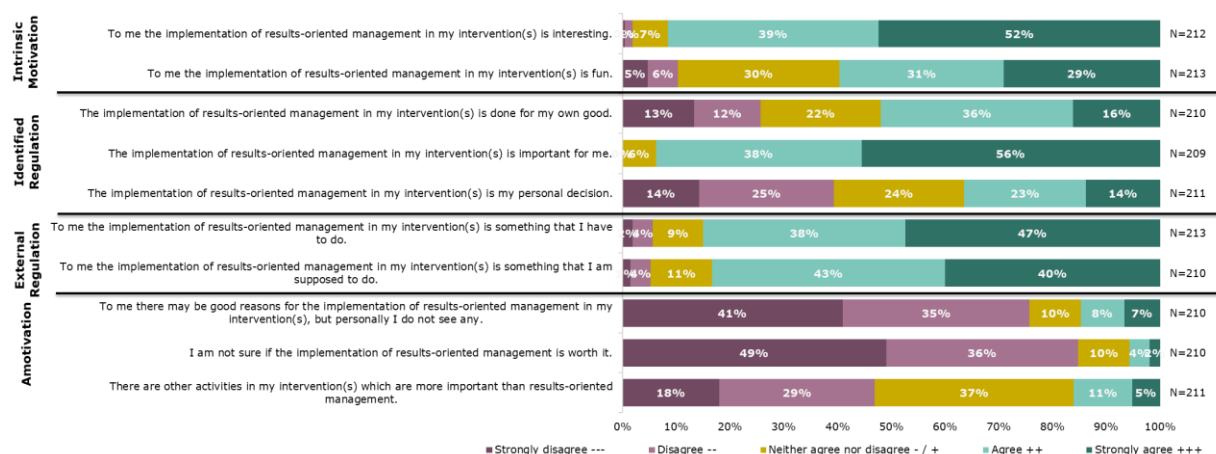
Furthermore, a-motivational factors are seemingly non-existent, as 76% either strongly disagree or disagree with the statement that there are no good reasons to implement results-oriented management, while 85% strongly disagree or disagree that the implementation of results-oriented management is not worth it. In addition, the majority does not see many other activities as more important than results-oriented management in their intervention (see figure 19). This is in line with the findings from the online-survey in which 86% (N=201) view results-oriented management among their top five priorities (see also chapter 4.1.2).

Interestingly however, a mixed picture emerges regarding the identified regulation<sup>52</sup> among Enabel field staff. While 94% either strongly agree or agree that the implementation of results-oriented management is important to them, only 52% agree that they are doing this for their own good. Moreover, 37% strongly agree or agree that it is their personal decision to implement results-oriented monitoring in their intervention (see figure 19). Particularly, the item about implementing results-oriented management for one's own good hints at the fact that the implementation of results-oriented management is not yet done to e.g., further one's own career development.

<sup>51</sup> External regulation is the technical term used in the field of psychology for extrinsic motivation.

<sup>52</sup> Regulation through identification is a more autonomously driven form of extrinsic regulation. It involves consciously valuing a goal or regulation so that said action is accepted as personally important.

**Figure 19 - Motivation to Implement Results-Oriented Management at Enabel<sup>53</sup>**



Source: Syspons 2018 Online-Survey

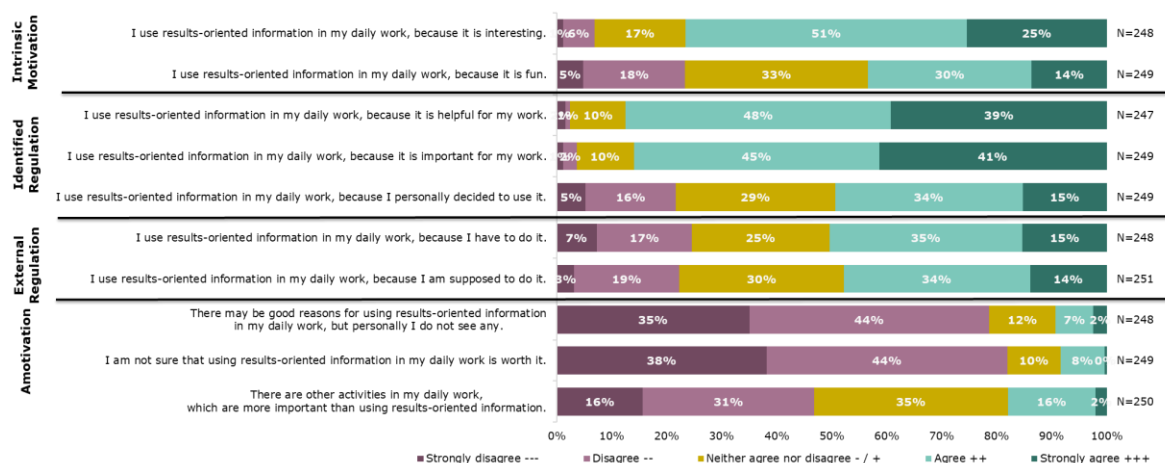
In this regard, the in-depth interviews and the vertical case studies highlighted that there are currently no incentive structures in place in human resource processes (e.g., objectives in annual appraisal talks) that would incentivise the implementation of results-oriented management. Corresponding to this, it was also stated that most Enabel field staff have temporary work contracts disincentivising the implementation and the provision of results-oriented information as a contribution to the organisation, as such might not be worth it in case the work contract does not get renewed. This also contributes to portraying one's intervention in a good light and not reporting challenges or obstacles, according to the persons interviewed (see also chapter 4.2.2). Interestingly, the workload for the implementation of results-oriented management was not seen as a major challenge in the vertical case studies and the case study in Uganda; the only exception being the actual data collection for the respective results-oriented monitoring system. Furthermore, all interviewed persons in the vertical case studies and in-depth interviews displayed a high intrinsic motivation to implement results-oriented management.

In comparison, when looking at the **motivation of Enabel staff to use results-oriented information** in their daily work a slightly different picture emerges from the online-survey results. Here 76% of the respondents either strongly agree or agree that the use of results information is interesting for them, while 44% state that it is fun. They thereby depict in comparison to the implementation of results-oriented management a slightly lower intrinsic motivation. However, at the same time they demonstrate a higher identified regulation as 87% and respectively 86% strongly agree or agree that the use of results-oriented information is important and useful for their daily work. Furthermore, 49% either strongly agree or agree that it is their personal decision to use results-oriented information (see figure 20).

Also, here a-motivational factors do not play a significant role, as 79% and 82% either disagree strongly or disagree that there are no good reasons or that it is not worth it to use results-oriented information in their daily work. Additionally, the majority does not see many other activities as more important than the use of results-oriented information in their daily work (see figure 20).

<sup>53</sup> This question was only asked to Enabel staff working in the field as they are the ones actually implementing results-oriented monitoring at Enabel.

**Figure 20 - Motivation to Use Results-Oriented Information at Enabel**



Source: Syspons 2018 Online-Survey

In contrast, the respondents in comparison to the implementation of results-oriented management perceive a lower extrinsic motivation (external regulation) to use results-oriented information in their daily work. In this regard, 50% and respectively 48% strongly agree or agree that they have to or are supposed to use results-oriented information in their daily work (see figure 20).

In the vertical case studies and in-depth interviews, it became obvious that there is currently little motivation to pass results-oriented information upstream as there is no feedback on the results products (see also chapter 4.1). Furthermore, knowledge management is not perceived as one of the tasks prioritised by headquarters, in particular in the Expertise Department. In addition, it is assumed mainly by Enabel field staff that there is a disincentive at the level of leadership and headquarters to use results information as results-information clearly identifies the challenges one has to deal with and might invite criticism from the political arena and the general public. This can also be seen in the survey results, in which staff at headquarters is significantly less motivated to use results-oriented information in their daily work in comparison to other staff at Enabel ( $p < 0.01$ ;  $r = -0,24$ )<sup>54</sup>. Furthermore, the a-motivation to use results-oriented information is significantly higher ( $p < 0.01$ ;  $r = 0.27$ ) (see figure 21).

**Figure 21 - Influence of Intrinsic and Extrinsic Motivation of Enabel staff at Headquarters on the Use of Results-Oriented Information**

| Independent Variable | Motivation Usage Results-Oriented Information |  |   |                                       |                            |
|----------------------|---|--|---|---------------------------------------|----------------------------|
|                      | Dependent Variables                           |  |   |                                       |                            |
|                      | Total.<br>Mean Index                          | Intrinsic<br>Motivation.<br>Mean Index | Identified<br>Regulation.<br>Mean Index | External<br>Regulation.<br>Mean Index | Amotivation.<br>Mean Index |
| Enabel Role:<br>HQ   | -0,24   | -0,20                                  | -0,26                                   | -0,31                                 | 0,27                       |
|                      | Red   | 0,01 significance level                |   |                                       |                            |
|                      | Black   | 0,05 significance level                |   |                                       |                            |

Source: Syspons 2018 Online-Survey

<sup>54</sup> This analysis is based on a bivariate correlation to measure the relationship between the respective Enabel role and the motivation of staff. The variables for the Enabel role are each constructed as dichotome variables (HQ - yes/no, Nationals - yes/no, Expats - yes/no) whereas the motivation is measured by a mean index consisting of the statements regarding motivation shown in figure 21. Only significant relationships are mentioned here.

Moreover, the vertical case studies and the in-depth interviews highlighted that the current perceived workload particularly at headquarters functions as a disincentive to the use of results-oriented information. Especially the Expertise Department was seen as overburdened with writing proposals, which did not allow it to actually systematise and analyse results-information for the usage in other core organisational processes of Enabel (see also chapter 4.1). Furthermore, it became apparent also here that there are no built-in incentives in the current human resource processes to facilitate the use of results-oriented information as is the case with the implementation of results-oriented management (see above).

The case study in Uganda finally showed that there are currently also not many incentives on the side of the partner to push for the use of results-oriented information at intervention or country level, as often this information is not discussed in the steering committees (see chapter 4.1).

As a result, the staff of Enabel is highly intrinsically-motivated to implement results-oriented management and to use results-oriented information to inform the core organisational processes of Enabel, such as knowledge management or quality in implementation. At the same time however, there exist disincentives or not enough incentive structures to extrinsically motivate the implementation of results-oriented management and the use of results-oriented information. Hereby, a distinction has to be made between the internal and external regulation of the respondents. While there is a high external regulation to implement results-oriented management among the Enabel field staff, not everyone has accepted it as important due to the existing disincentives. Concerning the use of results-oriented information, the identified regulation is comparatively higher, but here the external regulation is not sufficiently in place resulting - in combination with the existing disincentives - in a lower use of results-oriented information, particularly at headquarters.

#### **4.2.4 Supportive Organisational Structures and Processes**

According to the literature, a results-oriented management system needs a thoroughly described umbrella structure with a defined purpose as well as defined processes, roles and responsibilities. (e.g. Zwart, 2017; Raimondo, 2016) (evaluation question 3). At Enabel, the purpose as well as the structures and the general processes for the results-oriented management system are described in detail in the MoRe Results Guidelines (see chapter 3). Furthermore, detailed process descriptions exists in which the roles and responsibilities of each organisational unit and position are defined (Enabel 2013a, 2013b and 2013c). Therefore, Enabel possesses in theory a well-developed results-oriented monitoring system, which was also acknowledged by the certification process undertaken by SEO (Enabel, 2017a) (evaluation question 4).

In this regard, the vertical case studies, the online-survey and the in-depth interviews showed that the established processes, roles and responsibilities within the established results-oriented monitoring system are in general clear to the interviewees on the operational level. Hence, the processes are implemented accordingly. However, on higher management levels the perception of roles and responsibilities for the use of results-oriented information are less clear and thus results-oriented information is rarely used on the organisational level for the core organisational functions of Enabel, such as knowledge management or quality in implementation.

At the same time the purpose of the results-oriented monitoring system - particularly with regard to the function of learning and steering - are not clear to everyone. As a result, not all relevant information is documented in the results products and passed on upstream to facilitate knowledge management, organisational learning or quality in implementation (see chapter 4.1). Furthermore, capacities at headquarter level - especially in the Expertise Department - to aggregate, systematise and analysis results-oriented information are limited, resulting in the disuse of results-information on many occasions. Additionally, limited capacities with regard to transversal themes also result in lower quality of the results products and the less frequent use of results-oriented information (see chapter 4.1).

In addition, the established decentralised responsibility of quality assurance for results products leads to a divergent quality among the results products, according to the vertical case studies and in-depth

interviews. This also has been criticised by the interviewed donor, who expects a more homogenous quality in the results products. In this regard, internal M&E support in form of e.g., a M&E officer in an intervention or external support for M&E are not negatively or positively correlated with the quality of results products, according to the quality assessment.

Finally, referring to the analysis conducted, the current results-oriented monitoring system is not supported by an IT solution with the exception of PITWEB as a data management system. As a consequence, information is stored in Microsoft Office documents which makes it more difficult to analyse and aggregate data at different levels of the organisation. However, Enabel is currently piloting a digital results-oriented monitoring software named PILOT, which will be rolled out in 2019. This software possesses the potential to replace most of the former Microsoft Office documents and to enable a swifter and easier analysis of data on different levels of the organisation.

Therefore, the established organisational support structures and processes were in general well developed to implement the results-oriented monitoring system that in turn could inform the core organisational functions of Enabel. These supportive organisational structures and processes were however in practice jeopardised by limited capacities to systematise and analyse results-oriented information, and a non-transparent communication about the purpose of the learning and steering function of the results-oriented monitoring system. In addition, the past IT infrastructure made it more difficult to aggregate data and the decentralised responsibility for the quality assurance resulted in divergent levels of quality in the results products. As a consequence, despite the well-established processes and clear established roles and responsibilities, the system had to deal with a variety of different information and quality of information, which made the use of results-oriented information for Enabel's organisational core function more difficult.

#### **4.2.5 Assessment of Organisational Factors Influencing the Quality and Use of Results Information at Enabel**

On the basis of this analysis, the evaluation team concludes that Enabel in general possesses a learning culture as well as highly intrinsically-motivated employees to implement results-oriented management and adaptive management. This can be seen by the perceived readiness of the organisation to accept new ideas and new methods in its daily work processes as well as to continuously reflect on its approaches to achieve its objectives. At the same time, leadership is seen in general as knowledgeable and supportive of results-oriented management processes and the Enabel staff displays a high intrinsic motivation to implement results-oriented management as well as to use results-oriented management in their daily work.

However, there also exist a number of factors at Enabel which inhibit the effective implementation of results-oriented management and the use of results-oriented information for the core organisational function of Enabel. In this regard, the evaluation team judges in particular the missing proactive support of leadership as well as limited incentive structures as an obstacle to the implementation of results-oriented management and the use of results-information at Enabel. With regard to the former, leadership is perceived by the majority of Enabel staff as not engaging actively in discussions and reflections of results-oriented information and their usage for Enabel's core organisational functions. Concerning the latter, missing incentive structures, including feedback on results products, set objectives about learning in human resource processes, a perceived reluctance of using results-oriented information at headquarters or limited capacities (e.g., in the Expertise Department) to deal with results-oriented information, inhibit a more effective implementation of results-oriented management and the use of results-oriented information. Moreover, a perceived organisational culture, in which failures<sup>55</sup> are viewed as leading to more work or negative consequences in the reputation of Enabel, also does not facilitate an adaptive and results-oriented management culture in which learning is seen as a priority.

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<sup>55</sup> For the purpose of this evaluation failure is defined as not reaching one's intended results in an intervention due to not only individual performance but also because of contextual factors.

Nevertheless, Enabel in theory possesses well-developed organisational support processes and structures for the implementation of results-oriented management and the use of results-oriented information, in the opinion of the evaluation team. However, these processes and structures are in practice on the one hand jeopardised by the above-mentioned factors. On the other hand, they are also challenged by the lack of a shared understanding among Enabel staff regarding the results-oriented management system's purposes of learning and steering. This is further compounded by the broad scope of the results products, which most of the time try to address all three functions (learning, steering and accountability) of the results-oriented management system. In addition, the decentralised responsibility to quality assure results products leads to a divergent quality in the provided results-oriented information, making it more difficult for the system to inform Enabel's core organisational functions such as knowledge management or quality in implementation. Moreover, the current IT system for the results-oriented management system also complicates the systematisation and usage of results-oriented information. This however will probably be solved by the roll-out of the newly developed digital results-oriented management system PILOT in the future.



## 5 Conclusions

Based on this analysis, the evaluation team concludes that Enabel possesses in theory a well-developed and thought-through results-oriented monitoring system. The results-oriented monitoring system is thereby described comprehensively and detailed in established guidelines. Furthermore, the processes for results-oriented management are well described and responsibilities and roles are clearly defined. In addition, it covers all essential elements of a results-oriented monitoring system starting with the baseline process via Mid-Term Reviews to Final Results Reports and End-Term Reviews.

However, the implementation of the results-oriented monitoring system currently experiences several challenges at Enabel. In this regard, it can be concluded by the evaluation team that the results-oriented management system often does not deliver the needed quality and/ or quantity of results-oriented information to facilitate the results-oriented management system's functions of accountability, learning and steering (evaluation question 1). As a result, the current results-oriented monitoring system at Enabel usually does not contribute to the core organisational functions of Enabel such as knowledge management, organisational learning or quality in implementation.

The challenges in the implementation of the results-oriented management system at Enabel can be attributed to several factors that inhibit the smooth operation of the results-oriented management system and the systematic use of results-oriented information at Enabel; thus, leading to a weak linkage to the core organisational functions of Enabel (evaluation question 2 and 3). In this regard, it could be observed that the existing organisational culture mainly promotes learning within the individual sphere of influence and not on a systematic level. In addition, a perceived organisational culture in which failures and challenges are viewed as leading to more work or negative consequences in the reputation of Enabel does not facilitate an adaptive and results-oriented management culture in which learning is seen as a priority. This in turn also reduces the overall quality of information reported in the results products. This is compounded by missing capacities at the level of headquarters to systematise and analyse results-oriented information in a systematic way as well as missing external incentive structures to facilitate particularly the use of results-oriented information. With regard to the latter, in particular missing feedback on results products, non-existent objectives about learning in human resource processes as well as a perceived reluctance to use results-oriented information at headquarters function as disincentives towards the systematic use of results-oriented information at Enabel. Moreover, leadership is perceived as not actively engaging in results-oriented management and using results-oriented information, also hindering the use of results-oriented information particularly at headquarter level.

Next to these hindering factors for results-oriented management and the use of results-oriented information at Enabel, the evaluation could show that there also exists a divergent understanding among Enabel staff regarding the purpose of the steering and learning function of MoRe Results (evaluation question 2). Here the majority of Enabel staff are not certain where steering should occur in the organisation and for what purpose and for whom learning should occur beyond the intervention level. As a result of this divergent understanding, the quality of information provided in the results products regarding both these functions is low and steering as well as learning takes place mainly at the intervention level and in an unsystematic way in other processes such as backstopping or capitalisation processes. Moreover, capacities at the intervention level are sometimes missing to conceptualise and set up data collection systems for proposed monitoring systems, due to missing internal and external support structures; thus, affecting the quality of the results-oriented information for steering.

Consequently, the use of results-oriented information currently mainly takes place at the intervention level and the provided information is seldomly used in a systematised way on other organisational levels of Enabel (evaluation question 2). Hence, available data for accountability purposes is not used for the core function of transparency and accountability on an overall organisational level at Enabel,

while information regarding learning and steering is often missing in the results products and thus also cannot be used to inform core organisational functions of Enabel, such as knowledge management or quality in implementation.

Nevertheless, Enabel currently also has the opportunity to improve in general the results-oriented management system and specifically its contribution to the core functions of Enabel considerably under the new management contract, as the new management contract demands a new reporting structure and a new management philosophy to achieve development results (evaluation question 4). A prerequisite hereby is an open dialogue between the established structures in the field, the Operation Department, the Expertise Department and Human Resources to develop a fitting adaptive management strategy. Moreover, it requires courage to discuss failures openly and constructively, as well as investment in people and transparency.

Hereby, Enabel can build upon an organisational culture in which learning is prioritised and thus conducive for results-oriented management and the use of results-oriented information. Furthermore, its highly intrinsically-motivated employees as well as its perceived knowledgeable and supportive leadership form another asset for this change management process (evaluation question 4). In addition, it started and almost finished an overhaul of its IT-systems - among which is a new system for results-oriented management, called PILOT – which can provide a backbone for the future results-oriented management system as it possesses the potential to allow Enabel to more easily systematise, aggregate and analyse results-oriented information on different organisational levels.

## 6 Recommendations

The evaluation results show that the current results-oriented management system at Enabel exhibits particular strengths and weaknesses. To strengthen the identified strengths and to weaken the weaknesses as well as to make the results-oriented management system fit-for-purpose under the new framework conditions, the following ten recommendations are put forward (evaluation question 4). They are clustered into recommendations for the results-oriented management system, for supportive organisational structures and processes as well as for organisational incentives.

The recommendations are based upon the evaluation results as well as a requirement workshop conducted at Enabel. The purpose of the requirement workshop was thereby to develop preliminary ideas on the basis of the evaluation results that could make the existing results-oriented management system at Enabel fit-for-purpose. The detailed and documented results of the requirement workshop can be found in annexe VIII.

### 6.1 Recommendations on the Results-Oriented Management System

1. *In a consultation process Enabel should define in detail the purpose of the three functions - accountability, learning and steering - of the results-oriented management as well as the subsequent purpose and target group of its results products in order to enhance the quality and use of results-oriented information in the organisation.*

The evaluation findings highlighted that there is a divergent understanding about the function of learning and steering among Enabel staff at organisational and institutional level, while a common understanding of the function of accountability is shared among Enabel staff. The divergent understanding of the functions learning and steering is mainly based upon different views regarding the purpose and targeted recipient of learning and steering. As a result, results-information about learning and steering is either seldomly provided or provided at a low quality in the results products. This in turn has a negative effect on the use of this kind of results-oriented information, as currently the use of this information is restricted to the intervention level and similar information is seldomly used on organisational and institutional levels. Therefore, the current results-oriented management system rarely informs core organisational functions of Enabel, such as knowledge management or quality in implementation. Hence, to improve the quality of results-oriented information and its use in the organisation for Enabel's core organisational functions, Enabel should define the purpose of the future results-oriented monitoring system as well as the subsequent purpose and target groups of its results products in a change management process. Within this change management process, the three functions should be understood as cycles with different governance mechanisms and responsibilities. In these cycles it is necessary to be specific on who takes the lead within Enabel on each cycle and is responsible for making the cycle work. Regarding the learning cycle in particular it also should be specified who should learn, on what level, and for which purpose. A starting point for this could be the defined purposes per function as well as organisational and institutional level, which was put forward by the requirements workshop (see annexe VIII).

2. *Enabel should focus its results products on specific functions of the results-oriented monitoring system and streamline them towards the newly adopted portfolio approach.*

The evaluation shows that the results products of an Enabel have to be realigned to the changing framework conditions under the new management contract. In addition, it has become apparent that the focus of the results products has to be readjusted to their specific role and function within the future results-oriented management system. Therefore, the adjustment of the results products is thereby dependent on the one hand by the implementation of recommendation one and on the other

hand by the results of the ongoing debates between DGD and Enabel regarding the final design of the portfolio approach under the new management contract. Once these decisions have been taken, the results products have to be re-designed accordingly and focus them on the newly defined functions of the results-oriented monitoring system. Hereby, it is recommended to design result products which serve one or two functions of the newly established results-oriented monitoring system and only in their totality address all functions of the newly established results-oriented monitoring system. However, it is not recommended to design a new results-oriented monitoring system in which all results-products address all functions of the results-oriented monitoring system.

## 6.2 Recommendations for Supportive Organisational Structures and Processes

3. *Enabel should build and expand on its well-developed MONOP system and introduce one digital system for results-oriented monitoring, management, risk management, procurement planning, reporting and finances to make processes leaner and to facilitate the aggregation of data on different organisational levels.*

Based on the findings of this evaluation, it became apparent that there currently exist different systems for reporting, risk management, monitoring, procurement planning finances and management. This makes steering and learning difficult at Enabel as various systems provide different information and some of these systems are not synchronised with each other. As a consequence, it is on the one hand cumbersome to connect different data to make evidence-informed decisions. On the other hand, it costs a lot of resources to aggregate, systematise and analyse the existing data for different organisational levels for learning purposes. Enabel has already realised these challenges and is currently piloting a new digital results-oriented monitoring platform called PILOT that encompasses many of these functions. However, PILOT has been mainly designed to support operational monitoring and is limited in strategic monitoring for the outcome level; specifically regarding the learning function. Hence, Enabel should ensure that also these missing functions are integrated in PILOT to systematic support learning, steering and accountability at organisational level. Furthermore, this platform should be used and understood by the employees as their main management tool for results-oriented management and the use of results-oriented information at Enabel. This would facilitate the use of results-information at Enabel.

4. *Enabel should establish organisational capacities to aggregate, systematise and analyse provided results-oriented information for different organisational levels to enable organisational learning, knowledge management and strategic evidence-informed decision-making.*

The evaluation demonstrates that there are currently very limited capacities (e.g. human capacities, trained staff or established processes) available at Enabel to aggregate, systematise and analyse results-oriented information. Originally, it was foreseen that foremost the Expertise Department would be responsible for this task. However, reality shows that resources at the Expertise Department are bound up in proposal, backstopping and capitalisation processes, which do not leave much time for the aggregation and analysis of results-oriented information for different organisational levels. As a result, results-oriented information is not used beyond the intervention level at Enabel, as it does not exist in a systematised form to inform learning or steering. Therefore, it also seldomly contributes to Enabel's core organisational functions, such as knowledge management, quality in implementation as well as accountability and transparency towards relevant stakeholders. Thus, Enabel should establish sufficient capacities at the organisational level to aggregate, systematise and analyse provided results-oriented information to enable organisational learning, knowledge management and strategic evidence-informed decision-making on different organisational levels.

5. *Enable should strengthen organisational capacities in the field of transversal themes to guarantee a high and consistent quality of provided results-oriented information in this area.*

Moreover, the evaluation findings also illuminated that the current existing capacities to deal with transversal themes are not sufficient. This leads to a divergent quality in the results products in which transversal themes are dealt upon on different levels and with different quality. As a consequence, the results-oriented information provided is rarely used for learning and steering purposes. Moreover, this information is also seen as insufficient to fulfil accountability purposes towards relevant stakeholders. In this regard, collected results-oriented information by Enabel is also seldomly used to inform Enabel's core function of knowledge management, organisational learning and quality in implementation. Hence, these capacities should be strengthened at Enabel in order to guarantee a high and consistent quality of provided results-oriented information, which then can be used for evidence-informed decision making and learning on different organisational levels. A prerequisite for this is that Enabel strategically decides what it wants to do and achieve through the transversal themes.

6. *Enable should introduce a central quality assurance mechanism for the results products at headquarter level to guarantee a consistent high quality of its results products.*

The quality assessment conducted in this evaluation highlighted that the results products portray differences in the quality of the results-oriented information provided. This was also confirmed by the interviewed donor. One main factor for this is that the quality assurance of the results products is currently decentralised at Enabel. Each country is responsible for the quality of its results products. This status results in challenges for using results-oriented information on other organisational levels beyond the intervention level, as information with different quality levels is difficult to aggregate. Hence, this poses an obstacle for the use of results-oriented information in other core organisational functions of Enabel. Therefore, Enabel should institutionalise a central quality assurance mechanism for results products at headquarters to guarantee a consistent high quality of results-products. This mechanism thereby should not re-enforce silos within the organisation but should be supported by all relevant departments within Enabel. The same level of quality in the results products will facilitate the use of results-oriented information in other core organisational functions of Enabel, such as knowledge management or quality in implementation.

7. *Enabel should introduce internal and/ or external support systems for the conceptualisation and set-up of monitoring frameworks and its related data collection methods to guarantee a high quality of results-oriented information in the organisation.*

The evaluation findings show that the quality of the documented monitoring frameworks in the results reports can be improved. In several cases data collection methods are not described or explained. Furthermore, the quality of the documented indicators could also be further strengthened by adhering to the SMART criteria. In this regard, it could be highlighted by the evaluation that capacities on the intervention level are missing to conceptualise and set up monitoring frameworks. This can have detrimental effects on the quality of results-oriented information provided in the results products, as robust data collection systems are needed to collect valid data. As a consequence, Enabel should introduce internal and/ or external support systems for the conceptualisation and set-up of monitoring frameworks and its related data collection methods. For this purpose, Enabel should promote existing (e.g. framework contract for M& E support) and establish new support systems (e.g. organisational capacities with knowledge about quantitative and qualitative methods for data collection). Hereby, it is essential that sufficient budget is allocated for the M&E function to establish and promote the necessary support systems.

8. *Enabel should introduce reflection processes in which a dialogue about results-oriented information between the leadership and the operational management can take place to foster strategic decision-making beyond the intervention level.*

Based on the evaluation's analysis, it became obvious that reflection processes between the leadership and the operational management of the intervention are either missing or not taking place. As a consequence, results-oriented information is not discussed beyond the intervention level and fora to take evidence-informed decisions are not existing. Consequently, results-oriented information is rarely used upstream on other organisational levels to take strategic decisions for the core organisational functions of Enabel. Therefore, Enabel should introduce reflection processes encompassing different levels from intervention to headquarter level in which a dialogue about results-oriented information between the leadership and the operational management can take place to foster strategic decision-making beyond the intervention level. These reflection processes should address all three functions of accountability, steering, learning and should explicitly target strategic and not operational elements of the implementation. For this purpose, e.g., trimestral meetings between the intervention manager and the resident representative/ portfolio manager could take place, in which decisions are taken on the input-activity-output level. Furthermore, biannual meetings between the same stakeholder could take place to make evidence-informed decisions on the output-outcome level.

### 6.3 Recommendations for Organisational Incentives

9. *Enable should introduce strategic objectives for learning that also translate into different operational objectives on the department, country and individual level in order to incentivise Enable staff to use results-oriented information in their daily work.*

The evaluation showed that there are missing extrinsic motivational factors to foster the implementation of results-oriented management and the use of results-oriented information at Enabel. Regarding the former, it could be demonstrated that most Enabel staff has not incorporated the implementation of results-oriented management as a factor that could enhance their careers. Concerning the latter, Enabel staff does not experience to a large extent that there are strong external factors which motivate them to use results-oriented information in their daily work. This is further compounded by the fact that leadership also does not actively demand and utilise results-oriented information in their daily work. Consequently, it is recommended that Enabel introduce strategic objectives on learning to set extrinsic motivational factors for its employees to implement results-oriented management and use results-oriented information in their daily work. These strategic objectives should be operationalised on different department levels (e.g., for the Operation Department and the Expertise Department) and should also be included in the human resource processes on team and individual level (e.g., in the development circles). Hereby, it is important that these objectives are not connected to the achievement of objectives of e.g., an intervention in terms of reached impact, but focus on the actual learning process on these different levels.

10. *Leadership at Enabel should proactively engage in the implementation of results-oriented management and the use of results-oriented management by adopting an active feedback culture regarding results products and by using results-oriented information for their decision-making.*

The evaluation results have highlighted that the support of leadership is an important factor to facilitate the use of results-oriented information in the daily work of Enabel. Hereby, it became clear that the leadership is seen as supportive and knowledgeable about the implementation of results-oriented management and the use of results-oriented management at Enabel, but not as proactively engaged in it. This is particularly the perception at headquarters. In this regard, proactive feedback on the provision of results-oriented information and the results products is missed by the majority of the employees, which leads to a demotivation among the staff for results-oriented management. Furthermore, the majority of Enabel staff has the perception that provided results-oriented information is not used for strategic decision-making, which also has a detrimental effect on the

motivation of staff to use results-oriented information in their daily work. Therefore, leadership at Enabel should lead by example and proactively engage in the implementation of results-oriented management and the use of results-oriented management by adopting a learning agenda and an active feedback culture regarding results products and by using results-oriented information for their decision-making. This would also heighten the visibility of the use of results-oriented information and might also change the organisational culture, in which failures are not viewed positively at Enabel as they might have negative effect on the image of Enabel vis-à-vis relevant stakeholders. Altering leadership in such a way would lead to a higher motivation among Enabel staff to use results-oriented management and information as well as adaptive management in their daily work; thus, positively informing the core organisational functions of Enabel, such as knowledge management, organisational learning, quality in implementation as well as accountability and transparency towards relevant stakeholders.



# Annexe

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## II. Overview of Conducted Interviews

| Name                                 | Position  | Date       | Type of Interview                   |
|--------------------------------------|---|------------|-------------------------------------|
| <b>Vertical Case Studies</b>         |   |            |                                     |
| Kristina Bayingana                   | Advisor   | 18.09.2018 | Focus Group Burundi                 |
| Stefaan Van Bastelaere               | Expert Health   |            |                                     |
| Bruno Claessen                       | FIN Controller  |            |                                     |
| Roberto Resmini                      | Governance Expert   |            |                                     |
| Sébastien Coppieters                 | Advisor   | 18.09.2018 | Focus Group Niger                   |
| Paul Bossyns                         | MM-Health   |            |                                     |
| Gert Janssens                        | Expert Education  |            |                                     |
| Isabelle Lastra                      | FIN Controller  |            |                                     |
| Julie Hertsens                       | Advisor   | 18.09.2018 | Focus Group Palestinian Territories |
| Hugo Smars                           | Advisor   |            |                                     |
| Sjoerd Bakker                        | Expert Rural Development  |            |                                     |
| Sophie Waterkeyn                     | Expert Education  |            |                                     |
| Joel Meersseman                      | OPS   |            |                                     |
| Jan De Ceuster                       | MM-Education  |            |                                     |
| Laurence Cottle                      | FIN Controller  |            |                                     |
| Anne Meermans                        | HR Partner  |            |                                     |
| Vincent Vercruysse                   | Advisor   |            |                                     |
| Jean-Christophe Charlier             | MM-Governance   |            |                                     |
| Joëlle Piroux                        | Expert Governance   |            |                                     |
| Georges Pierseaux                    | OM  | 20.09.2018 | Telephone Interview                 |
| Melanie Xuereb                       | Resident Representative   | 17.09.2018 | Telephone Interview                 |
| Bart Uyttendaele                     | Intervention Manager  | 20.09.2018 | Telephone Interview                 |
| Koen Goekint                         | Resident Representative   | 21.09.2018 | Telephone Interview                 |
| Mr AbdulKader Adamou from early 2018 | Responsable de Project  | 24.09.2018 | Telephone Interview                 |
| Tharwat Alshami                      | Intervention Staff  | 25.09.2018 | Telephone Interview                 |
| Etienne Mugisho                      | Intervention Manager  | 14.09.2018 | Personal Interview                  |
| Olivier Donnet                       | Representative  | 24.09.2018 | Telephone Interview                 |
| <b>In-Depth Interviews</b>           |   |            |                                     |
| Martine Brisse and Jean Schmetts     | HR advisor  | 18.09.2018 | Personal Interview                  |
| Guido Couck                          | Communication Coordinator   | 18.09.2018 | Personal Interview                  |
| Raf Somers                           | Operations Manager  | 18.09.2018 | Personal Interview                  |
| Mario Goethals                       | Operations Manager  | 18.09.2018 | Personal Interview                  |
| Peter Pauwels                        | Financial Director  | 18.09.2018 | Personal Interview                  |
| Sofie Van Waeyenberge                | Director Expertise Department                                     | 18.09.2018 | Personal Interview                  |
| Rudi Poulussen                       | Portfolio - Formulation Manager                                   | 18.09.2018 | Personal Interview                  |
| DGD Meeting                          | Directorate D1  | 20.09.2018 | Personal Interview                  |
| Georges Pierseux                     | Operations Manager  | 20.09.2018 | Personal Interview                  |
| Danny Verstpreet                     | Advisor Development Cooperation at the Cabinet of Premier de Croo | 20.09.2018 | Personal Interview                  |
| Jean von Wetter                      | Managing Director   | 20.09.2018 | Personal Interview                  |
| Olivier Thery                        | Head of Unit Quality and Results at DGD                           | 20.09.2018 | Personal Interview                  |
| Samira El Keffi                      | Head of Organizational Department                                 | 20.09.2018 | Personal Interview                  |
| Ann Dedeurwaerdere                   | Advisor Cell International and Economic Cooperation               | 28.09.2018 | Telephone Interview                 |
| Christophe Marechal                  | Director Operations   | 02.10.2018 | Telephone Interview                 |
| Claude Croizer                       | Expert Environment  | 27.09.2018 | Telephone Interview                 |
| Sophie Collette                      | Global Partnership Advisor, Burundi                               | 18.09.2018 | Personal Interview                  |
| Jean-Yves Saliez                     | Head of Global Partnerships                                       | 12.10.2018 | Telephone Interview                 |



| Name   | Position   | Date       | Type of Interview   |
|--|--|------------|---------------------|
| Sven Huyssen                                       | Operations Manager   | 25.09.2018 | Telephone Interview |
| Lionel Camus                                       | OD Expert  | 18.09.2018 | Focus Group         |
| Rudi Poulussen                                     | Portfolio - Formulation Manager                                    |            |                     |
| Benoit Piret                                       | Chargé de mission to the Ops Director                              |            |                     |
| Case Study Uganda                                  |  |            |                     |
| Erwin de Wandel                                    | Deputy Head of Mission   | 10.09.2018 | Personal Interview  |
| Christelle Jocquet                                 | Enabel Resident Representative                                     | 10.09.2018 | Personal Interview  |
| Rose Athieno                                       | Enabel Monitoring and Evaluation Officer                           | 10.09.2018 | Personal Interview  |
| Dr Jane  | Teacher Instructor, Education and Training Department Commissioner | 11.09.2018 | Personal Interview  |
| Virginie Hallet                                    | TTE Project Co-Coordinator, Intervention Manager                   | 11.09.2018 | Personal Interview  |
| Abdul Kibedi and Andrew Tabura                     | TTE Project Coordinators (MoES), Intervention Manager+Team         | 11.09.2018 | Personal Interview  |
| Jan Van Lit  | Infrastructure Expert, Intervention Manager+Team                   | 11.09.2018 | Personal Interview  |
| Sebastien Lecomte                                  | Finance Contracting Coordinator, Intervention Manager+Team         | 11.09.2018 | Personal Interview  |
| Virginie Hallet                                    | TTE Project Co-Coordinator (MoES), Intervention Manager+Team       | 11.09.2018 | Personal Interview  |
| Abdul Kibedi and Andrew Tabura                     | MoES   | 11.09.2018 | Personal Interview  |
| Gender Unit of MoES                                | Other Partners   | 11.09.2018 | Personal Interview  |
| Peter Assimwe, Christine Namitalia                 | Intervention Team, MoH   | 12.09.2018 | Personal Interview  |
| Paolo Reggio d’Aci, Lydia Namulondo, Grace Apeduno | Intervention Team, MoH   | 12.09.2018 | Personal Interview  |
| Esther Asimwe                                      | Partner; Steering Committee Member, MoH                            | 12.09.2018 | Personal Interview  |
| Ronald Kasabya                                     | Other Partners, MoH  | 12.09.2018 | Personal Interview  |
| Niels de Block                                     | Intervention Manager, SSU Programme                                | 13.09.2018 | Personal Interview  |
| Hajat Safina + Eliot                               | Partner, SC member, Comm. BTVET, Project coordinator, SSU          | 13.09.2018 | Personal Interview  |
| James + Eliot                                      | Staff from Partner responsible for M&E, SSU                        | 13.09.2018 | Personal Interview  |
| Niels, Laura, Beatrice, Christine                  | M&E Intervention Team, SSU   | 13.09.2018 | Personal Interview  |
| Petr Pribyla                                       | EU Programme Officer   | 14.09.2018 | Personal Interview  |
| Christelle Jocquet                                 | Resident Represenative   | 14.09.2018 | Personal Interview  |

## III. Analytical Grid for the Quality Assessment of Results Products

| Assessment Criteria and Indicators |  |   | Regulatory Framework  |  | Sources of Verification      |                    |  |                                       |  |   |  |  |
|------------------------------------|--|---|---|--|------------------------------|--------------------|--|---------------------------------------|--|---|--|--|
| No.                                | Indicators   | Value   | Requirement according to MORE Results or other Programme Cycle Document | Reference to MORE Results Manual                                       | Project Information          | TFF                | Baseline Report  | JLCB Minutes                          | Annual Results Reports   | Final Results Report  | Mid-Term Review  | End-Term Review  |
| 0 Key data                         |  |   |   |  |                              |                    |  |                                       |  |   |  |  |
| 0.1                                | Name of intervention   | text  |   |  | PITWEB (General Information) |                    |  |                                       |  |   |  |  |
| 0.2                                | Code   | number  |   |  | PITWEB (General Information) |                    |  |                                       |  |   |  |  |
| 0.3                                | Stage  | text  |   |  | PITWEB (General Information) |                    |  |                                       |  |   |  |  |
| 0.4                                | Starting date  | date  |   |  | PITWEB (General Information) |                    |  |                                       |  |   |  |  |
| 0.5                                | End date   | date  |   |  | PITWEB (General Information) |                    |  |                                       |  |   |  |  |
| 0.6                                | Duration   | months  |   |  | PITWEB (General Information) |                    |  |                                       |  |   |  |  |
| 0.7                                | Total budget   | €   |   |  | PITWEB (Finances)            |                    |  |                                       |  |   |  |  |
| 0.8                                | Donor  | text  |   |  | PITWEB (Extra Information)   |                    |  |                                       |  |   |  |  |
| 0.9                                | Form of cooperation/basic allocation   | text  |   |  | PITWEB (Extra Information)   |                    |  |                                       |  |   |  |  |
| 0.10                               | Country  | text  |   |  | PITWEB (Extra Information)   |                    |  |                                       |  |   |  |  |
| 0.11                               | Enabel sector  | text  |   |  | PITWEB (Extra Information)   |                    |  |                                       |  |   |  |  |
| 1 Coverage rate                    |  |   |   |  |                              |                    |  |                                       |  |   |  |  |
| 1.1                                | % of compulsory reports submitted  | # of reports that should have been submitted/# of reports submitted *%  | compulsory  | Part I, p.7; Part II, p.4-6  |                              |                    | 1 report   | 2 minutes per year                    | 1 per year   | 1 report  | 1 report   | 1 report   |
| 1.2                                | % of reports that are delivered on time  | # of reports submitted / # of reports delivered on time *%              | compulsory  | Part I, p.7  |                              |                    | Before Sep. 2015 9 months after JLCB 0 = discussed in the 2nd implementation JLCB; after Sep. 2015 together with formulation | Proxy indicator for quarterly reports | Annual reports: in time to be discussed in the steering committee and thereafter sent to DGD by March 31 | Final report: concluded one month before the closing Steering Committee | Mid-Term Review: about halfway the lifetime of an intervention | End-Term Review: at the latest 6 months before the end of the intervention |
| 1.3                                | % of reports following the respective template   | # of reports submitted/# of reports following the respective template*% | compulsory  | Part I, p.7 - "satisfactory quality" here interpreted as "formalities" |                              |                    | X  |                                       | X  | X   | X  | X  |
| 2 Logical Model                    |  |   |   |  |                              |                    |  |                                       |  |   |  |  |
| 2.1                                | Hypotheses for the change process are elaborated.                                      | yes/ no   | compulsory  | Part I, p. 40  |                              | section 3.7        | section 3.1 (if outputs, outcomes or indicators have changed compared to the TFF)  |                                       |  |   |  |  |
| 2.2                                | A clear and correct distinction is made between inputs, outputs, outcomes and impacts. | yes/ no   | compulsory  | Part I, pp. 9-17   |                              | section 3          | section 3.1 (if outputs, outcomes or indicators have changed compared to the TFF)  |                                       |  |   |  |  |
| 2.3                                | The logical model from outputs to outcomes and impacts is clearly elaborated.          | yes/ no   | compulsory  | Part I, pp. 9-17   |                              | section 3          | section 3.1 (if outputs, outcomes or indicators have changed compared to the TFF)  |                                       |  |   |  |  |
| 2.4                                | The logical model can be achieved in the intervention's lifespan.                      | yes/ no/ no information available in documents                          | compulsory  | Part I, pp. 9-17   |                              | section 3          | section 3.1 (if outputs, outcomes or indicators have changed compared to the TFF)  |                                       |  |   |  |  |
| 2.5                                | The logical model can be achieved with the intervention's budget.                      | yes/ no/ no information available in documents                          | not included, but state-of-the-art                                      | N/A  |                              | possibly section 3 |  |                                       |  |   |  |  |
| 2.6                                | A visualized ToC exists.   | yes/ no   | recommended   | Part I, ToC described as best practice, pp. 17-21                      |                              |                    | section 3.1  |                                       |  |   |  |  |
| 2.7                                | The internal risks are clearly identified and explored.                                | yes/ no   | compulsory  | Part I, pp.30-31   |                              | section 3.7        | section 3.3  |                                       |  |   |  |  |
| 2.8                                | For each identified risk, a risk management strategy is elaborated.                    | yes/ no (with 10% tolerance)  | compulsory  | Part I, p.33 & p.40  |                              | section 3.7        | section 3.3  |                                       |  |   |  |  |

| Assessment Criteria and Indicators              |  |   | Regulatory Framework  |                                  | Sources of Verification |     |                                     |   |  |   |                 |                 |
|---|--|---|---|----------------------------------|-------------------------|-----|-------------------------------------|---|--|---|-----------------|-----------------|
| No.   | Indicators   | Value   | Requirement according to MORE Results or other Programme Cycle Document | Reference to MORE Results Manual | Project Information     | TFF | Baseline Report                     | JLCB Minutes  | Annual Results Reports                         | Final Results Report                    | Mid-Term Review | End-Term Review |
| <b>3 Proposed monitoring framework</b>          |  |   |   |                                  |                         |     |                                     |   |  |   |                 |                 |
| 3.1   | The responsibilities for the monitoring are clearly described.   | yes/ no   | compulsory  | Part I, p.28                     |                         |     | section 3.5                         |   |  |   |                 |                 |
| 3.2   | The functioning of the monitoring system and its use is documented.  | yes/ no   | compulsory  | Part I, p.40                     |                         |     | section 3.5                         |   |  |   |                 |                 |
| 3.3   | The partner organisation(s) is/are involved in the data collection of the monitoring system.   | yes/ no/ no information available in documents (proof found in either document) | compulsory  | Part I, p.36                     |                         |     | section 3.5                         | Minutes of Q1 JLCB (of the last 2 years - not baseline, not final report) | possibly section 2.1.3                         | possibly section 3.1.2, 3.1.3 and 3.1.4 |                 |                 |
| 3.4   | The proposed monitoring framework includes a consistent translation of the proposed logical model.   | yes/ no   | compulsory  | Part I, pp.12-14                 |                         |     | section 3.2 compared to section 3.1 |   |  |   |                 |                 |
| 3.5   | Indicators are defined on output and outcome level.  | yes/ no   | compulsory  | Part I, p.25                     |                         |     | section 3.2                         |   |  |   |                 |                 |
| 3.6   | The indicators at outcome level enable to monitor the change path towards the outcome  | yes/ no/ no information available in documents                                  | compulsory  | MoRe Results I, p. 25            |                         |     | section 3.2                         |   |  |   |                 |                 |
| 3.7   | The disaggregation by sex and other relevant characteristics is sufficient.  | yes/ no   | compulsory  | N/A                              |                         |     | section 3.2                         |   |  |   |                 |                 |
| 3.8   | The indicators are SMART.  | Scale from 1-10   | compulsory  | Part I, p.26                     |                         |     | section 3.2                         |   |  |   |                 |                 |
| 3.9   | Target values are defined for all output and outcome indicators.   | Scale from 1-10   | recommended   | Part I, p.29                     |                         |     | section 3.2                         |   |  |   |                 |                 |
| 3.10  | If there are target value missing, a plausible explanation is given, explaining why it is not possible to set a target.                          | yes/ no   | recommended   | Part I, p.29                     |                         |     | section 3.2                         |   |  |   |                 |                 |
| 3.11  | The data collection methods for the monitoring are clearly described.  | yes/ no   | compulsory  | Part I, p.28                     |                         |     | section 3.2                         |   |  |   |                 |                 |
| 3.12  | The baseline report explains to what extend national indicators can be used on the outcome-level.  | yes/ no   | compulsory  | Part I, p.24                     |                         |     | section 3.2, 4.2                    |   |  |   |                 |                 |
| 3.13  | The data collection methods for the monitoring are feasible.   | yes/ no/ no information available in documents                                  | compulsory  | Part I, p.28                     |                         |     | section 3.2                         |   |  |   |                 |                 |
| 3.14  | The method to follow up on the internal risks is clearly described.  | yes/ no   | compulsory  | Part I, pp.30-34                 |                         |     | section 3.3                         |   |  |   |                 |                 |
| 3.15  | The internal means needed (capacity development, HR, etc.) to implement the monitoring framework are defined.                                    | yes/ no   | compulsory  | Part I, pp.28                    |                         |     | section 3.5                         |   |  |   |                 |                 |
| 3.16  | The costs for data collection are described in sufficient detail.  | yes/ no   | compulsory  | Part I, pp.28                    |                         |     | section 3.5                         |   |  |   |                 |                 |
| 3.17  | Costs are planned per output.  | yes/ no   | compulsory  | N/A                              |                         |     | possible section 3.4                |   | section 1.2                                    |   |                 |                 |
| 3.18  | The monitoring framework is based upon a digital solution.   | yes/ no/ no information available in documents                                  | not included, but state-of-the-art                                      | N/A                              |                         |     | possible section 3                  |   |  |   |                 |                 |
| 3.19  | The monitoring framework is user-friendly and visualises monitoring data in an easily understandable way.  | yes/ no/ no information available in documents                                  | not included, but state-of-the-art                                      | N/A                              |                         |     | possible section 3                  |   |  |   |                 |                 |
| 3.20  | The partners have access to the digital monitoring framework.  | yes/ no/ no information available in documents                                  | not included, but state-of-the-art                                      | N/A                              |                         |     | possible section 3                  |   |  |   |                 |                 |
| <b>4 Information availability &amp; quality</b> |  |   |   |                                  |                         |     |                                     |   |  |   |                 |                 |
| 4.1   | Baselines are available for all output indicators.   | Scale from 1-10   | compulsory  | Part I, p.40                     |                         |     | section 3.2                         |   |  |   |                 |                 |
| 4.2   | Baselines are available for all outcome indicators.  | Scale from 1-10   | compulsory  | Part I, p.40                     |                         |     | section 3.2                         |   |  |   |                 |                 |
| 4.3   | Baselines are available for all impact indicators.   | Scale from 1-10   | recommended   | Part I, p. 25                    |                         |     | section 3.2                         |   |  |   |                 |                 |
| 4.4   | The intervention uses the concept of a rolling baseline.   | yes/ no/ no information available in documents                                  | compulsory  | Part II, p.17                    |                         |     | section 3.2                         |   | section 3.6/3.7                                |   |                 |                 |
| 4.5   | If the intervention uses the concept of a rolling baseline, a plausible explanation is given to not provide a baseline in the baseline report.   | yes/ no   | compulsory  | Part II, p.17                    |                         |     | section 3.2                         |   |  |   |                 |                 |
| 4.6   | Values achieved are available for all output indicators.   | Scale from 1-10   | compulsory  | Part I, p.42                     |                         |     |                                     | Minutes of Q1 JLCB (of the last 2 years - not following)                  | section 2.2 and following                      | section 2.1                             |                 |                 |
| 4.7   | Values achieved are available for all outcome indicators.  | Scale from 1-10   | compulsory  | Part I, p.42                     |                         |     |                                     |   | section 2.2 and following                      | section 2.1                             |                 |                 |
| 4.8   | Values achieved are available for all impact indicators  | Scale from 1-10   | recommended   | Part I, pp. 25-26                |                         |     |                                     |   | section 2.2.3                                  | section 2.1                             |                 |                 |
| 4.9   | A narrative explains the data for the outputs indicators.  | yes/ no   | compulsory  | Part I, p.35                     |                         |     |                                     |   | section 2.2 and following                      | section 2.2                             |                 |                 |
| 4.10  | A narrative explains the data for the outcome indicators.  | yes/ no   | compulsory  | Part I, p.35                     |                         |     |                                     |   | section 2.2 and following                      | section 2.2                             |                 |                 |
| 4.11  | Facts (Milestones and intermediate indicators) describe the progress form outputs towards the outcome.   | yes/ no   | compulsory  | Part I, p.35                     |                         |     |                                     |   | section 2.2 and following                      | section 2.2                             |                 |                 |
| 4.12  | If a result is not on track (DAC criteria - effectiveness addresses results: C,D rating on effectiveness), a plausible interpretation is given.  | yes/ no   | compulsory  | Part I, p.35                     |                         |     |                                     |   | section 2.2 and following                      | section 2.2                             |                 |                 |
| 4.13  | Costs per output are shown in results products.  | yes/ no   | compulsory  | N/A                              |                         |     |                                     |   | section 1.2                                    | possibly section 2.2.3                  |                 |                 |
| 4.14  | Costs per outcome are shown in results products.   | yes/ no   | not included, but state-of-the-art                                      | N/A                              |                         |     |                                     |   |  | possibly section 2.2                    |                 |                 |
| 4.15  | The collected monitoring data reported is sufficiently disaggregated.  | yes/ no   | recommended   | N/A                              |                         |     | section 3.2                         | Minutes of Q1 JLCB (of the last 2 years - not following, section 3.3      | section 2.2 and following, section 3.3         | section 2.1 and 2.2                     |                 |                 |
| 4.16  | The information regarding the monitoring of internal and external risks is available.  | yes/ no (with 10% tolerance)  | compulsory  | Part I, p. 33                    |                         |     |                                     | Minutes of Q1 JLCB (of the last 2 years - not following, section 2.9      | section 2.9                                    | section 3                               |                 |                 |
| 4.17  | Comprehensive information (at least actions taken and achievements) regarding transversal themes (at least gender and environment) is available. | yes/ no   | compulsory  | N/A                              |                         |     |                                     |   | section 2.8                                    | section 2.2                             |                 |                 |
| <b>5 Evidence Based Steering</b>                |  |   |   |                                  |                         |     |                                     |   |  |   |                 |                 |
| 5.1   | Conclusions for the intervention logic are drawn from the data (hypotheses are reflected based on collected evidence).                           | yes/ no   | not included, but state-of-the-art                                      | N/A                              |                         |     |                                     |   | possibly in section 1.4 and 3.1                |   |                 |                 |
| 5.2   | A discussion of the annual report is part of the agenda of the Q1 JLCB-Meetings.   | yes/ no   | compulsory  | Part I, p. 7                     |                         |     |                                     | Agenda of Q1 JLCB (of the last 2 years - not following)                   |  |   |                 |                 |
| 5.3   | The steering committee takes strategic decisions (on output and outcome-level) that are based on monitoring inputs (annual report).              | yes/ no   | compulsory  | Part I, p. 7                     |                         |     |                                     | Minutes of Q1 JLCB (of the last 2 years - not following)                  |  | section 3.1, 3.2 and 1.4                |                 |                 |
| 5.4   | Conclusions for the allocation of budgets are drawn from the data and described.   | yes/ no/ no information available in documents                                  | not included, but state-of-the-art                                      | N/A                              |                         |     |                                     | Minutes of Q1 JLCB (of the last 2 years - not following)                  | section 1.4 and 3.1                            |   |                 |                 |
| 5.5   | If changes are made in the intervention logic after the baseline report, these changes are clearly reported and justified.                       | yes/ no   | compulsory  | N/A                              |                         |     |                                     |   | section 3.1                                    | section 1.2, 3.6 and 3.7                |                 |                 |
| 5.6   | Changes in the intervention logic after the baseline report are adequately integrated in the monitoring framework.                               | yes/ no   | compulsory  | MoRe Results I, p. 29            |                         |     |                                     |   | section 2.1, 2.2, 2.3, 2.4 and 2.5             |   |                 |                 |
| 5.7   | If indicators change after the baseline report, new baseline information is delivered.   | yes/ no   | not included, but state-of-the-art                                      | N/A                              |                         |     |                                     |   | section 2.1, 2.2, 2.3, 2.4 and 2.5             |   |                 |                 |
| 5.8   | Conclusions for the risk assessment are drawn and the risk management strategy is adjusted.  | yes/ no   | compulsory  | MoRe Results I, p. 33            |                         |     |                                     |   | Section 2.9 (table is sufficient. It should be |   |                 |                 |

| Assessment Criteria and Indicators |   |  | Regulatory Framework  |   | Sources of Verification |     |                 |              |                        |                       |                         |                         |
|------------------------------------|---|--|---|---|-------------------------|-----|-----------------|--------------|------------------------|-----------------------|-------------------------|-------------------------|
| No.                                | Indicators  | Value  | Requirement according to MORE Results or other Programme Cycle Document | Reference to MORE Results Manual          | Project Information     | TFF | Baseline Report | JLCB Minutes | Annual Results Reports | Final Results Report  | Mid-Term Review         | End-Term Review         |
| <b>6 Accountability</b>            |   |  |   |   |                         |     |                 |              |                        |                       |                         |                         |
| 6.1                                | Results (outcomes) are reported and compared to targets.  | yes/ no  | compulsory  | Part I, p.43                              |                         |     |                 |              | section 2.1-2.7        | section 2.1 and 2.2   | section 3.1.3 and 3.1.4 | section 3.1.3 and 3.1.4 |
| 6.2                                | Assessment of integration of transversal themes (stated in the TFF) is reported.  | yes/ no (evidence found in either JLCB or Annual Report) | compulsory  | Part II, p. 32; Part III, p. 10 and p. 26 |                         |     |                 |              | section 2.8            | section 2.2           | section 3.1             | section 3.1             |
| 6.3                                | OECD DAC Criteria Review is conducted and results are described.  | yes/ no  | compulsory  | Part III, p.7                             |                         |     |                 |              | section 1.3 and 3.4    |                       | section 3.1             | section 3.1             |
| <b>7 Learning</b>                  |   |  |   |   |                         |     |                 |              |                        |                       |                         |                         |
| 7.1                                | Lessons learned are documented.   | yes/ no  | compulsory  | Part I, p.44                              |                         |     |                 |              | section 3.3            | section 4.1           | section 6               | section 6               |
| 7.2                                | If lessons learned are documented: lessons learned are sufficiently detailed to be useful for policy advice to donors and partners or for improving implementation strategies of interventions. | yes/ no  | compulsory  | Part I, p.44                              |                         |     |                 |              | section 3.3            | section 4.1 and 4.2   | section 6               | section 6               |
| 7.3                                | OECD DAC Criteria Review includes advice for future interventions.  | yes/ no  | compulsory  | Part III, p.7                             |                         |     |                 |              | section 1.3 and 3.4    | possibly in section 4 | section 3.1             | section 3.1             |
| 7.4                                | Reports include advice for steering on sector level.  | yes/ no  | compulsory  | Part I, p.36                              |                         |     |                 |              | section 1.3 and 3.4    | possibly in section 4 | section 3.1             | section 3.1             |
| 7.5                                | Reports include advice for steering on country level.   | yes/ no  | compulsory  | Part I, p.36                              |                         |     |                 |              | section 1.3 and 3.4    | possibly in section 4 | section 3.1             | section 3.1             |

**Legend**

|       |  |
|-------|--|
|       | not a requirement in this document   |
| ??... | state-of-the-art and possibly mentioned in this section, but not a requirement |

Source: Syspons 2018

## IV. Detailed Description of the Quality Assessment Procedure for the Results Products

| Assessment Criteria and Indicators |  |   |   |
|------------------------------------|--|---|---|
| No.                                | Indicators                                     | Value   | Definition  |
| <b>0 Key data</b>                  |  |   |   |
| 0.1                                | Name of intervention                           | text  | The name of the intervention is compared with the already existing name in the survey tool which is provided from the background data.  |
| 0.2                                | Code   | number  | The code of the intervention is compared with the already existing code in the survey tool which is provided from the background data.  |
| 0.3                                | Stage  | text  | The stage (ongoing, completed) of the intervention is compared with the already existing stage in the survey tool which is provided from the background data.   |
| 0.4                                | Starting date                                  | date  | The starting date of the intervention is compared with the already existing starting date in the survey tool which is provided from the background data.  |
| 0.5                                | End date                                       | date  | The end date of the intervention is compared with the already existing end date in the survey tool which is provided from the background data.  |
| 0.6                                | Duration                                       | months  | The duration of the intervention is compared with the already existing duration in the survey tool which is provided from the background data.  |
| 0.7                                | Total budget                                   | €   | The budget of the intervention is compared with the already existing budget in the survey tool which is provided from the background data.  |
| 0.8                                | Donor  | text  | The named donor of the intervention is compared with the already existing donor in the survey tool which is provided from the background data.  |
| 0.9                                | Form of cooperation/basic allocation           | text  | The form of cooperation/ basic allocation of the intervention is compared with the already existing form of cooperation in the survey tool which is provided from the background data.  |
| 0.10                               | Country  | text  | The country of the intervention is compared with the already named country in the survey tool which is provided from the background data.   |
| 0.11                               | Enabel sector                                  | text  | The Enabel sector of the intervention is compared with the already provided Enabel sector in the survey tool which is provided from the background data.  |
| <b>1 Coverage rate</b>             |  |   |   |
| 1.1                                | % of compulsory reports submitted              | # of reports that should have been submitted/# of reports submitted *%  | TFF are not counted.<br>Baseline Report, MTR, ETR and Final Results Report can only be counted once.<br>JLCB Minutes are counted from the starting JLCB which is the first JLCB after the submitted TFF. This counts for this exercise as the start of the project. In each year there should be two JLCB Minutes (Q1 and Q4).<br>Annual Reports are written once the starting JLCB has been completed. Hence, from then on they are counted.<br>On the basis of these definition the compulsory amount of results products is counted and the actual amount of results products, which have been submitted to PITWEB.  |
| 1.2                                | % of reports that are delivered on time        | # of reports submitted / # of reports delivered on time *%              | For the assessment of this indicator the date on the results product counts. If there is no date provided on the results products, the submission date to PITWEB counts.<br>In case that the TFF describes that there is a delay in the timeframe of the intervention which also affects the results products, the new defined timeline in the TFF counts for the submission dates.<br>For the individual results products, the following submission deadlines apply:<br>- Baseline reports before September 2015 9 months after JLCB 0; after September 2015 together with the formulation file<br>- JLCB Minutes within the first and fourth quarter respectively<br>- Annual reports before 31 March of the following year<br>- Final results report one month before the closing steering committee<br>- MTR about halfway in the lifetime of the intervention<br>- ETR at the latest 6 months before the end of the intervention |
| 1.3                                | % of reports following the respective template | # of reports submitted/# of reports following the respective template*% | The indicators is fulfilled, if each results products follows its respective Enabel template.   |

| Assessment Criteria and Indicators     |  |  |   |
|--|--|--|---|
| No.                                    | Indicators   | Value  | Definition  |
| <b>2 Logical Model</b>                 |  |  |   |
| 2.1                                    | Hypotheses for the change process are elaborated.  | yes/ no  | The indicator is fulfilled, if the respective result product includes formulated impact hypothesis. These have to include the respective output and outcome level as a minimum.   |
| 2.2                                    | A clear and correct distinction is made between inputs, outputs, outcomes and impacts.                                   | yes/ no  | The indicator is fulfilled if the inputs, outputs, outcomes and impacts are defined according to the OECD-DAC definition in the respective results products.  |
| 2.3                                    | The logical model from outputs to outcomes and impacts is clearly elaborated.  | yes/ no  | The indicator is fulfilled if the respective results products describe the change path between outputs and outcomes. Furthermore, process indicators for this change path have to be documented.  |
| 2.4                                    | The logical model can be achieved in the intervention's lifespan.  | yes/ no/ no information available in documents | In case the objective is unrealistic (e.g. world peace), this indicator is assessed with "no".<br>If there is not sufficient information provided in the results products, this indicator is rated with "no information available in documents".<br>If the objective is seen as realistic by the assessor on the basis of the provided information, the indicator is assessed with "yes".   |
| 2.5                                    | The logical model can be achieved with the intervention's budget.  | yes/ no/ no information available in documents | This indicator is either assessed with "yes" or "no", when relevant information is provided in results products. Relevant information can either be a discussion about the feasibility of the budget or reported budgets cuts or extension and their respective changes within the intervention's set-up.<br>If no information is provided in the results products, this indicator is assessed with "no information available in documents".  |
| 2.6                                    | A visualized ToC exists.   | yes/ no  | The indicator is fulfilled, if a ToC is visualised in a figure in one of the results products.  |
| 2.7                                    | The internal risks are clearly identified and explored.  | yes/ no  | The indicator is fulfilled, if the respective results products list risks. These risk have to be specific risks for the intervention and not general risk such as staff turn-over which could apply to any intervention.  |
| 2.8                                    | For each identified risk, a risk management strategy is elaborated.  | yes/ no (with 10% tolerance)                   | This indicator is fulfilled, when at least 90% of the identified risks are included in a risk mitigation strategy.  |
| <b>3 Proposed monitoring framework</b> |  |  |   |
| 3.1                                    | The responsibilities for the monitoring are clearly described.   | yes/ no  | The indicator is fulfilled, if the respective results products assign responsibilities for data collection, analysis, implementation and reporting for the monitoring system.   |
| 3.2                                    | The functioning of the monitoring system and its use is documented.  | yes/ no  | The indicator is fulfilled, if the respective results products describe the use of the monitoring system in terms of learning, accountability or steering. The description of one function is thereby sufficient.   |
| 3.3                                    | The partner organisation(s) is/are involved in the data collection of the monitoring system.                             | yes/ no/ no information available in documents | In case that it is mentioned that the partner organisations are involved in the data collection of the monitoring in the respective results products, this indicator is answered with "yes". It is rated with "no" if the respective results products explicitly state that the partner organisations are not involved. If no information is provided in the respective results products, this indicator is assessed with "no information available in documents".                  |
| 3.4                                    | The proposed monitoring framework includes a consistent translation of the proposed logical model.                       | yes/ no  | The indicator is fulfilled, if all aspects of the logical model (from inputs to outcomes) are taken up in the proposed monitoring system.   |
| 3.5                                    | Indicators are defined on output and outcome level.  | yes/ no  | The indicator is fulfilled, if the respective results products define indicators for each output and outcome.   |
| 3.6                                    | The indicators at outcome level enable to monitor the change path towards the outcome                                    | yes/ no/ no information available in documents | The indicator is fulfilled, if the provided indicators on outcome level are related to the outcome and measure the outcome.   |
| 3.7                                    | The disaggregation by sex and other relevant characteristics is sufficient.  | yes/ no  | The indicator is fulfilled, if the provided indicators on activity, output and outcome level are at least disaggregated by sex or another relevant characteristic for the intervention.   |
| 3.8                                    | The indicators are SMART.  | Skala von 1-10                                 | For this indicator all indicators are assessed along the SMART criteria. The rating reflects on a scale from 1-10 (10 meaning 100%) how many indicators are rated as SMART in the respective results products.  |
| 3.9                                    | Target values are defined for all output and outcome indicators.   | Skala von 1-10                                 | For this indicator it is assessed how many indicators have an assigned target value in the respective results products. The rating reflects on a scale from 1-10 (10 meaning 100%) how many indicators have an assigned target value.   |
| 3.10                                   | If there are target value missing, a plausible explanations is given, explaining why it is not possible to set a target. | yes/ no  | This indicator is fulfilled, if for each missing target value an explanation is provided in the respective results products.  |
| 3.11                                   | The data collection methods for the monitoring are clearly described.  | yes/ no  | This indicator is fulfilled, if it is described for whom and what the data collection methods are used in the monitoring.   |
| 3.12                                   | The baseline report explains to what extend national indicators can be used on the outcome-level.                        | yes/ no  | The indicator is fulfilled, if it is argued in the baseline report why or why not national indicators can be used on the outcome level.   |
| 3.13                                   | The data collection methods for the monitoring are feasible.   | yes/ no/ no information available in documents | The indicator is fulfilled, if the assessor deems the described data collection methods for the monitoring as feasible for the respective intervention.<br>In case that not sufficient information is provided in the respective results products, this indicator is rated with "no information available in documents".  |
| 3.14                                   | The method to follow up on the internal risks is clearly described.  | yes/ no  | The indicator is fulfilled, if the respective results products describe methods to monitoring the risks.  |
| 3.15                                   | The internal means needed (capacity development, HR, etc.) to implement the monitoring framework are defined.            | yes/ no  | The indicator is fulfilled, if the respective results products describe needed competencies or resources (financial human, etc.) for the implementation of the monitoring framework.  |
| 3.16                                   | The costs for data collection are described in sufficient detail.  | yes/ no  | The indicator is fulfilled, if the costs for the monitoring are broken down along its main components, mainly: data collection, analysis and reporting.   |
| 3.17                                   | Costs are planned per output.  | yes/ no  | The indicator is fulfilled, if the respective results products list the costs per planned output.   |
| 3.18                                   | The monitoring framework is based upon a digital solution.   | yes/ no/ no information available in documents | The indicator is rated with "yes" if the respective results products provide information that the monitoring framework is based upon a digital solution.<br>The indicator is assessed with "no", if the respective results products explicitly state that the monitoring framework is not based upon a digital solution.<br>In case that no information is provided about a digital or non-digital solution, this indicator is rated with "no information available in documents".  |
| 3.19                                   | The monitoring framework is user-friendly and visualises monitoring data in an easily understandable way.                | yes/ no/ no information available in documents | In case a visualisation of the digital solution is provided, the indicator is either rated with "yes" or "no".<br>If no visualisation is provided the indicator is rated with "no information available in documents".  |
| 3.20                                   | The partners have access to the digital monitoring framework.  | yes/ no/ no information available in documents | The indicator is rated with "yes" if the respective results products provide information on the access of the partner to the digital monitoring framework.<br>The indicator is assessed with "no", if the respective results products explicitly state that the partner does not have access.<br>In case that no information is provided about the access of the partner to the digital monitoring framework, this indicator is rated with "no information available in documents". |

| Assessment Criteria and Indicators              |  |  |  |
|---|--|--|--|
| No.   | Indicators   | Value  | Definition   |
| <b>4 Information availability &amp; quality</b> |  |  |  |
| 4.1   | Baselines are available for all output indicators.   | Skala von 1-10                                 | For this indicator it is assessed how many indicators have an assigned baseline value on output level in the respective results products. The rating reflects on a scale from 1-10 (10 meaning 100%) how many indicators have an assigned baseline value on output level.  |
| 4.2   | Baselines are available for all outcome indicators.  | Skala von 1-10                                 | For this indicator it is assessed how many indicators have an assigned baseline value on outcome level in the respective results products. The rating reflects on a scale from 1-10 (10 meaning 100%) how many indicators have an assigned baseline value on outcome level.  |
| 4.3   | Baselines are available for all impact indicators.   | Skala von 1-10                                 | For this indicator it is assessed how many indicators have an assigned baseline value on impact level in the respective results products. The rating reflects on a scale from 1-10 (10 meaning 100%) how many indicators have an assigned baseline value on impact level.  |
| 4.4   | The intervention uses the concept of a rolling baseline.   | yes/ no/ no information available in documents | The indicator is rated with "yes" if the respective results products provide information that the intervention is using a rolling baseline. The indicator is assessed with "no", if the respective results products explicitly state that the intervention is not using a rolling baseline. In case that no information is provided about what kind of baseline is used, this indicator is rated with "no information available in documents". |
| 4.5   | If the intervention uses the concept of a rolling baseline, a plausible explanation is given to not provide a baseline in the baseline report.                 | yes/ no  | This indicator is fulfilled, if the respective results products give an explanation why a rolling baseline is more suitable than a "normal" baseline for this intervention.  |
| 4.6   | Values achieved are available for all output indicators.   | Skala von 1-10                                 | For this indicator it is assessed how many indicators have a reported achieved value on output level in the respective results products. The rating reflects on a scale from 1-10 (10 meaning 100%) how many indicators have a reported achieved value on output level.  |
| 4.7   | Values achieved are available for all outcome indicators.  | Skala von 1-10                                 | For this indicator it is assessed how many indicators have a reported achieved value on outcome level in the respective results products. The rating reflects on a scale from 1-10 (10 meaning 100%) how many indicators have a reported achieved value on outcome level.  |
| 4.8   | Values achieved are available for all impact indicators  | Skala von 1-10                                 | For this indicator it is assessed how many indicators have a reported achieved value on impact level in the respective results products. The rating reflects on a scale from 1-10 (10 meaning 100%) how many indicators have a reported achieved value on impact level.  |
| 4.9   | A narrative explains the data for the outcome indicators.  | yes/ no  | This indicator is fulfilled, if the respective results products provide a narrative which explains reliability and validity of the data for the outcome indicators.  |
| 4.10  | A narrative explains the data for the outputs indicators.  | yes/ no  | This indicator is fulfilled, if the respective results products provide a narrative which explains reliability and validity of the data for the output indicators.   |
| 4.11  | Facts (Milestones and intermediate indicators) describe the progress form outputs towards the outcome.   | yes/ no  | The indicator is fulfilled, if the respective results products describe why or why not the change process is working from output to outcome by providing milestones and intermediate indicators.   |
| 4.12  | If a result is not on track (DAC criteria – effectiveness addresses results: C,D rating on effectiveness), a plausible interpretation is given.                | yes/ no  | This indicator is fulfilled, if the narrative explains plausibly why the result is not on track.   |
| 4.13  | Costs per output are shown in results products.  | yes/ no  | The indicator is fulfilled, if the respective results products list the actual costs per output.   |
| 4.14  | Costs per outcome are shown in results products.   | yes/ no  | The indicator is fulfilled, if the respective results products list the actual costs per outcome.  |
| 4.15  | The collected monitoring data reported is sufficiently disaggregated.  | yes/ no  | The indicator is fulfilled, if the monitoring data is disaggregated by sex or at least another characteristic which is important in the framework of the intervention.   |
| 4.16  | The information regarding the monitoring of internal and external risks is available.  | yes/ no (with 10% tolerance)                   | The indicator is fulfilled, if at least for 90% of the identified risks information is available in the respective results products.   |
| 4.17  | Comprehensive information (at least actions taken and achievements) regarding transversal themes listed in TFF (at least gender and environment) is available. | yes/ no  | The indicator is fulfilled, if the respective results products report at least on the transversal themes of gender and environment, thereby discussing actions undertaken and achievements reached.  |
| <b>5 Evidence Based Steering</b>                |  |  |  |
| 5.1   | Conclusions for the intervention logic are drawn from the data (hypotheses are reflected based on collected evidence).   | yes/ no  | The indicator is fulfilled, if there is a documented discussion about the hypotheses on the basis of the provided monitoring data in the respective results products.  |
| 5.2   | A discussion of the annual report is part of the agenda of the Q1 JLCB-Meetings.   | yes/ no  | The indicator is fulfilled, if the annual report is mentioned in the PPTs of the Q1 JLCB meetings.   |
| 5.3   | The steering committee takes strategic decisions (on output and outcome-level) that are based on monitoring inputs (annual report).                            | yes/ no  | The indicator is fulfilled, if the respective results products document strategic decision of the steering committee on output or outcome level which are based on the provided monitoring data.   |
| 5.4   | Conclusions for the allocation of budgets are drawn from the data and described.   | yes/ no  | The indicator is fulfilled, if the respective results products document conclusions for the allocation of budgets based upon the provided monitoring data.   |
| 5.5   | If changes are made in the intervention logic after the baseline report, these changes are clearly reported and justified.                                     | yes/ no  | This indicator is only assessed for those interventions which changed their intervention logic during their implementation. In these cases the indicator is fulfilled, if all changes are documented and explained plausibly in the respective results products.   |
| 5.6   | Changes in the intervention logic after the baseline report are adequately integrated in the monitoring framework.   | yes/ no  | This indicator is only assessed for those interventions which changed their intervention logic during their implementation. In these cases the indicator is fulfilled, if all changes (from inputs to outcomes) are integrated into the monitoring framework.  |
| 5.7   | If indicators change after the baseline report, new baseline information is delivered.   | yes/ no  | This indicator is only assessed for those interventions which changed their indicators during their implementation. In these cases the indicator is fulfilled, if for all changed indicators new baseline information is provided.   |
| 5.8   | Conclusions for the risk assessment are drawn and the risk management strategy is adjusted.  | yes/ no  | The indicator is fulfilled, if the respective results products document conclusions for the risk assessment and adjust the risk management strategy based upon these conclusions. The latter also has to be documented in the respective results products.   |



| Assessment Criteria and Indicators |   |         |  |
|------------------------------------|---|---------|--|
| No.                                | Indicators  | Value   | Definition   |
| <b>6 Accountability</b>            |   |         |  |
| 6.1                                | Results (outcomes) are reported and compared to targets.  | yes/ no | The indicator is fulfilled, if all results are reported and compared to targets in the respective results products. Even if targets are missing and this is explained in the respective results products, the indicator is still assessed with "no".                                       |
| 6.2                                | Assessment of integration of transversal themes (stated in the TFF) is reported.  | yes/ no | The indicator is fulfilled, if the approach of the integration of transversal themes (at least gender and environment) into the intervention is reflected with regard to observed weaknesses and strengths in the respective results products.   |
| 6.3                                | OECD DAC Criteria Review is conducted and results are described.  | yes/ no | The indicator is fulfilled, if an OECD DAC Criteria Review for all criteria is documents and its results are described in the respective results products.   |
| <b>7 Learning</b>                  |   |         |  |
| 7.1                                | Lessons learned are documented.   | yes/ no | The indicator is fulfilled, if lessons learned are documented in the respective results products.  |
| 7.2                                | If lessons learned are documented: lessons learned are sufficiently detailed to be useful for policy advice to donors and partners or for improving implementation strategies of interventions. | yes/ no | The indicator is fulfilled, if the lessons learned explicitly address the policy level or the implementation strategy of the intervention. General lessons learned such as "partners need to have sufficient capacities" are to be judged as too general and not as sufficiently detailed. |
| 7.3                                | OECD DAC Criteria Review includes advice for future interventions.  | yes/ no | The indicator is fulfilled, if the respective results products explicitly address advice for future interventions in the OECD-DAC Review.  |
| 7.4                                | Reports include advice for steering on sector level.  | yes/ no | The indicator is fulfilled, if the respective results products specifically address advice for the sector level.   |
| 7.5                                | Reports include advice for steering on country level.   | yes/ no | The indicator is fulfilled, if the respective results products specifically address advice for the country level.  |

## V. Analytical Grid for the Results Management Processes

| Analytical Grid for Phase 3 |  |  |             |                         |                     |                  |        |
|-----------------------------|--|--|-------------|-------------------------|---------------------|------------------|--------|
| No.                         | Evaluation questions, Dimensions and sub-questions   | Descriptor   | Source      |                         |                     |                  |        |
|                             |  |  | DGD meeting | Case Study in the field | Vertical case study | Interviews in HQ | Survey |
| A                           | How is USE of results information and how should it be?  |  |             |                         |                     |                  |        |
| 1                           | Steering   |  |             |                         |                     |                  |        |
| 1.1                         | How is results information used to steer the intervention?   | type, frequency and intensity of use of at intervention level  |             | x                       | x                   |                  |        |
| 1.2                         | What competing constraints (budgets, politics etc.) have an influence on steering decisions?   | competing constraints that hinder results-based steering decisions   |             | x                       | x                   |                  |        |
| 1.3                         | How is the TFF translated into a monitoring framework and how can decisions made in the TFF-phase be changed based on the baseline assessment? | type, frequency and intensity of use of at intervention level  |             | x                       | x                   |                  |        |
| 1.4                         | To what degree are changes in the intervention (ToC, indicators, allocation of budgets) possible, based on results information?                | examples of changes in the intervention (ToC, indicators, allocation of budgets) conducted.                |             | x                       | x                   |                  |        |
| 1.5                         | How is results information used to steer on sector level?  | Qualitative Information on the Use at sector level   |             | x                       | x                   |                  |        |
| 1.6                         | How is results information used to steer on country level?   | Qualitative Information on the Use at country level  |             | x                       | x                   |                  |        |
| 2                           | Learning   |  |             |                         |                     |                  |        |
| 2.1                         | How is results information used to learn for future interventions on country level?  | use of information for learning on country level   |             | x                       | x                   | (x)              |        |
| 2.2                         | How is results information used to learn for future interventions on Enabel sector level?  | Use of information for learning on Transversal level   |             |                         | x                   | (x)              |        |
| 2.3                         | How is results information used to learn on Enabel strategic level.  | Use of information for learning on Executive and governance level  |             |                         | x                   | x                |        |
| 3                           | Accountability   |  |             |                         |                     |                  |        |
| 3.1                         | What information is demanded by DGD and how does DGD use this information?   | Qualitative Information on information needed by DGD   | x           |                         |                     |                  |        |
| 3.2                         | To what degree does Enabel meet the standards set by DGD?  | Qualitative Information on information needed by DGD and comparison to information delivered               |             |                         |                     | x                |        |
| 3.3                         | How is Enabel using results information to communicate to the wider public?  | Use of results information in publicly available documents and communication                               |             |                         |                     | x                |        |
| B                           | What organisational factors enable or restrain the use of results information?   |  |             |                         |                     |                  |        |
| 4                           | Leadership   |  |             |                         |                     |                  |        |
| 4.1                         | How does the leadership encourage results based management on different levels of the organisation?  | occasions when leadership encourages/ discourages RBM  |             | (x)                     | (x)                 | (x)              | x      |
| 4.2                         | Who takes responsibility for good and bad results shown in the RBM systems on different levels?  | communication on results (not) achieved  |             | (x)                     | (x)                 | (x)              | x      |
| 4.3                         | How does the leadership support investments in RBM on different levels?  | occasions when investments in RBM were necessary, description of the way it was discussed (how do efforts) |             | (x)                     | (x)                 | (x)              | x      |
| 4.4                         | How much time is spent on discussing results information in steering committees and in management meetings compared to other issues?           | time spent on Results information in steering and management meetings (qualitative assessment)             |             | (x)                     | (x)                 | (x)              | x      |
| 5                           | Roles and responsibilities   |  |             |                         |                     |                  |        |
| 5.1                         | Are the roles and responsibilities implemented as they are defined in MoreResults?   | comparison of actual roles and responsibilities compared to MoreResults definitions                        |             | x                       | x                   | (x)              |        |
| 5.2                         | What explanations can be found for deviations?   | explanations for deviations  |             | x                       | x                   | (x)              |        |
| 5.3                         | What suggestions are given to improve the system?  | suggestions for improvements   |             | (x)                     | (x)                 | x                |        |
| 6                           | Processes  |  |             |                         |                     |                  |        |
| 6.1                         | Are the processes defined in MoreResults implemented as described?   | Implementation-Process of MoreResults  |             | x                       | x                   | (x)              |        |
| 6.2                         | What explanations can be found for deviations?   | Deviations in Implementation Processes and Explanation   |             | x                       | x                   | (x)              |        |
| 6.3                         | How does information flow upstream and downstream?   | Steps in the information flow  |             |                         | x                   | (x)              |        |
| 6.3                         | How are finance/planning processes based on and linked to results information?   | timing of operational planning and results reflections / results based JLCB decisions                      |             | x                       | x                   | (x)              |        |
| 6.4                         | What suggestions are given to improve the processes?   | Suggestions for improvement  |             | x                       | x                   | x                |        |
| 6.5                         | Are processes proportional and lean?   | Assessment of project managers   |             | x                       | x                   | (x)              |        |
| 7                           | IT Systems / Support systems   |  |             |                         |                     |                  |        |
| 7.1                         | To what degree, how and when is MONOP used for Monitoring?   | Description of the Use of MONOP for M&E  |             | x                       | x                   |                  |        |
| 7.2                         | Are there parallel systems in place?   | Systems used for Data Collection, Data aggregation and Illustration  |             | x                       | x                   |                  |        |
| 7.3                         | Who has access to the system?  | Persons with access to the described systems   |             | x                       | x                   |                  |        |
| 7.4                         | How is the new system perceived?   | first user experiences   |             | x                       | x                   |                  |        |

| Analytical Grid for Phase 3 |   |   |             |                         |                     |                  |        |
|-----------------------------|---|---|-------------|-------------------------|---------------------|------------------|--------|
|                             |   |   | Source      |                         |                     |                  |        |
| No.                         | Evaluation questions, Dimensions and sub-questions  | Descriptor  | DGD meeting | Case Study in the field | Vertical case study | Interviews in HQ | Survey |
| B                           | What organisational factors enable or restrain the use of results information?                                    |   |             |                         |                     |                  |        |
| 8                           | Administrative workloads  |   |             |                         |                     |                  |        |
| 8.1                         | How much time is spent by whom on data collection, data analysis and results reporting?                           | Estimates of time spent on different RBM components                                       |             | x                       |                     | (x)              |        |
| 8.2                         | Is the time spent on RBM proportional to the information obtained on different levels and for different purposes? | qualitative cost and usefulness comparison by different stakeholders                      |             | x                       |                     | (x)              |        |
| 9                           | Culture   |   |             |                         |                     |                  |        |
| 9.1                         | How important is results based management in the organisation?  | the way the discussions about results based management are framed                         |             | (x)                     | (x)                 | x                | x      |
| 9.2                         | How does the organisation handle situations in which results are not achieved?                                    | the way the discussions around goal attainment are framed                                 |             | (x)                     | (x)                 | x                | x      |
| 10                          | Formal and informal Incentive systems   |   |             |                         |                     |                  |        |
| 10.1                        | Which formal incentive systems exist to promote or discourage RBM?  | formal incentives that are mentioned by project managers that encourage or discourage RBM |             | x                       |                     | x                |        |
| 10.2                        | Which informal incentive systems exist to promote or discourage RBM?  | informal incentives that are mentioned that encourage or discourage RBM                   |             | x                       |                     | x                |        |
| 10.3                        | Which incentive systems could be put in place to promote RBM?   | suggestions for improvement   |             | x                       |                     | x                |        |

#### Legend

x = source of verification

(x) = possibly alternative source of additional information

Source: Syspons 2018

## VI. Selected Sample for the Quality Assessment of Results Products

| #  | Project code | Short Name           | Country                 | Donor          | Sector Enabel                   | Start Date | Total Budget    |
|----|--------------|----------------------|-------------------------|----------------|---------------------------------|------------|-----------------|
| 1  | BDI1408811   | PAISS-PC             | Burundi                 | DGD            | Health                          | 2014-11-13 | 2.182.437,00 €  |
| 2  | TAN1088811   | Scholarship          | Tanzania                | DGD            | Multisector                     | 2013-04-12 | 2.596.750,00 €  |
| 3  | BEN110231T   | ASPS                 | Benin                   | European Union | Agriculture & Rural Development | 2012-05-07 | 2.616.823,00 €  |
| 4  | MLI140421T   | PAIR                 | Mali                    | European Union | Governance                      | 2014-06-03 | 2.803.738,00 €  |
| 5  | PZA120281T   | BUSINCUB             | Palestinian Territories | European Union | Governance                      | 2014-12-15 | 3.271.028,00 €  |
| 6  | VIE1204811   | CDPR                 | Vietnam                 | DGD            | Governance                      | 2014-04-11 | 4.000.000,00 €  |
| 7  | UGA160321T   | EUTF SPRS-NU         | Uganda                  | European Union | Education                       | 2016-07-01 | 4.579.500,00 €  |
| 8  | UGA1402811   | ICB Phase II         | Uganda                  | DGD            | Health                          | 2015-07-28 | 5.000.000,00 €  |
| 9  | VIE1204311   | ClimateBT            | Vietnam                 | DGD]           | Infrastructure                  | 2013-06-20 | 5.200.000,00 €  |
| 10 | NER120351T   | PAPAT                | Niger                   | European Union | Agriculture & Rural Development | 2014-08-08 | 5.607.477,00 €  |
| 11 | NER1203411   | PHVP II              | Niger                   | DGD            | Agriculture & Rural Development | 2013-03-14 | 6.744.000,00 €  |
| 12 | TAN1102711   | KILORWEMP            | Tanzania                | DGD            | Agriculture & Rural Development | 2012-09-27 | 6.803.738,00 €  |
| 13 | UGA1503111   | NTC Mubende & Kabale | Uganda                  | DGD            | Education                       | 2016-07-28 | 8.000.000,00 €  |
| 14 | SEN1203011   | PASEPAR              | Senegal                 | DGD            | Infrastructure                  | 2014-11-25 | 8.334.862,00 €  |
| 15 | RDC1088811   | Bourses              | DR Congo                | DGD            | Multisector                     | 2013-03-17 | 9.765.064,00 €  |
| 16 | RDC1217211   | EDUKOR               | DR Congo                | DGD            | Education                       | 2014-11-06 | 10.000.000,00 € |
| 17 | RDC1015211   | Prelub               | DR Congo                | DGD            | Infrastructure                  | 2013-03-17 | 10.000.000,00 € |
| 18 | RDC1217111   | PRODAKOR             | DR Congo                | DGD            | Agriculture & Rural Development | 2013-07-03 | 11.000.000,00 € |
| 19 | RWA1309011   | RDSP DDP             | Rwanda                  | DGD            | Governance                      | 2015-06-30 | 11.150.000,00 € |
| 20 | PZA1303311   | LGRDP II             | Palestinian Territories | DGD            | Governance                      | 2015-06-11 | 12.000.000,00 € |
| 21 | RWA1509411   | Be2 EARP             | Rwanda                  | DGD            | Infrastructure                  | 2015-12-17 | 12.000.000,00 € |
| 22 | PER1001811   | MINAM II             | Peru                    | DGD            | Governance                      | 2012-04-27 | 13.064.035,00 € |
| 23 | BEN1302811   | PROFI VO             | Benin                   | DGD]           | Agriculture & Rural Development | 2015-10-08 | 16.000.000,00 € |
| 24 | RWA1208111   | Be1 EARP             | Rwanda                  | DGD            | Infrastructure                  | 2014-02-14 | 17.000.000,00 € |
| 25 | BDI1308211   | PAIOSA 3             | Burundi                 | DGD            | Agriculture & Rural Development | 2015-04-09 | 22.000.000,00 € |
| 26 | BKF160271T   | PARSIBKF             | Burkina Faso            | European Union | Governance                      | 2016-09-16 | 3.925.234,00 €  |
| 27 | SAF1001911   | TF                   | South Africa            | DGD            | Education                       | 2013-06-28 | 11.000.000,00 € |
| 28 | PER1001711   | SIS-TECN             | Peru                    | DGD            | Health                          | 2013-10-28 | 13.500.000,00 € |

| #  | Project code | Short Name | Country | Donor | Sector Enabel | Start Date | Total Budget   |
|----|--------------|------------|---------|-------|---------------|------------|----------------|
| 29 | MOR1088811   | bourses    | Morocco | DGD   | Multisector   | 2013-05-21 | 4.332.234,00 € |
| 30 | RWA1208311   | NRG CB     | Rwanda  | DGD   | Other         | 2014-02-14 | 5.000.000,00 € |

## VII. Questionnaire of the Conducted Online-Survey

### Welcome to the online survey of Enabel on organisational success factors in results-oriented monitoring

Thank you very much for taking the time to participate in this survey. In this survey, we would like to ask you to share your experience with results-oriented monitoring at Enabel, in particular with regards to your motivation, your experienced support by the leadership, provided incentives and the general organisational culture regarding results-oriented management at Enabel.

Responding to this survey will require approximately 10 minutes of your time.

#### Declaration of Consent:

This survey for the Evaluation of Results in the Management Cycle commissioned by us, Enabel - Belgian Development Agency, Rue Haute 147, 1000 Brussels, Belgium, and we are responsible for the processing of the data collected in this survey according to the General Data Protection Regulation (GDPR). We have commissioned SYSPONS GmbH, Prinzenstraße 84, 10969 Berlin, Germany, with the implementation of this survey and obliged it to strict confidentiality. It is the processor according to the GDPR.

If you participate in this survey and submit your answers at the end of the questionnaire, all the information that you provided in this questionnaire (survey data) will be submitted to Syspons GmbH, who will save and analyse it. We will receive the results of the analysis, for which Syspons will draw on the survey data.

Furthermore, Syspons is collecting data that is necessary for opening the online survey website, as well as information as to whether the survey link that was sent to you was used, and passes on this information upon our request.

Further information on the processing of data through Enabel can be found in our data protection declaration, which can be accessed at:  
<https://www.enabel.be/content/privacyverklaring-van-enabel-0>

Further information on the processing of data through Syspons GmbH can be found in their data protection declaration, which can be accessed at:  
<https://syspons.com/datenschutzerklaerung/>

The processing of data will take place exclusively within the framework of assessing the quality of the results-oriented management system and the use of results-information at Enabel; in particular in terms of your motivation, experienced support by the leadership, provided incentives and the general organisational culture regarding results-oriented management. The information will be used to develop recommendations in order to make the results-oriented management system of Enabel fit-for-future.

Your participation in this survey is voluntary. If you would like to participate, your declaration of consent to the processing of data is necessary, as we otherwise do not have the right to process your information within the framework of this survey under the applicable data protection laws.

You are free to revoke your consent any time by telephone or mail. In the case of revocation, all data processing to this point remains lawful.

☐ Hereby I consent to the data processing as described through my participation in the online survey for the Evaluation of Results in the Management Cycle. .

**Practical Information:**

Please use only the grey arrows at the bottom of the page in order to navigate through the questionnaire. Click on the right arrow for the next page and on the left arrow to get one page back. Please do not use the "back" and "forward" buttons of your browser because they don't work in this survey. Answers will be saved each time you click on the right or left grey arrow button. You can navigate back and make changes anytime while answering the questionnaire. Should you like to keep your answers and the questionnaire, you can print out the completed questionnaire at the end of the questionnaire.

Syspons will assist you if you have any content-related questions or remarks about this survey or in case of technical problems while completing this survey. In this case, please contact our consultant **Thore Hagemann**.

E-Mail: [survey@syspons.com](mailto:survey@syspons.com)

Phone: +49 30 6981 5800

Thank you very much for your support.

Kind regards,

Your Syspons Survey Team



## Use of Results-Oriented Management

1. To begin with, we would like to gather information about your usage of results-oriented management in your work. For this purpose, we would kindly ask you indicate how often and for what purpose you use results-oriented information in your work.

| I use results-oriented information in my work...   | Weekly                | Monthly               | Quarterly             | Yearly or less        | Never                 |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| ...to make managerial decisions at <u>input-activity-output level</u> .                        | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| to make managerial decisions at <u>output-outcome level</u> .                                  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| ...to write reports dealing with the <u>input-activity-output level</u> .                      | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| ...to write reports dealing with the <u>output-outcome level</u> .                             | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| ...to change work processes or re-orient my work focus at <u>input-activity-output level</u> . | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| ...to change work processes or re-orient my work focus at <u>output-outcome level</u> .        | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

2. Please indicate which of the following aspects in your work are the most important for you to achieve your work objectives.

For this purpose you can rank your Top 5 items using the provided drop down menus.

**(Filter: only for personnel not based in Headquarters - see background data)**

|   | Ranking                                 |
|---|---|
| Delivering milestones on-time <sup>56</sup> | Drop down menu with Top 5 Priority List |
| Outflow of funds                            | Drop down menu with Top 5 Priority List |
| Results-oriented management                 | Drop down menu with Top 5 Priority List |
| Relations to my partner organisations       | Drop down menu with Top 5 Priority List |
| Create a good working environment           | Drop down menu with Top 5 Priority List |
| Following up on request from headquarters   | Drop down menu with Top 5 Priority List |
| Coordination with other donors              | Drop down menu with Top 5 Priority List |

<sup>56</sup> Note for programmig: Please programm these items also randomised.

|   |   |
|---|---|
| Implementing/ supervising work packages | Drop down menu with Top 5 Priority List |
| Reporting                               | Drop down menu with Top 5 Priority List |
| Logistical work                         | Drop down menu with Top 5 Priority List |

## Leadership

3. Now, we would like to gather some information about the support offered by your direct supervisor regarding results-oriented monitoring. Therefore, we invite you to answer the following questions using a scale from "not at all" to "very great extent".

**With the term "leadership" we do not necessarily mean your direct superior, but also leadership within teams and initiatives by colleagues.**

**(Filter: Seconded national personnel do not receive this question)**

| The leadership   | ...                   | ..                    | • /◇                  | ◇◇                    | ◇◇◇                   |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
|  | Not at all            | Slight extent         | Moderate extent       | Great extent          | Very great extent     |
| ... has developed a plan to facilitate implementation of evidence-informed practices.                          | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| ... has removed obstacles to the implementation of evidence-informed practice.                                 | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| ... has established clear department standards for the implementation of evidence-informed practice.           | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| ... is knowledgeable about evidence-informed practice.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| ... is able to answer my questions about evidence-informed practice.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| ... knows what he or she is talking about when it comes to evidence-informed practice.                         | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| ...recognizes and appreciates employee efforts toward successful implementation of evidence-informed practice. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| ... supports employee efforts to learn more about evidence-informed practice.                                  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| ... supports employee efforts to use evidence-informed practice.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| ...perseveres through the ups and downs of implementing evidence-informed practice.                            | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| ...carries on through the challenges of implementing evidence-informed practice.                               | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

|   |                       |                       |                       |                       |                       |
|---|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| ... reacts to critical issues regarding the implementation of evidence-informed practice by openly and effectively addressing the problem(s). | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| ...has discussed with me information from the results-oriented management system in the last three months.                                    | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| ...has taken decisions based upon information from the results-oriented management system in the last three months.                           | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| ...has supported me in building or improving results-oriented management.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

## Motivation and Incentives

4. Furthermore, we would like to ask you about your motivation to implement results-oriented management to achieve your work objectives. Hence, we would like you to fill out the following questions using a scale from "strongly disagree" to "strongly agree".

**(Filter: only for personnel not based in Headquarters - see background data)**

|   | ...                   | ..                    | • /◇                       | ◇◇                    | ◇◇◇                   |
|---|-----------------------|-----------------------|----------------------------|-----------------------|-----------------------|
|   | Strongly disagree     | Disagree              | Neither agree nor disagree | Agree                 | Strongly agree        |
| To me the implementation of results-oriented management in my intervention(s) is <u>interesting</u> .   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| To me the implementation of results-oriented management in my intervention(s) is <u>fun</u>   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| The implementation of results-oriented management in my intervention(s) is done <u>for my own good</u> .                                      | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| The implementation of results-oriented management in my intervention(s) is <u>important for me</u> .  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| The implementation of results-oriented management in my intervention(s) is <u>my personal decision</u> .                                      | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| To me the implementation of results-oriented management in my intervention(s) is something that <u>I have to do</u> .                         | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| To me the implementation of results-oriented management in my intervention(s) is something that <u>I am supposed to do</u> .                  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| To me there may be good reasons for the implementation of results-oriented management in my intervention(s), but personally I do not see any. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| I am not sure if the implementation of results-oriented management is worth it.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| There are other activities in my intervention(s) which are more important than results-oriented management.                                   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |

5. In addition, we would like to ask you about your motivation to use results-oriented information to achieve your work objectives. Hence, we would like you to fill out the following questions using a scale from "strongly disagree" to "strongly agree".

|   | ...                   | ••                    | • / ◇                      | ◇◇                    | ◇◇◇                   |
|---|-----------------------|-----------------------|----------------------------|-----------------------|-----------------------|
|   | Strongly disagree     | Disagree              | Neither agree nor disagree | Agree                 | Strongly agree        |
| I use results-oriented information in my daily work, because <u>it is interesting</u> .                             | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| I use results-oriented information in my daily work, because <u>it is fun</u> .                                     | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| I use results-oriented information in my daily work, because <u>it is helpful for my work</u> .                     | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| I use results-oriented information in my daily work, because <u>it is important for my work</u> .                   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| I use results-oriented information in my daily work, because <u>I personally decided to use it</u> .                | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| I use results-oriented information in my daily work, because <u>I have to do it</u> .                               | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| I use results-oriented information in my daily work, because <u>I am supposed to do it</u> .                        | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| There may be good reasons for using results-oriented information in my daily work, but personally I do not see any. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| I am not sure that using results-oriented information in my daily work is worth it.                                 | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| There are other activities in my daily work, which are more important than using results-oriented information.      | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |

## Organisational Learning Culture

6. Now, we would like to hear your views about Enabel's organisational learning culture. Therefore, we would like you to fill out the following questions using a scale from "strongly disagree" to "strongly agree".

**(Filter: Seconded national personnel do not receive this question)**

|  | ...                   | ••                    | • / ◇                      | ◇◇                    | ◇◇◇                   |
|--|-----------------------|-----------------------|----------------------------|-----------------------|-----------------------|
|  | Strongly disagree     | Disagree              | Neither agree nor disagree | Agree                 | Strongly agree        |
| In my organisational unit new ideas are readily accepted.                | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| My organisational unit is quick to respond when changes have to be made. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| My direct management is quick to spot the need to do things differently. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |

|  |                       |                       |                       |                       |                       |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| In my organisational unit I can rely on assistance to develop new ideas.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| In my organisational unit people are always searching for new ways of looking at problems.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| My organisational unit is very flexible; it can quickly change procedures to meet new conditions and solve problems as they arise. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| In my organisational unit the methods used to get the job done are often discussed.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| In my organisational unit objectives are modified in light of changing circumstances.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| In my organisational unit, time is taken to review the development pathways and hypothesis of the commissioned interventions.      | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

### **MoRe Results at Enabel**

7. Furthermore, we would like to hear your general perspective on MoRe Result at Enabel. Hence, we would like you to rate the following statements using a scale from “strongly disagree” to “strongly agree”.

**(Filter: Seconded national personnel and personnel at headquarters do not receive this question)**

|   | ...                   | ..                    | • / ◇                      | ◇◇                    | ◇◇◇                   |
|---|-----------------------|-----------------------|----------------------------|-----------------------|-----------------------|
|   | Strongly disagree     | Disagree              | Neither agree nor disagree | Agree                 | Strongly agree        |
| I feel sufficiently informed about the Enabel guidelines on how to apply results monitoring.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| I know where to look for information about the Enabel guidelines on how to apply results monitoring.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| My intervention uses a Theory of Change to reflect on the pathway towards change and analyse results information.   | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| The discussions in our team on the use of outputs and on the outcome level lead to modifications in the intervention strategy.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| I have a clear understanding of who the users of the baseline report, the MONOP and the annual results report are, and to what end they use the information.                        | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| I have a clear understanding of who the users of mid-term and end-term review are, and to what end they use the information.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| My team uses the writing of the annual results report as an opportunity to reflect on our shared understanding of the envisioned change path as well as the underlying assumptions. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |
| Our intervention’s monitoring system renders visible <u>how</u> change occurs.  | <input type="radio"/> | <input type="radio"/> | <input type="radio"/>      | <input type="radio"/> | <input type="radio"/> |

|   |                       |                       |                       |                       |                       |
|---|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| I have a clear understanding of who is interested in good practices and lessons learned from field interventions. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| I have a clear understanding of what kinds of products are used within Enabel to promote organisational learning. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

### **About you**

Finally, we would like to gather some information about you and your position at Enabel.

**(Filter: Only seconded national personnel receive this question)**

|  |
|--|
| 8. In which country are you based?                                 |
| Drop-down menu with Enabel partner countries (see background data) |

**(Filter: Only personnel at headquarters receive this question)**

|   |
|---|
| 9. To which organisational unit do you belong?                                      |
| Drop-down menu<br>OPS Department<br>EST Department<br>FIN or HR Department<br>Other |

|  |
|--|
| 10. If you have any further comments about this survey or results-oriented monitoring at Enabel, please provide them here. |
|  |

## VIII. Requirements for Fit-for-Purpose

Enabel is currently undergoing a change process of its organisational and institutional structures due to its transformation from BTC to Enabel which took effect in January 2018. This change process has strategic and operational implications that also influence the results-oriented management at Enabel. As a result, the evaluation identified - in a participatory process - future requirements for a results-oriented management system at Enabel on the basis of its evaluation results (see chapter 4).

For this purpose, in-depth interviews and a requirement workshop were implemented. In the workshop future requirements along the following dimension were identified:

- Purpose of the results-oriented management system
- Supportive organisational structures and processes
- Leadership support
- Incentives
- Results products

It was believed by the participating stakeholders that the requirements in these dimensions are essential to make the implementation of results-oriented management and the use of results-information at Enabel more effective and to better inform the core organisational functions of Enabel such as knowledge management, organisational learning, quality in implementation as well as accountability and transparency towards its relevant stakeholders in the future.

The process for the identification of new requirements thereby took into consideration the newly introduced portfolio approach under the new management contract as well as ongoing procedural changes at Enabel. However, not all new framework conditions could be considered as there were still many processes at the time this evaluation was conducted which had to be detailed and agreed upon between Enabel and DGD.

### **Future Requirements for the Purpose of a Results-Oriented Management System**

In the in-depth interviews during the evaluation it became apparent that the purpose of the results-oriented management system at Enabel is not clear to all staff. Furthermore, it could be highlighted that the aim of the results products to serve all three functions of the results-oriented management system (accountability, steering and learning) makes the purpose of the results products less clear to Enabel staff (e.g. accountability information vs. information on learning).

As a result, in the requirement workshop the purpose and functions for a future results-oriented management system at Enabel were defined. For this purpose, requirements for results-oriented information needs were defined along the different organisational level of Enabel (country level and headquarters) as well as for the various involved stakeholders on these levels. Furthermore, requirements for results-oriented information were defined for DGD and the cabinet (see figure 22).

Hereby it has to be noted that the future requirements for results-oriented information needs regarding DGD and the cabinet still have to be clarified in terms on what level (portfolio, intervention, entire organisation) this kind of information is needed.



**Figure 22 -Future Requirements for the Purpose of a Results-Oriented Management System at Enabel**

|                                   | Country Level  |  |  | HQ   |   |  | Ministry  | Politics   |
|-----------------------------------|--|--|--|--|---|--|---|--|
|                                   | Interventions  | Enabel Country Office  | Partners   | Operations   | Expertise   | Management/Board   | DGD   | Cabinet  |
| <b>Steering / Decision making</b> | 1. Information for monitoring and steering the intervention (input-activity-output and general issues) every three months<br>2. Information to raise issues and challenges in order to involve necessary stakeholders on an ad-hoc basis (e.g. resident representative for needed escalation)<br>3. Information to reflect on output-outcome once a year to take larger steering decisions | 1. Information to allocate resources and support the achievement of objectives,<br>2. Information to support dialogues with the partner (also to escalate with the partners, if interventions do not reach solutions),<br>3. Information to steer the portfolio (allocate resources between interventions) | 1. Information for monitoring and steering the intervention<br>2. Information for monitoring and steering the portfolio ( <i>this still has to be clarified as the final processes were not yet set up</i> ) | 1. Information to allocate resources and support to achieve objectives when challenges occur   | 1. Information to allocate resources and support to achieve objectives when challenges occur  | 1. Information to make informed strategic management decisions (allocation of resources, instruments, etc. ) based on aggregated and processed results information | 1. Information for decisions on future portfolios<br>2. Information for decisions on policy   | 1. Information for decisions on future portfolios<br>2. Information for decisions on policy  |
| <b>Accountability</b>             | 1. Information to account to the steering committee<br>2. Information to account to donors<br>3. Information to internally account for agreed decisions to the resident representative and the operation department  | 1. Information to account for the progress on the portfolio  | x  | x  | x   | 1. Information for Enabel's communication to the DGD, the cabinet, the parliament and the general public   | 1. Information to account for interventions and portfolios as well as transversal themes towards parliament, the cabinet and the general public | 1. Information to account for interventions and portfolios as well as transversal themes towards parliament and the general public |
| <b>Learning</b>                   | 1. Information to learn to steer towards better results (e.g. pilot an approach and use it for a roll-out)   | 1. Information to learn what works and what doesn't for future interventions in the country and the portfolio in general   | 1. Information to learn what works and what doesn't for their own policies<br>2. Information to learn what works and what doesn't for future cooperation   | 1. Information to reflect on different financial instruments and management processes (learn what works and what doesn't) in order to facilitate the processes in the future | 1. Information to reflect on different approaches (learn what works and what doesn't) in order to improve future project design, institutional settings, etc. | 1. Information to learn for strategic decision-making on results   | 1. Information to learn for the next programming cycle  | x  |

Source: Syspons 2018

## Future Requirements for Supportive Organisational Structures and Processes

To support the implementation of results-oriented management and the use of results-information the following requirements for the future results-oriented management system were put forward by Enabel staff present in the requirement workshop. However, not all levels of hierarchy were present at the workshop.

### *Future Requirements for Supportive Systems and Structures*

- There should be **one digital platform for results-oriented monitoring**, management, risk management, procurement planning, reporting and finances. All different data should be editable in real time and separate management tools and reporting tools should be avoided. The system should further possess a high usability. It was believed that PILOT could take over this function in the future.
- There should either be capacities within the organisation or a mechanism to procure external **support to set-up results-oriented monitoring systems and data collection systems** for the intervention level.
- The **Expertise Department should develop guidelines or manuals for the development of indicators and baselines**. More precisely, the Expertise Department should develop a manual of good practice standards for output and outcome (qualitative or quantitative) indicators for each sector and transversal theme. Furthermore, a guideline on “what are good indicators” and how to link these indicators to the 23 DGD SDG indicators should be developed. Finally, a manual on “how to build a baseline” should be established.
- **Capacities in statistical knowledge** should be build-up in the organisation to answer ad-hoc questions regarding the interpretation of results-oriented information. This can be done either via trainings for Enabel staff or through the creation of a respective position in the Expertise Department.
- **Capacities in the organisation to systematise, aggregate and analyse results-oriented information should be established**. To use results-oriented information on different levels of the organisation, capacities have to be created which are able prepare the data for learning, steering and accountability processes beyond the level of the intervention. Once this data has been analysed learning events in the relevant scope should be organised to transfer lessons learned.

### *Future Requirements for Supportive Processes*

- On intervention level a **reflection process** should be introduced in which the intervention manager reflects with the resident representative/ portfolio manager on the provided results-oriented information. This reflection process should occur every three months and should be focused on the input-activity-output dimension of the interventions. Furthermore, two annual meetings between the resident representative/ portfolio manager and the intervention manager should take place in which both reflect on the output-outcome dimension of the intervention. In this reflection processes decisions for the intervention as well as learning should take place.

For this reflection process it has to be clarified whether the strategic reflection should be done on intervention or portfolio level in the future. In case that the reflection should occur on portfolio level there is the danger that the reflection does not take place as decision-making and learning can only occur on this level if the portfolio is more than the sum of its interventions.

- **Flexible models should be used to finance M&E positions at Enabel**. M&E officers could for example not be connected to a single intervention but to several interventions in the field of e.g. vocational training. In this position they would be responsible for the M&E in all interventions and financed proportionate from the respective interventions. They would then

be able to transfer knowledge and learning between the interventions and e.g. aggregate and analyse results-oriented information on sector/ thematic field level.

### Future Requirements for Leadership Support

In terms of future requirements for leadership support, the following aspects were seen as essential by the participants in the workshop and the interviewed persons in the in-depth interviews:

- The leadership should **lead by example** by actively supporting the implementation of results-oriented management and by requesting results-oriented information for strategic decisions. It should make these decisions on the basis of the provided results-oriented information and not on grounds of anecdotal evidence or political reasons.
- Leadership should provide **active feedback** on the provided results-oriented information and the results product.
- Leadership should **give visibility** to high quality results-oriented information within the organisation and towards relevant stakeholders. It should also support this information when issues escalate.
- Leadership should **create an enabling environment** in which results-oriented management and the use of results-oriented information is possible (see chapter 6.2).

### Future Requirements for Incentive Structures

Furthermore, future requirements for incentives were discussed in the requirements workshop and the in-depth interviews. On the one hand incentive structures were discussed on a general level and on the other hand for each position relevant for results-oriented management at Enabel. Concerning the latter incentives, disincentives and potential challenges were discussed (see figure 22).

On the general level the following requirement was put forward for future incentive structures:

- To facilitate organisational learning, **strategic objectives for learning** should be established. On country level learning objectives should be developed and set. These objectives should be connected to the overall strategic plan of Enabel. The resident representatives should be held accountable to reach these objectives on country level. Furthermore, similar objectives should be developed and set for the Expertise and Operation Department.

Regarding incentives and disincentives for the different positions responsible for results-oriented management at Enabel, the following incentives, disincentives and challenges were highlighted by Enabel staff present in the requirement workshop (see figure 23):

**Figure 23 -Incentives and Disincentives for Results-Oriented Management at Enabel**

|                                 | Incentives  | Challenge   | Disincentives  |
|---------------------------------|---|---|--|
| <b>Intervention Team Member</b> | <ul style="list-style-type: none"> <li>* proven usefulness of information</li> <li>* visualizing success with the information</li> </ul>  |   | <ul style="list-style-type: none"> <li>* lack of time</li> <li>* lack of knowledge/confidence</li> </ul>   |
| <b>Intervention Manager</b>     | <ul style="list-style-type: none"> <li>* proven usefulness of the information</li> <li>* visualizing success with the information</li> <li>* acknowledgement by hierarchy</li> <li>* using the provided result-oriented information evaluations</li> </ul>  | <ul style="list-style-type: none"> <li>* good results-oriented management could also be perceived as "trouble making" if you try to majorly change or stop an intervention</li> </ul> | <ul style="list-style-type: none"> <li>* contracts for one intervention (your next contract does not depend on results-oriented management)</li> <li>* if you push to stop an intervention, you loose your job</li> <li>* there is a general motivation to depict your project in a good light</li> </ul>        |
| <b>Resident Representative</b>  | <ul style="list-style-type: none"> <li>* proven usefulness of the information</li> <li>* visualizing success with the information</li> <li>* being better informed about the projects</li> <li>* acknowledgement by hierarchy</li> <li>* including quality of results-oriented management in development circles</li> </ul>   | <ul style="list-style-type: none"> <li>* good results-oriented management could also be perceived as "trouble making" if you try to majorly change or stop an intervention</li> </ul> | <ul style="list-style-type: none"> <li>* they change positions every four years. Hence, they don't have to bear the consequences of their decisions in the long run.</li> </ul>  |
| <b>OPS-advisors</b>             | <ul style="list-style-type: none"> <li>* being better informed about the projects and more information on the achievement of objectives</li> <li>* insight: what actually works</li> <li>* better timing of MTR, etc.</li> <li>* being better able to give answers to DGD</li> <li>* distribute more accurate information</li> <li>* set targets for analyses/lessons learned in development circles</li> </ul>         |   | <ul style="list-style-type: none"> <li>* issues come clearer on your plate and you have to deal with them</li> <li>* you need to find solutions and you cannot say you didn't know</li> <li>* no possibility to assure quality on products (not involved in reviewing the quality of result products)</li> </ul> |
| <b>OPS-Managers</b>             | <ul style="list-style-type: none"> <li>* recognition</li> <li>* communication to the public on results</li> </ul>   |   | <ul style="list-style-type: none"> <li>* competition</li> <li>* decisions being taken on higher level without considering results-oriented information</li> <li>* lack of trust / public/political criticism for bad results</li> </ul>  |
| <b>EST-Advisors</b>             | <ul style="list-style-type: none"> <li>* being better informed about the projects and more information on the achievement of objectives</li> <li>* insight: what actually works</li> <li>* better timing of backstopping etc.</li> <li>* being better able to give answers to DGD</li> <li>* distribute more accurate information</li> <li>* set targets for analyses/lessons learned in development circles</li> </ul> |   | <ul style="list-style-type: none"> <li>* issues come clearer on your plate and you have to deal with them</li> <li>* you need to find solutions and you cannot say you didn't know</li> </ul>  |
| <b>EST-Managers</b>             | <ul style="list-style-type: none"> <li>* more fact-based decisions on backstopping and formulation</li> </ul>   |   | <ul style="list-style-type: none"> <li>* lack of time</li> <li>* no clear guidelines on priorities</li> <li>* competition</li> <li>* decisions being taken on higher level without considering results-oriented information</li> <li>* lack of trust / public/political criticism for bad results</li> </ul>     |

Source: Syspons 2018

## Future Requirements for Results Products

Regarding the future results products the following requirements for the new results-oriented management system were discussed by Enabel staff present in the requirement workshop. Expectations towards the new management contract were thereby taken into consideration as much as possible. These also translate into changes for the focus of some results products.

- The **Baseline Report** should be restricted to the description of the baseline values, the risk assessment and the description of the proposed monitoring framework including foreseen data collection methods. Furthermore, it should entail the (adjusted) Theory of Change as a figure and as a narrative. Under the new system this also means that pathways and indicators connecting the intervention to the portfolio and/ or the SDG indicators of DGD have to be described.
- **MONOP** should be completely replaced by PILOT. Content wise it should stay the same.
- The future function of the **Annual Report** is unclear - if there is a portfolio report. If this is the case, it can either be dropped if there is no difference to the Portfolio Reports or its content has to be discussed with DGD.
- **Mid-Term Reviews** should take place at intervention level. They should focus on providing information for steering decision on intervention level. They should not be used for accountability or learning purposes.
- **End-Term Reviews** should take place at the appropriate level depending on the structure of the portfolio. This means that they can either be conducted at intervention level, programme level or thematic/ sector level (if the portfolio consists out of different interventions in the same sector). They should focus solely on learning and should be much closer linked with capitalisation processes.
- The **Final Report** should be dropped as a results product.
- The **Portfolio Report** should only report on the factual achievement of the agreed indicators towards the donor. It should entail arguments why or why not milestones or objectives have been reached.
- The **Portfolio Analysis Report** should focus on learning and steering for the whole portfolio. It should further include analysis and propositions for re-allocations of budgets within the organisation due to lessons learned or changed circumstances.

## IX. Terms of Reference

- **See additional document**



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