National Evaluation Capacity Index

Working paper

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Your participation and comments are important

This working paper summarises progress in the development and implementation of the National Evaluation Capacity Index (INCE as per its acronym in Spanish).

Since the beginning, the INCE has been conceived as collectively by representatives from evaluation units of the governments in the region, professional evaluation networks, academic centres, civil society organisations and bilateral and multilateral international agencies who contributed to its development through different consultation mechanisms (technical meetings, specific consultations, review of consultancy deliverables, etc.).

All members of the Working Group can also contribute by commenting on this paper[1].

Thank you very much for your collaboration!

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[1] Please send your comments to Juan Sanz, DEval (juan.sanz@deval.org) and Michala Assankpon, WFP (michala.assankpon@wfp.org), who are responsible for regular updates and dissemination of the working paper.

Contents

This working paper has, so far, four chapters. Chapter 1, by way of introduction, presents the wider basis of the index (its origin, purpose and goals and guiding principles), as well as details of the work and consultation process followed so far. Chapter 2 is devoted to the presentation of the structure of the index and a conceptual reflection. Chapter 3 presents the methodology that was applied for the measurement. Chapter 4 presents a proposal for visualisation of the INCE.

1. Introduction to the INCE

The goal of the INCE is to measure evaluation capacities and practices in the field of public policies, programmes and services, and to translate this into a periodic report summarising the characteristics and trends observed in each country.

The INCE is set to become a milestone in supporting the development of national evaluation capacities, one of the requirements of the 2030 Agenda, which in its Target 16.6 calls on the international community to "*Develop effective, accountable and transparent institutions at all levels*". Similarly, it proposes in its Target 17.9 to "*Enhance international support for implementing effective and targeted capacity-building in developing countries to support national plans to implement all the sustainable development goals, including through North-South, South-South and triangular cooperation*", and its Target 17.19 reads "*By 2030, build on existing initiatives to develop measurements of progress on sustainable development that complement gross domestic product, and support statistical capacity-building in developing countries*".

1.1. The INCE's origins and approaches

The driving idea

The INCE initiative is inspired by the way various organisations have managed to make visible and generate public debate on a topic through the elaboration and publication of indices-reports based on methodological rigour and national representativeness and supported by a final product that facilitates comparative analysis, the identification of good practices as well as a strategy for visualising results and use-oriented communication. Two examples are the Transparency Index and various indices on democratic quality, which annually provide evidence to inform and encourage debate among sector players; and the Human Development Index, which has managed for decades to place the debate on human development on the agenda of governments, social organisations and the media.

Without renouncing the necessary *advocacy* function that the publication of a periodic report of this nature entails, the main function of the INCE - applied to the reality of evaluation in each country - is primarily oriented towards the improvement of the evaluation agenda, with the national authorities as the main target recipients. Second, the index aims to facilitate exchange between countries and organisations based on the identification of critical areas and good practices to share. In this sense, the INCE is understood as a tool of double utility: of appropriation by the States and of comparison with other practices in the region. It is a tool that has proven (like other indices) to have a major impact because of its advocacy[2].

Undoubtedly, the INCE could become one of the milestones in terms of national evaluation capacity development (NECD), demand that is clearly outlined in the 2030 Agenda. Finally, the INCE aims to contribute with periodic evidence to address one of the great evaluation-related challenges of the 2030 Agenda: how the national evaluation agendas are adapting and progressing in response to the challenges of meeting the SDGs at national and global levels.

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[2] We understand political relevance as the possibility of generating transformative changes in people's lives through public policies and programmes.

1.2. Scope, purpose and goals of the INCE

Scope

National systems and agendas for the evaluation of public policies, considering dimensions related both to demand (institutional mandates and capacities, use, etc.), mainly derived from government action (executive branch), but also from the legislative branch and civil society organisations; and to the existing supply (professionalisation, training, academic research, professional networks, etc.).

Purpose and goals

The index aims to provide empirical evidence on the progress of evaluation in each of the countries and in the region, with the following goals:

GOAL 1:   Facilitate the development of national evaluation systems, as a heart of the initiative, linked to the SDGs and the challenges of the 2030 Agenda.

GOAL 2:   Position and make visible the evaluation function, its progress and challenges, in the eyes of multiple stakeholders (governments, evaluation societies and professionals, international organisations, media, academia), as a critical task of special relevance in the construction of good governance and in the progress towards the 2030 Agenda.

GOAL 3:   Promote an evidence-based exchange among stakeholders within and between countries by identifying, from the first report and over the years, national and regional strengths and challenges in each of the dimensions of the index, as well as good practices and trends in progress, which in turn encourages:

(a) At the national level: collective knowledge and evidence-based decision-making to advance national and regional progress in this field through increasingly informed planning of national initiatives, South-South or triangular exchange between countries and harmonisation of international cooperation aligned with nationally identified areas of interest.

(b) Among regional and international actors: to orient the capacity development actions deployed by the United Nations System, bilateral cooperation agencies and academic centres in a more coordinated and harmonised manner, based on a clear assessment of the strengths and areas for improvement in this field in each country, subregions and at the regional level.

1.3. Guiding principles

National ownership, international alignment, and multi-stakeholder co-creation. Consistent with the 2030 Agenda and in the light of similar experiences, both the utility of the index report and the process of consultation with national stakeholders to collect information for its elaboration will be successful to the extent that the definition and development of the index are based on national ownership, which entails aggregating the commitment of governments and national stakeholders in each country for a quality, functional, effective and transparent evaluation agenda.

National evaluation capacities and government needs at the centre of the process. All steps in the process - from the definition of the index and its components, through the process of regular data collection and publication of the report as the final product, to the discussion and use of its results - should be seen as windows of opportunity to strategically frame and guide current and future efforts to strengthen national evaluation capacities addressing government needs and priorities.

Multi-stakeholder approach. To provide institutional legitimacy and national and international recognition, with each institution contributing from its main function and mandate and in clear support to the agendas of the governments in the region.

Appropriate balance between learning, good practice and accountability. Both the process and the presentation of results must balance the above-mentioned goals related to improvement (i.e. the identification of strengths and areas for improvement for the purpose of national self-assessment and exchange of experiences between countries; and the subsequent targeting of national and international support and technical assistance initiatives) with proper accountability to national authorities and citizens of each country on progress made in this area.

Simple communication and visualisation of complex phenomena. Which makes it possible to position the issue on the political agenda and in the media, encouraging critical debate aimed at improving and attracting additional resources and technical support.

Capture what is most relevant for decision making, in a rigorous, comparable, and practical way, with the end user in mind: decision makers in governments and international organisations. The elaboration of the index, accordingly, should not be based on an exhaustive handling of multiple dimensions and variables that would jeopardise its regional applicability, but on capturing by various means (data, opinion polls, benchmarking, etc.) those common and relevant facts that lead to a better positioning of Evaluation on the national public agenda. This is intrinsically related to the agreements on the different dimensions to be measured, but also to the need to define different layers of information to be collected and reported, so that the main dimensions (1st layer) are informative enough to guide decision making at the policy level, leaving the remaining layers of more specific and/or descriptive information to go deeper into the issue at a more technical level.

Achieve the necessary conditions, not a predefined system or model. As such, the INCE should not take its value benchmarks from one model or another in defining national evaluation capacities, primarily in reference to governmental demand (e.g., centralised vs. deconcentrated; ordered around a lead agency vs. sectoralised); but whether the multiple models have the necessary capacities to achieve their potential.

Bring together as many sectors as possible around public policies. The INCE should represent the reality of each country in general and for all those sectors for which information is available. This greater or lesser sectoral range covered will have adequately represented when presenting and visualising the results in each country.

1.4. Institutionalisation and functions

Proposed institutional structure to support the INCE Initiative is the following:

Working Group

- Formed by representatives of all entities linked to evaluation development and interested in joining the initiative[3]: representatives of governments, bilateral and multilateral agencies, VOPE[4], civil society organisations and other actors in the region related to evaluation capacity development.

- Consultative function. Identify the elements of the INCE that need to be updated or improved. They contribute with proactive actions and take part in technical discussions (Working Group meetings). They are active in presenting and representing the initiative (conferences, workshops, etc.). They contribute to the deliberation processes on strategic decisions.

- Validation function: They comment on and validate the proposals prepared by the consultant teams and/or the Secretariat. This supports the INCE Initiative through its broad inter-agency representation and presence in the region.

Governmental Group

- Made up of representatives of the governing bodies of the evaluation function of the countries participating in the initiative (those in which the measurements are performed).

- Decision-making function. They make strategic decisions related to the INCE initiative, after deliberation with the Working Group.

- Driving role. They are responsible for optimising the use of measurement results at the national level. Promote the participation of national stakeholders in the measurement and use phases of the INCE.

Secretariat

- Made up of representatives of WFP and DEval. With the support of a team of consultants that adjusts according to the phase and products to be developed.

- Role of facilitator. They keep track of the members of each group and facilitate communication. Ensure the active participation of all stakeholders in contributing to the development of the index through the Working Group and the Governmental Group. They share strategic decisions and annual work plans to the Working Group for deliberation and subsequent approval by the Governmental Group. They organise the face-to-face and virtual meetings of the Working Group and monitor agreements. They periodically update the

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[3] The entities/representatives that make up each of the groups can be found in Annex 01.
[4] Voluntary organisations for professional evaluation.

working paper that records the INCE's progress and share, for review and approval, the products generated by external consultations.

- Management function. They raise and manage the funding for the initiative. They provide guidelines and outlines of work to the teams of consultants hired to implement the annual work plans. They monitor and report on the fulfilment of work plans.

- Driving role. They manage the website. Organise and promote the participation of the Working Group in global presentations of the initiative. Disseminate the initiative through participation in conferences, press releases, articles, etc.

1.5. INCE Development Process

The road to here (2017-2021)

In December 2017, the second meeting of the Regional Platform of the FOCEVAL project was held in Guanajuato, Mexico, where the idea of developing an index on national evaluation capacities was proposed for the first time. Subsequently, in April 2018, a webinar was held at the invitation of WFP and DEval, in which its main features and some guiding principles were presented and the interest of the participating entities (RELAC, CLEAR-LAC, DEVAL and WFP, representing the UNDG-LAC M&E Task Team) was sounded out.

In November 2018, a workshop was held in San Jose, Costa Rica, with the goal of initiating the process of developing an evaluation capacity index. Since then and up to the current date, April 2021, the following stages have been completed:

Nov 2018: First conceptual proposal

- Face-to-face meeting in Costa Rica (18 representatives, who constituted the Working Group).
- First proposal of dimensions and subdimensions for the index.
- Proposal review and approval round during the first quarter of 2019.

August-October 2019: Second proposal (INCE dimensions and subdimensions)

- With the support of external consultants.
- Review of the conceptual proposal: literature review, analysis of similar initiatives and analysis of the context of National Evaluation Capacities (NEC) in the region.
- Interviews with 21 persons from 17 entities, both members and non-members of the Working Group.
- Consultation with the Working Group.

August-October 2019: Operational proposal

- With the support of an external consultant.
- First operational proposal (indicators and variables).

November 2019: Approval of the INCE Concept Proposal

- Face-to-face meeting of the Working Group in Buenos Aires (22 representatives).
- Review of the conceptual proposal (dimensions and subdimensions) and operational proposal (variables and indicators).
- First display proposal.
- Identification of countries for pilot implementation.

January-March 2020: Development of the data collection tools

- With the support of an external consultant.
- Reviewed by the members of the Working Group.

Pilot measurement

- Measurement in Colombia, Costa Rica, Ecuador, Mexico and Dominican Republic.
- Processing of the data collected and preparation of country files.
- Second data visualization proposal.
- First consultation of the Advisory Group: weightings.
- Pilot workshop on interpretation and use of data (Focelac+ project).

February 2021: Use of the INCE

- Virtual meeting of the Working Group.
- Presentation of the results of the pilot measurements.
- Reflection on their use.
- Agreements on the INCE's institutional framework.
- Drafting of the 2021 work plan.

March - April 2021: Measurement 2021

- Briefing meetings with representatives of the evaluation governing bodies of Guatemala, Paraguay, Peru and Uruguay.
- Adjustment of data collection tools and accompanying templates.
- Drafting of ToR and contracting service provided for the production of the virtual platform.
- Preparation of the first workshop on interpretation and use of data (pilot test): Costa Rica, on 27.05 and 10.06.2021).
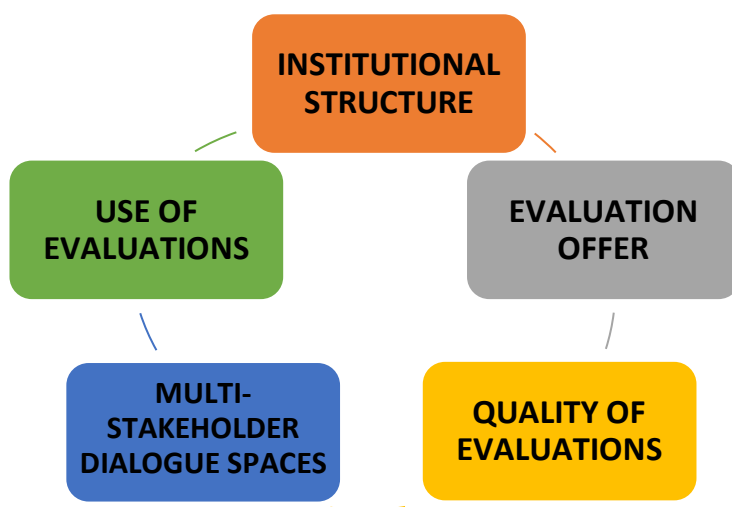
2. Structure of the INCE

2.1. Conceptual delimitation

(under development; to be shared for review by the Working Group as soon as a first draft is ready)

2.2. Dimensions and subdimensions of the INCE

The INCE is organised into five dimensions:

Dimension 1. Institutional Structure

It provides an account of the architecture that underpins the existence and viability of the State's evaluation function. It offers an overview of the possibilities for governments based on a set of minimum conditions for their operation, from the general regulation, the rules of operation, the entities and structures responsible for the evaluation function and the resources and conditions for its development.

The institutional structure is understood on the basis of the following subdimensions:

Subdimension	Conceptualisation
1.1. Entities or bodies responsible for the evaluation function	This refers to the existence and, where applicable, the characteristics and operating conditions of the public body or bodies in charge of the evaluation function. It should include the structure of such bodies, the definition of roles, competencies and responsibilities, their human resources and budget allocation and performance.
1.2. Regulatory framework for the development of evaluation practice	This refers to the existence and, if appropriate, the application and hierarchical rank of some kind of regulation or norms and standards that directs the operation of evaluation practice at any administrative and/or political level.

1.3. Guidelines at the operational, planning and strategic levels	Refers to the existence of some form of evaluation agenda or planning, and if so, its characteristics, scope and linkages to the monitoring of National Development Plans and SDGs.
1.4. Coverage of evaluations	This refers to the actual practice of evaluations at ministries, central services and subnational services, as well as the type and scope of evaluations.

Dimension 2. Evaluation Offer

This refers to the existing national capacity to respond to the demand for public sector evaluations, in terms of the existence of an adequate professional market, its own training offer and a context of organisations and/or professional networks specialising in the field.

The evaluation offer is understood on the basis of the following subdimensions:

Subdimension	Conceptualisation
2.1. Professionals / academia / companies specialising in evaluation [Offer].	This refers to the existence of specialised and active professionals, as well as competencies, skills and experience in evaluation. This refers to both the technical capacity and the operational capacity to respond effectively to the existing demand for evaluation.
2.2. Specialised training and capacity-building programmes and evaluation bodies.	This refers to the existence of accredited training and education options in the field of evaluation, promoted and performed by official and recognised institutions in the country. And, where appropriate, their adequacy and quality, relevance, coverage and accessibility.
2.3. National network / association of evaluation professionals - VOPEs	This refers to the existence of networks of professionals organised around the development of the culture of evaluation and the strengthening of the discipline and, where appropriate, its development and public impact.

Dimension 3. Quality of Evaluations

This refers to the adaptation of evaluation processes and products to the standards established in Latin America and the Caribbean and at the international level[5]. It includes examining the quality of the data available and the quality of the evaluation products that are generated; quality control mechanisms; and requiring inclusive and ethical approaches.

Quality in evaluations is understood on the basis of the following subdimensions:

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[5] Rodríguez-Bilella, P., Valencia, S. M., Alvarez, L. S., Klier, S. D., Hernández, A. L. G., & Tapella, E. (2016).Evaluation standards for Latin America and the Caribbean.RELAC.Buenos Aires, Akian Gráfica Editora.

Subdimension	Conceptualisation
3.1. Accessible and quality data and monitoring information	Refers to the level of availability of data and information on which the evaluations are based. It incorporates both the availability of official administrative and monitoring data on the actions to be evaluated, as well as the quality, relevance and timeliness of such data.
3.2. Quality of evaluation products	This refers to the appropriateness of the products in the strict sense in the whole evaluation process, from demand to recommendations.
3.3. Inclusive perspective from a gender and human rights perspective	This refers to the availability and inclusion of inclusive conceptions and methodologies (HR, ESCR, gender+) that reflect the variety of people's positions in the social structure. This perspective should be standardised, and its compliance required from the demand side to be developed throughout the evaluation process.
3.4. Ethical perspective in evaluation	This refers to the existence and degree of use of ethical standards in the approach and development of the evaluation cycle, taking into account the relationship with persons and environments, professional practices and so on.
3.5. Quality assurance of evaluations	This refers to the existence of quality assurance mechanisms and methodological advice throughout the evaluation cycle and, where appropriate, their degree of coverage and modes of operation.

Dimension 4. Spaces for Multi-stakeholder Dialogue

This refers to the existence and functioning of instances for exchange and coordination, established at the request of the governmental entities of each country, to incorporate the voice of the various interest groups in the definition of evaluation guidelines and their follow-up. Unlike the structural components included in the first dimension, these spaces for dialogue are considered as an external added value to national evaluation capacities with respect to the elements available in the institutional structure in its strict sense.

These spaces can admit different degrees of development and amplitude in the established functions (establishment of priorities for evaluation, technical assistance, monitoring of existing evidence and its incorporation into public decision-making, etc.) as well as different ways of articulating the expectation of participation (as informative, consultative, decision-making instances, etc.).

Multi-stakeholder dialogue spaces are understood on the basis of the following subdimensions:

Subdimension	Conceptualisation
4.1. Spaces for coordination and articulation of different actors.	This refers to the existence of instances of coordination and dialogue with various stakeholders outside governmental entities and, where appropriate, the type of regulation and operation of these spaces. It includes the forms established for decision-making on evaluation guidelines and its follow-up.

4.2. Participation of relevant stakeholders in spaces for dialogue.	This refers to the effective participation of the stakeholders in these spaces and to the diversity of the collectives convened.

Dimension 5. Use of Evaluations

This refers to the system's capacity to generate valid and timely information that contributes to decision-making and institutional accountability[6] and, ultimately, to the fulfilment of the cycle from the ultimate meaning of evaluation functions.

With respect to use, a broad spectrum is assumed that includes all stakeholders and the institutional structure, from their different roles and responsibilities. And, accordingly, an instrumental use, for decision making, of the conceptual and distributive appropriation of resources[7].

The use of evaluations is understood on the basis of the following subdimensions:

Subdimension	Conceptualisation
5.1. Accessibility of the products and results of the evaluations performed.	This refers to the availability and, where appropriate, ways of making available to the general public the products and results of the evaluations performed. It analyses the degree of openness or universality of the information available, the temporality, the types of products that are made public and so on.
5.2. Impact of evaluation results on public decision making from the Executive Authority	This refers to the mechanisms for transferring and applying evaluation results within the context of executive functions: in the formulation and modification of strategies, policies and programmes; in the allocation of budgetary resources; and in the executive capacity of the entity requiring the evaluation to adopt the recommendations effectively.
5.3. Impact of evaluation results on public decision making from the Legislative Power	This refers to the mechanisms for transferring and applying evaluation results and linking them to the work and functions of law-making (for parliamentary decision-making on budget allocation and the drafting and adoption of laws and regulations).
5.4. Use of evaluation results by civil society	Refers to the use of evaluation results by civil society stakeholders in relation to the formulation of demands, adherence to accountability mechanisms, learning, etc. Civil society is understood as various groups or collectives such as VOPEs, thematic observatories, the media, organised civil society entities affected/concerned by themes of the evaluation and in relation to the citizenship as a whole. It includes, in a specific and nuanced way, the Academy.

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[6] Bouza Lorenzo, Ramón, "Los caminos de la evaluación de políticas públicas: una revisión del enfoque".RIPS.Revista de Investigaciones Políticas y Sociológicas 2005, 4.

[7] Zaltsman, Ariel "Experiencia con la institucionalización de sistemas de monitoreo y evaluación en cinco países latinoamericanos: Argentina, Chile, Colombia, Costa Rica y Uruguay" ("Experience in the institutionalisation of monitoring and evaluation systems in five countries in Latin America: Argentina, Chile, Colombia, Costa Rica and Uruguay").DCE Working Paper Series 16, May 2006, World Bank, Washington, DC.

3. Methodological proposal for the measurement

The methodological proposal aims to transfer the three basic pillars of the INCE development, namely technical rigour, political/institutional legitimacy and participation, to data collection and measurement. This chapter summarises the methodology applied in the 2020 pilot measurement.

3.1. Approach and requirements of the methodological proposal

The approach adopted aims to integrate the following elements in its development process:

- Systemic: that integrates and takes into account the globality of national evaluation systems in a regional context, with interaction among diverse stakeholders.

- Participatory and engaged: includes the information needs and perspectives of different stakeholders, as well as different needs and types of use.

- Focus on use and transparency: to improve governance through the use of open and reflective evaluation.

- Contextualised, adjusted, and sensitive to structural differences between countries.

- Consensus in its goals and methods: participation of national and international/institutional actors, professionals, academics, and civil society.

The index must meet the following requirements:

- Sensitive to change and to different realities = valid

- Stable in the evaluation of achievements = reliable

3.2. Technical Characteristics of the INCE

- Systemic and diverse index, both in its conceptualisation - including diverse elements that reflect a complete and interrelated scenario of national evaluation capacities - and in the sources of information - considering a diverse range of stakeholders that can represent a broad and nuanced vision from three evaluation perspectives: a) governing entities responsible for the evaluation mandate in the country, b) governmental and non-governmental actors in the country linked to the development and use of evaluation, and c) actors that are not directly a part of the national evaluation structures but have a presence and relationship with evaluation processes - (international experts linked to the country, multilateral and bilateral agencies, etc.).

- Quantitative index, which summarises the result in an understandable numerical value.

  - Data collection is done through a *self-administered online survey*.

- The representation of the different agents linked to the evaluation in each country, from the three perspectives mentioned, is translated via a single questionnaire in which the type of entity that responds is identified (by means of a specific question).[8]

- The informants' answers assume an *expert perspective of self-assessment*[9]: the entities that respond do so as experts in the subject asked about.

- The indicators included in the index have a *mixed orientation between facts and assessments*. Facts refer to the observation of particular components of NECs and/or their characteristics; ratings are "subjective" perceptions of these characteristics and/or their functioning.

- The process of completing the questionnaires has been approached as a *process of discussion seeking collective answer in each entity*. This format allows us to obtain an inter-*subjective response*, the fruit of collective debate and reflection, rather than a personal response.

- Quantitative *rating scales between 0 and 10* have been used, which allow a wider range of nuances for the appreciation of the different aspects; capacity for greater nuance than that offered by dichotomous scales (yes/no) or 5-point scales (*Likert*-type).

- The INCE format allows for different types and levels of results, depending on the level of aggregation or disaggregation of interest (global regional, global country, according to dimensions, subdimensions, variables and indicators). This functionality allows to diversify the use of the results according to the specific needs that arise at each moment or for each type of entity.
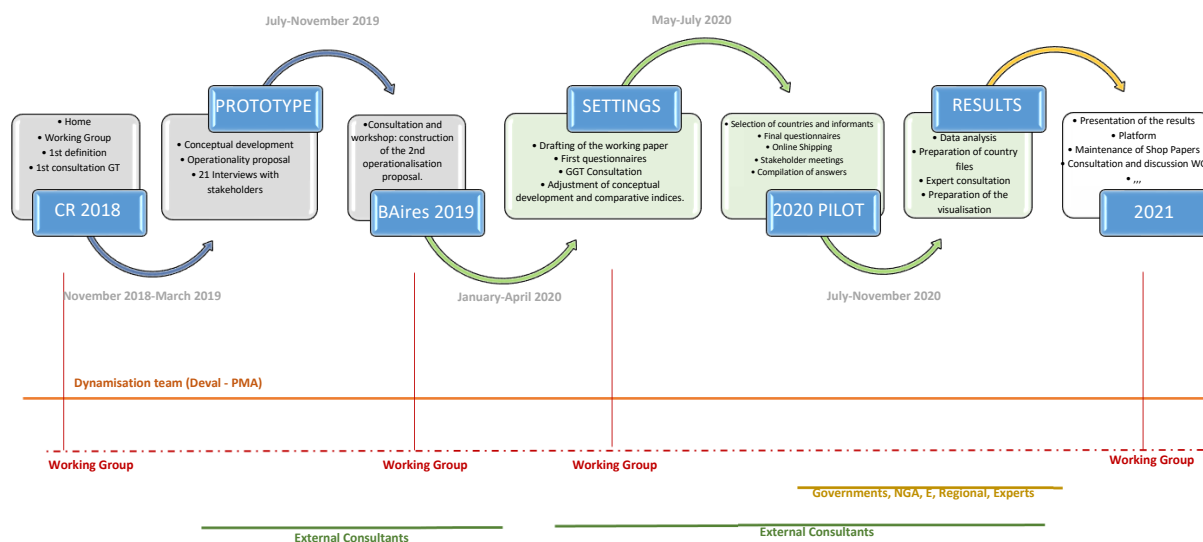
The model of the index is based on providing a longitudinal perspective that is built over time, in order to be able to analyse the trends and evolution of the NEC. In the first pilot phase (2020), a block of retrospective questions has been included in the survey to get a first picture of these trends.

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[8] In the first pilot measurement, three different questionnaires were used, differentiated according to the types of stakeholders. Following the meeting of the Working Group in February 2021, the option of unifying the questionnaire for all the actors was reconsidered and approved.

[9] This is an approach used in a number of international benchmark indices, which assume the valuation of experts in the field (e.g.*Index of Democracy in Spain* (2008-2016), *Aid Transparency Index* (2018), *Corruption Perceptions Index* (2018)).The difference is that in the INCE the expert persons/entities correspond to agents involved in the subject of the evaluation, so that their vision, in addition, has a direct component of self-evaluation/self-observation).

3.4. Measurement process (2020)

Throughout 2020, and in order to complete the pilot measurement, the steps performed have followed the following sequence:

	Tool adjustment	Incorporation of the results of the Buenos Aires 2019 workshop
January-April 2020		Collection and review of comments, suggestions, and contributions. Contributions (both conceptual and instrumental) were received from: - SINERGIA COLOMBIA - MIDEPLAN - UNICEF - RIEPP - UTEC - Celeste Ghiano
		Incorporation of changes in the matrix and questionnaires (revision of specific terms, definitions of concepts and final indicators)[10].
		Drafting of the final questionnaires for the pilot and coding the online survey.
May-August	Governing bodies	Contact with lead agencies and development of guides to support the implementation of the survey.
		Printable questionnaire (to share), link to the online survey platform to answer and form for comments and observations.

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[10] Annex 2 INCE Operationalisation Matrix

		Conducting online interviews. The interviews accompanied the response process of the lead entities, and focused on resolving doubts, sharing the collective understanding of the terms and/or definitions, and gathering relevant country information references for contextualisation.
		The space was also used to collect contacts and referrals of potential national non-governmental stakeholders for the survey from this other stakeholder group.
		The interview process was completed with the 7 countries that had shown their willingness to participate in the pilot (Argentina, Colombia, Costa Rica, Ecuador, Mexico + Jalisco, Peru and Dominican Republic)[11]. The interviews were, in most cases, with teams from the governing bodies (and not only with those in charge).
		Maintenance of the consultation space
Sep-Nov 2020	Non-governmental players	Contacts with ANG and drafting of guides to support the application of the questionnaire. Work has already been done with the 5 countries that were finally able to respond to the pilot.
		Given the great diversity of entities among the countries (in quantity and characteristics) it was decided to contact 2-3 organisations per country, representative of VOPE and the Academy where possible. The final decision and selection was consulted and agreed with the governing bodies.
		In the end contact was made with:
		• Colombia (CRECE, EvalYouth, Universidad Santiago Cali)
		• Costa Rica (EVALCR, UCR)
		• Ecuador (PUCE, SEE, Esquel Foundation)
		• Mexico (ACEVAL, EQUIDE, COLMEX)
		• Dominican Republic (Arlette Pichardo, Domingo Matías, Academy)
		Printable questionnaire (to share), link to the online platform to answer and form for comments and observations.
		Keeping the consultation space open.
	Regional entities	Contact with the regional entities (RELAC and CLEAR)
		Printable questionnaire (to share), link to the online survey platform to answer, application guide and form for comments and observations.
		Keeping the consultation space open.
	Advisory Group	Contact with experts.
		Drafting and sending of the form for the weighting of the subdimensions.

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[11] Due to general and particular contextual issues, Argentina and Peru were unable to complete the pilot process, although they maintained their interest in continuing to be part of the INCE's development.

- Final response from 5 countries (lead agencies and national non-governmental players)

- The response of the NGAs is uneven across countries, with a total of 8 entities:

  - Colombia (CRECE, EvalYouth)
  - Costa Rica (EVALCR)
  - Ecuador (PUCE, SEE, Esquel Foundation)
  - Mexico (ACEVAL)
  - Dominican Republic (Arlette Pichardo)

ANALYSIS OF THE RESULTS

- Data cleaning and validation
- Construction of synthetic variables
- Calculations and results by levels (indicators, variables, subdimensions and dimensions)
- Final summary according to the stakeholders.

4. INCE visualisation proposal

4.1. Goals

- To visualise a multidimensional index in such a way that the general magnitude and that of the dimensions that compose it are perceived.

- Avoid ranking lists and reinforce collaboration rather than competition.

- The multiple expressions in the visualisation serve as a basis for comparisons, relationships, and annotations to explore and understand the index.

- The publication is structured from overview to detail, unravelling the complexity of the index in a sequential and logical manner.

4.2. Graphics

- The visualisation is iconic, memorable, and engaging, given the organic form: it intrigues and invites for exploration.

- The colours reinforce the categories and allow the dimensions to be represented in different ways without losing the reference, like a legend.

- The tree metaphor is associated with growth, future development and diversity.
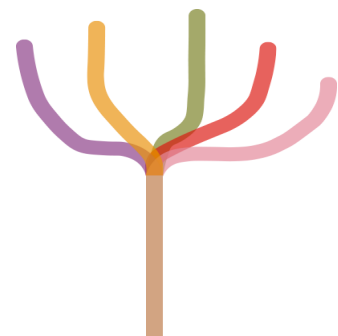
4.3. Proposal of visualisation on the online platform

Header: logos, menu, social networks

Introduction: motives and goals

Forest: visualisation of the Index in each country

Annotation of interesting aspects of each country - appearing intermittently and randomly

How to read and interact with the visualisation

Mini forest to select the country

Evolution of the index in the country, such as the footprint or trace of tree crowns each year (will not be visible in the first year). of tree crowns each year (will not be visible in the first year).

Countries with similar values in total and dimensions

How it compares with the rest of the countries in each dimension ...

... and how it has changed (the first year will show the difference with the median)

Comments

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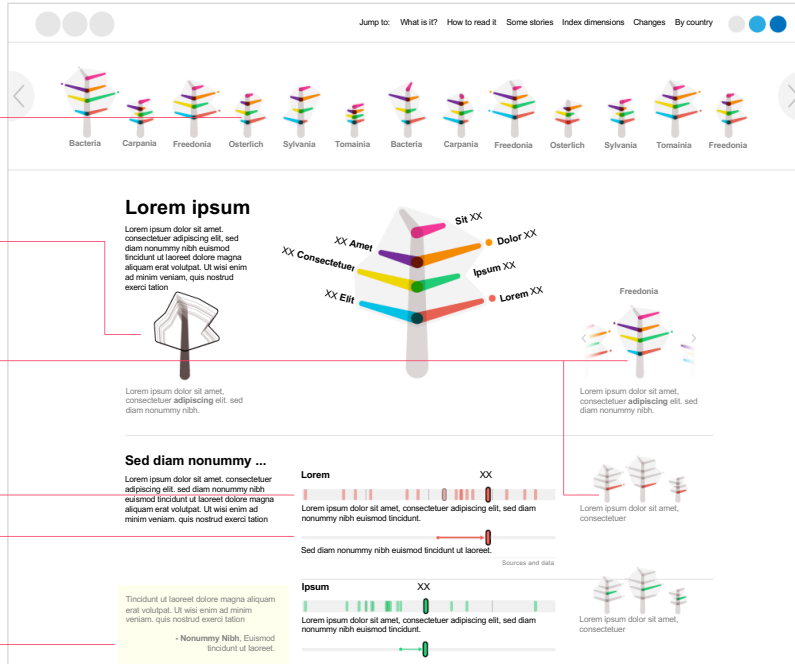
Annexes

Annex 01. Participants of the INCE initiative

Working Group[12]

Entity (in alphabetical order)	Representative/s
IDB	Ivory Jong
DAC/OECD	Claire Salama Emma Cantera
Clear-LAC	Alonso de Erice Erick Herrera
Coneval - Mexico	Janet Zamudio Karina Barrios
DEval	Juan Carlos Sanz Sven Harten
GEI	Gonzalo Hernández Licona
Evalúa Jalisco	Monica Ballescá
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FIIAPP	Marta Monterrubio
Faro Group	María Caridad Ortiz
IOCE	Silvia Salinas
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Mideplan - Costa Rica	Carolina Zúñiga Eddy García
Midis - Peru	José Enrique Velásquez
Min. of Economy, Planning and Development - Dominican Rep.	Domingo Matías
UN Women	Michael Francis Craft
OPP - Uruguay	Janet López Federico Ott
PAHO	Carlos Rodríguez Ariza

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[12] Listed are the persons and entities registered as participants in any of the groups as of the date of updating this paper. If you need an update, please contact Michala Assankpon or Juan Carlos Sanz.

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ReLAC	*Alfredo Domínguez Diaz*
	Viviana Lascano
RIEPP	*Antonio Igea*
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Technical Secretariat of Planning - Paraguay	*Nimia Torres*
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Siempro - Argentina	*Paula Amaya*
	Verónica Sforzin
Sinergia - Colombia	*Ana María Arias*
	Camilo Pecha
TECHO	*Fernanda Arriaza*
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Advisory Group

The following persons participated in the first round of consultations to obtain a proposal for weighting the INCE subdimensions:

- Arlette Pichardo (National University of Costa Rica)
- Osvaldo Feinstein (UNDP Consultant)
- Pablo Rodríguez-Bilella (National University of San Juan, Argentina)
- Pilar Garrido (Minister of Mideplan, Costa Rica)
- Silvia Salinas (IOCE Chair)

Facilitating Group

- Juan Carlos Sanz (DEval)
- Michala Assankpon (WFP)

This group has been supported by the following experts (since 2018):

- Ivan Touza (former WFP Evaluation Officer)
- Andrea Peroni
- Celeste Ghiano
- Elena Rodríguez
- Estudio Artbyte
- Katherine Páez
- Xaquín Viera

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Annex 03. List of persons interviewed for the conceptual development of the INCE (2019).

	Name	Last name	Institution	Upload	Country
Governments					
1	Eddy	García Serrano	MIDEPLAN	Evaluation Unit Coordinator	Costa Rica
	Carolina	Zúñiga	MIDEPLAN	Professional Evaluation Unit	Costa Rica
2	Joan	Guerrero	GCPS	Director of Planning and Development. Cabinet of Coord. Social policies	Dominican Rep.
3	Mónica	Ballesca	Evalúa Jalisco	General Manager. Directorate General for Evaluation and Participatory Planning	Mexico
4	Oriana	Giraldo Betancur	SINERGIA	Public Policy Monitoring and Evaluation Directorate	Colombia
	Lorena	Trujillo Quintero	SINERGIA	Evaluation Group Coordinator	Colombia
5	Thania	de la Garza Navarrete	CONEVAL	Deputy Director-General for Evaluation	Mexico
	Janet	Zamudio Chávez	CONEVAL	Executive Director of Test Analysis	Mexico
6	Viviana María	Lascano Castro	Technical Secretariat Planifica Ecuador	Director of Public Policy Evaluation	Ecuador
7	José Enrique	Velásquez Hurtado	Ministry of Development and Social Inclusion	General Director of Monitoring and Evaluation Vice-Ministry of Social Policies and Evaluation	Peru
Agencies					
8	Lucio	Severo	UN WOMEN	UN Women Monitoring and Evaluation Officer, Colombia Office	Colombia
9	Mirella	Hernani	UNICEF	UNICEF Regional Monitoring and Evaluation Specialist and Innovation Focal Point - Regional Evaluation Adviser	Panama
10	Marta	Monterrubio	FIIAPP	Evaluator	Spain
Organisations					
11	*Silvia*	Salinas	RELAC	Coordinator	Bolivia
12	*Celeste*	Ghiano	PETAS UNSJ	Academic	Argentina
13	*María Jesús*	Silva	TECHO	Evaluation Coordinator	Chile
14	*Oliver*	Peña-Habib	CLEAR	CLEAR Professional	Mexico
	Gabriela	Perez Yarahuan	CLEAR	CLEAR Coordinator	Mexico
15	*Fernando*	Santiago	RIEPP	Coordinator	Argentina
Experts					
16	Ada	Ocampo	UNICEF	Lead Evaluator	USA, NY
17	Claudia	Maldonado	CIDE	Former CLEAR LAC Coordinator	Mexico

Annex 04. Comparative analysis with evaluation capacity studies

Publication: European Commission (2008). Developing Evaluation Capacities (Report_integrated 2007.pdf); Questionnaires pp 100-124

Dimensions/subdimensions	Indicators
Requirement: **Architecture** - **Responsibility for the evaluation** - **Coordination** - **(Relationship to other functions)**	1. Location of responsibility for evaluation function within the managing authority/authorities 2. Existence of dedicated evaluation function (Evaluation Units /national and programme level) 3. Existence of an evaluation strategy or policy statement that delineates evaluation roles and responsibilities and the role of evaluation in programme management 4. Existence of formal mechanisms for evaluation coordination across the programmes 5. (Linkages between evaluation function and other related functions, such as monitoring and programming)
Requirement: **Evaluation Resources** - **Economic** - **Human** - **"Quantity" evaluation**	1. Evaluation budgets (euros) 2. Number of evaluation staff (national and programme) 3. Evaluation experience and skills of evaluation staff - Evaluation commissioning experience - Evaluation practice experience 4. Number of evaluations carried out / time period
Requirement: **Efficiency of evaluation management** - **Planning** - **Terms of Reference** - **Recruitment** - **Evaluation Steering Committees** - **Quality standards**	1. Existence of evaluation plans at national and programme level 2. Quality and clarity of evaluation Terms of Reference (TOR) 5. Existence of core or mandatory evaluation questions 3. Average interval between agreement on TOR and appointment of Evaluator 4. Existence of Evaluation Steering Committees (national and programme level) 5. Existence of approved set of quality standards
Requirement: **Quality control systems** - **Reliability** - **Periodicity**	1. Quality and reliability of indicator data 2. Average interval between year-end and availability of OP indicator data for year in question
Offering: **Quality of socio-economic data resources:** - **Availability** - **Periodicity**	1. Availability of key socio-economic indicator data (GDP, employment, unemployment, R…) at regional (NUTS II) level 2. Latest year for which data is currently available
Offering: **Availability and quality of evaluation experience**	1. Number of firms active in the market 2. Involvement of universities in evaluation practice

- **Availability of the local evaluation offering** - **Thematic and methodological knowledge**	3. Existence of internal evaluation unit capacity 4. Availability of evaluation training/education options 5. Breadth and quality of expertise (areas where expertise is 6. particularly strong or deficient: e.g., macroeconomic modelling, 7. horizontal principles, infrastructure, Human Resources etc.) 8. Quality of evaluation reports
Diffusion: **Ease of access to evaluation results**	1. Public access to evaluation reports
Usage: - **Evaluation steering procedures and control mechanisms** - **Impact on programme design and delivery**	1. Existence of formal monitoring committee or managing authority responsibilities 2. Existence of follow-up procedures where evaluation recommendations are agreed 3. Degree of influence of ex ante evaluation of 2007-2013 period on: - Strategy formulation and programme design - Allocation of resources - Quantification of objectives and indicator selection 4. Degree of influence of evaluation on ongoing programme management and implementation (2000 to 2006 period)

Institutionalisation:
Degree to which evaluation is institutionalised in the
    governance system
- **Role in the national budget/degree of integration in the**
    budget process
- **Role in sectoral strategy/decision making**
- **Existence of mandatory evaluation requirements**
- **Public management reforms**
- **Public policy research base**
- **Existence of an evaluation company/Network**
- **Influence of EU requirements**
- **Role of civil society and other stakeholders**
	1. Existence of statutory evaluation requirements
	2. Existence of ongoing programme of public management reform
	3. Existence of public policy research bodies or think-tanks Membership size
	4. Frequency of meetings/conferences
	5. Degree of influence of EU Structural Funds evaluation requirements on Member State evaluation practice
	6. Extent to which evaluation findings are drawn on by civil society and social partners

Collection of information	- Survey (2 self-administered questionnaires) - Case Study (6) - Interviews
Sources	- *Administrators* with *responsibility* for Structural and Cohesion Fund evaluation (at national *level* and at programme level) - Externalorganizations(companies, universities/ research institutions and other NGO)

Publication: CLEAR Institutional monitoring and evaluation capacities in L.A. (2019)

Dimensions/Subdimensions	Indicators
Recognition **Regulations**	1. There are external standards (developed by hierarchically superior institutions) that make explicit the M&E functions of the institution in general 2. There are internal rules (developed by the institution itself) that give a detailed description of the M&E functions of the institution. 3. There are regulations that require a diagnosis, evaluation or prior study as a requirement for the approval of new or redesigned programmes. 4. There are standards that explicitly require such a prior study to contain a review of national and/or international evidence on effective ways to address the problem.
Recognition **Human resources and budget**	1. The institution has at least one area responsible for M&E. 2. A specific amount is allocated *ex ante* for M&E. 3. Percentage of the institution's budget allocated to M&E.
Recognition **Knowledge dissemination and transparency**	1. The institution promotes events that foster knowledge in M&E. 2. The institution generates publications that promote the M&E. 3. The institution publishes the results of all evaluations performed.
Planning **Clear and comprehensive planning processes**	1. There is a paper that describes a work plan of the institution's monitoring activities for a given period. 2. There is a paper that describes a work plan of the institution's evaluation activities for a given period. 3. The monitoring or evaluation work plans contain set periods for carrying out the activities. 4. There are established guidelines for the recruitment or appointment of external evaluators.
Planning **Planning compliance**	1. Percentage of follow-up activities performed with respect to those programmed. 2. Percentage of evaluations performed compared to planned evaluations
Methodologies **Defined evaluation types**	1. There are documents that define the types of evaluation that can be performed
Methodologies **Defined evaluation methodologies**	1. Percentage of evaluation types for which documents exist that clearly define their respective goals and/or methodologies. 2. The evaluation reports make explicit the type of methodology they have used
Methodologies **Quality control of evaluations**	1. Quality control mechanisms are in place for evaluations (e.g., quality attribute listings, quality assessments, peer review). 2. There are documents that require evaluations to be gender-sensitive.
Methodologies **Information systems for monitoring**	1. The institution has an information system that systematises data related to the monitoring of its results and operational processes.
Usage **Usage promotion**	1. A mechanism is in place to encourage the use of evaluation findings and recommendations, as well as information obtained through follow-up.
Usage **Tests of usage**	2. There are documents from the institution where the results of the evaluations are mentioned. 3. There are documents that mention changes that have been made to programmes based on the findings or recommendations of evaluations.
Usage	1. Mechanisms are in place for the institution to know the amount of its M&E.

Frequency of usage	
Collection of information	- Secondary data collection (29% of indicators) - Survey
Sources	- Publicly available *official sources* - *Government officials* in charge of M&E tasks and the *corresponding* ministries and organisations for social development

Publication; Jacob et al: *Updating the International Atlas of Evaluation (2015)* (article on ormat 2012)

Dimensions/subdimensions	Indicators
Regulatory and institutional framework	1. Evaluation is performed in multiple areas of public policy
	2. Existence of a national discourse on evaluation (adjusted to national development, and based on structures, uses, training systems etc.).
Offering	3. There are evaluators from different disciplines (sectors, approaches and methods).
	4. Existence of professional organisations (national and international debate, ethics, standards)
	5. There is a plurality of institutions or evaluators conducting evaluations in each sector.
Usage	6. Degree of institutionalisation of governance (the results, structures and processes that ensure it are used)
	7. Degree of institutionalisation in Parliament (development of evaluation and dissemination)
	8. Evaluation in relation to *Supreme Audit Institutions*
(Requirement?) Evaluations performed	9. Relationship between outcome and impact evaluations and process and output evaluations.
Collection of information	Survey (scale 0-2)
Sources	Five experts/countries from different fields (public, private and academic, 78 in total)

Publication: UNDP (2015) *Towards a Baseline Study: Insights on National Evaluation Capacities in 43 countries*

Dimensions/subdimensions	Indicators
National government capacity to ensure use of evaluations: institutional structure/multi-agency agenda - Institutional set-up (policies and rules) that establishes minimum requirements and takes into account the context - Allocation of budget or percentage of evaluation initiatives in public policy budgets - Coordination mechanisms (centralised and decentralised) - Evaluation culture: Parliaments - Encouraging use through collaboration between government, VOPEs, parliaments and private sector	1. There is national legislation, a national evaluation policy or policies that have a formal evaluation requirement. 2. Existence of specific efforts by government and civil society to establish public policy frameworks or structures. 3. Evaluation is used in specific sectors of the administration, which ones? 4. The need for budgeting is made explicit in policy frameworks. 5. Existence of central evaluation units in the national government 6. Existence of sectoral evaluation units 7. Existence of coordination between the evaluation units of the different government sectors 8. Existence of coordination between national evaluation units and other levels of government 9. What are the main institutions that actively advocate for the development and use of 10. What efforts are these institutions making to promote need and demand? 11. Government, VOPEs, Parliament and the private sector cooperate in these efforts. 12. There is a parliamentary discussion forum on evaluation at the national/regional level. The government participates in this forum 13. Parliament requires and uses evaluation
National government capacity to ensure independence of evaluation, quality standards, multi-agency agenda - Development of evaluation transparency tracking systems (citizen response and request tracking systems) to facilitate the use of recommendations. - Development of standards based on lessons learned to ensure stakeholder participation and guarantee the independence of the evaluation.	1. Do stakeholders advocate for transparency, accountability and participation of all stakeholders in national evaluation processes? 2. There are specific efforts to promote evaluation independence (stakeholder involvement, response management systems, transparency and accountability mechanisms).
Capacity of the national government to ensure credibility of evaluation, quality standards, delivery - Building robust and credible data systems - Evaluation techniques and methodologies (standards, triangulation of evidence, use of qualitative data, peer review systems, independent evaluators etc.). - Inclusion of cultural and gender perspectives and capacities	1. Existence of a central government agency responsible for collecting and analysing the data 2. Existence of integrated public data registers, administrative registers, national statistics, M&E systems for use in evaluations 3. Existence of courses and guides on evaluation practice (Academy, VOPEs, Government, other educational institutions etc.) 4. Existence of professional associations that play a role in the advancement of evaluation techniques. 5. Existence of cultural and gender mainstreaming training 6. Integration of gender and cultural issues in national evaluations 7. Existence of voices advocating the incorporation of cultural and gender references.
Collection of information	- Documentary review. - Survey

Sources	- Governments - UNDP - VOPEs

Publication: Haarich, S.N (2009) *Development of Evaluation Systems Measurement and Action*

Dimensions/subdimensions	Indicators
Requirement - **Incentives** - **Organisational environment** - **Professional development** - **Resources and support** - **Learning (use)**	1. Existence of a legal basis for evaluation 2. Number of evaluations commissioned by Gov./Institution 3. Number of evaluations taken into account for policy or management decisions 4. Existence of an evaluation plan or strategy 5. Number of evaluation units in the Gov./institution 6. Existence of a relationship of trust between claimants and (external) evaluators. 7. Number of personal contacts between applicants and (external) evaluators 8. Existence of a relationship of trust between internal evaluators and management. 9. Number of persons in Gov./ Inst. that are related to the evaluation 10. Number of persons in Gov./ Inst. in charge of evaluation with training/experience 11. Number of training events on evaluation in Gov./ Inst. 12. Existence of rosters of evaluation or consulting experts 13. Existence of mechanisms to support evaluation by Gov./ Inst. (monitoring committees, data systems etc.) 14. Existence of monitoring systems and actions 15. Number of publicly available evaluation reports 16. Number of meta-evaluations or evaluation systems 17. Existence and number of evaluation information sharing events in Gov./ Inst.
Infrastructure and resource connections - **Incentives** - **Organisational environment** - **Professional development** - **Resources and support** - **Learning (use)**	1. Number of evaluation projects 2. Number of central evaluation agencies or control units 3. Number of university centres/departments dedicated to evaluation 4. Number of specialised courses in evaluation 5. Number of participants in these courses 6. Existence of reliable indicators for evaluation 7. Existence of evaluation training materials (books, online resources) in the language of the country 8. Existence and number of evaluation journals 9. Existence and number of online newsletters, chats, forums and newsgroups on evaluation.

	10. Existence and number of annual conferences evaluated
Offering - **Incentives** - **Organisational environment** - **Professional development** - **Resources and support** - **Learning (use)**	1. Number of evaluations performed and their overall quality 2. Existence of quality criteria or evaluation standards. 3. Existence of competitions to increase quality/young evaluators 4. Existence and number of certifications for evaluators 5. Existence of a public and known marketplace for evaluators (with specific requirements) 6. Number of undergraduate and postgraduate university courses on evaluation 7. Number of other grades incorporating evaluation terms 8. Number of graduates/year evaluated 9. Number of evaluators (members of associations, Working Groups or rosters of experts) 10. Existence and number of professional associations, networks and Working Groups on evaluation 11. Existence and number of Working Groups on evaluation in existing partnerships
Collection of information	In-depth analysis (documentary?, scale 0-6)
Sources	N/A

Publication: IEO (UNDP) 2019. *National Evaluation in the SDG Era: An online self-assessment tool for evaluation diagnostics and strategizing*	
Dimensions/subdimensions	Indicators
Understanding an enabling environment (Score: 3 is high, 1 is low, 0 is no activity)	
− **Need for evaluation**	1. Do you know what is working and what is not in your entity/programme? Are you: (a) fully informed; (b) moderately informed; (c) not informed. 2. Are there political considerations that need to be accounted for? Examples include: development areas that may be politically sensitive, leading to greater resistance to evaluation; power equations that may undermine conduct of evaluations; country context factors such as conflict in which the solution is beyond the scope of your entity; or resource issues. (a) There are no political considerations; (b) certain political considerations exist; (c) many political consideration need to be accounted for. 3. Does your entity/national programme entail complex areas needing multisector and multi-agency engagement? (a) There are no complex areas; (b) some complex areas need multisector and multi-agency engagement; (c) most areas need multisector and multi-agency engagement. 4. In your entity/programme, is there a clear sense of what defines success and failure? There is: (a) a clear sense of what defines success and failure; (b) a moderate sense of what defines success and failure; (c) no understanding of what defines success and failure. 5. How frequently do you feel you need information to make good decisions or track the progress of ongoing efforts? (a) Frequently need information; (b) need information on an ad hoc basis; (c) have limited need for information. 6. Do existing feedback mechanisms fulfil the need for information to make good decisions or track the progress of ongoing efforts? (a) Completely fulfil; (b) partially fulfil; (c) do not fulfil.

	7. To what extent do key stakeholders of your entity/programme agree on what is working and what needs to change? (a) Are mostly in consensus; (b) are partially in consensus; (c) are not in consensus. 8. To what extent do stakeholders of your entity/programme trust each other to work towards the same objectives? (a) Mostly trust each other; (b) partially trust each other; (c) do not trust each other. 9. To what extent do you know what other government entities think about the performance of your entity/programme? (a) Know to a large extent; (b) know to some extent; (c) are not aware. 10. To what extent do you know what external stakeholders think about your entity/programme performance? (a) Know to a large extent; (b) know to some extent; (c) are not aware. 11. Do external stakeholders demand justification for your actions or your existence? (a) To a large extent; (b) to some extent; (c) not at all. 12. Is your entity/programme recognized as a key government entity? (a) To a large extent; (b) to some extent; (c) not recognized as a key entity.
− **Stakeholder evaluation needs**	1. The extent to which the parliament is interested in understanding whether approved policies have the intended effect: (a) Fully interested; (b) partially interested; (c) not yet interested. 2. The extent to which the parliament is interested in more evaluations of development outcomes: (a) Fully interested; (b) partially interested; (c) not yet interested. 3. The extent to which political parties are interested in understanding whether approved policies have the intended effect: (a) Fully interested; (b) partially interested; (c) not yet interested. 4. The extent to which citizens are interested in understanding whether approved policies have the intended effect: (a) Fully interested; (b) partially interested; (c) yet to be interested. 5. The extent to which national civil society organizations/think tanks are interested in understanding whether approved policies have the intended effect: (a) Fully interested; (b) partially interested; (c) yet to be interested. 6. The extent to which the international development community is interested in understanding whether approved policies have the intended effect: (a) Fully interested; (b) partially interested; (c) yet to be interested.

− **Requirement for evaluation**	1. Regarding demand for evaluation which is/are a priority (tick one or more)
	   a) More frequent evaluations to adjust processes.
	   b) Evaluations of progress on development outcomes.
	   c) Evaluations of citizens' satisfaction.
	   d) Obtaining detailed information about government performance to make informed decisions about renewing political mandates.
	   e) Accountability to key stakeholders.
	   f) Others.
	2. A majority of the key stakeholders of the entity/programme consider evaluations useful for improving performance: (a) Agree; (b) partly agree; (c) disagree.
	3. A majority of key stakeholders of the entity/programme view evaluations as useful for improving accountability: (a) Agree; (b) partly agree; (c) disagree.
	4. A majority of key stakeholders view evaluations as resource intensive and lack comparable utility: (a) Agree; (b) partly agree; (c) disagree
	5. A majority of key stakeholders fully agree that evaluations are useful in the country context: (a) Agree; (b) partly agree; (c) disagree

− **National evaluation policies and institutional arrangements**	1. National evaluation policy: (a) There is a national evaluation policy; (b) although there is no evaluation policy, there are government guidelines for evaluation; (c) there is no evaluation policy or formal guidelines.

	Where there is a national evaluation policy: 2. The policy is: (a) fully implemented; (b) partly implemented; (c) not implemented. 3. Institutional arrangements for national evaluations are: (a) fully in place; (b) partly in place; (c) not in place. 4. The evaluation function: (a) is located in a centralized stand-alone evaluation unit; (b) is located in a multifunctional division with a dedicated evaluation unit; (c) is not supported by institutional arrangements. 5. Institutional arrangements for evaluations in sector ministries: (a) Policies and institutional arrangements are in place; (b) some sector ministries have policies and institutional arrangements in place; (c) policies and institutional arrangements are not in place. 6. Systematic prioritization of development evaluations: (a) There is systematic prioritization; (b) there is moderate prioritization; (c) there is no prioritization. 7. Financial resources assigned for evaluations: (a) Adequate financial resources; (b) modest financial resources; (c) no financial resources. 8. Human resources assigned for evaluations: (a) Adequate human resources; (b) modest human resources; (c) no human resources. 9. Adequacy of management and implementation arrangements in place for managing evaluations: (a) Fully adequate; 10. (b) partly adequate; (c) not adequate. 11. Adequacy of human resources assigned for managing and implementing evaluations: (a) Fully adequate; (b) partly adequate; (c) not adequate. 12. Adequacy of arrangements in place for conduct of evaluations: (a) Fully adequate; (b) partly adequate; (c) not adequate. 13. Adequacy of funding available for evaluations: (a) Fully adequate; (b) partly adequate; (c) not adequate.
− **National Evaluation Support Accelerators**	1. Which of the following best describes your country/entity context in terms of support for the growth of evaluation? Choose all responses that apply. a) Evaluation is valued although there is no proactive emphasis on it (positive consideration). b) There is demand for performance information from the top. For example, higher level government officials/members of parliament seek evaluation information to test impact, demonstrate performance or implement a results-oriented agenda (demand from the top). c) Ongoing systemic change and reform provide opportunities to integrate evaluation principles and practices into new structures (windows of opportunity). d) There is demand from the community for accountability and performance (citizen demand). e) Evaluations taking place in individual sectors or programmes are successful, setting a precedent for gradual scale-up of evaluation practice (lessons from other areas of the government).
− **Engagements with partners who have comparable goals**	1. How likely are the following evaluation partnerships? a) With the national audit entity: (a) Very likely; (b) moderately likely; (c) not likely; (d) not applicable. b) With national statistical systems: (a) Very likely; (b) moderately likely; (c) not likely; (d) not applicable c) With performance monitoring entities: (a) Very likely; (b) moderately likely; (c) not likely; (d) not applicable. d) With the parliament: (a) Very likely; (b) moderately likely; (c) not likely; (d) not applicable. e) With civil society organizations/think tanks/NGOs advocating for good public services, efficient use of public funds, and transparency and access to information: (a) Very likely; (b) moderately likely; (c) not likely; (d) not applicable. f) With civil society organizations advocating for evaluation, e.g., voluntary organizations for professional evaluators (VOPEs): (a) Likely; (b) moderately likely; (c) not likely; (d) not applicable.

	g) With inter-country peer-to-peer evaluation collaborators (for knowledge sharing and support): (a)Very likely; (b) moderately likely; (c) not likely; (d) not applicable. h) With regional evaluation forums: (a) Very likely; (b) moderately likely; (c) not likely; (d) not applicable. i) With global evaluation forums: (a) Very likely; (b) moderately likely; (c) not likely; (d) not applicable. j) With donor agencies: (a) Very likely; (b) moderately likely; (c) not likely; (d) not applicable. k) With multilateral agencies and their platforms: (a) Very likely; (b) moderately likely; (c) not likely; (d) not applicable. 2. Which partnerships need further consolidation for your entity/national programme to build or strengthen evaluation capacities? a) With the national audit entity. b) With national statistical systems. c) With performance monitoring entities. d) With parliament. e) With civil society organizations, think tanks and NGOs advocating for good public services, efficient use of public funds, and transparency and access to information. f) With civil society organizations advocating for evaluation (e.g., VOPEs). g) With inter-country peer-to-peer evaluation collaborators (for knowledge sharing and support). h) With regional evaluation forums. i) With global evaluation forums. j) With donor agencies. k) With multilateral agencies and their platforms
− **Linking national systems and A2030 with national evaluation systems (Score: 3 ishigh, 1 islow, 0 is no activity)**	
− **Promoting the 2030 Agenda**	1. Has the government taken measures to increase awareness about the SDGs among citizens? Such measures have been: (a) fully taken; (b) partly taken; (c) not taken. 2. Are there forums and mechanisms to enable discussions on prioritization of the SDGs and targets? (a) Multiple forums and mechanisms exist; (b) few forums and mechanisms exist; (c) no forums or mechanisms exist yet. 3. Has the entity/national programme taken measures to increase awareness about the SDGs among citizens? Such measures: (a) have been fully taken; (b) have been partly taken; (c) are yet to be taken.
− **Map of national plans contributing to the SDGs**	1. Has the government taken measures to map national plans against SDG priorities? Such measures have been: (a) fully taken; (b) partly taken; (c) not yet taken
− **Integration of the SDGs into national and sectoral plans**	1. Has the government prioritized integrating the SDGs into national plans and strategies? The government has: (a) fully prioritized integration; (b) partly prioritized integration; (c) not yet prioritized integration. 2. Has the government taken measures to integrate the SDGs into national and sectoral plans? The government has: (a) fully taken such measures; (b) partly taken such measures; (c) not yet taken such measures.

		3. Has the government taken measures to adopt a more integrated approach to development planning and implementation? The government: (a) has fully taken such measures; (b) has partly taken such measures; (c) has not yet taken such measures
−	**Assigning coordination responsibilities**	1. Has the government established systems to coordinate SDG implementation, follow-up and review? Such systems are: (a) fully established; (b) partly established; (c) yet to be established.
		2. Are institutional arrangements in place for coordination of national development planning? (a) Institutional arrangements are in place; (b) Institutional arrangements are in place for relevant areas; (c) No institutional arrangements have been identified
−	**Mainstreaming the SDGs at national and subnational levels**	1. Has the government taken measures to mainstream the SDGs and their principles into policies, strategies, procedures and incentive structures?
		a) Government policies: Such measures are: (a) fully taken; (b) partly taken; (c) not yet taken.
		b) Ministerial strategies: Such measures are: (a) fully taken; (b) partly taken; (c) not yet taken.
		c) Sectoral strategies: Such measures are: (a) fully taken; (b) partly taken; (c) not yet taken.
		d) Government procedures: Such procedures are: (a) fully taken; (b) partly taken; (c) not yet taken.
		e) Government incentive structures: Such measures are: (a) fully taken; (b) partly taken; (c) not yet taken.
		2. Has the government undertaken measures for adaptive management, supporting gradual adoption of the SDG approach to development? Such measures are: (a) fully undertaken; (b) partly undertaken; (c) not yet undertaken.
		3. Has the government undertaken measures for gender and vulnerability analysis? Such measures are: (a) fully undertaken; (b) partly undertaken; (c) not yet taken
Strengthening institutionalisation and evaluation capacities		
−	**Evaluation of the political environment**	1. This section aims to determine whether the policy environment is right for carrying out a diagnostic process and developing evaluation policy and practices.
		2. Will there be legal issues in developing evaluation policy and function? (a) There will not be any legal issues; (b) there may be legal issues, but they can be addressed; (c) legal issues remain a constraint and will take some time to be addressed.
		3. Will there be political resistance to more structured evaluation practices? (a) There will not be any political resistance; (b) there may be political resistance, but it can be addressed; (c) political resistance remains a constraint and will take some time to be addressed.
		4. Is there political space to use evaluation evidence to bring about positive change? (a) There is political space to use evaluation evidence for change; (b) there is partial political space to use evaluation evidence for change; (c) there is no political space to use evaluation evidence for change.
		5. Are there resource constraints in developing evaluation policy and function? (a) There are not any resource constraints; (b) there are some resource constraints, but they can be addressed; (c) resource constraints remain and will take some time to be addressed.
		6. Is there technical capacity to develop evaluation policy and function? Technical capacity is: (a) not an issue; (b) partly an issue; (c) a major issue.
−	**Strengthening the evaluation policy and function**	1. What will the national evaluation policy provide a framework for?
		a) All national entities and programmes.
		b) Primarily the national planning entity.
		c) Selected government entities/ministries and programmes
		2. What entity will lead and coordinate the evaluation function?
		a) A dedicated and detached (independent) evaluation unit.

	b) A multifunctional division with a dedicated evaluation unit.
	c) There is currently no evaluation unit or coordination entity.
	<u>If the response is 'C' skip to question 5</u>
	3. What human resources will the evaluation entity have?
	a) Human resources will be fully established commensurate with the scale of the national development programme.
	b) The evaluation entity will start with a small team and build gradually.
	c) The evaluation entity will have a small team under a multifunctional division.
	4. What professional staff will the evaluation entity have and what will be their role?
	a) The evaluation entity will have a full complement of professional staff to conduct/lead evaluations.
	b) The evaluation entity will have a small number of professional staff to manage evaluations.
	c) Professional staff is not a priority for the evaluation entity.
	5. What will be the emphasis of the evaluation function?
	a) Accountability and possibly learning.
	b) Learning.
	c) No specific emphasis.
	6. Regarding the level of independence of the evaluation entity, who will it report to?
	a) The evaluation entity will report to the parliament.
	b) The evaluation entity will report to an independent oversight structure.
	c) The evaluation entity will report to a management structure.
	7. How will the national evaluation policy provide direction on intergovernmental coordination for evaluations?
	a) It will outline interministerial coordination mechanisms, roles and responsibilities.
	b) It will establish coordination committees as and when needed.
	c) It will not address coordination as an immediate priority.
	8. How will financial resources for the evaluation function be allocated?
	a) Resources will be annually budgeted.
	b) Resources will be part of the overall programme budget.
	c) Resources will be allocated as needed, with no specific budget assigned.
	9. What will financial resources for evaluation cover?
	a) All evaluations in the evaluation plan.
	b) Some of the planned evaluations.
	c) There will be no specific evaluation budget, and resources will be assigned as needed.
	10. Who will approve the budget for the evaluation function and evaluations?
	a) Parliament.
	b) An independent oversight structure.

c) Executive function.
11. How will evaluations be planned?
a) An evaluation plan will be prepared annually or biannually.
b) Evaluations will be planned as part of the key activities of the government.
c) There is no specific planning for evaluations.
12. While making evaluation choices, the following parameters should be taken into consideration. (Select statements that identify the level of priority):
a) Level of impact on policymaking (degree to which evaluation will contribute to a policy action that is critical for improvements in quality of life).
b) Level of urgency for policy inputs (degree to which evaluation will contribute to filling a gap in inputs for policymaking).
a) Level of accountability (entities at different levels of government that would take responsibility for the evaluation results).
c) Net systemic contribution (extent to which evaluation will contribute to a policy action over time that will support the integrated achievements of critical success factors).
d) Level of availability of data (baseline and performance data).
e) Availability of resources (if funds are already assigned for the evaluation).
The plan should be supported with adequate human and financial resources to ensure evaluation quality.
13. What provisions will be made to ensure evaluation reports are produced?
a) All evaluations will include a comprehensive report
b) Some evaluations will include a comprehensive report
c) There will be no provision for a comprehensive evaluation report
14. Will funds be assigned to ensure there are adequate resources to produce evaluation reports?
a) Funds will be assigned to produce comprehensive reports for all evaluations.
b) Funds will be assigned to produce comprehensive reports for some evaluations.
c) Funds for a comprehensive evaluation report will not be a priority.
15. What provisions will be made for quality assurance of implementation of the evaluation plan and the evaluation reports produced?
a) A quality assurance system will be put in place for implementation of the evaluation plan and evaluation reports.
b) There will be an ad hoc system for quality assurance of the implementation of the evaluation plan and evaluation reports.
c) There will be no system for quality assurance.
16. What provisions will be made to ensure that evaluation reports are of high quality?
a) All evaluations will be quality assured by an intergovernmental body or head of the entity.
b) Selected evaluations will be quality assured by an intergovernmental body or head of the entity.
c) No provisions will be made for quality assurance / evaluation reports will not be produced.
17. Will specific efforts be made to incorporate gender dimensions in evaluations?
a) All evaluations will incorporate gender parameters.
b) Some evaluations will incorporate gender parameters.
c) There will not be much emphasis on incorporating gender parameters.

	18. Will specific efforts be made to incorporate human rights dimensions in evaluations?
	a) All evaluations will incorporate human rights parameters.
	b) Some evaluations will incorporate human rights parameters.
	c) There will not be much emphasis on incorporating human rights parameters.
	19. What provisions will be made to ensure transparency and public sharing of evaluation reports?
	a) Transparent disclosure measures will be in place, and all evaluation reports and findings will be made public.
	b) Evaluation reports and findings will be selectively made public.
	c) Evaluation reports and findings will not be made public.
	20. What provisions will be made to ensure the evaluation plan and evaluations are shared?
	a) A full-disclosure policy will ensure that all evaluation-related documents are shared internally and externally (made public) except for those on sensitive subject matters.
	b) There will be only selective external disclosure of evaluation-related documents (excluding those related to sensitive issues), and all evaluations will be disclosed only internally.
	c) There will be no external disclosure of evaluation-related documents.
	21. Will mechanisms be developed to ensure use of evaluations?
	a) Mechanisms will be developed to use evaluations for accountability and learning.
	b) Mechanisms will be developed to use evaluations for learning.
	c) Evaluations will be used as needed.
	22. How will dissemination of key findings and lessons be handled?
	a) A dissemination strategy for all evaluations is mandatory.
	b) Dissemination is not mandatory and will be based on needs.
	c) Dissemination is not a priority.
− **Integration of evaluation at ministerial, sectoral and subnational levels**	1. To what degree is evaluation mainstreamed into national institutions?
	a) Evaluation is mainstreamed into all ministries and programmes.
	b) Evaluation is mainstreamed into selected ministries and programmes.
	c) Evaluation is not mainstreamed.
	2. To what degree is evaluation mainstreamed into subnational institutions?
	a) Evaluation is mainstreamed into all subnational entities and programmes.
	b) Evaluation is mainstreamed into selected subnational entities and programmes.
	c) Evaluation is not mainstreamed at the subnational level.
	3. Will resources be provided for mainstreaming the evaluation function?
	a) Sufficient resources will be assigned to mainstream the evaluation function.
	b) Resources will be available for selected mainstreaming.
	c) No resources will be available for mainstreaming.

	4. Will external support be provided for mainstreaming evaluation? a) External support is not needed for mainstreaming evaluation. b) Partial support in selected areas is needed for mainstreaming evaluation. c) Evaluation is not mainstreamed. If there is a need for external support: • Determine areas where support would be needed. • Map possible partners (national institutes, national NGOs, bilateral exchange, donors, international intuitions, international NGOs)	
− **Promoting core developmental values in evaluation**	1. Will gender equality issues be integrated into evaluation policy and practice? a) Gender equality issues will be fully integrated into evaluation policy and practice. b) Gender equality issues will be party integrated into evaluation policy and practice. c) Integration of gender equality issues into evaluation policy and practice is not an immediate priority. 2. Will human rights issues be integrated into evaluation policy and practice? a) Human rights issues will be fully integrated into evaluation policy and practice. b) Human rights issues will be partly integrated into evaluation policy and practice. c) Integration of human rights issues into evaluation policy and practice is not an immediate priority.	
− **Developing a community of evaluation practice**	1. To strengthen national evaluations, will partnerships be established with the following? a) National public and private sector educational/research institutions: (a) Fully; (b) in some areas; (c) no partnerships envisaged. b) National private think tanks: (a) Fully; (b) in some areas; (c) no partnerships envisaged. c) National NGOs: (a) Fully; (b) in some areas; (c) no partnerships envisaged. 2. Will there be engagement with a national evaluation community of practice? a) They will be engaged generally. b) They will be engaged selectively. c) There will be no engagement. 3. Will professional development measures be undertaken? a) Specific measures will be established to ensure professional development. b) Professional development will be undertaken as needed. c) Professional development is not an immediate priority.	
− **Strengthening data and statistics**	1. To strengthen connections between evaluation and data systems: a) Strong links will be established with statistical institutions. b) There will be case-by-case engagement with statistical institutions. c) Strengthening connections between evaluation and data systems is not a priority. 2. Will resources be allocated to bridge data gaps? a) Resources will be allocated to bridge data gaps for all evaluations. b) Resources will be allocated to bridge data gaps case by case.	

	c) Bridging data gaps is not a priority. 3. Will partnerships be established to bridge data gaps? a) Collaborations will be established to bridge data gaps for all evaluations. b) Collaborations will be established to bridge data gaps case by case. c) Collaborations to bridge data gaps are not an immediate priority. 4. Will innovations in data and statistics collection for evaluations be explored? a) Innovations will be explored fully. b) Innovations will be explored partly. c) Innovations are not a priority.
− **Carrying out periodic capacity diagnostics**	*No development
Decentralisation of evaluation capacities (Score: 3 is high, 1 is low, 0 is no activity)	
− **Evaluation of the political environment**	1. Are there legal issues in developing evaluation policy and practices? (a) There are no legal issues; (b) there are some possible legal issues, but they can be addressed; (c) legal issues remain a constraint and will take some time to be addressed. 2. Are there constraints on public disclosure of information? (a) There are no constraints; (b) there are constraints on certain subjects; (c) the entity/programme deals with sensitive subject matter requiring a high level of confidentiality. 3. Is there political resistance to a more structured evaluation practice? (a) There is not any political resistance; (b) there may be some political resistance, but it can be addressed; (c) political resistance remains a constraint and will take some time to be addressed. 4. Is there political space for using evaluation evidence constructively? (a) Significant political space; (b) some political space; (c) no political space. 5. Are there resource constraints in developing evaluation policy and practices? (a) There are no resource constraints; (b) there are some resource constraints, but they can be addressed; (c) resource constraints remain and will take some time to be addressed. 6. Is there sufficient technical capacity to develop evaluation policy and practices? Technical capacity is: (a) not an issue; (b) partly an issue; (c) a major issue.
• **Strengthening the evaluation context**	1. How does the evaluation framework guidance apply to the evaluation activities of the entity/programme? a) The framework guidance applies to all evaluation activities of the entity/programme. b) The framework guidance applies to some activities of the entity/programme. c) The framework guidance will be applied to activities case by case. 2. Who will lead and coordinate the evaluation function/programme of the entity? a) A dedicated, independent evaluation unit. b) Personnel in a dedicated evaluation unit within a multifunctional division. c) No commitments at this stage. If the response is 'C' skip to question 5. 3. What human resources will the evaluation unit have?

a) The unit will be staffed commensurate with the scale of the development programme.

b) The unit will start with a small team and build gradually.

c) The unit will have a small team under a multifunctional division.

4. What professional staff will the evaluation entity have and what will be their role?

a) The evaluation entity will have a full complement of professional staff to conduct/lead evaluations.

b) The evaluation entity will have a small number of professional staff to manage evaluations.

c) Professional staff is not a priority for the evaluation entity.

5. What will be the emphasis of the evaluation function?

a) Accountability and possibly learning

b) Learning

c) There will be no specific emphasis.

6. Regarding the independence of the evaluation function, who will it report to?

a) The evaluation function will report to parliament/legislative entity.

b) The evaluation function will report to an independent oversight structure.

c) The evaluation function will report to a management structure.

7. How will the national/subnational evaluation policy address intergovernmental coordination?

a) The policy will outline interministerial coordination mechanisms, roles and responsibilities.

b) The policy will establish coordination committees as and when needed.

c) Coordination is not an immediate priority.

8. How will financial resources be provided for evaluation?

a) Resources will be budgeted annually.

b) Resources will be part of the overall programme budget.

c) Resources will be located as needed and no specific budget will be assigned.

9. What level of financial resources will be provided for evaluation?

a) Resources will be provided for all evaluations in the evaluation plan.

b) Resources will be provided for some of the planned evaluations.

c) No specific budget will be assigned, and resources will be assigned as needed.

10. Who will approve the budget for the evaluation function and evaluations?

a) Parliament/legislative entity.

b) Independent oversight structure.

c) Executive structure.

11. How often will evaluation planning take place?

a) An evaluation plan will be prepared annually or biannually.

b) An evaluation plan will be prepared as part of the key activities of the government.

c) There will be no specific planning for evaluations.

12. While making evaluation choices, the following parameters should be taken into consideration. (Select statements that match the priority of the programme/entity):

b) The level of impact on policymaking (the degree to which evaluation will contribute to a policy action that is critical for improvements in quality of life).

c) The level of urgency for policy inputs (the degree to which evaluation will contribute to filling a gap in inputs for policymaking).

d) The level of accountability (entities at different levels of government that would take responsibility for the evaluation results).

e) The contribution of evaluation (the extent to which evaluation will contribute to changes in development policies and achievement of critical success factors over time).

f) The availability of data (baseline and performance data availability).

g) Availability of resources (if funds are already assigned for the evaluation).

13. What provisions are made to ensure evaluation reports are produced?

a) All evaluations will include a comprehensive report.

b) Some evaluations will include a comprehensive report.

c) There will not be much emphasis on evaluation reports.

14. What provisions will be made to ensure adequate resources are assigned to produce evaluation reports?

a) Funds will be assigned to produce comprehensive evaluation reports for all evaluations.

b) Some evaluations will be assigned funds to produce a comprehensive report.

c) There will not be much emphasis on comprehensive reports.

15. What provisions will be made for quality assurance of the implementation of the evaluation plan and evaluation reports?

a) A quality assurance system will be put in place for ensuring the implementation of the evaluation plan and evaluation reports.

b) There will be an ad hoc system for ensuring the implementation of the evaluation plan and evaluation reports.

c) There will be no system for quality assurance.

16. What provisions will be made to ensure the quality of evaluation reports produced?

a) All evaluations will be quality assured by an intergovernmental body or head of the entity.

b) Selected evaluations will be quality assured by an intergovernmental body or head of the entity.

c) There will not be much emphasis on quality assurance / evaluation reports will not be produced.

17. What efforts will be made to incorporate gender dimensions in evaluations?

a) All evaluations will incorporate gender parameters.

b) Some evaluations will incorporate gender parameters.

c) There will not be much emphasis on gender parameters.

18. What efforts will be made to incorporate human rights dimensions in evaluations?

a) All evaluations will incorporate human rights parameters.

b) Some evaluations will incorporate human rights parameters.

c) There will not be much emphasis on human rights parameters.

		19. How will transparency and public sharing of evaluation reports be assured?
		a) Transparent disclosure measures will be in place, and all evaluation reports and findings will be made public.
		b) Evaluation reports and findings will be selectively made public.
		c) Evaluation reports and findings will not be made public.
		20. How will the evaluation plan and evaluations be shared?
		a) A full disclosure policy will be prepared, ensuring that all evaluation-related documents will be shared internally and externally (made public) except for those on sensitive subject matters.
		b) There will be selective public disclosure of evaluation-related documents (excluding those related to sensitive issues), and all evaluations will be disclosed only internally.
		c) There will be no disclosure of evaluation-related documents externally.
		21. How will use of evaluations be ensured?
		a) Mechanisms will be developed for using evaluations for accountability and learning.
		b) Mechanisms will be constituted for using evaluations for learning only.
		c) Evaluations will be used as needed.
		22. How will key findings and lessons from the evaluation practice be disseminated?
		a) A dissemination strategy for all evaluations is mandatory.
		b) Dissemination is not mandatory and will be needs based.
		c) Dissemination is not a priority.
−	**Mainstreaming evaluation at ministerial, sectoral, state and local levels**	1. Where will evaluation be mainstreamed in subnational institutions?
		a) In all subnational entities and programmes.
		b) In selected subnational entities and programmes.
		c) There will be no mainstreaming.
		2. Will resources be available to mainstream the evaluation function?
		a) Sufficient resources will be assigned to mainstream the evaluation function.
		b) Resources will be available for selected mainstreaming.
		c) There will be no mainstreaming.
		3. Is external support provided for mainstreaming evaluation?
		a) External support is not needed for mainstreaming evaluation.
		b) Partial support is needed in selected areas for mainstreaming evaluation.
		c) There is no mainstreaming of evaluation.
		If there is a need for external support:
		• Determine areas where support would be needed
		• Map possible partners (national institutes, national NGOs, bilateral exchange, donors, international intuitions, international NGOs)

− **Promoting core values in evaluation**	1.	How will the evaluation framework and practice address gender equality issues?
	a)	They will fully integrate gender equality issues.
	b)	They will partly integrate gender equality issues.
	c)	Gender equality issues in evaluations are not an immediate priority.
	2.	How will the evaluation framework and practice address human rights issues?
	a)	The evaluation framework and practice will fully integrate human rights issues.
	b)	The evaluation framework and practice will partly integrate human rights issues.
	c)	Human rights issues in evaluations are not an immediate priority.
− **Develop a community of evaluation practice**	1.	Will partnerships be established with public and private sector educational and research institutions to strengthen national evaluations?
	•	With national and subnational public and private sector educational and research institutions: (a) Fully; (b) in some areas; (c) no partnerships envisaged.
	•	With national private/subnational think tanks: (a) Fully; (b) in some areas; (c) no partnerships envisaged.
	•	With national/subnational NGOs: (a) Fully; (b) partly; (c) no partnerships envisaged.
	2.	Will there be engagement with an evaluation community of practice?
	a)	They will be engaged generally.
	b)	They will be engaged selectively.
	c)	There will be no engagement.
	3.	Will professional development measures for evaluation be established?
	a)	Comprehensive measures will be established.
	b)	Measures will be established as needed.
	c)	Professional development for evaluation is not an immediate priority.
− **Strengthening data and statistics**	1.	Will connections be made with statistical institutions to strengthen links between evaluation and data systems?
	a)	Strong links will be established with statistical institutions.
	b)	Engagement with statistical institutions will take place case by case.
	c)	Links with data systems are not a priority.
	2.	Will measures be taken to bridge data gaps?
	a)	Resources will be allocated to bridge data gaps.
	b)	Resources will be allocated case by case to bridge data gaps.
	c)	Measures to bridge data gaps are not an immediate priority.
	3.	Will partnerships be established to bridge data gaps?
	a)	Partnerships will be established to bridge data gaps.
	b)	Partnerships will be established case by case to bridge data gaps.
	c)	Partnerships to bridge data gaps are not an immediate priority.
	4.	Will innovations in data and statistics collection for evaluations be explored**?**
	a)	Innovations will be explored fully.

	b) Innovations will be explored partly.
	c) Innovations are not a priority.

Integration of the specificities of the SDGs and sustainable development into evaluation processes(Score: 3 is high, 1 is low, 0 is no activity)

− **Endorsement and promotion of SDG approaches**	1. Are specific measures being promoted to ensure that evaluation approaches respond to SDG-related programme specificities? (a) Fully promoted; (b) being developed; (c) not being developed.
	2. Is there an evaluation planning process to prioritize the goals and targets most appropriate for assessing national development outcomes? (a) Fully in place; (b) being developed; (c) not being developed.
	3. Is inclusion of civil society and citizens in the evaluation process being promoted? (a) Fully promoted; (b) partly promoted; (c) not being promoted.
	4. Are measures being promoted to emphasize sustainable development approach in evaluations? (a) Fully promoted; (b) partly promoted; (c) not being promoted
	5. Are measures to emphasize sustainable development approaches through evaluations being promoted to all relevant stakeholders? (a) Fully promoted; (b) partly promoted; (c) not being promoted.
	6. Do the evaluations assess the integration of the SDGs into national development strategies? (a) Fully assess; (b) partly assess; (c) do not assess.
− **Establishing multi-stakeholder and multi-agency approaches**	1. Has the entity taken actions to engage multiple institutions in the evaluation of development plans (in contrast to sectoral approaches)? (a) Fully taken; (b) partly taken; (c) no action taken.
	2. Are actions taken to obtain a range of citizen perspectives while collecting evaluation data? (a) Fully taken; (b) partly taken; (c) no action taken.
	3. During evaluation processes, are actions taken to include the perspectives of marginalized groups? (a) Fully taken; (b) partly taken; (c) no action taken.
	4. Are actions taken to inform citizens about evaluation findings and recommendations? (a) Fully taken; (b) partly taken; (c) no action taken.
− **Assessment of horizontal policy coherence**	1. Has the degree of linkage between the SDGs and between the SDG targets been mapped to ensure a more comprehensive evaluation of policy outcomes? (a) Fully mapped; (b) partly mapped; (c) not yet mapped.
	2. Have the government institutions involved in achieving a specific programme/target outcome for a more comprehencsive evaluation of policy outcomes been identified? (a) Fully identified; (b) partially identified; (c) not identified.
	3. Has responsibility been assigned to assess how the policies of different departments cohere, contradict and support integrated sustainable development? (a) Fully assigned; (b) partially assigned; (c) not assigned.
	4. Have sectoral policies been updated to reflect the links between different dimensions of sustainable development? (a) Fully updated; (b) partially updated; (c) not updated.
	5. Have data systems been established to produce disaggregated development data? (a) Fully established; (b) in progress; (c) not yet established.
	6. Are evaluation approaches updated to take into account issues of policy coherence and integrated programme approaches? (a) Fully updated; (b) partially updated; (c) not yet updated.
	7. Are formal institutional mechanisms established to enable inter-agency coordination for evaluations?
	a) A coordination committee/commission will be formulated or is already in place.
	b) There will be a designated official with responsibilities for coordination.
	c) Coordination will be performed by existing institutions with cross-sectoral functions (for example planning entity or interministerial bodies) while new entities are developed.

	d) Coordination is not an immediate priority. 8. Is it a priority to identify data sources for evaluating links between the SDGs and between the targets? a) Immediate priority. b) Intermediate priority. c) Not a priority, or data issues will be addressed ad hoc. 9. Are institutional processes for assessing integrated policy analysis and intersectoral dimensions of the programmes and policies developed? (a) Fully developed; (b) in progress; (c) the process is stagnant. 10. Are evaluation approaches developed for assessing the responsiveness of programmes and policies to diverse citizen needs? (a) Fully developed; (b) in progress; (c) the process is stagnant.
− **Assessment of vertical policy coherence**	1. Is developing evaluation mechanisms to engage different levels of the government in evaluations a priority? (a) Immediate priority; (b) intermediate priority; (c) not a priority. 2. Is identifying data sources for evaluating policy performance at different levels of the government a priority? (a) Immediate priority; (b) intermediate priority; (c) not a priority / data issues will be addressed as needed. 3. Have measures been taken to bridge performance data gaps at the local level? (a) Fully taken/not an issue; (b) in progress; (c) the process is stagnant. 4. How are formal institutions used to coordinate evaluation across different levels of government? (For example between federal and state governments, state and local governments): a) There is a coordination committee/commission. b) A designated official has responsibility for coordination. c) Existing institutions with cross-sectoral functions are used (for example a planning entity or interministerial bodies) while new ones are developed. d) Coordination across different levels of government is not an immediate priority. Where relevant: 5. Are non-state actors (such as civil society and academia) involved in the coordination of evaluation across different levels of government? (a) Fully involved; (b) moderately involved; (c) not involved.
− **Improving the resilience of development outcomes**	1. Are policy measures for risk management taken in the following categories: • Economic risk management measures are: (a) fully taken; (b) in progress; (c) not being taken. • Climate risk management measures are: (a) fully taken; (b) in progress; (c) not being taken. • Social risk management measures are: (a) fully taken; (b) in progress; (c) not being taken. 2. Is there a shared understanding of what resilience-responsive policy measures entail?(a)There is a shared understanding; (b) a shared understanding is being developed; (c) there is no shared understanding. 3. Is there a shared understanding of policy measures needed to enhance the resilience of development outcomes? (a) There is a shared understanding; (b) a shared understanding is being developed; (c) there is no shared understanding. 4. Are there indicators in national planning and programming to track resilience? (*a*) There are sufficient indicators; (b) indicators are being developed; (c) there are no indicators.

		5. Are there measures to collect data for evaluation of resilience and potential development risks? (a) Such measures are fully in place; (b) such measures are being developed; (c) there are no measures.
−	**Form partnerships to obtain performance data**	1. Is there collaboration for data on benchmarks and to compare performance? Such collaboration is: (a) fully in place; (b) in progress; (c) stagnant. 2. Are key sustainable development variables that will elicit a fundamental and irreversible change in the behaviour of the system and development outcomes identified for data collaboration? (a) Fully identified; (b) in progress; (c) not identified. 3. Are data for key sustainable development variables that will elicit a fundamental and irreversible change in the behaviour of the system and development outcomes identified for data collaboration? (a) Fully identified; (b) being identified; (c) not identified. 4. Are data sources based on internationally accepted norms and standards identified? (a) Fully identified; (b) being identified; (c) not identified.
−	**Cross-cutting/joint evaluation management systems in place**	1. Are government institutions involved in achieving a specific programme or national development target or outcome identified? (a) Fully identified; (b) partly identified; (c) not identified. 2. Is the level of links between goals and between targets mapped? Such mapping: (a) is completed; (b) is in progress; (c) has not been undertaken. For countries without a central evaluation entity: 3. Is it a priority to establish a coordination committee for evaluation of cross-sectoral development issues and to engage diverse stakeholders? (a) High priority; (b) moderate priority; (c) not a priority.
−	**Supporting inclusion**	1. Do evaluations account for the contribution of actors other than the government? (a)Fully account; (b) partly account; (c) do not account. 2. Do evaluations involve other actors than the government, especially beneficiaries? (a)Fully involve; (b) partly involve; (c) do not involve. 3. Do evaluations assess questions of equity and vulnerability? (a) Fully assess; (b) partly assess; (c) do not assess. 4. Are methodologies updated to assess equity issues? (a) Fully updated; (b) updating is in progress; (c) not updated. 5. Are there sufficient data and funding to answer questions of equity? (a)Sufficient data; (b) moderately sufficient data; (c) insufficient data.
−	**Links between monitoring, reporting and accountability**	1. Are links established between development data, monitoring and SDG reporting? (a) Fully established; (b) in progress; (c) not established. 2. Are links between monitoring and government accountability prioritized? (a) Fully prioritized; (b) being prioritized; (c) not prioritized.
−	**Countries with special development situations**	1. Are evaluations assessing the impact of the development situation on the practice of evaluation? Such assessments are: (a) Fully made; (b) in progress; (c) not being made. 2. Have measures been taken to ensure evaluations pay attention to challenges in special development contexts? (a) Fully taken; (b) in progress; (c) not taken. 3. How are evaluation approaches reformulated to enable assessment under severe data constraints? (a) Evaluation approaches are fully reformulated to address data constraints in special development situations; (b) evaluation approaches are partly reformulated to address data constraints in special development situations; (c) evaluation approaches are not reformulated to address data constraints of special development situations.
Collection of information		Form
Sources		Government Entities

Annex 05. Methodologies applied in indices of a similar nature

SOURCE	COLLECTION	SOURCES	METHOD	CALCULUS
Digital Evolution Index **(2017)** *Chakravorti, B; Chaturvedi, RS*	Public and private secondary data, Four pillars (attitudes, behaviours, context and experience)	According to sources	- Four conductors=dimensions (108 indicators) - Indicators rescaled to 0-5 (different sources = different original scales)-> 5*(datum-minimum)/max-min - Evolution calculation (minimises the effect of the best, making the best score the one with the most progress)	- Weighting of the indicators according to the quality of the data, the soundness of the methodology used to obtain them and the centrality with the concept to be measured (minimising correlations and internal interactions). P. 51 onwards - Arithmetic mean of the weighted components + 20 (max. 100) - Momentum scores (evolution)
Democracy Index in Spain **(2008-2016).** **Alternatives Foundation**	Survey	− Experts (520 contacts and 153 replies) − Citizenship (based on an official survey including coincident indicators)	- Five spheres (=dimensions) - Questionnaire (57 questions)/subjective scales 0-10	- Indicator averages; averages by dimension; overall average - No weighting
Aid Transparency Index **(2018)** **Publish What You Found**	− Data recorded in the IATI system − Data from other systems	− Donors − Independent Reviewers	- Five components (35 indicators) - Analysis by phases: collection, checking, evaluation and manual collation of documents, collection of non-recorded data, collation - Published data on the set of activities (range of scores)	- Standardisation [very good (80-100%), good (60-79%), fair (40-59%), poor (20-39%), very poor (0-19%)]. - Availability, comprehensibility and comparability scores. Compliance with required data standards - Weighting of indicators and components: according to the evaluation of potential users (up to 100)
Corruption Perceptions Index **(2018)** **Transparency International**	− 13 varied data sources, using the answers to the corruption-related questions they contain	The experts in each case	Subjective evaluation questions (scales 0-6/0-4...)	- Validation of data and sources (adequacy) - Normalisation (Xpais - Xglobal source/s source). Scale 0-100 - The CPI score will be displayed together with the standard error and the 90% confidence interval reflecting the variance of the data value that makes up the CPI score.

Annex 06. INCE operationalisation matrix

Based on the definition of the dimensions and subdimensions, the second level of operationalisation is established: *from the subdimensions to the variables*, *and from the variables to the indicators*. The proposed indicators make it possible to directly transfer the concepts to be measured to the information collection tools (questionnaires).

With this second level of operationalisation, the following matrices are completed:

Dimension 1. Institutional structure (28 indicators)

	Subdimensions		Variables		Indicators	Scale	Maximum score[13]	Question
1.1.	**Entities or bodies** responsible for the evaluation function	1.1.1.	**Defining the Evaluation Function in the organisational Structure**	1.1.1.1.	Existence of governing body/department or evaluation units	0-1	17	3
				1.1.1.2.	National regulation of liability	0-3		3.1
				1.1.1.3.	Coverage of the national entity	0-5		3.2
				1.1.1.4.	Regulatory responsibility at sectoral/ministerial level	0-3		3.3
				1.1.1.5.	Coverage of sectoral and ministerial entities	0-5		3.4
		1.1.2.	**Operational functioning** of existing agencies	1.1.2.1.	Degree of consolidation of entities with an evaluative function	0-10	20	4
				1.1.2.2.	Effective functioning of existing public entities for the development of evaluation management in relation to their goals and capacities.	0-10		5
		1.1.3.	**Coordination** between evaluation subsystems	1.1.3.1.	Existence of coordinating bodies	0-1	11	6
				1.1.3.2.	Degree of articulation between evaluation entities in different sectoral areas.	0-10		6.1
		1.1.4.	**Human resources** for the design, implementation and follow-up of evaluations	1.1.4.1.	Degree of adequacy of human resources with evaluation functions	0-10	20	11
				1.1.4.2.	Competence management in evaluation by HR in the public system (quality)	0-10		12
		1.1.5.	**Budgetary resources** earmarked for evaluation	1.1.5.1.	Budget allocation for the evaluation of public policies (yes/no)	0-1	27	8
				1.1.5.2.	Institutionalisation of the budget	1-2		8.1
				1.1.5.3.	Budget coverage	0-4		8.2

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[13] The final value of the variable shall be a maximum of 10 points, calculated as a percentage of the "maximum score".

			1.1.5.2. Degree of implementation of the evaluation budget	0-10		9
			1.1.5.3. Adequacy of the evaluation budget	0-10		10
1.2. **Regulatory framework** for the development of evaluation practice	1.2.1.	**Existence of normative frameworks** on evaluation	1.2.1.1. Existence of a regulatory framework on evaluation practice (yes/no) 1.2.1.2. National regulations 1.2.1.3. Programme regulations 1.2.1.4. Project regulations	0-1 0-3 0-3 0-3	10	1 1.1 1.2 1.3
	1.2.2.	**Practical application** of normative frameworks on evaluation	1.2.2.1. Compliance/application of current evaluation regulations	0-10	10	2
1.3. **Operational**, planning and strategic evaluation guidelines	1.3.1.	**Planning** the specific evaluation	1.3.1.1. Existence of an evaluation plan/forecast At the national/sectoral level 1.3.1.2. Degree to which the agenda has been drawn up 1.3.1.3. Scope of the agenda 1.3.1.4. Taking into account the NDP 1.3.1.5. Consideration of SDG monitoring	0-3 0-4 0-4 0-10 0-10	31	7 7.1 7.2 7.3 7.4
1.4. **Coverage** of evaluations	1.4.1.	**Breadth** of the evaluation function	1.4.1.1. Types of actions to be evaluated (projects-national policy)	0-6	6	13
	1.4.2.	**Adequacy** of the evaluation	1.4.2.1. Assessing the adequacy of evaluation practice	0-10	10	14

Dimension 2. Evaluation Offer (12 indicators)

	Subdimensions		*Variables*		Indicators	Scale	Maximum score	Question
2.1.	**Professionals/centres /companies specialised** in the evaluation of public programmes and policies	2.1.1.	**Breadth** of the evaluation offering	2.1.1.1.	Extent of availability/sufficiency of active professionals/centres/consultants to conduct evaluations (responsive to needs)	0-10	10	15
		2.1.2.	**Updating** the evaluation offering	2.1.2.1.	Inclusion of YEEs (*Youth and Emergent Evaluators*) in evaluation teams	0-10	10	16
		2.1.3.	**Quality** of the evaluation offering	2.1.3.1.	Quality of training/experience of the professionals conducting the evaluations	0-10	20	17
				2.1.3.2.	Technical quality of the proposals received in public calls/tenders	0-10		18
2.2.	Specialised training and **capacity-building programmes** and evaluation bodies.	2.2.1.	Inclusion of **evaluation in the accredited training offer**.	2.2.1.1.	Existence of an officially recognised training offer in the evaluation.	0-1	1	19
		2.2.2.	**Adequacy** of the training offer (accredited)	2.2.2.1.	Quality of the training offering accredited in the evaluation	0-10	20	20
				2.2.2.2.	Thematic breadth of the evaluation training on offer	0-10		21
		2.2.3.	**Relevance** of the training offer	2.2.3.1.	Alignment of training provision with national evaluation needs	0-10	10	22
		2.2.4.	Availability of an accredited training offer	2.2.4.1.	Accessibility of the accredited evaluation training on offer (prices/schedules/*online* offer)	0-10	20	23
				2.2.4.2.	Adequacy of evaluation training on offer	0-10		24
2.3.	National **networks/associations** of evaluation professionals - VOPE	2.3.1.	**Existence** of VOPE	2.3.1.1.	Degree of development/maturity of the VOPE	0-10	10	25
		2.3.2.	**Impact** of VOPE	2.3.2.1.	Level of public impact/referral in the evaluation of the VOPE	0-10	10	26

Dimension 3. Quality of Evaluations (21 indicators)

	Subdimensions		*Variables*		Indicators	Scale	Maximum score	Question
3.1.	Accessible and quality **data and monitoring information**	3.1.1.	**Existence** of data	3.1.1.1.	Level of development of data from official systems/sources	0-10	20	27
				3.1.1.2.	Availability of data provided by the internal monitoring of the programme	0-10		31
		3.1.2.	Data **quality**	3.1.2.1.	Quality/reliability of available official data	0-10	50	28
				3.1.2.2.	Adequacy of the periodicity of available official data	0-10		29
				3.1.2.3.	Degree of disaggregation of official data	0-10		30
				3.1.2.2.	Quality/reliability of internal programme monitoring data.	0-10		32
				3.1.2.3.	Degree of disaggregation of internal programme monitoring data	0-10		33
3.2.	**Quality of evaluation products**	3.2.1.	**Adequacy** of the evaluations performed	3.2.1.1.	Quality and technical rigour of the evaluations performed	0-10	40	34
				3.2.1.2.	Quality of the ToR with which evaluations are required	0-10		35
				3.2.1.3.	Timeliness of results for decision making	0-10		36
				3.2.1.4.	Relevance of the recommendations for decision making	0-10		37
3.3.	**Inclusive perspective** from the point of view of gender and rights.	3.3.1.	**Gender focus in the development** of evaluation	3.3.1.1.	Effective gender mainstreaming in evaluation processes	0-10	10	38
		3.3.2.	**Rights-based approach to evaluation development**	3.3.2.1.	Effective incorporation of a rights perspective in the evaluation process.	0-10	10	39
3.4.	**Ethical perspective** on evaluation	3.4.1.	Inclusion of a **code of ethics** in the evaluation.	3.4.1.1.	Independence of evaluation processes	0-10	20	40
				3.4.1.2.	Impartiality of evaluation processes	0-10		41
3.5.	**Quality control** of evaluations	3.5.1.	Defining the **quality** of evaluations	3.5.1.1.	Development of frameworks on evaluation quality components and requirements	0-10	10	42

				0-1	41	43
3.5.2.	**Quality control** of evaluations	3.5.2.1.	Application of quality control mechanisms in evaluation processes.			
		3.5.2.2.	Implementation of the ToR	0-10		44.1
		3.5.2.3.	Application for intermediate products			
		3.5.2.4.	Request for final report	0-10		44.2
				0-10		44.3
		3.5.2.2.	Development of meta-evaluation or evaluation of evaluations.	0-10		45

Dimension 4. Multi-stakeholder dialogue spaces (5 indicators)

	Subdimensions		Variables		Indicators	Scale	Maximum score	Question
4.1.	**Spaces for coordination and articulation** of different acetors	4.1.1.	**Development of coordination space**s with non-governmental stakeholders to agree on and monitor the evaluation agenda.	4.1.1.1.	Implementation of coordination bodies with non-governmental stakeholders to agree on and monitor the evaluation agenda.	0-1	11	46
				4.1.1.2.	Maturity of the coordinating bodies with non-governmental stakeholders	0-10		48
		4.1.2.	**Functions of the collegiate spaces** for agreeing and following up on the evaluation agenda	4.1.2.1.	Expansion of the (participatory) functions of the collegial coordinating bodies	0-4	4	47
4.2.	Participation of relevant stakeholders in **spaces for dialogue**	4.2.1.	**Incorporation of** non-governmental stakeholders in decisions on the evaluation agenda	4.2.1.1.	Breadth/diversity of the profiles of the non-governmental agents that participate in the spaces for dialogue.	0-10	20	49
				4.2.1.2.	Quality of the participation of non-governmental agents in the spaces for dialogue.	0-10		50

Dimension 5. Use of Evaluation (18 indicators)

	Subdimensions		Variables	Indicators		Scale	Maximum score	Question
5.1.	**Accessibility** of the products and results of the evaluations performed.	5.1.1.	**Availability** of evaluation results	5.1.1.1.	Degree of public accessibility of evaluation results	0-10	20	51
				5.1.1.2.	Number of evaluations that are shared publicly (web, events...)	0-10		52
		5.1.2.	**Breadth** of information shared	5.1.2.1.	Accessibility of press releases	0-2	10	53.1
				5.1.2.2.	Summaries	0-2		53.2
				5.1.2.3.	Report without annexes	0-2		53.3
				5.1.2.4.	Report with annexes	0-2		53.4
				5.1.2.5.	Institutional response to recommendations	0-2		53.5
5.2.	**Impact** of evaluation results on public decision making in the **Executive Branch**	5.2.1.	**Application** of the results in the definition of policies	5.2.1.1.	Impact of evaluation results on public policy decision making	0-10	50	54
				5.2.1.2.	Impact of evaluation results at the technical level	0-10		55.1
				5.2.1.3.	Impact of evaluation results at the middle level	0-10		55.2
				5.2.1.4.	Impact of evaluation results at high levels	0-10		55.3
				5.2.1.3.	Impact of the evaluation results on the follow-up to the national SDG agenda	0-10		56
		5.2.2.	Impact on **budget allocation**	5.2.2.1.	Linking evaluation results to programme/policy budget allocations	0-10	10	57
		5.2.3.	Promoting **learning and improving public** policies	5.2.3.1.	Linking evaluation results to the revision/improvement of programme/policy outcomes	0-10	10	58
5.3.	**Impact** of evaluation results on public decision making from the **Legislative Power**	5.3.1.	Impact on **legislative action**	5.3.1.1.	Institutionalising the transfer of results to Parliament	0-10	20	60
				5.3.1.2.	Linking evaluation results to the legislative design of public policies	0-10		59
5.4.	Use of evaluation results by **civil society**	5.4.1.	Impact of the evaluation results on the demands of **civil society**	5.4.1.1.	Incorporation of evaluation results into the civil society agenda to channel demands.	0-10	10	61
		5.4.2.	Application of evaluation results in the practice of the **Academy**	5.4.2.1.	Incorporation of evaluation results into the academy's training/research agenda.	0-10	10	62