ADMINISTRATIVE MEMORANDUM No. 146

SUBJECT: Evaluation Policy of the General Secretariat of the Organization of American States for Programs, Projects, and Cooperation Activities (OASEP)

CONSIDERING:

That the Secretary General, through Executive Order No. 05-11, established the Project Evaluation Committee (PEC) responsible for "Evaluating the appropriateness and importance of projects under way and of proposed projects submitted for execution using funds administered by the Organization [...]" and "Establishing the criteria for broadening the database of the General Secretariat so that it contains basic information on projects under way and for supervising their implementation.". Also, Executive Order No. 05-11 entrusted the PEC's Technical Secretariat with the task of "Coordinating the preparation of the regulatory, technical, and I.T. instruments required for integral project management;"

That at its 63rd and 126th meetings held on April 19, 2011, and May 4, 2017, respectively, the PEC requested its Technical Secretariat to "prepare a draft project and program evaluation policy for the General Secretariat;"

That the Rules of Procedure of the PEC, approved by the Secretary General through Executive Order No 17-03, establish that it's the competency of the PEC to "evaluate all programs, projects, and activities (jointly hereinafter projects) to be financed with specific funds even if those projects have already been initiated with other funds." These Rules also state as criteria for the presentation and formulation of proposals by indicating among others that "Proposals should include activities and resources deemed necessary for monitoring and possible evaluation". Finally, regarding monitoring and evaluation, the Rules establish that the Department of Procurement Services and Management Oversight (DPMO), who absorbed the functions of the abolished Department of Planning and Evaluation, "will initiate a process of external evaluation of the projects. [...] with the aim of improving implementation and the likelihood of achieving the expected results, and [...] obtaining final conclusions, documenting achievements and lessons learned, and improving future similar interventions;"

That, among others functions, DPMO is responsible for providing advice on the process of evaluating program and project results and effectiveness, and on institutional evaluation processes; in the management of technical cooperation programs and projects coordinated and/or implemented by the General Secretariat and on the management of institutional evaluation processes; and, in program and project management, including the formulation of quality programs and projects aligned with the Organization's mandates and priorities, technical supervision of their implementation, and coordination of external evaluations;

That the Office of the Inspector General, through the Audit Report AUD17-03, dated August 2018, recommended to the PEC Technical Secretariat, for defining "procedure(s) with the minimum standards required to be follow by the technical areas for the execution and monitoring of projects" and to "document their processes in the form of operating manuals"; and

That it is necessary to adopt an evaluation policy in order to have clear and transparent rules and procedures in the management of external evaluations of programs, projects and cooperation activities and in the administration of evaluation process implemented by the General Secretariat, as required by member states and PEC; to comply with internal requirements as well as international standards of practice for a more transparent, accountable and results-based oriented organization; and to further institutional learning, accountability, and management by results by assessing the effectiveness of OAS initiatives,

THE DECISION:

1. To adopt effective as of the date of this Administrative Memorandum the Evaluation Policy of the General Secretariat for Programs, Projects, and Cooperation Activities (OASEP) as set forth in Attachment A.
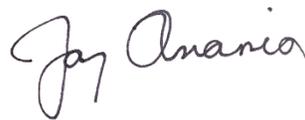
Jay N. Anania
Secretary for Administration and Finance

Original: English
December 9, 2022

Secretariat for Administration and Finance (SAF)

Original: English

ATTACHMENT A

EVALUATION POLICY OF THE GENERAL SECRETARIAT OF THE OAS (OASEP)

A policy with guidelines and procedures for the external evaluation of all GS/OAS projects, programs, and cooperation activities.

December 09, 2022

List of Acronyms

AECID	Spanish Agency for International Development Cooperation
AEP	Annual Evaluation Plan
CIDI	Inter-American Council for Integral Development
DAC	Development Assistance Committee (OECD)
DPMO	Department of Procurement Services and Management Oversight
GS/OAS	General Secretariat of the Organization of American States
ICR	Indirect Cost Recovery
IFAD	International Food and Agriculture Fund
MDGs	Millennium Development Goals
M&E	Monitoring and Evaluation
MR	Management Response
NORAD	Norwegian Agency for Development Cooperation
OAS	Organization of American States
OASEP	Organization of American States Evaluation Policy
OECD	Organization for Economic Co-operation and Development
OIG	Office of the Inspector General
PEC	Project Evaluation Committee
PEC/WG	Project Evaluation Committee – Working Group
RBM	Result-Based Management
RF	Regular Fund
RFR	Requests for Reinforcements
SAF	Secretariat for Administration and Finance
SCODMR	Strategic Counsel for Organizational Development and Management for Results
SEDI	Secretariat for Integral Development
SEMO	Support, Evaluation and Management Oversight Section
SIDA	Swedish International Development Cooperation Agency
SHA	Secretariat for Hemispheric Affairs
SLA	Secretariat for Legal Affairs
SMS	Secretariat for Multidimensional Security
SSD	Secretariat for Strengthening Democracy
SF	Specific Funds
TORs	Terms of Reference
UNDP	United Nations Development Fund
UNEG	United Nations Evaluation Group
USAID	United States Agency for International Development
USDOS	United States Department of State

Contents

I. Introduction

Evaluations of the programs, projects, and cooperation activities the OAS General Secretariat (GS/OAS) are key elements contributing to the transparency, accountability, and institutional learning of international organizations. Proper formulation, monitoring and evaluation of project, programs and cooperation activities and fully documenting the results are key management controls to help ensure that the GS/OAS uses donor contributions appropriately and effectively, while achieving results.

Evaluations of programs, projects, cooperation initiatives, and activities exist to support GS/OAS in meeting its institutional responsibilities, to help improve project performance, and to demonstrate that the work done has been conducted in compliance with agreed rules and standards and reported fairly and accurately on performance and results, vis-a-vis mandated roles and/or plans. Evaluations provide credible, evidence-based, neutral assessments of the efficiency, effectiveness, relevance, and general performance of such programs, projects, cooperation initiatives, and activities.

The Organization of American States Member States mandated[1] that the GS/OAS take the necessary steps to improve transparency, accountability, and effectiveness not only in programs and projects, but also in its general management. Past OAS General Assembly (GA) resolutions[2] have provided the institutional framework for the development and implementation of this Organization-wide evaluation policy. Various GA resolutions recognize the importance of external evaluations to further GS/OAS institutional learning, accountability, and management by results by assessing the effectiveness of GS/OAS programs, projects, and cooperation activities in advancing GS/OAS strategic goals for multidimensional security, human rights, democracy, and integral development.

II. Context and objectives

a) The GS/OAS is committed to using design, monitoring, and evaluation to strengthen institutional learning, accountability, and transparency. This institutional commitment does not exist in a vacuum; the international community, in particular national and international cooperation agencies and organizations around the globe, established, followed, and furthered international commitments on how to improve development assistance aid effectiveness through the Declarations of Rome,

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[1] AG/RES. 1 (LI-E/16) - Comprehensive Strategic Plan of the Organization "*That the General Secretariat's management shall be results-based and that it shall observe the following guidelines in designing actions: a. Establish a baseline of the current state or condition before implementing an activity or project; b. Identify a result for the strategic actions and the measurement of progress toward that result; c. Ensure consistency and complementarity with the efforts of other regional and multilateral agencies; d. Coordinate with the relevant areas of the Organization, as well as with international organizations and those of the inter-American system, in order to optimize resources, avoid duplication, and ensure the efficient and effective use of human, financial, and technological resources to attain the goals set; and e. Respect the diplomatic mechanisms for relations with the member states through the permanent missions.*"

[2] AG/RES. 1 (XLV-E/13), AG/RES. 2815 (XLIV-O/14), AG/RES. 2889 (XLVI-O/16), AG/RES. 2911 (XLVII-O/17), and CIDI/doc.99/14 rev.1, among others, see Annex I.

Marrakech, and Paris, as well as the Accra Plan of Action. These commitments and guidelines provide a wide set of parameters and action-oriented roadmaps to improve the quality and impact of initiatives on development and international aid. These commitments also provide specific implementation measures and establish a monitoring system to assess progress and ensure that donors and recipients hold each other accountable for their commitments.

b) Adhering to these international efforts and commitments, the GS/OAS oriented its project and program management approach to include planning, monitoring, and evaluation. The GS/OAS developed a series[3] of regulations, guidelines, and tools toward this end. This Evaluation Policy completes and reinforces the tools and regulations that feed and support the project management cycle with a focus on results (see Annex I).

c) Taking into consideration the international and internal context, the objective of the GS/OAS Evaluation Policy (OASEP) is two-fold:

   o to respond to Member State requests to implement management by results in projects, programs, and cooperation activities, to increase effectiveness and institutional accountability to all stakeholders.

   o to furnish the GS/OAS with a specific set of guidelines and a common policy framework that establishes the scope, definitions, roles, responsibilities, and operational provisions for the implementation of external evaluations projects, programs, and cooperation activities, at the GS/OAS.

d) This policy provides guidance to the GS/OAS, from the Department of Procurement Services and Management Oversight (DPMO) under the Secretariat of Administration of Finance (SAF), on how to plan and commission external evaluations of projects, programs, and cooperation activities and other institutional initiatives. It further clarifies the basic objectives and responsibilities of the DPMO:
   i) evaluate the results achieved in relation to specified objectives and plans,
   ii) evaluate whether resource use is commensurate with the results achieved,
   iii) systematize lessons learned with a view to assuring the quality of future projects and improving results through effective learning processes; and
   iv) provide information to the authorities and the general public.

It also represents an important milestone in the strengthening of the GS/OAS evaluation capacity, by incorporating the results of evaluations of all projects, programs, and cooperation activities into GS/OAS planning and budget decision-making.

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[3] Amongst them: Executive Orders 05-11 Rev. 1 – (ESTABLISHMENT OF THE PROJECTEVALUATION COMMITTEE) and 17- 03 – (RULES OF PROCEDURE OF THE PROJECT EVALUATION COMMISSION), Manuals for project management, templates for projects formulation, monitoring and evaluation, and the OAS Project Management System (PMS).

e) The OASEP considers state of the art knowledge and practices in the evaluation field. As such, evaluations at the GS/OAS will be carried out by the Support, Evaluation and Management Oversight (SEMO) Section at DPMO using international criteria set by the Development Assistance Committee (DAC) of the Organization for Economic Co-operation and Development (OECD). The SEMO will also comply with the guidelines and standards of the Standards for Evaluation of the United Nations Evaluation Group (UNEG).

PROJECT MANAGEMENT CYCLE AT THE GS/OAS
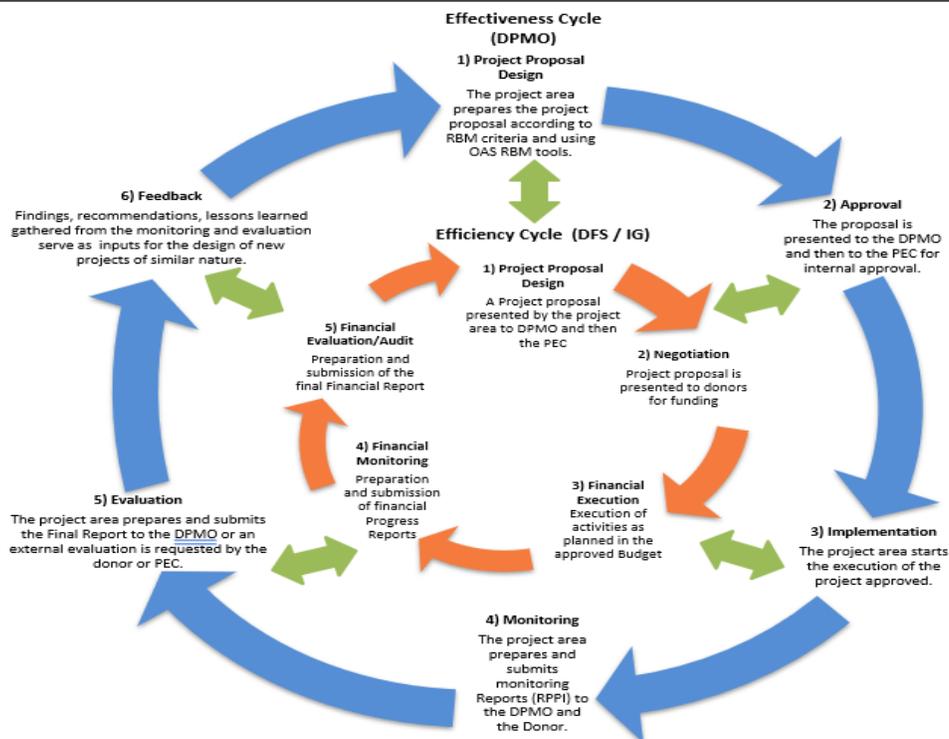
Graphic 1: Project Cycle

f) As defined by the OECD-DAC evaluations at the GS/OAS are "[…] systematic and objective assessment of an ongoing or completed project, program or policy, its design, implementation, and results. The aim is to determine the relevance and fulfillment of objectives, efficiency, effectiveness, impact, and sustainability of development."4 The international standards and norms under which evaluations shall operate, are defined by UNEG5 (Annex II). These standards and norms are:

1. Independence
2. Intentionality
3. Transparency

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4 From Glossary of Key Terms and Evaluations in Results-Based Management, OECD DAC, 2002

5 See UNEG Code of Conduct in Appendix III

4. Ethics
5. Impartiality
6. Quality
7. Timeliness
8. Utility

g) It is important to highlight the need for the fulfillment of the standard of *independence*. A third party, or external evaluation refers to an independent and objective assessment of the achievements of the projects, programs, and cooperation activities or policies' objectives, with the aim of ensuring credibility and integrity, while avoiding conflicts of interest. The findings, recommendations, and lessons learned derived from the independent external evaluations serve not only to improve current and future initiatives and operations, but also to validate and replicate good practices identified in other GS/OAS programs and projects.

h) All evaluations are to be conducted by external consultants or firms who should be selected by and report directly to the DPMO and not to any of the members of the execution team or dependency under evaluation, to assure independence and reliability. The UNEG Code of Conduct, as well as the GS/OAS Code of Ethics, applies to all hired evaluators at and to all stages of the evaluation process. (Links to these and other resources are included in the list of references (Annex I), including this document.)

III. Definitions

a) The definitions and abbreviations used in the OASEP are provided in detail in Annex II and in the List of Acronyms at the beginning of the document, respectively.

IV. Scope of Application

a) This OASEP applies to all evaluations of projects, programs, and cooperation activities implemented and/or coordinated in any GS/OAS dependency[6] and funded by internal or external resources. DPMO, as Technical Secretariat of the Project Evaluation Committee (PEC) and as the GS/OAS dependency with functional responsibility for project evaluation pursuant to Executive Order No. 08-01 Rev.7, is entrusted with developing, applying, coordinating, and supervising GS/OAS evaluation activities and implementing the OASEP. All projects and programs at the GS/OAS will include a specific component related to its management, which will include monitoring activities and strategies to increase the evaluability of the initiatives and facilitate the evaluation process.

b) The GS/OAS will primarily focus on formative (mid-term) and summative (final) external evaluations of projects, programs, and cooperation activities results to ensure that all evaluation reflect the

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[6] It also includes evaluations of projects and programs implemented by the OAS Development Cooperation Fund, as established in its statues approved by CIDI (CIDI/doc.99/14 rev. 1).

Organization's needs and requirements for the implementation of a Results-Based Management (RBM) approach and strengthen GS/OAS institutional knowledge through effective dissemination of evaluation information. Nevertheless, developmental evaluations, evaluations of thematic sectors, rapid assessments and other evaluations described in Annex IV could also be considered and conducted.

V. Roles and Responsibilities

a) The DPMO, through the SEMO Section, has the overall responsibility for the project evaluation function within the General Secretariat. The GS/OAS is mandated to provide an environment where evaluation adds the best possible value to the overall management of the evaluation activities and where critical analysis is considered essential for decision making and learning. The existing rules and regulations define the following roles and responsibilities for the design and implementation of this OASEP:

b) The **Secretary General** will:

   i) request relevant information from the PEC, through its Technical Secretariat, the DPMO, on the status or results of external evaluations processes and make them available to Member States;

   ii) request that SAF identify, when possible, funding (internal or external) to cover the cost of executing the non-financed portion of the Annual Evaluation Plan (AEP) as further described below in Section VI; and

   iii) ensure that evaluation results are used to inform decision-making across the General Secretariat, including resource allocation/re-allocation and program/policy improvements and/or realignment with the OAS Strategic Plan.

c) The **PEC** will:

   i) facilitate the efficient implementation of the evaluation function and activities, by providing a corporate overview and strategic analysis of the General Secretariat's overall program performance and management;

   ii) strengthen the effectiveness of the evaluation function in the GS/OAS, by emphasizing the shared accountabilities of program, project, and initiatives managers for performance results;

   iii) promote that the GS/OAS has a systematic and consistent approach to evaluation which meets OAS requirements and international standards as set out by the OECD, and UNEG;

iv) review and recommend the approval of the GS/OAS Annual Evaluation Plan;

v) ensure that the results of evaluation reports are considered in the GS/OAS cycle of strategic planning, the review of management process and programming activities, the building of institutional knowledge and the decision-making processes; and,

vi) advise on the communication of the evaluation results and lessons learned to the Secretary General, donors, and stakeholders.

d) The **DPMO**, through the SEMO Section, as Technical Secretariat of the PEC and as the GS/OAS dependency with functional responsibility for project evaluation, will continue to carry-on the coordination and oversight of the overall evaluation activities of projects, programs, and cooperation activities at the GS/OAS.

e) As established in Executive Orders No. 8-01 Rev.7 and 8[7] the DPMO will be responsible for:

i) Developing, updating, and implementing the OASEP and advising the PEC on its implementation;

ii) Providing support in the negotiations of agreements with donors when monitoring and evaluation is required;

iii) coordinating and supervising all evaluations of projects, programs, and cooperation activities at the GS/OAS;

iv) maintaining an updated roster of individual consultants and firms with relevant experience in evaluation in the areas of specialization of the GS/OAS;

v) providing technical support and assistance to ensure high quality evaluations at the GS/OAS, following OECD and UNEG standards and criteria;

vi) preparing and presenting, for the approval of the PEC, the Annual Evaluation Plan (AEP) to be undertaken each year;

vii) facilitating and /or providing access to training opportunities for the GS/OAS managers with an aim to maintaining a high level of expertise regarding the evaluation function, methodologies, and approaches;

viii) undertaking, every ten years, a review of the implementation of the evaluation function throughout the GS/OAS;

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[7] Also of relevance are Executive Order 08-01 Rev. 7 (STRUCTURE OF THE GENERAL SECRETARIAT), Executive Order 08-01 Rev. 8 (STRUCTURE OF THE GENERAL SECRETARIAT), Executive Order 05-11 Rev.1 (ESTABLISHMENT OF THE PROJECT EVALUATION COMMITTEE), and CIDI/doc.99/14 rev. 1 (STATUTES OF THE OAS DEVELOPMENT COOPERATION FUND).

ix) reviewing the OASEP in consultation with Secretariats and Departments and recommending modifications to be considered by the PEC and for the Secretary General's approval;

x) following-up on the implementation of evaluation's recommendations as per the management responses (MR);

xi) maintaining an updated tracking system on the status of the implementation of recommendations;

As Technical Secretariat of PEC and established in Executive Orders No.05-11 Rev.1, 17-03, will be responsible for:

xii) establishing the guidelines and terms of reference to support the evaluation process of projects and programs;

xiii) managing the selection process of the evaluators and reviewing the evaluation proposals received;

xiv) approving evaluation reports, management responses, and action plans and making them available to the proper authorities in a timely manner;

xv) developing and publishing reports as needed; and

xvi) communicating the evaluation results and lessons learned to all relevant stakeholders, including to the executing areas, the PEC/WG, the PEC, the donors and the Member States.

f) The **Secretariats and Departments** will be responsible for:

i) facilitating the work of the DPMO by providing access to all necessary information and files related to project life cycle in a timely and efficient manner;

ii) facilitating and supporting the implementation of the AEP according to the calendar of activities set by the DPMO and the PEC;

iii) preparing MR, following GS/OAS templates, indicating if management fully or partially accepts or rejects any recommendation given to findings of their programs and how would they be implemented;

iv) implementing key actions, as per the MR, in a timely manner;

v) transferring the required funds to the DPMO to coordinate and supervise independent external evaluations (see sections VII and VIII); and

vi) participating in OASEP reviews and providing recommendations to streamline and improve evaluation processes.

VI. Annual Evaluation Plan

a) To prioritize and select projects, programs, and cooperation activities that should undergo and benefit from an external evaluation, the DPMO will consider the following criteria:

   i) a requirement for specific institutional provisions and practices, such as pilot projects or programs before they can be replicated or expanded
   ii) a long-lasting project or program that could pose institutional risks or which effectiveness had not been evaluated in the last ten years
   iii) a specific request made by a donor as part of the contribution agreement,
   iv) a project or group of projects and programs that exceed $1 million dollars
   v) a need identified by the implementing area
   vi) a specific recommendation made by the Permanent Council through the CAAP, OSG, the PEC, the OIG, or DPMO
   vii) an institutional requirement to perform strategic or thematic assessments in response to institutional priorities.

b) Following these criteria, and taking into consideration funding availability, including but not limited to funds from external donors, the DPMO will prepare at the beginning of the administrative year, an Annual Evaluation Plan (AEP), which will include the following:

   i) List of proposed projects and programs to be evaluated,
   ii) The strategic line of the OAS Strategic Plan related to each proposed or requested evaluation,
   iii) Identification of the requestor/s of the evaluation,
   iv) Identification of possible evaluation partners in the case of joint evaluations,
   v) Identification of the type of evaluation (including, formative or summative, among other),
   vi) Planned evaluation completion date,
   vii) Estimated cost,
   viii) Potential/identified source of funding,
   ix) Any challenges that the DPMO foresees in the implementation of the AEP; and,
   x) Type of procurement (quality and cost-based selection, quality-based selection, fixed price, sole source, long-term agreements, among others), if possible.

c) The DPMO will present the AEP to the PEC for consideration and approval no later than the first quarter of each calendar year (see Annex V).

VII. Financing

a) The DPMO, in close coordination with the Department of Financial Services (DFS), will identify, through the review of agreements, project budgets and the OAS Annual Program Budget, the appropriate resources for the external evaluation activities. There may be multiple sources of financing (internal or external) to cover the cost of external evaluations, when possible, as follows:

i) A specific annual budget allocation approved by the General Assembly, to undertake an external evaluation of a projects, programs, and cooperation activities. The DPMO could include a specific line in the GS/OAS annual budget proposal to request funding authorization from the Indirect Cost Recovery (ICR) and/or Regular Fund (RF) Annual Program-Budget.

ii) Additional funding allocated via Requests for Reinforcements (RFR) approved by SAF using remaining or unexecuted funds from ICR or RF.

iii) A specific external contribution provided by donors (Specific Funds) to cover the cost of the external evaluation. The amount approved will be transferred to the DPMO to coordinate and supervise the external evaluation process. As a reference when negotiating with donors, the cost of such activity should average not less than seven percent (7%) of the total cost of the project for initiatives totaling US$ 1 million, and no less than US$ 50,000 for those costing less than a 1 million.

b) All projects, programs, and cooperation activities executed by the GS/OAS, will include a specific output related to project management – Monitoring and Evaluation to increase its evaluability qualities. For those projects and programs that exceed US$ 1 million, the project managers should develop a Logical Framework Matrix and Monitoring Plan and identify the specific budget line and sources (internal or external) to cover the cost of monitoring activities, as well as the external evaluation, if they meet any of the criteria established in Section VI.

c) The DPMO will use an *ad hoc* service account, opened specifically for receiving the resources of all GS/OAS dependencies to supervise, coordinate and manage the external evaluations, as established in Section VIII.

VIII. Evaluation Process and Steps

a) The DPMO, at the request of the donor or following the approved AEP, will initiate a process of external evaluation of projects, programs, and cooperation activities. All evaluations will be conducted by external consultants or firms who report directly to the Support, Evaluation and Management Oversight Section of the DPMO.

b) The DPMO, as the area responsible for coordinating and overseeing the overall GS/OAS project evaluation function pursuant to Executive Order No. 08-01 Rev.7, will:

   i. Conduct overall oversight of the monitoring and evaluation processes for all projects executed or coordinated by the GS/OAS and financed by the GS/OAS or donors, ensuring the reports delivered by either the project team or the evaluator meet GS/OAS and international standards.
   ii. Lead the preparation of Terms of Reference for the selection of external evaluators with the support of the areas in charge of projects, programs, and cooperation activities.
   iii. Manage the selection process of the evaluators and review the evaluation proposals received. The DPMO will follow a competitive and transparent process as outlined in the GS/OAS Performance Contract Rules and related policies and regulations, with the goal of awarding

the contract to the firm or individual with the most merit. Before undertaking evaluation work within the OAS, each evaluator will complete a declaration of Conflict of interest (COI) form

    iv. Review and approve the evaluation framework plan, interim reports, and final reports presented by the evaluators,

    v. Present the evaluation results to all relevant stakeholders, including GS/OAS areas in charge of executing the projects, programs, and cooperation activities, the donor(s), relevant GS/OAS officials, and member states,

    vi. Publish the final reports on the OAS webpage; and

    vii. Follow-up and oversee the implementation of MR.

c) The DPMO will develop and update all appropriate tools and mechanisms to facilitate the understanding of the evaluation process, including but not limited to flowcharts and training.

IX. Use of evaluation findings and the implementation of recommendations

a) Evaluations are accountability and learning mechanisms that provide information and feedback on the results, plans, expectations, and performance of initiatives. Evaluations facilitate a dialogue about project results and their relationship with planning and implementation for institutional decision-making. Evaluation reports will provide the GS/OAS with substantive and independent insight, ideas, and recommendations on how to improve the performance of a project, program, plans and missions and/or the organization. They will provide evidence on what worked well and what did not, and why.

b) Transforming this information into institutional knowledge is of the utmost importance for the GS/OAS. To that end, project teams will reflect on and provide the DPMO with an action plan or MR on the implementation of recommendations (see Annex VI). To foster deeper understanding and knowledge, the DPMO will share and present the evaluation reports to stakeholders, including but not limited to partners, beneficiaries, technical teams, and regional offices.

c) Taking into consideration that all evaluations should have a management response, the implementation of the recommendations will be tracked and reported through the institutional tracking system managed and developed by the DPMO. This will allow the GS/OAS to report on a semi-annual basis on the implementation status of each recommendation, as well as the institutional learning path (see Annex VII).

d) The DPMO will create and periodically update a GS/OAS document with lessons learned and other relevant information to facilitate the organizational learning process.

X. Partnerships and Collaborations

a) The GS/OAS will establish partnerships to conduct collaborative evaluation where and when possible. Collaborative evaluations are defined as those conducted jointly with other agencies, international organizations, or partners when a written agreement on roles and responsibilities is established. The basic principles that lead to the formation of such partnerships are cost-

efficiency (to potentially reduce the costs) and cost-effectiveness (to potentially obtain better results and to facilitate mutual learning).

b) Such partnerships are expected to be established when projects, programs, and cooperation activities have been co-financed by multiple organizations. In doing so the GS/OAS will consider the DAC Guidance for Managing Joint Evaluation, as well as the UNEG Principles for working together (see Annex I).

XI. Accountability and Transparency

a) All evaluations presented to stakeholders and the PEC will be made public in their original language. External evaluations reports will be published on the OAS.org webpage for transparency and accountability purposes, and to inform donors and the general public.

XII. Enquiries

a) Enquiries about the OASEP should be directed by email to:

Support Evaluation and Management Oversight Section
Department of Procurement Services and Management Oversight
Secretariat for Administration and Finance
Organization of American States
1889 F St., NW-Washington D.C. 20006
DPMO@oas.org

ANNEX I: REFERENCES

1. OAS Documents

- AG/RES. 1 (LI-E/16) – "Comprehensive Strategic Plan of the Organization"
- AG/RES. 1 (XLVII-E/14) - "Guidelines and Objectives of The Strategic Vision of The Organization Of American States"
- AG/RES. 2774 (XLIII-O/13) - Progress Toward Accountability, Efficiency and Effectiveness, And Results In The OAS General Secretariat
- AG/RES. 1 (XLII-E/11) - "Program-Budget of the Regular Fund of the Organization for 2012 and contributions to FEMCIDI
- Executive Order 05-11 Rev.1 – Establishment of the Project Evaluation Committee (PEC)
- Executive Order 12-03 Rev.1 – Code of Ethics of the General Secretariat
- Executive Order 17-03 – Rules and Procedures of the Project Evaluation Commission
- Executive Order 08-01 Rev.8 - Structure of the General Secretariat
- Executive Order 08-01 Rev. 7 - Structure of the General Secretariat
- General Standards to Govern the Operations of the General Secretariat: Article 122 Evaluation by the General Secretariat
- Statutes of the OAS Development Cooperation Fund

2. Resources from International Organizations

- Accra Agenda for Action (2008)
- Better Criteria for Better Evaluation. Revised Evaluation Criteria Definitions and Principles for Use. (OECD-DAC, 2019)
- Code of Conduct for Evaluation in the UN system (UNEG, 2008)
- Evaluation in Development Agencies, OECD-DAC, 2010
- Evaluating Development co-operation, Summary of Key Norms and Standard, (OECD DAC, 2010)
- Evaluation in the UN System, UNEG, 2007
- Glossary of Key Terms in Evaluation and Results based Management (OECD-DAC, 2002)- (2022)
- Guidelines for Managing joint Evaluations (OECD-DAC, 2006)
- Good Practice Guidelines for Follow up to Evaluations (UNEG, 2010) - Updated 2012
- IFAD Evaluation Policy (IFAD 2011)
- Norms and Standards for Evaluation, UNEG, 2016
- Quality Standards for Development Evaluation (OECD-DAC, 2010)
- Paris Declaration on Aid Effectiveness (2005)
- Guidance for Managing joint Evaluations (OECD-DAC, 2006 - 2010)
- Principles of Working Together (UNEG 2009 - 2007)
- Quality Checklist for Evaluation Terms of Reference and Inception Reports (UNEG, 2010) - updated 2012
- The Role of Evaluation in Results Based Management (UNEG, 2007) updated 2012
- UNDP Evaluation Guidelines (2021)
- UNDP Evaluation Policy (UNDP, 2011)

ANNEX II –DEFINITIONS

Annual Evaluation Plan: is a clear and concise document that establishes the GS/OAS evaluations to be undertaken over a one-year period, in accordance with the *OASEP.*

Alignment: Donors base their overall support on partner countries' national development strategies, institutions, and procedures. (Paris Declaration, OECD-DAC, 2005)

Benchmark: Reference point or standard against which performance or achievements can be assessed. (OECD-DAC 2002).

Coherence: The extent to which other interventions (particularly policies) support or undermine the intervention, and vice versa. Includes internal coherence and external coherence: Internal coherence addresses the synergies and interlinkages between the intervention and other interventions carried out by the same institution/government, as well as the consistency of the intervention with the relevant international norms and standards to which that institution/government adheres. External coherence considers the consistency of the intervention with other actors' interventions in the same context. This includes complementarity, harmonization and co-ordination with others, and the extent to which the intervention is adding value while avoiding duplication of effort. (OECD-DAC 2019).

Conclusions: Conclusions point out the factors of success and failure of the evaluated intervention. A conclusion draws on data collection and analyses undertaken, through transparent chain of arguments. (OECD-DAC 2002).

Conflict of Interest: Evaluators are required to disclose in writing any past experience, of themselves or their immediate family, which may give rise to a potential conflict of interest, and to deal honestly in resolving any conflict of interest which may arise. (UNEG, 2009). Exercising the commitment to avoid conflicts of interest in all aspects of their work, thereby upholding the principles of independence, impartiality, credibility, honesty, integrity and accountability (UNEG, 20016). Also, as defined in Section V.A. of the GS/OAS Code of Ethics.

Effectiveness: The extent to which the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups. (OECD-DAC, 2019).

Efficiency: The extent to which the intervention delivers, or is likely to deliver, results in an economic and timely way. (OECD-DAC, 2019).

Evaluation: The systematic and objective assessment of an on-going or completed project,

program or policy, its design, implementation, and results. The aim is to determine the relevance and fulfillment of objectives, development efficiency, effectiveness, and impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision–making process of both recipients and donors. Evaluation also refers to the process of determining the worth or significance of an activity, policy or program. An assessment, as

systematic and objective as possible, of a planned, on-going, or completed development intervention. Note: Evaluation in some instances involves the definition of appropriate standards, the examination of performance against those standards, an assessment of actual and expected results and the identification of relevant lessons. (OECD-DAC, 2002).

Harmonization: Donor's actions are more harmonized, transparent, and collectively effective. (Paris Declaration, OECD-DAC, 2005).

Impact: The extent to which the intervention has generated or is expected to generate significant positive or negative, intended, or unintended, higher-level effects. (OECD-DAC, 2019).

Impartiality: The implementation of actions solely on the basis of need, without discriminating between or within affected populations (UNEG, 2008).

Independence: free from the influence, guidance, or control of the political, economic, military or other objectives that an actor may have for a country or region where the development intervention is being implemented (UNEG, 2008).

Indicators: a quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor (OECD-DAC, 2005).

Inputs: The financial, human, and material resources used for the development intervention (OECD-DAC, 2002).

Lessons learned: generalization based on evaluation experiences with projects, program, or policies that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths and weaknesses in the preparation, the design and implementation that affect performance and impact (OECD-DAC, 2002).

Management Response (MR): is a formal mechanism to ensure that evaluation findings, conclusions, lessons learned, and recommendations will be used. It indicates if management accepts, partially accepts, or rejects a recommendation along with a related explanation. MR should clearly detail next steps, key actions, assign responsibilities, and set realistic time frames and outputs where appropriate. Key actions are the planned actions to achieve the recommendations (UNDP, Evaluation Guidelines, 2012)

Managing for Results: managing resources and improving decision-making for results. (Paris Declaration, OECD-DAC, 2005)

Monitoring: A continuing function that uses systematic collection of data on specified indicators to provide management and the stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds. (OECD-DAC, 2002)

Mutual Accountability: Donors and partners are accountable for development results (Paris Declaration, OECD-DAC, 2005).

Objective: The intended physical, financial, institutional, social, environmental, or other development results to which a project or program is expected to contribute (OECD-DAC, 2002).

Outcome: The likely or actual short-term and medium-term effects of an intervention's outputs (OECD-DAC, 2002).

Outputs: The products, capital goods and services which result from a development intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes (OECD-DAC, 2002).

Ownership: partner countries exercise effective leadership over the development policies and strategies and coordinate development actions (Paris Declaration, OECD-DAC, 2005)

Participatory evaluation: Evaluation method in which representatives of agencies and stakeholders (including beneficiaries) work together in designing, carrying out and interpreting an evaluation. (OECD-DAC, 2002).

Partners: The individuals and/or organizations that collaborate to achieve mutually agreed upon objectives (OECD-DAC, 2002).

Performance: the extent to which effectiveness, efficiency and economy are achieved by a program (OECD-DAC, 2005).

Program: a group of related projects that are designed and managed to meet broad OAS objectives, usually having a major financial scope, multi-country implementation and undertaken over several years. A program may be financially supported by various development partners (OECD-DAC, 2005). **This definition is also complemented by the definition established in Administrative Memorandum 125.**

Projects: a group of activities undertaken with a specific objective, determined outputs and outcomes, with limited financial and duration scope. A project may be externally supported by one or more development partners (OECD-DAC, 2005)**. This definition is also complemented by the definition established in Administrative Memorandum 125.**

Recommendations: Proposals aimed at enhancing the effectiveness, quality, or efficiency of a development intervention; at redesigning the objectives; and/or at the reallocation of resources. Recommendations should be linked to conclusions. (OECD-DAC, 2002).

Relevance: The extent to which the intervention objectives and design respond to beneficiaries', global, country, and partner/institution needs, policies, and priorities, and continue to do so if circumstances change (OECD-DAC, 2019).

Results: A describable or measurable change in state that is derived from a cause-and-effect relationship. Results are defined as outcomes, which are further qualified as immediate, intermediate, or ultimate (OECD-DAC, 2005).

Sustainability: The extent to which the net benefits of the intervention continue or are likely to continue (OECD-DAC, 2019).

Triangulation: The use of three or more theories, sources or types of information or types of analysis to verify and substantiate an assessment (OECD-DAC, 2002).

Validity: The extent to which the data collection strategies and instruments measure what they intend to measure (OECD-DAC, 2002).

ANNEX III: UNEG CODE OF CONDUCT FOR EVALUATIONS

1. The conduct of evaluators in the UN system should be beyond reproach at all times. Any deficiency in their professional conduct may undermine the integrity of the evaluation, and more broadly evaluation in the UN or the UN itself and raise doubts about the quality and validity of their evaluation work.

2. The UNEG1 Code of Conduct applies to all evaluation staff and consultants in the UN system. The principles behind the Code of Conduct are fully consistent with the Standards of Conduct for the International Civil Service by which all UN staff are bound. UN staff are also subject to any UNEG member specific staff rules and procedures for the procurement of services.

3. The provisions of the UNEG Code of Conduct apply to all stages of the evaluation process from the conception to the completion of an evaluation and the release and use of the evaluation results.

4. To promote trust and confidence in evaluation in the UN, all UN staff engaged in evaluation and evaluation consultants working for the United Nations system are required to commit themselves in writing to the Code of Conduct for Evaluation2 (see Annexes 1 and 2), specifically to the following obligations:

Independence: Evaluators shall ensure that independence of judgement is maintained, and that evaluation findings and recommendations are independently presented.

Impartiality: Evaluators shall operate in an impartial and unbiased manner and give a balanced presentation of strengths and weaknesses of the policy, program, project or organizational unit being evaluated.

Conflict of Interest: Evaluators are required to disclose in writing any past experience, of themselves or their immediate family, which may give rise to a potential conflict of interest, and to deal honestly in resolving any conflict of interest which may arise. Before undertaking evaluation work within the UN system, each evaluator will complete a declaration of interest form

Honesty and Integrity: Evaluators shall show honesty and integrity in their own behavior, negotiating honestly the evaluation costs, tasks, limitations, scope of results likely to be obtained, while accurately presenting their procedures, data and findings and highlighting any limitations or uncertainties of interpretation within the evaluation.

Competence: Evaluators shall accurately represent their level of skills and knowledge and work only within the limits of their professional training and abilities in evaluation, declining assignments for which they do not have the skills and experience to complete successfully.

Accountability: Evaluators are accountable for the completion of the agreed evaluation deliverables within the timeframe and budget agreed, while operating in a cost-effective manner.

Obligations to participants: Evaluators shall respect and protect the rights and welfare of human subjects and communities, in accordance with the UN Universal Declaration of Human Rights and other human rights conventions. Evaluators shall respect differences in culture, local customs, religious beliefs and practices, personal interaction, gender roles, disability, age and ethnicity, while using evaluation instruments appropriate to the cultural setting. Evaluators shall ensure prospective participants are treated as autonomous agents, free to choose whether to participate in the evaluation, while ensuring that the relatively powerless are represented. Evaluators shall make themselves aware of and comply with legal codes (whether international or national) governing, for example, interviewing children and young people

Confidentiality: Evaluators shall respect people's right to provide information in confidence and make participants aware of the scope and limits of confidentiality, while ensuring that sensitive information cannot be traced to its source.

Avoidance of Harm: Evaluators shall act to minimize risks and harms to, and burdens on, those participating in the evaluation, without compromising the integrity of the evaluation findings.

Accuracy, Completeness and Reliability: Evaluators have an obligation to ensure that evaluation reports and presentations are accurate, complete and reliable. Evaluators shall explicitly justify judgements, findings and conclusions and show their underlying rationale, so that stakeholders are in a position to assess them.

Transparency: Evaluators shall clearly communicate to stakeholders the purpose of the evaluation, the criteria applied and the intended use of findings. Evaluators shall ensure that stakeholders have a say in shaping the evaluation and shall ensure that all documentation is readily available to and understood by stakeholders.

Omissions and wrongdoing: Where evaluators find evidence of wrong-doing or unethical conduct, they are obliged to report it to the proper oversight authority.

Source: UNEG Code of Conduct for Evaluation in the UN System, UNEG, March 2008.

ANNEX IV: TYPES OF EVALUATIONS

Below is a non-exhaustive list of types of evaluations and assessments that the GS/OAS may undertake. The sources are identified for additional reference.

Assessments of Development Results (ADRs) assess the attainment of intended and achieved results as well as UNDP contributions to development results at the country level. Their scope includes, but is not necessarily confined to, UNDP responsiveness and alignment to country challenges and priorities; strategic positioning; use of comparative advantage; and engagement with partners. The number and selection of countries, and the timing of these evaluations, will be determined to ensure coverage and to allow findings and recommendations to feed into the preparation of the subsequent program. Wherever possible, these evaluations will be conducted jointly or at a minimum, in coordination with other United Nations organizations. (Source UNDP)

Corporate-Level Evaluations are conducted to assess the results of IFAD-wide corporate policies, strategies, business processes and organizational aspects. They are expected to generate findings and recommendations that can be used for the formulation of new and more effective corporate policies and strategies, as well as improve business processes and the Fund's organizational architecture, as required. (Source IFAD)

Country program evaluation: Evaluation of one or more institutions or partner's portfolio of interventions in a specific country, including the strategy behind them in a specific period of time. (OECD-DAC, 2022).

Developmental evaluation: An iterative, embedded approach to evaluation, designed to support learning particularly in complex or uncertain environments. It involves providing real-time, or near real-time, (independent) feedback to intervention staff, thus facilitating ongoing learning and enabling improvements during implementation. (OECD-DAC, 2022)

Formative evaluation: Evaluation intended to improve performance, most often conducted during the implementation phase of projects or programs (OECD-DAC, 2002).

Joint evaluations are one modality of carrying out an evaluation to which different partners contribute. Any evaluation can be conducted as a joint evaluation; there are various degrees of "jointness", depending on the extent to which individual partners cooperate in the evaluation process, merge their evaluation resources and combine their evaluation reporting. There is often a steering group that oversees the process and a smaller management group to ensure that implementation goes smoothly. Increasingly, joint evaluations are pursued as a preferred option in UNDP while maintaining accountability for its own contribution to results. At the country level, UNDAF evaluations are carried out jointly by United Nations agencies. (Source UNDP)

Mid-term evaluation: Evaluation performed towards the middle of the period of implementation of the intervention. (OECD-DAC, 2002)

Outcome evaluations address the short-term, medium-term, and long-term results of a program or cluster of related UNDP projects. They include an assessment of the effectiveness, efficiency, sustainability and relevance of the program against their own objectives, their combined contribution, and the contribution of external factors and actors. Outcome evaluations also examine unintended effects of the program or projects. Rather than being ad hoc, the selection of the program or project cluster to be evaluated should be guided by strategic decisions made by the program unit, in line with the evaluation plan. This decision should be informed by agreements with national government and key stakeholders and partnership requirements, with attention to utility and linkage with strategic and programmatic evaluations. (Source UNDP)

Project evaluations assess the efficiency and effectiveness of a project in achieving its intended results. They also assess the relevance and sustainability of outputs as contributions to medium-term and longer-term outcomes. Projects can be evaluated during the time of implementation, at the end of implementation (terminal evaluation), or after the project has ended (post- evaluation). Project evaluation can be invaluable for managing for results and serves to reinforce the accountability of project managers. Additionally, project evaluation provides a basis for the evaluation of outcomes and programs, as well as for strategic and programmatic evaluations, and for distilling lessons from experience for learning and sharing knowledge. (Source UNDP). Evaluation of an individual development intervention designed to achieve specific objectives within specified resources and implementation schedules, often within the framework of a broader program. Note: Cost benefit analysis is a major instrument of project evaluation for projects with measurable benefits. When benefits cannot be quantified, cost effectiveness is a suitable approach. (OECD-DAC, 2002).

Program evaluations can focus on evaluating performance midway through and at the end of the program cycle. They assess the specific contributions, efficiency, effectiveness, relevance, and sustainability of interventions, as well as strategic positioning and partnerships. (Source UNDP). Evaluation of a set of interventions, marshaled to attain specific global, regional, country, or sector development objectives. Note: a development program is a time bound intervention involving multiple activities that may cut across sectors, themes and/or geographic areas. (OECD-DAC, 2002).

Summative evaluation: A study conducted at the end of an intervention (or a phase of that intervention) to determine the extent to which anticipated outcomes were produced. Summative evaluation is intended to provide information about the worth of the program. (OECD-DAC, 2002).

Strategic evaluations provide a basis for developing forward-looking strategies for organizational effectiveness and core thematic program areas. They involve reviews of past experiences to identify strengths and gaps in the approach and results relating to a particular aspect of the organization and its approach, or to a thematic program area. They may also include a review of the global trends and partner practices in the organizational or thematic area to determine whether approaches and interventions are relevant. (Source UNDP)

Thematic evaluations assess UNDP performance in areas that are critical to ensuring sustained contributions to development results in the context of emerging development issues and changing priorities at the global and regional levels. Thematic evaluations may cover, for example, UNDP policies, focus and results areas, partnerships, programmatic approaches, cooperation modalities, or business models. (Source UNDP) Evaluation of a selection of development interventions, all of which address a specific development priority that cuts across countries, regions, and sectors. (OECD-DAC, 2002).

ANNEX V - ANNUAL EVALUATION PLAN TEMPLATE

ANNUAL EVALUATION PLAN

(TEMPLATE)

Project Name	Strategic line	Requestor	Partners	Evaluation type	Completion date	Estimated cost	Potential source of funding	Challenges

Date of PEC approval:

ANNEX VI – MANAGEMENT RESPONSE (MR) – TEMPLATE

**MANAGEMENT RESPONSE
TO THE RECOMMENDATIONS MADE ON THE
EXTERNAL EVALUATION REPORT**

SECRETARIAT:
DEPARTMENT:

NAME OF THE EVALUATION:
PERIOD OF EVALUATION: FROM ... TO ...
EVALUATED PROJECTS:
       i.   (Name) (Code)
     ii.   (Name) (Code)
   iii.   (Name) (Code)

NAME OF THE EVALUATOR:

The main objective of this document is to identify the necessary actions that need to be implemented by the executing agency to respond to the recommendations made in the external evaluation. The area should state whether they accept or not such recommendations and provide an explanation on how they will be responded or incorporate them in the future. The Department of Procurement Services and Management Oversight (DPMO) will monitor the implementation of the recommendations based on the actions identified.

RECOMMENDATIONS AND MANAGEMENT RESPONSE

Recommendation 1: [complete]	Accepted	No accepted
Response:		

Key Actions	
Description	**Date of implementation**
1.1	
1.2	

Recommendation 2: [complete]	Accepted	No accepted
Response:		

Key Actions	
Description	**Date of implementation**
1.1	
1.2	

ANNEX VII – FOLLOW-UP ON THE IMPLEMENTATION OF RECOMMENDATIONS (FIR) – TEMPLATE

FOLLOW-UP OF RECOMMENDATION AND KEY ACTIONS

(TEMPLATE)

SECRETARIAT:

DEPARTMENT:

SIGNED BY:

NAME OF THE EVALUATION:
FINAL REPORT DATE:
EVALUATED PROJECTS:

      i. (Name) (Code)
     ii. (Name) (Code)
    iii. (Name) (Code)

The main objective of this document is to track periodically the progress made by the GS/OAS in the implementation of external evaluations recommendations and the key actions taken.

Recommendation 1:					
Key actions planned	Expected completion date	Implementation stage*	Comments on status**	Supporting documents	DPMO comments

* Not started, underway, completed, or cancelled
** Including reasons for actions not taken