THE DEVELOPMENT ASSISTANCE COMMITTEE: ENABLING EFFECTIVE DEVELOPMENT
**THE DAC NETWORK
ON DEVELOPMENT EVALUATION**

OECD

Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra

EVALUATION OF SDC'S GOVERNANCE PROGRAMMING AND MAINSTREAMING: HIGHLIGHTS

Edward Jackson
Evaluation Team Leader

Presented to the DAC Network on Development Evaluation, OECD

Paris, June 15, 2015

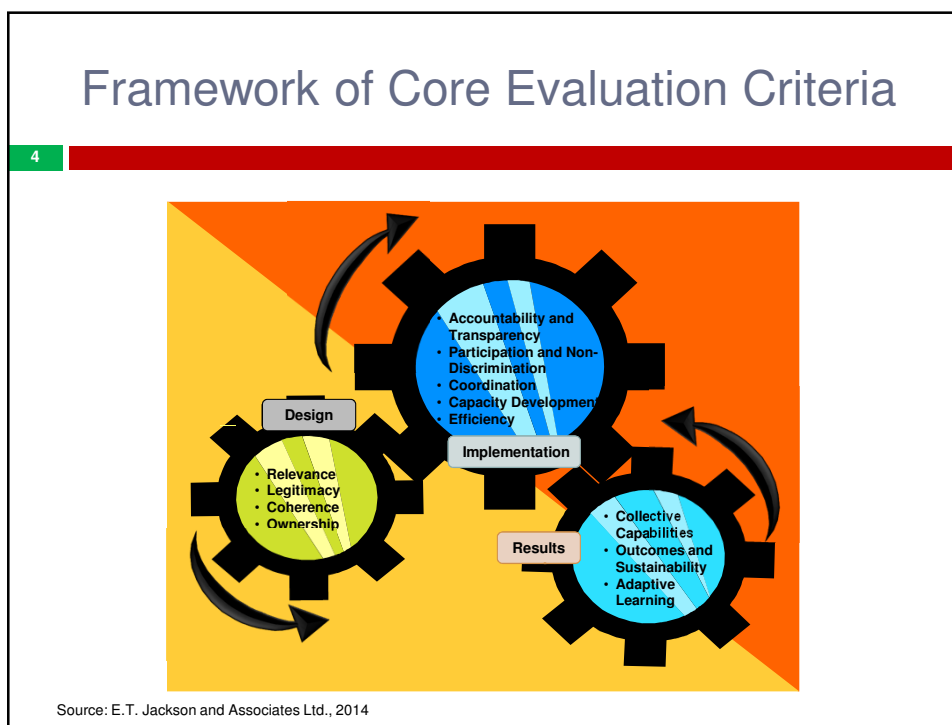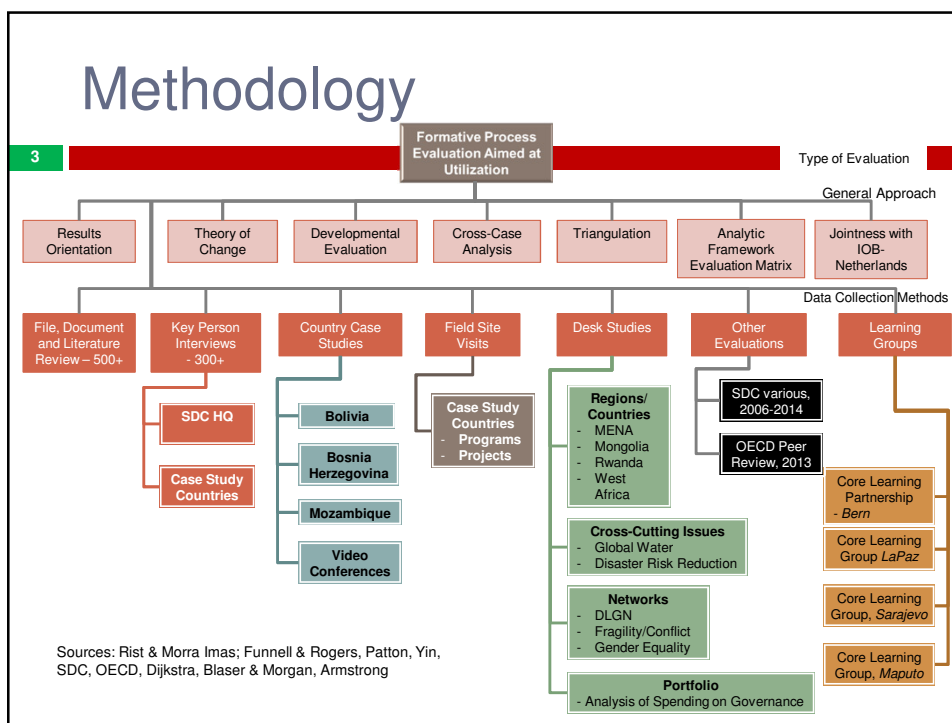---

Evaluation Purpose and Objectives

2

Purpose:

1. *Capture results* in the governance sector and in governance as a cross-cutting area, based on SDC concepts and directives
2. *Learn* from governance practice and experiences in dealing with difficulties, and
3. Contribute to future *strategic directions* in SDC's governance sector

Objectives:

1. Assess SDC's present *overall effectiveness* in governance sector programming
2. Analyse SDC's *governance mainstreaming* approach as an institution
3. Profile SDC's approach against the *international governance discourse*, and
4. Through a process of *reflective inquiry* with stakeholders in SDC's departments and case study cooperation offices, develop a shared understanding on how to improve SDC governance-related performance.

Methodology

Type of Evaluation

Formative Process Evaluation Aimed at Utilization

General Approach

- Results Orientation
- Theory of Change
- Developmental Evaluation
- Cross-Case Analysis
- Triangulation
- Analytic Framework Evaluation Matrix
- Jointness with IOB-Netherlands

Data Collection Methods

- File, Document and Literature Review – 500+
- Key Person Interviews - 300+
  - **SDC HQ**
  - **Case Study Countries**
- Country Case Studies
  - **Bolivia**
  - **Bosnia Herzegovina**
  - **Mozambique**
  - **Video Conferences**
- Field Site Visits
  - **Case Study Countries**
    - **Programs**
    - **Projects**
- Desk Studies
  - **Regions/ Countries**
    - MENA
    - Mongolia
    - Rwanda
    - West Africa
  - **Cross-Cutting Issues**
    - Global Water
    - Disaster Risk Reduction
  - **Networks**
    - DLGN
    - Fragility/Conflict
    - Gender Equality
  - **Portfolio**
    - Analysis of Spending on Governance
- Other Evaluations
  - SDC various, 2006-2014
  - OECD Peer Review, 2013
- Learning Groups
  - Core Learning Partnership - *Bern*
  - Core Learning Group *LaPaz*
  - Core Learning Group, *Sarajevo*
  - Core Learning Group, *Maputo*

Sources: Rist & Morra Imas; Funnell & Rogers, Patton, Yin, SDC, OECD, Dijkstra, Blaser & Morgan, Armstrong

---

Framework of Core Evaluation Criteria

Design
- Relevance
- Legitimacy
- Coherence
- Ownership

Implementation
- Accountability and Transparency
- Participation and Non-Discrimination
- Coordination
- Capacity Development
- Efficiency

Results
- Collective Capabilities
- Outcomes and Sustainability
- Adaptive Learning

Source: E.T. Jackson and Associates Ltd., 2014

Assessment Matrix

5

GOVERNANCE EVALUATION ANALYTICAL FRAMEWORK: ASSESSMENT MATRIX

CORE EVALUATION CRITERIA: (Refer to definitions below)	GOOD-EXCELLENT PERFORMANCE	SATISFACTORY-GOOD PERFORMANCE	UNSATISFACTORY-SATISFACTORY PERFOMANCE
	The Governance program/project is:	*The Governance program/project is:*	*The Governance program/project is:*
RELEVANCE & LEGITIMACY	✓ Directly pertinent and r... major governance chal... facing the country, as s... national development a... ✓ Directly aligned with m... major governance polic... priorities stated in the government's national development plan and governance strategies; ✓ Wholly driven by and g... towards advancing nati... governance agendas; ✓ SDC is viewed as a ne... trusted and valued part... most key development	...spond ...enges ...ed by ...rs; ...major ...riorities ...national ...ernance ...rested, ...ng ...ne	
COHERENCE & COORDINATION	*The Governance program...* ✓ Fully takes account of ... local political, commerc... cooperation interests i... planning, risk mitigation and program adjustment processes; ✓ Fully factors in Swiss diplomatic, commercial and cooperation	... planning, risk mitigation and program adjustment processes; ✓ To some extent factors in Swiss diplomatic, commercial and	*oject:* ...national / ...se analysis, planning, risk mitigation and program adjustment processes; ✓ Does not factor in Swiss interests

> ✓ Directly aligned with many of the major governance policies and priorities stated in the government's national development plan and core governance strategies
>
> ✓ Wholly driven by and geared towards advancing national governance agendas

Performance Ratings across Case Study Countries

6

PERFORMANCE		
Core Criteria	**Rating**	**Rationale**
Legitimacy and Relevance	Good-Excellent	Long-term, respectful, practical, flexible and dialogical approach aligned with changing priorities of government and civil society; respected by national leaders, other donors
Ownership, Participation and Non-Discrimination	Good-Excellent	Consistent emphasis on human rights and community participation and oversight, especially among minorities and across ethnic groups; gender is mainstreamed unevenly
Accountability and Transparency	Good-Excellent	Committed to increasing public access to public information, requiring disciplined financial reporting, and regular sharing of information with collaborating organizations
Efficiency	Satisfactory-Good	Good leveraging of local and other donor funds, some use of local delivery agencies, but dispersed, labour-intensive project portfolios and administrative burden for all parties
Capacity Development	Good	Short-term gains in skills and planning complemented with longer term institutional reform efforts; application of acquired skills and more precise, feasible log frames are challenges
Outcomes and Sustainability	Good	Local innovations often translated into higher level outcomes; limited use of local systems and implementing agencies, elite capture and corruption can undermine outcomes
Coherence and Coordination	Satisfactory-Good	Programmes generally internally coherent and well-coordinated with other donors, but rarely via harmonized mechanisms; good coordination with SECO, but could be improved
Adaptive Learning	Satisfactory-Good	Strong adaptive learning across phases within projects in scaling methods and models; need for more systematization and dissemination of knowledge, tools within/for regions
Overall Rating	**Good-Very Good**	

Inability to Recognize and Capture Higher Level Outcomes

7

SDC is a strong performer on reporting on inputs and outputs, but not as strong in recognizing outcome-level achievements.

❖ In BiH, facilitating inter-ethnic water management was more significant (but under-reported) than the number of pipes, pumps and dams installed

❖ In Mozambique, there is an opportunity to clarify and strengthen policy coherence regarding the extractive industries and community and environmental benefits.

❖ In Bolivia, the PADEM program's triangular model (of mobilizing the state, civil society and the media) has changed attitudes and increased awareness of laws and programs to reduce violence against women

Instrumentalization and Politicization of Programming

8

Donors must change course when national governments instrumentalize or politicize governance programs

❖ Patronage and parallel decision-making in decentralization in Rwanda

❖ Partisan appointments in the Justice system in Bolivia

❖ National-level partisan gridlock in Bosnia and Herzegovina

Connecting the Local with the Global

9

SDC`s Global Program Water Initiatives has shown that it is possible to link local, national, regional and global governance programming, and that credible/global policy dialogue can be based on on-the-ground experience of what works and what does not work

❖ The Blue Peace model of water diplomacy was developed and refined by a council of leaders in the Middle East, then adapted in Bangladesh, Pakistan and Central Asia, and disseminated globally

❖ As an internal centre of competence, GPWI established *Blue" thematic career* path within SDC

❖ Over 400 members of RésEAU, fostering Swiss coalitions and strengthening voice on global water policy
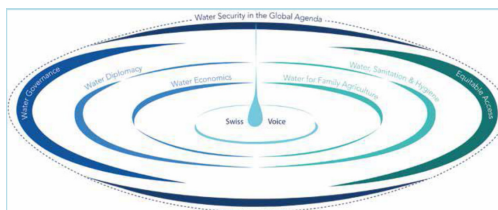
Tracking Costs, Benefits and Leveraging

10

Donor investments in good governance, via grants and loans, can mobilize additional internal and external resources, which should be

documented, calculated and communicated

Financial realization of annual OP's 2007-2011
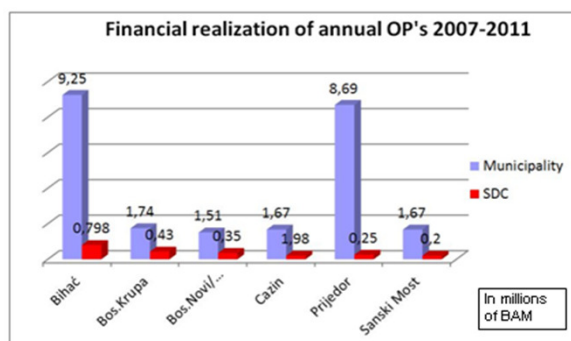
Source: Ura Sara Consulting

Flexibility, Adaptability and Knowledge Sharing

11

The ability of country programs to be flexible – to pause, slow, speed up or terminate – and adjust their programming to local conditions is crucial to good governance work; so is making explicit and sharing adaptive learning and improvements through a sequence of phases of an intervention