TOOLKIT ON EVALUATION

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List of Abbreviations and Acronyms

CIDA	Canadian International Development Agency
DAG	Development Assistance Group
DAC	Development Assistance
DFID	Department for International Development
ECO	Egypt Country Office
HRBA	Human Rights Based Approach
IMEF	Integrated Monitoring and Evaluation Framework
IMEP	Integrated Monitoring and Evaluation Plan
M&E	Monitoring and Evaluation
MDGs	Millennium Development Goals
MTSP	Mid Term Strategic Plan
NGOs	Non-Governmental Organizations
OIA	Office of Internal Audit
RBM	Results Based Management
TOR	Terms of Reference
UN	United Nations
UNFPA	United Nations for Population Agency
UNEG	United Nations Evaluation Group
UNICEF	United Nations Fund for Children
USAID	United States Aid

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Introduction

UNICEF/ ECO has compiled this Evaluation toolkit with the aim to improve the quality of evaluation reports to enhance results based programming and better serve children, and to facilitate an improved application of UNICEF evaluation policy and standards. The information included in this toolkit is brought together from different sources in particular UNICEF PPP Manual and guides on Monitoring and Evaluation, UNEG, DFID, CIDA, UNFPA and other sources. Indeed, it is more reasonable and sound to draw on the existing resources, optimally use what other partners produced and broaden our scope of research and evaluation. No doubt that exchanging knowledge and generating collective ideas would enrich evidence based research and boost development efforts to better serve people.

The toolkit is developed to serve as a useful reference with regards to the UNEG evaluation standards and UNICEF evaluation policy. The kit will take the reader step by step through the practice of planning and designing, managing, reporting on, disseminating and using the results of an evaluation. The prime audience of the kit is basically UNICEF Staff, research entities, partners and consultants who are involved in monitoring and evaluation activities. It will also be used by the partners who are prospected to constitute the anticipated *"Research and Evaluation Network in Egypt"*.

The kit is divided into six main chapters; the first chapter describes evaluation policy and standards, criteria and measures to strengthen evaluation. The second chapter describes the evaluation theories, types and trends, while clarifying the paradigmatic shift in evaluation during the previous decade. The different steps of planning, contracting and conduction evaluation are the subjects of the third, fourth and fifth chapters. Finally, the sixth chapter discusses the reporting process, dissemination of results and getting use of evaluation results in advancing programs, strategies, and policies for better serving the people. Annexes and formats are attached at the end of the toolkit, in order to get it easy for the readers to refer to in their course of operation.

UNICEF/ ECO recognizes and appreciates the contribution of Ms. Sandrine Flavier, Evaluation Officer, Evaluation Office, UNICEF - NY for her accurate and timely revision of the evaluation toolkit.

CHAPTER ONE

Evaluation Policy and Standards

1.1 SCOPE OF UNICEF EVALUAITON POLICY[1]

> The purpose of the evaluation policy is to ensure that UNICEF has timely, strategically focused and objective information on the performance of its policies, programmes and initiatives to produce better results for children and women. The policy aims to foster a common institutional understanding of the evaluation function in UNICEF, and further strengthen evidence-based decision-making and advocacy, transparency, coherence and effectiveness.

1.1.1 Purpose and Use of Evaluation

Evaluation Vision

The vision of evaluation is to focus on the substantive rationale and worth of interventions supported by UNICEF and assesses performance in order to improve the achievement of intended results and stakeholders satisfaction at the global, regional, national and local levels. Coverage includes all country situations from humanitarian crisis to stable development context. The evaluation function embraces all organisational values, particularly the one of honest and balanced reporting and the consideration of all stakeholders, including children.

Evaluation Mission

The mission of the evaluation function in UNICEF is to support the organisation, as mandated by the UN General Assembly[2], to provide evidence to enable UNICEF to advocate for the fulfilment of children's rights, to help meet their basic needs, to expand their equal opportunities to reach their full potential and to work with all partners towards the attainment of the sustainable human development goals adopted by the world community and the realization of the vision of peace and social progress enshrined in the Charter of the United Nations.

Evaluation Definition

An evaluation[3] is an assessment, as systematic and impartial as possible, of an activity, project, programme, strategy, policy, topic, theme, sector, operational area, institutional performance. It focuses on expected and achieved accomplishments examining the results chain, processes, contextual factors and causality, in order to understand achievements or the lack thereof. It aims at determining the relevance,

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1 The part on the evaluation policy is compiled in accordance with the Executive Board decision 2006/9 on the evaluation functions in UNICEF (E/2006/34/Rev.1).
2 See document E/ICEF/1996/AB/L2 of 13 April 1999 on the Mission of UNICEF adopted by the Executive Board
3 This definition is extracted from the Norms for Evaluation in the UN System endorsed by the United Nations Evaluation Group (UNEG) in April 2005

impact, effectiveness, efficiency and sustainability of the interventions and contributions of the Organizations of the UN System. An evaluation should provide evidence-based information that is credible, reliable, and useful, enabling the timely incorporation of findings, recommendations and lessons into the decision-making processes.

Evaluation asks three key questions about what is being done:

1. Are we doing the right thing?
2. Are we doing it right?
3. Are there better ways of doing it?

It answers the first question by doing a reality check, by examining the rationale of the undertaking, and by assessing its relevance. The second question is answered by examining effectiveness through the lenses of the results achieved and by assessing efficiency with the view of optimizing the use of resources. The third question is dealt with by identifying and comparing alternatives, by seeking best practices and by providing relevant lessons learned that can improve UNICEF's intervention.

Evaluation is distinct from Other Functions

Inspection, audit, monitoring, evaluation and research functions are understood as complementary but very distinct management tools. At one extreme, inspection and audit can best be understood as control functions. At the other research and to an extent evaluation are meant to generate knowledge. Performance monitoring, some elements of audit, and evaluation are tools to facilitate results-based management.

Both ***monitoring and evaluation*** are meant to permit more effective decision-making, including decisions to improve, reorient or discontinue the evaluated intervention or policy; decisions about wider organisational strategies or management structures; and decisions by national and international policy makers and funding agencies. Monitoring and evaluation create a valid evidence base for making informed programming decisions.

Audit and evaluation are two distinct functions. Audit evolves in the structured universe under the control of management; Evaluation engages stakeholders and has to respond to factors of broad socio-political nature.

Internal audit seeks to:

- Increase the likelihood of achieving results by assessing whether a programme, function or process is managed well, in accordance with standards, benchmarks and good practices adopted by the organization.

> Evaluation is about *the 'what' and the 'why'* of initiatives and their design and performance. Audit is about *how* an organisation uses its assets in order to optimise its contribution toward the initiative using established management norms and practices. Evaluation *looks with* partners and stakeholders on ways to improve initiatives while audit *looks at* them striving to do so.

- An internal audit will assess whether there are systems and practices in place that allow the managers to measure and report on achievement against the expected results.
- Audit examines if managers use results-based management practices. Audit also checks if the results declared by management as achieved were indeed achieved.

Research and Evaluation While evaluation does use research tools, its utilitarian focus is on results and their relevance. Evaluation should not be perceived as a function seeking theoretical knowledge in the same way as fundamental research does. Evaluation is more about understanding the achievement, relevance and sustainability of impacts and benefits for both the purpose of organisational learning and oversight. In a UNICEF perspective, a close relation between evaluation and research activities is appropriate. Evaluation and research contribute to the knowledge agenda outlined in the MTSP as re-emphasized by the Organisational Review. In view of these close linkages, evaluation findings draw wherever possible on products of the other oversight function in UNICEF, as a means of cross-validation of conclusions and to increase the richness and relevance of recommendations.

Evaluation Purpose

In the context of international development, evaluations are either for the objective of lessons learning or for accountability[4]. Although accountability and lesson learning aim to be two sides of the same coin, there are sometimes tensions between these twin objectives. Particular evaluations may emphasize one aspect more than another. Separating or combining these objectives affects the evaluation design and the composition of the evaluation team.

(a) Lesson learning: to help development partners to learn from experience through discovering whether particular development interventions have worked or not, and through understanding why they have been relatively successful or unsuccessful in particular contexts.

The principal goal for evaluation in international development is to foster a transparent, inquisitive and self-critical organizational culture across the whole international development community, so we can all learn to do better. The lessons learning process involves openly documenting and disseminating experience for all development partners, so that this information can be transformed into knowledge over time.

Summary of main uses lessons learnt from Evaluation

- To inform urgent managerial decisions within the funding agency
- To inform future planning in a particular sector or country context
- To inform policy in the donor or partner country government
- To learn lessons from the work evaluated that can be applied
- elsewhere
- To learn from the process of conducting the evaluation

[4] Guidance on Evaluation and Review for DFID Staff, Evaluation Department, 2005

(b) Accountability: to account for the use of resources to funders, such as the funding agencies themselves, the parliaments and tax payers who vote their funds and the beneficiaries in whose name the funds are raised and used.

UNICEF conducts evaluations at the following five institutional levels, reflecting the organizational accountability framework: local or project, country programme of cooperation, regional, global strategic and institutional performance.

Evaluation for Accountability seeks to answer the following questions:

- To what extent are implementing organizations responsible for the evaluated intervention?
- To what extent are the planned results achieved?
- Is the job done well, thus quality achieved?
- Are rights guaranteed to their claimers, and are vulnerable groups covered and protected?
- Are resources put according to plans, and are spent efficiently?

The objectives of monitoring and evaluation in UNICEF are:

1. To improve management of programmes, projects and supporting activities and to ensure optimum use of funds and other resources;
2. To learn from experience so as to improve the relevance, methods and outcomes of co-operative programmes;
3. To strengthen the capacity of co-operating government agencies, non-governmental organizations (NGOs) and local communities to monitor and evaluate;
4. To meet the requirements of donors to see whether their resources are being used effectively, efficiently and for agreed upon objectives; and
5. To provide information to enhance advocacy for policies, programmes and resources, that improve the condition of women and children.

Achieving the ***first purpose*** - improving management requires better monitoring and evaluation throughout the programming cycle and prompt supply of information to decision-makers. The ***second purpose*** - to learn from experience, develop and refine intervention policies - will be achieved only if procedures are set up to disseminate findings to decision-makers and to use them for corrective action. The ***third purpose*** -strengthening national capacity - requires working with responsible officials and programme staff, and often involves supporting institutional strengthening. Meeting donor requirements, the ***fourth purpose***, relates to fundraising and often depends on occasional external evaluations carried out by teams of specialists. The ***final purpose***, advocacy for improved policies and programmes and mobilization of greater personal commitment and financial support require credible information about progress, problems and potential derived from monitoring and evaluation.

1.1.2 Guiding Principles of Evaluation at UNICEF

The guiding principles of evaluation at UNICEF emanate from decisions taken by the Executive Board, from the application of *human rights principles and from the norms and standards approved by the United Nations Evaluation Group (UNEG).*

Evaluation Guiding Principles
1. Evaluation must respect of the principle of universality and country-driven programming[5].
2. Evaluation has to give emphasis on analysing effectiveness and results.
3. Evaluation must be conducted in an independent, impartial and transparent manner.
4. Evaluations must serve an explicit management purpose, be it at the levels of strategic governance, global, regional or country programmes, the project and activity.
5. It is important to preserve the decentralised nature of the evaluation system in UNICEF[6].
6. UNICEF is to support programme countries to evaluate their own programmes and to contribute to the strengthening of evaluation capacity in these countries[7].
7. Whenever possible, evaluations must be undertaken in partnership with national authorities, with the UN system and with interested partners[8].
8. Evaluation concerns must be addressed at the design stage of an intervention, with adequate resourcing set aside[9].
9. 3% to 5% of programme expenditures will be dedicated to monitoring evaluation and research[10] and by 2010, 1% allocated to evaluation.
10. Evaluators must have skills in evaluation together with personal and professional ethic, integrity and basic skill set in evaluation, including human rights and gender equality analysis.
11. Evaluation report must meet professional quality standards and be credible.
12. At minimum, the executive summary of the evaluation must be translated into relevant local language(s) and made available to stakeholders.
13. Evaluation findings, recommendations and lessons must be made public and disseminated to all stakeholders concerned.
14. Evaluations must be duly considered with a management response also made public together with an action plan to ensure implementation follow-up accountability, Evaluations findings of relevance to the Executive Board are to be brought to its attention[11].

[5] Decision 2002/9 of the Executive Board of 7 June 2002
[6] Same as above
[7] Included in Decisions 2002/9, 2004/9 and 2006/9 of the Executive Board
[8] Decision 2004/9 of the Executive Board of 11 June 2004
[9] Decision 2006/9 of the Executive Board of 9 June 2006
[10] This principle was set in the Executive Directive CF/EXD/1993-006 of 1 June 1993 for funding from both regular and other resources.
[11] Decision 2002/9

1.1.3 Evaluation in the context of the UNICEF Medium-Term Strategic Plan

The MTSP for 2006-2009 (E/ICEF/2005/11) indicates that UNICEF will focus on six main areas in the strengthening of its evaluation function:

1. National capacity-building and strengthened national leadership in country-level evaluations;
2. Strengthened evaluation within the United Nations system and with other partners;
3. Evaluation in humanitarian crises;
4. Evaluations related to MTSP focus areas, strategies and operational effectiveness;
5. Strengthened organizational capacity in evaluation;
6. Heightened management attention to the evaluation function.

The Executive Board, in decision 2006/9, requested UNICEF to focus more intently on evaluating the results of the MTSP, on country programmes and on the humanitarian responses. The MTSP included an Integrated Monitoring and Evaluation Framework (IMEF) that details various evaluative exercises required to assess UNICEF performance against the MTSP. The IMEF sets the global evaluation agenda for the MTSP period and is subject to review in the 2008 midterm review of the MTSP. Implementation of the evaluation plan, in many cases, involves partnerships with other United Nations agencies, and governmental and non-governmental organizations.

From 2008, the Offices of Audit and Evaluation are engaged in integrated planning and coordinated joint assessments of organizational performance and programme effectiveness. The joint initiatives will cover relevance and results of UNICEF, its contribution to national development, and the management of UNICEF support. The two offices will cooperate on the institutional evaluations of UNICEF in other areas.

1.1.4 Review of Evaluation Policy

The implementation of the present evaluation policy and the evaluation function will be reviewed periodically to extract lessons and make improvements. The first such review will take place in 2010.

The guiding principles for the evaluation function in UNICEF mentioned above and the key performance indicators for evaluation contained in the Medium-term Strategic Plan of UNICEF will serve as institutional performance indicators for the review of the policy and its implementation.

DRAFT DECISION

The Executive Director recommends that the Executive Board adopt the following draft decision: ***"The Executive Board Approves the document "Evaluation Policy" (E/ICEF/2007/xx) as the official policy statement on the evaluation system of UNICEF".***

1.1.5 UNICEF Program Evaluation Standards

Program Evaluation Standards are divided into four types of standards:

First: Utility standards;

Second: Feasibility Standards

Third: Propriety Standards

Fourth: Accuracy Standards

First: Utility Standards

The utility standards are intended to ensure that an evaluation will serve the information needs of intended users.

U1. Stakeholder Identification Persons involved in or affected by the evaluation should be identified, so that their needs can be addressed.

U2. Evaluator Credibility The persons conducting the evaluation should be both trustworthy and competent to perform the evaluation, so that the evaluation findings achieve maximum credibility and acceptance.

U3. Information Scope and Selection Information collected should be broadly selected to address pertinent questions about the program and be responsive to the needs and interests of clients and other specified stakeholders.

U4. Values Identification The perspectives, procedures, and rationale used to interpret the findings should be carefully described, so that the bases for value judgments are clear.

U5. Report Clarity Evaluation reports should clearly describe the program being evaluated, including its context, and the purposes, procedures, and findings of the evaluation, so that essential information is provided and easily understood.

U6. Report Timeliness and Dissemination Significant interim findings and evaluation reports should be disseminated to intended users, so that they can be used in a timely fashion.

U7. Evaluation Impact Evaluations should be planned, conducted, and reported in ways that encourage follow-through by stakeholders, so that the likelihood that the evaluation will be used is increased.

Second: Feasibility Standards

The feasibility standards are intended to ensure that an evaluation will be realistic, prudent, diplomatic, and frugal.

F1. Practical Procedures The evaluation procedures should be practical, to keep disruption to a minimum while needed information is obtained.

F2. Political Viability The evaluation should be planned and conducted with anticipation of the different positions of various interest groups, so that their cooperation may be obtained, and so that possible attempts by any of these groups to curtail evaluation operations or to bias or misapply the results can be averted or counteracted.

F3. Cost Effectiveness The evaluation should be efficient and produce information of sufficient value, so that the resources expended can be justified.

Third: Propriety Standards

The propriety standards are intended to ensure that an evaluation will be conducted legally, ethically, and with due regard for the welfare of those involved in the evaluation, as well as those affected by its results.

P1. Service Orientation Evaluations should be designed to assist organizations to address and effectively serve the needs of the full range of targeted participants.

P2. Formal Agreements Obligations of the formal parties to an evaluation (what is to be done, how, by whom, when) should be agreed to in writing, so that these parties are obligated to adhere to all conditions of the agreement or formally to renegotiate it.

P3. Rights of Human Subjects Evaluations should be designed and conducted to respect and protect the rights and welfare of human subjects.

P4. Human Interactions Evaluators should respect human dignity and worth in their interactions with other persons associated with an evaluation, so that participants are not threatened or harmed.

P5. Complete and Fair Assessment The evaluation should be complete and fair in its examination and recording of strengths and weaknesses of the program being evaluated, so that strengths can be built upon and problem areas addressed.

P6. Disclosure of Findings The formal parties to an evaluation should ensure that the full set of evaluation findings along with pertinent limitations are made accessible to the persons affected by the evaluation and any others with expressed legal rights to receive the results.

P7. Conflict of Interest Conflict of interest should be dealt with openly and honestly, so that it does not compromise the evaluation processes and results.

P8. Fiscal Responsibility The evaluator's allocation and expenditure of resources should reflect sound accountability procedures and otherwise be prudent and ethically responsible, so that expenditures are accounted for and appropriate.

<u>Fourth</u>: <u>Accuracy Standards</u>

The accuracy standards are intended to ensure that an evaluation will reveal and convey technically adequate information about the features that determine worth or merit of the program being evaluated.

A1. Program Documentation The program being evaluated should be described and documented clearly and accurately, so that the program is clearly identified.

A2. Context Analysis The context in which the program exists should be examined in enough detail, so that its likely influences on the program can be identified.

A3. Described Purposes and Procedures The purposes and procedures of the evaluation should be monitored and described in enough detail, so that they can be identified and assessed.

A4. Defensible Information Sources The sources of information used in a program evaluation should be described in enough detail, so that the adequacy of the information can be assessed.

A5. Valid Information The information-gathering procedures should be chosen or developed and then implemented so that they will assure that the interpretation arrived at is valid for the intended use.

A6. Reliable Information The information-gathering procedures should be chosen or developed and then implemented so that they will assure that the information obtained is sufficiently reliable for the intended use.

A7. Systematic Information The information collected, processed, and reported in an evaluation should be systematically reviewed, and any errors found should be corrected.

A8. Analysis of Quantitative Information Quantitative information in an evaluation should be appropriately and systematically analyzed so that evaluation questions are effectively answered.

A9. Analysis of Qualitative Information Qualitative information in an evaluation should be appropriately and systematically analyzed so that evaluation questions are effectively answered.

A10. Justified Conclusions The conclusions reached in an evaluation should be explicitly justified, so that stakeholders can assess them.

A11. Impartial Reporting Reporting procedures should guard against distortion caused by personal feelings and biases of any party to the evaluation, so that evaluation reports fairly reflect the evaluation findings.

A12. Meta-evaluation The evaluation itself should be formatively and summatively evaluated against these and other pertinent standards, so that its conduct is appropriately guided and, on completion, stakeholders can closely examine its strengths and weaknesses.

1.1.6 Evaluation Criteria

The standard OECD/DAC evaluation criteria of ***efficiency***, ***effectiveness***, ***impact***, ***sustainability*** and ***relevance*** are broadly appropriate for humanitarian assistance programmes. However, their applicability to humanitarian assistance being provided in the context of complex emergencies may be increased through elaboration of certain criteria and the addition of complementary sub-criteria.

<table>
<tr><th colspan="2">Evaluation Criteria</th></tr>
<tr><td rowspan="2">Relevance</td><td>Definition
The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donor policies.</td></tr>
<tr><td>Standard questions regarding relevance are:
• Are objectives in line with needs, priorities and partner government policies?
• Is the intervention in line with the livelihoods strategies and cultural conditions of the beneficiaries?
• Is the design of the intervention relevant to the context?
• Is the timing of the intervention relevant from the point of view of the beneficiaries?
• Do proposed interventions have a potential for replication?</td></tr>
<tr><td rowspan="2">Effectiveness</td><td>Definition
The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance.</td></tr>
<tr><td>Standard questions regarding effectiveness are:
• To what extent have the agreed objectives been achieved?
• Are the successfully achieved activities sufficient to realise the agreed outputs?
• To what extent is the identified outcome the result of the intervention rather than external factors?
• What are the reasons for the achievement or non-achievement of outputs or outcomes?
• What could be done to make the intervention more effective?</td></tr>
<tr><td rowspan="2">Efficiency</td><td>Definition
A measure of how economically resources/ inputs (funds, expertise and time… etc) are covered to achieve results. Efficiency measures the outputs, qualitative and quantitative, in relation to the inputs. This requires comparing alternative approaches to achieving the same outputs, to see whether the most efficient process has been used.</td></tr>
<tr><td>Standard questions regarding efficiency are:
• What measures have been taken during the planning and implementation phase to ensure efficient use of resources?
• To what extent have the development components been delivered as agreed?
• Could the intervention have been done better, more cheaply or more quickly?
• Could an altogether different type of intervention have solved the same problem at a lower cost?</td></tr>
</table>

Impact	**Definition** A measure that looks at the wider effects of the project - social, economic, technical, environmental – on individuals, gender and age-groups, communities, and institutions. Impact studies address the question: what real difference has the activity made to the beneficiaries? How many have been affected?
	Standard questions regarding impact are: • How has the intervention affected the wellbeing of different groups of stakeholders? • What would have happened without the intervention? • What are the positive and negative effects? • Do the positive effects outweigh the negative ones? • What do the beneficiaries and other stakeholders perceive to be the effects of the intervention on themselves? • To what extent does the intervention contribute to capacity development and the strengthening of institutions?
Sustainability	**Definition** Of particular importance for development aid - is concerned with measuring whether an activity or an impact is likely to continue after donor funding has been withdrawn. Projects need to be environmentally as well as financially sustainable.
	Standard questions regarding sustainability are: • To what extent does the positive impact justify continued investments? • Are the stakeholders willing and able to keep facilities operational and to continue activities on their own? • Is there local ownership? • Did partner country stakeholders participate in the planning and implementation of the intervention to ensure local engagement from the start? • Do relevant partner country institutions possess sufficiently strong governance structures and professional capacity to sustain the activity? • Is the technology utilised in the intervention appropriate to the economic, social and cultural conditions in the partner country? • Is the intervention harmful to the environment?

Other criteria, put by DAC, are used in emergency situations, besides the above mentioned. Additional criteria are:

Coverage - the need "to reach major population groups facing life-threatening suffering wherever they are, providing them with assistance and protection proportionate to their need and devoid of extraneous political agendas".

Coherence - refers to policy coherence, and the need to assess security, developmental, trade and military policies as well as humanitarian policies, to ensure that there is consistency and, in particular, that all policies take into account humanitarian and human rights considerations.

Coordination - This could be considered under the criteria of effectiveness, for a poorly co-coordinated response is unlikely to maximize effectiveness or impact.

Protection - issues are also critical to the effectiveness of humanitarian action. Where levels of protection are poor it is feasible that the target population of an otherwise effective project distributing relief assistance.

1.2 Organization of Evaluation in UNICEF

1.2.1 Decentralized Evaluation Function

The highly decentralized evaluation function is a key characteristic of the UNICEF evaluation system. Together with programme countries, UNICEF country offices conduct most of the evaluation work. Regional offices provide oversight and support for evaluations undertaken by the country offices. Regional offices also conduct thematic evaluations related to their regional strategies. Headquarters divisions undertake evaluations relating to their areas of expertise. The Evaluation Office provides functional leadership and systemic management of the evaluation system. As well, the Evaluation Office conducts independent evaluations mostly at global level. It undertakes joint evaluation in partnership with the UN System, together with the evaluation networks of programme and donor countries and with other partners.

Evaluation at the Global Level

At the global level, evaluation serves to assess UNICEF performance against the objectives and targets set in the MTSP. Evaluation is also conducted to analyze the contribution of UNICEF to global strategies in collaboration with key partners, particularly the achievement of the objectives of the Millennium Declaration and Millennium Development Goals. When global endeavors are executed with strategic alliances, joint evaluations will inform the partners on performance and lessons to improve the design and enhance effectiveness.

Evaluation at the Regional Level

At the regional level, evaluation serves the Regional Management Team and partners in the assessment of regional strategies to help countries address issues of a trans-boundary nature and to mutually assist each other in achieving national goals and priorities. Evaluations conducted at the regional level may assess UNICEF interventions in different countries and achievement of regional targets. This enables learning from comparative analysis of approaches to assessing results achieved and fosters ownership and sustainability of interventions supported by UNICEF and its partners.

Evaluation at the National Level

At the national level, in collaboration with national and local authorities and partners, the Country Representative may for various purposes commission evaluations in support of the pursuit of the strategic intent of UNICEF's strategy of cooperation. Strategic use at national level may be for:

a) Retroactive evaluations of an intervention supported by UNICEF, in order to improve design and/or for accountability purpose to the stakeholders;

b) Joint evaluations with partners of a programme or strategy, so greater effectiveness and efficiency results for the collaborative effort;

c) UN-wide evaluations of support given to the country to improve inter-agency cooperation in support to national programmes
d) Multi-partite evaluations of themes or policies for learning how to increase intended impacts;
e) Support to country-led evaluations as proposed, for example, in the Paris Declaration and the "Delivering as One UN initiative" responding to country needs.

In UNICEF, all types of evaluation may be used at the various levels, be it global, regional, national and sub-national. In the spirit of the Paris Declaration, with the intent of evaluation institutional strengthening at national level, UNICEF may elect to sponsor evaluation from a country-led perspective by asking a national government evaluation unit or other well established national evaluation entity to conduct evaluations.[12]

Evaluation at the Governmental Level

General Assembly resolution 59/250 stipulates that national Governments have primary responsibility for coordinating external assistance, including assistance from the United Nations system, and for evaluating the impact of contribution to national priorities. In the spirit of this resolution, UNICEF may elect to sponsor evaluations from a country-led perspective by asking a national Government evaluation unit or another established national evaluation entity to conduct evaluations9. UNICEF will increasingly be involved in supporting national Governments' evaluation priorities.

1.2.2 Roles and Responsibilities for Evaluation in UNICEF

UNICEF Evaluation Focal Point in the Country Office has the responsibility to carry out, and ensure the quality of the following:

1. Help design, update, implement and monitor office's plans to promote and support evaluations and share evaluation results with Representative and managers;
2. Promote the implementation of evaluation recommendations and use fo results in present and future planning.
3. Help link evaluation with results-based planning, that is incorporating lessons learnt from evaluation;
4. Consult with program sectors to identify topics for special research;
5. Ensure compliance of evaluations with guidelines, standards and ethics and check the quality of evaluation reports.
6. Propose topics for training in evaluation to meet needs of government partners, civil society partners and UNICEF staff;
7. Maintain a regular dialogue with the Regional office for planning and evaluation with the Evaluation office in New York in relations to research and evaluation issues.
8. Keep office informed of technical issues and technical notes in evaluation.

[12] In Decision 2002-09, the Executive Board requested the Secretariat to make greater use of national evaluators when undertaking evaluations at national level.

Evaluation for Accountability seeks to answer the following questions:

- To what extent are implementing organizations responsible for the evaluated intervention?
- To what extent are the planned results achieved?
- Is the job done well, thus quality achieved?
- Are rights guaranteed to their claimers, and are vulnerable groups covered and protected?
- Are resources put according to plans, and are spent efficiently?
- Is evaluation used in future planning in a particular sector or country context?
- Is evaluation results used to inform policy in the donor or partner country government?
- Are the lessons learnt from the work evaluated shared with partners and could be applied elsewhere?

UNICEF Country Representatives have the responsibility to ensure that:

1. Adequate UNICEF resources are dedicated to evaluation,
2. Communication is undergoing with with government officials and other partners in any relevant evaluation process, and that findings and recommendations are communicated to decision-makers.
3. Ensure proper planning of an Integrated Monitoring and Evaluation Plan (IMEP).
4. Follow-up, with Evaluation focal point, that recommendations emanating from evaluations are being adopted in the programs.
5. Evaluation reports are disseminated and registered in the UNICEF evaluation database.

Regional Directors provide annually a report to the Executive Board on mid-term reviews of programmes and major evaluations conducted in their respective regions. The evaluation function at the regional level focuses on the oversight and strengthening the evaluation capacities of UNICEF offices and their government counterparts through the following:

- Coordination of evaluation capacity building activities with the Evaluation Office at headquarters;
- Preparation of regional evaluation plans;
- Provision of quality assurance and technical assistance to support evaluation of country programmes and projects.

In accordance with their regional evaluation plans, the Regional Directors, in consultation with the Regional Management Team, commission or undertake ***multi-country thematic evaluations***. They ensure the contribution of their respective region to global evaluations and are also responsible for the conduct and oversight of country programme evaluations and real-time evaluations.

At headquarters, the directors of divisions and offices are responsible for the planning and commissioning of evaluation of global policies and initiatives falling under their accountabilities. In the context of the biennial office management plan, they prioritise the evaluations to be done and ensure appropriate funding. When they accept major funding from other resources, they will ensure that at the outset funds are set aside for evaluation in order to discharge properly their accountabilities toward fund providers for results and effective performance. When commissioning evaluations, directors may elect to conduct them in collaboration with UNICEF partners, ask the Evaluation Office to undertake them or contract them to competent external evaluation entities.

The Evaluation Office conducts independent global evaluations. It coordinates the evaluation function within UNICEF. The Office collaborates with UNICEF partners in multi-partite evaluations and is the focal point for evaluations led externally on UNICEF. It fosters the professionalization of the evaluation function in UNICEF, across the UN System together with UNEG and evaluation capacity strengthening in programme countries.

Evaluation office provides the following:

- Leads the development of approaches and methodologies for policy, strategic, thematic, programme, project and institutional evaluations.
- Conducts independent evaluations in compliance with the multi-year evaluation plan and at the request of the Executive Board and senior management.
- Informs UNICEF senior management on the findings of evaluations and related studies, with particular attention to the relevance of the learning for policy development and the improvement of institutional processes.
- Maintains the institutional database of evaluations and promotes its utilisation across the organisation in support to knowledge management.
- Conducts periodic meta-evaluation of the quality and use of evaluations sponsored by UNICEF and reports the findings to senior management and to the Executive Board via the biennial report on evaluation function in UNICEF.

Evaluation Committee, formed by the Executive Director[13] advises the Executive Director on evaluation issues, and its mandate is to:

- Review evaluation reports produced by UNICEF that have relevance at the global governance level, including country programme performance evaluations.
- Reviews and endorses recommendations contained in evaluation reports.
- Examines the annual follow-up reports on implementation of recommendations.
- Reviews the work programme of the Evaluation Office and its implementation.

The Committee is chaired by the Executive Director or a designated Deputy Executive Director. The secretariat is provided by the Evaluation Office.

The Executive Director of UNICEF is accountable to ensure compliance with the evaluation policy across the organization. S/he is responsible for the following:

- Safeguarding the integrity of the evaluation function and its independence and appoints *The Director of the Evaluation Office* ensuring that there is no conflict of interest in employment.
- Safeguarding the independence of the Evaluation Office by ensuring that the Director has the final say on the contents of all evaluation reports issued by the Evaluation Office.

[13] See Executive Directive CF/EXD/2002-022 of 10 October 2002

- Provision of sufficient resources and capacity for evaluation in the organization.
- Ensuring that senior management responds to and utilises evaluation in their policy, strategic, operational, and oversight functions.
- Ensuring that appropriate follow-up to the findings and recommendations of evaluations is taken by the relevant units. In the cases when the Executive Board commissions evaluations,
- Ensuring that UNICEF prepares a management response for submission to the Executive Board and appropriate follow-up.
- Reporting on evaluation matters to the Executive Board in the context of her/his annual report as well as the biennial reports on the evaluation function.

The Executive Board of UNICEF

The Executive Board of UNICEF is responsible for the following:

- Approving the evaluation policy.
- Endorsing the multi-year work programme for global evaluations in the context of the Medium Term Strategic Plan and approves the funding[14] of the evaluation function as part of the biennium budget of UNICEF.
- Commissioning any time evaluations relevant for its work programme.
- Requiring management response and follow-up to evaluations that it commissioned.
- Drawing on evaluation findings and recommendations for oversight and improvement of UNICEF policies, strategies and programmes.

Executive Board members may use evaluation reports for their respective accountability purposes.

1.2.3 Evaluation with Partners

Global Partnerships

The increasing global partnerships in supporting country development point to the realization that successful interventions reflect joint ventures. This requires the need to develop new approaches in the conduct of evaluation. More and more UNICEF has the opportunity to participate in multi-partite evaluations. This enables UNICEF to bring attention to results and impacts for children into the evaluation agendas of other organisations.

Professional Governmental Evaluation Networks

UNICEF will continue to promote partnerships with professional governmental evaluation networks including the United Nations Evaluation Group (UNEG), the Evaluation Network of the Development Assistance Committee of the Organisation for Economic Cooperation and Development, the Evaluation Cooperation Group of the international financial institutions, the Evaluation Network of the European Economic Commission. Also, UNICEF will be actively supporting the formation of global, regional

[14] The new format for results-based budgeting highlights fund allocation for evaluation.

and national professional evaluation organisations to foster the professionalisation of capacity for evaluation at country level.

National Evaluation Institutions and Evaluations

UNICEF Country Offices will nurture a collaborative relationship with national evaluation institutions and associations. Such partnerships will enhance the relevance, quality and utility of UNICEF's evaluation and its contribution to development and humanitarian action. Moreover, such partnerships are critical in supporting national evaluation capacity strengthening.

Note on:"Joint Evaluation" amongst partners[15]

A joint evaluation is one to which different donor agencies and/or partners participate. There are various degrees of 'depending on the extent to which individual partners cooperate in the evaluation process, merge their evaluation resources and combine their evaluation reporting. Joint evaluations can help overcome attribution problems in assessing the effectiveness of programmes and strategies, the complementarity of efforts supported by different partners, the quality of aid co-ordination etc.

Joint Evaluation
Purpose: The aim is to ensure that the evaluation becomes an efficient learning tool, helps promote good governance, focuses on mutual obligations, enables the partners to be fully accountable, and lowers the transaction costs of separate evaluations.
Challenges: Co-ordination of aid interventions among donors is notoriously difficult since each agency has to give up its own procedures. The same applies to joint evaluations. A key challenge will be to secure ownership for such evaluations by focusing on what is relevant for each partner.
Opportunities: Greater credibility and broader ownership of findings among the donor community than would be the case with single donor evaluations.

[15] Guidance on Evaluation and Review for DFID Staff, Evaluation Department, 2005

1.3 Measures to Strengthen the Evaluation System[16]

1.3.1 Evaluation and Results Based Management

The peer review of the evaluation function and the organisational review, both pointed to the need for UNICEF to strengthen its results-based management, if the evaluation function is to perform better the assessment of results and impacts. Therefore, ***more emphasis will be given to the "evaluability" of new intervention***. This implies a clear statement of results to be achieved and the identification of risks to be managed, the use of relevant performance indicators and the setting up of baselines at the outset and during of the intervention. In focusing on the substantive rationale, value and performance of programmes, evaluation serves to improve results and stakeholder satisfaction. All evaluations should follow the same guiding principles of rigour and transparency, and share the same purpose of organizational learning and accountability.

RBM Main Elements[17]
1. The importance of defining realistic expectations for results, clearly identifying beneficiaries and designing developmental efforts to meet their needs.
2. The monitoring of progress using appropriate indicators, while effectively managing risks.
3. The empowerment of line managers and partners to measure performance and act on performance information.
4. The added value of independent and professional internal audit and evaluation functions.
5. Meaningful stakeholder participation (developing a common understanding).
6. Transparency in performance reporting.

1.3.2 Evaluation and Human Rights Based Approach

Consistent with UNICEF commitment to a human rights based approach to programming, the organisation promotes a wide participation of stakeholders and especially primary stakeholders in M&E, wherever possible. Wide stakeholder participation is increasingly recognised as being a critical factor in use of M&E conclusions, recommendations and lessons. At the same time, efforts to increase participation must be coupled with attention to mechanisms to ensure the protection of people involved, whether as participants or subjects of M&E activities. There are special implications in this regard for the protection of children participating in monitoring and evaluation *(see Annex-1: M&E and HRBA)*.

[16] The part on the evaluation policy is compiled in accordance with the Executive Board decision 2006/9 on the evaluation functions in UNICEF (E/2006/34/Rev.1).
[17] These elements are depicted from CIDA Evaluation Guide, Evaluation Division Performance and Knowledge Management Branch, 2004.

1.3.3 Evaluation and Knowledge Generation System

Because of its important contribution to organizational learning, evaluation is an integral part of the knowledge creation system. In 2001, the Evaluation Office created a real-time, on-line Intranet access to the UNICEF institutional memory on ***evaluation findings and lessons**.* Submit completed evaluations to the UNICEF on-line evaluation database, within three months of their completion.

The evaluation database is particularly tailored to the needs of UNICEF field offices. It allows users to upload their evaluation reports and to access abstracts and full reports of evaluations and studies conducted by UNICEF and other organizations. It also serves as a reference source on methodological tools. In addition, the website allows electronic conferencing to foster professional exchange on evaluation and institutional performance assessment matters. The upkeep of the system will receive a priority to maintain its relevance and usefulness.

1.3.4 Gender Sensitivity

UNICEF recognizes that maintaining gender sensitivity is not only an important goal in itself, but also, ultimately, an essential catalyst for the well being of children. In light of the United Nations Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender inequality. Within this analysis, a gender perspective is critical, particularly in regard to understanding the often more disadvantaged status of women and girls. As such, a description of the consideration of gender issues is a minimum requirement for all evaluation reports. *(See Annex-2: Tips for Sensitizing Evaluations).*

UNICEF applies and advocates for increased efforts towards desegregation of gender data to increase understanding of how UNICEF interventions may affect women and men differently. UNICEF ensures that terms of reference for evaluation will call for analysis of gender equality and assessment the implementation of the Gender Policy[18].

1.3.5 Evaluation and Professionalization of Evaluators

UNICEF different management levels should ensure that all programme staff have a foundational knowledge of evaluation principles and types and their application. Specifically, staff engaged in evaluation should must have access to professional development opportunities, and ensure that new appointments to such posts are made against the evaluation competencies agreed by UNEG, while seeking technical clearance from the Regional Office and Evaluation Office, as appropriate.

UNICEF has promoted the ***professionalisation of evaluators*** within the UN system. Measures that will fortify the evaluation function are the approval of competency profiles and prototype job descriptions. These benchmarks will provide clearer technical criteria for the selection of candidates for evaluation positions. The competency profiles will also be used to assess the training needs of present incumbents. Together with the UN System Staff College, UNICEF in collaboration with UNEG is creating a Diploma in evaluation. Such a programme will fulfil both the need

[18] See the current policy on gender equality and the empowerment of women and girls approved by the Executive Board in 1994 contained in document E/ICEF/1994/13/Rev.1 and Decision 1994/A/4.

for harmonisation of evaluation practices and for a professional certification in evaluation within the UN system. The Evaluation Office will also provide technical assessment of the candidates applying for positions related to evaluation in UNICEF. The Evaluation Office will maintain a network of communication and exchange with evaluation officers, and provide them with updates on evaluations findings, events and methodologies on an ongoing basis.

Membership in United Nations Evaluation Group (UNEG)

UNICEF is an active member of the United Nations Evaluation Group[19]***. UNEG's mission is to strengthen the evaluation function across the UN system***.

UNICEF is co-chairing the evaluation led by UNEG of the eight "Delivering as One" United Nations pilot countries.

UNICEF – UNEG Commitments To Strengthen Evaluation Function
1. Promote the application of a common set of norms and standards for evaluation;
2. Support common positions on objectivity, integrity and the role and function of evaluation;
3. Strengthen the professional and technical competence of evaluation staff;
4. Facilitate mutual support and learning through exchange of evaluation know-how;
5. Promote innovation and joint initiatives;
6. Encourage the use of evaluation for learning, decision making and accountability in inter-governmental and inter-agency processes;
7. Facilitate appropriate partnerships and capacity development beyond UNEG including with UN regional monitoring and evaluation networks.

1.3.6 Evaluation and Special Supplementary Funds

Increased resources will be allocated for evaluations. In 1990 and 1993, UNICEF committed[20] itself to spending 3-5% of programme expenditures both general resources and supplementary funds on operations research, including evaluation.

In 2006, for the first time, country level expenditures on Evaluation are recorded in UNICEF financial system PROMS. Country Offices spent US$7.97 million in 2006, or

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[19] UNEG's mandate and work programme is much in compliance with the Decision 59/250 adopted by the General Assembly of 17 August 2005 concerning the Triennial comprehensive policy review of operational activities of the UN system, particularly chapter VII addressing system-wide evaluation matters.

[20] See the Executive Directive CF/EXD-IC 1990-022 of 2 July 1990 and Executive Directive CF/EXD/1993-006 of 1 June 1993.

0.04% (4 tenths of 1 percent) of programme expenditures. While there is no corporate guideline for evaluation-only spending, this figure of 0.4 % is considered low for an organization of UNICEF's programmatic size and requirement for innovation. Related expenditures for Analysis, Research, and Studies amount to US$27.9 million and Data, Data Bases, Surveys, and Statistics total US$24.7 million. This does raise the overall research/social data/evaluation total to US$60.8 million, or 2.9% of total program expenditures, which indicates UNICEF is investing to become a Knowledge-led Organization. However there is room for greater use and investment in evaluation. UNICEF commits itself to invest at least 1% of its resources for evaluation by 2010.

1.3.7 Evaluation and Accountability to Office of Internal Audit

The Office of Internal Audit will examine the ***compliance with the management accountabilities contained in this policy*** when it will conduct audits of UNICEF country and regional offices and of Headquarters Divisions and Offices. The Office of Internal Audit will conduct periodically an audit of the evaluation function in UNICEF field offices and at Headquarters.

CHAPTER TWO

EVALUATION THEORIES, TYPES AND TRENDS

2.1 Evaluation Theories/ Models

Evaluation theories and models have made a big shift in the latest years to place stakeholders in the position of actors and not as receptors. Traditionally, evaluations tended to be managed with an outsider perspective, often giving little recognition to local expectations and the potential for stakeholder contributions. In effect, stakeholders were the objects of evaluations – rather than key participants. Beneficiaries, local organizations and governments in recipient countries were left without substantive roles.

Evaluation turned out to be more inclusive, interactive and holistic to include:

- Understanding and analyzing the phenomenon and not just describing it;
- Building causal relations amongst multiple factors;
- Understanding the context and the process in the same time;
- Combining between the quantitative and qualitative approaches;
- Redefining the role and boundaries of the evaluator and the people;
- Assessing the results achieved.

Brief Description of Evaluation Models

Evaluation Model	Brief Description
Goal-based Evaluation	• Purpose to determine whether a programme's goals have been achieved • Examines achievement of programme goals • Uses quantitative and qualitative methods • Analysis would focus on the gap between goals and achievement • Report would be structured by goals and objectives • Strength is criteria for judging success explicitly stated • Weaknesses are bad objectives, narrow scope, side effects
Case-Study Evaluation	• Purpose to provide audience with thick, rich narrative description of a programme. • Examines issues important to all stakeholders • Uses qualitative methods (document analysis, observation and interview) • Qualitative data analysis (patterns, categories, etc.) • Report contains description and analysis of issues • Strength is attention to context and implementation • Weakness is resource intensive

Experimental and Quasi Experimental Evaluation	• Purpose to determine causal relationship between dependent and independent variables • Tests hypotheses using research designs • Uses quantitative methods • Analysis tests for significant differences between groups • Report structured around hypothesis • Strength is establish unequivocal causal relationships • Weaknesses are ethics, conditions & assumptions, utility
Theory-based Evaluation	• Purpose to validate the theory on which a programme is based. • Test the assumptions that support the programme theory (logic model often used) • Qualitative and quantitative methods • Match between actual and predicted results • Report usually focuses on outcomes and impacts • Nothing as practical as a good theory • Weakness is many theories not well developed
Cost-Benefit Evaluation	• Purpose to judge a programme's productivity in economic terms Compute the sum of the present value of the benefits less the present value of the costs • Uses accounting methods • Compare Net Present Value (NPV) of alternatives • Report structured by cost-benefit comparisons • Strength is determine the "bang for the buck" • Weakness is difficult to assign monetary value to outcomes
Participatory and Empowerment	• Purpose to facilitate the evaluation of a programme by participants • Participants examine issues important to them • Uses qualitative methods (document analysis, observation and interview) • Qualitative data analysis (patterns, categories, etc.) • Report contains description and analysis of issues • Strength is results are very actionable • Weakness is sometimes perceived as advocacy

2.2 Types of Evaluation[21]

There are many different types of evaluations depending on the object being evaluated and the purpose of the evaluation. Evaluations can be categorized in several different ways:

- By when they take place;
- By the processes used; and
- By where they focus — since evaluation teams do not have the time and resources to look at everything, those commissioning evaluations need to be clear about limiting or focusing the scope of any evaluation exercise, within the resources available.

Perhaps the most important basic distinction in evaluation types is that between ***formative*** and ***summative*** evaluation. Formative evaluations could be conducted during project/ program implementation, strengthen or improve the object being evaluated. They help form it by examining the **delivery of the program**, the quality of its implementation, and the assessment of the organizational context, personnel, procedures, inputs, and so on. Summative evaluations conducted at the end or after project/ program implementation, examine **the effects or outcomes.** They summarize it by describing what happens subsequent to delivery of the program; determining the overall impact of the causal factor beyond only the immediate target outcomes; and, estimating the relative costs associated with the object.

Formative evaluation includes several evaluation types:

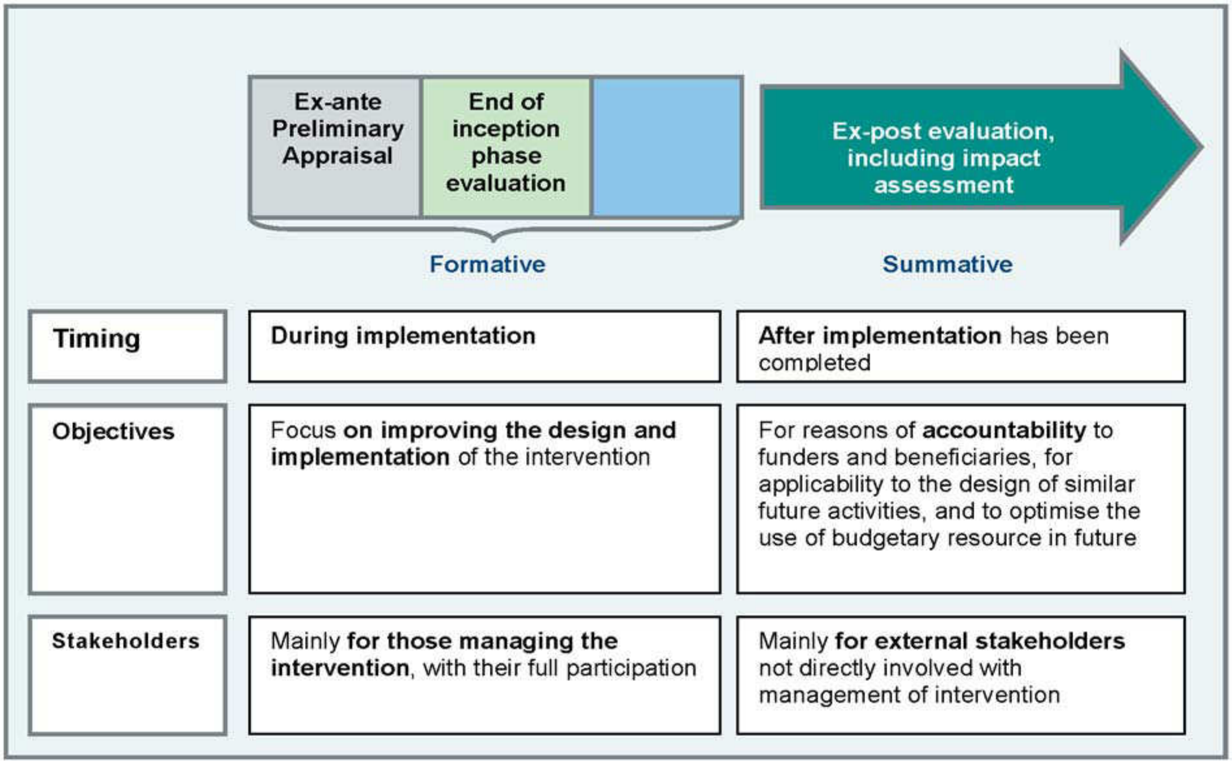
- ***Needs assessment*** determines who needs the program, how great the need is, and what might work to meet the need.
- ***Evaluability assessment*** determines whether an evaluation is feasible and how stakeholders can help shape its usefulness
- ***structured conceptualization*** helps stakeholders define the program or technology, the target population, and the possible outcomes
- ***implementation evaluation*** monitors the fidelity of the program or technology delivery
- ***process evaluation*** investigates the process of delivering the program or technology, including alternative delivery procedures

Summative evaluation can also be subdivided:

- ***outcome evaluations*** investigate whether the program or technology caused demonstrable effects on specifically defined target outcomes
- ***impact evaluation*** is broader and assesses the overall or net effects -- intended or unintended -- of the program or technology as a whole
- ***cost-effectiveness and cost-benefit analysis*** address questions of efficiency by standardizing outcomes in terms of their dollar costs and values
- ***secondary analysis*** re-examines existing data to address new questions or use methods not previously employed
- ***meta-analysis*** integrates the outcome estimates from multiple studies to arrive at an overall or summary judgment on an evaluation question

[21] William M.K. Trochim, Research Methods Knowledge Base, Web Center for Social Research Methods, 2006

The timing, objectives and stakeholders of both types of evaluation are shown in the following diagram[22].



2.2.1 Type of Evaluation by Time

Evaluation Time	Definition
Preliminary, ex-ante, evaluative assessments or appraisals	These are undertaken at the end of the design stage before the project is given permission to proceed. The appraisal may examine the project details, the appropriateness of any co-operation required from partner governments, and would check that the results to be expected and the means to achieve them are realistic.
End of phase evaluations	These are carried out at the completion of a particular phase during multi—phase initiatives. End of phase evaluations provide recommendations for consideration in the implementation of subsequent phases, or they may recommend the termination of project funding.
Ex-post evaluations	These are undertaken at the end of an intervention. Ex-post evaluations focus on the criteria of relevance, effectiveness, efficiency, impact and sustainability.

[22] Guidance for Evaluation and Review for DFID Staff, 2005

2.2.2 Type by evaluation process

Evaluation Process	Definition
Self-evaluation	This is similar to monitoring, encouraging operational staff and beneficiaries to assess their own activities. This may be the first part of a wider monitoring and review process, presenting an internally derived assessment as part of the data collection for the full external independent evaluation.
Process Evaluation	A process approach involves those affected by the change process in setting their own milestones, and reflecting on progress at agreed intervals. Each occasion for joint reflection provides an opportunity to learn new lessons about how to proceed forward.
Synthesis Evaluation	This brings together a range of separate evaluation reports, of separate case studies or country examples, into a single report, to pull out overall findings and conclusions.
Meta Evaluation	These are evaluations of evaluations to bring out overall lessons and examine assumptions and evaluation methodologies applied.

2.2.3 Type by subject

Evaluation Subject	Definition
Project Evaluation	It is essential to make the distinction between what the projects are formally expected to achieve and the wider perspective applied in the evaluation. The former perspective is important for accountability, and the latter for extracting experience for the future. The final assessment should be based on what could realistically have been achieved with the available resources.
Program Evaluation	Evaluation of a coherent set of activities in terms of policies, processes, institutional performance, changes and inter-relationships as well as the impact of the programme area. An outcomes-based evaluation facilitates your asking if your organization is really doing the right program activities to bring about the outcomes you believe (or better yet, you've verified) to be needed by your clients.
Sector Evaluation	Sector evaluations will normally cover completed as well as ongoing activities. A sector may be defined broadly as the education sector, or, more narrowly as a sub-sector such as primary education. A sector evaluation will cover policies and strategies applied, and a sample of projects representing typical interventions. Example is evaluation of health or education sectors, or primary education sub-sectors.
Thematic Evaluation	The purpose of thematic evaluations is to draw lessons that can be generalized beyond the context of a single project or programme. The theme could be based on a strategy - such as community participation, capacity building, advocacy; a priority issue – such as partnerships, gender or a program objective or area (including areas related to the MDGs and MTSP priorities.

2.3 Participatory Evaluation[23]

2.3.1 What Is Participatory Evaluation?

Participatory evaluation provides for active involvement in the evaluation process of those with a stake in the program: providers, partners, customers (beneficiaries), and any other interested parties. Participation typically takes place throughout all phases of the evaluation: planning and design; gathering and analyzing the data; identifying the evaluation findings, conclusions, and recommendations; disseminating results; and preparing an action plan to improve program performance.

In accordance with the recent trend in involving stakeholders and seeking to empower them, experience has shown that participatory evaluations improve program performance and optimize its results. Listening, to and learning from program beneficiaries, and other stakeholders who know why a program is or is not working is critical to making improvements. The best evaluations are those which:

- ✓ Value multiple perspectives and involve a representation of people who care about the project.
- ✓ Mobilize stakeholders, enhance teamwork, and build shared commitment to act on evaluation recommendations Increase likelihood that evaluation information will be used to improve performance
- ✓ Prepare organizations to use evaluation as an ongoing function of management and leadership.
- ✓ Promote participants' learning about the program and its performance and enhance their understanding of other stakeholders' points of view

2.3.2 Characteristics of Participatory Evaluation

Characteristics of Participatory Evaluation
Participant focus and ownership: They are primarily oriented to the information needs of program stakeholders rather than of the donor agency. The donor agency simply helps the participants conduct their own evaluations, thus building their ownership and commitment to the results and facilitating their follow-up action.
Scope of participation: The range of participants included and the roles they play may vary. For example, some evaluations may target only program providers or beneficiaries, while others may include the full array of stakeholders.
Participant negotiations: Participating groups meet to communicate and negotiate to reach a consensus on evaluation findings, solve problems, and make plans to improve performance. Views of all participants are sought and recognized. Typically, rapid appraisal techniques are used to determine what happened and why.
Learning process: The process is a learning experience for participants. Emphasis is on identifying lessons learned that will help participants improve program implementation, as well as on assessing whether targets were achieved.
Use of facilitators: Participants actually conduct the evaluation, not outside evaluators as is traditional. However, one or more outside experts usually serve as facilitator—that is, provide supporting roles as mentor, trainer, group processor, negotiator, and/or methodologist.

[23] Performance M&E TIPS, USAID Center For Development Information and Evaluation, 1996.

Beware of:

- Weak objectivity: if stakeholders with possible vested interests participate.
- Limited technical experience: if you count only on stakeholders' inputs.
- Excessive use of resources: if a wide array of stakeholders is used.
- Loss of time: if participating staff were taken away from ongoing activities for too long, and
- Domination and misuse of participation: if stakeholders overuse their power for their own interests.

2.3.3 Steps of Conducting Participatory Evaluation

Step 1……
Decide if a participatory evaluation approach is appropriate

Participatory evaluations are especially useful when:

- When there are questions about implementation difficulties or program effects on beneficiaries,
- When information is wanted on stakeholders' knowledge of program goals or their views of progress.

Traditional evaluation approaches may be more suitable when there is a need for independent outside judgment, when specialized information is needed that only technical experts can provide, when key stakeholders don't have time to participate, or when such serious lack of agreement exists among stakeholders that a collaborative approach is likely to fail.

Step 2…..
Decide on the degree of participation

What groups will participate and what roles will they play? Participation may be broad, with a wide array of program staff, beneficiaries, partners, and others. It may, alternatively, target one or two of these groups. Roles may range from serving as a resource or informant to participating fully in some or all phases of the evaluation.

Step 3…..
Prepare the evaluation scope of work

Consider the evaluation approach—the basic methods, schedule, logistics, and funding. Special attention should go to defining roles of the outside facilitator and participating stakeholders.

Step 4…..
Conduct the team planning meeting

Typically, the participatory evaluation process begins with a workshop of the facilitator and participants. The purpose is to build consensus on the aim of the evaluation; refine the scope of work and clarify roles and responsibilities of the participants and facilitator; review the schedule, logistical arrangements, and agenda; and train participants in basic data collection and analysis. Assisted by the facilitator, participants identify the evaluation questions they want answered. The approach taken to identify questions may be open ended or may stipulate broad areas of inquiry.

Step 5.....
Conduct the evaluation

Participatory evaluations seek to maximize stakeholders' involvement in conducting the evaluation in order to promote learning. Participants define the questions; consider the data collection skills, methods, and commitment of time and labor required. Participatory evaluations usually use rapid appraisal techniques, which are simpler, quicker, and less costly than conventional sample surveys.

Step 6.....
Analyze the data and build consensus on results

Once the data are gathered, participatory approaches to analyzing and interpreting them help participants build a common body of knowledge. Once the analysis is complete, facilitators work with participants to reach consensus on findings, conclusions, and recommendations. Facilitators may need to negotiate among stakeholder groups if disagreements emerge. Developing a common understanding of the results, on the basis of empirical evidence, becomes the cornerstone for group commitment to a plan of action.

Step 7......
Prepare action plan to integrate results and achieve desired change

The knowledge shared by participants about a program's strengths and weaknesses is turned into action. Empowered by knowledge, participants become agents of change and apply the lessons they have learned to improve performance.

2.4 Evaluation Trends

2.4.1 Paradigmatic Shift in the Concept of Evaluation

Over the past years, UNICEF, as well as other donors have been preoccupied with significant changes in the landscape of development that have accordingly implications for the evaluation function. Focus is becoming more focused on "Change" rather than on "action", on management of development results, on achieving human development, human rights, public accountability and more of national ownership. Whilst evaluating outcomes and processes remains important, results based management in the context of the MDGs puts a greater emphasis on measuring impact. There is more widespread public interest, internationally, in the impact of development interventions and the efficient use of funding. Evaluation thus came to strengthen accountability by documenting the allocation, use and results of its development assistance, and as well strengthen transparency by insisting to publish and disseminate evaluation reports.

The following is a matrix that demarcates the shift in the concept of evaluation in international development, and that is adapted from the Department for International Development in UK[24].

[24] Adapted from: "Guidance for Evaluation and Review for DFID Staff", 2005.

Paradigmatic Shift in the Concept of Evaluation

From	To
Interim project reviews involving **independent teams of consultants** with representatives of implementing agencies	Interim project reviews carried out as audited **internal processes**
Mostly **project** level evaluations	**More larger scale** sector-wide, thematic **country level and synthesis evaluations**
Mostly commissioned and managed by the **individual** funding agencies	More **joint evaluation** (jointly funded, jointly commissioned and jointly managed)
Development partners in country formally involved in specifying the terms of reference	Development partners in country more involved in the **specification and management of the evaluation**
Donors primarily interested in the results and recommendations **of the evaluations they fund**	Country-led **poverty reduction** processes become the locus for evaluation effort, with partner countries commissioning and increasingly interested in the results and the recommendations
	Partner countries beginning to evaluate the **contribution of the donors** to their development priorities
Poor dissemination of evaluation reports	Greater **transparency and** dissemination **of evaluation reports through the Internet**
Agencies more focussed on the efficiency of inputs in relation to outputs	**More concern with outcomes impact and sustainability as part of a** greater interest in results based management
Acceptance of evaluation as central to development effectiveness, less concern about proportional costs and uses of evaluation	**More concern about the** cost-effectiveness of evaluation in relation to performance management **as a route to greater development effectiveness**
Cross-cutting themes of gender, environment, human rights and democracy **emerging**	**The role of** cross-cutting themes **of gender, environment, conflict prevention, human rights and democracy is** better understood and highlighted more in evaluation exercises
Accountability primarily 'upwards' towards the source of the financial flows	**Increasingly mutual accountability** to partners involved in the partnership, and 'downwards' to recipients of aid flows and primary beneficiaries
Limited use of local perspectives and other partner insights	Greater recognition **and use of partner expertise and insight**
Limited focus on evaluating the **process of change**	More **interest in evaluating processes as well as results**
Limited attempts to harmonise donor practices **in evaluation terminology and methodology and reporting requirements**	Greater commitment to harmonising **donor practices**

2.4.2 Internalizing Evaluation Culture

Different international organizations have discovered that the key bottleneck of the evaluation function is not technical capacity, i.e., evaluation practices, but weak evaluation culture. The concept of evaluation culture as a set of values and attitudes supporting processes of systematic, participative reflection on an institution's mission, objectives, strategies and programmes, in order to systematize experiences, generate knowledge, and conduct rigorous validation. They saw that strong evaluation cultures include the daily processes and practices that indicate an understanding of the foundations and principles of M&E; an appreciation of the historic perspective and shared language of evaluation; the incorporation of independent voices within evaluation; and the will to apply the lessons learned.

To strengthen the evaluation culture and function within an organization, the following enabling elements should be in place (UNICEF 1999)[25]:

Leadership support and commitment: Top managers at headquarters, regional and country levels should commit themselves to supporting the evaluation function as a priority strategy for making the organization efficient, effective and self-accountable. In the case of UNICEF, an international organization undergoing major changes shifting from a service delivery to a knowledge-center approach, evaluation is a fundamental function for producing the knowledge needed to support advocacy and social mobilization for strengthening child rights promotion and protection worldwide.

Allocation of human and financial resources: Without adequate financial resources, evaluation has greatly diminished impact. Low quality evaluations make it impossible to create relevant knowledge of sufficient weight to improve organizational learning and influence the decision-making process. In fact, many experts suggest that it would be better to focus on a few high-quality evaluations of genuine relevance to an organization rather than many low quality evaluations that lie ignored on the desk of some specialized people.

An organization that is risk-tolerant: That is, an organization that stimulates innovation and risk-taking, allowing staff to learn from mistakes and negative experiences. If the organizational environment is risk-averse, no one will want to evaluate or be evaluated because of the possible professional and personal consequences. Risk tolerance doesn't mean that the organization should accept any mistake committed, but that it should allow staff to take calculated risks.

[25] New Trends in Development Evaluation, Evaluation Working Papers, UNICEF Regional Office for CEE/CIS and IPEN, Issue # 5, 2006

2.4.3 Common Concerns and Directives about Evaluation[26]

Concerns

Concern #1: Evaluation diverts resources away from the program and therefore harms participants.

This is a common concern in most programs. However, because evaluation helps to determine what does and does not work in a program, it is actually beneficial to program participants. Without an evaluation, you are providing services with little or no evidence that they actually work!

Concern #2: Evaluation increases the burden for program staff

Often program staff are responsible for collecting evaluation information because they are most familiar with, and have the most contact with program participants. Despite this potential for increased burden, staff can benefit greatly from evaluation because it provides information that can help them improve their work with participants, learn more about program and participant needs, and validate their successes. Also, the burden can be decreased somewhat by incorporating evaluation activities into ongoing program activities.

Concern #3: Evaluation is too complicated

Program managers often reject the idea of conducting an evaluation because they don't know how to do it or whom to ask for help. Although the technical aspects of evaluation can be complex, the evaluation process itself simply systematizes what most program managers already do on an informal basis - figure out whether the program's objectives are being met, which aspects of the program work, and which ones are not effective. Understanding this general process will help you to be a full partner in the evaluation, even if you seek outside help with the technical aspects.

Concern #4: Evaluation may produce negative results and lead to information that will make the program look bad

An evaluation may reveal problems in accomplishing the work of the program as well as successes. It is important to understand that both types of information are significant. The discovery of problems should not be viewed as evidence of program failure, but rather as an opportunity to learn and improve the program. Information about both problems and successes not only helps your program, but also helps other programs learn and improve.

Concern #5: Evaluation is just another form of monitoring

Program managers and staff often view program evaluation as a way for funders to monitor programs to find out whether staff are doing what they are supposed to be doing. Program evaluation, however, is not the same as monitoring. Sometimes the

[26] US department for Health and Human Services, Administration for Children and Families, Office of Planning, Research and Evaluation

information collected to monitor a program overlaps with information needed for an evaluation, but the two processes ask very different questions.

Concern #6: Evaluation requires setting performance standards, and this is too difficult

Many program managers believe that an evaluation requires setting performance standards, such as specifying the percentage of participants who will demonstrate changes or exhibit particular behaviors. Program staff worry that if these performance standards are not met, their project will be judged a failure.

This concern is somewhat justified because often funders will require setting such standards. However, performance standards can only be set if there is extensive evaluation information on a particular program in a variety of settings. Without this information, performance standards are completely arbitrary and meaningless. The type of evaluation discussed in this manual is not designed to assess whether particular performance standards are attained because most programs do not have sufficient information to establish these standards in any meaningful way. Instead, it will assess whether there has been significant change in the knowledge, attitudes, and/or behaviors of a program's participant population in general and whether particular characteristics of the program or the participants are more or less likely to promote change.

Directives

You can maximize the benefits that evaluation offers by following a few basic directives in preparing for and conducting your evaluation.

Directive #1: Invest heavily in planning

Invest both time and effort in deciding what you want to learn from your evaluation. This is the single most important step you will take in this process. Consider what you would like to discover about your program and its impact on participants, and use this information to guide your evaluation planning.

Directive # 2: Integrate the evaluation into ongoing activities of the program

Program managers often view evaluation as something that an outsider "does to" a program after it is over, or as an activity "tacked on" merely to please funders. This approach greatly limits the benefits that program managers and staff can gain from an evaluation. Planning the evaluation should begin at the same time as planning the program so that you can use evaluation feedback to inform program operations.

Directive # 3: Participate in the evaluation and show program staff that you think it is important

An evaluation needs the participation of the program manager to succeed. Often, an outside evaluator is hired to conduct the evaluation; however program managers must be full partners in the evaluation process. An outside evaluator cannot do it alone. You must teach the evaluator about your program, your participants, and your objectives.

Also, staff will value the evaluation if you, the program manager, value it yourself. Talk about it with staff individually and in meetings. If you hire an outside evaluator to conduct the evaluation, be sure that this individual attends staff meetings and gives presentations on the status of the evaluation. Your involvement will encourage a sense of ownership and responsibility for the evaluation among all program staff.

Directive # 4: Involve as many of the program staff as much as possible and as early as possible.

Project staff has a considerable stake in the success of the evaluation, and involving them early on in the process will enhance the evaluation's effectiveness. Staff will have questions and issues that the evaluation can address, and are usually pleased when the evaluation validates their own hunches about what does and does not work in the program. Because of their experiences and expertise, program staff can ensure that the evaluation questions, design, and methodology are appropriate for the program's participants. Furthermore, early involvement of staff will promote their willingness to participate in data collection and other evaluation-related tasks.

Directive # 5: Be realistic about the burden on you and your staff

Evaluations are work. Even if your evaluation calls for an outside evaluator to do most of the data collection, it still takes time to arrange for the evaluator to have access to records, administer questionnaires, or conduct interviews. It is common for both agencies and evaluators to underestimate how much additional effort this involves. When program managers and staff brainstorm about all of the questions they want answered, they often produce a very long list. This process can result in an evaluation that is too complicated. Focus on the key questions that assess your program's general effectiveness.

Directive # 6: Be aware of the ethical and cultural issues in an evaluation.

This guideline is very important. When you are evaluating a program that provides services or training, you must always consider your responsibilities to the participants and the community. You must ensure that the evaluation is relevant to and respectful of the cultural backgrounds and individuality of participants. Evaluation instruments and methods of data collection must be culturally sensitive and appropriate for your participants. Participants must be informed that they are taking part in an evaluation and that they have the right to refuse to participate in this activity without jeopardizing their participation in the program. Finally, you must ensure that confidentiality of participant information will be maintained.

2.4.4 Factors to Determine the Focus of Evaluation

The following are a few important criteria to consider in determining the number and/or focus of evaluations to be undertaken in the course of the programme cycle:

- ✓ **Importance of the programme component/thematic area** in terms of resources allocated to it within the country programme;

- ✓ **Duration of organization funding** of the particular thematic area. For instance, if population education has been funded for a period longer than five years, an evaluation of all of the activities within this thematic area is advisable in order to ascertain their impact and sustainability;

- ✓ **Strategic importance of the activities**, for instance in the case of a pilot or innovative project being tested for possible replication or for policy formulation;

- ✓ **Scope and scale of the evaluation,** a desk study of the data produced by the program only, desk study and interviews with key stakeholders, visits to field consulting a sample of stakeholders, or a full participatory evaluation involving meetings and interviews with primary beneficiaries at different sites.

- ✓ **Quality and relevance of information collected** through monitoring activities during programme implementation. Availability of high quality process information and data on programme indicators collected during implementation will greatly facilitate evaluation activities. A data-base of good quality programme process information may eventually eliminate the need for very lengthy and costly evaluation exercises and reduce the number of evaluations required for adequate decision-making;

- ✓ **Cost of undertaking evaluations** which should be commensurate with their influence on programme decisions;

- ✓ **Timing of evaluation exercises** to ensure that evaluation results are available in time for important decisions to be taken;

- ✓ **Capacity of the country office** and programme managers to manage evaluations in light of their workload.

2.4.5 Cost of Evaluation

Program managers are often concerned about the cost of an evaluation. This is a valid concern. Evaluations do require money. Many program managers and staff believe that it is unethical to use program or agency financial resources for an evaluation, because available funds should be spent on serving participants. However, it is more accurate to view money spent on evaluation as an investment in your program and in your participants, rather than as a diversion of funds available for participants. *Evaluation is essential if you want to know whether your program is benefiting participants.*

It is not possible to specify how much money you will need to conduct your evaluation. The amount of money needed depends on a variety of factors, including:

- ➢ Aspects of your program you decide to evaluate;
- ➢ Size of the program (that is, the number of staff members, participants, components, and services);
- ➢ Number of outcomes that you want to assess;
- ➢ Evaluators, thus who will conduct the evaluation;
- ➢ Available evaluation-related resources;
- ➢ Economic differences in communities and geographic locations.

Sometimes funders will establish a specific amount of grant money to be set aside for an evaluation. If the amount of money to be set aside for an evaluation is not specified by a funding agency, you may want to talk to other program managers in your community who have conducted evaluations. They may be able to tell you how much their evaluations cost and whether they were satisfied with what they got for their money. Although a dollar amount cannot be specified, it is possible to describe the kinds of information you can obtain from evaluations at different cost levels.

Lowest cost evaluations

If you spend only a minimal amount of money, you will be able to obtain numerical counts of participants, services, or products and information about the characteristics of participants. You also may be able to find out how satisfied participants were with the services or the training. But this is only the foundation for an evaluation. This information will not tell you whether you have been successful in attaining your participant outcome objectives. Also, at this cost level you will not have in-depth information about program implementation and operations to understand whether your program was implemented as planned, and what results were achieved/ not achieved.

Low-moderate cost evaluations

If you increase your evaluation budget slightly, you will be able to assess whether there has been a change in your participants' knowledge, attitudes, or behaviors, and also collect in-depth information about your program's implementation. However, this is only the framework of an evaluation. At this cost level, you may not be able to attribute participant changes specifically to your program because you will not have similar information on a comparison or control group.

Moderate-high cost evaluations

Adding more money to your evaluation budget will allow you to use a comparison or control group, and therefore be able to attribute any changes in participants to the program itself. At this cost level, however, your information on participant outcomes may be limited to short-term changes-those that occurred during or immediately after participation in the program.

Highest cost evaluations

At the highest cost level, you will be able to obtain all of the information available from the other cost options as well as longer term outcome information on program participants. The high cost of this type of evaluation is due to the necessity of tracking or contacting program participants after they have left the program. Although follow up activities often are expensive, longer term outcome information is important because it assesses whether the changes in knowledge, attitudes, or behaviors that your participants experienced initially are maintained over time.

Basically, as you increase your budget for an evaluation, there is a higher possibility that you gain a corresponding increase in knowledge about your success in attaining your program objectives. This applies if you follow all technical and methodological directives for conducting good evaluations. In many situations, the lowest cost evaluations may not be worth the expense. As a general rule, the more money you are willing to invest in an evaluation (besides other quality assurance considerations), the more useful the information that you will obtain about your program's effectiveness would be, and the more useful and comprehensive these results could be.

CHAPTER THREE

PLANNING EVALUATION

STEPS FOR PLANNING AN EVALUATION

(In coordination between Evaluation Manager and stakeholders)

Step (1):

3.1 Describe the Purpose for Conducting Evaluation with Stakeholders

The best way to decide on the purposes of an evaluation is to identify all who might use the evaluation and then discuss with them what they want the evaluation to do and how they would use its results, what difference the information would make - that it would be possible to do something about the problems disclosed. Potential evaluation users include responsible national officials, policy makers or those with a stake in the project or programme and individuals in organizations related to the activity (*see Annex-3 Checklist to Plan for Evaluation).*

Busy managers may be tempted to assume that the evaluation purposes and specific objectives do not need a lot of attention and simply jump ahead to the methods. However, such an approach ensures that the evaluation report will gather dust on shelves, remaining unused.

Main Reasons for Evaluation

1. **Improving program** design, performance of policies, services, programmes and projects. Evaluations can identify strengths and weakness to improve delivery mechanisms. (Formative evaluation).

2. **Assess program effectiveness**; make an overall judgment about the program effectiveness. Evaluations are conducted for making decisions whether to continue implementing, and funding, an activity. (Summative evaluation).

3. **Enhance learning process for future application**, to know what fosters replication or sustainability. Evaluations are conducted for the lessons they provide to expand the program to a larger scale or to another area.

4. **Required for accountability**, to find out whether program

5. **Produce comparisons between programs** to decide which should be retained. Evaluations could be used to judge which programs should be cut off in case of budget cuts.

6. **Produce data for promoting services** in the community. Evaluations are used to broaden public relations and enhance social marketing.

7. **Verify or increase the impact of the program** on the target audience and program partners. Evaluations are used as a means ensure that there is a sort of positive change in the situation of the target audience.

Step (2):

3.2 Identify Scope and Focus of Evaluation

The following set of questions will help you to think through what the evaluation is about and how it needs to be conducted. Working with the project implementation team, and other key stakeholders who will be interested in the results of the evaluation, will help to better identify the scope and decide on the focus of the evaluation and hence to basically write the first draft of the terms of reference.

1. What are the three most important questions you would want the evaluation to answer?
2. Who should be involved in the evaluation?
3. When is the best timing to conduct this evaluation?
4. What is the scope and scale of the evaluation? - A desk study of the data produced by the project only? A desk study and interviews with key stakeholders? Visits to the field consulting a sample of stakeholders? Or a full participatory evaluation involving meetings and interviews with primary beneficiaries at a number of different sites?
5. What lessons would it be useful to focus on? - Technical lessons, lessons about project management, lessons about the country context?
6. What resources are available? - This shares in determining the scope of the evaluation
7. Who should be on the evaluation team? - special technical background required, someone with special background in governance or in social development for example, someone who knows the country context, someone who knows about UNICEF's policies and procedures, a gender specialist?
8. Who is best administered to do the evaluation? An individual, a team leader with a group of consultants or specialists, or a consulting agency? – What are the key competencies would the team leader need to have in this situation?
9. Who are the target audience/ audiences that are targeted to receive the results of the evaluation? (Dissemination strategy)

Step (3):

3.3 Pull Out Resources to Commission Evaluation

Early in planning an evaluation make an estimate of required resources, taking into consideration that resources are not only financial but also includes the non-financial or indirect costs of the evaluation, the time and effort that people involved must contribute, when away from the irregular work. At least a rough budget for the activity is therefore needed as part of up-front planning.

Consider the following factors that basically influence the evaluation financial cost.

1. Size of the program and the different aspects to be evaluated;
2. Methodology and design of evaluation, thus surveying and sample size... etc;
3. Number of evaluator, and financial remuneration for them,
4. Geographic locations to be visited, and travel costs;
5. Reproduction of evaluation report and dissemination plan.

Checklist for Evaluation Budgeting[27]	
Staff salary and benefits	The amount of time staff members must spend on M&E activity. Distinguish different levels of expertise necessary to perform certain tasks, as this will affect salary costs.
Consultants	Consider going rates for consultants in the area of expertise required, taking into account whether consultants are international or national.
Travel	Travel and daily subsistence expenses for staff and/or external consultants — travel to the country if M/E experts are external, as well as travel to sample sites.
Costs of surveys and data processing	This covers the cost of preparation of questionnaires and evaluation tools, field coordinators, data collection process, data coding and entry, and data analysis.
Printing and duplication	These costs cover preparation of data-collection instruments, reports, and any other documents.
Communications	These include running costs e.g. telephone, courier, etc.
Support staff	Translators, drivers, and secretaries.
Printed materials	These include the cost of acquiring data-collection instruments and library materials.
Supplies and equipment	Specific items such as computers, packaged software that must be purchased or rented. In crisis and unstable contexts, this may include survival kits, communications equipment.
Non-financial or indirect costs	Planners should consider the non-financial or indirect costs of assessment/ monitoring/evaluation; that is, the time and effort that people involved must contribute when away from their regular work.

Adapted from Worthen and Sanders (1987).

The amount of resources available, determined during programme planning, should be built into the budgets of all the entities supporting the programme financially, including UNICEF, other donors, and the government department implementing the service/ programme. Certainly the amount available influences the scope and methods of the evaluation.

[27] UNICEF Program Policies and Procedural Manual, M&E Training Modules, 3.1.3, Resources Required for M&E.

Developing a "time" budget

The time required will vary depending on the questions the exercise is attempting to answer, the human and financial resources available, and other external factors. It is important to think through timing issues to ensure that a proposed evaluation is feasible and will provide accurate, reliable, and useful information. Many Programmes/projects fail to budget enough time for M&E activities and then find that the results come too late for the intended use.

Checklist to plan out the work calendar for an M&E activity
Have you planned enough time for: • Participation of stakeholders? (Consider how many are to be heavily involved, in which stages, and how will this fit with their competing priorities) • Recruiting external M/E experts? • Orientation and training of M/E teams? • Pilot testing? • Administrative procedures (passes or formal permissions to travel or access interviewees)? • Logistical mishaps or delays in data collection (transportation, weather/mobility constraints)? • Data cleaning and processing? • Data analysis? • Drafting? • Validation and review?

Step (4):

3.4 Develop Comprehensive Terms of Reference (TOR)

The Terms of Reference (TOR) is expected to cover the basic information about the project subject for evaluation, purpose and scope of evaluation, and the what are the results expected to come out of this evaluation. It lists the evaluation background as well as products the evaluator(s) is/are expected to deliver should be drafted (see *Annex-4 for model TOR template* and *Annex-5 for UNICEF detailed TOR for evaluation)*.

The TOR includes the following sections.

- ***Background*** information on the history and current status of the programme/project being evaluated, including how it works (its objectives, strategies and management process), duration, budget and important stakeholders such as donors, partners, implementing organizations;
- ***Purpose*** of the evaluation and who are its stakeholders; specify why the evaluation is being requested and what the information will be used for;

- ***Evaluation scope and focus*** In consultation with stakeholders identify the major evaluation objectives and questions in accordance with evaluation criteria such as: relevance, validity of design, effectiveness, efficiency, sustainability, impact, factors affecting performance, alternative strategies and unanticipated results.

- ***Evaluation methodology*** Describe the data gathering instruments and methods of analysis. The methodology may be developed with the assistance of the evaluator(s);

- ***Potential Information sources*** to be used by the evaluation such as monitoring, review, evaluation and other reports;

- ***Evaluation process*** To describe the flow of the process and the different sequence of key stages and the different tasks expected to be conducted by the evaluator or the team of evaluators.

- ***Preliminary composition of the evaluation team*** Expected number of team members and their required fields of specialization and competencies.

- ***Involvement of key stakeholders*** Consider internal and external stakeholders and decide on mode and level of their involvement in the evaluation process. Thus, is their involvement going to be liaison, advisory and consultative, technical or financial contribution, or else full participation in the decision making on the evaluation process.

- ***Roles and responsibilities*** Specify the roles and responsibilities of the evaluation manager, the evaluator(s) and the team leader; detail specific tasks to be undertaken as well as the time lines involved. Specify as well the means to protect and limits to evaluators' independence, and any concerns or restrictions related to conflict of interest.

- ***Procedures and logistics support*** required such as services to be provided (equipment, office space, drivers… etc.), working conditions and schedule and special considerations in cases of emergencies. Benefits and arrangements are also included as well as administrative and financial reporting requirements.

- ***Deliverables/ Products*** List products to be delivered, to whom and when. Consider UNICEF standards in the final report and any other related reporting, completed data sets, dissemination and presentation materials if required.

- ***Evaluation budget*** including all budget line items that are considered till the evaluation is completely achieved. Note the source of funds. Link the budget to the key activities or phases in the work plan.

Step (5):

3.5 Involve Stakeholders in the Whole Evaluation Process

According to UNICEF M&E guidelines[28],

- Stakeholders should be consulted in the planning, design, conduct and follow-up of evaluations.

[28] UNICEF Guide for Monitoring and Evaluation: Making A Difference.

- Stakeholders must be identified and consulted when planning the evaluation (key issues, method, timing, responsibilities) and should be kept informed throughout the evaluation process. The evaluation approach must consider learning and participation opportunities (e.g. workshops, learning groups, debriefing, participation in the field visits) to ensure that key stakeholders are fully integrated into the evaluation learning process.

- When feasible, a core learning group or steering group composed of representatives of the various stakeholders in the evaluation may be created. This group's role is to act as a sounding board, facilitate and review the work of the evaluation. In addition, this group may be tasked with facilitating the dissemination and application of the results and other follow-up action.

Participation by parties with a stake in the programming planning, monitoring and evaluation increases the level of **understanding and support** and as well **reduces potential conflicts**. It is argued that compliance and involvement are interrelated phenomena, and that involvement contributes to compliance through the participation process. The literature reveals that participation **enhances compliance** because stakeholders are more knowledgeable about, committed to, and supportive of regulations if they had a say in the process. In addition, participation also leads to **increased legitimacy**. In fact, it has been demonstrated that the perception of legitimacy is linked to the participants' views of the fairness of the process. Furthermore, participants who view the process as legitimate generally feel a strong obligation to comply with the results, even if the mandates contradict their self-interests.

Meaningful Stakeholders' Participation[29]

Meaningful participation occurs when people see that their contributions to the process have helped shape a decision. Such participation can be fostered by enhancing stakeholders' participation in the generation and application of information, providing opportunities to increase their sense of commitment towards achieving results.

Some of principal participatory methods with stakeholders are:

- **Semi-structured interviews** - list of topics/themes to explore with stakeholders, gatekeepers, and residents, both male and female.
- **Focus group** - assigning discussion about a set of topics or guiding questions, and then handing over to the community followed by discussion with probes, conducted with men and women separately, occasionally with youth.
- **Community/ Village walk talks** - viewing achievements and problems in the community; seeing aspects of everyday community life; conducted with community animator/ coordinator and some residents
- **Participatory observation** - eating and sleeping in the community, using community facilities; seeing their shops, storerooms, latrines, homes, etc.
- **Participatory plenary/large meetings** with multiple stakeholders (using idea cards); conducted with sectoral and intersectoral groups plus community animators and coordinators.

[29] Stakeholder Participation: A Synthesis of Current Literature

CHAPTER FOUR

CONTRACTNG AND MANAGING EVALUATIONW

4.1 Select the Appropriate Evaluator(s)/ Evaluation Team

The choice of a competent evaluator who is relevant to the issue to be evaluated is one of the principal factors for the effectiveness of evaluations. The evaluation purpose, methods and resources available will determine the level and number of evaluator(s). In case of selecting an evaluation team, consider the individual expertise and experience of each of the team members as well as the ability to function as member of a team.

There are three basic steps for finding an evaluator.

Step 1: Locate sources for evaluators.

Potential sources useful for finding an evaluator include the following:

⇒ Roster for consulting firms and individual consultants

⇒ Other UN agency

⇒ UNICEF regional office

⇒ Donor agencies that have used outside evaluators.

⇒ Evaluation divisions of State or local agencies.

⇒ Local colleges and universities (departments of sociology, psychology, social work/social welfare, education, public health, and public administration, and university-based research centers are possible sources within colleges and universities.

⇒ Research institutes and consulting firms.

⇒ National advocacy groups and local foundations

Step 2: Advertise and solicit applications

Advertising in the local paper, posting the position at a local college or university, or working with your local government's human resource department (if you are a public agency) are possible ways of soliciting applications. Agency newsletters, local and national meetings, and professional journals are additional sources where you can post your advertisement. Several advertising sources will ensure that you receive multiple responses.

Note: You should build in as much time as possible between when you post the position and when you plan to review applications.

If you have sufficient time, you may want to consider a two-step process for applications. The position would still be advertised, but you would send evaluators who respond to your advertisement more detailed information about your evaluation requirements and request a description of their approach. For example, you could send potential evaluators a brief description of the program and the evaluation questions you want to answer, along with a description of the community you serve. This would give them an opportunity to propose a plan that more closely corresponds to your program needs.

Step 3: Review applications and interview potential candidates

In reviewing applications, consider the following:

- ⇒ Candidate's writing style;
- ⇒ Type of evaluation plan proposed;
- ⇒ Language (jargon free);
- ⇒ Experience working with your type of program familiarity with subject area;
- ⇒ Experience conducting similar evaluations;
- ⇒ Experience in working with UN agency;
- ⇒ Proposed costs

After you have narrowed your selection to two or three candidates, you are ready to schedule an in-person interview. This interview will give you the opportunity to determine whether you and the evaluator are compatible. As you do for other job applicants, you will need to check references from other programs that worked with your candidate.

Competencies and Ethics: Evaluation managers should have a list of competencies and ethics to review in assessing evaluators.

NOTE: to manage problems of hiring or managing evaluators, refer to section 4.5 and 4.6 of this chapter.

4.2 Contract the Evaluator/ Evaluation team

Initiating a contract

A major step in managing an evaluation is the development of a contract with your outside evaluator. It is important that your contract include the following:

1. ***Ownership of evaluation information?*** It is important to specify who has ownership and to whom the information can be given. Release of information to outside parties should always be cleared with appropriate agency staff.

2. ***Publishing evaluation results:*** Any plans for publishing the evaluation results should be discussed and cleared before articles are written and submitted for publication. It is important to review publication restrictions from the funding agency. In some instances, the funding agency may have requirements about the use of data and the release of reports.

3. ***Performance of evaluation tasks:*** The contract should clarify who is to perform the evaluation tasks and the level of contact between the evaluator and the program. Some program managers have found that outside evaluators, after they are hired, delegate many of their responsibilities to less experienced staff and have little contact with the program managers or staff. To some extent, a contract can protect your program from this type of situation.

   If this happens, even after specification of tasks, you may want to talk with the senior evaluator you originally hired to offer the option of renegotiating his or her role. The resolution should be mutually agreeable to program staff and the evaluator and not compromise the integrity of the evaluation or program. The contract should specify the responsibilities of program staff as well as the evaluator. These responsibilities may vary depending on the structure of your evaluation and the amount of money you have available. The exhibits at the end of this chapter provide some guidelines on roles and responsibilities.

4. ***Your expectations about the contact between the evaluator and program staff*** It is very important for an outside evaluator to keep program staff informed about the status of the evaluation and to integrate the evaluation into ongoing program operations. Failure to do this shortchanges program staff and denies the program an opportunity to make important changes on an ongoing basis. The contract could specify attendance at staff meetings and ongoing reporting requirements. Setting up regular meetings, inviting evaluators to program events and staff meetings, and requiring periodic reports may help solidify the relationship between the program and the evaluation. Other approaches that may help include asking a more senior agency staff member to become involved with the evaluation process or withholding payment if the evaluator fails to perform assigned tasks.

Note: The contract should go precisely in accordance with the TOR (s*ee Annex-6 Checklist for Contracting Consultants). See also Annex-7 Code of Conduct to be signed with evaluators as a part of the contracting procedures.*

4.3 Brief the Evaluation Team and Set the Ground for Action[30]

You need to plan carefully for this initial briefing session. Make sure of the following:
- Everyone is properly introduced to key people.
- Provide the background information to the project and access to all the key documents.
- Check the evaluation stages and agree how you and the evaluation team will communicate with each other during the course of the evaluation. The evaluation team will be keen to understand what you expect to get out of the evaluation.
- You may wish for other key stakeholders to be present at this briefing too, so that they can explain their expectations of the evaluation.

Depending on how the evaluation is organized, you may have arranged for the initial briefing to include a presentation, questions and answers session with the project

[30] Guidance on Evaluation and Review for DFID Staff, 2005

implementation team The more comprehensive the briefing at this point, the more this will help the evaluators to get hold of the big picture before they start the data collection.

Good evaluation processes result from clear and open communication between the evaluation manager and the evaluation team. At this first briefing session you have an opportunity to set the tone for this. Since the briefing session may be the first occasion when the members of the evaluation team come together, it is important that your session helps them to gel together as a team (see *Annex-8 Matrix for Facilitating and Managing Evaluation).*

The relationship between the evaluator and the commissioner of an evaluation must, from the outset, be characterized by mutual respect and trust. Both should ensure a clear and common understanding of the evaluation objectives, work modalities, evaluation indicators, roles and responsibilities, and exact deliverables

Careful selection of an outside evaluator, or an evaluating firm, and managing him/ her efficiently can make you avoid lots of challenges and help you to achieve a successful evaluation and a quality produced report. You will experience the maximum benefits from an evaluation if you hire an evaluator who is competent, has minimum level of ethical standards and ethics, and is willing to work with you and your staff to help you better understand your program and discover what program components may need refining. If you build a good relationship with your evaluator, you can work together to ensure that the evaluation remains on track and provides the information you and your funding agency want.

4.4 Roles and Responsibilities of the Evaluation Team

It might be important involve local consultants, and based on the specificity of the situation, to ensure a gender balance across the team. It may also be crucial to have the perspectives of local and national representatives and women evaluators represented within the evaluation team. Of an important concern is the need to check the CVs of the team with the key stakeholders to share responsibility and ownership.

A range of skills is needed in evaluation work. It is therefore important to:

- Identify team members as early as possible
- Agree upon roles and responsibilities of team members
- Establish mechanisms for communication during key points of the evaluation

Different responsibilities expected to be implemented by evaluation team include the following:

1. Evaluation management
2. Analysis (both economist and other social scientist),
3. Sampling
4. Survey designing
5. Fieldwork managing
6. Fieldwork team
7. Data management and processing

Depending on the size, scope, and design of the evaluation, some of these responsibilities will be shared or other staffing needs may be added to this core team.

In cases in which analysts may not have had experience integrating quantitative and qualitative approaches, it may be necessary to spend additional time at the initial team building stage to sensitize team members and ensure full collaboration. The broad responsibilities of team members could include the following:

a) Potential Responsibilities of the Evaluator

- Rake the lead in conducting agreements with evaluation Project manager.
- Establishing information needs and indicators for evaluation.
- Develop an evaluation plan, in conjunction with program staff and evaluation manager.
- Designing the surveys and data collection instruments, and having the responsibility for the pilot testing and refining the questionnaires.
- Train project staff. Training topics could include:
  - ✔ Using evaluation instruments, information collection activities, participant/case selection for sampling purposes, and other activities.
  - ✔ Designing information collection instruments or selecting standardized instruments or inventories.
- Implement information collection procedures such as:
  - ✔ Conduct interviews or supervise those who assist him/ her in conducting interviews
  - ✔ Conduct focus groups.
  - ✔ Review participant case records
  - ✔ Develop database.
  - ✔ Code, enter, and clean data.
  - ✔ Analyze data.
- Establish procedures ensuring confidentiality during all phases of the evaluation.
- Write evaluation reports and the final evaluation report.
- Attend formal meetings with evaluation manager and assist in presenting findings.

b) Potential Responsibilities of the Program Manager

- Educate the outside evaluator about the program's expected results and operations, characteristics of the participant population, and the benefits expected from the evaluation. This may involve alerting evaluators to sensitive situations (for example, the need to report suspected child abuse) they may encounter during the course of their evaluation activities. In many cases, the evaluation manager will also carry out policy analysis.
- Provide feedback to the evaluator on whether instruments are appropriate for the target population and provide input during the evaluation plan phase.
- Keep the outside evaluator informed about changes in the program's operations.

- Specify information the evaluator should include in the report.
- Assist in interpreting evaluation findings.
- Provide information to all staff about the evaluation process.
- Monitor the evaluation contract and completion of work products (such as reports).
- Ensure that program staff is fulfilling their responsibilities (such as data collection).
- Supervise in-house evaluation activities, such as completion of data collection instruments, and data entry.
- Serve as a trouble-shooter for the evaluation process, resolving problems or locating a higher level person in the agency who can help.
- Request a debriefing from the evaluator during the evaluation and at its conclusion.

(See Annex-9 – Checklist for roles of Evaluation managers and Evaluation teams).

A comprehensive evaluation team include the following members:

◊ ***Sampling expert[31]:*** the sampling expert can guide the sample selection process. For quantitative data, the sampling expert should be able to carry out power calculations to determine the appropriate sample sizes for the indicators established, select the sample, review the results of the actual sample versus the designed sample, and incorporate the sampling weights for the analysis. For qualitative data, the sampling expert should guide the sample selection process in coordination with the analyst, ensuring that the procedures established guarantee that the correct informants are selected. The sampling expert should also be tasked with selecting sites and groups for the pilot test.

◊ **Fieldwork manager and staff**: the manager should be responsible for supervising the entire data collection effort, from planning the routes for the data collection to forming and scheduling the fieldwork teams, generally composed of supervisors and interviewers. Supervisors generally manage the fieldwork staff (usually interviewers, data entry operators, and drivers) and are responsible for the quality of data collected in the field.

◊ ***Data managers and processors***: these team members design the data entry programs, enter the data, check the data's validity, provide the needed data documentation, and produce basic results that can be verified by the data analysts.

[31] The lead consultant could take the responsibility for doing the sampling process, or might include one member in the team to take this responsibility of the whole sampling process.

Tips in Building Evaluation Team

In building up the evaluation team, there are also some important decisions that the evaluation manager must make about local capacity and the appropriate institutional arrangements to ensure impartiality and quality in the evaluation results.

- Whether there is local capacity to implement the evaluation, or parts of it, and what kind of supervision and outside assistance will be needed. If the appropriate local capacity is not available, then an international capacity is opted for.
- It is important to designate an evaluation manager who will be able to work effectively with the data producers as well as the analyst and policymakers using the data and the results of the evaluation.
- Whether to work with a private firm or an individual consultant. Private firms can be more dependable with respect to providing results on a timely basis. Whichever counterpart or combination of counterparts is finally crafted, a sound review of potential collaborators' past evaluation activities is essential to making an informed choice.
- What degree of institutional separation to put in place between the evaluation providers and the evaluation users. There is much to be gained from the objectivity provided by having the evaluation carried out independently of the institution responsible for the project being evaluated.
- The evaluation users, who can range from policymakers in government agencies in client countries to NGO organizations, donors… must remain sufficiently involved in the evaluation to ensure that the evaluation process is recognized as being participatory and legitimate and that the results produced are relevant to their information needs. Otherwise, the evaluation results are less likely to be used to inform policy.

4.5 What to do when you have trouble hiring an evaluator?

Despite your best efforts, you may encounter difficulties in hiring an outside evaluator, including the following:

Few or no responses to your advertisement. Programs might struggle to obtain but few responses to their advertisements. Consult with other organizations in your country (UN organizations, donor organizations,… etc), or check with your regional office to find out whether they can offer you suggestions, or else check with UNEG group or with New York office.

None of the applicants is compatible with program philosophy. If applicants do not match program needs, you may find it helpful to network with other programs and agencies in your State to learn about evaluators that agencies like yours have used. A compatible philosophy and approach is most important — tradeoffs with proximity to the evaluator may need to be made to find the right evaluator.

The outside evaluator's proposed costs are higher than your budgeted amount. In this instance, you will need to generate additional funds for the evaluation or negotiate with your evaluator to donate some of their services (in-kind services).

Potential option: It is possible also to negotiate with a university professor to supervise advanced degree students to conduct some of the evaluation activities. Information about participants and programs is a valuable resource, providing confidentiality is respected. For example, you can allow a university professor to have access to program information and possibly to other evaluation records in exchange for evaluation services such as instrument development or data analysis.

NOTE: An outside evaluation does not exclusively manage an evaluation

Often, when the decision is made to hire an outside evaluator, program managers and staff believe that the evaluation is "out of their hands." *This is not true*. An outside evaluator cannot do the job effectively without the cooperation and assistance of program managers and staff.

An evaluation is like any activity taking place within your agency — it needs to be managed. Program managers must manage the evaluation just as program operations are managed. An evaluation needs to be treated with a considerable level of priority.

4.6 Possible Problems with Evaluators and Suggested Solutions

Even with the best contract, problems can arise during the course of the evaluation process. These problems include the following:

Problem: Evaluation approaches differ (the program and evaluator do not see eye-to-eye).

Solution: Try to reach a common ground where both programmatic and evaluation constraints and needs are met. If many reasonable attempts to resolve differences have been tried and severe conflicts still remain that could jeopardize the program or the evaluation, program staff should consider terminating the evaluation contract. This decision should be weighed carefully and discussed with your funder, as a new evaluator will need to be recruited and brought up to speed midstream. In some situations, finding a new evaluator may be the best option. Before making this decision, however, you will need to discuss this with your program funders, particularly if they are providing financial support for the evaluation.

Problem: Evaluation of the program requires analysis skills outside your original plan.

Solution: You may find that your evaluator is in agreement with your assessment and is willing to add another person to the evaluation team who has expertise and skills needed to undertake additional or different analyses. Many times additional expertise can be added to the evaluation team by using a few hours of a consultant's time. Programmers, statisticians, and the like can augment the evaluation team without fundamentally changing the evaluation team's structure.

Problem: The evaluator leaves, terminates the contract, or does not meet contractual requirements.

Solution: If the evaluator leaves the area or terminates the contract, you will most likely be faced with recruiting a new one. In some instances, programs have successfully maintained their ties to evaluators who have left the area, but this is often difficult. When your evaluator does not meet contractual requirements and efforts to resolve the dispute have failed, public agencies should turn the case over to their procurement office and private agencies should seek legal counsel.

Problem: The evaluator is not culturally competent or does not have any experience working with your community and the participants.

Solution: not always possible to locate an evaluator with both experience in the type of evaluation that you need and experience working with specific groups and subgroups in the community. If your evaluator does not have experience working with the particular group reached by the program, you must educate this person about the culture (or cultures) of the participants' community and how it might affect the evaluation design, instruments, and procedures. The evaluator may need to conduct focus groups or interviews with community members to make sure that evaluation questions and activities are both understood by and respectful of community members.

Problem: You are not happy with the evaluator's findings.

Solution: Sometimes program managers and staff discover that the evaluator's findings are not consistent with their impressions of the program's effectiveness with participants. Program staff believes that participants are demonstrating the expected changes in behavior, knowledge, or attitudes, but the evaluation results do not indicate this. In this situation, you may want to work with your evaluator to make sure the instruments being used are measuring the changes you have been observing in the program participants. Also, remember that your evaluator will continue to need input from program staff in interpreting evaluation findings.

You may also want your evaluator to assess whether some of your participants are changing and whether there are any common characteristics shared by participants that are or are not demonstrating changes. However, be prepared to accept findings that may not support your perceptions. Not every program will work the way it was intended to, and you may need to make some program changes based on your findings.

CHAPTER FIVE

CONDUCTING EVALUATION

5.1 Agree on the Design of the Evaluation Plan with the Evaluation Team

Evaluators are expected to perform a thorough review of all relevant information sources to bring a fully informed perspective to preparation of work plan and evaluation design. Potential sources include:

1) Terms of Reference
2) File reviews and project/ program documents
3) Yearly, semi-annual or quarterly reports
4) Base line surveys/ Rapid assessment, mid reviews or evaluations… etc. or any kind of research conducted at the beginning or at the midst of the project/ program implementation.
5) Literature searches,
6) UNICEF research guides, rules and ethics, and reporting standards
7) Consultations with UNICEF personnel, stakeholders and others having knowledge relevant to the project/ program (via face–to–face meetings, electronic mails and phone calls… etc.).

Once approved by UNICEF, the work plan becomes the key management document for the evaluation, guiding delivery in accordance with the UNICEF expectations throughout the performance of contract. In preparing work plans, evaluators are expected to build on what was put forward in the TOR to identify what is feasible, suggest refinements and provide elaboration. (See *Annex-10 Key Steps for Carrying Evaluation Activities)*.

Evaluation Plan

- An evaluation plan is a written document that specifies the evaluation design and details the practices and procedures to use to conduct the evaluation.
- The evaluator has the technical expertise, but program people have the program expertise. Both are necessary for a useful evaluation plan.
- Development of the evaluation plan is the responsibility of the outside evaluator, based on the TOR and on the information provided from the program people.
- Developing the evaluation plan is significant to ensure that design and methodology are technically correct and appropriate for answering the evaluation questions.
- An evaluation plan should be developed at least 3 to four weeks the start, in order to have enough time to do any necessary changes if needed.
- Do not begin collecting evaluation information until the plan is completed and the instruments have been pilot-tested.

The Evaluation plan should include the following:

1. **The evaluation framework:** It presents the program goal and objectives, evaluation questions, and the timeframe for the evaluation (when collection of evaluation information will begin and end). The evaluation design should clearly spell out the evaluation criteria against which the subject to be evaluated will be assessed. The most commonly applied **evaluation criteria** are: relevance, efficiency, effectiveness, impact, value-for-money, client satisfaction and sustainability. Criteria for humanitarian response should also include: coverage, coordination, coherence, connectedness and protection. Not all criteria are applicable to every evaluation.

2. **Evaluating implementation objectives - procedures and methods. It provides** detailed descriptions of the practices and procedures that will be used to answer evaluation questions.

3. **Types of information needed:** Any information that is collected about your program or participants can be considered evaluation data. The types of information needed will be guided by the objective you assess.

4. **Sources of necessary information:** This refers to where, or from whom, you will obtain evaluation information. Again, the selection of sources will be guided by the objective you are assessing.

5. **Sampling and selection of sources of information:** This includes the sampling process, sampling formula, sample size and selection criteria.

6. **Methods for collecting information[32]:** For each implementation objective you are assessing, the evaluation plan must specify how information will be collected

There are a number of methods for collecting information. The methods selected will depend on the evidence you need to establish, the availability of sources and also on the available evaluation resources. The instruments or forms that you will use to collect evaluation information should be developed or selected as part of the evaluation plan. Do not begin an evaluation until all of the data collection instruments are selected or developed.

For confidentiality purpose, it is important part of implementing an evaluation is ensuring that your participants are aware of what you are doing and that they are cooperating with the evaluation voluntarily.

7. **Timeframe for the collection of information.** Although you will have already specified a general timeframe for the evaluation, you will need to specify a time frame for collecting data relevant to each implementation objective. Times for data collection will again be guided by the objective under assessment.

[32] **Check if any context-sensitive considerations must be made before the research.** Each context has unique features, such as culture and beliefs, nature of issues evaluated, rate of change in the environment… etc. How do these features influence your information collection?

8. **Methods for analyzing information.** This section describes the practices and procedures for use in analyzing the evaluation information. The analysis may involve tabulating frequencies (of services and participant characteristics) and classifying narrative information into meaningful categories.

9. **Field or Pilot-testing information collection instruments.** This could include a discussion of plans for pilot-testing and revising information collection instruments.

10. **Procedures for managing and monitoring evaluation.** This section can be used to describe the procedures used to manage the evaluation. This includes roles and responsibilities of different team players, training of data collectors… etc. in order to ensure consistency in information collection. It could also discuss how potential changes or problems in the program will be handled in the evaluation.

11. **How will you report the information?**
    How the evaluation results are reported depends on the nature of the audience and the decisions that must be made about the project. For example, you might provide an extensive written report or a presentation to a group of people.

12. **After you are done with drafting the evaluation plan, share the evaluation plan with potential reviewers for comments.** Potential reviewers could include:
    - Agency administrators who can determine whether the evaluation plan is consistent with the agency's resources and evaluation objectives.
    - Program staff that can provide feedback on whether the evaluation will involve an excessive burden for them and whether it is appropriate for program participants.
    - Advisory board members who can assess whether the evaluation will provide the type of information most important to know.
    - Participants and community members who can determine if the evaluation instruments and procedures are culturally sensitive and appropriate.

    (See Annex-11 Scoring Evaluation plans).

5. 2 Conducting Field Missions

Reflecting on the following considerations may help you to visualize the challenges ahead, and establish some basic values for keeping the evaluation focused on what is to be accomplished:

Before Field Missions

Special Considerations Before Field Missions	
Stakeholder participation	Early on, the evaluator should develop a strategy that sets out how key stakeholders are to be consulted during the field trip. The mapping of stakeholders helps to ensure adequate coverage and representation.
Be selective about information collection	Simply put, not every tidbit of information needs to be collected to know what is going on. It is important to be selective in order to achieve optimal value, while remaining cost–effective.

Stay receptive To better ideas	Be ready to learn from the information being collected. Options may surface for delivering better results. Your mind–set should be receptive to intuitive, midstream decision–making that exploits potentially rewarding opportunities.
Share what is being learnt	Opportunities for sharing what you're learning with stakeholders (during information collection) should be exploited to build credibility and stronger relationships.
Provide the organization commissioning evaluation a complete picture of what is happening	Make sure that CIDA management gets accurate, factual, balanced reporting from the field. Often, only 'good news' is received, while developing issues and problems are ignored. This approach can prove costly.

Checklist before Conducting Field Missions

Going through the following checklist would help you to feel more confident that you're ready before heading out on a field mission:

Checklist – Before Conducting Field Missions
✓ Has the Evaluation Manager discuss all protocol requirements or specific recommendation to be followed in the field location? ✓ Did you lately contact the Evaluation manager to receive final technical tips and ensure common understanding of the different steps of the field mission plan. ✓ Has the evaluation team confirmed the exact itinerary and important documentation? ✓ Have the travel, transportation, accommodation and all logistics been clearly communicated and are at convenience? ✓ Are your travel documents complete? Do you have the necessary security clearance, medical/health stuff and all your required treatments? ✓ Are the information collection opportunities adequate and affordable? ✓ Are field key persons clear after a full range of communication to clarify field mission and arrange the site, stakeholders and target audience? ✓ Do you have the agreed upon final schedule for your field visit? ✓ Is your strategy and techniques for stakeholder participation prepared? ✓ Are you ready to brief key field personnel and stakeholders on arrival?

During Field Missions

Tips During Conducting Field Missions	
Respect and accommodate local contexts	Understand the context that you are functioning in and always remain cognizant of the dynamics at play (and responsive to their implications). Demonstrate cultural sensitivity and make accommodations for local beliefs and customs.
Minimize disruptive impacts	Evaluations are intrusive, placing additional demands on individuals and disrupting day–to–day operations. Keep things simple and minimize the burden.
Countering negativity	Reluctance to participate and antagonism in the field is best countered by: 1) emphasizing constructive elements, 2) keeping participants involved and fully informed through regular meetings, and 3) maintaining open/ frank communications with local stakeholders.
Staying on track	Leadership is an important key in keeping stakeholders/partners working towards your objectives. Frequent indications of progress are important for motivating the participants. Deal with emerging issues promptly and don't allow interpersonal conflicts to dominate the agenda. Address any misunderstandings or misinterpretations quickly before they can cause larger problems.
Respecting ethics	Unless ethical standards are respected, the credibility of your evaluation may be jeopardized. Competency in delivery, integrity in relationships and accountability in performance are keys.
Dealing with fundamental differences in values	It might happen that you run into conflicts with partners due to fundamental differences in values. Your response should negotiate the delicate balance between sensitivity to local practices and respect for the objectives of your mission.
Staying disciplined, yet being adaptable	The evaluation plan is your prescription for meeting the evaluation objectives. It offers a path for answering the evaluation questions that needs to be adhered to in bringing the evaluation to a successful conclusion. Yet the realities of fieldwork often embody elements that can interfere with your plans. Being adaptive, creative and innovative in overcoming such hurdles will help keep the evaluation on track. New ideas may come to light during the field mission that could improve the persuasiveness of your results. Their value should not be lost but by all means, new approaches should be discussed with Evaluation Manager before they are implemented.
Information problems that may arise	Your leadership and personal skills may be called upon to deal with: o Denials about the existence of information o The absence of good information for answering questions o Deficiencies in the volume or quality of information o Questionable validity/reliability o Contradictory information o Sensitive information that is difficult to report, and o Evidence of wrongdoing.

Working through difficulties	Evaluators are often faced with unanticipated challenges during field work. In some cases, difficulties can be resolved by simply applying fundamental values and ethics, and/or proven management practices. Issues, however, can be more complex with unique dimensions demanding unique solutions. The art of negotiation can be a valuable asset. It is important that you always consult with main partners/ stakeholders to discuss what should be done.

5.3 Data Collection

Once you have refined your evaluation questions and determined what evaluation methods to use, you and your evaluation team are ready to collect data. The next step is to examine the existing information through different techniques or methods of data collection *(See Annex-12 Different Methods of Data Collection)*. Important questions to ask include[33]:

Why do you collect this information?

- How is it currently used?
- Can it help you address your evaluation questions? How?
- What is still missing?
- Are there other sources of information for what is missing?

Checklist – Before Conducting Field Missions
• "Collect only the information you are going to use, and benefit from the information you collect". • Working in a team gives you more opportunity to get clear and comprehensive picture on data collection, to prioritize together what is more significant, realistic and doable. • Do not collect data except if they are needed to respond directly or indirectly to evaluation questions, thus they are relevant and functional. • Lots of data and information generate complex situation, and it becomes difficult to stay focused on the core and specific issues to be addressed. • Data collection step helps the evaluation team to constantly revise the evaluation design and methods, and to examine how the evaluation process is received by stakeholders from whom the information is collected. • Always start the data collection process with the examination of the existing data, so as not to squander time, effort and money. • It is always recommended to cross check information from different sources (concept of triangulation), and give special attention to community members and direct line staff as they are prime sources of information.

[33] Evaluation Handbook, WK Kellogg Foundation, 1998.

5.4 Data Analysis and Interpretation

After designing an evaluation and collecting data, the information is then coded, analyzed, interpreted, and a judgment made about the meaning of the findings in the context of the project. This process can be complicated and, at times, technical. In fact, many books are dedicated to the many methods of evaluation. Thus, it is not possible for an introductory manual to adequately explain the techniques of analysis and interpretation. In the following pages, however, we summarize some of the basic techniques for organizing and analyzing data:

- Quantitative data analysis
- Qualitative data analysis
- Categorization and coding techniques
- Contextualization Analysis techniques
- Memo-writing techniques
- Modeling, and
- Cost benefit and cost effectiveness analyses.

Which analysis/ techniques or combination of techniques to use depends on the particulars of your evaluation, in what contexts, and the questions you are attempting to answer. The point is that many forms of analysis, besides statistical analysis, exist to help us understand and explain what is happening with social programs and services today. Time pressures and constraints associated with conducting evaluations often limit an evaluator's ability to conduct thoughtful and in-depth analyses. We believe it is important to invest enough time and resources in the analysis and interpretation step, since it is during this integral phase that decisions are made and actions taken.

In summary, interpretation involves looking beyond the mounds of raw data to ask important questions about what the results mean, what led to the findings, and whether the findings are significant. Remember to involve stakeholders as your evaluation team seeks answers to these questions. Besides reducing their anxiety, you will gain insight from their knowledge about the program and maintain excitement about the evaluation process[34].

5.5 Identifying Results

When formulating your findings, conclusions, recommendations and lessons, it is important to take the broadest view of the value offered by the information collected. The following are tips to do so:

- Every effort should be made to reduce bias, error and misinterpretation in developing evaluation results.
- Double check contradictory evidence,
- Give more weight to reliable sources, and ensure significant information is not ignored.
- Credible results are derived from multiple information sources, thereby eliminating other explanations.

Ideally, the information that you have collected and analyzed will result in recommendations being implemented as appropriate and key audiences sharing in and benefiting from your results. Real value, however, will only be realized when your work contributes to more effective and informed decision–making, and concrete action is taken to improve programming.

[34] Evaluation Handbook, WK Kellogg Foundation, 1998.

Things to Remember . . .
While interpreting both quantitative and qualitative data and identifying results, be careful to avoid the following pitfalls:

Pitfalls to Avoid While Identifying Results
• ***Assuming that the program is the only cause of positive changes documented***. Several factors, some of which are unrelated to project activities, may be responsible for changes in participants or in a community. It is usually not possible to isolate impacts, and the evaluation report should at least acknowledge other factors which may have contributed to change. • ***Forgetting that the same evaluation method may give different results when used by different people*** or those respondents may tell evaluators the answers they want to hear. For example, two interviewers may ask the same questions but receive different answers because one was friendlier or more patient than the other. Real problems or difficulties may be ignored or hidden because people want the project to succeed or appear to be succeeding. • ***Choosing the wrong groups to compare or comparing groups that are different in too many ways***. For example, gender, age, race, economic status, and many other factors can all have an impact on project outcomes. If comparisons between groups are important, try to compare those with similar characteristics except for the variable you are studying. • ***Claiming that the results of a small-scale evaluation also apply to a wide group or geographic area.*** For example, it is misleading to evaluate participants' responses to a particular intervention in one city and then claim that the results apply to the Egypt as a whole. While this may well be the case, an evaluation report should reflect only the data analyzed.

CHAPTER SIX

REPORTING, DISSEMINATION AND USING OF RESULTS

6.1 Reporting

The aim of reporting is to ensure the stakeholders are briefed about progress and about the outcomes at the end of the evaluation exercise. Written reports are normally supplemented with verbal presentations and discussions at specially convened meetings of the relevant stakeholders or wider public. Regular interaction between the evaluation team and the commissioning partners helps to maintain the focus of the evaluation and teases out any problems with data collection or team dynamics as early as possible (*see Annex-13 - Writing a Good Executive Summary and Annex-14 General Structure of Evaluation Report).*

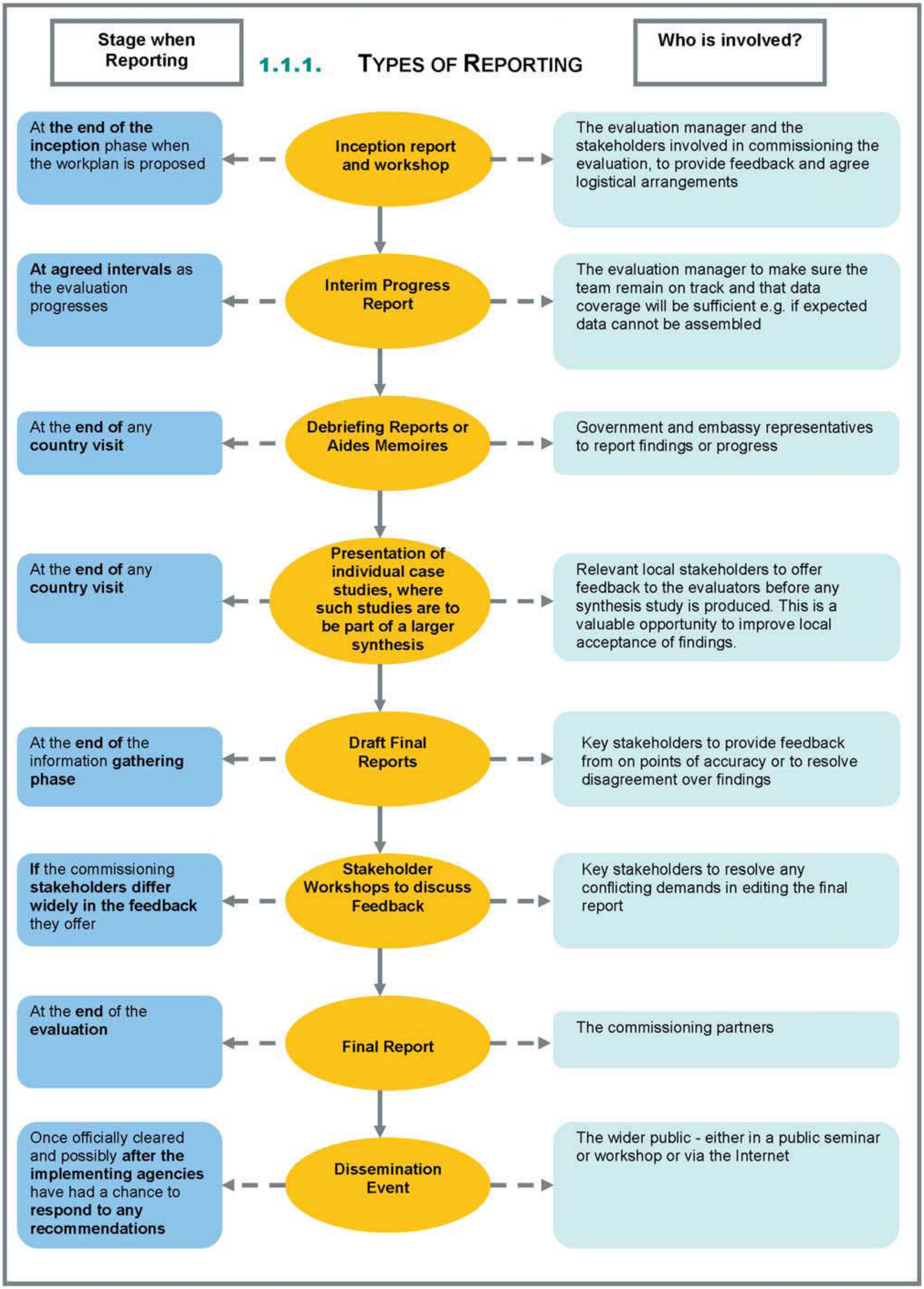
The ***structure of the report*** and sub-headings should be used to guide the reader to the key areas. The ***language*** should be simple, free from jargon and with specialist terms explained. Considering receiving the report on ***timely*** basis is an important, as reports will be wasted if they arrive too late to inform decisions.

Checklist to Produce and Use The Evaluation Report
✓ You have a deadline for the receipt of the draft report clear in your terms of reference and you will have tried to resist all requests from the evaluation team to extend the deadline! ✓ The team could conduct a seminar to present the draft report in order to get feedback from stakeholders including you. ✓ Circulate the report to all the people who are recommended to attend the seminar, with time to read it first. ✓ All forms of feedback should be addressed before finalizing the report. Factual inaccuracies should be corrected and misunderstandings clarified. Where necessary the evaluators would be expected to justify their conclusions by presenting additional evidence to convince any critics. ✓ After getting feedback from you and others the evaluation team will prepare a final report and submit to you. ✓ The Evaluation Manager will check the overall quality of the final report before paying the evaluation team. The final task of the evaluation team is **to prepare a well-presented copy of the final** report. ✓ The use of a copy editor at this stage can avoid wasting the time of the team leader and Evaluation Manager in making minor typographical amendments. Translation may also be required ✓ Authorize the final payment for the Evaluator(s). Responsibility now reverts from the evaluation team back to you.

6.2 Types of Reporting and Parties Involved[35]

The following matrix explains the different types of reporting that could be considered in the evaluation process, and the parties involved.

[35] Matrix imported from DFID Guidance on Evaluation for DFID Staff, 2005.


Stage when Reporting
1.1.1. TYPES OF REPORTING
Who is involved?
At the end of the inception phase when the workplan is proposed
Inception report and workshop
The evaluation manager and the stakeholders involved in commissioning the evaluation, to provide feedback and agree logistical arrangements
At agreed intervals as the evaluation progresses
Interim Progress Report
The evaluation manager to make sure the team remain on track and that data coverage will be sufficient e.g. if expected data cannot be assembled
At the end of any country visit
Debriefing Reports or Aides Memoires
Government and embassy representatives to report findings or progress
At the end of any country visit
Presentation of individual case studies, where such studies are to be part of a larger synthesis
Relevant local stakeholders to offer feedback to the evaluators before any synthesis study is produced. This is a valuable opportunity to improve local acceptance of findings.
At the end of the information gathering phase
Draft Final Reports
Key stakeholders to provide feedback from on points of accuracy or to resolve disagreement over findings
If the commissioning stakeholders differ widely in the feedback they offer
Stakeholder Workshops to discuss Feedback
Key stakeholders to resolve any conflicting demands in editing the final report
At the end of the evaluation
Final Report
The commissioning partners
Once officially cleared and possibly after the implementing agencies have had a chance to respond to any recommendations
Dissemination Event
The wider public - either in a public seminar or workshop or via the Internet

6.3 Evaluation Final Report Format

Sample for Final Evaluation Report Structure	
Title Page	Title of evaluation report, date of publication and names of the authors responsible for the report.
Map	If possible, as it would be helpful to the reader
Table of Contents	Indicating the sections and sub-sections for easy reference
Abbreviations and Acronyms	To help the reader to understand all terminologies and abbreviations used along the report
Acknowledgments	Thanking those who have mainly contributed to the research
Executive Summary	As brief as possible to ensure it is read by busy readers. It has to include the purpose, context and coverage of the evaluation, the methodology, the main findings, main lessons learnt and recommendations may be written in brief explanatory paragraphs
Introduction	✓ The purpose, scope and focus of the evaluation ✓ Any limitations of the evaluation design gained in retrospect ✓ The policy context of the programme. ✓ A brief description of the project/ program subject to evaluation and its expected results ✓ Explanation of the structure of the report ✓ Introduction of the team
Methodology	✓ Research methodology adopted and sampling process. ✓ Phases in the data collection (desk study, field visits). ✓ How information is collected (use of questionnaires, official data, interviews, focus group discussions and workshops) ✓ Problems encountered, such as key people not available for interview or documents not available.
Findings	Reporting of the data, (what happened and why, what actual outcomes were achieved in relation to those intended, what positive or negative, intended or unintended impact, what effects on target groups and others — organized by DAC criteria, issues, or key questions in the terms of reference).
Conclusions	✓ Summary of achievements against the initial project design or logical framework ✓ Summary of problems encountered and the reasons for this ✓ Overall effect on poverty and cross-cutting issues ✓ Why things happened as they did, questioning the assumptions, design, implementation, management and partnership arrangements
Lessons Learnt	Lessons at the level of policy, strategy, design, implementation and management that may have implications for future work.

Recommendations	Clear and precise recommendations deduced from the whole evaluation process and presented to the key parties who have the responsibility of achieving results.
Appendices/ Annex	✓ Terms of reference ✓ Schedule ✓ List of people consulted ✓ List of documents consulted ✓ Visits and possible case studies which formed which have been drawn upon to produce the final report ✓ Details of the members of the evaluation team

6.4 Assessment of Final Evaluation Report

As is now explicit in the UNICEF evaluation guidelines, it is the <u>responsibility of each CO to ensure that the reporting standards are considered in every evaluation report.</u> The Evaluation Office does foresee using these Standards as a way to gauge our progress in improving the quality of evaluation.

The attached list at the end of this document shows is depicted from the basic standards. These weights were decided based on a collaborative process of Evaluation Office staff drawing on their experience and observations of the future direction of evaluation in UNICEF and the UN system (s*ee Annex-15 Matrix for Quality Criteria of Evaluation Reports).*

Matrix to Assess Final Evaluation Report

	Proposed Reporting Standards	Rating
1.	The report has a title page, with a well identified table of content and introduction.	
2.	Assessment of Executive Summary	
3.	The programme/project to be evaluated was clearly described while explaining the contribution of UNICEF, including the logic of the programme design or expected results.	
4.	Purpose and context provided a specific justification for undertaking this evaluation at this time.	
5.	The evaluation used standard OECD/DAC evaluation criteria: relevance, effectiveness, efficiency, impact and sustainability (Explanation is provided for criteria that was considered not applicable and not used.	
6.	The evaluation design considered programme/project's incorporation of the UN and UNICEF's commitment to human rights-based programming, and gender sensitive programming.	
7.	Transparent description of methodology, sampling and data collection/ analysis process.	
8.	The evaluation design was ethical and included ethical safeguards where appropriate, including protection of the confidentiality, dignity and rights of human subjects, particularly children.	
9.	Conclusions were substantiated by findings consistent with data and methods, and including measuring of achievement of results: outputs and outcomes. Reasons for accomplishments and failures are identified and analyzed to the extent possible. It is recommended to have a section on lessons learnt.	
10.	Recommendations were firmly based on evidence and analysis; they were directly relevant and realistic with priorities for action made clear.	

6.5 Utilization Focused Approach in Evaluation

M&E activities are only good if they are used, which brings us to the "utilization-focused" approach, the implications of which are discussed below. *Utility* is one of the four broad headings of the Programme Evaluation Standards currently adopted by a wide range of professional evaluation associations and increasingly serving as a widely known international reference on evaluation process and results.

Focus on use: A focus on use will influence every stage of the process. It also extends the responsibilities of M&E experts and managers to include follow-up.

Focus on users: For any given purpose or intended use of an M&E activity, the challenge is to identify who the key stakeholders are. Potential Stakeholders are:

- Funding agencies for program or evaluation
- Program administrators
- Other relevant management level staff
- Board members, trustees
- Technical advisory committees
- Relevant political bodies (for example, legislatures, city councils)
- interested community groups
- Current clients (guardians where appropriate)
- prospective clients
- Providers of program service (for example instructors, counselors, distributors)
- Professional colleagues of evaluator(s)
- Organizations or professions concerned with Program content
- Local, state, regional media
- national media
- Other

The questions you should ask ourselves before we decide on the audience of the report are:

- "Who are the decision-makers?"
- "Who can use the results to influence decision-making and action?"
- "Who must be brought on board to shepherd a process of change?"

To answer these questions, we suggest following a utilization concept approach.

The concept of utilization-focused evaluation

Utilization-focused evaluation does not advocate any specific content, model, method, or theory. It is considered a process for helping primary intended users select the most appropriate content, model, methods, theory, and uses for their particular situation.

The focus here is on the intended use by intended users. It suggests that issues related to evaluation use should not be left to evaluators alone. With programme staff as one group of intended users of evaluation results and implementers of recommendations, this approach urges evaluators to develop a working relationship with programme staff to help them determine what kind of evaluation they need.

6.6 Follow up of Recommendations

As an Evaluation manager, make arrangements for following-up the recommendations of the report and for the wider publication of the report and the management response to it.

Sometimes, a summary of management responses and other follow-up action is published with the report.

The Evaluation Manager publicizes the lessons learned by drawing these to the attention of relevant bodies, and to the public through:

- Press releases.
- Internet
- Intranet
- Web portals for locating the reports of different agencies.

> Given the wide range of possibilities for publishing and disseminating lessons from the evaluation, the Evaluation Manager, programme staff and stakeholders should consider which media would be most appropriate. Ideally this should be done before commissioning the evaluation, as the dissemination efforts need to be fully budgeted for.

A systematic effort should be made to implement recommendations made to managers and policy- makers. Inclusion of a timetable for action and review in the report could help this.

Recommendations should be considered first by the managers and staff, who can:

- Meet alone and then with the evaluation requesters to discuss the findings and recommendations.

- Schedule a staff retreat to consider issues raised and ways to solve problems identified by the evaluation.

- Schedule staff training identified in the report and, If appropriate, cooperate in implementation.

- The manager of the service or programme should prepare a time line for implementing recommendations.

- The government officials responsible for the programme/project and UNICEF staff should check progress with project managers regularly. Some find it helpful to schedule a meeting in 90 days to review implementation of recommendations. Often this follow-up requires strengthening the monitoring system. The recommendations directed to policy makers or others should be handled in a similar way.

- Meet with interested persons within the appropriate ministries or agencies to discuss the evaluation, expand on the recommendations if appropriate, and devise a plan for implementing them. Then, keep in regular communication and schedule another meeting to review progress.

6.7 Using results to obtain support

- Evaluations can be a tool to obtain support for a service or programme, even if they point out its weaknesses. (If they do not point out weaknesses and/or constraints, and recommendations to strengthen the programme, evaluators are not doing their job).

- By documenting what has been achieved, evaluators help project leaders obtain support of government officials, increase credibility in the community and raise funds from donors.

- By pointing out what needs to be done and ways to strengthen the programme, the evaluation helps managers argue for obtaining the resources needed to implement the recommended changes. Only if the evaluation recommends terminating funding are managers prevented from using it for seeking additional programme support.

- If the evaluation is well done and recommends policy-changes, programme managers can use it as a tool for advocacy. Good evaluations forcefully demonstrate the potential beneficial impact of suggested policy changes.

Using results for planning

- Evaluation results should be fed into the next planning phases of the programming cycle of the country and of UNICEF.
- The annual or mid-term reviews and preparation of the annual review and Plan of Action for the next year often provide the first opportunities.

- Results should also be considered in subsequent reviews and programming for the next cycle, especially the strategy meetings leading to preparation of the Plans.

- Evaluation results provide a baseline for future overall country-level, as well as individual programme/ project-level, planning.

- By comparing evaluations of various programmes in the country, planners understand better what works and why, which sector activities have made the greatest impact (in relation to amount of funding), and which most need additional support.

- Evaluation results also can be used by country planners on the policy-level. Of course, a good evaluation will only be one of many influences on policy; but a poor evaluation has no chance of making a difference.

- Evaluations sent to UNICEF headquarters become part of an institutional memory that contributes to learning about effective programmes on a regional and global level.

- An expanding data bank in the Evaluation Office and a regular Evaluation Newsletter are helping demonstrate that this learning process can be useful for country staff to plan better programmes.

Beware of:

1. Important findings should not remain locked in unread reports.
2. Too often the same mistakes highlighted in evaluations are repeated in the design and implementation of new development activities because the lessons are not communicated well or fail to be understood by development organizations and their stakeholders.
3. Those commissioning major evaluations should spend some time considering how to ensure that an evaluation's findings are influential. Here are a set of common mistakes to avoid:
   - Stakeholders do not feel sufficiently involved in the outcomes of evaluation exercises because the questions they want answered are not built into the evaluation design.
   - Key stakeholders are not sufficiently consulted or do not feel involved in the evaluation process.

6.8 Dissemination Strategy for Evaluation Results

DISSEMINATION STRATEGY FOR EVALUATION RESULTS

Effective dissemination of results means that the right people get the right information in a timely manner and in the right format. The overall goal of disseminating results is to encourage others to take action. The underlying principles of communicating and disseminating results are:

- Focus on action!
- Study audience background, needs, interests, concerns, and plans.
- Simplify your message: key points only!
- Report in many different ways: written products, personal briefings, meetings, seminars, workshops, and videotape.
- Look for chances to report results.
- Be initiative; don't be afraid to spread the word about your findings!

Elements of an effective dissemination strategy		
DESIRED OUTCOME	Focus on action! What do you want to happen?	Do you need to persuade a donor to support a programme, or continue doing so? Or do you need to convince project implementers about the need for a change in strategy? Do you need to gain feedback from the community involved? Do you want to create greater ownership by certain stakeholders/
AUDIENCE	Who do you need to reach? * Wide outreach (Involvement of all key stakeholders) * Focused message (tailored for the audience)	It is important to identify clearly who will need to know and to use the results and to tailor the message accordingly. A commitment to ongoing dialogue and interactive forms of communication will increase ownership and motivation to act on recommendations, making it easier to answer the most pressing questions that M&E activities raise. Communication might take various forms, the critical point is to involve everyone who will need the results in ongoing discussions about how best to communicate the progress of M&E activities.
MESSAGE, PURPOSE	For each audience, what do they need to know? * Findings and conclusions (what depth?) * Lessons (which ones?) * Recommendations (which ones?) Simplify!	Be clear about your findings and conclusions, lessons, recommendations and what you want to achieve by disseminating them to the audience. Most audiences need simple and direct information that everyone can understand, not only in terms of the problem, but also what actions to take in response to it. Stay away from abstract research jargon and explain what is learned: what measures need to be taken, how and why; how and why the programme did or didn't work.

MEDIUM/ FORMAT	For each group/ message, what medium fits best? * Choice of media * Style and format Presentation methods	A report is not the only way to present your message! Choose a medium and format that fits the audience and message, from informal communication theatre, drama) to highly structured types of information exchange shared databases); from mass media (radio) to narrowly focused channels one-to-one meetings); from one-way to participatory communications.
TIMING	When should the results be disseminated?	For your results to be effective, they must be shared at the right time, for example, consultation and debriefing during the data collection and analysis process with key stakeholders.
RESOURCES	What resources are available/ required to disseminate M&E results?	The availability of resources (financial, time, human) will also need to be considered to determine what approaches can be used and what audiences can be reached and how. Dissemination should be integrated in the budget.
CAUTION!	What are the possible dangers or negative effects of dissemination?	Be aware of the potential problems that may arise — particularly in crisis and unstable contexts. (But do not let them stop you from sharing your findings!) When planning your dissemination strategy, consider: § The sensitivity of your findings (Are they likely to upset people? Are they culturally acceptable? Could they "do harm"?) § The suitability of the audiences (Are you reaching the right people? Excluding anyone form the process? Putting anyone at risk by revealing sensitive issues?) § The appropriateness of your communication strategy (Are you using the right media/channels of communication at the right time, for the right people?).

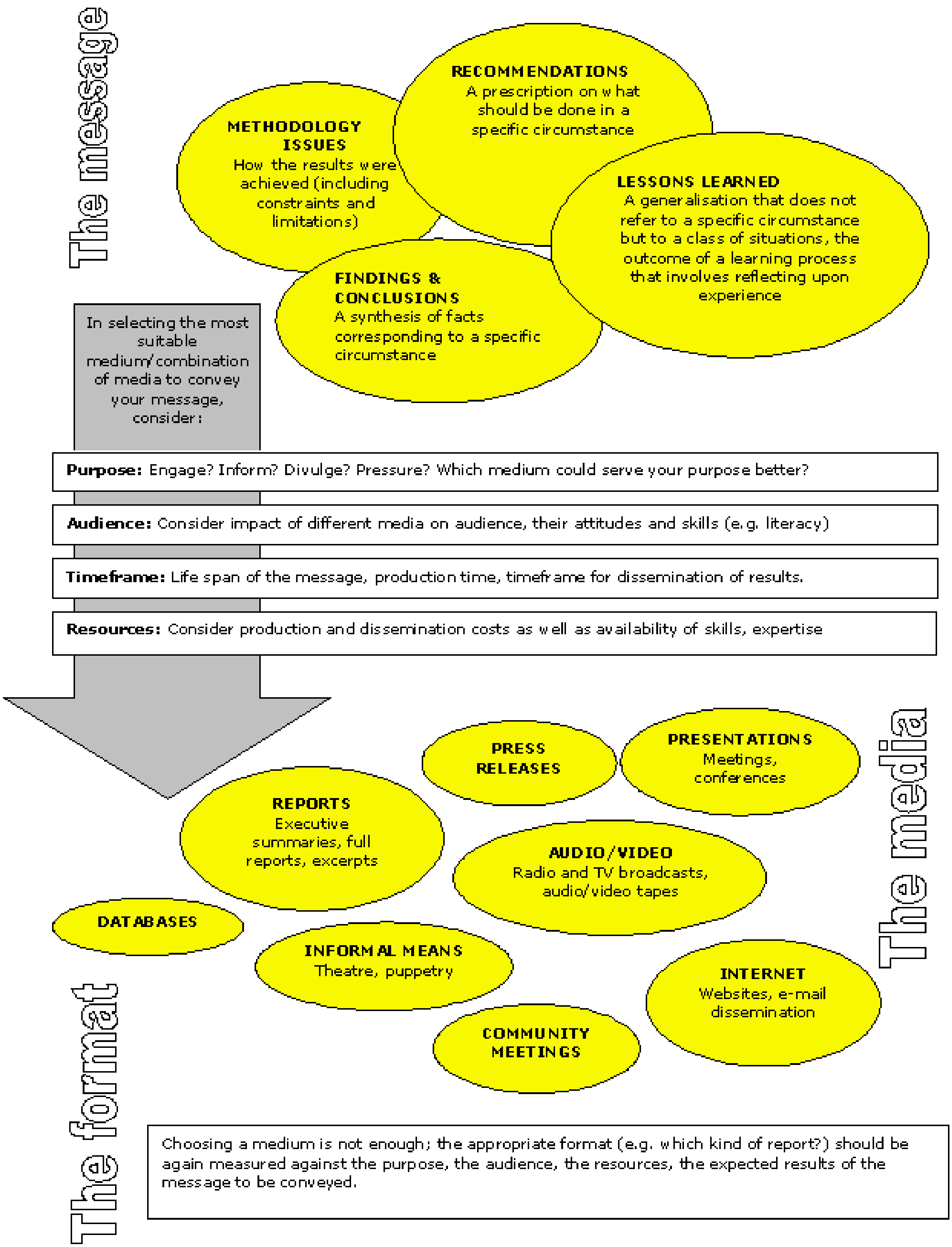
The audience

WIDE OUTREACH ***Who should be targeted and why?*** Devise a dissemination strategy that targets all relevant stakeholders.		**FOCUSED MESSAGE** ***What do people want/need to know?*** Choose correct message, medium, format & and timing for different audiences.

Who needs to get the results, why, when, and how?

- Who are the audiences?
- What are their concerns likely to be?
- What questions will they ask?
- How will the audience respond to what is communicated?

Audience	Role in M&E and follow-up	Which results they need to get and why	How they can get the results and when
Community not directly involved in programme	Plays a small part (e.g. answers questionnaires)	Summary of results to create support for the programme	Meetings, discussions, mass media, pictures, newsletters. (During and after)
Community directly involved in programme	Plays a part in planning and carrying out M&E	Full results and recommendations to help put them into action	By participating in evaluation, meetings, study of results, mass media, pictures, newsletters. (During and after)
Programme staff	Co-ordinates and facilitates community decision making/ action	Full results and recommendations to help turn into action	Through participation in meetings, study or report. (During and after)
District-level departments, agencies, organisations	Receive information, disseminate lessons, support future action	Full results or summary only for analysis of lessons learned and policy decision-making	Full report or summary Discussions with evaluation co-ordinators. (After)
Regional-level agencies and departments	Receive information, disseminate lessons, support future action	Same as district-level	Summary through discussions and meetings. (After)
National-level ministries, agencies, organisations	Receive information, disseminate lessons, support future action	Full results or summary analysis of lessons learned for policy-making	Full report plus summary discussions. (After)
External funding agencies	Receive information, disseminate lessons, support future action	Full results for analysis of lessons learned and policymaking	Full report plus summary discussions. (After)
International agencies	Receive information, help disseminate lessons, support future action	Full results for lessons learned and policy-making	Summary through discussions, meetings, networking. (After)


The message
METHODOLOGY ISSUES
How the results were achieved (including constraints and limitations)
RECOMMENDATIONS
A prescription on what should be done in a specific circumstance
LESSONS LEARNED
A generalisation that does not refer to a specific circumstance but to a class of situations, the outcome of a learning process that involves reflecting upon experience
FINDINGS & CONCLUSIONS
A synthesis of facts corresponding to a specific circumstance
In selecting the most suitable medium/combination of media to convey your message, consider:
Purpose: Engage? Inform? Divulge? Pressure? Which medium could serve your purpose better?
Audience: Consider impact of different media on audience, their attitudes and skills (e.g. literacy)
Timeframe: Life span of the message, production time, timeframe for dissemination of results.
Resources: Consider production and dissemination costs as well as availability of skills, expertise
PRESS RELEASES
PRESENTATIONS
Meetings, conferences
The media
REPORTS
Executive summaries, full reports, excerpts
AUDIO/VIDEO
Radio and TV broadcasts, audio/video tapes
DATABASES
INFORMAL MEANS
Theatre, puppetry
INTERNET
Websites, e-mail dissemination
COMMUNITY MEETINGS
The format
Choosing a medium is not enough; the appropriate format (e.g. which kind of report?) should be again measured against the purpose, the audience, the resources, the expected results of the message to be conveyed.

Dissemination: when?

Feedback to users, during and after

Dissemination: DURING

Share with those stakeholders who can help refine and clarify your findings.

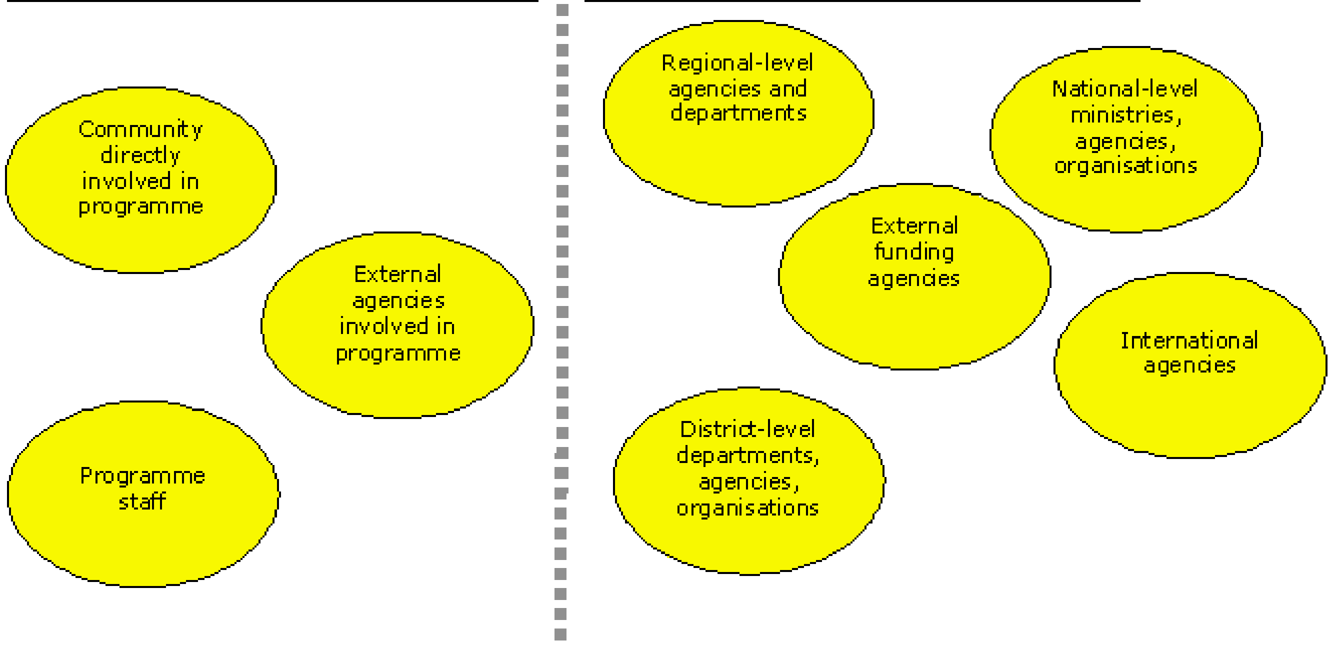
Share to prepare stakeholders for very significant or controversial results.

Share to give internal stakeholders a chance to introduce early follow-up action and prepare a response if major problems are uncovered.

Dissemination: AFTER

Sharing M/E results is obviously more aggressive and widespread after the exercise is completed.

Sharing M/E results may be limited to afterwards when the data analysis is completed; when the need of objectivity and of providing factual and solid data and information is paramount.



GLOSSARY OF KEY TERMS IN EVALUATION AND RESULTS BASED MANAGEMENT[36]

(Adapted from DEVELOPMENT ASSISTANCE COMMITTEE – DAC)

Accountability

Obligation to demonstrate that work has been conducted in compliance with agreed rules and standards or to report fairly and accurately on performance results vis a vis mandated roles and/or plans. This may require a careful, even legally defensible, demonstration that the work is consistent with the contract terms.

Note: Accountability in development may refer to the obligations of partners to act according to clearly defined responsibilities, roles and performance expectations, often with respect to the prudent use of resources. For evaluators, it connotes the responsibility to provide accurate, fair and credible monitoring reports and performance assessments. For public sector managers and policy-makers, accountability is to taxpayers/citizens.

Activity

Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs.
Related term: development intervention.

Analytical tools

Methods used to process and interpret information during an evaluation.

Appraisal

An overall assessment of the relevance, feasibility and potential sustainability of a development intervention prior to a decision of funding.

Note: In development agencies, banks, etc., the purpose of appraisal is to enable decision-makers to decide whether the activity represents an appropriate use of corporate resources.
Related term: ex-ante evaluation

Assumptions

Hypotheses about factors or risks which could affect the progress or success of a development intervention.

Note: Assumptions can also be understood as hypothesized conditions that bear on the validity of the evaluation itself, e.g., about the characteristics of the population when designing a sampling

[36] The DAC Working Party on Aid Evaluation (WP-EV) has developed this glossary of key terms in evaluation and results-based management because of the need to clarify concepts and to reduce the terminological confusion frequently encountered in the areas of Evaluation and Results Based Management (RBM).

procedure for a survey. Assumptions are made explicit in theory based evaluations where evaluation tracks systematically the anticipated results chain.

Attribution

The ascription of a causal link between observed (or expected to be observed) changes and a specific intervention

Note: Attribution refers to that which is to be credited for the observed changes or results achieved. It represents the extent to which observed development effects can be attributed To a specific intervention or to the performance of one or more partner taking account of other interventions, (anticipated or unanticipated) confounding factors, or external shocks.

Audit

An independent, objective assurance activity designed to add value and improve an organization's operations. It helps an organization accomplish its objectives by bringing a systematic, disciplined approach to assess and improve the effectiveness of risk management, control and governance processes.

Note: a distinction is made between regularity (financial) auditing, which focuses on compliance with applicable statutes and regulations; and performance auditing, which is concerned with relevance, economy, efficiency and effectiveness. Internal auditing provides an assessment of internal controls undertaken by a unit reporting to management while external auditing is conducted by an independent organization.

Base-line study

An analysis describing the situation prior to a development intervention, against which progress can be assessed or comparisons made.

Benchmark

Reference point or standard against which performance or achievements can be assessed

Note: A benchmark refers to the performance that has been achieved in the recent past by other comparable organizations, or what can be reasonably inferred to have been achieved in the circumstances.

Beneficiaries

The individuals, groups, or organizations, whether targeted or not, that benefit, directly or indirectly, from the development intervention.
Related terms: reach, target group.

Cluster evaluation

An evaluation of a set of related activities, projects and/or programs

Conclusions

Conclusions point out the factors of success and failure of the evaluated intervention, with special attention paid to the intended and unintended results and impacts, and more generally to any other strength or weakness. A conclusion draws on data collection and analyses undertaken, through a transparent chain of arguments.

Counterfactual

The situation or condition which hypothetically may prevail for individuals, organizations, or groups was there no development intervention.

Country Program Evaluation/ Country Assistance Evaluation

Evaluation of one or more donor's or agency's portfolio of development interventions, and the assistance strategy behind them, in a partner country.

Data Collection Tools

Methodologies used to identify information sources and collect information during an evaluation.

Note: Examples are informal and formal surveys, direct and participatory observation, community interviews, focus groups, expert opinion, case studies, and literature search.

Development Intervention

An instrument for partner (donor and non-donor) support aimed to promote development.
Note: Examples are policy advice, projects, and programs.

Development objective

Intended impact contributing to physical, financial, institutional, social, environmental, or other benefits to a society, community, or group of people via one or more development interventions.

Economy

Absence of waste for a given output

Note: An activity is economical when the costs of the scarce resources used approximate the minimum needed to achieve planned objectives.

Effect

Intended or unintended change due directly or indirectly to an intervention.
Related terms: results, outcome.

Effectiveness

The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance.

Note: Also used as an aggregate measure of (or judgment about) the merit or worth of an activity, i.e. the extent to which an intervention has attained, or is expected to attain, its major relevant objectives efficiently in a sustainable fashion and with a positive institutional development impact. Related term: efficacy.

Efficiency

A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.

Evaluability

Extent to which an activity or a program can be evaluated in a reliable and credible fashion
Note: Evaluability assessment calls for the early review of a proposed activity in order to ascertain whether its objectives are adequately defined and its results verifiable.

Evaluation

The systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfillment of objectives, development efficiency, effectiveness, 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.
Related term: review.

Ex-ante evaluation

An evaluation that is performed before implementation of a development intervention
Related terms: appraisal, quality at entry.

Ex-post evaluation

Evaluation of a development intervention after it has been completed.
Note: It may be undertaken directly after or long after completion. The intention is to identify the factors of success or failure, to assess the sustainability of results and impacts, and to draw conclusions that may inform other interventions.

External evaluation

The evaluation of a development intervention conducted by entities and/or individuals outside the donor and implementing organizations

Feedback

The transmission of findings generated through the evaluation process to parties for whom it is relevant and useful so as to facilitate learning. This may involve the collection and dissemination of findings, conclusions, recommendations and lessons from experience.

Finding

A finding uses evidence from one or more evaluations to allow for a factual statement.

Formative evaluation

Evaluation intended to improve performance, most often conducted during the implementation phase of projects or programs.

Note: Formative evaluations may also be conducted for other reasons such as compliance, legal requirements or as part of a larger evaluation initiative.
Related term: process evaluation.

Goal

The higher-order objective to which a development intervention is intended to contribute
Related term: development objective.

Impacts

Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.

Independent evaluation

An evaluation carried out by entities and persons free of the control of those responsible for the design and implementation of the development intervention.

Note: The credibility of an evaluation depends in part on how independently it has been carried out. Independence implies freedom from political influence and organizational pressure. It is characterized by
full access to information and by full autonomy in carrying out investigations and reporting findings.

Indicator

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.

Inputs

The financial, human, and material resources used for the development intervention.

Institutional Development Impact

The extent to which an intervention improves or weakens the ability of a country or region to make more efficient, equitable, and sustainable use of its human, financial, and natural resources, for example through: (a) better definition, stability, transparency, enforceability and predictability of institutional arrangements and/or (b) better alignment of the mission and capacity of an organization with its mandate, which derives from these institutional arrangements. Such impacts can include intended and unintended effects of an action.

Internal evaluation

Evaluation of a development intervention conducted by a unit and/or individuals reporting to the management of the donor, partner, or implementing organization
Related term: self-evaluation.

Joint evaluation

An evaluation to which different donor agencies and/or partners participate
Note: 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. Joint evaluations can help overcome attribution problems in assessing the effectiveness of programs and strategies, the complementarity of efforts supported by different partners, the quality of aid coordination, etc.

Lessons learned

Generalizations based on evaluation experiences with projects, programs, or policies that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weaknesses in preparation, design, and implementation that affect performance, outcome, and impact.

Logical framework (Log-frame)

Management tool used to improve the design of interventions, most often at the project level. It involves identifying strategic elements (inputs, outputs, outcomes, (impact) and their causal relationships, indicators, and the assumptions or risks that may influence success and failure. It thus facilitates planning, execution and evaluation of a development intervention.
Related term: results based management.

Meta-evaluation

The term is used for evaluations designed to aggregate findings from a series of evaluations. It can also be used to denote the evaluation of an evaluation to judge its quality and/or assess the performance of the evaluators.

Mid-term evaluation

Evaluation performed towards the middle of the period of implementation of the intervention.
Related term: formative evaluation.

Monitoring

A continuing function that uses systematic collection of data on specified indicators to provide management and the main 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.
Related term: performance monitoring, indicator.

Outcome

The likely or achieved short-term and medium-term effects of an intervention's outputs.
Related terms: result, outputs, impacts, effect.

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.

Participatory evaluation

Evaluation method in which representatives of agencies and stakeholders (including beneficiaries) work together in designing, carrying out and interpreting an evaluation.

Partners

The individuals and/or organizations that collaborate to achieve mutually agreed upon objectives.

Note: The concept of partnership connotes shared goals, common responsibility for outcomes, distinct accountabilities and reciprocal obligations. Partners may include governments, civil society, non-governmental organizations, universities, professional and business associations, multilateral organizations, private companies, etc.

Performance

The degree to which a development intervention or a development partner operates according to specific criteria/standards/guidelines or achieves results in accordance with stated goals or plans.

Performance indicator

A variable that allows the verification of changes in the development intervention or shows results relative to what was planned.
Related terms: performance monitoring, performance measurement.

Performance measurement

A system for assessing performance of development interventions against stated goals.
Related terms: performance monitoring, indicator.

Performance monitoring

A continuous process of collecting and analyzing data to compare how well a project, program, or policy is being implemented against expected results.

Process evaluation

An evaluation of the internal dynamics of implementing organizations, their policy instruments, their service delivery mechanisms, their management practices, and the linkages among these.
Related term: formative evaluation.

Program evaluation

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.
Related term: Country program/strategy evaluation.

Project evaluation

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.

Project or program objective

The intended physical, financial, institutional, social, environmental, or other development results to which a project or program is expected to contribute.

Purpose

The publicly stated objectives of the development program or project

Quality Assurance

Quality assurance encompasses any activity that is concerned with assessing and improving the merit or the worth of a development intervention or its compliance with given standards.

Note: examples of quality assurance activities include appraisal, RBM, reviews during implementation, evaluations, etc. Quality assurance may also refer to the assessment of the quality of a portfolio and its development effectiveness.

Reach

The beneficiaries and other stakeholders of a development intervention
Related term: beneficiaries.

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.

Relevance

The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies.

Note: Retrospectively, the question of relevance often becomes a question as to whether the objectives of an intervention or its design are still appropriate given changed circumstances.

Reliability

Consistency or dependability of data and evaluation judgments, with reference to the quality of the instruments, procedures and analyses used to collect and interpret evaluation data.
Note: evaluation information is reliable when repeated observations using similar instruments under similar conditions produce similar results.

Results

The output, outcome or impact (intended or unintended, positive and/or negative) of a development intervention.
Related terms: outcome, effect, impacts.

Results Chain

The causal sequence for a development intervention that stipulates the necessary sequence to achieve desired objectives beginning with inputs, moving through activities and outputs, and culminating in outcomes, impacts, and feedback. In some agencies, reach is part of the results chain.
Related terms: assumptions, results framework.

Results framework

The program logic that explains how the development objective is to be achieved, including causal relationships and underlying assumptions.
Related terms: results chain, logical framework.

Results-Based Management (RBM)

A management strategy focusing on performance and achievement of outputs, outcomes and impacts.
Related term: logical framework.

Review

An assessment of the performance of an intervention, periodically or on an ad hoc basis.
Note: Frequently "evaluation" is used for a more comprehensive and/or more in depth assessment than "review". Reviews tend to emphasize operational aspects. Sometimes the terms "review" and "evaluation" are used as synonyms.
Related term: evaluation.

Risk analysis

An analysis or an assessment of factors (called assumptions in the logframe) affect or are likely to affect the successful achievement of an intervention's objectives. A detailed examination of the potential unwanted and negative consequences to human life, health, property, or the environment posed by development interventions; a systematic process to provide information regarding such undesirable consequences; the process of quantification of the probabilities and expected impacts for identified risks.

Sector program evaluation

Evaluation of a cluster of development interventions in a sector within one country or across countries, all of which contribute to the achievement of a specific development goal.
Note: a sector includes development activities commonly grouped together for the purpose of public action such as health, education, agriculture, transport etc.

Self-evaluation

An evaluation by those who are entrusted with the design and delivery of a development intervention.

Stakeholders

Agencies, organisations, groups or individuals who have a direct or indirect interest in the development intervention or its evaluation.

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.
Related term: impact evaluation.

Sustainability

The continuation of benefits from a development intervention after major development assistance has been completed. The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time.

Target group

The specific individuals or organizations for whose benefit the development intervention is undertaken.

Terms of reference

Written document presenting the purpose and scope of the evaluation, the methods to be used, the standard against which performance is to be assessed or analyses are to be conducted, the resources and time allocated, and reporting requirements. Two other expressions sometimes used with the same meaning are "scope of work" and "evaluation mandate".

Thematic evaluation

Evaluation of a selection of development interventions, all of which address a specific development priority that cuts across countries, regions, and sectors.

Triangulation

The use of three or more theories, sources or types of information, or types of analysis to verify and substantiate an assessment.

Note: by combining multiple data sources, methods, analyses or theories, evaluators seek to overcome the bias that comes from single informants, single methods, single observer or single theory studies.

Validity

The extent to which the data collection strategies and instruments measure what they supposed to measure.

Annex - 1

Checklist on Assessing HRBAP in Monitoring and Evaluation

Participatory monitoring and reporting on the respect, protection and fulfillment of children's rights is needed at all levels for different purposes: at national level for policy improvement and to promote conformity of laws with the CRC; at sectoral and inter-sectoral levels for programme management and evaluation; at sub-national level, increasingly, for resource allocation and impact assessment; and at facility level (schools, hospitals, courts, prisons….) to monitor compliance, equity and practice.

HRBAP : Checklist on Monitoring and Evaluation	YES	NO
☐ Has UNICEF's involvement affected broader processes of social, economic, political and cultural changes? If yes, analyse how.		
☐ Has the Integrated Monitoring and Evaluation Plan been completed ? If yes, does it outline M&E activities that will provide information to asses progress towards the major expected results?		
☐ Is the IMEP consistent with the UNDAF M&E Plan?		
Accountability and good programming ☐ Do the indicators reflect the international human rights norms?		
☐ Does the CMT monitor an agreed set of indicators to measure the quality of programme and operations management?		
☐ Do the monitoring mechanisms put in place allow to hold the implementers accountable?		
☐ Does UNICEF provide support for capacity building of policy makers and service providers to monitor effective services for children and women?		

HRBAP : Checklist on Monitoring and Evaluation	YES	NO
☐ Is the CP advocacy work based on a clear communication strategy with a longer term perspective vision and specific messages for promoting and monitoring political will If yes, clarify to what extend the communication strategy enhance behaviour change with regard to the violation of children's rights? . And to what extend the communication strategy also take into account constraints?.		
☐ Does the CP include support: - To establish or strengthen an effective system in place for monitoring programme processes, - As well as the overall situation of children's rights? If yes, to what extend the monitoring system influence national information system to become more rights-based?		
☐ Has the CP been evaluated from the perspective of HRBAP?		
☐ Has community experiences been assessed in terms of their values "demonstration project"? If yes, does it provide lessons learned for strategic decision making?		
Participation and Views of the Child expressed freely (being given due weight in accordance with the age, maturity including knowledge/experience of the child) ☐ Do all major evaluations involve key stakeholders including adolescents and young people in design and analysis? If yes, do they rely on triangulation of data sources and findings?		
☐ Are field visits routinely scheduled and undertaken with programme partners?		

HRBAP : Checklist on Monitoring and Evaluation	YES	NO
☐ Is the monitoring and evaluation process of the impact of the CP participatory - (indicators and targets) prioritized by people themselves including adolescents and young people?		
☐ As part of the monitoring and evaluation work, is UNICEF providing support for participatory research and discussion of the factors underlying prevailing harmful cultural practices, which could be a basis for improved strategies and interventions (including facilitation for local initiatives for change)?		
☐ Does the CP promote a wide range of monitoring systems, sustained by a wider range of actors, encompassing not only input and coverage "programme" indicators, but also "process" indicators for administrative, judicial and welfare/care services and key measures of community and family outcomes?		
☐ Does children participation influence at least one of : - The selection of priorities, - The understading of the differnet causes of problems, - Adapting the strategies of interventions, - Contributing to the implementation of the country programme?		
Universality/Equality/Non discrimination ☐ Has the CP used disaggregated data and statistics in at least most areas of programme interventions?		
☐ Is there an evaluation of the programme to measure impact in terms of fulfilment of children's rights?		
☐ Has the emphasis on capacity development for duty bearers and rights holders resulted in verifiable improvements n capacity with short, medium, or long term outcomes for children and women?		
Indivisibility/Interdependence and Inter-relatedness ☐ Has the CP used quantitative as well as qualitative indicators?		

HRBAP : Checklist on Monitoring and Evaluation	YES	NO
☐ Are the CP/Monitoring and Evaluation systems linked into the UNICEF support to state reporting process on the CRC?		
☐ Has an evaluation programme exibited the changes in content and process of CP?		
☐ Has a country programme performance evaluation been made with a meaningful participation by the community and the civil society organizations?		
☐ Does CP make a strategic contribution by improving the alignment of its activities and resources to national policies and strategies?		
Best interests of the Child ☐ Did the CP adopt a set of indicators to monitor behavioural and attitudinal change? If yes, are there indocators to also monitor the transition with newly-established policies and legislation in conformity with the best interests of the child. -		
☐ Did the CP adopt a set of indicators to monitor compliance with newly-established policies and legislation in conformity with the best interests of the child?		

Annex - 2

Tips for Sensitizing Evaluation
Integration of Gender Evaluation

Integrating Gender into evaluations means assessing how programs/ projects implemented by the organization have contributed to increasing the involvement and participation of women, achievement of women' basic rights and improving their wellbeing and quality of lives.

This involves establishing the right conditions to sensitize Evaluations, such as:
1. Targeting evaluation question
2. Allocating sufficient resources
3. Finding appropriately qualified and experienced evaluators
4. Defining relevant methodologies
5. Identifying what was learned from the programs and projects evaluated about improving Gender issues so that interventions in the future can benefit from development experiences.

Achieving Gender Integration into Evaluation
Helpful tips for integrating Gender to sensitize evaluation include:

Terms of Reference
1. TORs should clearly articulate:
    - How Gender is to be integrated into the evaluation (i.e. rationale, scope/ focus, stakeholder involvement, accountabilities, responsibilities, deliverables), and
    - What UNICEF expects to learn about Gender-based results
2. Clearly designate who is directly responsible for the assessment of Gender-based results.
3. Key Gender-based evaluation issues and questions should be based on inputs from women.
4. Stakeholders should be described by sex, age, race, ethnicity and socio- economic groups.

Evaluation Team
1. Ensure that the Evaluation Team Leader fully has the capacity to effectively address Gender integration in the evaluation findings, conclusions and recommendations.
2. Ensure that the evaluation team members have sufficient Gender expertise. A gender specialist may be required in some cases to complement team strengths.

Evaluation Questions
Selected Evaluation questions to measure achievement of Gender-based results
1. To what extent has the project/ program:
    - Advanced women's equal participation with men as decision-makers,
    - Promoted the rights of women and girls, and
    - Increased women's access to and control over development resources and benefits?

2. How do the results achieved for women and girls compare to those achieved for men and boys?
3. What are the unanticipated effects of the investment on women, men, girls and boys?
4. How has Gender sensitive contributed to the overall results of the investment?
5. To what extent has the programs/ projects improved the capacity of stakeholders to promote Gender sensitization?
6. To what extent did programs/ projects promote the participation of women stakeholders in decision–making?
7. Were risks associated with Gender sensitization and gender–based constraints adequately evaluated?
8. Was there adequate understanding and acceptance of the need to promote Gender sensitization among stakeholders?

Evaluation Report

1. The analysis of evaluation findings and conclusions should be based on sex disaggregated data, and demonstrate how the organization's programs and projects have contributed to the achievement of Gender-based results.
2. Identify the factors that contributed to the achievement of Gender-based results.
3. Shape Gender-based recommendations to facilitate effective decision–making.
4. Gender-based lessons and good practices should be formulated to have strategic value, and be readily applicable to other development initiatives.

Annex - 3

Evaluation Plan Checklist

Evaluator: **Evaluand:**

Rate each item on a 10 point scale ranging from 1 "inadequate" to 10 "superior".

CRITERIA	DESCRIPTION	POINTS
Introduction and Background	A brief orientation to the evaluation context and an overview of the organization of the plan are provided. The evaluand, clients, and evaluators are identified. The reader can understand the nature of the evaluand and the context for the evaluation.	
Purposes	The purposes of the evaluation are delineated clearly, including both formative and summative aspects if they are relevant.	
Audiences	Relevant primary and secondary audiences for the evaluation are identified.	
Decisions and Questions	The decisions that may be influenced by the evaluation as well as the specific questions addressed by the evaluation are identified. The articulation between decisions and questions is sound.	
Methods	The methods to be used in the evaluation are thoroughly described. Methods are appropriate within the constraints of evaluation resources such as time, budget, and personnel.	
Sample	The participants from whom data will be collected for the evaluation are identified. Participants might include students, teachers, instructional designers, and/or managers. The participants are appropriate to the purposes of the evaluation and the sample size is adequate to questions and methods.	
Instrumentation	The evaluation instruments and tools to be used are described and a rationale for their use is provided. Reliability and validity are addressed. Draft instruments are provided in appendices.	
Limitations	Limitations to the interpretation and generalization of the evaluation as well as potential threats to the reliability and validity of the design and instrumentation are described.	
Logistics and Time Line	The parties responsible for various aspects of data collection, analysis, and reporting are clarified. Additional information about how the evaluation will be conducted should be included if it is necessary to communicating a clear plan. A reasonable schedule for implementation of the report is planned, including adequate time for analysis and report preparation.	
Budget	An adequate budget has been allocated for the evaluation. The amount to time required to conduct the evaluation and the fees associated should be estimated.	

RATING TOTAL...

Comments:

Annex – 4

Model Template for Designing an Evaluation TOR

1. Evaluation Title

Name of the Intervention/Project

2. Programme/Project Description

Set the stage – give the context, background, overall summary of what the project was about.

3. Purpose/ Reasons for Evaluation

State why the project required an evaluation – explaining the importance of the project, or how the results were to contribute to an improved/changed situation etc. Special concerns such as funding implications, resources mobilized etc. may also be important aspects in favour of the evaluation rationale.

4. Scope and Focus

What are the specific objectives and focus of the evaluation? What are the areas/indicators/results that will be assessed in the evaluation? What analysis will the evaluation be looking at, what kind of emerging recommendations will be focused upon?

This part will include analyzing the following:

- Relevance
- Effectiveness
- Efficiency
- Sustainability
- impact

The scope and focus are anticipated to be based on Human rights based approach and to consider the compliance of UNICEF programs and projects to the general standards of evaluation.

5. Stakeholder Involvement

Analysis of partnerships created, sustained or developed; the extent to which the intervention was participatory in its approach and process.

Involvement of women, children and youth is expected to be highlighted in TOR.

6. Accountabilities and Responsibilities

Here the roles and responsibilities, like on approvals on the deliverables, responsibility for the assessment on the quality of the evaluation is mentioned. This includes both responsibilities of the evaluator and the final group who will review the evaluation itself.

7. Evaluation Process and Methods

7.1 Evaluation Work Plan

This work plan explains how to operationalize and direct the evaluation. The work plan will describe how the evaluation is to be carried out, bringing refinements, specificity and elaboration to the terms of reference. The evaluation work plan will address the following reporting elements:

- Overview of Program/project

- Expectations of Evaluation
- Roles and Responsibilities
- Evaluation Methodology
- Evaluation Framework
- Information Collection and Analysis
- Reporting
- Work Scheduling

7.2 Field Mission

All field visits to be undertaken must be enlisted here. Any deviations should be explained in the final report.

7.3 Evaluation Report

The Consultant will prepare an evaluation report that describes the evaluation and puts forward the evaluator's findings, recommendations and lessons learnt. The presentation of results is to be intrinsically linked to the evaluation issues, establishing a flow of logic development derived from the information collected. Evaluation results need to focus on the initial project framework for results and on the key success factors.

8. Deliverables

Enlist all the individual deliverables as a checklist: evaluation work plan; and, an evaluation report and timelines for each, including first drafts and final versions.

9. Proposed Time Frame

Activity	Month	Month	Month	Month

10. Evaluator Qualifications/ Composition of Evaluation Team

All professional requirements, years of work experience, area of competence and related work experience… etc. providing a full profile of the evaluator(s) required must be mentioned here, added to C.Vs.

Division of tasks amongst the members of the evaluation team should be highlighted. Related requirements for

11. Cost Projection

Salary of the evaluator, additional expenses etc.

Annex – 5

UNICEF Detailed TOR Model

UNICEF EVALUATION TECHNICAL NOTES

Issue No.2 (rev.) December 2003

What goes into a Terms of Reference (ToR)

A Terms of Reference (ToR) — also known as a Scope of Work — is a plan or blueprint outlining the key elements of the purpose, scope, process and products of an activity, including management and technical aspects as necessary.

Developing a ToR is a critical early step in any evaluation. In the narrowest sense, it is the basis for contractual arrangements with external consultants More broadly, it should first be developed as a means of clarifying expectations, roles and responsibilities among different stakeholders, providing the plan for the overall activity, including follow-up. The time and effort spent in preparing a good ToR has big returns in terms of the quality, relevance and usefulness of the product.

The depth and details in the ToR will of course vary. The ToR for an externally facilitated programme evaluation involving numerous stakeholders will be quite detailed, while for an internal evaluation of an activity or an emergency rapid assessment it could be a simple outline.

Are you reviewing a ToR? If so, you should ask yourself the questions shown in the boxes below.

ToRs are often developed in stages. In programme evaluation, stakeholders' first discussions will focus on the details on purpose and evaluation questions. A further developed version used for recruiting external consultants requires more detail on existing information sources, team composition, procedures and products, but may describe methodology and a calendar of activities only in broad terms. The ToR may be further refined once an evaluation team is on board, with a careful review of the purpose and key questions and corresponding elaboration of methodology.

ToRs are important:

For all stakeholders
- They explain the agreed expectations in terms of the parameters and process of the exercise, and are a guide to each stakeholder's specific role.

For the evaluation or assessment/survey team
- They ensure that expectations are clear. They provide a reference to check back on whether the objectives are met.
- External teams may require more detail on background context and on intended audiences and uses; internal teams may simply need to clarify the parameters of the assignment.

For managers of M/E activities
- They are a place to establish performance standards (e.g. reference to specific policies, standards).
- They are a means of building desired good practice into the process of the M/E activity (e.g. establishing a stakeholder consultation workshop in the methodology).
- They establish opportunities for quality control (e.g. presentation and review of intermediate products).

WHAT GOES INTO A PROGRAMME EVALUATION TOR?

The following can also be used for a project or activity-level evaluation.

Ask yourself:
Why evaluate?
Why now?
For whom?

Title
- Identify what is being evaluated. Use appropriate programme titles. Clarify the time period covered by the evaluation.

Background
- Briefly describe the history and current status of the programme, including objectives, logic of programme design or expected results chain, duration, budget, activities.
- Situate with reference to the organisation's overarching country programme, as well as parallel or linked national programmes.
- Situate the important stakeholders, including donors, partners, implementing agencies/organisations.

Purpose of the evaluation
- Clarify why the programme is being evaluated.
- Describe how the evaluation process and/or results will be used and what value added they will bring.
- Identify the key users/target audiences.
- Situate the timing and focus of the evaluation in relation to any particular decision-making event (e.g. review meeting, consultation, planning activity, national conference) and/or the evolution of the programme.

Scope and focus

What is being evaluated?

- An "objectives" format can be used with or instead of evaluation questions. Where both are used, one objective is usually discussed through a number of questions.
- List the major questions the evaluation should answer — they should relate to the purpose and be precisely stated so that they guide the evaluator in terms of information needs and data to collect. Group and prioritise the questions. They should be realistic and achievable.
- Specify evaluation criteria to be used given the evaluation's objectives and scope. Evaluations should use standard OECD/DAC critieria (relevance, efficiency, effectiveness, sustainability and impact) as well as additional criteria for evaluation of humanitarian response (coverage, co-ordination, coherence and protection). An explanation for the criteria selected and those considered not applicable should be given and discussed with the evaluation team.[1]
- Evaluations of UNICEF-supported programmes should include two-additional criteria – the application of human rights-based approach and results based management strategies.
- Consider including a cost analysis of the programme. Good cost analysis strengthens results-based management and increases the utility of the evaluation.[2]
- Specify key policies and performance standards or benchmarks to be referenced in evaluating the programme, including international standards.

Existing information sources

- Identify relevant information sources that exist and are available, such as monitoring systems and/or previous evaluations. Provide an appraisal of quality and reliability.

Evaluation process and methods

How?

- Describe overall flow of the evaluation process — sequence of key stages.
- Describe the overall evaluation approach and data collection methods proposed to answer the evaluation questions. An initial broad outline can be developed further with the evaluation team. Ultimately it should be appropriate and adequate providing a complete and fair analysis. The final TOR should define:
  - Information sources for new data collection
  - Sampling approaches for different methods, including area and population to be represented, procedures to be used and sampling size (where information is to be gathered from those who benefited from the programme, information should also be gathered from eligible persons not reached.)
  - The level of precision required
  - Data collection instruments
  - Types of data analysis
  - Expected measures put in place to ensure that the evaluation process is ethical and that participants in the evaluation – e.g. interviewees, sources — will be protected[3]
- Highlight any process results expected, e.g. networks strengthened, mechanisms for dialogue established, common analysis established among different groups of stakeholders.
- Specify any key intermediate tasks that evaluator(s) are responsible for carrying out, and a preliminary schedule for completion. Consider for example:
  - Meetings, consultation, workshops with different groups of stakeholders
  - Key points of interaction with a steering committee
  - Process for verification of findings with key stakeholders
  - Presentation of preliminary findings and recommendations.

Stakeholder participation

- Specify involvement of key stakeholders as appropriate providing a sound rationale — consider internal stakeholders, programme partners, donor representatives, etc. Roles might include liaison, technical advisory roles, observer roles, etc., or more active participation in planning and design, data collection and analysis, reporting and dissemination, follow-up.
- Specify expectations in terms of involvement of, or consultation with, primary stakeholders. Be clear about where they would participate, i.e. in planning and design, data collection and analysis, reporting and dissemination, and/or follow-up.

Accountabilities

- Specify the roles and responsibilities of the evaluation team leader and team members, as well as other stakeholders and advisory structures involved, e.g. steering committees. This section should clarify who is responsible for:
  - Liaison with the evaluation team
  - Providing technical guidance
  - Co-ordinating the stakeholders involved
  - Selection, orientation and training of team members, data collection assistants where applicable, interpreters
  - Approval of intermediate and final products
  - Capacity-building with stakeholders, national or other (a possible responsibility of the evaluation team).
- Specify the means to protect and limits to evaluators independence.
- Specify any concerns or restrictions related to conflicts of interest.

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[1] For more on these criteria, see "Linking evaluation criteria with evaluation questions."
[2] For more on cost analysis, see Module 6, part 2.
[3] For more on managing ethical considerations and protection of M/E participants, see "Ethical issues for field study – dealing with people" and "Children participating in research and M&E – Ethics and your responsibility as a manager"

Evaluation team composition

By whom?

- Identify the composition and competencies of the evaluation team. This should follow from the evaluation focus, methods, and analyses required. Distinguish between desired and mandatory competencies, as well as whether competencies are required by the whole team or by certain members.
- Multidisciplinary teams are often appropriate. The qualifications and skill areas to be specified could include:
  - Areas of technical competence (sector, issue areas)
  - Language proficiency
  - In-country or regional work experience
  - Evaluation methods and data-collection skills
  - Analytical skills and frameworks, such as gender analysis
  - Process management skills, such as facilitation skills
  - Gender mix (not to be confused with gender analysis skills).

Procedures and logistics

With what means?

- Specify as necessary logistical issues related to staffing and working conditions:
  - Availability and provision of services (local translators, interviewers, data processors, drivers)
  - Availability and provision of office space, cars, laptops, tape recorders, and procedures for arranging meetings, requirements for debriefings
  - Work schedule (hours, days, holidays) and special considerations such as in emergencies (e.g. often a 7-day work week is combined with R&R breaks)
  - Special procedures, for example on relations with press, security, evacuation in emergencies
  - Benefits and arrangements such as insurance (particularly in emergencies, consider hazard pay, war risk insurance)
  - Seasonal constraints, travel constraints/conditions and socio-cultural conditions that may influence data collection
  - Reporting requirements apart from products to be delivered (e.g. as accompanying invoices)

Products

In what form?

- List products to be delivered, to whom and when. Consider:
  - The evaluation report
  - Completed data sets (filled out questionnaires or surveys)
  - Dissemination materials (newsletter articles, two-page summaries, presentation materials)
  - For UNICEF, evaluation consultants should be required to provide all of the information for the UNICEF CO update to the UNICEF Evaluation Database in the required format
  - Assessment of the evaluation methodology, including a discussion of the limitations.
- Specify the format for deliverables, including software, number of hard copies, translations needed and structure of the evaluation report. (See "UNICEF Evaluation Report Standards" and UNICEF Evaluation Technical Notes Series no. 3 "Writing a good Executive Summary".

Resource requirements

- Estimate the cost and prepare a detailed budget. Note the source of funds. Link the budget to the key activities or phases in the work plan. Cost estimates may cover items including:
  - Travel: international and in-country
  - Team member cost: salaries, per diem, and expenses
  - Payments for translators, interviewers, data processors, and secretarial services.
- Estimate separately any expectations in terms of time costs for:
  - Staff (before, during, after)
  - Other stakeholders, including primary stakeholders.

EVALUATION CONTRACTS CHECKLIST

Daniel L. Stufflebeam, 1999

This checklist designed to help evaluators and clients to identify key contractual issues and make and record their agreements for conducting an evaluation. Advance agreements on these matters can mean the difference between an evaluation's success and failure. Without such agreements the evaluation process is constantly subject to misunderstanding, disputes, efforts to compromise the findings, attack, and/or withdrawal--by the client--of cooperation and funds.

Mark each item as *important and incorporated* __✓__ or *not applicable* __na__ or leave it blank ____, indicating *not agreed to* though important.

Basic Considerations

_____ Object of the evaluation
_____ Purpose of the evaluation
_____ Client
_____ Other right-to-know audiences
_____ Authorized evaluator(s)
_____ Guiding values and criteria
_____ Standards for judging the evaluation
_____ Contractual questions

Information

_____ Required information
_____ Data collection procedures
_____ Data collection instruments and protocols
_____ Information sources
_____ Participant selection
_____ Provisions to obtain needed permissions to collect data
_____ Follow-up procedures to assure adequate information
_____ Provisions for assuring the quality of obtained information
_____ Provisions to store and maintain security of collected information

Analysis

_____ Procedures for analyzing quantitative information
_____ Procedures for analyzing qualitative information

Reports

_____ Deliverables and due dates
_____ Interim report formats, contents, lengths, audiences, and methods of delivery
_____ Final report format, contents, length, audiences, and methods of delivery
_____ Restrictions/permissions to report via diskettes, web site, etc.
_____ Restrictions/permissions to publish information from or based on the evaluation

Reporting Safeguards

_____ Anonymity/confidentiality
_____ Prerelease review of reports
_____ Rebuttal by evaluatees
_____ Editorial authority
_____ Final authority to release reports

Protocol

_____ Contact persons
_____ Rules for contacting program personnel
_____ Communication channels and assistance

Evaluation Management

_____ Time line for evaluation work of both clients and evaluators
_____ Assignment of evaluation responsibilities

Client Responsibilities

_____ Access to information
_____ Services
_____ Personnel
_____ Information
_____ Facilities
_____ Equipment
_____ Materials
_____ Transportation assistance
_____ Work space

Evaluation Budget

_____ Payment amounts and dates
_____ Conditions for payment, including delivery of required reports
_____ Budget limits/restrictions
_____ Agreed-upon indirect/overhead rates
_____ Contracts for budgetary matters

Review and Control of the Evaluation

_____ Contract amendment and cancellation provisions
_____ Provisions for periodic review, modification, and renegotiation of the evaluation design as needed
_____ Provision for evaluating the evaluation against professional standards of sound evaluation

Preparer______________________________ **Date** ________________

Evaluation Checklists Project
www.wmich.edu/evalctr/checklists/

Annex – 6
Evaluation Contract Checklist

Annex – 7

Code of Conduct for Evaluation Consultants

AGREEMENT TO ABIDE BY THE CODE OF CONDUCT FOR EVALUATION IN THE UNITED NATIONS SYSTEM

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.

The UNEG[37] 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 is bound. UN staff is also subject to any UNEG member specific staff rules and procedures for the procurement of services. 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.

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 Evaluation[38] (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 (see Annex 3).

Honesty and Integrity

Evaluators shall show honesty and integrity in their own behaviour, 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.

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[37] UNEG is the United Nations Evaluation Group, a professional network that brings together the units responsible for evaluation in the UN system including the specialized agencies, funds, programmes and affiliated organisations. UNEG currently has 43 such members.

[38] While the provisions of the Code of Conduct apply to all UN staff involved in evaluation, only UN staff who spend a substantial proportion of their time working on evaluation are expected to sign the Code of Conduct, including staff of evaluation, oversight or performance management units directly involved in the management or conduct of evaluations. All evaluation consultants are required to sign when first engaged by a UNEG member.

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 minimise 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.

Name of Staff Member: ____________________ Position: ______________________

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at: ______________________ date: _________________________

Signature: ____

Annex - 8

Matrix for Facilitating and Managing Evaluation

Matrix for Facilitating and Managing Evaluation to Ensure Quality Standards

Managers of M&E activities have a critical role in facilitating and ensuring the good work of monitoring or evaluation, and thus ensuring the quality of both the process and products. This core content sheet should be read with reference to the core content sheet "Key steps in carrying out M&E activities". The activities identified below are not perfectly sequential.

Negotiate initial intent Before even developing a Terms of Reference (ToR), a group of like-minded stakeholders negotiate to outline its basic elements. This helps establish the political and practical parameters for design. This activity will likely stretch over a number of meetings.	• Define the purpose of the M/E activity: who are the end users? what is the end use? what timing does this imply? • Revisit who else should be involved, who are the key stakeholders. • Identify the priority programme design/management, research or evaluative questions that the M/E activity should answer. • Identify accepted benchmarks or standards for the situation to be assessed or performance to be evaluated. • Identify accepted quality standards for M/E activity. • Identify accepted guidance and mechanisms to ensure ethical field practice in data collection, especially protection of participants in the M/E activity – e.g. interviewees, sources. Establish who will be responsible for review of the ToRs, methods and tools from ethics/protection perspective. • Identify credibility issues/concerns: what type and precision of data is required? What profile of M/E team is needed? • Identify existing materials upon which the M/E activity should draw. For rapid assessment, managers often already focus on identifying key gaps that field data collection must fill. • Identify resource implications and resources available.
Prepare the ToR Note that the ToR referred to here is not the narrow contractual ToR, but a broader scope of work that delineates the guidelines for the whole research	• Define further the purpose, scope and focus, process and methodology, stakeholder participation, accountabilities, team composition, procedures and logistical considerations, resource requirements and draft in a ToR. • Ensure key stakeholders, internal and external, understand and commit to the ToR. • Prepare the contractual ToR for the M/E expert or team. • Review and revise the ToR with the M/E expert or team once recruited, involving key stakeholders as appropriate (this refers to the contractual as well as the overall scope of work around the M/E activity if appropriate).
Facilitate involvement of key stakeholders	• Facilitate adequate discussion and review of the purpose and design. Ensure that the appropriate stakeholders from a technical perspective are involved in reviewing draft data

	collection tools. • Establish procedures for reporting and resolution of any incidents of negative interaction with primary stakeholders, local communities, authorities, both from the perspective of security of the team and ethical practices/protection of participants – e.g. interviewees, sources. • Monitor degree to which stakeholders are involved as compared to that planned. • Facilitate access to relevant people by M/E team – programme /project staff of different organisations, decision-makers, other key stakeholders – in orientation phase to build trust • Ensure good communication to stakeholders about the M/E activity to build interest, understanding and willingness to participate. This can be especially important in evaluation where internal stakeholders may be defensive. • Ensure key stakeholders are sufficiently consulted to validate and create ownership of conclusions and to ensure relevant actionable recommendations. Monitor "mood" and sensitivity of preliminary results and adjust process as necessary to improve credibility of results. For evaluations especially, ensure good consultation around the development of recommendations (e.g. in a very interactive debreifing or workshop). • The manager may have the role of co-ordinating and consolidating key stakeholders' input in review of final product, acting as liaison between stakeholders and M/E team.
Select/Recruit the M/E team Most often, this will take place after the ToRs are established. Ideally, for rapid assessments in emergencies, all of the tasks for this step will have been carried out as a preparedness activity to build some form of roster.	• Define the desired qualifications and corresponding criteria (see core content sheet The M/E team). • Establish procedures and process for how candidates are to be measured against criteria (especially if interagency). • Identify appropriate sources for recruiting (internal, secondments, partner organisations, networks). • Identify possible candidates (identification of potential internal staff, listing of agency secondees/nominees; short-listing). • Contract team (make sure accountabilities and performance standards are clear as per ToR).
Orient/train the M/E team	• Ensure access to identified existing information sources for documentary review. Teams can begin reviewing key documentation even before the first orientation meetings. Even a rapid assessment team will review quickly all the relevant information prior to their field trip or en route. • Provide an orientation and clear briefing to members of the M/E team, establishing context for M&E activity, i.e. to fill knowledge gaps on country/region, programme, stakeholders, M/E activity as necessary. • Ensure necessary training is provided, including on security procedures. This is essential in emergencies, and wherever possible should be undertaken as a preparedness activity.

Establish work plan	• Refine work plan with the team, including: allocate time for training and testing of tools; where team members separate, allocate time for team members to come together for exchange and analysis (time for analysis is often underestimated); establish timing of key meetings or interviews with stakeholders; schedule major consultations or workshops; set deadlines for intermediate products.
Facilitate logistics support as necessary	• Facilitate field visits. Ensure that local actors (authorities, leaders) are prepared enough to receive the M/E team. • Ensure logistical support necessary as per ToR.
Monitor progress and assess results of M&E activity	• Monitor progress vis-à-vis key dates in work plan. In very unstable contexts this may require frequent adjustments as security and access situations change. • Review key data collection tools. • Review preliminary drafts of intermediate products and reports to ensure quality of products before circulation to wider group of stakeholders; provide comments as necessary. • Attend any key consultation meetings with stakeholders (data collection and discussion of findings) to gauge process and buy-in by stakeholders. • Meet with the team to assess the process and adjust as necessary. • Review final draft and coordinate clearance.
Develop and oversee dissemination strategy	• Define a dissemination strategy, targeting form and content to different users. For rapid assessments in emergencies, this need not be elaborate, but the same logic applies. • Organise, facilitate debriefing sessions with key stakeholders. • Ensure that report(s) or other products are disseminated to key potential users in timely fashion. • Incorporate the evaluation results into institutional evaluation database for accessibility (send to Evaluation Office).
Promote and monitor use of results	• Ensure that programme/project managers and other stakeholder groups meet to discuss implementation of the relevant recommendations of the assessment/evaluation and planned follow-up. For evaluation, the more that key stakeholders are involved in developing recommendations, the easier follow-up can be. • Meet with other stakeholders to discuss implementation of the recommendations of the assessment/evaluation. • Track implementation of the recommendations of the evaluation as appropriate.

Annex – 9

Checklist for Roles of Evaluation Managers and Evaluation Teams

Evaluation Managers

Planning

- Discuss evaluation purposes with others
- Decide on evaluation questions
- Select evaluation methods based on questions
- Prepare Terms of Reference
- Recruit members of evaluation team
- Select members of evaluation team
- Identify existing materials for team

Implementation (while the team conducts the evaluation)

- Provide orientation to members of evaluation team --
- Supervise and provide ongoing support
- Attend meeting for preliminary discussion of findings and recommendations
- Review draft report and give comments to team
- Schedule debriefing session with team and sponsors
- Meet with team to evaluate the evaluation

Follow-up

- Send copies of report to interested parties
- Meet with project managers to discuss implementation
- Meet with others to discuss implementation and follow up
- Use results in future programme planning

Evaluation Teams

Planning

- Review Terms of Reference with manager
- Meet with evaluation sponsors
- Refine evaluation design
- Contact local and regional authorities
- Conduct preliminary investigation
- review project documents
- review other existing material
- meet with project managers and beneficiaries
- Select sample and sites
- Prepare draft data collection instruments
- Pre-test data collection instruments

Implementation

- If required, recruit, hire, and train survey assistants
- Collect qualitative and quantitative data: administrative records, interviews, surveys, observation, etc.
- Analyse data
- Draft report
- Review preliminary findings and recommendations with sponsors and/or implementers
- Revise report based on review comments

Follow-up

- Debrief sponsors and others

List of Definitions Relevant to Evaluation Plan

Introduction: This section introduces the major sections of the plan as well as the primary people involved in writing the plan.

Background: This section describes any information which is needed to provide the reader with an understanding of the background of the interactive multimedia that is being evaluated.

Purposes: This section thoroughly describes the purposes of the evaluation. A single plan can address a variety of purposes, but all must be delineated clearly. Evaluation is always a political process and all parties must accept the purposes for the evaluation to be successful.

Limitations: This section spells out any limitations to the interpretation and generalizability of the evaluation. It should also describe potential threats to the reliability and validity of the evaluation design and instrumentation.

Audiences: This section specifies all the primary and secondary audiences or consumers of the evaluation. In general, it is recommended to open the evaluation up to as many people or agencies as the client will allow.

Decisions: This section is probably the most difficult, but it should be included if the evaluation is to have meaningful impact on decision-making. Trying to anticipate the decisions which can be influenced by an evaluation takes creativity and trust. Many developers do not wish to anticipate negative outcomes for their efforts, but these too must be considered.

Questions: A key element of a sound evaluation plan is careful specification of the questions to be addressed by the evaluation design and data collection methods. The clearer and more detailed these questions are, the more likely that you will be able to provide reliable and valid answers to them.

Methods: This section describes the evaluation designs and procedures. There are scores of designs and hundreds of procedures which can be used. The keys to success are matching these options to the purposes and questions of your client and keeping within the budget and time line of the study.

Sample: This section specifies exactly which students, trainers, and other personnel will participate in the evaluation. If necessary, a rationale for sample sizes should also be included.

Instrumentation: This section describes all the evaluation instruments and tools to be used in the evaluation. Actual instruments should be included in appendices for review and approval.

Logistics: This section spells out who will be responsible for the various implementation, analysis, and reporting aspects of the evaluation.

Time Line: This section presents the schedule for implementation, analysis, and reporting of the evaluation.

Budget: This section "costs out" the finances for the evaluation.

Annex - 10

Key Steps in Carrying Evaluation Activities

Managers of M&E activities should be familiar with the steps taken by the actual "doers", especially on how quality standards can be brought into the process. The manager's job is to facilitate and ensure the good implementation of these steps.

The "steps" described below are not strictly sequential. Each lays the foundation for the next, but some overlap and some run from the beginning of the process till the end.

These steps are generic for M&E activities, though in the case of rapid emergency assessment, the first three — engaging stakeholders, understanding the purpose and focusing the design — must be undertaken as part of preparedness activities to do them justice.

Engage stakeholders Foster the input, participation, and power-sharing among those with a vested interest in the M/E activity. This step often begins with the very first discussions, before an M/E team is on board, as initial plans and Terms of Reference are developed. It is further refined throughout all subsequent steps.	**Why is this important?** • Increases chances that the results of M/E activity will be used • Can improve the credibility • Reveals at an early stage political barriers, sensitivities that need to be considered in design of process and methodology • Helps clarify roles and responsibilities • Enhances cultural competence, relevance • Helps avoid real or perceived conflicts of interest • Provides an opportunity to consider how important participation of weaker stakeholders or primary stakeholders is (including different groups within primary stakeholders) and what the implications will be for the M/E activity. **How? Typical activities undertaken:** • Consult insiders (e.g., managers of the M/E activity, leaders, staff, clients, and programme funding sources) and outsiders (e.g., sceptics). This must be handled with sensitivity, especially when undertaken as a preparedness activity to build an emergency rapid assessment or impact monitoring capacity. • Devise a strategy to include less powerful groups or individuals, giving them voice. • Consider/plan how stakeholder input will be encouraged throughout the process of design, operation, and use.
Define/understand the purpose Clearly defining the expected users and end use of the M/E activity and what is to be monitored and evaluated shapes the design of the M&E activity. Managers of M/E activities can lay the purpose out in	**Why is this important?** • Increases chances that the results of M/E activity will be used, including defining users' preferences/needs in terms of methods used • Provides important reference for scope of M&E activity and prioritisation of questions to be answered • Focuses on timing of results of M&E activity, focusing actual work plan

a TOR and use that to hire an M/E expert, but the TOR then needs to be revisited and is often refined. In evaluation, this will involve a preliminary description of the programme to be evaluated to ensure a clear understanding of its purpose, placing this accurately in the wider context.	**How? Typical activities undertaken:** • Conduct preliminary investigation, review existing information in secondary sources. • Meet with stakeholders to clarify the intent or purpose of the M/E activity. • Identify key users in consultation with managers of M/E activity. • Draft initial broad-level questions to be answered. • For programme evaluation, characterise the programme to be evaluated through documentary review and consultation with key stakeholders, including defining: the need/problem it addresses; the goals, expected outcomes and criteria for success; why and how program activities are believed to lead to expected changes; the programme logic model (expected sequence of inputs, activities and subsequent chain of results and corresponding assumptions); the programme's stage of development; and the prevailing context, including links to other ongoing efforts. • For rapid assessment or impact monitoring in emergencies, this will be focused by agency mandate and issues of concern as well as by likely scenarios in which data collection will take place, i.e. type of natural disaster or scenario in complex emergency.
Focus the design Move from the broad purpose to a logical description of what will be done and how. The process is iterative (i.e., it continues until a focused approach is found to answer questions with methods that stakeholders agree will be useful, feasible, ethical, and accurate). Questions and methods might be adjusted to achieve an optimal match that facilitates use by primary users. Again, an initial TOR may outline some of this, but those carrying out an M/E activity will be involved in reviewing and likely refining the design.	**Why is this important?** • Increases chances that the results of M/E activity will be used • Further refines scope of M/E activity and prioritisation of questions to be answered • Ensures design is structured to respond to questions as completely and accurately as possible (especially validity of measures, i.e. do stakeholders agree that proposed indicators are acceptable measures) • In the case of performance M/E, ensures design responds to questions as fairly as possible • Ensures stakeholders consider M/E activity to be practically feasible and cost-effective; helps establish commitment of stakeholder resources • Provides opportunity to consider protection of participants in M/E activity – e.g. interviewees, sources and others stakeholders particularly at community level. • Establishes limitations of design, perspectives of M/E experts and impartial reporting.

	How? Typical activities undertaken: - Further define questions to be answered — those that can be answered using existing documentation and those requiring new data collection - Prepare an initial outline of practical methods for sampling, data collection, data analysis, interpretation, and judgement (including provisions for protection of human subjects) and present this for review by key stakeholders, reference groups or other quality control mechanisms - Prepare a written agreement with manager/key stakeholders that summarises the work plan for activities associated with data collection, analysis and use/sharing activity procedures, noting any specific procedures as well as clear roles and responsibilities for all stakeholders - Prepare and pre-test draft data collection instruments. Revise plan as necessary - Revise all or part of the plan when critical circumstances change - Prepare a draft outline of the final report or related products.
Collecting evidence Compile information that stakeholders perceive as trustworthy and relevant for answering their questions. Adequate data might be available and easily accessed, or new data might need to be collected. Credibility depends on factors such as how the questions were posed, sources of information, conditions of data collection, reliability of measurement, validity of interpretations, and quality control procedures.	**Why is this important?** - Increases credibility - Ensures accuracy, including the reliability of measures, i.e. that instruments are applied as consistently as possible - For performance M&E, ensures fairness - Ensures protection of human subjects, at least as defined in design. **How? Typical activities undertaken:** - Prepare for field site visits contacting key stakeholders at local levels (authorities, partners, etc.), clarifying expectations - Document fully the information sources used, an analysis of their limitations and the rationale for their selection - Establish clear procedures to collect high-quality information (what instruments are used, how, when) and recruit and train data collection assistants and translators accordingly. In the case of rapid assessment and impact monitoring in emergencies, this is ideally undertaken as part of preparedness activities. - Estimate in advance the amount of information required or establish criteria for deciding when to stop collecting data in situations where an iterative or evolving process is used - Collect data - Monitor data collection and take practical steps to improve quality - Monitor practice of procedures to protect participants in M/E activity – e.g. interviewees, sources. - Monitor security of data collection assistants where appropriate

Analysis, conclusions and recommendations Process and test data gathered according to accepted procedures; draw conclusions that follow logically from this and are consistent with the agreed values or standards of stakeholders; make logical and coherent recommendations.	**Why is this important?** • Ensures conclusions are as accurate as possible, and in the case of performance M/E, as fair as possible • Increases political feasibility of recommendations • Increases chances that the results of M/E activity will be used **How? Typical activities undertaken:** • Summarise findings using acceptable methods of analysis and synthesis • Weigh the significance of results for deciding what the findings mean • Classify results (e.g. as positive or negative, high or low, degrees of priority for response) according to clearly defined standards. This is critical for M/E in crisis and unstable contexts. • Consider alternative ways to compare results (e.g. a comparison group, national norms, primary stakeholders' perceived needs, and/or in the case of programme evaluation, past performance or stated programme objectives) • Generate alternative explanations for findings and indicate why these explanations should or should not be discounted • Meet with the team and then managers to evaluate the M/E activity itself • Document limitations of conclusions in terms of cases, time periods, contexts and purposes for which the findings are applicable • Share, review and validate findings and conclusions with key stakeholders if possible • Draft recommendations and lessons learned as consistent with conclusions, ideally with involvement of key stakeholders (internal and external) • Share and discuss recommendations and lessons with stakeholders • Note, in rapid assessments in crisis and unstable contexts, data analysis will often take place to a large extent in the field as data collection progresses.
Sharing and using Evaluation results Try to increase the chances that key stakeholders are aware of results of the M/E activity – its conclusions, recommendations and lessons where applicable – that those stakeholders consider those results in decisions or actions they take, and that those involved in the process have benefited in some way.	**Why is this important?** • This is the desired outcome of all M/E activities. **How? Typical activities undertaken:** • Review design to ensure it will help achieve intended use by intended users • Provide continuous feedback to stakeholders regarding interim findings, provisional interpretations, and decisions to be made that might affect likelihood of use.

	• Prepare stakeholders for eventual use by rehearsing possible decisions and actions based on different M/E results (ask "what would be your response if the M/E activity tells you 'x'?"). • Prepare a draft report; revise and finalise report based on comments; prepare other dissemination formats targeting different audiences as agreed with M/E managers: summaries, presentations, bulletins, etc. • Send copies of report(s) to interested parties as agreed with M/E managers • Organise/participate in debriefing sessions with stakeholders (depending on how involved they have been in previous step) • Meet with programme managers and others to discuss implementation and follow-up • Facilitate follow-up presentation and dissemination of results to different audiences as opportunities arise

Annex-12

SCORING THE EVALUATION PLANS

Criteria for Assessing Evaluation Plans						
Item	**Criteria**	***Low***				***High***
		1	***2***	***3***	***4***	***5***
a. Overview of Initiative/Intervention						
1	Is there a clear understanding of the intervention being evaluated, and its linkages to UN's mandate and priorities?					
2	Is the information about expected results – Outputs, Outcomes and Impact addressed?					
3	Is the role of stakeholders described? addressed?					
b. Expectations of Evaluation						
4	Is the reasoning supporting management's decision to carry out this evaluation clearly explained?					
5	Are the management's expectations for assessment properly articulated?					
6	Are expectations further defined in terms of emphasis and additional information requirements addressed?					
7	Is the requirement to develop lessons learned identified?					
c. Accountabilities and Responsibilities						
8	Have the primary roles and key responsibilities for all individuals making a major contribution to the evaluation been adequately identified?					
9	Are the accountabilities clearly stated?					
d. Evaluation Methodology						
10	Will the logical model for collecting and analyzing information identify results attributable to the interventions at Output, Outcome and Impact levels?					
11	Is the methodology aligned with the RBM strategy?					
e. Evaluation Framework						
12	Does the framework establish a logical response to the UN expectations for evaluation?					
13	Does the framework ask questions that are strategically aligned with the RBM strategy?					

f. Reporting Requirements						
14	Are the expectations for progress reporting and briefing and debriefing and the final report met?					
15	Does the workplan include an outline/table of contents for the final report?					
g. Work Scheduling						
16	Does the work schedule set out a logical progression of activities through to completion?					
17	Have timeframes/target dates been establish for all key tasks, milestones and deliverables					
18	Are the costs clearly identified?					

SUB-TOTAL **Max: 90** **( )**

PRESENTATION (0 to 10) **Max: 10** **( )**

TOTAL **Max: 100** **( )**

Annex - 12

RESEAERCH
DATA COLLECTION METHODS

DATA COLLECTION METHODS	ADVANTAGES	DISADVANTAGES
1. Desk Review (Literature review) *Review of existing records and documents*	• Is available locally • Is an economic and efficient way of obtaining information • Is grounded in setting and language in which it occurs • Is useful for determine value, interest, positions, political climate, public attitudes, and historical trends • Enables study of trends overtime • Is unobtrusive	• Assessing validity and reliability on secondary data is difficult. May be inaccurate and/or of questionable authenticity • Might be difficult to locate suitable documents • Analysis may be timer-consuming • Access may be difficult
2. Observations *Informal/direct or in-depth observations over and extended period of time, e.g. inspection, field visits. Can be participatory or non participatory*	• Is well-suited for understanding processes, infrastructure/services and their utilization • Provides direct information about individual/group behaviour • Allows entry into and understanding of situation/context • Provides good opportunities for identifying unanticipated outcomes • Exists in natural, flexible and unstructured setting • Enables observer to learn that participants are unwilling to share in interviews	• Limited potential for generalization • In-depth observations are expensive and time-consuming and need well-qualified, highly trained observers • Is dependent on observer's interpretation: selective perception of observer may distort data • Is dependent on level of trust between the observer and the observed • May affect behaviour of participants • Investigator has little control over situation • Behaviour of set of behaviours observed may be atypical
3. Direct Measurement *Registration of quantifiable data by means of analytical instrument, e.g. weight and height measures*	• In precise, reliable and often requires few resources • Is well-suited for infrastructures	• Registers only facts, not explanations
4. Interviews *Allow the evaluation tem to capture the*	• They usually yield richest data, details, new insights • They permit face-to-face contacts with respondents	• They are intrusive: it is very easy for the interviewer to influence or intrude on the answers • They are expensive and time-

DATA COLLECTION METHODS	ADVANTAGES	DISADVANTAGES
perspectives of project participants, staff and others associated with the project. In structured interviews, a carefully worded questionnaire is administered; in in-depth interviews, the interviewer does not follow a rigid form	• They provide opportunity to explore topics in-depth • They afford ability to experience the affective as well as cognitive aspects of responses • They allow the interviewer to explain or help clarify questions, increasing the likelihood of useful responses • they allow the interviewer to be flexible in administering interviews to particular individuals or circumstances	consuming • They require well-qualified, highly trained interviewers • Interviewees may distort information through recall error, selective perceptions and/or a desire to please the interviewer • Their flexibility can result in inconsistencies across interviews • The volume of information can be too large; may be difficult to transcribe and reduce data
5. Key Informant Interviews *A key informant is a person (or a group of persons) with unique skills or professional background related to the issue/intervention being evaluated, who is knowledgeable about the project participants, or has access to other information of interest*	• They offer a flexible, in-depth approach • They are easy to implement • They provide information concerning causes, reasons and/or best approaches from an "insider" point of view • Their advice/feedback increases credibility of study • They provide a pipeline pivotal groups • They may help to solidify relationships between evaluators, clients, participants and other stakeholders	• The time required to select and get commitment may be substantial • The relationship between evaluator and informants may influence type of data obtained • Informants may interject own biases and impressions • They may result in disagreement among individuals, leading to frustration/conflicts
6. Focus Group Interview *For analysis of specific, complex problems, to identify attitudes and priorities in smaller groups*	• They are reasonable cost and efficient • They help generate ideas • They provide quality control through people's interaction • They allow people's views to develop in exchange with others • They allow assessment of agreement/disagreement on a given issue	• There is a risk of one-sidedness on the part of participants and the moderator • Only a limited number of questions may be asked • They rely on very good group facilitation skills • They may reinforce existing power relation in the groups
7. Information Systems *These are standardized regular data collection, most often linked to a*	• They are an investment to establish initially, but most social services have systems. Once established, they generate high frequency, low-cost data, often with national coverage	• They only provide data on the population benefiting from the service. Not representative of the catchments group • Accuracy of data can be weak

DATA COLLECTION METHODS	ADVANTAGES	DISADVANTAGES
service or process, ideally used for monitoring at the level at which data collected, as well as more centralized levels, e.g. health information systems, administrative information systems	• They can provide data on institutional capacity and performance – human, financial, material resources, processes, outputs • They can provide information on broader national situations, especially if not service-based, e.g. early warning systems, disease notification systems	(under- or over-reporting) • Indicators cannot be changed frequently • Changes in efficiency can be significant overtime. Efforts to improve a system may influence data, thus distorting comparisons over time
8. Formal Survey *Oral interviews or written questionnaires in a representative sample of respondents*	• In most suited to answering questions such as what, how many and how often • Produces statistically reliable information • Results may be generalized if informants belong to a representative sample • Results may be perceived as the most reliable and objective by external observers	• Data collection is demanding • It is expensive • Data collection and analysis demand time • It is inflexible: duration, questions, sample must be defined at the inception and cannot be changed
9. Informal Survey *Involves quantitative surveys of small samples*	• Is reasonable and rapid	• There is risk of sampling errors/biases • Is less suited for generalization
10. RAP, RRA, PRA *A participatory methodology comprised of a range of methods and tools. Typically uses key informant interviews, community meetings or dialogue processes, as well as observation combined with techniques such as mapping, diagramming, seasonal calendars, ranking and the transect walk*	• Is fast • Is flexible • Can provide a qualitative, in-depth view in specific problems • Builds buy-in and ownership	• Generalization is limited • Bias may creep into the results • Relies on interpretation • Data collectors and analysts are one and the same; requires highly skilled data collection • Badly managed group exercises can take too much people's time, ignore some people's view and legitimate the views of the dominant groups
11. Case Studies *In-depth review of one or a small number of selected cases, using framework of analysis and*	• They are well-suited for understanding processes • They allow in-depth analysis; "how" and "why" are asked to explain the casual links • They can assess pilot projects	• They cannot be accomplished through occasional, brief site visits • The demands regarding design, data collection and reporting can be substantial • Critics contend that bias and lack of

DATA COLLECTION METHODS	ADVANTAGES	DISADVANTAGES
a range of data collection methods. Academic case studies can be quite sophisticated in research design; simpler but still structured approaches to case study can still be of great value	innovative activities • They can generate questions for future investigations	rigor are more frequently encountered and less frequently overcome in case studies • They provide little basis for scientific generalization • They are often presented as only being illustrative

Annex – 13

Writing a Good Executive Summary

(See next page)

Evaluation Technical Notes

No. 3 **UNICEF Evaluation Office** **August 2002**

Writing a good Executive Summary

Primarily for key decision-makers who do not have time to read the full evaluation report, an Executive Summary should provide an overview of the essential parts of a report: a summary of the project/programme evaluated, the purpose of the evaluation, the methods used, the major findings and the recommendations. It should be very short — ideally two to three pages — and should "stand alone" (without requiring reference to the rest of the report).

The UNICEF's Evaluation Database now lists the full Executive Summary for each report. The Executive Summary should be clear, simple and comprehensible to those not familiar with your programme, allowing database users to quickly grasp the important findings and recommendations.

By commitment to the Executive Board, *Country Offices* are requested to submit all completed evaluation reports to the Regional Office and to Headquarters [Evaluation Office] and all surveys and studies they believe are of significance in quality or findings. *Also, Country Offices* should use the format detailed below for all evaluations submitted to the Evaluation Office. It provides the needed information for effective use in the Evaluation Database and serves as a good stand-alone Executive Summary for inclusion in the report itself.

Depending on the audience for the report, it may be necessary to draft more than one Executive Summary or even different short dissemination pieces. In deciding whether to write a different Executive Summary than the standard format, consider your key audiences and the messages you want to bring to each one. The goal of the Executive Summary for the database is to share important findings and lessons with those outside of your programme in a concise manner.

The Executive Summary format below has two parts. The first part is standard bibliographical information, name of report, name of author, etc., and UNICEF-specific items, such as PIDB number, needed for report identification. The second part is the Executive Summary itself: background, purpose, methodology, findings, and recommendations. Both parts should be submitted to HQ. You may choose to use the second part as the Executive Summary inside of the report itself, but please still send both parts with the report to HQ to prevent confusion.

Evaluation Technical Notes		
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Format for Executive Summary

(Section 1 – Bibliographical Information)

Title: Usually includes the type of report and name of the project
Example: Evaluation of Early Childhood Development Programme

Author(s): Names of all the authors of the report in the following format: Last Name, First Initial; Last Name, First Initial
Example: Macom, X.; Pickett, W.

Institutions: Name of the institution contracted to implement the study, survey or evaluation. If a consultant is hired independently of an institution, this may be left blank
Example: London School of Hygiene and Tropical Medicine

Date: Year of publication

Region: Abbreviated name of UNICEF region. CEE/CIS, EAPRO, ESARO, MENA, ROSA, TACRO or WCARO

Country: Country name

Type: Survey, study or evaluation

- *Survey:* An assessment of the conditions of specified population group/s (children, women, adolescents) or public goods (health services, school, water system) at a point in time, e.g. MICS, KAP surveys; survey of quality of health services; Hygiene Practices survey

- *Study:* An investigation designed to improve knowledge about something (a problem or phenomenon) and understand its direct and underlying causes as well as its consequences on people or environment, e.g. *A study of vulnerability of young people to illicit substance abuse*

- *Evaluation:* A process to determine as systematically and objectively as possible the value or significance of a programme, project, policy or strategy, e.g. *Evaluation of effectiveness and sustainability of UCI programme*

Judgement on the value or significance is based on criteria such as relevance, effectiveness, efficiency, impact and sustainability. In rights-based programming, coverage (to what extent all social groups benefit) is another important evaluation criterion. Evaluations can use data from surveys and studies. Further, in evaluation of humanitarian assistance programmes, four additional criteria are recommended: coverage, coordination, coherence and protection.

Theme: Thematic area as defined in PIDB coding [add a button for a pull down list on website] The theme of an evaluation or study is the same as the theme of the related project or programme

Partners: Sponsoring organizations (funders and /or initiators)
UNICEF in collaboration with a donor, another international organization, a government ministry, a local research institution, etc.

PIDB: The actual PIDB code corresponding to the above theme is also necessary to establish a link between ProMS and the Evaluation Database in the future

Sequence Number: Number assigned to the evaluation as reported in Annex A of the Annual Report

Follow Up: One or two sentences about how the findings of the evaluation were used to improve programming

Languages: Languages that the report is available in

(Section 2 — Summary)

Background:
Brief information about the programme or project that the evaluation is related to, including the major stakeholders, partners and implementing organizations/agencies involved and their respective roles, as well as a brief description on how the evaluation came about.

Purpose/Objective:
A statement of *why* the assessment is needed, how it will benefit the program/project.
List your objectives, specifically, what you hoped to learn from the evaluation, questions to be answered by the evaluation.

Methodology:
A short description of the type of research methods used: sampling (describe the composition, location and number of people surveyed/interviewed/observed and how they were selected), data collection (survey, interviews, observation, desk review, etc.) Actual questions and surveys do not need to be included. Please include limitations if there are any significant drawbacks the audience should be aware of.

Key Findings and Conclusions:
Summary of significant findings and conclusions of the evaluation. All results do not need to be reported in full. Include important data and relevant, succinct conclusions drawn from findings. (If you have difficulty deciding what to include, a good rule of thumb is to look at those findings that led to your conclusions/recommendations; also key conclusions should be short answers to questions raised in the Objectives section.)

Lessons Learned:
(Optional, usually only given for thematic evaluations looking at a specific aspect beyond the level of one project or programme)
Recommendations that can be generalised beyond the specific case to apply to programs globally.

Recommendations:
Overall suggestions of how the project/program can be improved based on the findings.

Annex – 14

Generic Structure for Evaluation Report

This presents a generic structure of a typical report for an evaluation, study or major monitoring activity (i.e. survey, major review).

Title Page	Title of the report, authors, institutional affiliation, date, reference number
Table of Contents	Outline of the content of the report
Acknowledgements	Acknowledgement to those who provided special assistance and/or made the study possible
Executive Summary	Provides, in 1 to 4 pages, the most significant aspects of the evaluation, emphasizing the major findings/conclusions, lessons and recommendations. The Executive Summary is particularly important because most people are more likely to read this part of the report than the full document.
Introduction	• **Context and purpose of the evaluation:** Problem statement, background and special circumstances, concise statement(s) of what the evaluation/study is hoping to measure and deliver. • **Scope and limitations** • **Ethics and independence:** This is particularly important for evaluation. A statement is required as to the role of the evaluator – whether independent external evaluator or facilitator of a participatory process – and how this role was managed and protected. A statement regarding any ethical issues stemming from the evaluation process that were identified and how they were managed, including how participants and primary stakeholders were protected. Aspects of design and process addressing ethical management of the participation of children should be detailed separately. • **Methodology:** A brief description of design, including framework for analysis, data collection, sampling, and limitations stemming from method. The methodology section in the report covers what decision-makers need to know to weigh the findings/conclusions, with more complete detail given in a technical appendix (see below). • **Summary of relevant previous research:** Evaluations in the case of evaluation, as well as other pertinent research.
Findings & Conclusions	The report must present a synthesis of what was found ('the facts') and the results of analysis interpreting this. Conclusions must be sufficiently substantiated. This section may in turn be broken into major sections according major issues covered.

Lessons Learned *(for evaluation reports)*	A generalisation that points out what is likely to happen and/or what should be done in order for something to take place or to be prevented. Lessons learned are not merely experience, but the outcome of a learning process that involves reflecting upon an experience. It is useful for lessons to distinguish intended use/users, e.g. distinguishing lessons for the next phase of the programme evaluated, for other interventions in this country, for similar interventions in other countries, operational lessons for the organisations involved globally, and lessons about conducting evaluations.
Recommendations	A prescription on what should be done in a specific circumstance. The level of detail required in the recommendations depends on the purpose and users of the report (i.e., whereas policymakers could use general recommendations, programme managers would benefit more from detailed, hands-on, practical recommendations).
Appendices	Appendices will include: • Terms of Reference • Itinerary and persons interviewed • More detailed description of the methodology. This will be aimed at reviewers assessing quality of the information and other researchers seeking to learn from the methodology. It will need to explain how variables were measured, justify frameworks, etc., guiding data analysis, and identify threats to the validity of the data and the analysis • Data collection instruments • Additional data • Bibliography • Endnotes (unless footnotes used) • Other relevant supporting documentation.

Annex-15

Matrix for Quality Criteria of Evaluation Reports

The quality criteria for sound project evaluation reports are organized into six sections corresponding to report components: (1) Executive Summary, (2) Project Description, (3) Evaluation Overview, (4) Design, (5) Analysis Process, and (6) Results & Recommendations.

Component	Quality Criteria
Executive Summary	The executive summary should provide essential information about the evaluation report that is easily understood by stakeholders. It should clearly summarize the purpose of the evaluation, the project goals, project implementation and impacts, and recommendations and conclusions drawn from the results of the evaluation.
Project Description	
Project Features	The following features of the evaluated project should be clearly described: project goals (both explicit and implicit) and objectives • principal project activities designed to achieve the goals • project location and implementation sites • project duration • resources used to implement the project • expected short-term and long-term outcomes If more than one site is implementing a project, the evaluation should describe each site and the anticipated variation that may be expected across sites.
Project Stakeholders	The different stakeholder groups should be identified, their relationships to the project described, and their different perspectives about the project's significance articulated.
Project Context	An understanding of contextual factors is necessary if an evaluation is to be realistic and responsive to the conditions within which the project operates. Contextual information is also needed to help audiences interpret the evaluation. It should be described in enough detail to enable stakeholders to understand the impact of the context on project implementation and outcomes.
Evaluation Overview	
Evaluation Purposes	The purposes of the evaluation should be: • Stated in terms of goals and intended uses of results by stakeholders. • Described in enough detail to help stakeholders extrapolate critical meanings from the results. The evaluation should focus on whether or not promised project components are delivered and compare project outcomes against the assessed needs of the targeted participants or other beneficiaries. They should also be directed at finding unanticipated outcomes, both positive and negative.

Evaluation Questions	Evaluation questions that address context, implementation, and outcome variables provide the perspective not only for interpreting results, but also for understanding the conditions under which the results were obtained. The questions should be justified against the following criteria: • To which stakeholders will answers to the questions be useful, and how? • How will answers to the questions provide new information? The report can also delineate questions that could not be addressed because of constraints (e.g., limited time or resources, insufficiency of available data-gathering techniques).
Evaluation Credibility	The professional qualifications of the evaluator should be specified in order to build trust in the results.
Stakeholder Involvement	The report should describe how the positions and perspectives of the stakeholders have been considered in an ongoing manner, from the planning of the evaluation through the data collection, analysis, and interpretation. Stakeholder involvement in the evaluation can be beneficial because stakeholders can help the evaluator better understand project goals and objectives, shape evaluation questions, recommend data sources, and review findings. As a consequence of being involved, stakeholders are more likely to find the results credible, useful, and relevant, and less likely to curtail evaluation operations or hinder accurate and appropriate uses of the results.
Design	
Methodological Approach	The report should describe the selected methodological approaches and how, within the constraints of time and cost, they yielded data that help answer the evaluation questions. The data gathered need to be aligned with the goals that the project is intended to achieve. The data can vary, however, in how directly they indicate the attainment of project goals. Most projects are more likely to show effects on proximal outcomes than on distal outcomes that are either logically or temporally remote. (For example, a project has been designed to improve high school students' motivation to learn science. A proximal measure of the project's success would be student self-reports of interest in science content gathered immediately before and after the project. A distal measure would be whether the students decide to study science in college.) Furthermore, the approaches should be grounded in respected methodological frameworks and best-practice literature. This increases the chance that project features and context that are likely to make a difference in project operations and outcomes will be identified. Methodological approaches that look narrowly at project inputs and solely examine the results of quantitative outcome measures may not capture all the noteworthy influences, impacts, and outcomes of a complex project. Qualitative and mixed method approaches present alternative ways of detecting impacts, especially unanticipated ones. To corroborate evaluation findings and to provide multiple perspectives, it is highly desirable that evaluators measure multiple outcomes and gather data from multiple sources (triangulation). Important constraints on the evaluation design (e.g., lack of random assignment of

	respondents to treatment and comparison groups, or lack of data on long-term effects) should also be stated at this point in the report.
Information Sources and Sampling	The sources of information used in a project evaluation should be described in enough detail to show that the information is sufficient to meet the evaluation's purposes. The groups selected to provide information (e.g., administrators, teachers, students, parents) should be described. If a sample was used, the description should include: • the sample selection criteria (e.g., the lowest achievers, the best instructors) • the process by which the sample was selected (e.g., random, purposive) • the sample size • whether or not any comparison or control groups were included • whether and how participants were assigned to treatment and comparison groups The extent to which the sample is representative of the entire population should be indicated. Information about the sample will help reviewers determine the extent to which the information provided about the sample is of sufficient depth to help users of the report judge its representativeness and appropriateness given the scope, context, and resources of the evaluation.
Instruments	The report should describe the nature of the various instruments and how they are used to gather the needed information. Instruments should be used as intended in order for the data produced to be reliable and valid.
Data Collection Procedures and Schedule	The report should describe how and when data were obtained from the various sources and how the sources provide corroboration and multiple perspectives. A description of the data collection and its intent provides a context for judging and interpreting evaluation findings and recommendations. The description of the data collection can inform the conduct of similar evaluations in other settings. Information about the timing of data collection is important because the project's maturity needs to be considered when drawing conclusions about the project's strengths and weaknesses. For example, a survey questionnaire administered to participants halfway through the project is likely to have different results than a survey administered at the completion of the project. Hence, this section should describe: • how and when an appropriately broad range of data were collected • what steps were taken to get essential data from the sample and other targeted sources (this might include a human subjects review) • how the data have met the criteria of validity • how reliability was achieved through the systematic training of data collectors and consistent data collection and scoring procedures • how the data collection procedures limited the burden of time and effort placed on project participants

	Different models of evaluation present different data collection needs. For example, a formative evaluation requires that ongoing project activities be assessed at points in time that enable project developers to refine the project's components.
Meta Evaluation	Evaluation purposes and procedures should be reviewed periodically, particularly during longitudinal evaluations, to determine whether the evaluation design, instruments, and procedures are adequately capturing the project's implementation, impacts, and outcomes.
Analysis Process	
Quantitative Analysis	The quantitative analysis procedures should be appropriate to the evaluation questions being addressed and the characteristics of the information being analyzed. The practical significance (e.g., effect sizes) and replicability, as well as statistical significance, should be considered when drawing inferences and formulating conclusions from quantitative analyses. Analyses of effects for identifiable subgroups should be considered, as appropriate, because a program may have differential effects for them. In addition, the number of informants who actually provided data should be reported. (Informants who fill out a survey are called "respondents," and the percent of those solicited who actually respond is called the "response rate." This will help reviewers determine the extent to which the informants are representative of the total population. Potential weaknesses in the quantitative data analysis, along with their possible influence on interpretations and conclusions, should be described.
Qualitative Analysis	The qualitative analysis procedures should be appropriate to the evaluation questions being addressed and the characteristics of the information being analyzed. As the evaluation progresses, the accuracy of findings from qualitative data must be confirmed by gathering evidence from more than one source and by subjecting inferences to independent verification. Potential weaknesses in the qualitative data analysis, along with their possible influence on interpretations and conclusions, should be described.
Results & Recommendations	
Interpretations and Conclusions	This section of the report should be thorough and fair in noting, in a balanced and unbiased way, the project's anticipated and unanticipated strengths (e.g., smooth implementation, positive outcomes) and weaknesses (e.g., obstacles to implementation, evidence of negative outcomes), so that the strengths can be built on and problem areas addressed. When relevant data are inaccessible because of time and cost constraints, the resultant omissions should be noted and the effect of such omissions on the overall judgment of the project's impacts and effectiveness should be estimated. If the project has been implemented in multiple settings, and each setting was a locus of data collection, the evaluation should compare and contrast findings across the sites in order to find results that are generalizable to the project as a whole. Some lessons learned about the project may also be generalizable to other projects, and should be identified in the report. When legitimate, generalizable

	statements about program effectiveness can contribute to theory development by providing positive examples for analysis and replication. The conclusions section should report the findings with more broad-based statements that relate back to the project's goals and the evaluation questions. To view the significance of the project's impacts from a sufficiently wide perspective, the impacts can be examined in light of the alternatives (such as no other project, or a different type of project, to meet the need). In posing conclusions, the evaluators should be open and candid about the values and perspectives they have brought to the task so that readers of the evaluation will be able to understand the context in which their judgments are rendered. The conclusions can contribute to the furthering of professional excellence in the evaluation community by relating the outcomes of the evaluation to approaches and practices espoused by other evaluators.
Recommendations	When appropriate, recommendations should be included, either for current stakeholders or for others undertaking projects similar in goals, focus, and scope which were designed to serve similar participant groups in similar contexts. Care must be taken to base the recommendations solely on robust findings and not on anecdotal evidence, no matter how persuasive.
Stakeholder Review and Utilization	On sharing the report with stakeholders: A draft of the report should be reviewed by key stakeholders so that the findings can be discussed, lingering issues can be resolved, and the stage can be set for the next steps to be taken, given the successes and failures that the results have revealed. After the draft of the evaluation report has been reviewed, all stakeholders and others with legal rights to the results should receive access to the final version of the report. The evaluator's judgments and recommendations need to be perceived as clearly and frankly presented, backed by descriptions of information and methods used to obtain them. Such disclosures are essential if the evaluation is to be defensible. The report needs to be written in a responsive style and format. Different reports may need to be provided for different audiences that have different needs and perspectives (e.g., perhaps a longer, more technical report for the funder and a shorter report for lay audiences such as parents of student participants).