

ESCAP M&E SYSTEM

Monitoring & Evaluation System Overview
and Evaluation Guidelines



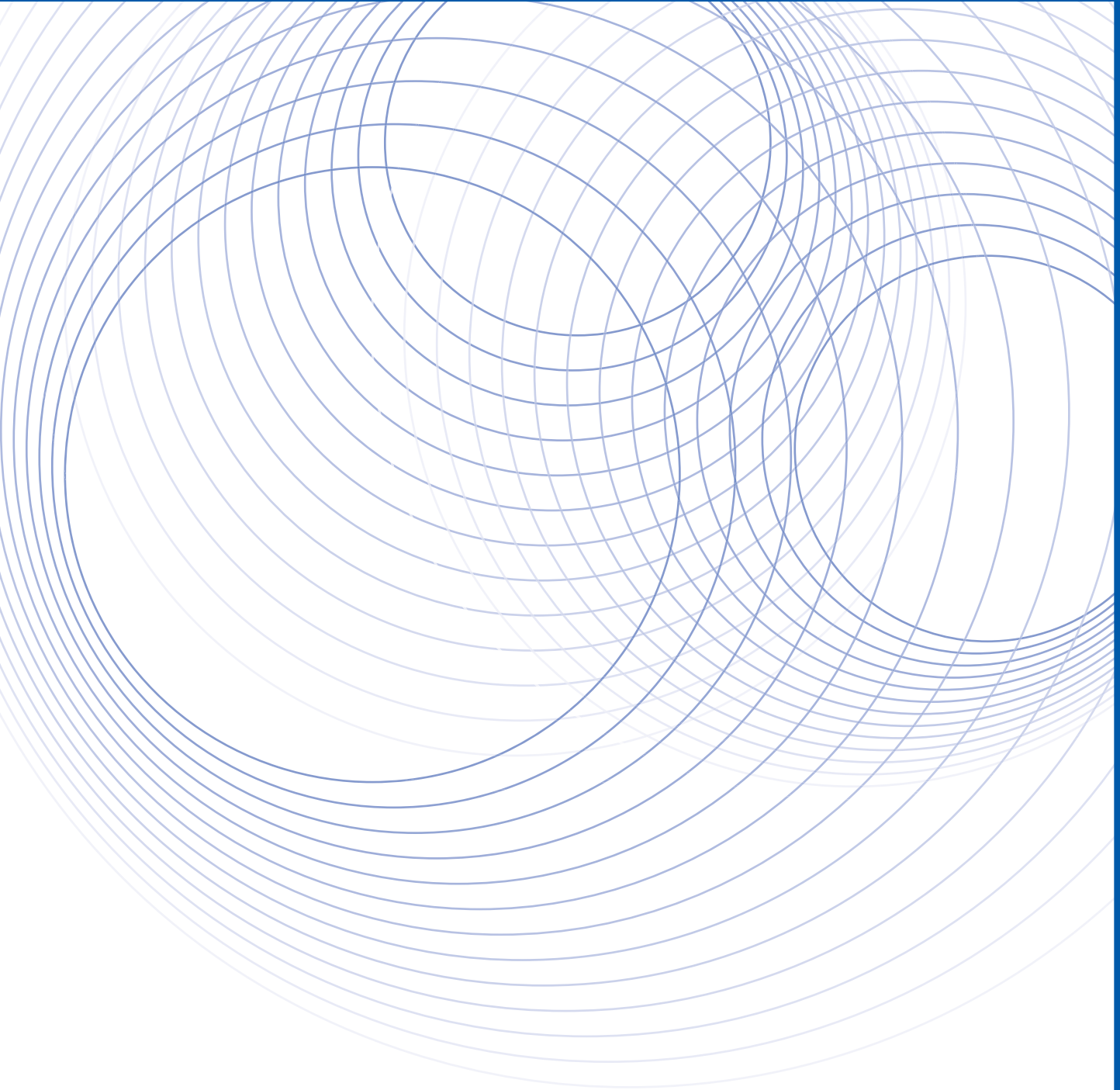
M&E

ESCAP is the regional development arm of the United Nations and serves as the main economic and social development centre for the United Nations in Asia and the Pacific. Its mandate is to foster cooperation between its 53 members and 9 associate members. ESCAP provides the strategic link between global and country-level programmes and issues. It supports Governments of countries in the region in consolidating regional positions and advocates regional approaches to meeting the region's unique socio-economic challenges in a globalizing world. The ESCAP office is located in Bangkok, Thailand. Please visit the ESCAP website at www.unescap.org for further information.



The shaded areas of the map indicate ESCAP members and associate members.

Evaluation Guidelines



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ACRONYMS/ GLOSSARY

ASD	Administrative Services Division
ESCAP	United Nations Economic and Social Commission for Asia and the Pacific
EPOC	ESCAP Pacific Operations Centre
GA	General Assembly
IMDIS	Integrated Monitoring and Documentation Information System
M&E	Monitoring and evaluation
Offices away from Bangkok	Regional institutions and subregional offices under the auspices of ESCAP
OIOS	Office of Internal Oversight Services
PME focal point	Planning, monitoring and evaluation focal point
PMD	Programme Management Division
PSC	Programme Support Costs
RB	Regular budget
RBM	Results-based management
TOR	Terms of reference
UNDP	United Nations Development Programme
UNHQs	United Nations Headquarters
XB	Extrabudgetary

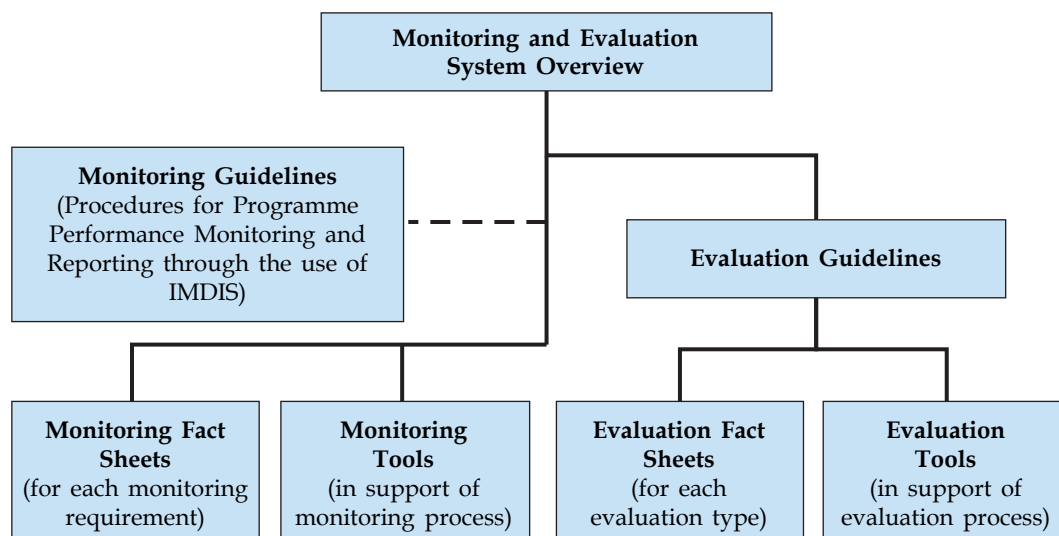
INTRODUCTION

Evaluation at ESCAP is governed by the regulations and rules of the United Nations Secretariat as put forth by the Secretary-General¹ and guided by the principles for evaluation developed by the United Nations Evaluation Group.² ESCAP’s Evaluation Guidelines operationalize these rules and principles by providing ESCAP staff members with practical guidance on how to manage and conduct evaluative processes. The present Guidelines have been designed as a stand-alone document to be used as a tool for guiding evaluation managers and other ESCAP staff members through a 10-step process of planning, managing and using the findings of an evaluation or evaluative review. The Guidelines apply equally to evaluations and evaluative reviews³, unless otherwise specified.

Evaluation Guidelines in the context of ESCAP’s M&E System

The Evaluation Guidelines form part of ESCAP’s Monitoring and Evaluation (M&E) System (see Figure 1). The M&E System Overview is a document that outlines the role of M&E in the context of results-based management. The document contains ESCAP’s evaluation framework, including norms and criteria, roles and responsibilities of different ESCAP stakeholders in the planning and budgeting of evaluations and in the evaluation process itself. ESCAP’s evaluation framework is operationalized in the present Guidelines.

Figure 1. Components of ESCAP’s M&E system



¹ Secretary-General’s Bulletin, “Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation”, ST/SGB/2000/8, 19 April 2000.

² United Nations Evaluations Group (UNEG), “Norms and Standards for Evaluation in the UN System”, April 2005 (available online at <http://www.uneval.org>); also see Annex IV on how these are applied at ESCAP.

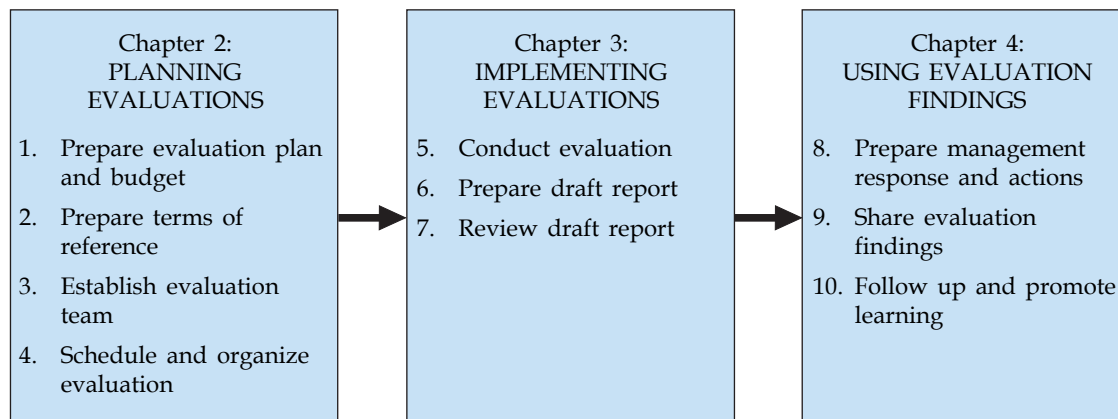
³ See pages 4-5 of the Evaluation Guidelines for a definition of ‘evaluation’ and ‘evaluative review’.

Structure of the Evaluation Guidelines

Chapter 1 of the Guidelines outlines the different types of evaluative processes at ESCAP and the related requirements, roles and responsibilities of ESCAP staff and other stakeholders.

Chapters 2 to 4 of the Guidelines are based on a 10-step evaluation process, divided into three stages, as shown below:⁴

Figure 2. Stages in the evaluation process



Evaluation Tools

A set of “evaluation tools”, including checklists and templates, are provided separately to support the evaluation steps where necessary. Reference is made to the tools throughout the text and a list of tools is included in Annex II.

Evaluation Fact Sheets

A set of “evaluation fact sheets” describes how the 10 evaluation steps are applied in different types of evaluative processes and outlines the related roles and responsibilities. The different types of evaluative processes are shown in Figure 3, and a list of fact sheets is provided in Annex III. The fact sheets are subject to continuous updates. The latest versions are available on iSeek: (http://iseek.un.org/webpgdept1028_79.asp?dept=1028).

⁴ The evaluation approach adopted by ESCAP, shown in Figure 2, is based on evaluation guidelines used by other organizations, most importantly OIOS (2005), UNDP (2002) and DFID (2005) (see Annex I).

1. EVALUATION AT ESCAP

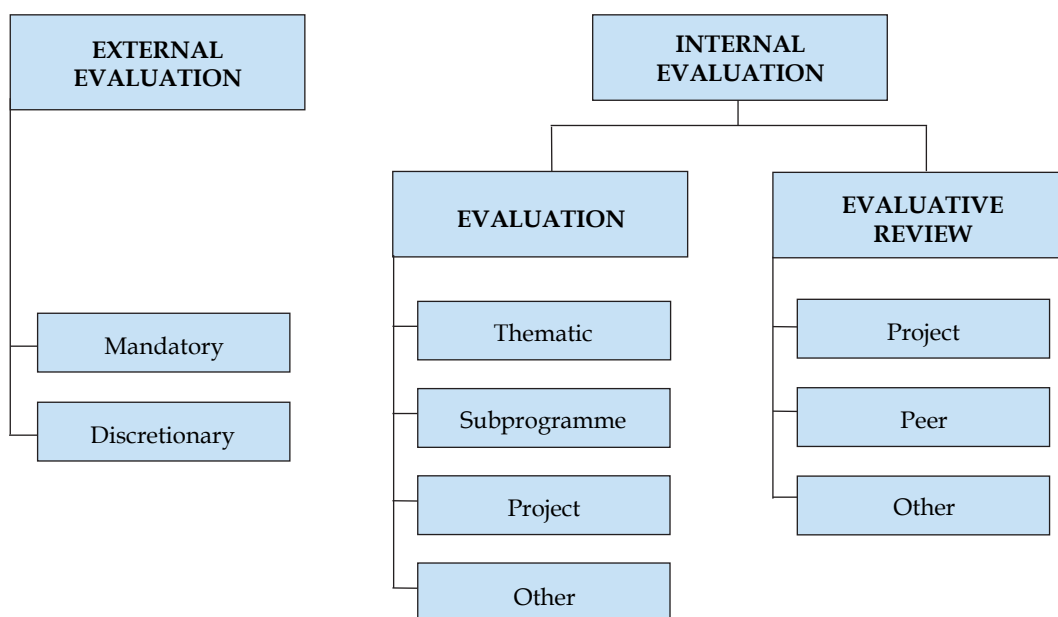
Evaluation in the ESCAP context is defined as a selective exercise that seeks to determine as systematically and objectively as possible the relevance, efficiency, effectiveness and sustainability of an ongoing or completed subprogramme, project, modality, theme or other initiative in light of its expected results. Evaluations encompass design, implementation and results to provide information that is credible and useful, enabling the incorporation of lessons learned into executive planning and decision-making. Evaluation asks three questions: Are we doing the right thing, are we doing it right, and are there better ways of achieving the expected results? Evaluation is thus used to strengthen accountability and to foster institutional learning with a view to improving the quality of ongoing and future initiatives.

This chapter covers different types of evaluative processes at ESCAP and the related requirements, roles and responsibilities of staff and other stakeholders.

1.1 Types of evaluative processes at ESCAP⁵

The categories of evaluative processes shown in Figure 3 below are distinguished on the basis of the genesis of the evaluation and on who manages the evaluation process.

Figure 3. Types of evaluative processes at ESCAP



⁵ ESCAP’s definitions are aligned with those of the Office of Internal Oversight Services (OIOS) “Glossary of Monitoring and Evaluation Terms”; http://www.un.org/Depts/oios/mecd/mecd_glossary/index.htm.

1.1.1 External evaluations

External evaluations are managed and conducted by entities outside ESCAP, such as the Joint Inspection Unit (JIU), which has a UN-wide mandate, or by the Office of Internal Oversight Services (OIOS) on the basis of its UN Secretariat-wide mandate. External evaluations can be mandatory or discretionary:

Mandatory external evaluation

Mandatory external evaluations are requested by intergovernmental bodies such as the General Assembly, the Committee for Programme and Coordination, functional commissions, regional and sectoral intergovernmental bodies or other technical bodies. The primary purposes of mandatory external evaluations include oversight and support to decision-making at the intergovernmental level; their findings are however highly useful also for programme managers, who are often required to implement their recommendations and report back to the requesting intergovernmental body.

Discretionary external evaluation

Discretionary external evaluations are requested by programme managers and designed, managed and conducted by an external entity. The primary purpose of discretionary external evaluations is organizational learning on the basis of independent and objective assessments for improved performance; their findings may however also support decision-making and accountability at the intergovernmental level. In conjunction with the development of ESCAP's Evaluation Plan (see also section 2.1.2) the Executive Secretary can put forward suggestions for such evaluations.

1.1.2 Internal evaluations⁶

Internal evaluations are managed by ESCAP staff. They can be requested by the Commission or planned by the ESCAP secretariat and as such be either mandatory or discretionary. Ad hoc evaluations may be conducted on the basis of emerging needs and priorities of member States or the secretariat.

ESCAP distinguishes between two types of internal evaluations, namely "evaluations" and "evaluative reviews", as described below:

Evaluation

The term "evaluation" is utilized for evaluations that are managed by the Evaluation Officers in the Programme Management Division (PMD). This requirement is introduced to strengthen the independence and impartiality of the evaluation process and its findings and recommendations. Evaluations have the purpose of supporting decision-making at the strategic management level and hold the secretariat accountable to member States and external stakeholders. Different categories of evaluations include:

- *Thematic*: An evaluation focused on a cross-cutting theme, fund, sector, modality, or service;
- *Subprogramme*: An evaluation that considers the effects of the total portfolio or major components of activities that are aimed at achieving a common set of results as set out in the strategic

⁶ The terminology used by OIOS, "internal evaluation or self-assessment," also covers the programme performance assessments that ESCAP considers part of its monitoring framework; see ESCAP's M&E System Overview.

framework. The scope of a subprogramme evaluation could be the combined work of a division, a section, a subregional office or a regional institution, or the portfolio of technical cooperation activities implemented under the subprogramme;

- **Project:** An evaluation that focuses on the achievement of the results outlined in the logical framework of a project, often within the context of a broader programme. Most often, project evaluations are planned when the project is developed and included in the project document and budget.
- **Other:** Any other evaluative process for which it is deemed necessary that the process is managed by the Evaluation Officers of PMD to strengthen the independence of its findings.

Evaluative review

“Evaluative reviews” may be managed by any division or by any office away from Bangkok. A distinctive feature of an evaluative review is therefore that the programme/project implementer may also be the manager of the evaluation. Evaluative reviews have the primary purpose of fostering organizational learning. Different types of evaluative reviews include:

- **Project:** Similar to project evaluations, a project evaluative review focuses on the achievement of the results outlined in the logical framework of a project. Project reviews are managed by the project implementer and typically conducted by external consultants. Project reviews are funded from the project budget;
- **Peer:** A peer review can be managed by any division or office. Peer reviews are conducted by a group of nominated staff representatives (peers), and the managing office would extend secretarial support to the process. Members of the peer group evaluate organizational performance and practice relating to particular modalities, sets of activities, reports or procedures. Peer reviews are particularly useful in establishing quality standards for activities under review, mainstream an awareness of such quality standards and promote a quality-oriented work culture. Reviews of the same subject may be conducted periodically to ensure continuity in organizational learning. External consultants may be contracted to provide specialist advice.
- **Other:** Evaluative reviews may cover any topic. For example, an evaluative review of a cluster of linked activities or a delivery modality could be undertaken by a division, resulting in systematic documentation of lessons learned and the generation of consolidated conclusions and recommendations. All “other” evaluative reviews should, as any evaluative review, be conducted in accordance with ESCAP’s Evaluation Guidelines.

1.2 Roles and responsibilities

1.2.1 Organizational roles and responsibilities

The following organizational roles and responsibilities govern evaluation at ESCAP (see also Table 1 and *Evaluation Tool 8: Evaluation process checklist*):

- **The Commission:** Responsible for guidance and oversight of the work of the ESCAP secretariat. May request evaluations of ESCAP’s subprogrammes, projects or other activities through resolutions. Committees that are subsidiary to the Commission may recommend to the Commission the undertaking of an evaluation or evaluative review.
- **The Office of Internal Oversight Services:** Responsible for guidance and oversight of evaluation processes within the United Nations Secretariat. May conduct mandatory or discretionary external evaluations of ESCAP. On an ad hoc basis, ESCAP may turn to OIOS (or other UN evaluation offices) for the provision of quality support for internal evaluations.

- **The Executive Secretary:** Responsible for all activities undertaken by the ESCAP secretariat, which, in the context of evaluation means approving the biennial Evaluation Plan, approving the management response to evaluations and in some cases also to evaluative reviews, and ensuring that evaluations and evaluative reviews are used to promote learning and strengthen accountability at ESCAP.
- **Senior Management:** Senior managers at ESCAP play an important role in ensuring the use of evaluations. Through signing off on management responses and follow-up action plans, they commit to and are thus held accountable for the implementation of follow-up to evaluations. Division Chiefs and Heads of offices away from Bangkok, being responsible for ensuring that activities under their purview are subject to regular evaluative reviews, also play an important role in the formulation of ESCAP's Evaluation Plan.
- **Evaluation Officers:** A central responsibility of PMD's Evaluation Officers is to extend quality assurance and support to evaluative reviews, including during the preparation of the terms of reference (TOR), the identification of evaluation consultants and the review of the evaluation report. In providing this service, the Evaluation Officers are concerned with assessing and improving the merit or the worth of evaluative activities and their adherence to UNEG and ESCAP norms.⁷ The Evaluation Officers also coordinate the formulation and monitoring of ESCAP's Evaluation Plan and the management response to all evaluations and evaluative reviews. For evaluations, they further take on the role of evaluation manager (see Table 1).
- **PME focal points and assistants:** Each operational division and the ESCAP Pacific Operations Centre (EPOC), in addition to the Office of the Executive Secretary and the Human Resources Management Section, Administrative Services Division (ASD), have appointed planning, monitoring and evaluation (PME) focal points and assistants. This group of staff members serves as the anchor of M&E at ESCAP. In the context of evaluation, the PME focal points and assistants facilitate the formulation of the biennial ESCAP Evaluation Plan, provide guidance to their colleagues on evaluation during the design phase of programmes and projects, and coordinate the monitoring and reporting on follow-up to evaluations by their division or office.
- **ESCAP staff:** Staff from ESCAP divisions and offices away from Bangkok support evaluation by providing inputs to ESCAP's Evaluation Plan, organizing and participating in interviews conducted by evaluators and reviewing and disseminating evaluation reports. They also share the organizational responsibility of ensuring the utility of evaluations by contributing to the implementation of follow-up actions for which their office is responsible. For specific evaluations or evaluative reviews, ESCAP staff members may take on the role of evaluation manager or be part of the evaluation team (see Table 1).

1.2.2 Roles and responsibilities in evaluative processes

The following roles and task are relevant to all evaluative processes:

- **The evaluation manager:** The primary role of the evaluation manager is to manage the evaluation *process*, rather than conduct the evaluation. Typical tasks of the evaluation manager include preparing the terms of reference, establishing the evaluation team, overseeing the review of the report, disseminating evaluation results and making other logistical arrangements. PMD's

⁷ The norms for evaluation applied at ESCAP are outlined in Annex IV.

Evaluation Officers manage evaluations under the supervision of the Chief of PMD. Evaluative reviews are managed by staff from any division (including staff from PMD) under the supervision of the relevant division chief or head of office. PMD Evaluation Officers provide support as requested to the management of evaluative reviews.

- **The evaluator or evaluation team:** Conducts the evaluation through document reviews, interviews, surveys, meetings and site visits, etc. The team is generally comprised of one or more external consultants (see Table 1);
- **The management response:** The management response is the formal, written response from ESCAP's management to the findings and recommendations of an evaluation or an evaluative review. The management response is formulated jointly by organizational entities that are responsible for or will be involved in the follow up to the evaluation, and is signed by the relevant Chiefs as well as the Chief of PMD. For evaluations, the management response is also signed by the Executive Secretary.

1.2.3 Involving stakeholders in evaluation processes

Involving stakeholders before an evaluation starts, and keeping them informed about progress during the evaluation process allows the stakeholders to explain their expectations to the evaluation and raise related questions and concerns. This involvement is central to ensuring the support of stakeholders during the evaluation process and afterwards during the implementation of follow-up actions to the evaluation. Stakeholders of an evaluation should be identified in the TOR of the evaluation, and should ideally be involved in the preparation of the TOR.

One mechanism for ensuring the active involvement of stakeholders in an evaluation process is through the establishment of a **reference group or expert panel**. The reference group or expert panel can be formed in order to provide the evaluator or evaluation team with feedback from a technical and methodological perspective. Reference group members can include stakeholders and peers, both internal and external to the project and to ESCAP. The composition of the reference group is at the discretion of the evaluation manager.

A reference group performs a quasi-oversight function that helps ensure transparency of the management process as well as generate a sense of ownership and participation among reference group members and the organization as a whole. While the selection of an evaluator is the responsibility of the evaluation manager, it is recommended to keep the reference group informed of the selection process to ensure that the selected evaluator is acceptable to all stakeholders.

Table 1 summarizes the above sections by outlining the different types of evaluative processes at ESCAP and the related organizational roles and responsibilities.

⇒ See Evaluation Tool 8: Evaluation process checklist

Table 1. Comparison between types of evaluative processes at ESCAP

		EXTERNAL	INTERNAL	
		EVALUATIONS	EVALUATIONS	EVALUATIVE REVIEWS
WHY?	Main Purpose <i>(other purposes in italics)</i>	<ul style="list-style-type: none"> External accountability to member States and donors <i>Internal accountability</i> <i>Organizational learning</i> 	<ul style="list-style-type: none"> External accountability to member States and donors <i>Internal accountability</i> <i>Organizational learning</i> 	<ul style="list-style-type: none"> Organizational learning <i>Internal accountability</i> <i>External accountability</i>
WHO?	Evaluation manager	<ul style="list-style-type: none"> OIOS JIU Other external parties 	<ul style="list-style-type: none"> PMD's Evaluation Officers 	<ul style="list-style-type: none"> Division or office away from Bangkok
	Evaluation team	<ul style="list-style-type: none"> External consultants OIOS staff JIU staff 	<ul style="list-style-type: none"> External consultants 	<ul style="list-style-type: none"> External consultants External peers ESCAP staff (see Table 5)
HOW?	Quality assurance and support (by)	<ul style="list-style-type: none"> OIOS JIU Other external parties 	<ul style="list-style-type: none"> OIOS UNEG^a PMD Reference group 	<ul style="list-style-type: none"> Internal peers PMD's Evaluation Officers Reference group
	Management response (signed by)	<ul style="list-style-type: none"> Executive Secretary 	<ul style="list-style-type: none"> Executive Secretary, the Chief of PMD and heads of other relevant divisions, or offices away from Bangkok 	<ul style="list-style-type: none"> Head of division or office managing the review, heads of other relevant organizational entities, and the Chief of PMD^b
	Dissemination of evaluation findings (to)	<ul style="list-style-type: none"> United Nations Secretariat External stakeholders 	<ul style="list-style-type: none"> ESCAP secretariat United Nations Secretariat External stakeholders 	<ul style="list-style-type: none"> ESCAP secretariat^c
	Follow up to evaluation findings and recommendations (by)	<ul style="list-style-type: none"> ESCAP Other UN Secretariat entities 	<ul style="list-style-type: none"> Executive Secretary All other relevant ESCAP staff 	<ul style="list-style-type: none"> Head of division or office managing the review All other relevant ESCAP staff from divisions or offices that signed the management response

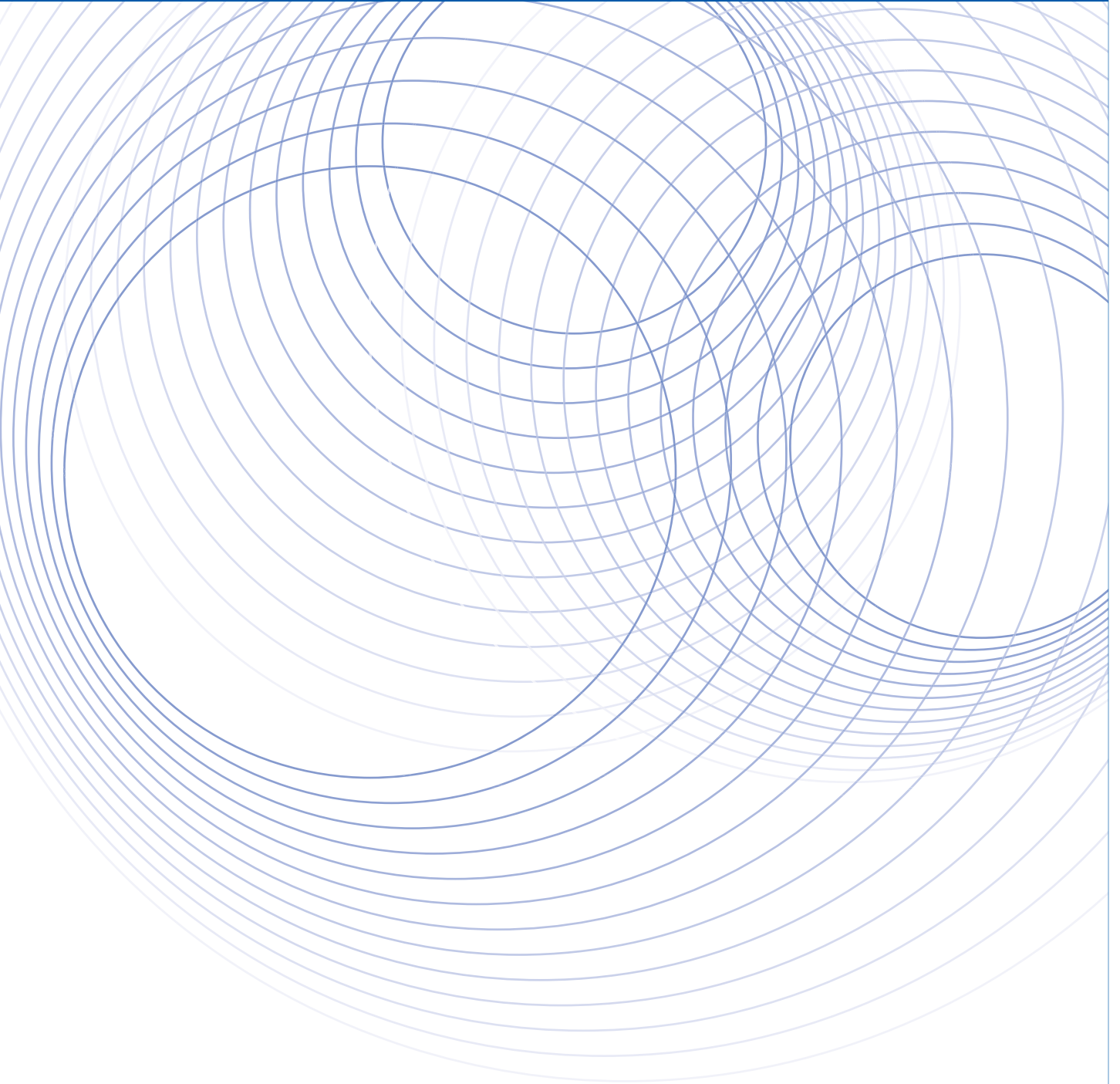
Notes:

^a OIOS or other United Nations Evaluation Group (UNEG) members may be consulted on an ad hoc basis.

^b Divisions managing an evaluative review may request the Executive Secretary to sign the management response.

^c Divisions managing an evaluative review may request that their evaluative review is issued for external distribution.

Planning Evaluations



2. PLANNING EVALUATIONS

Evaluations at ESCAP are listed in the biennial Evaluation Plan, which is developed as an organization-wide exercise around two years before its implementation. More immediately prior to the initiation of an evaluation, the evaluation process is planned by the evaluation manager. This chapter covers the development of the biennial ESCAP Evaluation Plan as well as the detailed planning for the conduct of individual evaluations.

2.0.1 Ensuring evaluability

It is important to consider the “evaluability”, i.e. the extent to which programmes, projects and other interventions can be evaluated in a reliable and credible manner, already at the planning stage. Unless considerations of evaluability are built into the design, an evaluation may eventually not be feasible. In addition to the development of logical frameworks of programmes and projects, options for data collection and availability of baseline data should be considered during the design phase. M&E plans for programmes and projects at ESCAP are developed in support of ensuring monitoring during implementation and evaluability at the mid-term or after finalization. Nevertheless, evaluability will need to be reassessed at the time of a planned evaluation because a project may have changed or altered its strategy of implementation, for example in order to better address the needs of the target group. Such changes would make it difficult to evaluate against the original logical framework and adjustments may accordingly have to be made.

2.1 Step 1: Prepare Evaluation Plan and Budget

2.1.1 ESCAP Evaluation Plan

The ESCAP Evaluation Plan is prepared every biennium and includes evaluation initiatives planned to be carried out by the ESCAP secretariat during the two-year programme cycle, as well as related resource requirements in terms of work months and cash. The Evaluation Plan is developed in conjunction with the formulation of ESCAP’s biennial programme budget and thus forms an integral part of the programme planning cycle.

Division Chiefs and other Programme Managers, in consultation with their staff, identify and propose evaluations and evaluative reviews for inclusion in the Evaluation Plan. PMD reviews the proposals in the context of overall ESCAP evaluation requirements and prepares the draft Evaluation Plan for review and approval by the Executive Secretary. Additionally, performance reviews or other types of assessments mandated by the Commission that will be conducted in accordance with ESCAP’s framework for evaluation are included in the Evaluation Plan.

The selection of what to evaluate is a critical exercise, as it determines the information that the organization will have at its disposal for strategic decision-making. The following should be considered:

- 1) The intended purpose and objective of each proposed evaluation;
- 2) The relative importance of the proposed subject for evaluation within the context of the strategic direction and priorities of ESCAP (pilot projects intended to be replicated, recommendations made by external partners, etc.);
- 3) Evaluations planned by partner governments or other organizations (to complement and avoid overlaps);
- 4) Resource requirements;
- 5) Evaluability.

2.1.2 Budgeting for planned evaluations

In addition to the purpose and objective of evaluations or evaluative reviews, their budget should be considered during the programme or project planning stage. Evaluations and evaluative reviews can be funded from various sources, depending on the type of evaluation, as explained in Table 2.

Table 2. Budgeting for planned evaluations^a

EVALUATION TYPE	SOURCE OF FUNDS (non-staff)
External evaluation	
• Mandatory external evaluation	External resources
• Discretionary external evaluation	ESCAP RB or XB resources, external resources, or a mix
Internal evaluation	
• Thematic • Subprogramme	ESCAP RB or XB resources, including institutional support funds of regional institutions
• Project	Project funds, supplemented by pooled PSC resources as appropriate
Internal evaluative review	
• Project	Project funds
• Peer reviews	ESCAP XB or RB resources

^a The table identifies regular budget (RB) and extrabudgetary (XB) sources of funds for the contracting of consultants and the conduct of specific evaluation activities, including travel. The biennial ESCAP Evaluation Plan also includes an estimate of staff time required to manage and support evaluations.

There are no specific budgetary requirements for project evaluations or project evaluative reviews; however, in general, five percent of the operational project budget (i.e. net of Programme Support Costs (PSC⁸)) is a recommended amount. The project evaluation/evaluative review budget should be developed by considering the relative size of the project budget, the scope of the evaluation and any other criteria applied by the programme and project appraisal mechanisms at ESCAP. The Division Chief or Head of Office away from Bangkok, in coordination with the appraisal bodies, will determine the appropriate budget.

2.2 Step 2: Prepare the Terms of Reference for the Evaluation

Terms of reference (TOR) are used to plan for an evaluation and also form the basis for contracts with external consultants. The evaluation manager prepares the TOR. It is important that stakeholders of the evaluation are involved in the preparation of the TOR to ensure that the evaluation meets stakeholder expectations, is not over-ambitious, and is sufficiently detailed for the evaluation team

⁸ The term PSC refers to a cost recovery mechanism for “indirect costs” associated with the implementation of XB projects. “Indirect costs” refers to work that is undertaken by central administration and management entities (i.e. PMD and ASD) to support the implementation of projects.

to carry out the evaluation. A stakeholder workshop can be organized to ensure that all stakeholders are aware of the evaluation and are able to provide input to the TOR.

The TOR should: (1) define the evaluation, (2) outline an evaluation methodology (design) as detailed below, and (3) set the budget and timeframe.

⇒ See *Evaluation Tool 1: Evaluation TOR template*

2.2.1 Define the evaluation

Purpose

Establish the evaluation purpose by answering the following three questions:

- Whom is the evaluation for? Is it for a particular donor or for member States? Or is it for ESCAP management or staff? Or both?
- Why is the evaluation being carried out? What triggered the evaluation? Is there a specific reason for the timing of the evaluation?
- How will the results be used? By being clear upfront as to how the results will be used (and sticking to this!) and with whom the evaluation will be shared, the evaluation manager can generate trust among all parties involved.

For example:

“The main purpose of the evaluation is to: (i) assess the performance of the project; (ii) derive lessons from implementation; and (iii) to put forward recommendations for future interventions in the same sector area.”

“This evaluation is formative and forward-looking. Its purpose is to evaluate the operations and work plan for [programme or project] with a view to ascertaining how the [programme or project] can be strengthened to better serve the needs of members and associate members of ESCAP.”

“The evaluation will feed into the planned mid-term review of the joint MOU between [partner] and ESCAP, scheduled to be held during the third quarter of 2009. To serve this purpose, the findings and recommendations of the evaluation should provide guidance for the two institutions to further strengthen their partnership for the enhanced achievement of development results during the second half of the term of the MOU.”

Objectives

While the purpose clarifies why the evaluation is carried out, the objectives describe what the evaluation wants to illuminate. Table 3 lists the standard evaluation criteria and additional criteria that relate to United Nations commitments. These criteria can be used to formulate evaluation objectives. It is important that the relevant criteria are included in the objectives.

An example of typical objectives for a programme or project evaluation is:

- To assess the relevance, efficiency, effectiveness and sustainability of the project/ programme/ intervention;
- To assess the extent to which the design and implementation of the project/programme/ intervention took into consideration cross-cutting United Nations commitments relating to gender/ a rights-based approach/environmental sustainability/ priority countries/working as one UN;
- To identify concrete recommendations for improvement.

Table 3. Evaluation criteria

CRITERION	DESCRIPTION
Standard evaluation criteria	
Relevance	Appropriateness of objectives (of a theme or subprogramme) or outcomes (of a project) in terms of ESCAP's priorities, Governments' development strategies and priorities, and requirements of the target groups.
Efficiency	Extent to which human and financial resources were used in the best possible way to deliver activities and outputs, in coordination with other stakeholders.
Effectiveness	Extent to which the expected objectives (of a subprogramme or theme) or outcomes (of a project) have been achieved, and have resulted in changes and effects, positive and negative, planned and unforeseen, with respect to the target groups and other affected stakeholders.
Sustainability	Likelihood that the benefits of the subprogramme, theme or project will continue in the future.
Additional criteria reflecting United Nations commitments^{a,b}	
UN coherence	Extent to which different United Nations agencies and other development partners operate in a coordinated and coherent way in the design and implementation of the subject of the evaluation. This could include utilization of structures in support of regional coordination such as the Regional Coordination Mechanism (RCM) and its Thematic Working Groups (TWG) and ensuring coherent approaches with UN Country Teams through Non-resident Agency (NRA) approaches.
Partnerships	The extent to which key stakeholders have been identified to be partners in the planning and delivery of a programme or intervention.
Aid effectiveness ^c	In the context of the Paris declaration and the Accra Agenda for Action (AAA) this refers to the streamlining and harmonization of operational practices surrounding aid delivery to developing countries to ensure enhanced aid effectiveness. This criterion also assesses the extent to which ESCAP has ensured that the programme or project is driven by the country or territory in which it is implemented or, in the regional context, by the member States, and the extent to which there is a focus on development results and mutual accountability in the design and implementation of the subject of the evaluation.
Gender mainstreaming	Gender mainstreaming is one of the key strategies of UN-supported analysis and strategic planning. This criterion assesses the extent to which gender considerations have been incorporated in the design and implementation of the subject of the evaluation.
Human rights-based approach	Extent to which a human rights-based approach (HRBA), an approach that mainstreams human rights principles throughout programming, has been utilized in the design and implementation of the subject of the evaluation.
Environmental sustainability	Extent to which environmental sustainability considerations have been incorporated in the design and implementation of the subject of the evaluation.

^a The additional criteria overlap to some degree with the standard evaluation criteria. For example, the "one UN" criterion could also be considered under the efficiency criterion, the involvement of priority countries is also part of the relevance criterion, and gender is a cross-cutting issue that could be considered under each of the standard evaluation criteria.

^b A few of the additional criteria (UN coherence, gender mainstreaming, HRBA, and environmental sustainability) are based on United Nations Development Group principles; for more information visit the programming reference guide at: www.undg.org.

^c The current principles for aid effectiveness are outlined on the OECD website: www.oecd.org/dac.

Box 1. Impact

Impact, in the context of ESCAP's work, refers to member States' achievements in bringing about benefits for ultimate target groups (e.g. slum dwellers, rural poor, small and medium-sized enterprises, etc.). Such benefits are linked, among others, to the Millennium Development Goals (MDGs), and indicators used to measure benefits could include the proportion of people living on less than a dollar a day, the number of people living with HIV/AIDS, and the proportion of people with access to safe drinking water.

Apart from difficulties and costs associated with measuring these indicators, evaluating ESCAP's impact is challenging because of the difficulty of attributing observed changes to ESCAP's work or isolating ESCAP's contribution to measured impacts. Rather, ESCAP would seek to evaluate its *contribution* to the achievement of objectives (for subprogrammes) or outcomes (for projects). Further, ESCAP objectives or outcomes generally relate to the formulation and implementation of economic and social policies and programmes by member States. For these reasons, impact is not included in the list of standard ESCAP evaluation criteria presented in Table 3.

Scope

The scope of the evaluation describes what is included and what is not. The following should be considered in defining the scope:

- Description of the subject to be evaluated (project, subprogramme, theme) and what is to be excluded and included;
- The period covered by the evaluation, e.g. the past five years of a subprogramme;
- Geographical area, e.g. the South-East Asian countries targeted by a specific project;
- Stakeholders of the evaluation, such as ESCAP, United Nations agencies, member States, donors, government agencies, civil society/NGOs. For example, an evaluation of expert group meetings could include ESCAP staff members and participants in expert group meetings;
- Point of reference of the evaluation, i.e. what you are evaluating against. For subprogrammes and projects a logical framework is developed as part of the planning process. However, a logical framework may not exist for cross-cutting issues (e.g. human rights) or approaches (e.g. capacity development), as the intent is for these cross-cutting issues to be mainstreamed throughout programmes and projects. It is useful to develop an evaluation logical framework (see Evaluation Tool 2), in particular for those programmes, projects or themes that does not have or did not develop a logical framework during the design phase. The evaluation manager can develop an evaluation logical framework and include it as part of the TOR or it can be included as a task to be performed by the consultant(s) hired to conduct the evaluation;
- Evaluation questions that add more detail to each objective. For example, if one of the objectives is "to assess the relevance, efficiency, effectiveness and sustainability of the programme", then specific questions should be asked under each criterion. The design of the evaluation will be based on the type of evaluation questions. In order to manage the size of the evaluation, it is recommended to limit the number of evaluation questions.

⇒ See Evaluation Tool 2: Sample evaluation logical framework model

⇒ See Evaluation Tool 3: Evaluation questions under evaluation criteria

Limitations

Next, it is useful to identify limitations, or constraints, to the evaluation that could influence the evaluation team in answering the key evaluation questions. Limitations are typically linked to the following areas:

- **Political**, such as political sensitivities, degree of interest/cooperation from member States;
- **Organizational**, including culture, support, managerial interest, knowledge and skills;
- **Budget, time or resources**, i.e. whether these are sufficient to conduct a rigorous evaluation;
- **Data**, which refers to the availability and quality of indicators, data and a baseline (which is especially important in assessing the achievement of outcomes);
- **Attribution**, which relates to how easy or difficult it will be to attribute observed changes to ESCAP.

It is also important to identify possible solutions for limitations, which should then be incorporated in the evaluation methodology or design, although it may not always be possible to develop a rigorous evaluation methodology and address all limitations. For example, in order to alleviate the political sensitivity surrounding an evaluation the evaluation manager could engage stakeholders from the very beginning to ensure that all agree upon the topic under evaluation and the means or strategy for evaluating. You can find more ideas for addressing potential limitations in Evaluation Tool 4.

⇒ See *Evaluation Tool 4: Common evaluation limitations*

Deliverables

The main output of an evaluation is the standard evaluation report. However, this report may deviate from the standard structure. For example, in the case of a forward-looking evaluation, the report may need to include a concrete strategy for the future in addition to individual recommendations. There can also be other outputs that are required before, during or at the end of the evaluation, such as written comments on the TOR, a work plan, or a presentation to ESCAP staff members or management. Additionally, it is important to consider tailoring evaluation outputs to different target audiences. For example, policy-makers may not have time to read the full evaluation report or may not want to carry around the entire report just for the executive summary, but they may have the time to read through an evaluation brief that outlines the key findings, conclusions and recommendations. Also, evaluations mandated by the Commission must be submitted in a format that meets the requirements for pre-session documents.

⇒ See *Evaluation Tool 5: Evaluation report template*

2.2.2 Outline an evaluation methodology

The evaluation methodology, or design, describes the steps and activities that would be taken to answer the evaluation questions. The development of the evaluation methodology at ESCAP is based on standard models, which have been adapted for use at ESCAP, and consists of three steps:

1. Determining the design
 - a. Possibility of before and after comparison;
 - b. Possibility of utilizing a counterfactual;
2. Choosing information collection methods;
3. Determining method(s) of data analysis.

The evaluation manager in the course of preparing the TOR will suggest a methodology. Once the evaluation methodology has been developed, it is essential to revisit the evaluation questions and ascertain that these can be answered through the chosen methodology.

The TOR should also describe limitations to the scope and methodology, based on remaining constraints, to ensure that the reader of the evaluation report can make a judgment on the validity of the findings, i.e. whether the method employed accurately measures what it is intended to measure. Common limitations are described in section 2.2.1 of the Guidelines and in Evaluation Tool 4.

While the TOR should provide a suggested methodology, this may need to be tentative and subject to the recommendations of the evaluator, who may be required to prepare an evaluation logical framework. The purpose of the evaluation logical framework is to provide a reference against which to conduct the evaluation. It reviews the expectations of the evaluation and takes into account actual budgetary allocations, activities implemented and constraints encountered. This exercise provides important leads as to the availability of data and which methodologies would be most appropriate.

⇒ See Evaluation Tool 2: Sample evaluation logical framework model

⇒ See Evaluation Tool 4: Common evaluation limitations

Box 2. The “Gold Standard” in evaluation

Evaluation literature refers to three primary types of evaluation designs to gather and analyze data: experimental, quasi-experimental and non-experimental. Experimental design is also referred to as the “Gold Standard” in the field of evaluation because it most closely resembles laboratory research, which is considered by many to be the most scientifically rigorous form of research. Experimental studies are the best design for attributing causality to the intervention of interest. An experimental study entails randomly assigning study participants to either a “control group” or an “experimental group” and ensuring enough participants for the outcome to be deemed statistically true. Experimental studies are good at ruling out the possibility that something other than the intervention led to the observed outcomes because the evaluator is able to control the potential confounding factors.

In the development field, experimental designs are generally not feasible and are not deemed appropriate. ESCAP applies a combination of quasi-experimental and non-experimental designs. Quasi-experimental designs obtain measurements before (through the establishment of a baseline) and after an intervention, and may include a comparison group that is not targeted by the intervention. Non-experimental evaluation designs only take measurements in relation to the target group after the intervention.

1. Determining the design

a. Possibility of before and after comparison

In order to establish whether an intervention has brought about change, the situation before and after the implementation of the intervention must be compared. An example that could be applicable to ESCAP is a project in the Greater Mekong Subregion to assist national Governments in developing policies to increase rural households’ access to safe drinking water. In addition to reviewing existing policies after the completion of the project, the evaluation should also ascertain what policies existed before the project started. This is referred to as the ‘baseline’ and, ideally, it is

established at the start of the project. Thus, it is recommended that if this type of method is employed it must be planned from the beginning of the project implementation because the data will be more reliable and it will be unnecessary to “reconstruct the baseline”.

b. Possibility of utilizing a counterfactual

If changes have been observed after the implementation of the intervention, it is important to determine whether the changes observed can be directly attributable to ESCAP’s contribution. One way of doing this is by exploring the “counterfactual”, which means asking *what would have happened without ESCAP’s involvement?* ESCAP’s contribution is determined with more certainty if it can be shown that a similar change did not take place for groups or countries that were not targeted by the intervention.

For many evaluations, it will be a challenge to ascertain this information for two reasons: 1) as discussed previously, it is difficult to attribute a change directly to ESCAP’s involvement; and 2) it is difficult to compare the situation of countries to each other because of the many different historical, political, social and economic conditions. As the work of ESCAP is carried out predominantly at the regional, subregional and national levels, it is not always easy to find suitable comparison groups: It is less complex to compare two neighbouring villages, one of which received aid and the other did not, than it is to compare two neighbouring countries or two subregions.

For these reasons it is advisable, in most cases, to utilize option A and plan a comparison of the situation pre/post intervention.

2. Choosing information collection methods

The methodology and evaluation questions should guide the determination of the method of data collection that would be most appropriate. Table 4 lists the information collection methods that are most relevant to evaluations at ESCAP, indicating the main advantages and disadvantages of each method. In most cases, a mix of qualitative and quantitative information will be used. For example, evaluators may first review project documentation and interview project staff to gain a broad understanding of the project (qualitative); then collect financial and other data in relation to the indicators in the logical framework (quantitative), and then conduct a survey or interviews among project partners and target groups (qualitative and quantitative).

The following considerations may help to determine which method of data collection would be appropriate:

- What information is already available and what needs to be collected?
- Which data collection method(s) will best answer the evaluation question(s)?
- What resources and time is available?
- What method will ensure stakeholder involvement?
- Can the validity (accuracy) and reliability (consistency in results using the same method) of data be strengthened through a mixed qualitative/quantitative approach?

3. Determining method(s) of data analysis

Analysis and the interpretation of the results is a critical exercise. Data analysis is the search for patterns and relationships in data and is guided by the evaluation questions. Many different means for analyzing qualitative and quantitative data exist. Whichever method is chosen the evaluation manager and the reference group, if established, should work together with the evaluator(s) to place the findings within the context of the programme, region, organization etc., identify possible explanations for unexpected results, and determine the conclusions that can be drawn from the data without unduly influencing the recommendations.

Bias, or the introduction of systematic error, is inevitable no matter which method of analysis is chosen. Triangulation is a recommended method for reducing bias. Triangulation is the usage of multiple (three or more) types of data (quantitative and qualitative), data sources or methods of analysis to verify and substantiate an assessment. Essentially, triangulation provides a stronger assessment because it has been cross-checked or substantiated through multiple methods.

Table 4. Information collection methods most relevant to ESCAP

METHOD	ADVANTAGES	DISADVANTAGES
Review of documentation		
<ul style="list-style-type: none"> Made available to evaluator Collected by evaluator <i>(see Table 7 for a list of documentation types)</i>	<ul style="list-style-type: none"> Inexpensive Fast Easy 	<ul style="list-style-type: none"> Limited to documents available Difficult to verify quality of information Leaves out tacit and informal knowledge
Interviews		
<ul style="list-style-type: none"> ESCAP management/staff Other United Nations agencies External stakeholders involved in or affected by the intervention 	<ul style="list-style-type: none"> Broader view and context of the topic being evaluated Suitable for complex or sensitive topics Increased depth and detail 	<ul style="list-style-type: none"> Time consuming (in arranging and conducting interviews) Extrapolation and comparison of findings may be difficult Evaluator and interviewees must usually be in same location for face-to-face interviews (video-conferences may be possible)
Focus group sessions		
<ul style="list-style-type: none"> ESCAP management/staff (e.g. division chiefs, section staff, or QAT) External stakeholders involved in or affected by the intervention 	<ul style="list-style-type: none"> Faster and more cost-effective than individual interviews Group interaction 	<ul style="list-style-type: none"> Responses cannot easily be compared Inability to give views anonymously
Survey		
<ul style="list-style-type: none"> Written questionnaire Web-based questionnaire Telephone survey 	<ul style="list-style-type: none"> Relatively inexpensive Ability to reach more stakeholders Summarizes findings in a clear, precise and reliable way Suitable for extrapolation and comparison of findings and replication 	<ul style="list-style-type: none"> Usefulness depends on response rate Risk of losing subtle differences in responses due to finite classifications Difficult to verify quality of information
Country/site visits		
<ul style="list-style-type: none"> Interviews Visits to locations 	<ul style="list-style-type: none"> Same as interviews Ability to get feedback from sources close to ultimate target group Suitable for projects whose results can only be verified visually 	<ul style="list-style-type: none"> Time-consuming (in arranging visits and conducting them) Expensive

Source: Based on Bamberger et al. (2006), Kusek and Rist (2004) and Danida (2001).

2.2.3 Set the budget and completion date

During the preparation of the ESCAP Evaluation Plan (Step 1), each planned evaluation has been budgeted and an indicative completion date has been established. In the preparation of the TOR, indicative timelines relating to the start of the evaluation, submission of draft and final reports and sign-off need to be identified. Moreover, it is important to prepare an indicative breakdown of the budget, e.g. consultants' time, travel costs and printing costs. Further details on tasks and timeframes for the evaluation team are provided in Section 2.4.

2.3 Step 3: Establish the Evaluation Team

It is important to uphold the United Nations Norms and Standards for evaluation by minimizing conflict of interest and maximizing the objectivity of the evaluation team.⁹ Within the ESCAP context, complete avoidance of conflicts of interest is only possible when OIOS, JIU, or another external organization conducts an external evaluation of ESCAP. For internal evaluations, conflicts of interest can be minimized by ensuring that the evaluation team members, including the evaluation manager, are not involved with the management, policy or implementation of the subject of evaluation. Thus, the purpose of the evaluation should be carefully considered and guide who is selected for the evaluation team.

Evaluators must have extensive experience in carrying out evaluations, technical knowledge of the topic that is being evaluated as well as other specific expertise, such as country-specific knowledge, language skills and an understanding of ESCAP and the organizational context in which it operates. PMD is available to provide support in identifying suitable candidates.

The United Nations Standards for Evaluation in the UN System¹⁰ advise that work experience in the following areas is particularly important:

- design and management of evaluation processes, including with multiple stakeholders;
- survey design and implementation;
- social science research;
- programme/project/policy planning, monitoring and management.

It is also recommended to identify an evaluator with specialized experience, including data collection and analytical skills, in the following areas:

- understanding of human rights-based approaches to programming;
- understanding of gender considerations;
- understanding of Results-based Management (RBM) principles;
- logic modeling/logical framework analysis;
- real-time, utilization-focused, joint, summative and formative evaluation;
- quantitative and qualitative data collection and analysis;
- rapid assessment procedures;
- participatory approaches.

⁹ United Nations Evaluations Group (UNEG), "Norms and Standards for Evaluation in the UN System", April 2005 (available online at <http://www.uneval.org>).

¹⁰ United Nations Evaluation Group, "Standards for Evaluation in the UN System," April 2005.

Additionally, personal skills in the following areas are important:

- team work and cooperation;
- capability to bring together diverse stakeholders;
- communication;
- strong drafting skills;
- analytical skills;
- negotiation skills;
- language skills adapted to the region where the evaluation takes place.

Box 3. Resources for identifying an external evaluator

Disseminating the TOR for the evaluation through a list-serve or posting on a website of an Evaluation Association may increase the number of qualified applicants for the consultancy. A few of the relevant associations are listed below:

- United Nations Evaluation Group: www.uneval.org/contactus
- Organisation for Economic Cooperation and Development - Development Assistance Committee Network on Development Evaluation (OECD/DAC): www.oecd.org/dac/evaluationnetwork
- International Development Evaluation Association (IDEAS): www.ideas-int.org/
- International Program for Development Evaluation Training (IPDET): www.ipdet.org/
- Monitoring and Evaluation News: www.mande.co.uk
- Sri Lanka Evaluation Association: www.nsf.ac.lk/sleva/
- Malaysian Evaluation Association: www.mes.org.my/

PMD can assist with dissemination of TORs for evaluations and evaluative reviews through the above associations.

In general, evaluations at ESCAP are conducted by an external consultant for cost efficiency. However, depending on the complexity and available budget of the evaluation, an evaluation team may be hired consisting of a lead evaluator and a number of evaluators. A **lead evaluator** would assume overall responsibility for carrying out the evaluation. This includes, among other activities, managing the work of the team, acting as a spokesperson for the team, ensuring the quality of interviews and information gathering, facilitating the preparation of the draft report, presenting the draft report, and producing the final report after comments have been received. Consideration should be given to the balance of evaluation and subject expertise when evaluation team members are selected. It is also important to consider the ability of the evaluator to work as a team member. Depending on the purpose and type of evaluation, the evaluation team can comprise external consultants, OIOS and/or ESCAP staff members, as shown in Table 1 on page 8.

In order to maximise objectivity and minimise conflict of interest, ESCAP staff members can consider the following key points when establishing an evaluation team:

- In order to ensure that the management of the evaluation process is strictly separated from the conduct of the evaluation, the evaluation manager cannot be considered as part of the evaluation team;

- ESCAP staff members cannot be part of the evaluation team for external evaluations or for evaluations with external accountability as the main purpose;
- ESCAP staff members cannot be part of the evaluation team for an evaluation of the work of the secretariat unit in which they work;
- External consultants are contracted when specific expertise is required or when the main evaluation purpose is external accountability;
- Staff members from divisions or offices away from Bangkok make up the team for peer reviews.

Various team compositions are possible for different types of internal evaluations, as described in Table 5.

Table 5. Evaluation team composition for internal evaluations

EVALUATION TYPE	CONSULTANTS	ESCAP STAFF
Thematic, subprogramme or project evaluation (PMD is evaluation manager)	✓	
Peer review	✓	
Project review	✓	✓*

*Note: ESCAP staff cannot be part of the project review team for a review of a project implemented by the organizational unit in which they work. Such reviews would be considered “self-assessments” and as such form part of ESCAP’s monitoring framework.

2.4 Step 4: Schedule and Organize the Evaluation

An overview of arrangements to be made before an evaluation starts is provided below.

2.4.1 Prepare an evaluation work plan

An evaluation work plan is prepared, based on the tasks listed in the TOR. Table 6 outlines a minimum list of related tasks and indicative timeframes.

2.4.2 Gather background documentation

The type of documentation that is necessary for an evaluation team to conduct an evaluation varies with the type and topic of the evaluation. Table 7 contains documentation that is generally provided to the evaluation team.

2.4.3 Brief the evaluation team

For evaluations that are carried out by a larger evaluation team, whether consisting of consultants or staff members, it is recommended to organize a briefing session with the entire team. The briefing could cover the following:

- Introduction of evaluation team members, particularly if they have not worked with each other before;

- Background to the evaluation – ensure that team members understand the programme/project and organizational context;
- The purpose, objectives, scope, outputs of the evaluation;
- Potential limitations of the evaluation;
- Evaluation methodology;
- Proposed evaluation work plan, including roles and responsibilities of team members;
- Available documentation;
- Reporting requirements, as specified in the TOR.

Based on the outcome of this briefing session, it may be necessary to modify the methodology and/or time schedule.

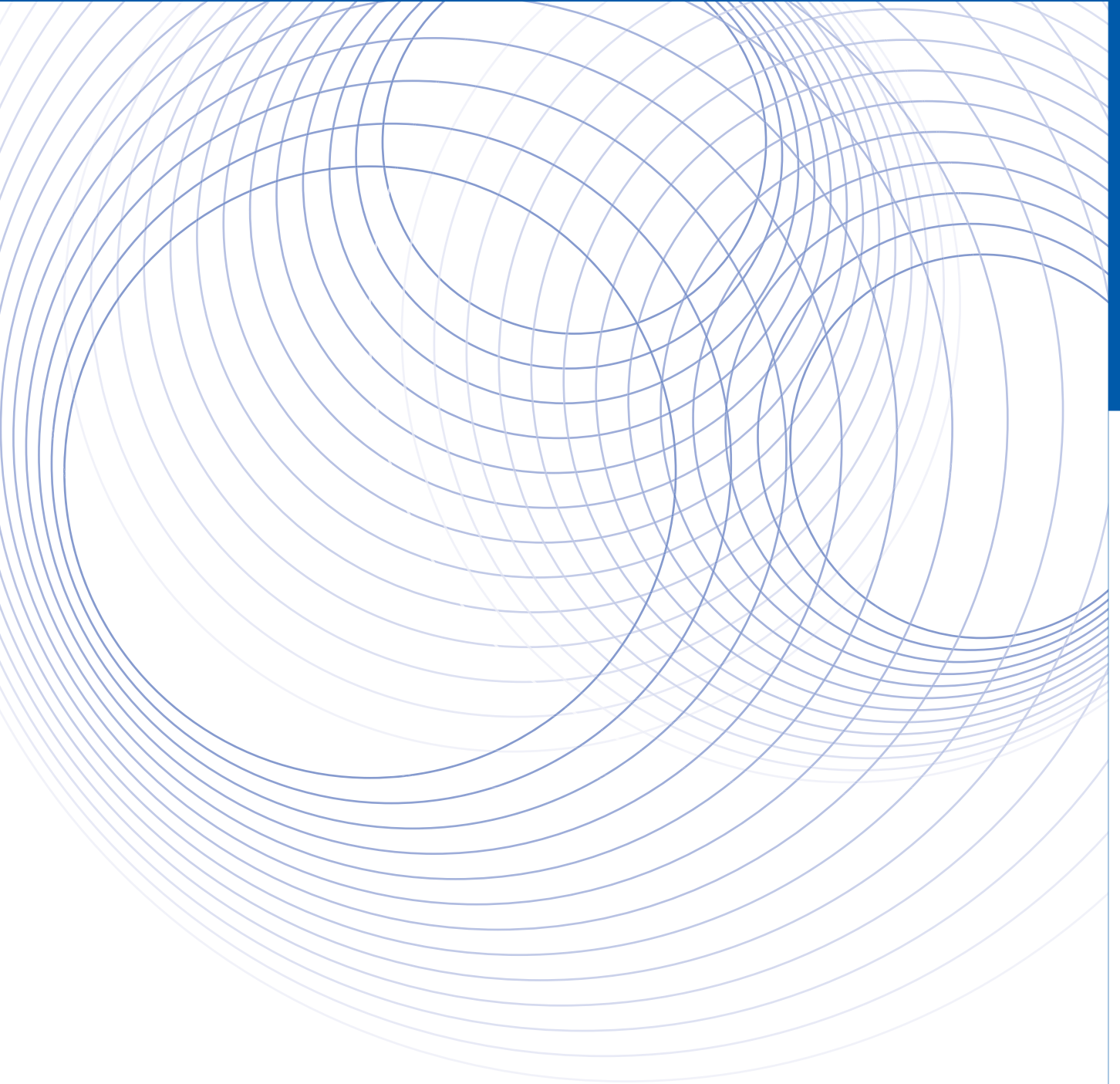
Table 6. Evaluation tasks and indicative timeframes

TASK	RESPONSIBILITY	INDICATIVE TIMEFRAME
Gather background documents	Evaluation manager	
Brief evaluator/team	Evaluation manager	
Inception Report: finalize methodology	Evaluation manager or Evaluator/team	Prior to conducting the evaluation
Conduct the evaluation	Evaluator/team	
Submit draft evaluation report to the evaluation manager	Evaluator/team	Within one month after completing evaluation activities
Provide comments on draft evaluation report to evaluators	Relevant ESCAP staff, ESCAP management, PMD or OIOS (quality control), evaluation manager, and reference group (if established)	Within two weeks after receipt of draft evaluation report
Submit final evaluation report to the evaluation manager	Evaluation team	Within two weeks after receipt of comments
Finalize evaluation report (layout, editing)	Evaluation manager	Within one month after receipt of final draft evaluation report
Sign off on evaluation report	Evaluator (s)	
Formulate management response for inclusion as an annex in the final evaluation report	ESCAP management, coordinated by evaluation manager	
Sign off on management response	ESCAP management	
Share evaluation findings	Evaluation manager and ESCAP management	Within one month after the management response is signed off

Table 7. List of documentation to be made available to the evaluation team

<p>GENERAL</p> <ul style="list-style-type: none"> ✓ Organizational/team diagram ✓ Contact list of relevant ESCAP staff members, partners and other relevant stakeholders ✓ Publications ✓ Research papers ✓ Promotional material (e.g. booklets, brochures, fact sheets, newsletters, posters, information kits) ✓ Press releases ✓ Meeting information (e.g. attendance lists, minutes/reports, agenda, handouts, evaluation questionnaire results) ✓ Training materials ✓ Mission reports ✓ Budget, allotments and expenditures overview ✓ Reports from previous evaluations
<p>PROGRAMMES</p> <ul style="list-style-type: none"> ✓ Work programme, including results framework ✓ Divisional or Sectional Work Plans ✓ IMDIS reports (outputs, work months, Accomplishment Accounts) ✓ Programme Performance Report (PPR)
<p>PROJECTS</p> <ul style="list-style-type: none"> ✓ Project document, including the work and monitoring plan, logical framework, budget and e-TC summary ✓ Relevant agreements (e.g. with the project donor) ✓ Project revisions (if applicable) ✓ Progress reports, including documents referred to in the report ✓ Mid-term evaluation or evaluative review ✓ Project terminal report, including documents referred to in the report

Implementing Evaluations



3. IMPLEMENTING EVALUATIONS

The implementation of evaluations is carried out by the evaluation team. The evaluation manager stays in touch with the evaluation team to provide assistance or clarification where needed, mediate in case any frictions arise, and ensure that the evaluation is carried out ethically and in accordance with the agreed methodology. If a reference group is established, the evaluation manager also ensures their involvement in the process. Implementation involves three steps which are explained below.

3.1 Step 5: Conduct the evaluation

The evaluation team conducts the evaluation following the methodology described in the TOR, and incorporating any changes that were agreed during the planning stage.

It is in general not desirable to change evaluation activities during the course of the evaluation because when a systematic approach is not followed, systematic error, or bias, may be introduced into the evaluation and thus compromising the findings. However, changes may be required in some instances and the lead evaluator should consult with the evaluation manager about major changes. The following are examples from past evaluations:

- The return rate for a survey questionnaire is very low. Therefore, evaluators follow up with interviews by telephone with selected stakeholders to whom a questionnaire was sent;
- Countries to be visited by evaluators, as identified in the TOR, are changed due to the unavailability of informants;
- Additional stakeholders are interviewed in a certain country on the basis of recommendations from project partners interviewed in that country;
- Group meetings with gender focal points are held in addition to interviews with individuals to consider the views of a wider group of people.

Depending on the evaluation, the evaluation team discusses the main findings with the evaluation manager or presents main findings to relevant ESCAP staff members towards the end of their visit to ESCAP. It is important that the evaluation manager ensures the independence of the evaluators by being prepared to accept the findings, also when they differ from the programme or evaluation manager's perspective.

3.2 Step 6: Prepare the draft report

Throughout the evaluation process, the evaluation team will document findings and conclusions. Usually, the lead evaluator will organize and facilitate team meetings to discuss findings and conclusions and coordinate the preparation of a draft report. It is not uncommon for the evaluator to discuss findings with ESCAP staff members involved in the evaluation, for example to verify or clarify statements made during interviews or provide further information where there are gaps. If a reference group has been established, meetings with the evaluator(s) will also serve this purpose.

The table of contents of the Evaluation or Evaluative Review Report is included in the TOR and usually follows the structure described in Table 8.

⇒ See *Evaluation Tool 5: Evaluation report template*

Table 8. Contents of the Evaluation Report

CONTENT	PAGES (estimate)	COMMENTS
Title page	1	<ul style="list-style-type: none"> Title, date of issuance Names of the evaluators Name of ESCAP or division that commissioned the evaluation, web page address where report can be found electronically
Management response		<ul style="list-style-type: none"> To be completed by ESCAP management (see Chapter 4)
Acknowledgments	1	Prepared by the evaluation team
Table of contents	1	List of chapters, sections and annexes
List of acronyms	1-2	In alphabetical order; these are written out in full the first time they are used in the report
Executive summary	1-3	<ul style="list-style-type: none"> Background of the evaluation (one paragraph) Purpose and scope (one paragraph) Methodology (one paragraph) Main conclusions (one-sentence conclusions with brief explanation if needed) Recommendations (one-sentence recommendations with brief explanation if needed) Other comments or concluding sentence
1. Introduction	1-3	<ul style="list-style-type: none"> 1.1 Background of the evaluation and the topic being evaluated 1.2 Purpose, objectives and outputs 1.3 Scope (including evaluation questions)
2. Methodology	1-3	<ul style="list-style-type: none"> 2.1 Description of methodology: activities, timeframe, changes compared to TOR, and reasons for selecting sample reports, countries, sites, case studies, and interviewees as a representation of the topic being evaluated 2.2 Limitations: limitations of the methodology and scope and problems encountered
3. Findings	Varying length	<ul style="list-style-type: none"> 3.1 General: supporting information for the performance assessment and other assessment, if required 3.2 Performance assessment: assessment against relevant evaluation criteria (relevance, efficiency, effectiveness and sustainability) 3.3 Other assessment: assessment against relevant additional criteria (gender, rights-based approach, environmental sustainability, ESCAP priority countries and "one UN")
4. Conclusions	1-4	<ul style="list-style-type: none"> Main conclusions, both positive and negative, of the evaluation that follow logically from the findings Ratings table with ratings for standard evaluation and additional criteria and a brief justification (optional)
5. Recommendations	1-4	<ul style="list-style-type: none"> Recommendations based on the conclusions, which can be addressed to ESCAP management, ESCAP staff, donors and other relevant stakeholders
Annexes		<ul style="list-style-type: none"> I. Management response with follow-up actions (to be completed by ESCAP management; see chapter 4) II. Terms of reference III. List of documents reviewed IV. List of interviewees Other annexes as required (e.g. schedule of work undertaken by the evaluators, reports of meetings, interview summaries, questionnaires)

Source: Based on Department for International Development, "Guidance on Evaluation and Review for DFID Staff", July 2005 (available online at <http://www.dfid.gov.uk/aboutDFID/performance/files/guidance-evaluation.pdf>).

3.3 Step 7: Review the Draft report

The process from the draft report to the final report takes place in two steps, as described below.

3.3.1 Review the draft report

The evaluation manager sends the draft report to the relevant division and office managers and to other programme or project staff for comments. Depending on the evaluation the draft report may also be sent to external stakeholders for comments. Comments can focus on the conclusions and recommendations as well as technical and methodological issues. It is the responsibility of the relevant programme or project officers to conduct a **technical** review with inputs from other stakeholders, which includes:

- Is the information in the report accurate? (i.e., check for factual errors);
- Is the information in the report complete? (i.e., is there information lacking that could affect the conclusion);
- Are the recommendations relevant, objective and specific enough to be implemented?

For all evaluations, the evaluation manager, supported by the PMD Evaluation Officers, conducts a **methodological review** or quality check of the draft report. This review aims to ensure that the report and the drafting process meet a set of standard quality criteria (see Table 9).

The evaluation manager sends the compiled comments to the evaluation team.

➡ See Evaluation Tool 6: Quality checklist for evaluation report

Table 9. Quality checklist used to review evaluation reports

	Quality Check	Description
✓	The report meets the scope, purpose and objectives of the evaluation as stated in the TOR	<ul style="list-style-type: none"> • The report is tailored to the information needs of ESCAP and/or other entities that commissioned the evaluation • The report does not deviate from the scope outlined in the TOR • The report can be used by ESCAP for the intended purpose as stated in the TOR • The objectives, as outlined in the TOR have been met, including: the assessment against relevant performance criteria (relevance, efficiency, effectiveness, sustainability, etc.) is complete, i.e. evaluation questions under each criterion have been answered
✓	The report is structured logically	<ul style="list-style-type: none"> • The report follows the table of contents outlined in the TOR and includes the relevant annexes
✓	The evaluation methodology and its application are explained transparently and clearly	<ul style="list-style-type: none"> • The evaluation methodology is clearly explained and has been applied throughout the evaluation process • Amendments to the methodology compared to what was proposed in the TOR have been clearly explained • The limitations of the evaluation methodology, including problems encountered during the conduct of the evaluation, and their implications for the validity of the findings and conclusions have been clearly explained

(Continued)

Table 9. (continued)

	Quality Check	Description
✓	The findings and conclusions are credible	<ul style="list-style-type: none"> • Relevant qualitative and/or quantitative sources of information have been considered • Analysis is done rigorously: triangulation is employed (cross-checking of findings against other relevant sources); cause-and-effect relationships are explained • Findings are adequately substantiated, balanced and reliable • The relative contributions of stakeholders to the results are explained • Limitations are explained • The conclusions derive from the findings and are clear
✓	The recommendations are useful	<ul style="list-style-type: none"> • The recommendations are clear and follow logically from the conclusions • The recommendations are impartial • Recommendations are realistic, concrete and actionable within a reasonable timeframe • Recommendations for ESCAP should be clearly within the mandate of ESCAP
✓	The report is well written	<ul style="list-style-type: none"> • The executive summary is brief but highlights the key findings, conclusions and recommendations • The report uses consistent grammar and spelling (in accordance with UN rules) • Main messages are clearly distinguished from the text • The report is written in good English and is easy to read • The subject of evaluation (programme, project, other) is clearly described including its logic model or results chain • The stakeholders of the programme or project are clearly identified

3.3.2 Prepare the final report

The evaluation team adjusts the report based on feedback provided and submits the final report to the evaluation manager. The evaluation manager ensures that the report is edited (in most cases only the executive summary is formally edited) and formatted properly. In case of major edits, the evaluators should review the report once more to ensure that this has not affected the content. Next, evaluators sign off on the report and no further changes may be made to the report. For evaluative reviews, the evaluation manager then submits the report to PMD for coordination by the Evaluation Officers of the formulation of ESCAP’s management response and follow-up action plan to its findings, conclusions, and recommendations (see Chapter 4).

Depending on the evaluative process, the lead evaluator or the entire evaluation team may be invited to present the final report to ESCAP staff, management and/or other stakeholders. This presentation could be followed by questions and comments from participants and stakeholders. It can also be used to discuss a draft “management response”.

Using Evaluation Findings

4. USING EVALUATION FINDINGS

The third stage of an evaluation focuses on using the evaluation findings. This stage involves three steps, which are explained below.

4.1 Step 8: Prepare Management Response and Actions

The use of evaluations for accountability and organizational learning is facilitated through the development of a “management response” and a “follow-up action plan” to the findings and recommendations of each evaluation or evaluative review, making up the formal, written response from the organization to their findings and recommendations (see Box 3 for an example). In this regard, it is critical that recommendations are relevant, objective and concrete enough to ensure that management can determine follow-up actions. It is the responsibility of the evaluation manager to ensure this as part of the quality review of the draft evaluation report (Step 7).

ESCAP management assumes a critical leadership role in ensuring the use of evaluations as they are involved in the formulation of management responses and follow-up action plans. Through signing off on management responses and follow-up action plans, they commit to and are thus accountable for the implementation of follow-up to evaluations.¹¹

For all evaluations and evaluative reviews, the process of formulating the management response and follow-up action plan is coordinated by PMD’s Evaluation Officers in consultation with the evaluation manager and representatives from organizational units that are expected to be respon-

Box. 3 Management response (part 2) and follow-up action to a portfolio project evaluation (fictional)

1. **Strategic Recommendation for ESCAP:** ESCAP should develop a partnership strategy, MoUs for partnerships, a partnership action plan and monitoring mechanism. In order to achieve results, cooperation and synergy with other (specialized) institutions should be planned, negotiated, agreed upon and included in work plans, monitoring and evaluations.

Management response: We agree in principle. A comprehensive and results-oriented MOU model for partnerships has been developed since 2005, which needs to be further promoted within the secretariat as a tool for institutionalizing partnership with UN and non-UN organizations. In addition, the partnership strategy will be further sharpened during the process of revising the TC Strategy.

Follow up actions:

Action	Completion date	Responsibility
a. Actively promote the use of the comprehensive MOU model in partnership development as an integral part of implementing the revised TC Strategy	After September 2008	PMD

¹¹ Table 1 (in Chapter 1) provides an overview of who represents ESCAP’s management and is responsible for the management response in different types of evaluative processes. *Evaluation Tool 8: Evaluation process checklist* further details the evaluation process and the varying responsibilities.

sible for or otherwise involved in following up to an evaluation or evaluative review. Upon the conclusion of the work of the evaluator or evaluation team, evaluative reviews must be submitted to PMD for this process to be initiated.

The timely development of the management response ensures that the evaluation recommendations and the corresponding follow-up actions remain relevant, thus the management response should be completed within two months of the submission of the report to PMD.

⇒ See Evaluation Tool 7: Management response and follow-up action plan template

4.1.1 Management response

The management response consists of two parts and is inserted at the beginning of the evaluation report:

- The first part provides an overall response from the perspective of ESCAP management on the evaluation and its results. This can include comments regarding the relevance and usefulness of the results. It may also highlight any differences of opinion with regard to the evaluation findings.
- The second part provides a response from management to each individual recommendation, resulting in either (partial) acceptance or rejection of the recommendation. Additional comments may relate to broader implications for ESCAP, in particular in relation to programme and project planning and implementation.

⇒ See Evaluation Tool 5: Evaluation report template

4.1.2 Follow-up action plan

In conjunction with preparing the management response, evaluation follow-up actions are identified for each accepted recommendation. The expected completion dates and responsible unit are stated for each follow-up action. The follow-up actions are included as Annex I of the evaluation report.

Many actions will relate directly to the topic being evaluated. For example, actions resulting from a project evaluation could be to narrow the focus in a second phase of the project; plan additional workshops; allocate additional staff to the project; or hold a meeting with the donors and other project partners to discuss a future project.

Some findings, conclusions or recommendations may indicate broader implications for ESCAP, which would lead to the identification of longer-term, strategic or institutional-level actions. Therefore, it is important that internal stakeholders are consulted during the development of the follow-up action plan and commit to the management response, where appropriate. Examples of key areas for such actions are:

- Programme management. For example, an evaluation may find that:
 - A certain modality is a very effective or cost-efficient way of achieving a programme objective;
 - Certain existing target groups have no link to policy development in the countries that a programme or project is trying to influence;
 - ESCAP could focus its work in areas where it has a clearer comparative advantage;

In such cases, future programmes across ESCAP need to consider the findings;

- Project management. For example, changes to project planning and appraisal processes may be considered in order to address evaluation recommendations. Or, the standard instructions for preparing a project document may be considered changed on the basis of the findings of an evaluation;
- Human resources. For example, evaluations may highlight the need to adjust recruitment practices, performance appraisal, or training.

⇒ See Evaluation Tool 5: Evaluation report template

4.2 Step 9: Share Evaluation Findings

The evaluation manager is responsible for finalizing the report for publication, including the incorporation of the final management response, the preparation of PDF files of the report and the executive summary, and, if required, overseeing the printing of hard copy reports and commissioning the translation of the executive summary or the entire report.

It is important to note that the report is only finalized and issued after the management response and follow-up actions have been included in the report. A copy of the final report must be submitted to PMD.

Evaluation findings must be shared in accordance with the following guidelines:

- All reports of evaluations and evaluative reviews (including the management response) are made available internally, including on the ESCAP intranet, with the aim of enhancing transparency, ownership and internal accountability;
- Internal briefing sessions are conducted for ESCAP management and staff to highlight important evaluation findings and recommendations, particularly where they are of strategic importance. Such briefings may be given by the lead evaluator or relevant ESCAP staff members;
- Reports of **evaluations** are disseminated to external stakeholders, such as member States and donors, posted on IMDIS as evidence for accomplishment accounts, posted on other relevant electronic databases, and posted on the ESCAP website to enhance transparency and external accountability;
- Reports of **evaluative reviews** and other evaluative processes that focus primarily on organizational learning are normally shared internally only. If external accountability is explicitly mentioned as a purpose for an evaluative review, dissemination to external stakeholders and through the ESCAP website may take place;
- Reports that are mandated to be submitted to intergovernmental bodies (i.e. the Commission, Governing Councils etc.) must be in the proper format, meeting editorial standards for pre-session documents. The document must include information on how to obtain a copy of the full report of the evaluation. If the management response is not finalized in time to be included in the pre-session document, the document should include a foot-note containing (a) the date by which the full report will be finalized and (b) information on how to obtain a copy of the report at that time.

4.3 Step 10: Follow-up and Promote Learning

The evaluation does not end with the dissemination of the findings. Recommendations can only lead to improvements in ESCAP's work if learning from evaluations is promoted and actions following from the recommendations are implemented. It is important that follow-up is incorporated into already existing monitoring processes as much as possible to minimize the time required to track their implementation.

4.3.1 The Executive Secretary

The Executive Secretary (ES) is responsible for overall leadership and oversight of the evaluation function at ESCAP and thus for ensuring that evaluations and evaluative reviews are used to strengthen accountability and promote learning at ESCAP. The ES promotes the use of internal evaluations at ESCAP by:

- Ensuring that findings of strategic importance are considered and reflected in the organization's overall direction and shared with relevant members of the UN system.
- Ensuring that follow-up actions are undertaken by ESCAP management and staff by:
 - Reviewing periodical status reports prepared by PMD and taking action as necessary;
 - Including general or specific requirements in the e-PAS of relevant senior staff members, that they implement evaluation follow-up actions in time. As the e-PAS process includes a mid-term review and an end-of-cycle appraisal, this provides the opportunity to revisit actions every six months.¹²

4.3.2 Division chiefs and heads of offices away from Bangkok

Division chiefs and heads of offices away from Bangkok are responsible for ensuring that follow-up actions under their purview are implemented in time. This is accomplished by:

- Ensuring that the findings from evaluations are shared and used for programme and project planning exercises;
- Incorporating actions for which they are responsible in the Annual Work Plan of their division/office;
- Ensuring that relevant actions are included in the work and monitoring plans of activities, projects and programmes implemented by their division/office;
- Including general or specific requirements in the e-PAS of relevant staff members, that they implement their assigned evaluation follow-up actions in time;
- Monitoring and regularly updating the status of evaluation follow-up actions for which their division/office is responsible;
- Ensuring that the status of evaluation follow-up actions is documented under item 7 of the accomplishment accounts, "Learning: lessons learnt to date and practical suggestions for improvement".

4.3.3 Programme Management Division

PMD is responsible for monitoring the implementation of evaluation follow-up actions by:

- Developing and maintaining an IT tool for tracking the follow-up to evaluations and liaising with PME Focal Points to ensure that the tool is used;
- Liaising with the PME focal points to ensure that follow-up actions are regularly updated so that the status of the implementation of actions is continuously tracked;

¹² It is important to note that, in this way, ESCAP staff members and management are held accountable on the basis of the follow-up actions they take or fail to take as a result of an evaluation, and not whether the evaluation resulted in positive or critical findings.

- Preparing, every six months, an update for the Executive Secretary that includes the status of actions by each division and office away from Bangkok and by evaluation, and a list of outstanding actions that are past the expected completion date.

PMD also organizes workshops open to all staff, at least once a year, which aim to:

- Share experiences in managing and conducting evaluations during the preceding period;
- Review lessons learned from different evaluations and identify concrete areas in which such lessons can be applied;
- Review the status of evaluation follow-up actions and agree on changes, as appropriate;
- Assess successes and barriers in creating an effective evaluation system and culture at ESCAP, and identify what is needed to further improve ESCAP's M&E System.

ANNEXES

Annex I. List of Key Reference Materials

Secretary-General's Bulletin

- ST/SGB/2000/8, 19 April 2000, "Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation"

Publications by the Office of Internal Oversight Services (OIOS)

- A Guide to Using Evaluation in the United Nations Secretariat, June 2005, http://www.un.org/depts/oios/manage_results.pdf
- Proposals on the Strengthening and Monitoring of Programme Performance and Evaluation, April 2005, http://www.un.org/depts/oios/pages/other_oios_reports.html
- Strengthening the role of evaluation and the application of evaluation findings on programme design, delivery and policy directives, April 2006, http://www.un.org/depts/oios/pages/other_oios_reports.html

Publications by the United Nations Evaluation Group (UNEG)

- Standards for Evaluation in the UN System, April 2005, <http://www.unevaluation.org/normsandstandards/>
- Norms for Evaluation in the UN System, April 2005, <http://www.unevaluation.org/normsandstandards/>

ESCAP Project and Programme Management Guide

The objective of the Project and Programme Management Guide (also called "Resource Guide") is to provide ESCAP staff members with a clear set of policies and procedures for programme and project implementation. It is a web-based Guide that can be accessed through the UN Secretariat homepage (iSeek).¹³ The Evaluation Guidelines, including templates, are found in the "Monitoring and Evaluation" section.

Published literature consulted during the preparation of the Evaluation Guidelines and tools

Bamberger et al., 2006. "Real World Evaluation: working under budget, time, data and political constraints". Sage Publications, Inc., www.sagepublications.com

Denmark, Ministry of Foreign Affairs, Danida, 2001. "Evaluation Guidelines", second edition, <http://www.um.dk/en/menu/DevelopmentPolicy/Evaluations/>

United Kingdom of Great Britain and Northern Ireland, Department for International Development (DFID), July 2005. "Guidance on Evaluation and Review for DFID Staff".

Joint Inspection Unit, United Nations, 2006. "Oversight Lacunae in the United Nations System"

Kusek, J.Z. and Ris, R.C, May 2004. "Ten steps to a results-based monitoring and evaluation system: a handbook for development practitioners. World Bank Publications, www.worldbank.org/publications

United Nations Development Programme (UNDP), 2002. "Handbook on Monitoring and Evaluating for Results", www.undp.org/eo/methodologies.htm

¹³ iSeek homepage, via Quicklink "Inside ESCAP" - "Programme Management Division", "Project and Programme Management Guide", http://iseek.un.org/webpgdept1028_3.asp?dept=1028

Annex II. List of Evaluation Tools

The following Evaluation Tools are available for conducting evaluations:

- Evaluation Tool 1: Evaluation terms of reference template
- Evaluation Tool 2: Sample evaluation logical framework model
- Evaluation Tool 3: Evaluation questions under evaluation criteria
- Evaluation Tool 4: Common evaluation limitations
- Evaluation Tool 5: Evaluation report template
- Evaluation Tool 6: Quality checklist for evaluation report
- Evaluation Tool 7: Management response and follow up action plan template
- Evaluation Tool 8: Evaluation process checklist

Annex III. List of Evaluation Fact Sheets

Evaluation Fact Sheets are available for the following different types of evaluation:

- Evaluation Fact Sheet 1: Thematic Evaluation
These evaluations focus on a sector, fund, cross-cutting issue, modality, publication or service. They are managed by PMD Evaluation Officers and carried out by external consultants;
- Evaluation Fact Sheet 2: Subprogramme Evaluation
These focus on entire subprogrammes or major components thereof, e.g. regional institutions or project clusters within a subprogramme. They are managed by PMD Evaluation Officers and carried out by external consultants;
- Evaluation Fact Sheet 3: Project Evaluation
These focus on individual projects. They are managed by PMD Evaluation Officers and carried out by external consultants;
- Evaluation Fact Sheet 4: Evaluative Review: Project Review
These reviews focus on individual projects and are managed by a division or an office away from Bangkok and conducted by external consultants or ESCAP staff not from the division/institution managing the review;
- Evaluation Fact Sheet 5: Evaluative Review: Peer Review
Peer reviews can be of organizational performance and practice relating to particular modalities, sets of activities, reports or procedures. Peer reviews are managed by a division or an office away from Bangkok and conducted by a group of peers.

The fact sheets are subject to continuous updates. The latest versions are available on iSeek: (http://iseek.un.org/webpgdept1028_79.asp?dept=1028).

Annex IV. United Nations Norms for Evaluation adapted for ESCAP

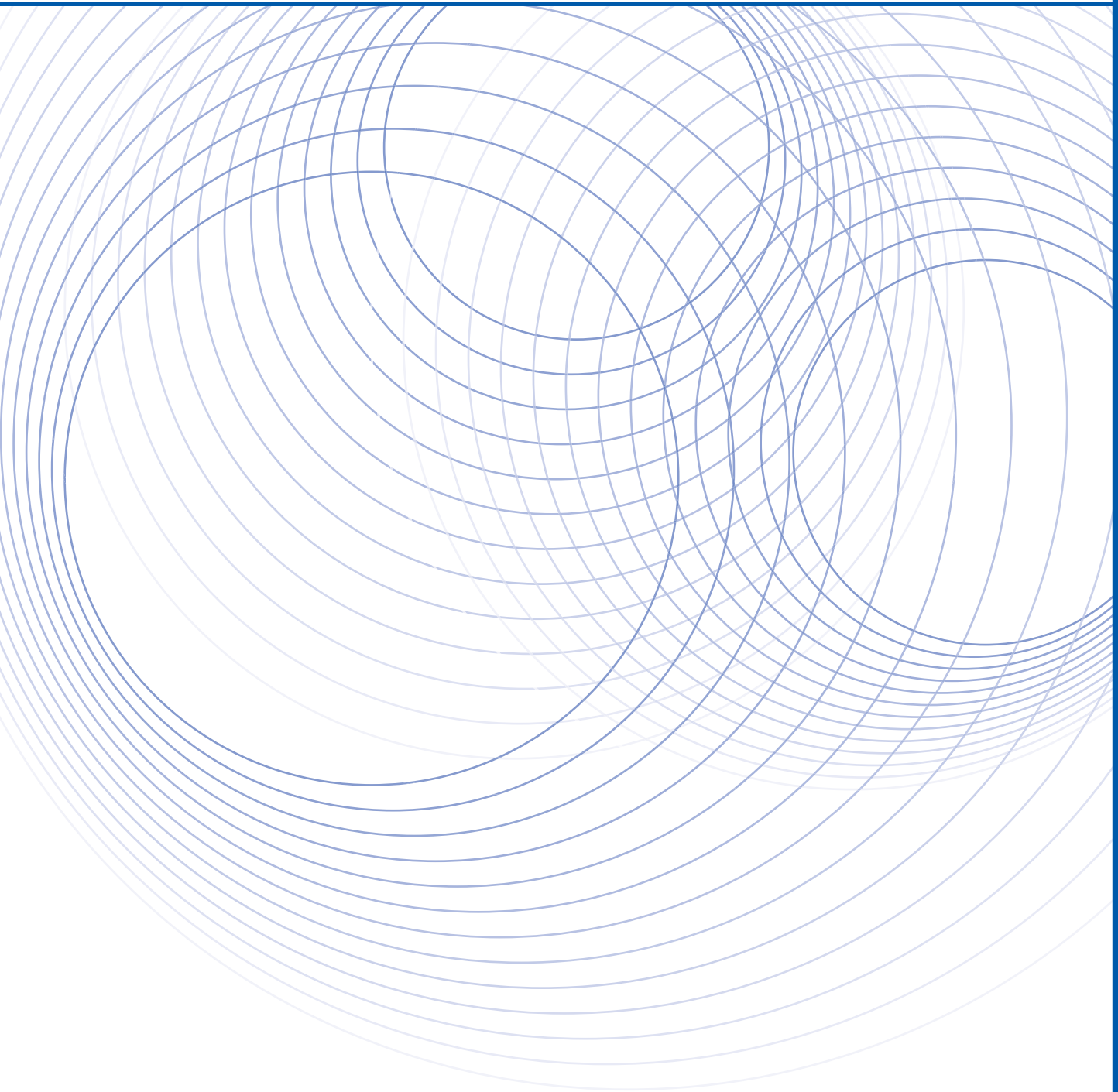
ESCAP seeks to uphold the norms and standards for evaluation developed by the United Nations Evaluation Group.¹⁴ These guiding principles have been adapted for ESCAP's context, as seen below:

- **Intentionality:** The scope, design and planning of evaluations should contribute to the generation of relevant, timely findings that meet the needs of stakeholders. It must be clear from the outset what the evaluation findings will be used for, i.e. for organizational learning to feed into future programmes and projects, accountability to member States and donors, or both;
- **Impartiality:** The need for objectivity in the planning, design, team selection, execution and formulation of findings and recommendations, taking the views of relevant stakeholders into account;
- **Independence:** Only external evaluations that are managed and conducted by organizations other than ESCAP can be considered truly independent. However, most evaluations of ESCAP's work are managed by ESCAP staff. To maximize independence under these circumstances, evaluations that serve external accountability purposes are managed by the PMD Evaluation Officers and conducted by external consultants (evaluators). Evaluations (including evaluative reviews) that serve organizational learning purposes are, to the extent possible, conducted by external evaluators. Independence applies to evaluation managers as well as to evaluators: To avoid conflict of interest and undue pressure, evaluators must not have been responsible for the policy-setting, design or management of the subject of evaluation, nor expect to be in the near future;
- **Evaluability:** Prior to undertaking a major evaluation requiring significant investment of resources, it is necessary to establish that it is technically possible to evaluate the initiative in question and that there is no major factor hindering the evaluation process, such as lack of independence, information, or clear intent of the subject to be evaluated;
- **Quality:** The quality of the findings must be ensured through proper design, planning and implementation, and by preparing a complete and balanced report, which contains information that can be easily distilled into lessons and disseminated;
- **Competencies for evaluation:** Evaluation staff should have formal job descriptions and performance criteria, as well as relevant competencies and skills to conduct evaluations and hire external evaluators;
- **Transparency and consultation:** Transparency and consultation are necessary steps in all stages of the evaluation process to build ownership and facilitate consensus. Evaluation reports (including the terms of reference) should be available to major stakeholders and be public documents that are accessible and readable;
- **Ethics:** Evaluators must have personal and professional integrity, must allow institutions and individuals to provide information confidentially and should verify their statements. They must be sensitive to the beliefs, manners and customs prevailing in a particular social and cultural environment; they should likewise be sensitive to and address issues of discrimination and gender inequality and should discreetly report wrongdoings if appropriate;

¹⁴ United Nations Evaluations Group (UNEG), "Norms and Standards for Evaluation in the UN System", April 2005 (available online at <http://www.uneval.org>).

- Follow up to evaluations: Management is required to provide a response to the recommendations of evaluations, which, at ESCAP, should be included in the report as an annex. Evaluation recommendations that have been accepted by management should be followed up systematically and the status of follow-up should be reviewed periodically;
- Contribution to knowledge building: Evaluation findings and recommendations should be presented in such a way that they can be easily accessed, understood and implemented by target audiences. As such, they need to be relevant and appropriate, bearing in mind the capacity and opportunities of the target audiences to strengthen implementation processes and results. The sharing of evaluation reports should facilitate learning among stakeholders, including, where appropriate, other entities of the UN system.

Fact Sheets and Tools



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EVALUATION FACT SHEET 1

INTERNAL EVALUATION: Thematic Evaluation

*Fact sheets are updated on a continuous basis. The latest versions are available on iSeek:
(http://iseek.un.org/webpgdept1028_79.asp?dept=1028).*

Purpose	<ul style="list-style-type: none"> • Organizational learning • To share findings with member States, donors and other external stakeholders • Accountability is not normally the main purpose of thematic evaluations
Focus	<ul style="list-style-type: none"> • Sectors, focusing on projects within a given sector, such as transport or energy • Funds, covering a cluster of projects and activities sponsored by a particular donor • Cross-cutting issues, such as gender, poverty eradication, or human rights • Modalities / methodological approaches, such as advocacy, or capacity development • Publications, such as the Economic and Social Survey of Asia and the Pacific • Services, such as administrative or programme support services provided by ASD and PMD
Budget	<ul style="list-style-type: none"> • Budgeted centrally by ESCAP, XB or RB funds • The budget size depends on the evaluation
Evaluation manager	<ul style="list-style-type: none"> • PMD
Quality assurance and support	<p>On an ad hoc basis, as requested by ESCAP:</p> <ul style="list-style-type: none"> • OIOS • UNEG • Others
Step 1: Prepare evaluation plan and budget	<ul style="list-style-type: none"> • Thematic evaluations are ideally conducted within the first 18 months of the biennium to allow findings to be used for the preparation of the following Strategic Framework and Programme Budget
Step 2: Prepare terms of reference	<ul style="list-style-type: none"> • PMD Evaluation Officers prepares the terms of reference in conjunction with relevant Divisions and Offices away from Bangkok. • Evaluation criteria and additional criteria may not all be relevant
Step 3: Establish evaluation team	<ul style="list-style-type: none"> • PMD forms the team • The evaluation team normally consists of external consultants with evaluation experience and knowledge of the topic being evaluated
Step 4: Schedule and organize evaluation	<ul style="list-style-type: none"> • PMD schedules and organizes the evaluation
Step 5: Conduct evaluation	<ul style="list-style-type: none"> • The evaluation team conducts the evaluation
Step 6: Prepare draft report	<ul style="list-style-type: none"> • The Lead Evaluator prepares draft report with input from other team members

<p>Step 7: Review draft report</p>	<ul style="list-style-type: none"> • Depending on the evaluation topic, a technical review is completed by internal stakeholders: Division Chiefs, Section Chiefs, Heads of Offices away from Bangkok, ESCAP staff, and/or PMD • PMD Evaluation Officers conduct the methodological review of the draft report
<p>Step 8: Prepare management response</p>	<ul style="list-style-type: none"> • PMD Evaluation Officer(s) will coordinate the management response (MR) by: a) requesting inputs to the management response from relevant divisions institutions, offices; b) facilitating meetings, as required, with stakeholders to agree on an overall response to the evaluation. • The MR will be signed by the Chief of all Divisions, Institutions and Offices that have been involved in the formulation of the MR, and by the Executive Secretary. • The overall MR will be included as an insert at the beginning of the evaluation report. The detailed MR with follow-up actions will be included as an annex to the evaluation report.
<p>Step 9: Share evaluation findings</p>	<ul style="list-style-type: none"> • PMD issues the final evaluation report • The Evaluation report will be posted on ESCAP internet (external website) and intranet (internal website). The detailed MR with follow-up actions, expected completion dates and responsible units will be kept on record in PMD for monitoring purposes. • Other methods for sharing in accordance with the Evaluation Guidelines, for example PMD could host a briefing for staff on the findings of the evaluation
<p>Step 10: Follow up and promote learning</p>	<ul style="list-style-type: none"> • Incorporate actions for which the ES or other senior management is responsible in the annual work plan. • Share lessons of strategic importance with relevant members of the UN system. • Other methods for follow-up and learning, as suggested in the Guidelines
<p>Previous thematic evaluations</p>	<ul style="list-style-type: none"> • ESCAP’s capacity development approach – 2008 • Economic and Social Survey of Asia and the Pacific – 2008
<p>Last updated</p>	<p>November 2009</p>

EVALUATION FACT SHEET 2

INTERNAL EVALUATION: Subprogramme Evaluation

*Fact sheets are updated on a continuous basis. The latest versions are available on iSeek:
(http://iseek.un.org/webpgdept1028_79.asp?dept=1028).*

Purpose	<ul style="list-style-type: none"> • External accountability to member States and donors • Organizational learning • Internal accountability
Focus	<ul style="list-style-type: none"> • Entire subprogramme or major components thereof: Divisions or Offices away from Bangkok
Budget	<ul style="list-style-type: none"> • Budgeted centrally, using appropriate XB and/or regular budget (RB) resources. • Subprogramme evaluations focused on regional institutions are treated as XB-funded projects and should be partly budgeted for in the respective institutional support accounts of regional institutions
Evaluation manager	<ul style="list-style-type: none"> • PMD
Quality assurance support	<p>On an ad hoc basis, as requested by ESCAP:</p> <ul style="list-style-type: none"> • OIOS • UNEG • Others
Step 1: Prepare evaluation plan and budget	<ul style="list-style-type: none"> • ESCAP aims to undertake up to two evaluations of subprogrammes or major components every biennium • Budget size depends on the evaluation
Step 2: Prepare terms of reference	<ul style="list-style-type: none"> • PMD prepares the terms of reference in conjunction with relevant Divisions or Offices away from Bangkok
Step 3: Establish evaluation team	<ul style="list-style-type: none"> • PMD and other organizational entities involved jointly agree on the selection criteria for the evaluator(s) • PMD appoints the evaluator(s) • The evaluation team generally consists of external consultants with evaluation experience and knowledge of the topic being evaluated
Step 4: Schedule and organize evaluation	<ul style="list-style-type: none"> • PMD schedules and organizes the evaluation
Step 5: Conduct evaluation	<ul style="list-style-type: none"> • The evaluation team conducts the evaluation
Step 6: Prepare draft report	<ul style="list-style-type: none"> • The Lead Evaluator prepares draft report with input from other team members
Step 7: Review draft report	<ul style="list-style-type: none"> • Depending on the evaluation topic, a technical review is completed by internal stakeholders: Division Chiefs, Section Chiefs, Heads of Offices away from Bangkok, ESCAP staff, and/or PMD • PMD Evaluation Officers conduct the methodological review of the draft report

<p>Step 8: Prepare management response</p>	<ul style="list-style-type: none"> • PMD Evaluation Officer(s) will coordinate the management response (MR) by: a) requesting inputs to the management response from relevant divisions, institutions, offices; b) facilitating meetings, as required, with stakeholders to agree on an overall response to the evaluation • The MR will be signed by the Chief of all Divisions, Institutions and Offices that have been involved in the formulation of the MR, and by the Executive Secretary • The overall MR will be included as an insert at the beginning of the evaluation report. The detailed MR with follow-up actions will be included as an annex to the evaluation report
<p>Step 9: Share evaluation findings</p>	<ul style="list-style-type: none"> • PMD issues the final evaluation report • The Evaluation report will be posted on ESCAP internet (external website) and intranet (internal website). The detailed MR with follow-up actions, expected completion dates and responsible units will be kept on record in PMD for monitoring purposes • Other methods for sharing in accordance with the Evaluation Guidelines, for example PMD could host a briefing for staff on the findings of the evaluation
<p>Step 10: Follow up and promote learning</p>	<ul style="list-style-type: none"> • Incorporate actions for which the ES or other senior management is responsible in the annual work plan. • Share lessons of strategic importance with relevant members of the UN system • Other methods for follow-up and learning, as suggested in the Guidelines
<p>Previous evaluations</p>	<ul style="list-style-type: none"> • Evaluation of EPOC (thus relevant to subprogramme 8 subregional activities for development) planned for 2010-2011
<p>Last updated</p>	<p>November 2009</p>

EVALUATION FACT SHEET 3

INTERNAL EVALUATION: Project Evaluation

*Fact sheets are updated on a continuous basis. The latest versions are available on iSeek:
(http://iseek.un.org/webpgdept1028_79.asp?dept=1028).*

Purpose	<ul style="list-style-type: none"> • External accountability to project donors and member States involved in or affected by the project • Organizational learning • Internal accountability
Focus	<ul style="list-style-type: none"> • Individual projects • Project clusters
Budget	<ul style="list-style-type: none"> • Project terminal and mid-term evaluations should be considered on a case-by-case basis • In general, five percent of the operational project budget (i.e. net of Programme Support Costs (PSC)¹) is a recommended amount for an evaluation • The budget is determined by considering the relative size of the project budget, the scope of the evaluation and any other criteria applied by the project appraisal mechanisms at ESCAP • Staff time for supervisory functions needs to be planned for
Evaluation manager	<ul style="list-style-type: none"> • PMD
Quality assurance and support	<ul style="list-style-type: none"> • PMD • OIOS • UNEG • Others
Step 1: Prepare evaluation plan and budget	<ul style="list-style-type: none"> • Project evaluations should be included in the project document, annual work plan and the ESCAP Evaluation Plan
Step 2: Prepare terms of reference	<ul style="list-style-type: none"> • PMD prepares the terms of reference in conjunction with relevant division or office away from Bangkok
Step 3: Establish evaluation team	<ul style="list-style-type: none"> • PMD agrees on the selection criteria for the evaluator(s) with the project implementing office(s) • PMD appoints the evaluator(s) • Normally only one evaluator is appointed to conduct the evaluation • The evaluator is an external consultant with evaluation experience and knowledge of the topic being evaluated • PMD and Division staff cannot be members of the team in order to ensure the independence of the findings

¹ The term PSC refers to a cost recovery mechanism for “indirect costs” associated with the implementation of projects. “Indirect costs” refer to work that is undertaken by central administration and management entities (i.e. PMD and ASD) to support the implementation of an extra-budgetary project.

Step 4: Schedule and organize evaluation	<ul style="list-style-type: none"> • PMD schedules and organizes the evaluation
Step 5: Conduct evaluation	<ul style="list-style-type: none"> • The evaluator conducts the evaluation
Step 6: Prepare draft report	<ul style="list-style-type: none"> • The evaluator prepares the draft report
Step 7: Review draft report	<ul style="list-style-type: none"> • The relevant Project Officer(s) and managers conduct a technical review of the draft report with inputs from relevant stakeholders • The PMD Evaluation Officer(s) conducts the methodological review of the draft report
Step 8: Prepare management response	<ul style="list-style-type: none"> • PMD Evaluation Officer(s) will coordinate the management response (MR) by: a) requesting inputs to the management response from relevant staff and managers; b) facilitating meetings, as required, with stakeholders to agree on an overall response to the evaluation • The MR will be signed by the Chief of all Divisions, Institutions and Offices that have been involved in the formulation of the MR, and by the Executive Secretary • The overall MR will be included as an insert at the beginning of the evaluation report. The detailed MR with follow-up actions will be included as an annex to the evaluation report
Step 9: Share evaluation findings	<ul style="list-style-type: none"> • PMD issues the final evaluation report • The Evaluation report will be posted on ESCAP internet (external website) and intranet (internal website). The detailed MR with follow-up actions, expected completion dates and responsible units will be kept on record in PMD for monitoring purposes • Other methods for sharing in accordance with the Evaluation Guidelines, for example PMD could host a briefing for staff on the findings of the evaluation
Step 10: Follow up and promote learning	<ul style="list-style-type: none"> • Incorporate actions for which the relevant project implementing office(s) is responsible in the annual work plan and project work and monitoring plan • Share lessons of strategic importance with relevant members of the UN system • Other methods for follow-up and learning, as suggested in the Guidelines
Previous evaluations	<ul style="list-style-type: none"> • To date, no project evaluations have been completed in accordance with the Guidelines
Last updated	November 2009

EVALUATION FACT SHEET 4

EVALUATIVE REVIEW: Evaluative project review

*Fact sheets are updated on a continuous basis. The latest versions are available on iSeek:
(http://iseek.un.org/webpgdept1028_79.asp?dept=1028).*

Purpose	<ul style="list-style-type: none"> • Organizational learning¹
Focus	<ul style="list-style-type: none"> • Individual projects • Projects clusters
Budget	<ul style="list-style-type: none"> • Project terminal and mid-term evaluations should be considered on a case-by-case basis • In general, five percent of the operational project budget (i.e. net of Programme Support Costs (PSC)²) is a recommended amount for an evaluation • The budget is determined by considering the relative size of the project budget, the scope of the evaluation and any other criteria applied by the project appraisal mechanisms at ESCAP • Staff time for supervisory functions needs to be planned for
Evaluative project review manager	<ul style="list-style-type: none"> • Division or Office away from Bangkok
Quality assurance and support	<ul style="list-style-type: none"> • Internal peers • PMD
Step 1: Prepare evaluative project review plan and budget	<ul style="list-style-type: none"> • Project reviews should be included in the project document, annual work plan of the relevant office(s) and the ESCAP Evaluation Plan
Step 2: Prepare terms of reference	<ul style="list-style-type: none"> • Division or Office away from Bangkok prepares the terms of reference
Step 3: Establish project review team	<ul style="list-style-type: none"> • Division or Office away from Bangkok agree on the selection criteria for the evaluator(s) and appoints the evaluator(s) • Normally only one evaluator is appointed to conduct the evaluative project review • ESCAP staff may not be part of the team for a review of a project implemented by the division, regional institution or office they work for
Step 4: Schedule and organize evaluative project review	<ul style="list-style-type: none"> • The review manager schedules and organizes the review

¹ The purpose of all evaluative reviews should be organizational learning but some evaluative project reviews may also include accountability to external stakeholders.

² The term PSC refers to a cost recovery mechanism for “indirect costs” associated with the implementation of projects. “Indirect costs” refer to work that is undertaken by central administration and management entities (i.e. PMD and ASD) to support the implementation of an extra-budgetary project.

Step 5: Conduct evaluative project review	<ul style="list-style-type: none"> The evaluator conducts the review
Step 6: Prepare draft report	<ul style="list-style-type: none"> The evaluator prepares the draft report
Step 7: Review draft report	<ul style="list-style-type: none"> The relevant Project Officer(s) and managers conduct a technical review of the draft report with inputs from relevant stakeholders The review manager conducts the methodological review of the draft report, with support from PMD
Step 8: Prepare management response	<ul style="list-style-type: none"> In consultation with the division that managed the evaluative review, PMD Evaluation Officers will coordinate the MR to the evaluative review by: a) requesting inputs to the management response from relevant staff and managers; b) facilitating meetings, as required, with stakeholders to agree on an overall response to the evaluation The MR will be signed by the Chiefs of all Divisions, Institutions and Offices that have been involved in the formulation of the MR, and by the Chief of PMD. If specified in the TOR of the evaluative review (i.e. when the purpose of the evaluative review includes external accountability), the Executive Secretary will also sign the MR
Step 9: Share review findings	<ul style="list-style-type: none"> Review manager issues the final evaluation report Review findings are shared within the ESCAP Secretariat, posted on the internal website, and where the purpose of the review is external accountability it is shared with other stakeholders, as appropriate Other methods for dissemination in accordance with the Evaluation Guidelines
Step 10: Follow up and promote learning	<p>In accordance with the Evaluation Guidelines and including:</p> <ul style="list-style-type: none"> Incorporating actions for which managers are responsible in their annual work plans. Similarly, staff responsible for projects may include relevant actions in project work and monitoring plans Updating the status of evaluation follow-up actions in a central intranet-based log
Previous reviews	<ul style="list-style-type: none"> Trade and Investment Division: Forum for the Comprehensive Development of Indo-China (completed in 2009)
Last updated	November 2009

EVALUATION FACT SHEET 5

EVALUATIVE REVIEW: Peer Review

*Fact sheets are updated on a continuous basis. The latest versions are available on iSeek:
(http://iseek.un.org/webpgdept1028_79.asp?dept=1028).*

Purpose	<ul style="list-style-type: none"> • Organizational learning¹
Focus	<ul style="list-style-type: none"> • Cross-cutting issues, such as gender mainstreaming in project planning and implementation • Modalities / methodological approaches, such as training, Accomplishment Accounts, expert group meetings, or project terminal reporting • Services, such as administrative or programme support services provided by ASD and PMD • Publications, such as the M&E Overview
Budget	<ul style="list-style-type: none"> • A budget is only needed if external consultants are hired to provide specialist advice or to facilitate the exercise. In this case the review is budgeted centrally by ESCAP, XB or RB funds, and the budget size depends on the review
Evaluative review manager	<ul style="list-style-type: none"> • Any division or Office away from Bangkok
Quality assurance and support	<ul style="list-style-type: none"> • PMD and internal peers
Step 1: Prepare evaluative review plan and budget	<ul style="list-style-type: none"> • Peer reviews are ideally conducted within the first 18 months of the biennium to allow findings to be used for the preparation of the next Strategic Framework and Programme Budget • Staff time must be allocated for conducting peer group evaluations, but financial resources may not be necessary
Step 2: Prepare terms of reference	<ul style="list-style-type: none"> • The evaluative review manager prepares the TOR for discussion with the peer group
Step 3: Establish peer evaluative review team	<ul style="list-style-type: none"> • The evaluative review manager initiates the formation of a peer group as the review team, based on nominations from divisions and/or Offices away from Bangkok • Peer group selects a Lead Evaluator from within the group • External consultants may be contracted to provide specialist advice on the topic under review or to facilitate the review process
Step 4: Schedule and organize peer evaluative review	<ul style="list-style-type: none"> • Review manager schedules and organizes the review process in coordination with the peer group
Step 5: Conduct peer evaluative review	<ul style="list-style-type: none"> • The peer group conducts the peer evaluative review

¹ External and internal accountability are not the purpose of reviews that are managed by a peer group.

<p>Step 6: Prepare draft report</p>	<ul style="list-style-type: none"> • The Lead Evaluator prepares draft report with input from other peer group members • Amendments to the evaluation report template [Evaluation Tool 5] may be required depending on the focus
<p>Step 7: Peer evaluative review draft report</p>	<ul style="list-style-type: none"> • Depending on the topic, the draft report is reviewed by relevant Division Chiefs, Section Chiefs, Heads of Offices away from Bangkok, ESCAP staff and PMD • The review manager conducts the methodological review of the draft report with support from PMD Evaluation Officers
<p>Step 8: Prepare management response</p>	<ul style="list-style-type: none"> • In consultation with the division that managed the evaluative review, PMD Evaluation Officers will coordinate the MR to the evaluative review by: a) requesting inputs to the management response from relevant staff and managers; b) facilitating meetings, as required, with stakeholders to agree on an overall response to the evaluation • The MR will be signed by the Chiefs of all Divisions Institutions and Offices that have been involved in the formulation of the MR, and by the Chief of PMD. If specified in the TOR of the evaluative peer review (i.e. when the purpose of the evaluative review includes external accountability), the Executive Secretary will also sign the MR
<p>Step 9: Share evaluative peer review findings</p>	<ul style="list-style-type: none"> • The review manager issues the final report • The evaluative peer review is shared within the ESCAP secretariat • The purpose of the evaluative peer review is internal learning <u>only</u> and not external accountability. Thus, the report is usually not disseminated to external stakeholders because external dissemination could result in resistance from organizational entities or staff members to participate in peer group reviews • Internal briefing sessions for ESCAP management and staff may be conducted to highlight important evaluation findings and recommendations • Other methods for dissemination in accordance with the Evaluation Guidelines
<p>Step 10: Follow up and promote learning</p>	<ul style="list-style-type: none"> • Update the status of evaluation follow-up actions in a central intranet-based log • Reviews of the same subject may be conducted periodically to ensure continuity in organizational learning • Other methods in accordance with the Evaluation Guidelines
<p>Previous reviews</p>	<ul style="list-style-type: none"> • Peer Review of ESCAP activities for the promotion of the green growth approach (completed in 2009)
<p>Last updated</p>	<p>November 2009</p>

EVALUATION TOOL 1 EVALUATION TERMS OF REFERENCE TEMPLATE

**Terms of Reference for the
[Title of the Evaluation]**

DRAFT / FINAL DRAFT / FINAL

[Month, year]

Prepared by:
OIOS / ESCAP / Division/Office

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1. INTRODUCTION

1.1 Background of the evaluation

[Intro sentence: This is the terms of reference report of the evaluation of (subject) that is to be conducted between (month – month, year)].

[Brief background to the subject under evaluation – for details refer to annexes if required]

1.2 Purpose, objectives and deliverables

The purpose of the evaluation is to ...

[Should address:

- Who is the evaluation for? Is it for a particular donor or for member States? Or is it for ESCAP management or staff? Or both?
- Why is the evaluation carried out? What triggered the evaluation? Is there a specific reason for choosing the timing of the evaluation?
- How will the results be used? By being clear upfront how the results will be used (and sticking to this!) the evaluation manager can generate trust amongst all parties involved, in particular amongst ESCAP staff.]

The evaluation objectives are to:

- Objective 1
- Etc,

The outputs of the evaluation include:

- Evaluation report
- Etc,

[Describe the dissemination of the evaluation report, e.g.: The evaluation report will be printed in hard copy for dissemination within the ESCAP Secretariat and to the donor, and published on ESCAP's website: <http://www.unescap.org/pmd/evaluation-reports.asp>]

1.3 Scope

[The scope narrows the focus of the evaluation, for example geographical coverage, time period or target groups to be included]

The scope of the evaluation is defined as:

- #
- #

The evaluation questions [see Evaluation Tool 3 for guidance on evaluation questions] include: [max 10]

- #
- #

2. METHODOLOGY

[This chapter describes the evaluation methodology and limitations of the evaluation].

2.1 Methodology

[Description of methodology, covering, for example:

- Activities, data collection methods
- Method of data analysis
- Timeframe (e.g. 3-day country visits)
- Reasons for selecting sample reports, countries, sites, case studies, and interviewed stakeholders as a representation of the topic being evaluated
- Other]

2.2 Limitations

The limitations [see Evaluation Tool 4 for more guidance] of the evaluations include:

- #
- #

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3. TIME REQUIREMENTS AND TIMELINES

This chapter provides the timeframe and budget of the evaluation. [Complete /amend the table below as required]

3.1 Time Requirements

[Include a breakdown of the estimated number of days that the evaluator(s) will need to complete each evaluation task]

TASK	ESTIMATED TIME REQUIREMENT
Desk review	3 days
Develop evaluation plan or framework	3 days
Develop and implement survey questionnaire	5 days
Mission to Bangkok	7 days
Presentation of preliminary findings	.5 days
Draft report	5 days
Final report	2 days
TOTAL	25.5

3.2 Timelines

[A detailed description of all tasks related to the evaluation process with an indication of who or what entity is responsible and the deadline for completion]

TASK	RESPONSIBILITY	WHEN (insert date)
Gather background documents	Evaluation manager	
Brief evaluator/team	Evaluation manager	
Inception Report: finalize methodology	Evaluation manager or Evaluator/team	Prior to conducting the evaluation
Conduct the evaluation	Evaluator/team	
Submit draft evaluation report to the evaluation manager	Evaluator/team	Within one month after completing evaluation activities
Provide comments on draft evaluation report to evaluators	Relevant ESCAP staff, ESCAP management, PMD or OIOS (quality control), evaluation manager, and reference group (if established)	Within two weeks after receipt of draft evaluation report

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TASK	RESPONSIBILITY	WHEN (insert date)
Submit final evaluation report to the evaluation manager	Evaluation team	Within two weeks after receipt of comments
Finalize evaluation report (layout, editing)	Evaluation manager	Within one month after receipt of final draft evaluation report
Sign off on evaluation report	Evaluator (s)	
Formulate management response for inclusion as an annex in the final evaluation report	ESCAP management, coordinated by evaluation manager	
Sign off on management response	ESCAP management	Within one month after the management response is signed off
Share evaluation findings	Evaluation manager and ESCAP management	

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ANNEXES

Annex I. Contents of the Evaluation Report

The evaluation report should follow the structure as outlined in the table below [amend subheadings and number of pages as required]

CONTENT	PAGES (estimate)	COMMENTS
Title page	1	<ul style="list-style-type: none"> Title, date of publication Names of the evaluators Name of ESCAP or division that commissioned the evaluation, web page address where report can be found electronically
Acknowledgments	1	Prepared by the evaluation team
Table of contents	1	List of chapters, sections and annexes
List of acronyms	1-2	In alphabetical order; these are written out in full the first time they are used in the report
Management response		<i>To be inserted by ESCAP management</i>
Executive summary	1-3	<ul style="list-style-type: none"> Background of the evaluation (one paragraph) Purpose and scope (one paragraph) Methodology (one paragraph) Main conclusions (one-sentence conclusions with brief explanation if needed) Recommendations (one-sentence recommendations with brief explanation if needed) Other comments or concluding sentence
1. Introduction	1-3	<ul style="list-style-type: none"> 1.1 Background of the evaluation and the topic being evaluated 1.2 Purpose, objectives and outputs 1.3 Scope (including evaluation questions)
2. Methodology	1-3	<ul style="list-style-type: none"> 2.1 Description of methodology: activities, timeframe, changes compared to TOR, and reasons for selecting sample reports, countries, sites, case studies, and interviewees as a representation of the topic being evaluated 2.2 Limitations: limitations of the methodology and scope and problems encountered
3. Findings	Varying	<ul style="list-style-type: none"> 3.1 General: supporting information for the performance assessment length and other assessment, if required 3.2 Performance assessment: assessment against relevant evaluation criteria (relevance, efficiency, effectiveness and sustainability)

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CONTENT	PAGES (estimate)	COMMENTS
		<ul style="list-style-type: none"> • 3.3 Other assessment: assessment against relevant additional criteria (gender, rights-based approach, environmental sustainability, ESCAP priority countries and “one UN”)
4. Conclusions	1-4	<ul style="list-style-type: none"> • Main conclusions, both positive and negative, of the evaluation that follow logically from the findings • Ratings table with ratings for standard evaluation and additional criteria and a brief justification (optional)
5. Recommendations	1-4	<ul style="list-style-type: none"> • Recommendations based on the conclusions, which can be addressed to ESCAP management, ESCAP staff, donors and other relevant stakeholders
Annexes		<ul style="list-style-type: none"> • I. Management response (to be completed by ESCAP management) • II. Terms of reference • III. List of documents reviewed • IV. List of interviewees • Other annexes as required (e.g. schedule of work undertaken by the evaluators, reports of meetings, interview summaries, questionnaires)

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Annex II. Quality criteria used to review Evaluation Reports

The draft and final draft evaluation reports will be assessed against the quality criteria listed below.

Quality Check	Description
<p>✓ The report meets the scope, purpose and objectives of the evaluation as stated in the TOR</p>	<ul style="list-style-type: none"> • The report is tailored to the information needs of ESCAP and or other entities that commissioned the evaluation • The report does not deviate from the scope outlined in the TOR • The report can be used by ESCAP for the intended purpose as stated in the TOR • The objectives, as outlined in the TOR have been met, including: the assessment against relevant performance criteria (relevance, efficiency, effectiveness, sustainability, etc.) is complete, i.e. evaluation questions under each criterion have been answered
<p>✓ The report is structured logically</p>	<ul style="list-style-type: none"> • The report follows the table of contents outlined in the TOR and includes the relevant annexes
<p>✓ The evaluation methodology and its application are explained transparently and clearly</p>	<ul style="list-style-type: none"> • The evaluation methodology is clearly explained and has been applied throughout the evaluation process • Amendments to the methodology compared to what was proposed in the TOR have been clearly explained • The limitations of the evaluation methodology, including problems encountered during the conduct of the evaluation, and their implications for the validity of the findings and conclusions have been clearly explained
<p>✓ The findings and conclusions are credible</p>	<ul style="list-style-type: none"> • Relevant qualitative and/or quantitative sources of information have been considered • Analysis is done rigorously: triangulation is employed (cross-checking of findings against other relevant sources); cause-and-effect relationships are explained • Findings are adequately substantiated, balanced and reliable • The relative contributions of stakeholders to the results are explained • Limitations are explained • The conclusions derive from the findings and are clear
<p>✓ The recommendations are useful</p>	<ul style="list-style-type: none"> • The recommendations are clear and follow logically from the conclusions • The recommendations are impartial • Recommendations are realistic, concrete and actionable within a reasonable timeframe • Recommendations for ESCAP should be clearly within the mandate of ESCAP
<p>✓ The report is well written</p>	<ul style="list-style-type: none"> • The executive summary is brief but highlights the key findings, conclusions and recommendations

TOR for the [Title Evaluation] – Draft/Final draft/Final month, year

Quality Check	Description
	<ul style="list-style-type: none">• The report uses consistent grammar and spelling (in accordance with UN rules)• Main messages are clearly distinguished from the text• The report is written in good English and is easy to read• The subject of evaluation (programme, project, other) is clearly described including its logic model or results chain• The stakeholders of the programme or project are clearly identified

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Annex III. [Other]

[Insert as required]

EVALUATION TOOL 2 SAMPLE EVALUATION LOGICAL FRAMEWORK MODEL

Criteria	Key Question	Sub-Questions	Indicators	Source of information	Methods	Assumptions
Relevance	<ul style="list-style-type: none"> Was the green growth project relevant to participating countries? 	<ul style="list-style-type: none"> Is green growth a policy priority of participating countries? Do the participating countries find the activities of the project useful for enhancing national capacity? To what extent has the project adjusted to the changing needs or priorities of participating countries? 	<ul style="list-style-type: none"> # of countries indicating that green growth is a priority # of countries indicating activities were useful Level of flexibility as indicated by participants 	<ul style="list-style-type: none"> Stakeholders, policymakers, NGOs and external partners 	<ul style="list-style-type: none"> Interviews Survey/questionnaire 	<ul style="list-style-type: none"> Representative Sample Staff turnover High/low response rate
Effectiveness	<ul style="list-style-type: none"> To what extent has the green growth project increased the knowledge and awareness of policymakers regarding strategies and policy options to address climate change issues through the green growth approach? 	<ul style="list-style-type: none"> How many policymakers actively participated in the policy forums? How many policymakers participated in the capacity building programme for policymakers? Was there a change in knowledge or awareness? By how much? How much website activity has taken place? 	<ul style="list-style-type: none"> # of participants Change in knowledge or awareness on green growth Website activity 	<ul style="list-style-type: none"> Project reports Programme/Project Participants 	<ul style="list-style-type: none"> Review forum and capacity building programme reports Interviews with participants Before/After survey comparison 	<ul style="list-style-type: none"> Data gathered from baseline regarding the level of knowledge or awareness of participants Availability of reports Willingness to participate

Criteria	Key Question	Sub-Questions	Indicators	Source of information	Methods	Assumptions
Efficiency	<ul style="list-style-type: none"> Were the project activities (e.g. forum and capacity building programme) the most economically efficient way of achieving the stated outputs, outcomes and goals? 	<ul style="list-style-type: none"> Do the outputs justify the cost of the activities? Did project activities duplicate other similar initiatives by the participating countries or external partners? What alternatives exist? 	<ul style="list-style-type: none"> # of similar projects/ activities of stakeholders and/or external partners Cost vs. benefit # and type of alternative projects 	<ul style="list-style-type: none"> Budget reports Participating countries/ Stakeholders Document review 	<ul style="list-style-type: none"> Survey Cost/benefit analysis Content analysis of alternative projects 	<ul style="list-style-type: none"> Accessibility of reports Time and resources to conduct High/low response rate
Sustainability	<ul style="list-style-type: none"> What is the likelihood that the green growth approach will be sustained within the participating countries? 	<ul style="list-style-type: none"> What support mechanisms are in place to ensure that the capacity building efforts or the results from the project are sustained? What commitments to institutionalizing the green growth approach have been made by participating countries? 	<ul style="list-style-type: none"> # of institutions implementing green growth policies # of institutions allocated funds # of participants who have committed time/ indirect resources 	<ul style="list-style-type: none"> Participating country reports Stakeholders/ participants Participating countries budget External partners Media 	<ul style="list-style-type: none"> Interviews Document review Focus groups Media article review 	<ul style="list-style-type: none"> Sustained efforts in this programme area will result in benefits (as opposed to an alternative approach) Participating countries are willing to provide this information

EVALUATION TOOL 3

EVALUATION QUESTIONS UNDER EVALUATION CRITERIA

Standard evaluation criteria ¹
Relevance: Appropriateness of objectives (of a theme or subprogramme) or outcomes (of a project) in terms of ESCAP’s priorities, Governments’ development strategies and priorities, and requirements of the target groups.
<ul style="list-style-type: none"> • Was the evaluation topic aligned with relevant policies at the national/regional level? • To what extent is the evaluation topic in line with ESCAP’s programme of work? • Has the evaluation topic taken into account previous evaluation findings (if applicable)? • To what extent does the evaluation topic take into account and build upon the comparative advantages and on-going activities of partner organizations or agencies? • How is the relevance of the evaluation topic perceived at ESCAP? • To what extent has the evaluation topic taken into account the priorities of the UNCT and national development planning processes? • Do the stakeholders find the objectives and results useful? • Do any changes need to be made in order to reflect potential new needs and/or priorities?
Efficiency: Extent to which human and financial resources were used in the best possible way to deliver activities and outputs, in coordination with other stakeholders.
<ul style="list-style-type: none"> • To what extent has the evaluation topic been delivered in a cost effective way? • How was the evaluation topic managed in terms of timeliness? How can time management be improved? • To what extent did activities under evaluation involve stakeholders of the evaluation topic (e.g. project/subprogramme partners, civil society, multilateral and bilateral donors)? • Can the objectives be met in a more efficient way?
Effectiveness: Extent to which the expected objectives (of a subprogramme or theme) or outcomes (of a project) have been achieved, and have resulted in changes and effects, positive and negative, planned and unforeseen, with respect to the target groups and other affected stakeholders.
<ul style="list-style-type: none"> • To what extent have (or will) the planned outputs be achieved? • What is the likelihood that the project/programme will contribute to the planned outcomes? • To what extent does ESCAP promote a clear and coherent approach towards the evaluation topic?
Sustainability: Likelihood that the benefits of the subprogramme, theme or project will continue in the future.
<ul style="list-style-type: none"> • To what extent can positive outcomes resulting from the programme/project be continued without ESCAP’s further involvement? • To what extent are the outcomes replicable? • To what extent has support from other stakeholders, UN partners, donors or other multilateral or national partners been obtained to take forward project outcomes?
Additional criteria reflecting United Nations commitments
UN Coherence: Extent to which different United Nations agencies and other development partners operate in a coordinated and coherent way in the design and implementation of the subject of the evaluation. This could include utilization of structures in support of regional coordination such as the Regional Coordination Mechanism (RCM) and its Thematic Working Groups (TWG) and ensuring coherent approaches with UN Country Teams through Non-resident Agency (NRA) approaches.
<ul style="list-style-type: none"> • To what extent were UN agencies involved in the design and implementation of the evaluation topic? • To what extent do activities under evaluation promote partnership with other UN agencies? • What was the effect or result of coordinated efforts?

¹ United Nations Evaluations Group (UNEG), “Standards for Evaluation in the UN System”, April 2005 (available online at <http://www.uneval.org>).

<p>Partnerships: The extent to which key stakeholders have been identified to be partners in the planning and delivery of a programme or intervention.</p>
<ul style="list-style-type: none"> • To what extent was a stakeholder analysis completed and utilized to ensure partnership development in the design phase of the programme/project? • To what extent was duplication of services avoided due to the development of effective partnerships?
<p>Aid Effectiveness: In the context of the Paris declaration and the Accra Agenda for Action (AAA) this refers to the streamlining and harmonization of operational practices surrounding aid delivery to developing countries to ensure enhanced aid effectiveness. This criterion also assesses the extent to which ESCAP has ensured that the programme or project is driven by the country or territory in which it is implemented or, in the regional context, by the member States, and the extent to which there is a focus on development results and mutual accountability in the design and implementation of the subject of the evaluation.</p>
<ul style="list-style-type: none"> • To what extent were the targeted Governments involved in the planning and implementation of the project? • To what extent do project stakeholders feel that their project was driven by the National Government and or other stakeholders? • To what extent were the efforts of similar projects coordinated?
<p>Gender: Gender mainstreaming is one of the key strategies of UN-supported analysis and strategic planning. This criterion assesses the extent to which gender considerations have been incorporated in the design and implementation of the subject of the evaluation.</p>
<ul style="list-style-type: none"> • To what extent was gender integrated into the design and implementation of the evaluation topic? • To what extent does the evaluation topic regularly and meaningfully report on gender concerns in reporting documents? • To what extent is the sustainability of gender concerns assured?
<p>Human rights-based approach (HRBA): Extent to which a human rights-based approach (HRBA), an approach that mainstreams human rights principles throughout programming, has been utilized in the design and implementation of the subject of the evaluation.</p>
<ul style="list-style-type: none"> • To what extent was a HRBA integrated into the design and implementation of the evaluation topic? • To what extent is the sustainability of human rights concerns assured?
<p>Environmental sustainability: Extent to which environmental sustainability considerations have been incorporated in the design and implementation of the subject of the evaluation.</p>
<ul style="list-style-type: none"> • To what extent was environmental sustainability integrated into the design and implementation of the evaluation topic? • To what extent is the sustainability of environmental concerns assured?

EVALUATION TOOL 4

COMMON EVALUATION LIMITATIONS

The table below provides examples of common limitations encountered and potential means for addressing each limitation.

Limitation	Potential means for addressing the limitation
Political	
<ul style="list-style-type: none"> • The evaluation topic is politically sensitive • Challenges when evaluation findings determine future funding • Political pressures on the selection of evaluation topic, scope and methodology • Dealing with unrealistic expectations as to what the evaluation can achieve • Reconciling divergent stakeholder information needs and expectations of the evaluation • Difficulties in involving stakeholders in the evaluation planning • Lack of incentive by stakeholders to participate in an evaluation • Working with stakeholders with little experience with or understanding of evaluation 	<ul style="list-style-type: none"> • Through active engagement of stakeholders identify potential barriers to wider stakeholder involvement and discuss ways to overcome the challenges. • Engage stakeholders from the very beginning to ensure that all agree upon the topic under evaluation and the means or strategy for evaluating. • Involve a reference group of external partners who can help to ensure a credible topic, scope and methodology. • Ensure that all language is in laymen's terms and that when something is not understood additional resources, such as sample evaluation reports, are provided.
Organizational	
<ul style="list-style-type: none"> • Staff involved in a project / subprogramme have left • Staff involved in the evaluation have limited experience with evaluations • Evaluation fatigue or resistance from ESCAP management or staff whose input is required for the evaluation • Evaluation manager, OIOS/PMD providing quality assurance, and stakeholders involved in the evaluation are based at different locations 	<ul style="list-style-type: none"> • Involve stakeholders in designing the evaluation and reconstructing the baseline when needed. • Ensure that organizational support mechanisms are in place; ie. Guidelines, tool-kits, training, and that time is allocated to supporting staff. • Emphasize the importance of evaluation as a learning tool not as a means for assessing individual performance. • Ensure that senior-level management expresses support for the evaluation. • Utilize web/satellite-based communication programs to ensure that all stakeholders involved with the evaluation can communicate effectively.
Budget, time and resources	
<ul style="list-style-type: none"> • Balancing demand for detailed coverage with resource constraints • Resources too limited to apply a rigorous evaluation methodology • Timeframes to complete the evaluation do not fit realistic timeframes • Not enough time for adequate consultant selection process 	<ul style="list-style-type: none"> • Ensure that the evaluation is not overly ambitious by identifying the purpose and intended use of the evaluation. • Simplify the evaluation approach by minimizing the evaluation criteria and limiting the number of evaluation questions. • In evaluation "rigor" is not synonymous with "expensive". Discuss ways for ensuring rigor through data collection and analysis techniques.

Limitation	Potential means for addressing the limitation
<ul style="list-style-type: none"> Multiple or competing tasks combined with limited resources to carry out the evaluation Pressure to produce results too soon or in time for certain decision points or meetings 	<ul style="list-style-type: none"> Ask for an extension or more resources!
Data	
<ul style="list-style-type: none"> Problems of data quality, availability, reliability Lack of baseline data or information to determine if a change occurred Limited resources for data or information collection Indicator constraints (e.g. because the evaluation was not considered during the planning stage) Difficulties of getting stakeholders to respond to surveys when they do not receive any benefit Over-reliance on interviews with limited stakeholders resulting in risk of bias 	<ul style="list-style-type: none"> Invest time during the development of the TOR to ensure that the data collection methods are appropriate. Try to reconstruct the baseline through alternative data collection methods. (However, if this is not possible then refrain from making statements that attribute a specific change or result directly to the project/programme and rather focus on the contribution of the project/programme towards that specific change or result.) Go back to the programme logic model and reconstruct the design. Discuss the limitations in the report and refrain from making generalized statements. Ensure stakeholders that responses are confidential and will help improve the delivery of programmes/projects. In order to minimize bias and build strong validity, ensure that multiple methods of data collection are utilized so that information can be triangulated, or compared against each other.
Attribution / contribution	
<ul style="list-style-type: none"> Lack of comparison group to determine if change occurred in areas / countries where ESCAP was not involved Difficult to demonstrate ESCAP's contribution with increasingly complex partnerships Difficult to demonstrate ESCAP's contribution when there are many steps between ESCAP's activities (e.g. capacity building workshops) and outcomes (e.g. policy change) 	<ul style="list-style-type: none"> Ensure from the beginning that the TOR is not too ambitious in terms of demonstrating specific behavioral change or impact. Utilize alternative sources of information to establish whether there was a change within the target group. ESCAP's contribution towards results can be analyzed through multiple lenses (social, political, institutional etc.).
Other	
<ul style="list-style-type: none"> Cultural Language 	<ul style="list-style-type: none"> Ensure that cultural sensitivity and language abilities of evaluators are considered when establishing the evaluation team.

EVALUATION TOOL 5 EVALUATION REPORT TEMPLATE

[Title of the Evaluation]

DRAFT / FINAL DRAFT / FINAL

[Month, year]

Evaluators:

[Name of evaluators starting with the lead evaluator]

Commissioned by:

OIOS / ESCAP / Division

Management response completed by:

[Date]

Web page address where report can be found electronically

Title Evaluation – Draft/Final draft/Final month, year

ACKNOWLEDGMENTS

[Insert acknowledgments if appropriate, no more than 1 page]

[Month, year]

[Names of all evaluators]

Title Evaluation – Draft/Final draft/Final month, year

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LIST OF ACRONYMS

ESCAP United Nations Economic and Social Commission for Asia and the Pacific

Title Evaluation – Draft/Final draft/Final month, year

MANAGEMENT RESPONSE

[This section provides the response by ESCAP management to the evaluation and includes a response to the overall evaluation and to the specific recommendations made. The management response that includes the follow-up action plan will be included as an annex to the evaluation report. To ensure that recommendations that have been accepted by the ESCAP management are acted upon, an evaluation follow-up action plan with responsible units and expected completion dates is submitted separately to the PMD (See Evaluation Tool 7: Management Response template).]

Overall Management Response to the Evaluation

[To be inserted by ESCAP management after the content of the evaluation report is finalized]

Management Response to Recommendations

[To be inserted by ESCAP management after the content of the evaluation report is finalized]

RECOMMENDATIONS	MANAGEMENT RESPONSE
1.	
2.	
Etc.	

EXECUTIVE SUMMARY

[Note: the executive summary should ideally be 1-2 pages and not longer than 3 pages]

[Intro sentence: This report details the findings of the evaluation of (subject) that was conducted between (month – month, year)]

[One sentence / paragraph background or context of the subject under evaluation]

[One sentence / paragraph description of the evaluation purpose and focus/scope]

[One sentence / paragraph description of the methodology]

[Main conclusions of the evaluation, as listed in the conclusion chapter of the report – an explanatory sentence or paragraph may be included if required]

[Main recommendations of the evaluation, as listed in the recommendations chapter of the report – an explanatory sentence or paragraph may be included if required]

[Other comments or concluding sentence as appropriate]

Title Evaluation – Draft/Final draft/Final month, year

1. INTRODUCTION

[Intro sentence: This chapter describes the background of the evaluation, and the evaluation purpose, objectives, outputs and scope, as outlined in the terms of reference (TOR) of this evaluation].

1.1 Background of the evaluation

[Intro sentence: this is the draft/final draft/final report of the evaluation of (subject) that was conducted between (month - month, year)].

[The evaluation was conducted by (name evaluators and their relation to ESCAP, e.g. independent consultants, ESCAP staff)]

[Brief background to the subject under evaluation - for details refer to annexes if required]

1.2 Purpose, objectives and outputs

[The purpose of the evaluation as outlined in the TOR]

[The evaluation objectives are to:

- Objective 1
- Etc, as outlined in the TOR]

[The outputs of the evaluation include:

- Evaluation report
- Etc, as outlined in the TOR]

[Describe the dissemination of the evaluation report, e.g.: The evaluation report will be printed in hard copy for dissemination within the ESCAP Secretariat and to the donor, and published on ESCAP's website: www.unescap.org/evaluation]

1.3 Scope

[The scope of the evaluation, including evaluation questions as outlined in the TOR]

2. METHODOLOGY

[Intro sentence: This chapter describes the implemented evaluation methodology and limitations of the evaluation].

2.1 Methodology

[Description of methodology, covering, for example:

- Activities, data collection methods
- Timeframe (e.g. 3-day country visits)
- Changes to the methodology compared to the TOR
- Reasons for selecting sample reports, countries, sites, case studies, and interviewed stakeholders as a representation of the topic being evaluated
- Other]

2.2 Limitations

[Description of the limitations of the evaluation and problems encountered during the evaluation, presented in bullet format]

[Describe the overall implications for the validity of the evaluation findings]

Title Evaluation – Draft/Final draft/Final month, year

3. FINDINGS

[Intro sentence: This chapter provides the findings of the evaluation in accordance with the evaluation criteria and questions]

3.1 General

[This purpose of this section is to provide supporting information for the performance assessment and other assessment. This section is only to be included if required and the heading title may be amended. An example is the description of the results framework and implementation process of a project, programme or modality]

3.2 Performance assessment

[Delete / insert subsections as applicable]

3.2.1 *Relevance*

[Intro sentence, amend as required: The assessment against the relevance criterion refers to the consistency of intended objectives (of a subprogramme or theme) or outcomes (of a project) with ESCAP’s priorities, governments’ development strategies and priorities and requirements of the target groups.]

[Description of findings]

3.2.2 *Efficiency*

[Intro sentence, amend as required: The assessment against the efficiency criterion refers to the extent to which human and financial resources were used in the best possible way to deliver activities and outputs, in coordination with other stakeholders.]

[Description of findings]

3.2.3 *Effectiveness*

[Intro sentence, amend as required: The assessment against the effectiveness criterion refers to the extent to which the expected objectives (of a subprogramme or theme) or outcomes (of a project) have been achieved, and have resulted in changes and effects, positive and negative, planned and unforeseen, with respect to the target groups and other affected stakeholders.]

[Description of findings]

3.2.4 *Sustainability*

[Intro sentence, amend as required: The assessment against the sustainability criterion refers to the likelihood that the positive effects of the subprogramme, theme or project will continue in the future.]

[Description of findings]

3.3 Other assessments

[Delete / insert subsections as applicable]

3.3.1 UN System Coherence

[Intro sentence, amend as required: The assessment against the ‘UN system coherence’ criterion refers to the extent to which different UN agencies and other development partners have been involved in the design and implementation of the subject of the evaluation.]

[Description of findings]

3.3.2 Gender Mainstreaming

[Intro sentence, amend as required: The assessment against the gender criterion refers to the extent to which gender considerations have been incorporated in the design and implementation of the subject of the evaluation.]

[Description of findings]

3.3.3 Human rights-based approach

[Intro sentence, amend as required: The assessment against this criterion refers to the extent to which a human rights-based approach (HRBA) has been incorporated in the design and implementation of the subject of the evaluation.]

[Description of findings]

3.3.4 Environmental sustainability

[Intro sentence, amend as required: The assessment against the environmental criterion refers to the Extent to which environmental sustainability considerations have been incorporated in the design and implementation of the subject of the evaluation.]

[Description of findings]

3.3.5 Other

[Intro sentence]

[Description of findings]

Title Evaluation – Draft/Final draft/Final month, year

4. CONCLUSIONS

[Intro sentence: This chapter provides the conclusions of the evaluation, including general conclusions and conclusions relating to the specific performance and other criteria]

[Intro sentence to the main conclusions: The main conclusions are as follows:]

[One sentence conclusion]

[One sentence / paragraph description]

[One sentence conclusion]

[One sentence / paragraph description]

Etc.

5. RECOMMENDATIONS

[Intro sentence: This chapter provides recommendations based on the conclusions of the evaluation]

[Provide one-sentence numbered recommendations, followed by a short explanation. Recommendations should be concrete and action-oriented. It is also possible to provide more specific actionable recommendations underneath each general recommendation]

[Recommendation 1: [one sentence recommendation]

[One sentence / paragraph description or more specific recommendations]

[Recommendation 2: [one sentence recommendation]

[One sentence / paragraph description or more specific recommendations]

Etc.

Title Evaluation – Draft/Final draft/Final month, year

ANNEXES

Annex I. Management Response

Title of Evaluation		
	Signature	Date
Executive Secretary (or other management entity as appropriate)		
Division Chief or Head of Regional Institution (as appropriate)		
Division Chief or Head of Regional Institution (as appropriate)		
General Remarks by Management		
Report Recommendation	Management Response	Follow-up Action
1.		
2.		
Etc.		

Title Evaluation – Draft/Final draft/Final month, year

Annex II. Terms of Reference

Annex III. List of Documents Reviewed

Annex IV. List of Interviewees

Annex V. Etc.

EVALUATION TOOL 6

QUALITY CHECKLIST FOR EVALUATION REPORT

Quality Check	Description
✓ The report meets the scope, purpose and objectives of the evaluation as stated in the TOR	<ul style="list-style-type: none"> • The report is tailored to the information needs of ESCAP and/or other entities that commissioned the evaluation • The report does not deviate from the scope outlined in the TOR • The report can be used by ESCAP for the intended purpose as stated in the TOR • The objectives as outlined in the TOR have been met, including: the assessment against relevant performance criteria (relevance, efficiency, effectiveness, sustainability, etc.) is complete, i.e. evaluation questions under each criterion have been answered
✓ The report is structured logically	<ul style="list-style-type: none"> • The report follows the table of contents outlined in the TOR and includes the relevant annexes
✓ The evaluation methodology and its application are explained transparently and clearly	<ul style="list-style-type: none"> • The evaluation methodology is clearly explained and has been applied throughout the evaluation process • Amendments to the methodology compared to what was proposed in the TOR have been clearly explained • The limitations of the evaluation methodology, including problems encountered during the conduct of the evaluation, and their implications for the validity of the findings and conclusions have been clearly explained
✓ The findings and conclusions are credible	<ul style="list-style-type: none"> • Relevant qualitative and/or quantitative sources of information have been considered • Analysis is done rigorously: triangulation is employed (cross-checking of findings against other relevant sources); cause-and-effect relationships are explained • Findings are adequately substantiated, balanced and reliable • The relative contributions of stakeholders to the results are explained • Limitations are explained • The conclusions derive from the findings and are clear
✓ The recommendations are useful	<ul style="list-style-type: none"> • The recommendations are clear and follow logically from the conclusions • The recommendations are impartial • Recommendations are realistic, concrete and actionable within a reasonable timeframe • Recommendations for ESCAP should be clearly within the mandate of ESCAP
✓ The report is well written	<ul style="list-style-type: none"> • The executive summary is brief but highlights the key findings, conclusions and recommendations • The report uses consistent grammar and spelling (in accordance with UN rules) • Main messages are clearly distinguished from the text • The report is written in good English and is easy to read • The subject of evaluation (programme, project, other) is clearly described including its logic model or results chain • The stakeholders of the programme or project are clearly identified

EVALUATION TOOL 7 MANAGEMENT RESPONSE AND FOLLOW-UP ACTION PLAN TEMPLATE

A. Management response template

- > The general remarks by management and a management response (MR) to each recommendation of the evaluation or evaluative review are inserted at the beginning of the evaluation report. (See the Evaluation Tool 5: Evaluation report template).
- > The below MR template with follow-up actions will be included as an annex to the evaluation report and the detailed follow-up action plan with the responsible units and expected completion date should be submitted to PMD (see template B below).

Title of Evaluation		
	Signature	Date
Executive Secretary (or other management entity as appropriate)		
Division Chief or Head of Regional Institution (as appropriate)		
Division Chief or Head of Regional Institution (as appropriate)		
General Remarks by Management		
Report Recommendation	Management Response	Follow-up Action
1.		
2.		
Etc.		

B. Follow-up action plan template

- See below for the detailed follow-up action plan that includes the responsible units and the expected completion date. This detailed follow-up action plan will be used for internal purposes and must be submitted to PMD with the final evaluation or evaluative review report.

Title of Evaluation					
	Signature		Date		
Executive Secretary (or other management entity as appropriate)					
Division Chief or Head of Regional Institution (as appropriate)					
Division Chief or Head of Regional Institution (as appropriate)					
General Remarks by Management					
Report Recommendation	Management Response	Follow-up Action	Lead Unit	Collaborating Units	Expected Completion Date
1.					
2.					
Etc.					

EVALUATION TOOL 8

EVALUATION PROCESS CHECKLIST

Step	Process questions
1. Prepare the evaluation plan and budget	<ul style="list-style-type: none"> ✓ The evaluability of the programme/project in question was considered during its planning stages. ✓ The evaluation/evaluative review budget was developed during the planning stages and the proper approval/appraisal mechanisms were utilized. ✓ PMD was informed of the evaluation/evaluative review for inclusion in the ESCAP Evaluation Plan.
2. Prepare the Terms of Reference	<ul style="list-style-type: none"> ✓ The TOR followed the outline provided in the Evaluation Guidelines. ✓ The TOR was specific and clear about the purpose, scope, objectives, and timeframe of the evaluation. ✓ The TOR was consulted with stakeholders of the evaluation. ✓ The TOR specified the skill requirements for the evaluator/evaluation team members.
3. Establish the evaluation team	<ul style="list-style-type: none"> ✓ The TOR was distributed widely to support the identification of qualified consultant(s). ✓ Experience in evaluation and specialized experience in the topic of the evaluation (for example statistics or trade) were considered in a balanced manner when the evaluation team was established. ✓ Personal competencies, such as language and ability to work with diverse stakeholders were considered.
4. Schedule and organize the evaluation	<ul style="list-style-type: none"> ✓ The evaluation work plan was developed outlining specific tasks, person(s) responsible and indicative timeframes. ✓ The evaluation team was briefed by stakeholders of the evaluation. ✓ An inception report was developed, if necessary, outlining the methodology and any necessary changes to the TOR based on the briefing.
5. Conduct the evaluation	<ul style="list-style-type: none"> ✓ The evaluation was conducted by the evaluator or evaluation team in accordance with the TOR. ✓ The evaluation manager supported the team by providing relevant documentation, contact information, and time for consulting on the findings.
6. Prepare the draft report	<ul style="list-style-type: none"> ✓ The draft report was developed in line with the suggested structure presented in the Evaluation Guidelines. ✓ The evaluator presented the draft report to stakeholders.
7. Review the draft report and prepare the final report	<ul style="list-style-type: none"> ✓ A technical review was completed by relevant programme or project officers and other stakeholders. ✓ A methodological review, or quality check, was completed by the relevant division supported by the PMD Evaluation Officers.

Step	Process questions
	<ul style="list-style-type: none"> ✓ The stakeholders provided advice on factual errors and/or validated the information presented in the report. ✓ The final report was prepared by the evaluator/team on the basis of all the comments provided and submitted to the evaluation manager.
<p>8. Prepare the management response (MR)</p>	<ul style="list-style-type: none"> ✓ The report was submitted to PMD to allow the Evaluation Officers to coordinate the formulation of the management response (MR). ✓ The PMD Evaluation Officer(s) requested inputs to the management response from the relevant division(s) or office(s) away from Bangkok. ✓ The PMD Evaluation Officer(s) facilitated meetings, as required, with stakeholders to agree on an overall response to the evaluation. ✓ The MR was signed by: <ul style="list-style-type: none"> • <u>Evaluations</u>: the Chief of Divisions and Heads of Offices that were involved in the formulation of the MR and by the Executive Secretary. • <u>Evaluative reviews</u>: the Chief of all Divisions and Heads of Offices that were involved in the formulation of the MR. ✓ The PMD Evaluation Officers submitted the final MR to the evaluation manager. ✓ The detailed MR with follow-up actions, expected completion dates and responsible units was kept on record in PMD for monitoring purposes.
<p>9. Share evaluation findings</p>	<ul style="list-style-type: none"> ✓ The evaluation manager included the overall MR as an insert at the beginning of the evaluation report. The detailed MR with follow-up actions (but not expected completion dates etc.) was included as an annex to the evaluation report. ✓ The final report was submitted to PMD. ✓ The evaluation or evaluative review report was input by the evaluation manager into the IT tool which tracks follow-up to evaluations. ✓ The <i>Evaluation</i> report was posted by PMD on the ESCAP internet (external website) and intranet (internal website). ✓ The <i>Evaluative Review</i> report was posted by PMD on the ESCAP intranet. ✓ Internal briefing sessions were conducted as relevant by the evaluator, evaluation manager, PMD's Evaluation Officers or other ESCAP staff.
<p>10. Follow-up and promote learning</p>	<ul style="list-style-type: none"> ✓ Relevant ESCAP staff implemented various activities, as described in the Evaluation Guidelines, to ensure that the evaluation/evaluative review was used to strengthen accountability and promote learning. ✓ The evaluation manager ensured regular update of the status of follow-up actions in the IT tracking system developed for tracking follow-up to evaluations/reviews.

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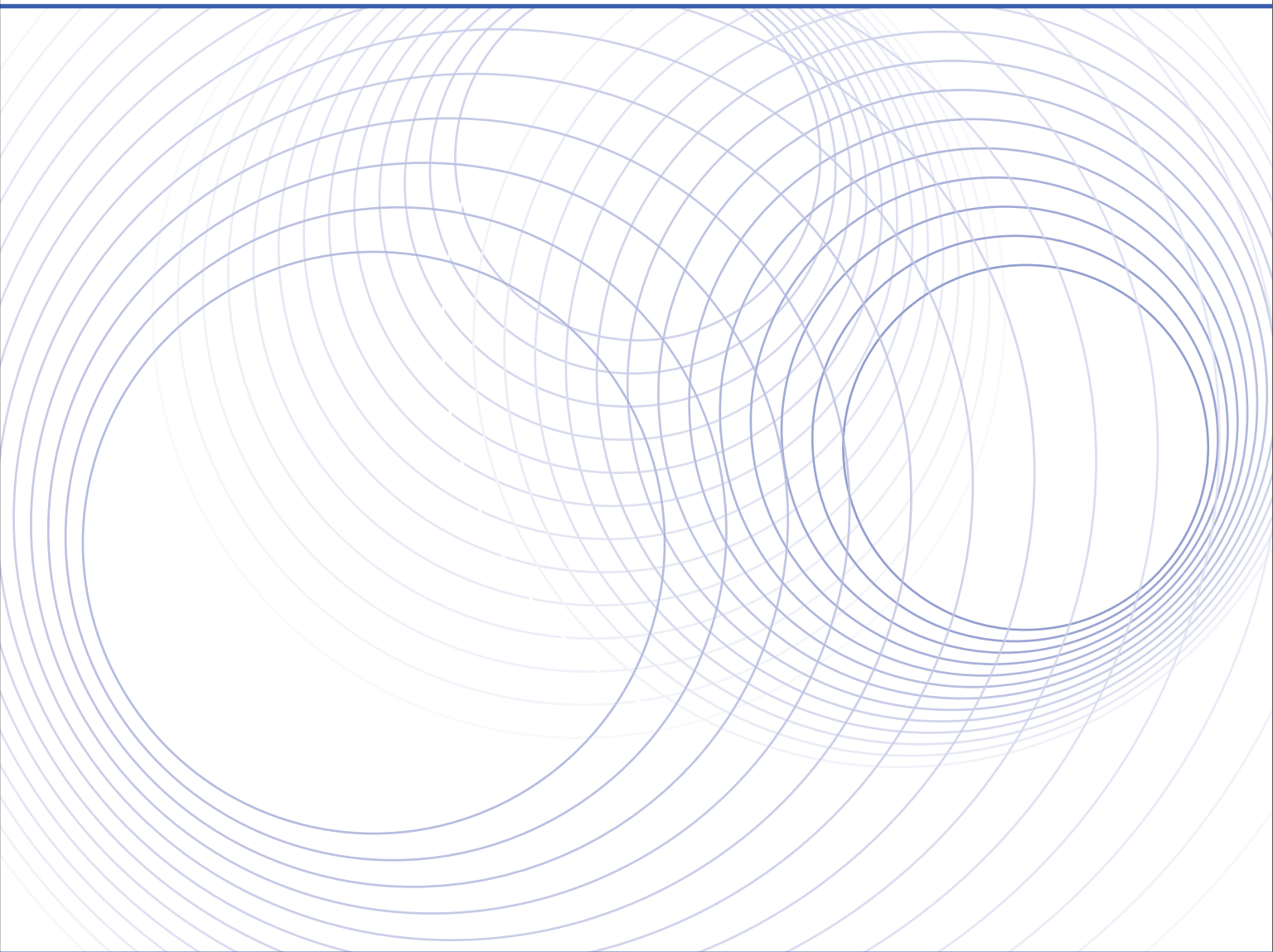
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