

# **HOW TO MANAGE GENDER-RESPONSIVE EVALUATION**

**EVALUATION HANDBOOK**

# ACKNOWLEDGEMENTS

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# HOW TO MANAGE GENDER-RESPONSIVE EVALUATION

EVALUATION HANDBOOK



Independent  
Evaluation Office

# Professionalizing the management of gender-responsive evaluation at UN Women

Gender-responsive evaluation is a powerful tool for learning, decision-making and accountability that supports the achievement of gender equality and women's empowerment. As such, it is a priority for the United Nations Entity for Gender Equality and the Empowerment of Women (UN Women).



As part of efforts to professionalize the evaluation function of UN Women, the Independent Evaluation Office (IEO), Human Resources and the UN Women Training Centre are collaborating to develop a comprehensive, hands-on professionalization programme for UN Women staff. One aspect of this approach is the issuance of this Evaluation Handbook and a corresponding e-learning course (to be launched in 2015) on how to manage a gender-responsive evaluation at UN Women. We are confident that this initiative will complement other ongoing efforts to strengthen the quality of evaluations, ultimately leading to better use of evaluation for decision-making, accountability and learning on what works for gender equality and women's empowerment.

This Evaluation Handbook is a practical handbook<sup>1</sup> to help those initiating, managing and/or using gender-responsive evaluations by providing direction, advice and tools for every step in the evaluation process: planning, preparation, conduct, reporting, evaluation use and follow up. The primary audience is UN Women staff who manage evaluations or are involved in evaluation processes. However, it may also be useful to international development evaluators and professionals, particularly those working on gender equality, women's empowerment and human rights.

This Evaluation Handbook is being launched at an opportune time, as 2015 has been named the International Year of Evaluation. This is a time to advocate and promote evaluation and evidence-based policy making at international, regional, national and local levels. It is a time to reflect on how we can build

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<sup>1</sup> This Evaluation Handbook is based on the UNIFEM Evaluation Unit, "A manager's guide to gender equality and human rights responsive evaluation," which was developed in collaboration with Carleton University in 2010, and UN Women IEO guidance notes.

strong systems for generating and using evidence and, most importantly, use this information to improve the work we do to achieve gender equality and women's empowerment.

Through the commitment of UN Women to managing and using high quality gender-responsive evaluation, we will ensure that UN Women is even “fitter for purpose”—contributing to a more coherent, effective and strategic UN system. We can also help strengthen national gender-responsive evaluation systems to inform meaningful contributions to achieving our collective goals.

A handwritten signature in black ink, appearing to read 'Segone', with a long, sweeping horizontal line extending to the right.

Marco Segone  
*Director*  
*Independent Evaluation Office*  
*UN Women*

## LEGEND



Go to TOC



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Guidance and referenced documents



UN Women evaluation process checklist











Identifies additional resources pertinent to that section



**Voices from the field:**  
UN Women staff share their experience managing an evaluation

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## Acronyms and Abbreviations

AWP	Annual work plan
CO	Country office
GATE	Global Accountability and Tracking of Evaluation Use
GEOS	Global Evaluation Oversight System
GERAAS	Global Evaluation Reports Assessment and Analysis System
HQ	Headquarters
GGP	Gender Governance Programme (Kenya)
IEO	Independent Evaluation Office
KPI	Key performance indicator
M&E	Monitoring and evaluation
MERP	Monitoring, evaluation and research plan
MCO	Multi-country office
POM	Programme and Operations Manual
RBM	Results-based management
RO	Regional office
SMART	Specific, measurable, achievable, relevant and time-bound
ToR	Terms of reference
UNDAF	United Nations Development Assistance Framework
UNEG	United Nations Evaluation Group
UN-SWAP EPI	UN System-wide Action Plan Evaluation Performance Indicator
UN Women	United Nations Entity for Gender Equality and the Empowerment of Women



# 1

## **INTRODUCTION TO GENDER-RESPONSIVE EVALUATION**

This chapter introduces the concept of gender-responsive evaluation and how it fits within results-based management (RBM) at UN Women.



## A. Frame of reference and principles for gender-responsive evaluation

The work of UN Women is framed by the [Convention on the Elimination of All Forms of Discrimination Against Women](#), which is often called the “international bill of women’s rights”, and the [Beijing Platform for Action](#), which sets forth governments’ commitments to enhance women’s rights. The spirit of these agreements has been affirmed by the [Millennium Development Goals](#); UN Security Council resolutions on women, peace and security and on sexual violence in conflict<sup>2</sup>; Economic and Social Council agreed conclusions [1997/2](#) and [resolution 2011/5](#); and the UN System Chief Executives Board for Coordination [policy on gender equality and women’s empowerment](#) and its corresponding [system-wide action plan](#).

Evaluation in UN Women is guided by these normative agreements to be gender-responsive and utilizes the entity’s [strategic plan](#) as a starting point for identifying the expected outcomes and impacts of its work and for measuring progress towards the achievement of results. The [UN Women Evaluation Policy](#) and the [UN Women Evaluation Strategic Plan 2014-2017](#) are the main guiding documents that set forth the principles and organizational framework for evaluation planning, conduct and follow-up in UN Women. These principles are aligned with the United Nations Evaluation Group (UNEG) [Norms for Evaluation in the UN System](#), [Standards for Evaluation in the UN System](#)<sup>3</sup> and [Ethical Guidelines](#).<sup>4</sup>

The key principles for gender-responsive evaluation at UN Women are:

- **National ownership and leadership:** Evaluation should be country driven and respond to the need for national ownership and leadership by rights holders and duty bearers.
- **UN system coordination and coherence with regard to gender equality and the empowerment of women:** Whenever possible, evaluation should be conducted system-wide and jointly with UN agencies in order to promote coordination and coherence regarding gender equality and the empowerment of women.

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<sup>2</sup> UN Security Council resolutions on women, peace and security and on sexual violence in conflict include: [1325 \(2000\)](#), and [1820 \(2008\)](#), [1888 \(2009\)](#), [1889 \(2009\)](#), [1960 \(2010\)](#), [2106 \(2013\)](#), and [2122 \(2013\)](#);

<sup>3</sup> UNEG, “Norms for evaluation in the UN system”, 2005, available online at: <http://www.unevaluation.org/document/detail/21>, and “Standards for evaluation in the UN system”, 2005, available online at: <http://www.unevaluation.org/document/detail/22>.

<sup>4</sup> UNEG, “Ethical guidelines”, 2008, available online at: <http://www.unevaluation.org/document/detail/102>.



- **Innovation:** Evaluations should seek to identify and highlight innovative approaches to gender equality and the empowerment of women.
- **Fair power relations and empowerment:** Evaluations should be conducted with an understanding of contextual power and gender relations. Evaluations can foster empowerment through the participation of stakeholders in the creation of knowledge about the intervention and other aspects of the evaluation process, and in the communication of its results.
- **Participation and inclusion:** Evaluations should promote participation of stakeholders and inclusiveness.
- **Independence and impartiality:** The evaluation function should be carried out independently of other management functions in order to ensure that it is credible, free from undue influence, and results in unbiased reports.
- **Transparency:** Evaluations should be conducted in a transparent and consultative manner with key stakeholders.
- **Quality and credibility:** Evaluations should be conducted in a systematic manner, applying sound approaches and methods.
- **Intentionality and use of evaluation:** Planning for evaluations should demonstrate a clear intent regarding the purpose and use of findings to improve the work of UN Women or the UN system in the areas of gender equality and the empowerment of women.
- **Ethics:** Evaluators should have personal and professional integrity and abide by the [UNEG Ethical Guidelines](#) for evaluation and the [UNEG Code of Conduct for Evaluation](#) in the UN system to ensure that the rights of individuals involved in an evaluation are respected. Evaluators must act with cultural sensitivity and pay particular attention to protocols, codes and recommendations that may be relevant to their interactions with women.



## B. Definition of gender-responsive evaluation in UN Women

The **UNEG Norms for Evaluation** define evaluation as “an assessment, as systematic and impartial as possible, of an activity, project, programme, strategy, policy, topic, theme, sector, operational area, institutional performance, etc. It focuses on expected and achieved accomplishments, examining the results chain, processes, contextual factors and causality, in order to understand achievements or the lack thereof. It aims at determining the relevance, impact, effectiveness, efficiency and sustainability of the interventions and contributions of the organizations of the United Nations system. An evaluation should provide evidence-based information that is credible, reliable and useful, enabling the timely incorporation of findings, recommendations and lessons into the decision-making processes of the organizations of the United Nations system and its members.”<sup>5</sup>

UN Women subscribes to the UNEG definition of evaluation but directly incorporates principles of gender equality, women’s rights and the empowerment of women: a systematic and impartial assessment that provides credible and reliable evidence-based information about the extent to which an intervention has resulted in progress (or the lack thereof) towards intended and/or unintended results regarding gender equality and the empowerment of women.

Gender-responsive evaluation can enhance gender equality and the empowerment of women by incorporating gender and women’s rights dimensions into evaluation approaches, methods, processes and use. Thus the evaluation is not only a driver of positive change towards gender equality and the empowerment of women, but the process itself also empowers the involved stakeholders and can prevent further discrimination and exclusion.

### ***What makes an evaluation a gender-responsive evaluation?***

Gender-responsive evaluation has two essential elements: what the evaluation examines and how it is undertaken. It assesses the degree to which gender and power relationships—including structural and other causes that give rise to inequities, discrimination and unfair power relations, change as a result of an intervention using a process that is inclusive, participatory and respectful of all stakeholders (rights holders and duty bearers).

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<sup>5</sup> UNEG, “Norms for evaluation in the UN system”, 2005, available online at: <http://unevaluation.org/document/detail/21>.



Gender-responsive evaluation promotes accountability to gender equality, human rights and women's empowerment commitments by providing information on the way in which development programmes are affecting women and men differently and contributing towards achievement of these commitments. It is applicable to all types of development programming, not just gender-specific work.

Gender-responsive evaluation can also help promote social change by using the knowledge produced from an evaluation for better development programming that promotes gender equality, women's empowerment and human rights in a sustainable manner. Engaging citizens in the evaluation can help individuals and groups: feel empowered through participation in the evaluation process and in the communication of its results, develop the capabilities to participate in broader processes of social change, and equip them with the knowledge to challenge existing development strategies. Gender-responsive evaluation can contribute to the development of social cohesion and collaboration through the relationships and communication among participants, programme managers, evaluators and other stakeholders.

## C. Strategic intent of gender-responsive evaluation

The strategic intent of evaluation, as described under **UNEG Norm 1**, is to feed into management and decision-making processes, and to make an essential contribution to managing for results. Evaluation should inform the planning, programme, budgeting, implementation and reporting cycle. It aims at improving the institutional relevance and the achievement of results, optimizing the use of resources and supporting accountability, and maximizing the impact of the contribution of the entity towards gender equality and the empowerment of women. Evaluation is also an important contributor to building knowledge and organizational learning.<sup>6</sup>

In UN Women, gender-responsive evaluation is conducted for three main and equally important purposes that together support the overall delivery of results:

1. It is a means to demonstrate **results and accountability** to stakeholders by providing information to stakeholders, participants and donors about programme processes and about intended and unintended effects on women's empowerment, gender equality and human rights as a result of the intervention.

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<sup>6</sup> Based on **UNEG Norm 1** definition: UNEG, "Norms for evaluation in the UN system", 2005, available online at: <http://unevaluation.org/document/detail/21>, and UN Women Evaluation Policy.



2. It provides credible and reliable **evidence for decision-making** by providing information about programme design, implementation, and resource allocation and providing knowledge on participants' and stakeholders' needs, programme functioning and programme effects.
3. It contributes important **lessons learned** about normative, operational and coordination work in the areas of gender equality and the empowerment of women—including what is working well, what is not, and what this means for the programme and for other development efforts.

UN Women evaluations provide evidence of the processes employed at the global, regional and country levels and results achieved at the output, outcome and impact levels; illuminate the connections implicit in the unique role of UN Women in terms of operational, normative support and coordination work; and reveal the factors and modalities that facilitate or hinder the achievement of results.



## D. Gender-responsive evaluation within results-based management

Evaluation is a critical component of RBM. RBM is a strategic management approach and one of the core programming principles for UN programmes. It helps to ensure accountability for programmes by offering a process and structure to formulate results and to manage for their achievement while also ensuring evidence for decision-making, learning and accountability. The [UN Women Strategic Plan 2014-2017](#) includes efforts to institutionalize a culture of RBM as a key operational efficiency and effectiveness priority.<sup>7</sup>

UN Women aligns its RBM framework with the [United Nations Development Group RBM Handbook](#), where the key principles of RBM are outlined as follows: 1) accountability, 2) national ownership and 3) inclusiveness. RBM depends on critical assumptions about the programme environment and risk assessments, clearly defined accountabilities and indicators for results, and performance monitoring and reporting.

All of the steps in the RBM cycle have evaluation implications (Figure 1), and evaluation influences the work undertaken in each step. RBM is a manager's responsibility and part of managing for results is to be clear on what the programme is designed to achieve, measure progress towards and attainment of results, as well as learning from programme experiences. Evaluation is an important tool for managers in their RBM responsibilities.

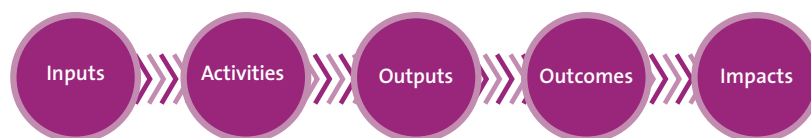
**Figure 1. Steps in the results-based management cycle**



<sup>7</sup> Executive Board of UN Women, "United Nations Entity for Gender Equality and the Empowerment of Women strategic plan, 2014-2017", p. 9 (UNW/2013/6), available online at: [www.un.org/ga/search/view\\_doc.asp?symbol=UNW/2013/6&Lang=E](http://www.un.org/ga/search/view_doc.asp?symbol=UNW/2013/6&Lang=E).

The planning stage of RBM entails the development of the UN Women development results framework<sup>8</sup> (based ideally on the explicit theory of change<sup>9</sup> or programme theory) in collaboration with partners and key stakeholders. The development results framework is key for evaluation because it helps explain the links or causal relationships (Figure 2) between the ultimate goal (impact), the means for achieving it, and indicators for measuring achievement. It is used as a key tool for assessing the programme's contribution to results.

**Figure 2. Programmatic causal chain**



Results include outputs, outcomes and impacts. These are all articulations of what is hoped to be achieved in furthering human rights, gender equality and women's empowerment through the UN Women programme of work.<sup>10</sup>

**Activities** are the specific technical, financial, advocacy, partnership and dialogue inputs from UN Women that combine with partner efforts to achieve the outputs.

**Outputs** are changes in skill or abilities of individuals or institutions, or the availability of new products and services that result from the completion of activities within a development intervention within the control of UN Women. They are achieved with the resources provided and within the time-period specified.

**Outcomes** represent change in the institutional and behavioral capacities for development conditions that occur between the completion of outputs and the achievement of goals. Gender equality and human rights goals are long-term goals, thus the majority of programmes and projects at UN Women identify intermediate-term outcomes and longer-term outcomes.

<sup>8</sup> A results framework is a management tool that specifies the results to be achieved (outputs, outcomes and goals or impacts), indicators for measuring progress, and baseline information for monitoring progress against expected results.

<sup>9</sup> Theory of change articulates the programme theory on how change occurs, identifying causal linkages between the inputs, outputs and outcomes of a programme, and how UN Women expects to achieve results taking into consideration the programme context, partners and underlying assumptions. The Development Results Framework is a programming tool based on the theory of change.

<sup>10</sup> UN Women aligns its definitions with United Nations Development Group, "Results-based management handbook: Harmonizing RBM approaches and concepts for improved development results at country level", 2012, available online at: <http://issuu.com/unddevelopmentgroup/docs/undg-rbm-handbook/11?e=0>.



**Impacts** include changes in conditions for women and girls, and men and boys. Such changes are positive or negative long-term effects on target populations produced by a development intervention (whether directly or indirectly, intended or unintended). These effects can be economic, socio-cultural, institutional, environmental, technological or of other types. Positive impacts should have some relationship to the **Millennium Development Goals** or the foreseen **Sustainable Development Goals**, other internationally agreed development goals, and national development goals, including commitments to conventions and treaties. UN Women, through collective effort with partners and stakeholders, contributes to the achievement of impacts for advancing gender equality and women's empowerment.

Although evaluation is placed at the end of the RBM cycle, evaluation can take place at various points of the programme implementation (the evaluation types will be discussed in Chapter 3). Lessons learned through evaluations are instrumental to the RBM process, as they should help UN Women staff design new programmes and enhance knowledge on what works to further gender equality and human rights in development programming. Evaluation is critical for supporting RBM and contributing to knowledge management in UN Women and beyond.

## E. Differences and similarities between evaluation and other organizational functions

Evaluation is related to, but distinct from, other oversight and organizational functions carried out in UN Women: audit, reviews, social research and knowledge management.

- **Audit** is focused mainly on compliance with the rules and regulations of the organization and risk management, while evaluation is focused on development results and enhancing the understanding of what works or doesn't work, why and how.
- **Monitoring** is an ongoing systematic collection of data by programme managers that helps UN Women and its partners track progress against expected results and indicators to make corrections based on new information as implementation occurs.



- **Reviews** are periodic or *ad hoc* assessments of the performance of an initiative. Reviews tend to emphasize operational issues over achievement of development results and are conducted by those managing or overseeing the programme. Reviews tend to not be as methodologically rigorous, and they generally do not assess results against evaluation criteria (effectiveness, relevance, etc.). An evaluability assessment is an example of a review that should be conducted prior to an evaluation.
- **Social research** is a systematic examination aimed at the development of or contribution to knowledge. Evaluation uses traditional social science research methods of data collection and analysis and can contribute to knowledge. However, its main purpose is to support management by contributing to organizational accountability, decision-making and learning.
- **Knowledge management systems** are fed by evaluation findings and lessons, which are inputs to organizational learning.

**Monitoring and evaluation (M&E)** are integral parts of RBM. Robust monitoring systems are necessary to ensure that a programme has sufficient data to be evaluated, but it is not sufficient for evaluation. Monitoring and evaluation are similar in many ways, but key differences distinguish them (see Table 1). Timing is one key difference: monitoring occurs on an ongoing basis, while evaluations occur at specific points of programme implementation—baseline, mid-term or end of programme. Another key difference is that monitoring is conducted by programme staff or implementing partners, while evaluation is conducted by independent/external consultants or firms, with the exception of self-evaluation, which is a methodologically rigorous process conducted by the UN Women office managing the programme or project of interest.



**Table 1. Differences and similarities between monitoring and evaluation**

	Monitoring	Evaluation
<b>Definition</b>	Systematic tracking of progress against the planned goals and indicators	Systematic and objective assessment of the expected and achieved results; it aims at determining the relevance, impact, effectiveness, efficiency, gender and human rights responsiveness, and sustainability of interventions
<b>Purpose</b>	For learning, decision-making and accountability	For learning, decision-making and accountability
<b>Who conducts</b>	Programme manager or implementing partner	Independent or external consultant UN Women office managing programme of interest (for self-evaluation) IEO
<b>Timing</b>	Ongoing through end of programme	Specific points in the programme life cycle: baseline, mid-term, end of programme or years after end of programme (to measure impact)
<b>Type and source of information</b>	Typically quantitative Primary data: dependent on indicator	Quantitative and/or qualitative Primary data: interviews and focus groups with stakeholders, observations, etc. Secondary data: monitoring data and reports, other documentation
<b>Types of analyses</b>	Tracks achievement of outputs and tracks changes at the outcome and, to the extent possible, impact levels Tracks the timely and effective undertaking of activities and the availability of required inputs	Triangulation to measure achievement and contribution towards outcomes and impact Different frameworks for analysis Ultimately makes a judgment
<b>Use</b>	Can lead to changes in programme plans	Can lead to: Changes in programme plans Organizational change Resource allocations Innovation



- Millennium Development Goals: <http://www.un.org/millenniumgoals>
- MY M&E Resource Center and E-learning Course: <http://mymande.org>



- Convention on the Elimination of All Forms of Discrimination: Against Women: <http://www.un.org/womenwatch/daw/cedaw/>
- Beijing Platform for Action: <http://www.un.org/womenwatch/daw/beijing/platform/>
- Economic and Social Council agreed conclusions 1997/2 (<http://www.un.org/womenwatch/osagi/gmrolesmadtgenfp.htm>) and resolution 2011/5 (<http://www.un.org/en/ecosoc/docs/docs.shtml>)
- MyM&E, e-learning course on Equity-focused and gender-responsive evaluations: <http://mymande.org/elearning/course-details/1>
- UN System Chief Executives Board for Coordination policy on gender equality and women's empowerment and its corresponding system-wide action plan: <http://www.un.org/womenwatch/ianwge/>
- United Nations Development Group RBM Handbook: <http://issuu.com/undevdevelopmentgroup/docs/undg-rbm-handbook>
- UNEG: <http://www.unevaluation.org/>
  - Ethical Guidelines
  - Integrating human rights and gender equality in evaluations
  - Norms for Evaluation in the UN System
  - Standards for Evaluation in the UN System
- UN Women: <http://www.unwomen.org/en/digital-library>
  - UN Women Evaluation Policy
  - UN Women Evaluation Strategic Plan 2014-2017
  - UN Women Strategic Plan 2014-2017
- UN Women intranet: <https://unwomen.sharepoint.com/>
- Programme Operations Manual: Programme and Project Management section
- UN Security Council resolutions on women, peace and security and on sexual violence in conflict: <http://www.un.org/en/sc/documents/resolutions/>
  - 1325 (2000), and 1820 (2008), 1888 (2009), 1889 (2009), 1960 (2010), 2106 (2013), and 2122 (2013)

# 2

## **GENDER-RESPONSIVE EVALUATION IN UN WOMEN**

This chapter explains the UN Women governance and systems in place to carry out quality gender-responsive evaluations.



## A. UN WOMEN EVALUATION GOVERNANCE AND ROLES AND RESPONSIBILITIES

The [UN Women Evaluation Policy](#) and the [POM](#) identify the institutional structures governing evaluation and respective roles and responsibilities for evaluation in UN Women. The [UN Women Evaluation Strategic Plan 2014-2017](#) is the main guiding document that sets forth the organizational framework for evaluation planning, conduct and follow-up in UN Women. It is the responsibility of all UN Women staff to adhere to the principles of the [UN Women Evaluation Policy](#) and promote a culture of evaluation responsive to gender equality and women's rights, both within the entity and in the wider UN system. UN Women undertakes corporate and decentralized evaluations:

- **Corporate evaluations** are independent assessments undertaken by the IEO with the support of external evaluators. They are used to assess issues of corporate strategic significance concerning development effectiveness, organizational performance, and normative and operational coherence.
- **Decentralized evaluations** are typically conducted by independent external evaluators but managed by programmatic offices (including regional offices [ROs], multi-country offices [MCOs], country offices [COs] and headquarter [HQ] divisions). Occasionally offices undertake self-evaluation, which is a methodologically rigorous process conducted by the respective office. To the extent possible, decentralized evaluations are conducted in consultation or partnership with national stakeholders and UN agencies. Decentralized evaluations are used to assess issues of significance at the programmatic level and play a critical role in managing for results. They are key inputs for corporate evaluations and United Nations Development Assistance Framework (UNDAF) evaluations.

A brief description of key roles within the governance hierarchy for the UN Women evaluation function is below. More details can be found in the [Evaluation Chapter](#) of the [POM](#).

### The UN Women Executive Board:

- Has ultimate decision-making power with respect to the evaluation function at UN Women, as it approves the [UN Women Evaluation Policy](#). Other inter-governmental bodies, such as the Commission on the Status of Women, may consider findings, recommendations and lessons learned from UN Women evaluation in the promulgation of policies.





## The Executive Director of UN Women:

- Is accountable for UN Women results and is the main person responsible for evaluation within the entity.

## The IEO:

- Is the custodian of the UN Women evaluation function. It reports directly to the Executive Director in order to safeguard its independence from management and to conduct its work with impartiality.
- The IEO is composed of evaluation specialists based in both HQ and ROs. The regional evaluation specialists are IEO staff deployed in the ROs. The regional evaluation specialists allow for a more symbiotic exchange between corporate and decentralized evaluation systems by supporting the implementation of the [UN Women Evaluation Policy](#) and strategies in their respective regions through the formulation of regional evaluation strategies.
- IEO undertakes corporate evaluations with the support of external evaluators.
- IEO staff also support quality assurance and capacity building of UN Women staff by providing guidance on evaluation that is responsive to gender equality and women's rights, strengthening decentralized evaluation systems, and providing direct support for decentralized evaluation planning, preparation, conduct, reporting, follow-up and use.

## The Global Evaluation Advisory Committee:

- Is composed of senior management and external experts and acts as an advisory forum for the Executive Director and the IEO to further ensure the independence, credibility and utility of the evaluation function.

## COs, MCOs, ROs, programme divisions and other HQ divisions:

- Are responsible for the decentralized evaluation function. Each office assumes a distinct role and responsibility. Working with the IEO, they contribute to a coherent and effective evaluation function in the organization.
- Deputy executive directors, division directors, regional directors and country representatives champion the use of all evaluations within UN Women and



ensure that adequate financial and human resources are made available for decentralized evaluation so as to ensure an effective and efficient evaluation function.

- They are responsible for creating an enabling environment that strengthens the evaluation culture in the area under their purview.
- They put in place the factors and resources necessary to ensure the evaluability of interventions, including quality design and monitoring, reporting and documentation systems.
- They are responsible for the use of findings, recommendations and lessons learned resulting from the evaluations commissioned by their respective offices and from other corporate or relevant evaluations.
- **The programme division** approves decentralized monitoring, evaluation and research plans (MERPs) and supports decentralized evaluations by guaranteeing the evaluability of programmes through the allocation of appropriate resources, technical support, guidance on the development of theories of change, performance monitoring frameworks and their implementation, and programme documentation systems.
- **Regional directors** play an oversight role in decentralized evaluations in their region and are responsible for ensuring adequate staffing and competencies for the fulfillment of evaluation roles, including the appointment of M&E officers or focal points.

## M&E officers and focal points:

- Implement evaluation plans and may manage evaluations, and coordinate, support and communicate information about all evaluation-related work of the programmatic office in order to promote compliance with the [UN Women Evaluation Policy](#).
- Responsible for keeping UN Women evaluation-related databases (Global Accountability and Tracking of Evaluation Use [[GATE](#)]) up-to-date.



See [Guidance for M&E focal points](#)



## Evaluation managers:

- Support the overall management of individual decentralized evaluation processes.
- In order to ensure impartiality, the evaluation manager should not be the manager of the programme being evaluated or, at a minimum, not have individual decision-making authority in evaluation processes.

## B. UN WOMEN QUALITY ASSURANCE AND ACCOUNTABILITY SYSTEMS

The IEO has established several key systems to continuously improve the quality and credibility of UN Women evaluations and to ensure the use of evaluations by holding managers accountable for responding to UN Women evaluations. High-quality gender-responsive evaluations are critical for RBM, knowledge generation for wider use, and accountability to programme partners and stakeholders. IEO provides tools, support and technical assistance to offices managing evaluations to assist them in fulfilling their responsibilities. Regional or HQ evaluation specialists provide support to the entire evaluation process by reviewing the evaluation plan, terms of reference (ToR), draft inception and evaluation reports, and other support as applicable.

### Global Evaluation Oversight System (GEOS)

The IEO established a Global Evaluation Oversight System (GEOS) in order to track key performance indicators (KPIs) for the evaluation function. The KPIs are aligned with the [UN Women Evaluation Policy](#) and provide evidence of the progress, or lack thereof, in its critical areas. The KPIs are as follows:

- 1) Financial resources invested in evaluation
- 2) Human resources dedicated to M&E
- 3) Coverage and types of evaluations managed
- 4) Implementation rate of planned evaluations
- 5) Submission rate of completed evaluation reports to the global accountability and tracking of evaluation use system



- 6) Quality of evaluation reports
- 7) Use of evaluation, including management response
- 8) Number of staff that have completed professionalization programme
- 9) Percentage of offices that managed evaluation in a specific year compliant with evaluation process standards

IEO reports on the KPIs on a biannual basis to the Executive Director and Senior Management Team and on an annual basis to the Executive Board. The KPIs are also made public on the [GATE](#) website.

## Global Evaluation Reports Assessment and Analysis System (GERAAS)

The [Global Evaluation Reports Assessment and Analysis System \(GERAAS\)](#) aims to improve the quality and use of decentralized evaluations. In order to assess the quality of evaluation reports (KPI Number 6), the IEO launched the GERAAS. The assessment and analysis system uses the evaluation report standards of the [UNEG](#) and the [United Nations System-wide Action Plan Evaluation Performance Indicator \(UN-SWAP EPI\)](#) as a basis for review and assessment, while ensuring specific standards relevant to UN Women. The standards should be used by UN Women evaluation managers to inform evaluation consultants and to assess the quality of reports. The GERAAS produces an independent assessment of the quality and usefulness of evaluation reports (meta-evaluation) and provides practical feedback to individual offices on how to improve the quality and usefulness of future evaluations. In addition, GERAAS serves knowledge management objectives by synthesizing evaluation findings, good practices and lessons learned through meta-analysis.

The IEO presents the findings of the GERAAS meta-evaluation and meta-analysis at the Annual Session of the Executive Board and to the senior managers and the Global Evaluation Advisory Committee. As part of the overall annual report of the [United Nations System-wide Action Plan](#), UN Women reports on the Evaluation Performance Indicator based on the GERAAS assessment. The report is also shared with concerned HQ divisions, ROs, MCOs and COs to improve the quality and utility of evaluations by highlighting the strengths, good practices and areas that require improvement.

## Quality assurance process for decentralized evaluations

The IEO has developed a quality assurance process that corresponds to the evaluation stages of UN Women (depicted in Figure 3) to aid offices in achieving

compliance with the process in consultation with the regional evaluation specialist. The corresponding checklist ([Table 2](#) and [Tool 1](#)) identifies the key milestones for the quality assurance process. In addition, the chapters in this handbook are organized according to these evaluation stages and provide detailed information on the associated requirements, with checklists at the end of each chapter and links to tools that have been developed by the IEO and other external resources.

**Figure 3. Key stages of an evaluation process**



**Table 2. Evaluation process standards for decentralized evaluations**

Stage of the evaluation	Evaluation process to be complied	Status of compliance
<b>Planning stage (Chapter 3)</b>	<b>Monitoring, evaluation and research plans (MERPs)</b>	
	Has the M&E officer or focal point supported the MERP process in consultation with concerned programme officers and senior managers?	Yes <input type="radio"/> No <input type="radio"/>
	Was the draft plan sent to the regional evaluation specialist for review?	Yes <input type="radio"/> No <input type="radio"/>
	Did the MCO or CO representative or regional director submit the MERP together with the strategic note, annual work plan (AWP) for peer review group review and approval?	Yes <input type="radio"/> No <input type="radio"/>
	Did the M&E officer or focal point upload the evaluation section of the MERP to GATE within one month of approval?	Yes <input type="radio"/> No <input type="radio"/>
<b>Preparation stage (Chapter 4)</b>	<b>Terms of reference (ToR)</b>	
	Did the office appoint an evaluation manager (either the M&E officer or another staff member that is not involved in the programme management)?	Yes <input type="radio"/> No <input type="radio"/>
	Was the draft ToR shared with the regional evaluation specialist for quality review?	Yes <input type="radio"/> No <input type="radio"/>
	Was the draft ToR shared with the evaluation reference and management groups?	Yes <input type="radio"/> No <input type="radio"/>
	Was the final ToR approved by the country representative or deputy representative?	Yes <input type="radio"/> No <input type="radio"/>
	Did the M&E officer or focal point upload the final ToR to the GATE website?	Yes <input type="radio"/> No <input type="radio"/>



Stage of the evaluation	Evaluation process to be complied	Status of compliance
	<b>Selection of consultants</b>	
	Did the M&E officer/evaluation manager consult the regional evaluation specialist on the selection of the consultant/firm for the evaluation?	Yes <input type="radio"/> No <input type="radio"/>
	Was the final selection of the consultant/firm approved by the country representative or deputy representative?	Yes <input type="radio"/> No <input type="radio"/>
<b>Conduct stage (Chapter 5)</b>	<b>Inception report</b>	
	Did the M&E officer/evaluation manager quality assure the inception report?	Yes <input type="radio"/> No <input type="radio"/>
	Was the draft and final inception report shared with the regional evaluation specialist for quality review?	Yes <input type="radio"/> No <input type="radio"/>
	Was the draft and final inception report shared with the evaluation reference and management groups for quality review?	Yes <input type="radio"/> No <input type="radio"/>
	Was the final inception report approved by the country representative/deputy representative?	Yes <input type="radio"/> No <input type="radio"/>
<b>Reporting stage (Chapter 6)</b>	<b>Draft and final evaluation reports</b>	
	Did the M&E officer/evaluation manager review the quality of the draft evaluation report?	Yes <input type="radio"/> No <input type="radio"/>
	Was the draft evaluation report shared with the regional evaluation specialist for quality review?	Yes <input type="radio"/> No <input type="radio"/>
	Was the draft evaluation report shared with the evaluation reference and management groups for quality review?	Yes <input type="radio"/> No <input type="radio"/>
	Was the final report approved by the country representative or deputy representative?	Yes <input type="radio"/> No <input type="radio"/>
	Did the M&E officer or focal point upload the final evaluation report within six weeks of finalization to the GATE website?	Yes <input type="radio"/> No <input type="radio"/>



Stage of the evaluation	Evaluation process to be complied	Status of compliance
Use & follow up stage (Chapter 7)	Management response & Dissemination	
	Did the country representative or deputy representative lead the development of the management response?	Yes <input type="radio"/> No <input type="radio"/>
	Did the M&E officer or focal point upload the management response in the GATE system within six weeks of finalization?	Yes <input type="radio"/> No <input type="radio"/>
	Did the country representative approve the management response in the GATE website?	Yes <input type="radio"/> No <input type="radio"/>
	Is the country representative or deputy representative ensuring timely implementation of key actions of the management response?	Yes <input type="radio"/> No <input type="radio"/>
	Is the M&E officer or focal point updating the status of the implementation of the management response key actions on a quarterly basis?	Yes <input type="radio"/> No <input type="radio"/>
	Did the M&E officer or focal point implement the evaluation dissemination strategy to ensure access to evaluation results and to facilitate learning?	Yes <input type="radio"/> No <input type="radio"/>





- UNEG: <http://unevaluation.org/>
- UN Women GATE: <http://gate.unwomen.org>



- Tool 1. Evaluation process standards for decentralized evaluation



- UN Women: <http://www.unwomen.org/en/digital-library>
  - Global Evaluation Advisory Committee Terms of Reference
  - Global Evaluation Reports Assessment and Analysis System (GERAAS)
  - UN Women Evaluation Policy
  - United Nations System-wide Action Plan
- UN Women intranet: <https://unwomen.sharepoint.com/>
  - POM
  - Guidance for M&E focal points
- UNEG: <http://unevaluation.org/>
  - United Nations System Wide Action Plan Evaluation Performance Indicator



# 3

## PLANNING

This chapter explains the requirements for planning decentralized evaluations. It provides guidance on *what* a decentralized evaluation plan is, *why* it is needed, *who* is required to develop it, and by *when*. It also provides step-by-step guidance on *how* to develop a decentralized evaluation plan and provides tools for evaluation planning, including how to allocate and track funds for evaluation.



## A. DECENTRALIZED EVALUATION PLANNING

When designing a new programme (i.e., strategic note and annual work plan [AWP]), decentralized evaluation needs to be included in the strategic and operational planning. During that stage, managers need to consider what, across the spectrum of all programming, will be evaluated within a given period and allocate appropriate resources. It is essential that planning for M&E take place at such an early stage because:

- The design of the programme affects its evaluability, in other words, how it can be evaluated
- Specific, measurable, achievable, relevant and time-bound (SMART) programme results and indicators are foundational to evaluation
- Monitoring results throughout programme implementation is critical to having valid information available for an evaluation
- Time and resources required for the evaluation need to be reflected in work plans and budgets

The [UN Women Evaluation Policy](#) establishes that integrated MERPs be developed. The MERP represents an important component of the country, multi-country and regional planning processes, and is an integral part of the development of the strategic notes and AWP. It is essentially a calendar of all activities related to monitoring, evaluation and research that allows UN Women ROs, MCOs and COs to strategically reflect on their information needs in terms of learning, decision-making and accountability.

The evaluation section of the MERP provides a list of evaluations to be commissioned and managed by UN Women offices during the period of their strategic note. It also provides essential information in terms of evaluation theme, planned evaluation date, evaluation stakeholders and evaluation budget.

### The MERPs serve to:

- Prioritize and focus on decision makers' most critical information needs, especially given scarce resources
- Plan realistically in terms of timing of activities, practical implementation requirements and capacities of offices and partners



- Know in advance what monitoring, evaluation and research activities will be conducted during the strategic note period
- Provide a link to programmatic planning and budgeting at RO, MCO, and CO level

## Evaluation planning requirements

All ROs, MCOs and COs should develop decentralized evaluation plans in conjunction with country, multi-country and regional strategic notes and AWP to which they will be annexed.

- MERPs from ROs should align with the strategic plan period
- MERPs from MCOs should align to the UNDAF of one country or to the corporate strategic plan as appropriate
- MERPs from COs should cover the period of their strategic note (e.g., from 2014 to the end of their country's UNDAF)

All evaluation plans should be reviewed and updated annually together with the development of the AWP. The evaluation section of the MERP is uploaded into the [GATE](#) website to ensure transparency and accountability to stakeholders on UN Women evaluations.



## B. STEPS FOR EVALUATION PLANNING

Evaluation planning involves a series of steps that are outlined below. RO, MCO and CO directors and representatives should lead this process with the support of M&E officers and focal points in accordance with the evaluation process standards (see [Figure 4](#)).

### Box 1.

#### Criteria for selecting evaluations

Eight key parameters and two levels of priority should be used to select decentralized evaluations (see [UN Women Evaluation Policy](#) and [Tool 2](#)). The parameters are intended to assist offices in developing realistic evaluation plans based on information needs, not just donor mandates. A selected evaluation must not meet all of the parameters but ideally focus on first-priority parameters while taking into account cross-cutting issues. Feasibility of evaluations, as a cross-cutting issue, should be paid special attention to avoid over planning.

#### Eight parameters for prioritizing evaluations:

##### First priority

- 1) Relevance of the subject
- 2) Risk associated with the intervention
- 3) Significant investment (*see below for more details*)

##### Second priority

- 4) Demands for accountability from stakeholders
- 5) Potential for replication and scaling-up
- 6) Potential for joint or UNDAF evaluation

##### Cross-cutting

- 7) Feasibility for implementing evaluation
- 8) Knowledge gap



## STEP 1:

### Identify evaluations to be included in the plan.

Analyse the respective strategic note and identify potential evaluation needs and evaluation commitments. The [UN Women Evaluation Policy](#) has established eight parameters for prioritizing evaluations that should be used at this stage (**Box 1**).

To ensure sufficient evaluation coverage of the office portfolio,<sup>11</sup> one-third of the overall office portfolio during the strategic note period should be evaluated.

There are four primary approaches to evaluation planning that offices can follow to ensure that they are evaluating one-third of the portfolio for the strategic note period:

- 1) A country portfolio evaluation (i.e., strategic note evaluation)
- 2) A cluster/thematic evaluation of one of the primary strategic/outcome areas of work that comprises one-third or more of the portfolio
- 3) An evaluation of one large programme that equals or exceeds one-third of the overall programme/project budget
- 4) A series of evaluations of a number of individual programmes/projects that equal one-third of the portfolio

With programming being done on a rolling basis, the determination if one-third of the programme portfolio is covered through evaluation must be an iterative process. It is recommended to complete an annual review and update the MERP in the first quarter of its implementation based on the actual office budget.

## STEP 2:

### Complete the MERP including information on planned monitoring, evaluation and research activities.

The evaluation section of the MERP is divided into two sections. The first section should include all evaluations to be commissioned and managed by UN Women, ROs, MCOs and COs directly, including those jointly managed with others (see **Box 2**).<sup>12</sup> The second section should list evaluations in which UN Women ROs, MCOs and COs are involved but not managing, e.g., UNDAF evaluations,

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<sup>11</sup> The office portfolio is defined as the total amount of core and non-core resources allocated for programmes and projects, i.e., the Development Results Framework budget.

<sup>12</sup> All joint evaluations in which UN Women is participating should be included in Section 2A, as UN Women should be part of the management structure.



evaluations managed by Trust Fund to End Violence Against Women, Fund for Gender Equality, or donors. The “Remarks” column can be used to explain the selection including the criteria used for selection, potential evaluability and intended use of findings.

The draft MERP together with the respective strategic note and AWP is shared with the regional evaluation specialists for quality assurance purposes. The regional evaluation specialists will provide technical support to evaluation planning throughout the process.

### **Tool3. Evaluation plan template**

## **STEP 3:**

### **Finalize and seek approval of the MERP as part of the strategic note and AWP approval process.**

Draft strategic notes and AWP, including MERPs, are reviewed and cleared by the RO and HQ-based advisors and thematic clusters, and the IEO (via the regional evaluation specialists). During this process the Director of Programme Division convenes a Peer Review Group that appraises strategic notes, AWP and the MERP.

Following appraisal by the Peer Review Group, one of two actions will be taken:

- 1) The Peer Review Group will submit strategic notes and AWP, including the MERP, that meet the above criteria to the Executive Director/Deputy Executive Director for Policy and Programmes for approval
- 2) If clarifications or changes are required, the Peer Review Group returns the strategic notes, AWP and MERP to the relevant office for revision and further appraisal.

Once approved, the M&E officer or focal point uploads the evaluation section of the MERP in the [GATE](#).

## **STEP 4:**

### **Review and update the MERP annually as part of the AWP development process.**

ROs, MCOs and COs refine MERPs annually based on their actual office portfolio/ investment to ensure that they are on track to evaluate one-third of their portfolio during the strategic note period. Any changes made to the evaluation plan must also be entered electronically in [GATE](#).

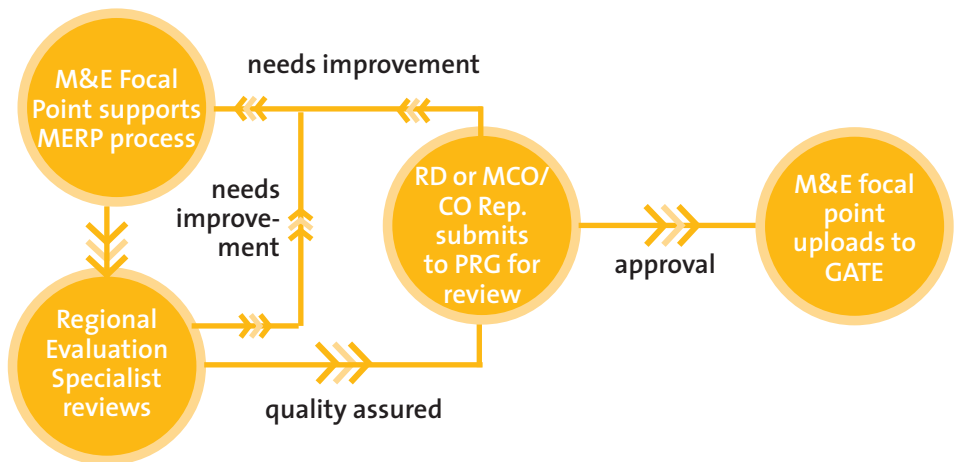


## STEP 5:

### Track and report on the status of evaluation plan implementation.

The M&E officer or focal point updates the status of each evaluation in the [GATE](#) website quarterly. The system generates automated reminders for M&E officers or focal points to update the status of their plans. The head of the office is responsible for monitoring the status of evaluation plan implementation, with information on implementation status being publicly available in the [GATE](#).<sup>13</sup> Drawing on information in [GATE](#), the IEO reports on the status of evaluation plans on a biannual basis to the Executive Director and Senior Management Team and annually to the Executive Board, as well as on an ad hoc basis, such as requests from auditors. Therefore, it is of utmost importance that information be entered in [GATE](#) in a timely fashion to ensure accurate reporting to the senior management and the Executive Board.

Figure 4. UN Women evaluation process: planning stage



<sup>13</sup> For details on how to navigate through the GATE System see [GATE Guidance](#), available on the [GATE](#) website after logging in.



## C. DECIDING ON EVALUATION TYPE AND MODALITY

### Evaluation type

Evaluations are defined at UN Women according to the following two sub-types<sup>14</sup> (see **Tool 4. Selecting the type of evaluation**):

- **Use of analysis:** institutional, policy, strategy, thematic, cluster, regional, programme or project evaluations, or meta-evaluation
- **Timing:** formative (including mid-term evaluations), real-time, summative (including final evaluations) and ex-post evaluations (including impact evaluations)

When deciding what type of evaluation to conduct, the following points should be considered:

- What is the evaluation purpose (i.e., learning, accountability or decision-making)?
- Who is the target audience for the information from the evaluation?
- What kinds of information are needed to make decisions and/or contribute to learning?
- What is the scope of the evaluation (i.e., time frame, geographical representation, breadth of programmes and projects included)?
- What are the resources available to collect the information (i.e., human, financial, time)?
- When is the information needed (i.e., is there a strategic meeting, is the programme coming to an end, etc.)?

### Evaluation modalities

Evaluations can be further defined by modalities related to who manages the evaluation:

- **Individual evaluations** are managed by only one organization: UN Women.
- **Joint evaluations** are co-managed by a UN Women section, division, or office and at least one other organization. This can be in the context of a joint programme, including UNDAF and /or Delivering as One UN programmes.

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<sup>14</sup> A single evaluation can be defined by one or more of the sub-types.



## Box 2.

### When is an evaluation considered a joint evaluation?

The key to determining whether or not an evaluation is a “joint evaluation” is deciding whether or not UN Women is part of the *management and decision-making process of the evaluation*. Typically, joint evaluations establish a management group that makes key decisions throughout the evaluation process. This is different from a reference group, which is a group of stakeholders established for ensuring the accuracy, relevance, and quality of the evaluation process and products (see [Chapter 4](#)). There are various degrees of “jointness” depending on the extent to which individual partners cooperate in the evaluation process, merge their evaluation resources and combine their evaluation reporting. A joint evaluation does not necessarily entail the contribution of financial resources, but it does require UN Women staff involvement in making decisions about the conduct of the evaluation.

III → **UNEG Guidance on Joint Evaluation**

UN Women has a mandate to support the integration of gender equality across UN interagency evaluation work, and the UN Women Executive Board has repeatedly highlighted the importance of UN Women engagement in joint programme and UNDAF evaluations. Joint evaluations can be an effective means to enhance gender-responsive evaluation capacity at the national level and amongst UN Women partners. Joint evaluations, however, require additional efforts in terms of coordination, which need to be carefully reflected upon when planning joint evaluations.



## D. BUDGETING FOR EVALUATIONS

Evaluation is a core function of the organization. Therefore it is essential that core budget be allocated to evaluation at the office level as part of the overall planning and budgeting process. This core budget allocation should be complemented by cost-sharing budget allocations, e.g., donor commitments for specific programme and project evaluations (Box 3).

RO, MCO and CO directors and representatives are responsible for ensuring adequate resources (both financial and human) for evaluation and that one-third of the office portfolio is evaluated over the period of the strategic note. Evaluation funds need to be adjusted to reflect increases or decreases in actual versus planned AWP budgets.

### Recording and tracking evaluation expenditure

When calculating the total financial investment in evaluation and recording and tracking all evaluation-related expenditures, the following should be included:

- Conduct of evaluation (direct programme or project investment in the conduct of evaluations, e.g., consultancy costs)
- Staff costs<sup>15</sup>

#### Box 3.

#### UN Women required level of investment in evaluation

In line with the organizational target set in the [UN Women Evaluation Policy](#) of investing 3 per cent of UN Women total budget, including core and non-core, in the evaluation function, COs should ensure that adequate resources are allocated to evaluation. An additional 3 per cent to 10 per cent of the overall programme budget should be allocated for monitoring, reflecting the importance of monitoring not only for programme management, but also for effective evaluation.

<sup>15</sup> Staff costs refers to a monetary calculation of staff time spent on evaluation related activities, using as basis the total cost of the staff per year. IEO suggests that 5 per cent of M&E focal point time and 15 per cent of M&E officer time be utilized as a standard that can be adjusted to reflect the reality.



- Capacity-building costs (costs related to training UN Women staff and partners, e.g., trainer travel and daily subsistence allowance, participation in evaluation network conferences)
- Communication costs, including dissemination of evaluation results and findings (publication cost, dissemination workshops)

Atlas code **O23** should be used to record and report on evaluation expenditures as part of annual reporting. It is important to track evaluation expenditures separately from monitoring expenditures that are tracked under 021. During the annual reporting process, the total annual evaluation-related expenditures should be aligned with what is reported for UN Women Strategic Plan Organisational Effectiveness and Efficiency Framework output 2.3 (extensions for activity code 23 in Atlas).



## PLANNING

### MONITORING, EVALUATION AND RESEARCH PLANS (MERPS):

- |  |                           |                          |
|--|---------------------------|--------------------------|
| Has the M&E officer or focal point supported the MERP process in consultation with concerned programme officers and senior managers?                   | Yes <input type="radio"/> | No <input type="radio"/> |
| Was the draft plan sent to the regional evaluation specialist for review?  | Yes <input type="radio"/> | No <input type="radio"/> |
| Did the MCO or CO representative or regional director submit the MERP together with the strategic note, AWP for Peer Review Group review and approval? | Yes <input type="radio"/> | No <input type="radio"/> |
| Did the M&E officer or focal point upload the evaluation section of the MERP to GATE within one month of approval?                                     | Yes <input type="radio"/> | No <input type="radio"/> |



- UN Women GATE: <http://gate.unwomen.org>



- **Tool 2.** Eight parameters for prioritizing evaluation
- **Tool 3:** Evaluation plan template
- **Tool 4.** Selecting the type of evaluation



- UNEG <http://unevaluation.org>
  - Guidance on Joint Evaluation
- UN Women <http://www.unwomen.org/en/digital-library>
  - Evaluation Policy
- UN Women intranet <https://unwomen.sharepoint.com/>
  - POM, Chapter 2
  - POM, Chapter 5 Evaluation
  - GATE Guidance Note

# 4

## **PREPARATION**

Evaluation requires careful preparation to ensure it will be of high quality, credible and useful. This chapter discusses the evaluability assessment, stakeholder analysis and engagement, development of the ToR, and selection of the evaluation consultant(s) and/or firm.

An overview of the preparation stage is depicted in Figure 5. As a first step, an evaluation manager should be identified from within the respective UN Women office to manage the evaluation process. To maximize impartiality, the programme officer responsible for the implementation of the programme to be evaluated should not have individual decision-making responsibility in the evaluation process.

**Figure 5. Overview of the preparation stage**



## A. CHECKING EVALUABILITY

Ideally all programmes and projects should be designed to enable robust M&E.<sup>16</sup> An evaluability assessment is a systematic process intended to determine whether or not an intervention is: in a condition to be evaluated, justified, feasible and likely to provide useful information. An evaluability assessment also helps prepare the programme to create the conditions necessary for an evaluation.<sup>17</sup> It typically takes place at the beginning of an intervention but can be carried out at any point of the implementation. An evaluability assessment is not a replacement for a high-quality programme design. An evaluability assessment is useful for ensuring the intervention is ready for an evaluation. It is in the best interest of UN Women to either invest the time and funds necessary to hire external consultants to conduct an evaluability assessment or to have one conducted internally by the respective office (see **Tools. How to conduct an evaluability assessment**).

The evaluability assessment will review:

- Programme design
- Availability of relevant monitoring information and data
- Conduciveness of the context for evaluation

<sup>16</sup> See Norm 7 Evaluability in UNEG, “Norms for evaluation in the UN system”, 2005, available online at: <http://www.uneval.org/document/detail/21>.

<sup>17</sup> According to the glossary of terms in “Evaluation and results-based management (RBM)” by the Development Assistance Committee, *evaluability* is the “extent to which an activity or a programme can be evaluated in a reliable and credible fashion”, and *evaluability assessment* calls for “the early review of a proposed activity in order to ascertain whether its objectives are adequately defined and its results verifiable”.



## Box 4.

## EVALUABILITY ASSESSMENT: Viet Nam Country Office

*Strengthening women's capacity in disaster risk reduction to cope with climate change in Viet Nam.*

The evaluability assessment was a chance for the country office to meet with project partners and beneficiaries to assess their understanding about the project. Their comments and feedback enabled the office to make necessary changes to the project design and implementation that would ensure the project could achieve its results, is measurable and would support a future evaluation. Implementing partners were closely involved in the evaluability assessment process to facilitate a sense of ownership in order to have a shared sense of responsibility and commitment to work on its recommendations together. Because evaluability assessments were

not commonly undertaken in this context, the office had to spend time explaining to its partners the purpose of the exercise and that it was not an evaluation. This also enabled partners to provide constructive and honest feedback. It is important to know that an office conducting an evaluability assessment should take into consideration the time and efforts necessary to respond to recommendations and make improvements to the project after the evaluability assessment, which could result in delays in project implementation.

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Programme Specialist, UN Women Viet Nam





If the evaluability assessment determined that the programme can be evaluated or identified specific measures that can be taken by an evaluation in order to address programme shortcomings, the evaluation manager can move onto the next step: identifying stakeholders to be engaged in the evaluation process. Programme managers can begin making plans to implement the necessary changes. The suggested evaluation approach and methods should be assessed and incorporated into the ToR for the evaluation. The regional coordination and planning specialist can provide technical guidance and support on programme design aspects while the regional evaluation specialist can be consulted with regards to how to prepare for an evaluation.

## B. STAKEHOLDER ANALYSIS AND ENGAGEMENT

A defining characteristic of gender-responsive evaluations is including stakeholders—including both women and men and vulnerable groups, such as indigenous peoples, persons with disabilities, etc. Below are several key principles to follow when engaging them.<sup>18</sup>

- **Inclusiveness:** Take into account all directly and indirectly affected groups—stakeholders, duty-bearers and rights-holders—and be sensitive to differences among them. Disaggregate groups by relevant criteria (sex, class, age, ethnicity, religion, etc.) and pay attention to which groups benefit and which groups contribute to the intervention under review.
- **Participatory and reflective:** Engage stakeholders in an active and meaningful involvement in the design, management and conduct of the evaluation. Assess whether or not the stakeholders were able to participate in the design, implementation and monitoring of the intervention under review and if the intervention (and the evaluation) reflects their engagement. While stakeholders will need to be contacted (e.g., through interviews or surveys) during the evaluation to provide information to the evaluators, gender-responsive evaluation goes beyond this by ensuring active participation in or co-ownership of the evaluation process.
- **Respect:** Treat all stakeholders, particularly those who are vulnerable, with respect for their culture, language, gender, location, and abilities, and develop appropriate ways to engage and be accountable to them.

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<sup>18</sup> The term *stakeholder* is broadly used to include those who deliver, influence and are impacted by the programme. Evaluation stakeholders are people who have a vested interest in evaluation findings.



- **Transparency and accountability:** Ensure the design and conduct of the evaluation is transparent and responsive to questions about all aspects of the process. The results should be publicly accessible (in languages and other formats that stakeholders can access), and feedback should be provided to stakeholders about the process, results and use of the evaluation.

## Benefits of stakeholder participation in gender-responsive evaluation

Thinking about how to identify and engage women and men, as well as vulnerable groups, duty-bearers, rights-holders, and other stakeholders at the outset of an evaluation has several benefits and is instrumental to building ownership, promoting accountability and encouraging evaluation use.

- **Contributions:** Different perspectives will enrich the evaluation design and approach, including: identifying gender equality and human rights issues and implications that may not have been explicit in the programme design and implementation; identifying and collectively finding solutions for evaluation constraints and challenges; facilitating and guiding the conduct of the evaluation; and bringing realistic, on-the-ground insights to the review and assessment of evaluation findings, conclusions and recommendations.
- **Use and usefulness:** The ultimate definition of evaluation success is the extent to which it is used and useful. Participatory approaches to evaluation have demonstrated increased credibility of evaluation results and thus use. Early engagement of stakeholders manages expectations for what the evaluation can provide by involving key players in the definition of why it is being done. Stakeholder engagement is instrumental to building ownership and promoting evaluation use.
- **Capacity building:** Being involved in the evaluation process is itself a learning experience and can serve to build the capacity of stakeholders through increased exposure to gender equality and human rights issues and gender-responsive evaluation approaches. It can help draw explicit connections between programmes and the larger objectives of social change; encourage good practice in tracking and measuring gender equality and human rights; and can be one step in helping duty-bearers (i.e., government officials or authorities) to become committed to gender equality and human rights obligations.
- **Accountability:** Bringing together duty-bearers and rights-holders generates a space for mutual accountability, transparency, and application of key gender equality and human rights principles.
- **Empowerment:** Engaging stakeholders and beneficiaries in all stages of an evaluation process and providing a space for them to determine how a meaningful



process of reflection and assessment should be undertaken can empower participants to take ownership of development interventions.

## Identifying stakeholders

The evaluation manager should undertake a stakeholder analysis using the stakeholders analysis matrix (see **Tool 9. Stakeholder analysis template**) to identify who should participate, how and when, as well as the relevance of a particular group to the purpose and use of the evaluation (see Box 5). While there are many benefits to involving stakeholders in the design, planning and conduct of the evaluation, the evaluation manager will need to weigh these benefits against the desired level of impartiality required of the evaluation. Additionally, the participation of all stakeholders in the evaluation process can be challenging to manage, and may have cost and time implications.

### Box 5.

#### Key questions for identifying stakeholders

**Who:** Stakeholders, disaggregated as appropriate

**What:** Their role in the intervention

**Why:** Gains from involvement in the evaluation

**Priority:** Importance of involvement in the evaluation process

**When:** Stage of the evaluation to engage them

**How:** Ways and capacities in which stakeholders will participate

Once the universe of stakeholders is identified, it is important to define a sub-set of actual evaluation users, narrowing the list of potential stakeholders to a much shorter, more specific group of primary intended users. As mentioned, there is a need to carefully balance the desire to be inclusive (to maximize broad input) against the challenge of managing the evaluation process efficiently.

## Engaging stakeholders

Evaluation processes should clearly define an organization and management structure and establish the roles and responsibilities of the key stakeholders. Key stakeholders can be involved in the evaluation process through the establishment of the **management group** and the **reference group**.



## Establish an evaluation management group

An evaluation management group should be established to oversee the evaluation process and should be coordinated by the evaluation manager. This group should consist of UN Women staff and, in the case of joint evaluations, may also include non-UN Women staff. The responsibility for final approval of the evaluation ToR, selection of the external evaluation team, inception report and final evaluation report should be with the evaluation management group. The group should comprise members from senior management, M&E officers or focal points, and the programme officer responsible for the programme that is to be evaluated. In the case of joint evaluations, representatives of the partner entities may also be included. The programme officer should ensure that the evaluation addresses the information gaps and evaluation questions relevant to the programme being evaluated. Regional evaluation specialists could also be considered as members of the evaluation management group for evaluations managed by the RO, MCO or CO in an advisory capacity. The evaluation management group should be chaired by the representative or by a member of the senior management. A ToR for the management group that outlines their main roles and responsibilities should be developed (see **Tool 11. Management group terms of reference template**). Involvement in the evaluation management group can be light (i.e., via e-mail), in order to lessen the administrative burden. The main goal is to ensure senior management oversight of all evaluation processes.

## Establish a reference group

The evaluation reference group is an effective way to engage stakeholders, as it provides for their systematic involvement in the evaluation process. Careful selection of participants and clear definition of their roles and responsibilities is important for ensuring the best use of a reference group.

The evaluation manager can use the stakeholder analysis to aid in the selection of the key stakeholders for the reference group. Their role(s) can vary, for example to include decision-making, providing contextual or technical expertise and/or supporting evaluation dissemination and use. The evaluation manager needs to ensure that there is a clear understanding amongst the reference group members on how they will contribute to the evaluation process, which can be done through the establishment of a ToR that outlines the main roles and responsibilities of the reference group. Limiting the number of participants may facilitate efficient management.



The main functions of the reference group include (See **Tool 12. Reference group terms of reference template**):

- Facilitating the **participation of the key stakeholders** in the evaluation design, defining the objectives, the evaluation scope and the different information needs.
- Providing input on the **evaluation products**: a) ToR, which defines the nature and scope of the evaluation; b) inception report, which defines the approach and methodology of the evaluation team; c) preliminary findings, which identify the key findings from preliminary analysis; and d) draft and final reports, to identify factual accuracy, errors of interpretation or omission of information.
- Providing **relevant information** (i.e., via surveys, interviews, etc.) and documentation to the evaluation team.
- **Disseminating evaluation results.**
- **Implementing evaluation recommendations** as appropriate (see **Chapter 7**).

### **Box 6.**

#### **Steps for managing the reference group**

- 1) Identify key stakeholders for the reference group as early as possible in the evaluation process.
- 2) Develop a ToR for the reference group to ensure clarity regarding member roles and responsibilities (**Tool 12. Reference group terms of reference template**).
- 3) Convene the reference group to discuss feedback on the evaluation process and the ToR for the evaluation.
- 4) Keep reference group members informed via e-mail or conference call (as necessary) as the evaluation proceeds.
- 5) Convene the reference group for the presentation on the preliminary findings of the evaluation.
- 6) Maintain an audit trail of comments on the evaluation products so that there is transparency in how the evaluation team is responding to the comments (see **Tool 7. Evaluation product comment template**).

## Box 7.

## ENGAGING WITH THE EVALUATION REFERENCE GROUP: Regional Office for Asia and the Pacific

*Evaluation of the project on Regional Mechanisms to Protect the Human Rights of Women and Girls in South East Asia.*

The project, which involved two regional human rights bodies from the Association of South East Asian Nations, which covers 10 countries in South East Asia, established a steering committee (comprising of UN Women management and the donor) from its inception in 2010 that functioned as an evaluation management group for the final evaluation. Following the inception meeting of the evaluation process, UN Women Regional Office for Asia and the Pacific set up a stakeholder reference group to oversee the planning and progress of the evaluation. However, because the key partners were intergovernmental bodies, it was difficult to limit the number of stakeholders in the reference group because of the politically sensitive nature of relationships.

Therefore, to review the report findings and recommendations, the Regional Office for Asia and the Pacific broadened the group to ensure comprehensive stakeholder participation and a participatory approach. All concerned stakeholders provided their feedback to the report and its recommendations, ranking them as high, medium and low priority. These recommendations and the discussions from this meeting were inputs into the next phase of the programme.

This participatory approach facilitated buy-in, quality control, management of expectations, disclosure of findings, sharing of recommen-

dations, and ownership in implementing the recommendations. This evaluation process—wherein an independent group of people spoke to the stakeholders, shared their findings with them, and involved them in designing the next phase of the project—was important in cementing the relationship of trust built by UN Women with the Association of South East Asian Nations and it is important in the context of the new UN Women- Association of South East Asian Nations Memorandum of Understanding.

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UN Women Regional Office for Asia and the Pacific



## Box 8.

# SIX COMMON CHALLENGES AND TIPS FOR MANAGING REFERENCE GROUPS

**CHALLENGE 1:** Reference group members may not be familiar with evaluation.

**TIP:** Spend time in the beginning to educate them on what an evaluation is, why it is done and the process.

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**CHALLENGE 2:** Reference group members are not clear about their role in the evaluation and their responsibility to provide feedback.

**TIP:** Develop a clearly defined and agreed-upon ToR for the reference group at the beginning of the evaluation process that defines roles and manages expectations.

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**CHALLENGE 3:** Reference group members do not have time to participate in meetings and/or provide feedback to evaluation products as agreed.

**TIP:** Allocate adequate time for feedback and alert them about shifting deadlines in advance. Identify alternative means of communication in order to enable stakeholders to meaningfully participate.

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**CHALLENGE 4:** Reference group members can feel disconnected and become disengaged with the evaluation process.

**TIP:** Make sure that initial communications are set up well and there is a two-way communication. Consider holding regular workshops/teleconferences to facilitate communication and make members feel more connected.

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**CHALLENGE 5:** Reference group members may change their perspective during the course of the evaluation on what should be included in the scope of the evaluation.

**TIP:** Ensure that the reference group is clear that due to contractual purposes and to ensure validity, the evaluation team must not alter the scope of the evaluation agreed upon in the ToR and clarified in the inception report.

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**CHALLENGE 6:** All reference group members' comments and feedback may not be reflected in the final report.

**TIP:** It is important for the evaluation report to reflect the diversity of views gathered from different stakeholders (programme managers, donors, beneficiaries, etc.), but at the same time evaluators must maintain their impartial judgement in the final report. Use [Tool 7. Evaluation product comment template](#) to track comments provided by the reference group and response from the evaluation team. Also provide them with a copy of [UN Women Evaluation Policy](#) and [UNEG Norms and Standards](#) and reiterate the need to ensure the impartiality of the evaluation, its rigor and integrity.





The participation of stakeholders in the evaluation process can be challenging to manage and may have cost and time implications (see Box 8). However, it is instrumental to building trust and accountability, and ensuring the relevance, quality, learning from and use of the evaluation. It is also a means for building national ownership and capacity in gender-responsive evaluation techniques. Evaluation managers need to pay particular attention to stakeholders who are very relevant to the evaluation, but who are difficult to engage due to various constraints, and find ways to ensure their participation while upholding ethical principles for engagement of stakeholders (see below section on **ethical considerations for evaluation methods**). For example, means of sharing information, choice of meeting location, timing and language used by the reference group may all have a bearing on the capacity of particular members to participate (e.g., rural or indigenous women).

## C. DEVELOPING AN EVALUATION TERMS OF REFERENCE

The evaluation ToR is a critically important document in preparing for an evaluation. The ToR defines why the evaluation is being undertaken (purpose and objectives), what it will examine (scope), how (design and methods), when it will be conducted (time frame), who will use it (intended users) and how it will be used when completed. This section discusses the overall content and provides suggestions for the development process (see Box 9 and Tool 6). Subsequent sub-sections elaborate on how to define the evaluation questions, scope, approach and methods. The time and effort spent in preparing a good ToR has big returns in terms of quality, relevance and usefulness of the evaluation to be conducted.

### Key components of the evaluation ToR

**The background section** should include an overview of the programme or project context and rationale for evaluation. It should also refer to the guiding documents for evaluation at UN Women, including the **Evaluation Policy**, **Evaluation Chapter of the POM**, the **GERAAS evaluation report quality checklist**, the **United Nations System Wide Action Plan Evaluation Performance Indicator (UN-SWAP EPI)** and this **Evaluation Handbook**. These documents serve as the frame of reference for the Evaluation Manager and the evaluation consultant(s) for ensuring compliance with the various requirements and assuring the quality of the evaluation report.

**The description of the programme/intervention** should include: a detailed outline of the programme (components, implementation status, key participants, budget),



and the logic and underlying assumptions upon which the strategy was developed (the theory of change). Any major divergences from the original programme strategy should be stated and explained. The resources and management structure of the programme should be described.

### **Box 9.**

#### **Outline of an evaluation terms of reference**

- I.** Background (programme/project context)
- II.** Description of the programme/project
- III.** Purpose (and use of the evaluation)
- IV.** Objectives (evaluation criteria and key questions)
- V.** Scope of the evaluation
- VI.** Evaluation design (process and methods)
- VII.** Stakeholder participation
- VIII.** Time frame
- IX.** Expected deliverables (including standard table of contents for an evaluation report; see **Chapter 6**)
- X.** Management of evaluation
- XI.** Evaluation team composition, skills and experiences
- XII.** Ethical code of conduct
- Annex 1** UN Women GERAAS evaluation quality assessment checklist
- Annex 2** UN Women Evaluation Consultants Agreement Form
- Annex 3** UNEG Norms and Standards for evaluation
- Annex 4** UN Women Evaluation Handbook

**The description of the purpose** of the evaluation should include: the why (what triggered it), how the evaluation results will be used and by whom. The purpose of the evaluation could be for learning, accountability or decision-making (see **Chapter 2**).

### **Defining evaluation objectives**

The evaluation objectives should follow the purpose. They should be limited in number and clearly formulated considering the programme information available, the context in which the programme is being implemented, and the context in which the evaluation will take place. The objectives should be framed from a gender equality and human rights perspective. The objectives often identify the evaluation criteria upon which the programme or intervention will be assessed.

## Box 10.

## INVESTING TIME IN DEVELOPING THE TERMS OF REFERENCE: Multi-country Office Kazakhstan

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MCO Kazakhstan managed three decentralized evaluations in 2012-2013:

1. *Final evaluation of women connect across conflicts: Building accountability for implementation of the UN SCR 1325, 1820, 1888, 1889 cross regional project*
2. *Final evaluation of women for equality peace and development in Georgia project*
3. *Mid-term evaluation of women's economic empowerment project in Moldova*

Much consideration was put in designing the ToR for the evaluations, with special attention paid to the evaluation criteria, evaluation matrix and expected usage and application of RBM. The initial draft of the ToR was prepared by the M&E focal point. Then the programme officer in charge of the thematic portfolio, project managers and the IEO reviewed it prior to sharing with the broader reference group. As an RBM and learning-based organization, a special emphasis in developing evaluation criteria was put on achievement of results, relevance of programme interventions to country development context and recommendations to UN Women on programming. Due to low evaluation capacities available in the region, evaluation ToRs anticipated involvement of a senior international evaluator as a team leader and a national

evaluator/assistant evaluator to enable capacity development in evaluation for local consultants. A reference group meeting was convened to validate the ToR, in particular the evaluation scope, criteria and intended usage. The final draft was then shared with our respective geographic section at UN Women HQ. A major lesson learned was that developing a detailed, well-elaborated evaluation ToR with clear expectations for the evaluation, and assigning a qualified MCO staff member with strong RBM competencies and independence from project management contributed to enhancing the quality of the evaluation.

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*Programme Specialist*  
*Multi Country Office for Central Asia*



#### For example:

- Assess the **relevance** of UN Women contribution to the intervention at national levels and alignment with international agreements and conventions on gender equality and women's empowerment.
- Assess **effectiveness and organizational efficiency** in progressing towards the achievement of gender equality and women's empowerment results as defined in the intervention.
- Assess the **sustainability** of the intervention in achieving sustained gender equality and women's empowerment.
- Determine the **impact** of the intervention with respect to gender equality and women's empowerment.
- Analyse how **human rights approach and gender equality principles** are integrated in implementation.
- **Identify and validate lessons learned, good practices and examples and innovations** of efforts that support gender equality and human rights in area of work.
- Provide **actionable recommendations** with respect to the UN Women intervention.

## Defining evaluation criteria

Evaluation criteria are the standard against which evaluation judgments are made. UN Women evaluation criteria are aligned with those of **UNEG**, including criteria based on gender equality and international human rights principles. The standard criteria include: **relevance, effectiveness, efficiency, sustainability and impact** (where feasible). In addition, coherence, connectedness, coverage, coordination, innovation, and **gender equality** should be assessed, including issues such as **equality and non-discrimination, participation, inclusion, empowerment, accountability and social transformation**. A stand-alone criterion on gender equality and human rights is recommended to ensure a detailed analysis of these aspects. The selection of evaluation criteria for evaluations is dependent on the specifics of each evaluation and should be informed by the characteristics and context of the intervention in question. In case one or more of the standard evaluation criteria are not used, a rationale for the decision should be given in both the ToR and evaluation report. It is important to prioritize these criteria according to the information needs identified with stakeholders and the evaluability of those aspects.



## Defining key evaluation questions

Evaluation questions contribute to further defining the objectives by relating to the purpose and criteria for the evaluation. The key questions outlined in the ToR will serve as the basis for the development of more detailed questions by the evaluation team. The questions should be precisely stated to guide the evaluator in designing the evaluation and in collecting information and data. Thus, the evaluability of the questions should be assessed according to whether or not the evaluation team will have the time, resources and information available in order to provide credible answers to the questions.

The evaluation manager will need to include evaluation questions that relate not only to the gender equality and human rights outcomes and impacts of the programme, but also to the gender equality and human rights dimensions of the planning, monitoring and implementation stages of the intervention. It is important to assess the effects of all interventions on gender equality and human rights, no matter the nature, focus or original intentions of the intervention. UN Women should also assess the inter-linkages between normative support work and its operational implementation and the progress of UN Women in supporting its UN system coordination role.

The evaluation manager should gain consensus on the evaluation questions, including the gender equality and human rights aspects, with stakeholders through the reference and management groups. The questions could be organized around the chosen evaluation criteria and the evaluation should present findings accordingly. Generally, three to five key questions related to each of the selected criteria will provide for a more focused evaluation.

### For example:

- To what extent is the intervention relevant to the needs and priorities as defined by beneficiaries?
- To what extent is the intervention aligned with relevant normative frameworks for gender equality and women's empowerment?
- What is UN Women's comparative advantage in this area of work compared with other UN entities and key partners?
- To what extent were the expected outcomes achieved and how did UN Women contribute towards these?
- To what extent was gender equality and women's empowerment advanced as a result of the intervention?



- What were the unintended effects, if any, of the intervention?
- To what extent was capacity developed in order to ensure sustainability of efforts and benefits?
- How will the benefits of the intervention be secured for rights holders (i.e. what accountability and oversight systems were established)?

## Defining the scope

The scope of the evaluation describes what will be included and what will be excluded from the evaluation. Defining the scope provides an opportunity to weigh what is important to obtain from the evaluation against what is actually feasible.

### The scope of an evaluation defines:

- **Timing:** When in the life of the programme is the evaluation being conducted (mid-term, end of programme, etc.)
- **Time frame:** Specific time frame in the life of the programme (the entire programme life or several strategic note periods, etc.)
- **Geography:** Whether or not it will cover the entire region where the programme has operated/provided services or selected areas
- **Programmatic or project coverage:** Whether or not it will include all aspects of the programme or focus on specific elements
- **Thematic coverage:** Whether or not it will include all aspects of a theme (e.g., ending violence against women, political participation, etc.), or focus on a specific sub-theme (e.g., domestic violence, gender advocates, etc.)
- **Limitations:** Limitations of the evaluation given the scope

The scope should take into account other existing or planned evaluations of the same subject to limit duplication and make efficient use of scarce resources. The relationship between the planned evaluation and other related evaluations should be described, including how information from these other evaluations may be used to guide the evaluator in designing the evaluation and in collecting information and data.

## Selecting the appropriate evaluation design

One of the most essential characteristics of a gender-responsive evaluation is how it is conducted, that is, the process and methods that embrace gender equality and human rights principles. The evaluation design section of the ToR should clearly describe the chosen design and include the process and methodology. While the type of evaluation and, if possible, its design should be



considered at the planning stage, the ToR should specify details of the design. The regional evaluation specialist can be consulted when determining the most appropriate evaluation design and methods.

The design<sup>19</sup> selected will frame the conduct of the evaluation and determine which methods are most appropriate. The evaluation manager does not need to be an expert on gender-responsive evaluation design or methods, as the evaluation consultant or team hired will provide expertise in this area. The ToR should, however, define preliminary thoughts on a general approach to be taken in the conduct of the evaluation. The evaluation design will depend on the purpose, objectives and key questions of the evaluation and on the nature of information available to the evaluator(s), such as indicators, baseline information and specific targets. The evaluation can be formative (forward looking), summative (backward looking), ex-post (including impact evaluations) or real-time (typically used in a humanitarian setting). The design should promote inclusion and participation by employing gender equality and human rights responsive methodological approaches such as those with a focus on utilization<sup>20</sup>, empowerment<sup>21</sup> or feminist approaches<sup>22</sup>.

Gender-responsive evaluation applies mixed-methods (quantitative and qualitative data collection methods and analytical approaches) to account for complexity of gender relations and to ensure participatory and inclusive processes that are culturally appropriate. Even for impact evaluation, as UNEG guidance explains, “The emerging consensus in literature on impact evaluation appears to be that most questions can best be answered by “mixed methods”. This might involve a mix of both quantitative and qualitative methods, or a mix of specific approaches within either of the two categories. Furthermore, approaches which “blend”

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<sup>19</sup> While there are many types of evaluation design, the evaluation literature refers to three primary types of evaluation designs: a) experimental: involves random assignment, control group and before/after measurements; b) quasi-experimental: involves comparison group and after measurements, and may or may not involve before measurements; and c) non-experimental: no comparison group and measures change only at the end of the intervention. Typically UN Women evaluations employ non-experimental or quasi-experimental design; an experimental design is rarely used and, if it is, it should be used as one component of the overall evaluation, as it should be combined with mixed-methods.

<sup>20</sup> Promotes intended use by intended users and a strong focus on participation of users throughout the evaluation process. Source: Patton MQ, *Utilization-focused Evaluation*, Sage Publications, 2008, available online at: <http://www.sagepub.com/books/Book229324#tabview=toc>.

<sup>21</sup> Programme participants are involved in the conduct of the evaluation. An outside evaluator serves as a coach or facilitator in the evaluation process. Source: Fetterman DM, Wandersman A, *Empowerment Evaluation Principles in Practice*, New York: Guilford Publications, 2005, available online at: <http://www.davidfetterman.com/publications.html>.

<sup>22</sup> Addresses and examines opportunities to reverse gender inequities that lead to social injustice. Prioritizes women's experience and voices, including women from discriminated and marginalized groups. Source: Brisolara S, Seigart D, SenGupta S (eds), *Feminist Evaluation and Research*, New York: Guilford Publications, available online at: <http://www.guilford.com/books/Feminist-Evaluation-and-Research/Brisolara-Seigart-SenGupta/9781462515202>.



methods, such as quantifying some aspects of qualitative data are also increasingly seen as valuable.”<sup>23</sup>

The evaluation methodology should enable achievement of the evaluation purpose, be aligned with the evaluation design, and address the evaluation criteria and answer the key questions through credible and gender-responsive techniques for data collection and analysis (see **Box 11** and **Tool 10. Tips for employing gender-responsive evaluation methods**).



**UNEG guidance document:** Integrating human rights and gender equality in evaluations

## The methodology section of the ToR should:

- Outline a wide range of data sources (e.g., documents, field information, institutional information systems, financial records, social media data, beneficiaries, staff, funders, experts, government officials and community groups)

### **Box 11.**

#### **Gender-responsive evaluation methods**

- Use gender analysis frameworks (e.g., **Harvard analytical framework, gender planning framework, social relations framework, women's empowerment framework**)
- Draw upon feminist theory and methodologies
- Are appropriate and relevant to both women and men
- Are participatory
- Ensure collection of disaggregated data
- Understand the constraints and challenges of informants
- Explore gender roles and power relations
- Are context and culturally sensitive
- Emphasize mixed methods (quantitative and qualitative)

<sup>23</sup> UNEG, “Impact evaluation in UN agency evaluation systems: Guidance on selection, planning and management,” 2013, p. 10, available online at <http://www.uneval.org/document/detail/1433>.





- Describe data collection methods and analysis (e.g., appreciative inquiry<sup>24</sup>, most significant change<sup>25</sup>, case study, survey, interviews, focus groups, observation, site visit, etc.) that will address gender equality and human rights issues; the evaluator will elaborate on the final rationale for selection and their limitations (see **Tool 13. Advantages and disadvantages of data collection methods**).
- Identify participatory tools for consultation with stakeholder groups and suggest a plan for inclusion of women and individuals/groups who are vulnerable and/or discriminated against in the consultation process and a plan for translation, as necessary
- Specify that the evaluator should detail a plan on how protection of subjects and respect for confidentiality will be guaranteed
- Specify that the evaluator should develop a sampling frame (area and population represented, rationale for selection, mechanics of selection, limitations of the sample) and specify how it will address the diversity of stakeholders in the intervention
- Specify that the evaluator should take measures to ensure data quality, reliability<sup>26</sup> and validity<sup>27</sup> of data collection tools and methods and their responsiveness to gender equality and human rights; for example, the limitations of the sample (representativeness) should be stated clearly and the data should be triangulated (cross-checked against other sources) to help ensure robust results

The evaluation process should outline the different phases of the evaluation, specify the key tasks evaluator(s) are responsible for carrying out, and include a schedule for completion. The details of the evaluation process depend on the selected approach. However, the following stages of the evaluation should be specified in the ToR:

- **Preparation:** This includes the stakeholder analysis and establishment of the management and reference groups, development of the ToR, and recruitment of the evaluation team
- **Conduct:** Inception report, stakeholder workshop, data collection and analysis
- **Reporting:** Presentation of preliminary findings, draft and final reports
- **Use and follow up:** Management response, dissemination of the evaluation products, and follow up to the implementation of the management response

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<sup>24</sup> Coughlan AT, Preskill H, Catsambas TT, 'An overview of appreciative inquiry in evaluation', *New Directions for Evaluation*, Issue 100, 2003, pp. 5-22.

<sup>25</sup> Davies R, Dart J, 'The most significant change (MSC) technique: A guide to its use', United Kingdom and Australia, April 2005, available online at <http://www.mande.co.uk/docs/MSCGuide.pdf>.

<sup>26</sup> **Reliability** is consistency in results using the same method (i.e., if the same survey is instituted several times it should give you similar results each time).

<sup>27</sup> **Validity** refers to the degree to which the evaluation and its data collection tools are measuring the concepts intended to be measured; in other words, whether or not the tools are collecting the information they are intended to collect or measuring the right construct.



## Ethical considerations for evaluation methods

One of the most important steps in assessing the different methods to be used by an evaluation is considering the ethical safeguards that can be employed to protect the confidentiality, dignity, rights and welfare of human subjects.

Through the evaluation, sensitive information may be collected regarding the violations of rights, which will require those affected to discuss these issues with the evaluators. UN Women and the hired evaluator(s) must assess whether or not certain methods may pose more harm than benefit to the affected individual or community. In order to safeguard those who participate in the evaluation, a clear plan for how information will be used, reported on and who will benefit from this information needs to be spelled out in the ToR. The plan should elaborate how informed consent will be obtained and make explicit that the names of individuals consulted during evaluation data collection will not be made public. In particular, a protocol for engaging those affected by violence should be elaborated in order to ensure the protection of rights and avoidance of further harm (see **Box 12**).

The **UNEG Ethical Guidelines** should be applied to the selection of methods for the evaluation and throughout the evaluation process. Following these principles is essential to ensure the inclusion of women, individuals and groups who are marginalized and/or discriminated against. In particular a gender-responsive evaluation must adhere to the obligations to participants:

- Respect for dignity and diversity
- Right to self-determination
- Fair representation
- Compliance with codes for vulnerable groups (e.g., ethics of research involving young children or vulnerable groups)
- Redress
- Confidentiality
- Avoidance of harm



## Box 12. Evaluating violence against women and girls

Special precaution should be taken when the topic of the evaluation is on violence against women or includes vulnerable populations (e.g., survivors of violence, trafficked persons, etc.). UN Women must ensure that the rights of the individual are protected and participation in the evaluation does not result in further violation of their rights.

UN Women evaluations must ensure an explicit protocol is elaborated and adhered to for engaging vulnerable populations based on the following resources:

- World Health Organization (WHO), “Putting women first: Ethical and safety recommendations for research on do-mestic violence against women”, 2001
- WHO, “Researching violence against women: a practical guide for researchers and activists”, 2005
- WHO, “Ethical and safety recommendations for interviewing trafficked women”, 2003
- WHO, “Ethical and safety recommendations for researching, docu-menting and moni-toring sexual violence in emergencies”, 2007
- UN Women, “Virtual knowledge centre to end violence against women and girls”
- Graham, A., Powell, M., Taylor, N., Anderson, D. & Fitzgerald, R. (2013). Ethical Research Involving Children. Florence: UNICEF Office of Research – Innocenti, available online at: <http://childethics.com>.
- UNEG guidance document, “Integrating human rights and gender equality in evaluations”, Chapter 3



## D. SELECTING AN EVALUATION TEAM

The ToR is the basis for soliciting and selecting evaluators. It defines the needs of the commissioning entity and specifies requirements. It should outline the skills, experience, qualifications and other relevant competencies that will be needed to conduct the evaluation effectively—whether by a consulting firm or by a consultant(s) (see Box 13). It has to specify the size of the team required and provide the estimated number of days required to undertake the evaluation. If resources allow, an evaluation team (i.e., more than one evaluation consultant) is ideal because they can provide a broader range of expertise and perspectives. For example, the team should hire one evaluation expert and one thematic expert and, to the extent possible, both should have gender analysis expertise. Large evaluation teams should be multicultural with gender balance and geographic representation. Evaluators are required to submit two or three examples of evaluation reports recently completed when responding to the ToR.

### **Box 13. Example of evaluator skills and competencies**

- Experience in conducting gender-responsive evaluation
- Extensive knowledge of, and experience in applying, qualitative and quantitative evaluation methods
- Experience in gender analysis and human-rights based approaches
- A strong record in designing and leading evaluations
- Data analysis skills
- Excellent ability to communicate with stakeholders
- Technical competence in the sector or issue to be evaluated
- Process management skills, such as facilitation and communication skills
- Knowledge of the role of the United Nations and its programming at the regional and country level
- Language proficiency
- Country or regional experience



The recruitment and selection of external evaluation professionals will be governed by **UN Women's contracting policies and procedures**. The following tips will help to ensure a strong evaluator(s) is identified:

- **Consider carefully all of the expertise** that may be required to conduct the evaluation based on the nature of the programme and its context. This expertise may not be found in a single individual but rather as the collective expertise of the evaluation team.
- **Consult key stakeholders** in the definition of skills required, criteria for selection, and consult the management group, including the regional evaluation specialist, on the final selection.
- **Ensure the ToR** clearly identifies requirements for evaluator(s) and indicates the expected time frame and deliverables. The ToR should contain enough specifications for a wide range of applications but should be cautious as to not over-specify so that the evaluator(s) hired have enough flexibility in designing an evaluation that best meets the needs defined in the ToR.
- **Undertake an open and competitive process** to recruit the evaluation team. The process should be impartial, fair and transparent, and there needs to be sufficient time allowed for the recruitment.
- **Engage local professionals**, as it provides better understanding of the local context and can be a catalyst for “buy-in” of the evaluation. It can also lend credibility to the evaluation process and recommendations. It is also an important means for strengthening national capacities in gender-responsive evaluation. Finally, local professionals will usually reduce evaluation costs because of travel costs. However, concerns regarding impartiality need to be carefully considered in their selection.
- If a team is hired, **consider the overall team suitability**. Will the individuals function well as a team? It is also important to ensure that the different skills and perspectives are balanced (see **Box 13**).

Locating the right expertise or combination of expertise is not easy and requires time and effort. Applicants should be given three to four weeks to prepare their proposals to maximize the number of potential applications from quality evaluators. Request support from the regional evaluation specialist to circulate the opportunity amongst evaluation networks.



Search the UN Women **gender and evaluation consultant database**.



## Avoiding conflict of interest

Impartiality is an important feature of evaluation because it ensures credibility of the evaluation. In order to avoid a conflict of interest, those who are involved in the evaluation process must be impartial (i.e., they do not have a vested interest in the programme). For this purpose, as indicated at the beginning of this chapter, the programme officer responsible for the programme to be evaluated should not have individual decision-making responsibility in the evaluation process, including the ToR, final report and selection of the external evaluation team. Likewise, UN Women evaluations should engage an external evaluator who was not involved in the design or implementation of the programme.

## Ethical conduct of evaluators

UN Women has developed a [UN Women Evaluation Consultants Agreement Form](#) for evaluators that must be signed as part of the contracting process, which is based on the [UNEG Ethical Guidelines](#) and [Code of Conduct](#). These documents should be annexed to the contract. The UNEG guidelines note the importance of ethical conduct for the following reasons:

- **Responsible use of power:** All those engaged in evaluation processes are responsible for upholding the proper conduct of the evaluation.
- **Ensuring credibility:** With a fair, impartial and complete assessment, stakeholders are more likely to have faith in the results of an evaluation and to take note of the recommendations.
- **Responsible use of resources:** Ethical conduct in evaluation increases the chances of acceptance by the parties to the evaluation and therefore the likelihood that the investment in the evaluation will result in improved outcomes.

## E. QUALITY ASSURANCE OF THE TOR

After drafting the ToR the evaluation manager should share it with the regional evaluation specialist for feedback. Then the ToR should be shared with the evaluation management group. The head of the respective office (country representative or regional director) should have the final approval of the ToR (see [Figure 6](#) and [Tool 1. Evaluation process standards for decentralized evaluation](#)).

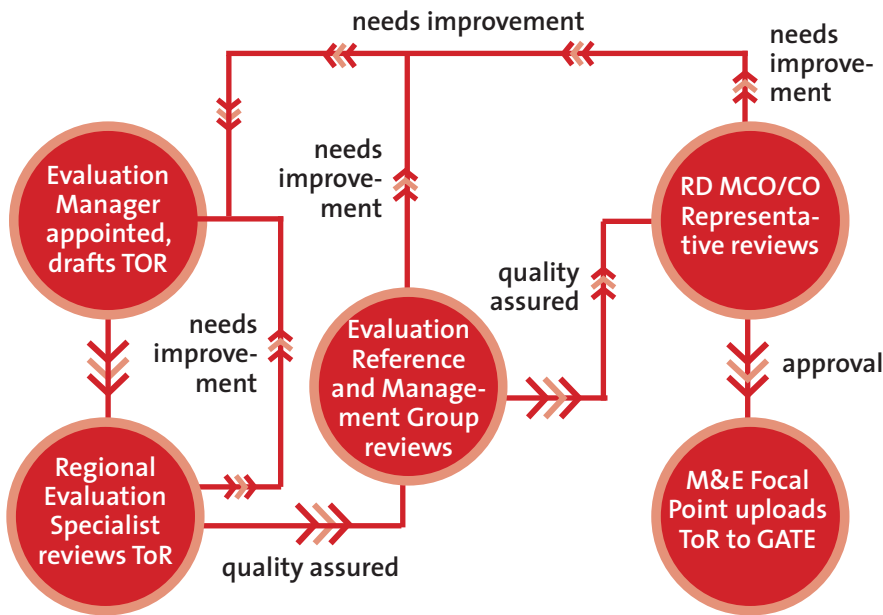
Sharing the ToR with the reference group will make good use of their collective knowledge and facilitate an agreed-upon understanding of the purpose of the



evaluation (key users and uses) and key elements of the evaluation, thus facilitating ownership. It will also serve to manage the expectations of key stakeholders and bring clarity to their role in the evaluation. In particular, UN Women should ensure the impartiality of the evaluation process by establishing distinctive roles between the evaluators, the commissioning party (UN Women) and the reference group in the ToR. The final ToR should reflect the shared understanding of the evaluation scope, methods and process among stakeholders.

The ToR should also provide the GERAAS report quality standards as an annex so that the evaluator is informed about the requirements prior to payment for UN Women reports (**Tool 14. GERAAS evaluation report quality assessment checklist**).

**Figure 6. UN Women evaluation process: terms of reference**





## PREPARATION

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### TERMS OF REFERENCE (TOR):

Did the office appoint an evaluation manager (either the M&E officer or another staff member that is not involved in the programme management)?

Yes ☐

No ☐

Was the draft ToR shared with the regional evaluation specialist for quality review?

Yes ☐

No ☐

Was the draft ToR shared with the evaluation reference and management groups?

Yes ☐

No ☐

Was the final ToR approved by the country representative or deputy representative?

Yes ☐

No ☐

Did the M&E officer or focal point upload the final ToR to the GATE website?

Yes ☐

No ☐

### *Selection of Consultants:*

Did the M&E officer/ evaluation manager consult the regional evaluation specialist on the selection of the consultant/firm for the evaluation?

Yes ☐

No ☐

Was the final selection of the consultant/firm approved by the country representative or deputy representative?

Yes ☐

No ☐





- UN Women GATE: <http://gate.unwomen.org>
- UN Women gender and evaluation consultant database: <http://evaluationroster.unwomen.org>
- UN Women virtual knowledge centre to end violence against women and girls: <http://www.endvawnow.org/>



- **Tool 1.** Evaluation process standards for decentralized evaluation
- **Tool 5.** How to conduct an evaluability assessment
- **Tool 6.** Evaluation terms of reference template
- **Tool 7.** Evaluation product comment template
- **Tool 9.** Stakeholder analysis template
- **Tool 10.** Tips for employing gender-responsive evaluation methods
- **Tool 11.** Management group terms of reference template
- **Tool 12.** Reference group terms of reference template
- **Tool 13.** Advantages and disadvantages of data collection methods
- **Tool 14.** GERAAS evaluation report quality assessment checklist



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- Coughlan AT, Preskill H, Catsambas TT, "An overview of appreciative inquiry in evaluation", *New Directions for Evaluation*, Issue 100, 2003, pp. 5-22.
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- Patton MQ, *Utilization-focused Evaluation*, Sage Publications, 2008, available online at: <http://www.sagepub.com/books/Book229324#tabview=toc>.



- UNEG: <http://unevaluation.org/>
  - Ethical Guidelines
  - Code of Conduct
  - Guidance on Impact Evaluation
  - Integrating human rights and gender equality in evaluations
  - Norms for Evaluation in the UN System
  - Standards for Evaluation in the UN System
  - United Nations System-wide Action Plan Evaluation Performance Indicator
- UN Women: <http://www.unwomen.org/en/digital-library>
  - Evaluation Policy
  - Guide for the evaluation of programmes and projects with a gender, human rights and intercultural perspective
  - United Nations System-wide Action Plan
- UN Women intranet: <https://unwomen.sharepoint.com/>
  - Contracting Policies and Procedures
  - Evaluation Chapter of the POM
  - Evaluation Consultants Agreement Form
- Women's empowerment framework: <http://awidme.pbworks.com>
- World Bank: <http://web.worldbank.org>
  - Gender planning framework
  - Harvard analytical framework
  - Social relations framework
- World Health Organization (WHO): [http://www.who.int/gender/documents/women\\_and\\_girls/](http://www.who.int/gender/documents/women_and_girls/)
  - Ethical and safety recommendations for interviewing trafficked women, 2003
  - Ethical and safety recommendations for researching, documenting and monitoring sexual violence in emergencies, 2007
  - Putting women first: Ethical and safety recommendations for research on domestic violence against women, 2001
  - Researching violence against women: a practical guide for researchers and activists, 2005

# 5

## **CONDUCT**

This chapter provides direction on how to manage the conduct of the evaluation, including key tips for managing the evaluation team. Careful management of the conduct stage and close communication with the evaluation team will facilitate a high-quality evaluation report.

Figure 7. Conduct stage of an evaluation



## A. MANAGING THE EVALUATION CONSULTANT OR TEAM

Once recruited, the evaluation consultant or team needs to have an open and clear line of communication with the evaluation manager. The evaluation manager ensures evaluation ethics and standards are met by the evaluator(s) and monitors progress. Supporting the evaluation team should not interfere with the evaluation process in ways that could jeopardize the evaluation's impartiality.

Supporting the evaluation process during this stage will include:

- Providing comments and quality assurance on the deliverables.
- Organizing relevant background documentation<sup>28</sup> required by the evaluation team.
- Briefing the evaluator(s) on the programme, purpose and scope of the evaluation and any relevant contextual information.
- Facilitating connections with stakeholders for information and data collection and establishing a schedule of interviews, surveys, etc. for the evaluation team (with assistance from the management and reference groups). However, the UN Women programme staff should not accompany evaluators or participate in individual interviews with stakeholders or other data collection (unless it is a self-evaluation or participatory data collection method), as it may result in biased results and affect the credibility of the evaluation.
- Providing support in addressing emerging issues as they arise in the collection and analysis of information and data.
- Providing support on integrating gender equality and human rights principles

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<sup>28</sup> Relevant background documentation includes UN Women programme document, UN Women strategic plan, relevant international conventions and agreements, monitoring reports, evaluability assessment, mid-term evaluation, relevant UN country team documents, relevant national documents, etc.



into all approaches.

- Communicating on a regular basis with the evaluator(s) to provide support.
- Sharing evaluation products with management and reference groups for comment and compiling feedback (using **Tool 7. Evaluation product comment template**).
- Providing logistical support to the evaluator(s), including organizing the schedule of interviews/meetings for site visits.
- Ensuring the evaluator(s) have a plan for safety and security when visiting project sites.
- Ensuring the evaluator(s) have a plan for applying ethical standards in the conduct of the evaluation.

Interim deliverables are provided to the evaluation manager by the evaluator(s) for review, comment and suggestion. The evaluation manager and regional evaluation specialist should screen deliverables for quality prior to sharing with the management and reference groups. This step is very important due to the time constraints of the management and reference group members. If the deliverable is of satisfactory quality, it can be shared with the management and reference groups for comment, typically with a one to two week time frame (see **Chapter 6** for more information on the quality assurance process).

Being responsive to the evaluation team helps minimize surprises and lays a foundation of mutual trust and respect. Evaluation managers may not have an answer for every question, but they can take a lead on finding answers. It is important that evaluation managers are aware of the potential risks to the conduct of an evaluation and plan in advance to mitigate or minimize them (see **Table 3** for suggestions).



**Table 3. Common risks to evaluation conduct and mitigation strategies**

Common risks	Necessary actions
Evaluator(s) prove incompetent, lack gender equality and human rights expertise, or display inappropriate ethics or attitude	Discuss with regional evaluation specialist, human resources, and procurement the implications and determine the course of action. It may be necessary to end the contract if the team is unable to deliver or exhibiting inappropriate behavior. Corrective actions could also be taken such as adding expertise to the team. However, it would be inappropriate for UN Women to terminate a contract if, for example, stakeholders are not happy with the findings of the evaluation.
Stakeholders are alienated by the evaluation team	Identify culturally appropriate ways for engaging stakeholders as part of the inception report. Make sure initial communications are set up well. Test the team's sensitivity to cultural, social and local norms. Discuss with the team and identify how to meaningfully engage with stakeholders that may feel alienated.
Confidentiality has not been respected	Confidentiality must be respected. Warn the team if this issue emerges and follow-up as needed.
Evaluation team does not meet the ToR, but claims they have	This is a contractual agreement, and any change from the ToR has to be agreed by all in advance. Consult human resources and/or procurement for more advice.
Time proves too short, budget proves too low	Invest time and energy in discussing the ToR during the initial phase so that the evaluation design matches the time frame and budget available. During the conduct of the evaluation, look for ways to modify design, methods or sampling to reduce time and costs. As a last resort, ask for more funds or an extension.
Programme logic was missing	Go to the source, reconstruct or add alternative.
There is no baseline	Invest time and energy in discussing the ToR during the initial phase and reconstruct the baseline where possible.
Information is taboo or withheld by stakeholders	Provide reassurance about confidentiality. Ensure that data collection strategies are sensitive to cultural norms, language and accessibility.
Information is withheld by the evaluator	Ensure the contract is clear about ownership. This is a UN Women evaluation and thus all information collected is property of UN Women.
Evaluation team does not integrate comments provided	While the team is external and should act independently, the ToR must explicitly mention that comments provided by the reference and management groups, in particular the regional evaluation specialist, are aimed at methodological rigor, factual errors, errors of interpretation, or omission of information and must be considered by the evaluator(s) to ensure a high-quality product. The final evaluation report should reflect the evaluator's consideration of the comments and acknowledge any substantive disagreements. Also provide the team with <a href="#">Tool 14. GERAAS evaluation report quality assessment checklist</a> .



## B. INCEPTION PHASE

The inception phase is a key initial phase of the evaluation process. It helps to forge a common understanding between the UN Women evaluation manager and the evaluator or team on the full design of the evaluation and how it will be implemented.<sup>29</sup>

The inception phase is an opportunity to further clarify the ToR and any areas of uncertainty in relation to the scope. The inception phase also provides an opportunity to clarify the process, resource requirements and time frame for deliverables. It is also important to discuss the accessibility of the information and the data, and alternative methods if data is unavailable.

### Inception meetings

The inception phase should benefit from meetings with the evaluation manager and management and reference groups, as appropriate. These can take place over the phone, via Skype or in person, resources allowing. Inception meetings are an opportunity for the evaluator(s) to introduce themselves and to gain clarity on the programme and context in which the evaluation will take place. They also allow stakeholders to have preliminary contact with the evaluator(s), introduce the purpose and approach of the evaluation, and facilitate further exchange during data collection.

For larger evaluations, a visit by the evaluation team to the programme or project site(s) may be undertaken in advance of the data collection. The information gathered during the visit will be used to make final decisions on the evaluation approach and to pilot test the data collection instruments and validate or modify stakeholder analysis. Hence, enough time should be allocated between any visits and the finalization of the inception report. Prior to conducting any site visits, the evaluator(s) should meet with the evaluation manager to discuss the process, methodology and questions or issues to be addressed in the visit.

### Inception report

The inception phase culminates in an inception report produced by the evaluator(s), which is subject to rigorous reviews and approval. The inception report is a key document that serves as a road map for managing the overall evaluation process. The inception report is largely prepared on the grounds of the outcomes of the inception meetings between the evaluator(s) and the evaluation manager

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<sup>29</sup> Note that the inception phase is a negotiation phase as well because moving forward it will serve as a road map for the evaluation process.



and evaluation management and reference group members. It also benefits from the preliminary review of relevant documentation and consultation with relevant staff and stakeholders.

The inception report seeks to enhance the understanding of the evaluator(s) by providing an answer to what is going to be evaluated and how. It includes the following:

- Proposed methods and analysis frameworks (including causal or contribution and gender and human rights analysis)
- Data collection procedures and sources
- Results of an evaluability assessment<sup>30</sup>
- Review of documentation, scoping conducted, and programme theory or theory of change
- A work plan with associated activities, deliverables, timetable, roles and responsibilities, as well as travel and logistical arrangements for the evaluation

The inception report should be very clear on how the evaluation team will report to and engage with the evaluation manager and management and reference groups throughout the evaluation process. The inception report should comply with UNEG [Norms](#) and [Standards](#) and the [UN Women Evaluation Policy](#) and be guided by UNEG guidance document “[Integrating human rights and gender equality in evaluation](#)”. **Box 14** proposes an outline for an inception report.

## Evaluation matrix

The evaluation matrix is an integral part of the inception report (**[Tool 8. Evaluation matrix template](#)**). The evaluation matrix summarizes the key aspects of the evaluation exercise by specifying what will be evaluated and how. The matrix includes the evaluation criteria, main evaluation questions with all the corresponding sub-evaluation questions, indicators for measuring progress, required data, data sources, and data collection methods. It has to be noted that the evaluation matrix is a living document and will be subject to modification and amendment as the evaluation progresses. However, any modification to the evaluation matrix should be made in consultation with the UN Women evaluation manager.

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<sup>30</sup> The evaluability assessment can be done as a separate process or as part of the inception or preparatory phase of an evaluation. The evaluability assessment will help to identify shortcomings and their implications for the evaluation. Please refer to [Chapter 4](#) and [Tool 14. GERAAS evaluation report quality assessment checklist](#).





## **Box 14.**

### **Outline of inception report**

#### I. Introduction

- Background and context
- Purpose, objectives and scope of the evaluation
- Theory of change or programme theory

#### II. Methodology

- Evaluation criteria and elaboration of key questions
- Indicators for measuring results (should be based on programme indicators)
- Evaluation design (method of data collection and analysis)
- Sample and sampling design
- Limitations to the evaluation

#### III. Evaluation matrix

- Summarizes the key aspects of the evaluation exercise by specifying what will be evaluated and how

#### IV. Work plan

#### V. Responsibilities, logistics and support

#### VI. Annexes

- Documents reviewed
- Draft data collection instruments (questionnaires and interview guides, lists of evaluation team members and contact details).
- Terms of reference
- Evaluation management and reference group members

## **Quality assurance of the inception report**

The inception report should undergo various quality assurance, review and approval processes (**Tool 1. Evaluation process standards for decentralized evaluation**). Quality assurance must address the appropriateness of the proposed evaluation design, methodology and data collection instruments. It also examines the structure and clarity of reporting, proposed mechanisms to assure confidentiality of data



and information, engagement of stakeholders<sup>31</sup>, adherence to evaluation quality standards, and integration of gender equality and human rights principles in the design of the evaluation<sup>32</sup> (see **Chapter 6** for details on the UN Women quality assurance process). Stakeholders should be given one to two weeks to provide feedback.

The UN Women evaluation manager in coordination with the evaluation management group (see **Chapter 4** for description of roles and responsibilities) should approve the final inception report before the evaluation team undertakes any primary data collection. Once approved, the inception report replaces the ToR as a key reference document and will form the basis for guiding the entire evaluation process through its finalization. Roles and responsibilities for quality assurance of the inception report are outlined in Table 4 and **Figure 8**.

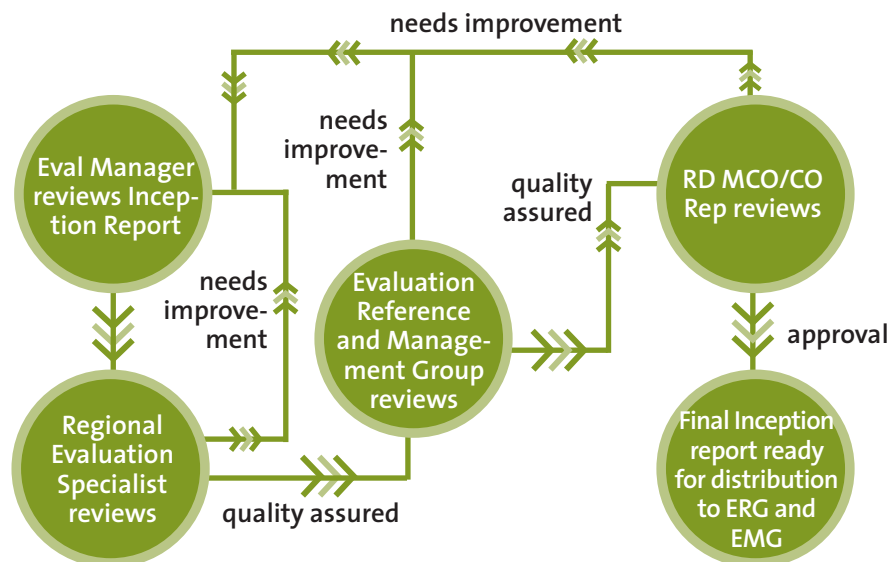
**Table 4. Roles and responsibilities for inception report**

Evaluation team	<ul style="list-style-type: none"><li>• Prepares the inception report, which should reflect an agreed-upon approach and design for the evaluation from the perspective of both the evaluation team and the evaluation manager.</li></ul>
Evaluation manager	<ul style="list-style-type: none"><li>• Conducts a preliminary assessment of the quality of the report. If it is not of good quality, it should be sent back to the evaluation team.</li><li>• Provides substantive comments on the conceptual and methodological approach and other aspects of the evaluation design.</li><li>• Establishes mechanisms for communication, consultation and presentation of the report (Skype, phone, video-conference, e-mail, and where possible, workshops or meetings).</li><li>• Coordinates feedback on the draft and final report, using <b>Tool 7. Evaluation product comment template</b>, from the regional evaluation specialist, management and reference groups.</li></ul>
Evaluation management and reference groups (including the regional evaluation specialist)	<ul style="list-style-type: none"><li>• Provides substantive comments and other operational assistance throughout the preparation of the draft and final inception reports.</li><li>• Where appropriate, participates in meetings and workshops with other key partners and stakeholders before finalization of the inception report.</li></ul>

<sup>31</sup> Participation and inclusion are key building-blocks of any evaluation in UN Women, therein, where appropriate, consultation with key stakeholders starting from the inception phase is highly encouraged to potentially increase the utility of the evaluation results.

<sup>32</sup> Please see also UNEG, “Quality checklist for evaluation terms of reference and inception report”, 2010, available online at: <http://unevaluation.org/document/detail/6o8>.

Figure 8. UN Women evaluation process: inception report




## C. DATA COLLECTION

Upon approval of the inception report, the evaluation team can begin collecting data. The evaluation manager should provide logistical support to the evaluator(s) to facilitate data collection. However, with the exception of self-evaluation or participatory data collection activities, the UN Women evaluation manager and programme staff should not participate in data collection activities (i.e., accompany the evaluator on individual interviews), as this would interfere with the impartiality of the process. The evaluator(s) are responsible for addressing translation needs, if necessary.

In order to maximize stakeholder participation and ensure a gender-responsive evaluation, the evaluation manager should support the evaluator(s) during data collection in the following ways:

- Consult partners regarding the evaluation and the proposed schedule for data collection
- Arrange for a debriefing by the evaluator(s) prior to completion of data collection to present preliminary and emerging findings or gaps in information to the evaluation manager, evaluation management and reference groups
- Ensure the stakeholders identified through the stakeholder analysis are being included, in particular the most vulnerable or difficult to reach, and provide logistical support as necessary contacting stakeholders and arranging for transportation.

- 
- Ensure that a gender equality and human rights perspective is streamlined throughout the approach, and that the evaluator(s) is abiding by the ethical principles outlined in **Chapter 4** and **Box 15**.

Data collection should follow the approach outlined in the inception report. If it is necessary to change the evaluation activities during the course of the evaluation, changes should be discussed with the evaluation manager and management group. Any changes made to the approach or data collection tools could introduce systematic error or bias and thus compromise findings. Thus it is necessary to weigh the benefits of these changes with the disadvantages.

### **Box 15.**

#### **Ethical considerations for data collection**

Specific safeguards must be put in place to protect the safety (both physical and psychological) of both respondents and those collecting the data.

Some steps that UN Women should take including ensuring:

- A plan is in place to protect the rights of the respondent, including privacy and confidentiality
- The interviewer or data collector is trained in collecting sensitive information, and if the topic of the evaluation is focused on violence against women, they should have previous experience in this area
- Data collection tools are designed in a way that are culturally appropriate and do not create distress for respondents
- Data collection visits are organized at the appropriate time and place so as to minimize risk to respondents
- The interviewer or data collector is able to provide information on how individuals in situations of risk can seek support

### **Ensuring high-quality evaluation data**

The UN Women evaluation manager should keep in mind the quality of programme data available for an evaluation and how it will impact the collection of evaluation data. Often, there is no programme theory of change or limited baseline information, there is a high turnover of staff during the lifetime of a programme, monitoring systems are not in place or are weak, and resources and capacities are

not adequate to maintain strong quality of data. In these situations, the evaluator needs to take steps to ensure that they have an accurate understanding of the programme and are developing evaluation data collection tools that accurately measure the programme's progress.

Gender-responsive evaluations also require cultural sensitivity to ensure high quality of data and validity. A clear understanding of cultures and values will ensure that appropriate data collection methods and tools are developed (see Box 16). In particular, the evaluator should: identify the complexity of cultural identities, identify power dynamics between and within different groups, and be cognizant of the use of language. Engaging with the reference group and groups who are the focus of data to consider multiple perspectives when interpreting findings will contribute to a culturally appropriate evaluation. However, it is the evaluation manager's responsibility to ensure that a safe place for reflection and free and meaningful participation is created.

### Box 16. Validity and reliability

The evaluator may refer to the “validity and reliability of data”, which applies to both qualitative and quantitative data. High validity and reliability of data will strengthen the confidence in the evaluation findings.

**Validity** refers to the accuracy of the data, i.e., whether or not data collection tools are measuring what they are intended to measure.

**Reliability** refers to the extent to which the same findings would result after utilizing the same method of data collection multiple times.

There are multiple methods for ensuring that data collection tools exhibit high validity and reliability. For example, to ensure reliability, the tool can be tested multiple times on the same individual; the tool can be administered by multiple administrators; or the tool could contain multiple questions that are aimed at answering the same question. The evaluator should test data collection tools to ensure high validity and reliability.

➡ Bamberger JR, Mabry L, *Real World Evaluation*, Sage Publications, 2006.



The evaluation manager should ensure the evaluator(s) takes the following into account:

- If a theory of change or baseline does not exist, the evaluator can reconstruct these through stakeholder workshops
- Cultural aspects that could impact the collection of data should be analysed and integrated into data collection methods and tools
- There should be adequate time for testing data collection tools
- The limitations of the data should be understood and generalizing findings should be avoided unless a strong random sample was taken
- Use multiple methods of data collection and analysis (triangulation), which allows for validation across the multiple methods and sources
- Validate findings through engagement with stakeholders at stakeholder workshops, debriefings or other form of engagement

## D. ANALYSIS AND INTERIM REPORTING

Analysis of information and data occurs throughout the conduct stage. However, once all information and data has been collected, a different analytical process is undertaken. This involves the systematic organization, comparison and synthesis of information and data derived across and through all methods. The analysis includes an assessment of what the information is saying about each of the evaluation questions. Evaluations triangulate information using various methods of data collection and sources of information in order to ensure robust findings. Ultimately, evaluators must make judgments based on the evidence. The evaluation report should describe the analytical process undertaken and the underlying rationale for judgments made.

Gender-responsive evaluations use a gender analysis framework, a systematic approach to examining factors related to gender that assesses and promotes gender equality issues and provides an analysis of the structures of political and social control that create gender equality. This technique ensures that the data collected is analysed in the following ways:


- Determining the claims of rights holders and obligations of duty bearers
- Assessing the extent to which the intervention was guided by the relevant international (national and regional) normative frameworks for gender



equality and women's rights, UN system-wide mandates and organizational objectives

- Comparing with existing information on the situation of human rights and gender equality in the community, country, etc. (see **Box 17** for resources)
- Identifying trends, common responses and differences between groups of stakeholders (disaggregation of data), for example, through the use of graphs or illustrative quotes (that do not allow for identification of the individual)
- Integrating into the analysis the context, relationships, power dynamics, etc.
- Analysing the structures that contribute to inequalities experienced by women, men, girls and boys, especially those experiencing multiple forms of exclusion
- Assessing the extent to which participation and inclusiveness (with respect to rights holders and duty bearers) was maximized in the interventions planning, design, implementation and decision-making processes
- Triangulating information to identify similarities and/or discrepancies in data obtained in different ways (i.e., interviews, focus groups, observations, etc.) and from different stakeholders (e.g., duty bearers, rights holders, etc.)
- Identifying the context behind the numbers and people (using case studies to illustrate broader findings or to go into more depth on an issue)
- Comparing the results obtained with the original plan (e.g., through the application of the evaluation matrix)
- Assessing the extent to which sustainability was built into the intervention through the empowerment and capacity building of women and groups of rights holders and duty bearers

The preliminary findings obtained through this process should be validated through a stakeholder workshop with evaluation management and reference groups towards the end of the primary data collection stage. This could also happen as part of the end of visit debriefing. This interim reporting of findings by the evaluation team will build understanding as the evaluation process is underway and lead to greater buy-in and use of evaluation results, but needs to have been built into the ToR, the inception report and the evaluation team's work plan. This is an opportunity for the team to field the emerging trends from primary data collection against the reactions of the reference group, as the reference group may be able to provide further information, point out



key gaps in data, errors of interpretation and validate the findings. The draft evaluation report will address any issues identified through the stakeholder validation workshop.

### **Box 17. Resources for data on gender equality and human rights**

- UN Office of the High Commissioner for Human Rights (OHCHR) – Universal Human Rights Index: <http://uhri.ohchr.org/en>
- UN Statistics – Gender Statistics: <http://genderstats.org/>
- UNDP Human Development Report – Gender Inequality Index: <http://hdr.undp.org/en/content/gender-inequality-index-gii>
- World Bank – Gender Equality Data and Statistics: <http://datatopics.worldbank.org/gender/>
- Organisation for Economic Co-operation and Development (OECD) Social Institutions and Gender Index: <http://genderindex.org/>
- World Economic Forum – Global Gender Gap Report: <http://www.weforum.org/issues/global-gender-gap>
- A listing of UN reports, databases and archives relating to gender equality and women's human rights can be found at: [http://www.un.org/womenwatch/directory/statistics\\_and\\_indicators\\_6o.htm](http://www.un.org/womenwatch/directory/statistics_and_indicators_6o.htm)





## CONDUCT STAGE

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### INCEPTION REPORT:

Did the M&E officer/evaluation manager quality assure the inception report?      **Yes** ☐ **No** ☐

Was the draft and final inception report shared with the regional evaluation specialist for quality review?      **Yes** ☐ **No** ☐

Was the draft and final inception report shared with the evaluation reference and management groups for quality review?      **Yes** ☐ **No** ☐

Was the final inception report approved by the country representative/deputy representative?      **Yes** ☐ **No** ☐



- Organisation for Economic Co-operation and Development (OECD) Social Institutions and Gender Index: <http://genderindex.org/>
- UNDP Human Development Report, Gender Inequality Index: <http://hdr.undp.org/en/content/gender-inequality-index-gii>
- UN Office of the High Commissioner for Human Rights (OHCHR), Universal Human Rights Index: <http://uhri.ohchr.org/en>
- UN Statistics – Gender Statistics: <http://genderstats.org/>
- UN Women Virtual Knowledge Centre: <http://www.endvawnow.org/>
- UN Women Watch Resources: <http://www.un.org/womenwatch/>
- World Bank, Gender Equality Data and Statistics: <http://datatopics.worldbank.org/gender/>
- World Economic Forum, Global Gender Gap Report: <http://www.weforum.org/issues/global-gender-gap>



- **Tool 1.** Evaluation process standards for decentralized evaluation
- **Tool 7.** Evaluation product comment template
- **Tool 8.** Evaluation matrix template



- Bamberger JR, Mabry L, *Real World Evaluation*, Sage Publications, 2006.
- UNEG: <http://unevaluation.org/>
  - Integrating human rights and gender equality in evaluations
  - Norms for Evaluation in the UN System
  - Standards for Evaluation in the UN System
  - Quality checklist for evaluation ToR and inception report
- UN Women: <http://www.unwomen.org/en/digital-library>
  - Evaluation Policy
  - POM, Chapter 5 Evaluation

# 6

## REPORTING

The reporting stage entails the review of the key product of the evaluation: the evaluation report. Gender-responsive evaluations focus on engagement, not just reporting, thus this chapter describes the fundamental step of engaging stakeholders in the review of the draft products to ensure that the report is factually correct and will be useful for stakeholders. This chapter also discusses UN Women quality assurance mechanisms to support the production of high-quality products.



## A. ENSURING A HIGH QUALITY REPORT

Reporting throughout the evaluation process and at its conclusion (typically in the final report) is an important opportunity to ensure the evaluation fulfills its purpose and objectives. The evaluation manager and stakeholder (i.e., reference and management groups) comments must be considered in the final evaluation products (see [B. Stakeholder involvement in reviewing the evaluation report](#)). Although the evaluation report is the typical end product, gender-responsive evaluations may have multiple types of evaluation products, such as a participatory video, which will be discussed in more detail in [Chapter 7](#). While this chapter focuses on the evaluation report, quality controls should be applied to all evaluation products.

UNEG [Standards for Evaluation in the UN System](#) instruct that “the final evaluation report should be logically structured, containing evidence-based findings, conclusions, lessons and recommendations, and should be free of information that is not relevant for overall analysis. A reader of an evaluation report must be able to understand: the purpose of the evaluation; exactly what was evaluated; how the evaluation was designed and conducted; what evidence was found; what conclusions were drawn; what recommendations were made; what lessons were distilled.” The evaluation report should also explain the context in which the intervention and the evaluation took place.

UN Women IEO has developed the [GERAAS](#), which has adapted UNEG [Standards for Evaluation in the UN System](#) to guide evaluation managers and evaluators on what constitutes a ‘good quality’ report at UN Women ([Tool 14. GERAAS evaluation report quality assessment checklist](#)). An evaluation report is assessed as ‘good quality’ when it addresses the evaluation purpose and objectives by providing a clear and complete assessment of the object of the evaluation based on evidence, such that its conclusions and recommendations clearly follow the findings and can be deemed to be credible and are thus a sound basis for decision-making. A gender-responsive evaluation report will also:

- Indicate how the methodology incorporated gender equality and human rights perspectives and approaches
- Include a discussion on the extent to which the evaluation design included ethical safeguards (the protection of the confidentiality, dignity, rights and welfare of human subjects, including children, and respect for the values of the beneficiary communities)
- Explain how the evaluation process may have helped empower stakeholders or prevented further discrimination and/or exacerbation of existing uneven power relations



- Reflect gender equality and human rights principles and analysis throughout the report
- Provide recommendations on how to improve gender equality and human rights performance
- Highlight lessons learned regarding gender equality and human rights mainstreaming that go beyond the specific project or programme
- Avoid technical jargon and other language that could marginalize stakeholders

It is important that the evaluation manager pay special attention to the recommendations of the report because they are critical to UN Women follow-up. The recommendations should have direct linkage to the findings and conclusions of the report and be actionable. Often, the evaluator(s) will reference the finding(s) that the recommendation relates to. The number of recommendations should be feasible for the office, prioritized, appropriately incorporate gender equality and human rights considerations, and be addressed to specific stakeholders.

The final evaluation report should be organized according to **Box 18**. The table of contents is intended to serve as guidance for preparing meaningful, useful and credible evaluation reports. However, the evaluator(s) is free to add sections as relevant given the context of the evaluation. Regardless of the choices made by the evaluation team in terms of structure, what is most important is that the report is in line with the GERAAS criterion on structure and clarity of reporting. The **UN Women branding guidelines** for formatting an evaluation report (technical publication) should also be followed.

## B. STAKEHOLDER INVOLVEMENT IN REVIEWING THE EVALUATION REPORT

As discussed in previous chapters, the involvement of stakeholders is a key principle of gender-responsive evaluation. It can foster empowerment and a broad sense of ownership contributing to a more credible and useful report, which can also facilitate implementation of recommendations. Stakeholders, typically through the reference group, should be given the opportunity to comment on the draft report (**Tool 7. Evaluation product comment template**). The final evaluation report should reflect the evaluator's consideration of the comments and acknowledge any substantive disagreements.



## Box 18. Outline of Evaluation report

- |  |  |
|--|--|
| I) Title and opening pages                                 | ANNEXES:   |
| II) Executive summary                                      | • Terms of reference   |
| III) Background and purpose of the evaluation              | • Documents consulted  |
| IV) Programme/object of evaluation description and context | • Lists of institutions interviewed or consulted and sites visited (without direct reference to individuals) |
| V) Evaluation objectives and scope                         | • Analytical results and methodology related documentation, such as evaluation matrix                        |
| VI) Evaluation methodology and limitations                 | • List of findings and recommendations   |
| VII) Findings  |  |
| VIII) Conclusions  |  |
| IX) Recommendations  |  |
| X) Lessons learned   |  |

### Stakeholders should review the report to:

- Identify factual errors, omission and misinterpretation of information
- Review the recommendations to ensure that they are feasible

The evaluation report should indicate the stakeholders consulted, the criteria for their selection and the level of stakeholder participation. Divergent views from different stakeholders must be reflected in the report to ensure transparency of the evaluation process.

## Maintaining impartiality and addressing wrongdoing

The evaluation's value added is its impartial and systematic assessment of the programme or intervention. As with the other stages of the evaluation, involvement of stakeholders should not interfere with the impartiality of the evaluation. The evaluator(s) have the final judgment on the findings, conclusions and recommendations of the evaluation report, and the evaluator(s) must be protected from pressures to change information in the report. Additionally, it



is possible that the evaluator(s) identify issues of wrongdoing, fraud or other unethical conduct. In this case, it is very important that UN Women procedures be followed and that confidentiality be maintained (see Box 19).

### **Box 19. Addressing wrongdoing, fraud, retaliation or harassment**

The [UN Women Legal Framework for Addressing Non-Compliance with UN Standards of Conduct](#), and accompanying policies protecting against retaliation and prohibiting harassment and abuse of authority, provide a cohesive framework aimed at creating and maintaining a harmonious working environment, ensuring that staff members do not engage in any wrongdoing and that all allegations of wrongdoing are reported promptly, investigated and appropriate action taken to achieve accountability.

- The [UN Women Legal Framework for Addressing Non-Compliance with UN Standards of Conduct](#) defines misconduct and the mechanisms within UN Women for reporting and investigating it.
- More information can be found on the [UN Women Intranet](#).



## C. QUALITY ASSURANCE OF THE EVALUATION REPORT

High-quality evaluations are critical for RBM, knowledge generation and accountability to stakeholders and beneficiaries. The evaluation manager is responsible for ensuring a quality report that meets the UN Women GERAAS report quality standards and which the programme and its stakeholders can use. In order to support UN Women offices in producing high quality evaluation reports, the IEO has instituted the following processes for quality assurance of evaluation reports.

### Global evaluation report assessment and analysis system (GERAAS) report quality standards

UN Women GERAAS report quality standards, which are adapted UNEG report standards and integrate the [United Nations System-wide Action Plan Evaluation Performance Indicator](#) (UN-SWAP EPI), are used to assess the quality of evaluation reports produced by all UN Women offices, including the IEO. UN Women evaluation managers should use the standards (see [Tool 14. GERAAS evaluation report quality assessment checklist](#)) to assess the quality of evaluation reports. The evaluation team should have the standards in mind while writing the report and can use the checklist before delivering the draft and final reports.

The checklist can be used by the evaluation manager and commissioning unit in assessing compliance before accepting the report as final. The quality criteria assess the report structure and eight parameters:

- 1) Object and context of evaluation
- 2) Evaluation purpose
- 3) Objectives and scope
- 4) Evaluation methodology
- 5) Findings
- 6) Conclusions and lessons learned
- 7) Recommendations
- 8) Gender and human rights considerations

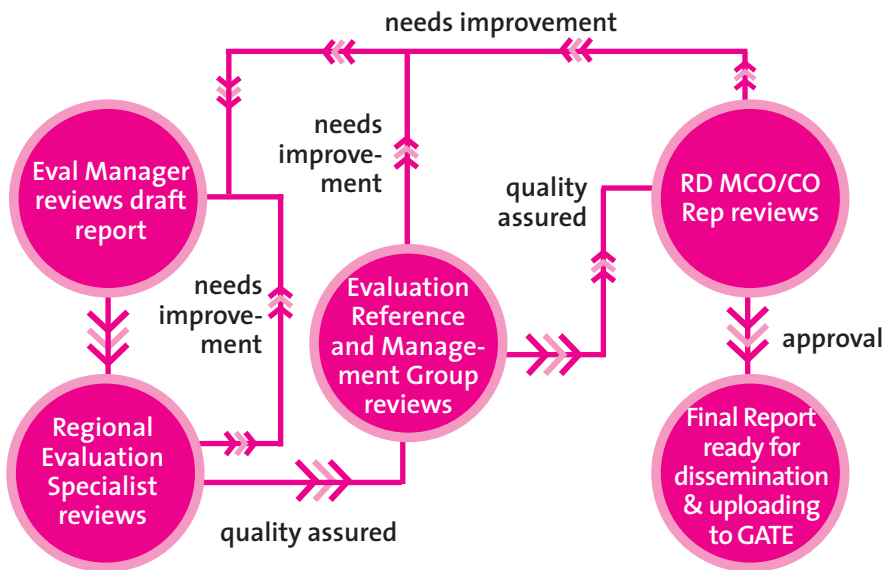


## Quality assurance process for decentralized evaluations

Figure 9 explains the UN Women process for reviewing the draft report. First, the evaluation manager and regional evaluation specialist should check the evaluation report for quality. If it does not meet the UN Women evaluation report requirements as outlined in the **Tool 14. GERAAS evaluation report quality assessment checklist**, it should be sent back to the consultant for improvement. Once the report is of satisfactory quality to be shared with stakeholders, they need to be given enough time to review and provide feedback—typically one to two weeks.

Once the evaluation management group has approved the final report, the respective representative or director has the final approval, and the report and management response must be approved in the **GATE** website within six weeks of finalization (this will be discussed in more detail in **Chapter 7**).

Figure 9. UN Women evaluation process: draft evaluation report





## External assessment of evaluation reports

An annual review of the quality of UN Women evaluation reports is undertaken by an external reviewer using the GERAAS evaluation quality assessment [matrix](#) and the results are published in the meta-evaluation submitted to the Executive Board and aggregate performance on the [United Nations System-wide Action Plan Evaluation Performance Indicator](#) (UN-SWAP EPI) is included in the report to the United Nations Economic and Social Council on mainstreaming a gender perspective into all policies and programmes of the United Nations system. The overall rating and the assessment of the strengths and weaknesses of the evaluation report indicates the credibility of the results and determines the extent to which the report can be used for future programming and other purposes. Accordingly, the reviewer provides an overall rating for the report making use of a four-point rating system: very good, good, satisfactory and unsatisfactory. Visit the [GATE](#) website page dedicated to sharing examples of UN Women reports that received a 'very good' rating.

In addition to sharing the GERAAS meta-evaluation with the concerned offices to support improved quality and utility of evaluations, UN Women IEO presents it at the Annual Session of the UN Women Executive Board and to the senior managers and the Global Evaluation Advisory Committee. The report is also posted on the [GATE](#) website, which allows access to the general public and contributes to the transparency and credibility of UN Women. Finally, the results are reported as part of the KPIs (KPI 6: quality of evaluation reports) of the GEOS.



### REPORTING STAGE

---

#### DRAFT AND FINAL EVALUATION REPORTS:

- |   |                           |
|---|---------------------------|
| Was the draft evaluation report shared with the regional evaluation specialist for quality review?                          | Yes <input type="radio"/> |
|   | No <input type="radio"/>  |
| Was the draft evaluation report shared with the evaluation reference and management groups for quality review?              | Yes <input type="radio"/> |
|   | No <input type="radio"/>  |
| Was the final report approved by the country representative or deputy representative?                                       | Yes <input type="radio"/> |
|   | No <input type="radio"/>  |
| Did the M&E officer or focal point upload the final evaluation report within six weeks of finalization to the GATE website? | Yes <input type="radio"/> |
|   | No <input type="radio"/>  |



- UN Women GATE: <http://gate.unwomen.org>



- Tool 7. Evaluation product comment template
- Tool 14. GERAAS evaluation report quality assessment checklist



- UNEG: <http://unevaluation.org/>
  - Standards for Evaluation in the UN System
- UN Women: <http://www.unwomen.org/en/digital-library>
  - GERAAS methodology matrix
- United Nations System-wide Action Plan Evaluation Performance Indicator
- UN Women intranet: <https://unwomen.sharepoint.com/>
  - Branding Guidelines
  - POM, Chapter 5 Evaluation
  - UN Women Legal Framework for Addressing Non-Compliance with UN Standards of Conduct



# 7

## USE AND FOLLOW UP

The value of an evaluation exercise is determined by the degree to which UN Women staff, decision makers and stakeholders use the information to improve accountability, decision-making and learning. This chapter opens with how the use and follow-up to evaluation is critical for managing for results at UN Women. The use of evaluation is facilitated through the mandatory disclosure of evaluation reports and development of management responses and action plans for all evaluations. This chapter also provides guidance on how to disseminate evaluation findings in a user-friendly manner that is targeted to relevant stakeholder audiences.



## A. USING EVALUATION FOR MANAGING FOR RESULTS

Evaluations can be effective tools to support managing for results, but they are only beneficial if used. Gender-responsive and utilization-focused evaluations<sup>33</sup> should be designed and managed with its intended use (and users) in mind. Good use of evaluation results is more than action by the manager to respond to recommendations. It is about engaging with stakeholders to implement change.

Evaluations are undertaken for different purposes, each with their own intended use. Use should be considered in the context of the programme being evaluated (addressing recommendations) and in the context of broader learning for the organization and others undertaking gender equality and women's empowerment work. The majority of UN Women evaluations will be used to inform the design of new programmes and future operational and strategic planning. However, evaluations may also be used to change ideas and understanding about an issue, transform relationships among stakeholders, empower communities, reframe decision-making processes, and provide justification for political action (or inaction).

### Applying evaluation results at UN Women

It is the responsibility of UN Women management at all levels to ensure evaluation use by acting on evaluation recommendations and using lessons learned for future policy and programme design and development. The evaluation management response is a key tool for institutionalizing the use of evaluation (see **B. Management response and action plan**). However, the next and most important step is for UN Women managers to apply the lessons learned and implement recommendations in enhancing existing and designing new UN Women programmes and strategies at all levels of the entity: from the lower project-level planning to strategic planning. Thus, the strategic plan, strategic notes, AWP, and programme and project documents should all reflect lessons learned from evaluation.

There are many ways to facilitate follow up and implementation of evaluation recommendations. Examples include:

- Following up on and monitoring the implementation of the management response and corresponding action plan

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<sup>33</sup> Patton MQ, 'Utilization-focused evaluation', in Stufflebeam DL, Madaus GF, Kellaghan T (Eds), *Evaluation Models*, 2nd ed., 2011.

## Box 20.

## USING EVALUATION RESULTS: Kenya Country Office

*Evaluation of the Gender and Governance Programme III (GGP III).*

GGP III represented the third phase (2009-2013) of the GGP launched in September 2004. The programme worked to promote equal opportunities and access to services for both men and women, addressing the need to include women's issues in governance structures, and supporting women's leadership at national and local levels. The overall goal of GGP III was to ensure that *Kenyan women and men are able to access services and opportunities and exercise their rights equally*. UN Women partners included more than 40 civil society organizations and key government agencies like the Ministry of Gender, Children and Social Development; National Commission on Gender and Development; and government institutions.

As this was the final phase of the GGP with no possibility of extension, UN Women decided to incorporate the evaluation recommendations into the next UN Women programming cycle (Strategic Note 2014-2018). Additionally, as the evaluation coincided with the planning cycle for both the government of Kenya and the United Nations in Kenya, the evaluation findings and recommendations could be used as inputs to these processes. Once the draft evaluation report was issued, UN Women convened a broad stakeholders meeting (beyond the reference group) to discuss the

draft recommendations, validate them and also draft a roadmap on how to implement the recommendations. UN Women then organized a consultative planning workshop for the UN Women Strategic Note 2014-2018. During this meeting, various stakeholders were asked to present their strategic plans and highlight areas of collaboration with UN Women while also taking the evaluation recommendations into consideration. The evaluation recommendations were thus incorporated in the design of UN Women continued work on gender equality and women's empowerment and reflected in the UNDAF.

Ahmed Hassan, *Planning Monitoring and Evaluation Specialist*  
Kenya Country Office



- Meta-analyses undertaken by IEO and ROs to look across a number of evaluations to identify trends in findings, recommendations and lessons learned
- Creating a checklist based on evaluation recommendations and using it during programme formulation
- Regular discussion of evaluation reports in management meetings
- Incorporating follow-up actions to evaluations in strategic notes and AWP
- Committing to present evaluation results and planning for follow-up at key meetings, such as with donors
- Encouraging and valuing constructive self-criticism at the individual staff level

## B. MANAGEMENT RESPONSE AND ACTION PLAN

The development of the management response by the responsible parties is mandatory for all evaluation reports. The management response is a tool for UN Women to respond to the evaluation recommendations and specify how it will follow up, who is responsible, and by when the action will be implemented in order to improve the overall performance and quality of ongoing and future programmes and strategies. The management response must be concrete, actionable and owned by evaluation users. The management response indicates whether or not management agrees, partially agrees or disagrees with key strategic recommendations and critical issues. In the case of partial agreement or disagreement, the reason should be explained.

UNEG has identified three preconditions to aid effective evaluation management response and follow-up processes that incorporate human rights and gender equality principles<sup>34,35</sup>:

- 1) **The involvement of internal and external stakeholders:** Active engagement of stakeholders is a core principle of gender-responsive evaluation and will ensure ownership of the process.
- 2) **Quality evaluation recommendations:** An effective management response is dependent on the formulation of evaluation recommendations that are

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34 UNEG guidance document, “Integrating human rights and gender equality in evaluation”, August 2014, pp 115-117, available online at: <http://unevaluation.org/document/detail/1616>.

35 UNEG, “Good practice guidelines for following up to evaluations”, June 2010, available online at: <http://unevaluation.org/document/detail/610>.





realistic and reflect an understanding of the office or division and programme context and potential constraints to follow-up (see Box 21).

- 3) **Evaluation credibility:** An evaluation must be considered credible in order to garner support for the implementation of the recommendations, in particular when dealing with sensitive issues such as those related to gender equality and women's empowerment. The level of impartiality, transparency, quality, appropriate methods used, and level of participation of key stakeholders determines the credibility of an evaluation.

### **Box 21. Ensuring high-quality recommendations**

It is the responsibility of the evaluation team to formulate recommendations that are (as described in [\(Tool 14. GERAAS evaluation report quality assessment checklist\)](#)):

- Supported by evidence and conclusions
- Developed with involvement of relevant stakeholders
- Relevant to the object and purposes of the evaluation
- Clearly identify the target group for each recommendation
- Clearly stated with priorities for action made clear

The report should describe the process followed in developing the recommendations including consultation with stakeholders. Each evaluation recommendation should be clearly linked to the conclusions and findings of the evaluation and clearly understood by the responsible actor. The evaluation manager should facilitate a process for validating the recommendations to ensure that they are formulated in an effective manner.

Ownership of the evaluation report and its recommendations by all stakeholders is necessary to facilitate following up on actions to be taken by UN Women and its partners. Nevertheless, it is important to strike a balance between promoting ownership of the evaluation recommendations and ensuring independence of the process.



## Engaging stakeholders in the development of the management response

The participation of programme stakeholders in the development of the management response is critical to ensuring evaluations are learning exercises and contribute to programme improvements and evidence-based decision-making. The development of the management response provides an opportunity to hold a dialogue with all evaluation stakeholders to reflect on the evaluation findings, recommendations and lessons and to incorporate them in ongoing programmes and programme formulation. The management response can be an opportunity to create a stronger programme and to work closely with programme partners to make the necessary changes.

Thus, preparation of the management response should be done in a consultative manner with feedback from different levels and partners of the respective programme. Inputs should be sought from all parties to whom specific evaluation recommendations are addressed, including partners (government, non-governmental organizations, etc.) and donors. Stakeholder engagement may also enable the office to explain the rationale for acceptance or non-acceptance of recommendations based on feasibility, as UN Women is ultimately accountable for implementation of the management response. The investment of time and resources involved with the development of the management response needs to be considered and budgeted for by the office or division commissioning the evaluation.

### UN Women responsibilities are as follows:

- The management response (see [Tool 16. Management response template](#)) must be developed within six weeks after completion of the evaluation report and disclosed on the [GATE](#) website.
- A UN Women representative or director of the office or division that commissioned the evaluation is ultimately responsible and accountable for the management response development, approval and implementation.
- The evaluation manager is responsible for facilitating the process for developing the management response and action plan and submitting the approved management response and quarterly updates on the status of its implementation to the M&E officer or focal point.
- The M&E officer or focal point is responsible for inputting the management response into [GATE](#) and updating its status of implementation on a quarterly basis based in consultation with the evaluation manager.



UN Women offices should take the lead or participate in the development of a management response to joint evaluations where UN Women participates (see [Box 2. When is an evaluation considered a joint evaluation?](#)) Even when partner entities do not want to develop a joint management response, UN Women should still develop its own management response. In the case of joint evaluations, management response may either follow the UN Women format or the one suggested by partners. The responsible UN Women office should take responsibility for developing a management response for recommendations directed to UN Women, as well as for facilitating and supporting partners in developing their own response. For recommendations directed to the UN country team—e.g., in UNDAF evaluations—UN Women should facilitate, in cooperation with UN country team members, a joint management response. The joint evaluation report and only the section of the management response where UN Women is accountable should be uploaded in [GATE](#). The joint evaluation management response process may require more time than the management response process for UN Women managed evaluations.

The IEO, through the regional evaluation specialists, can provide advice on how to formulate and manage the process for an effective management response. However, the main responsibility for the actual content of the management response rests with the office representative or director.

## Box 22.

## DEVELOPING A JOINT MANAGEMENT RESPONSE:

### Multi-country Office Maghreb

*Final evaluation of the multisectoral programme for the fight against GBV through the empowerment of women and girls in Morocco.*

The Millennium Development Goal gender programme “Tamkin” was a joint programme that was implemented with the participation of 13 ministries, several non-governmental organizations, and universities. It was supported by eight UN agencies. The programme was evaluated in 2012 and the report was widely disseminated. The programme put in place coordination mechanisms to promote a multi-sectoral and integrated approach by the various stakeholders for ending gender-based violence. The programme also established participatory governance modalities that promoted dialogue between civil society and national institutions. Developing a management response and tracking the implementation of the evaluation recommendations was a very challenging stage, especially when it came to a joint evaluation of a joint programme. In this case, UN Women developed and implemented its own management response and action plan since it was not possible to mobilize all the partners after the programme was closed. Although a joint management response was not officially issued, many partners refer to the evaluation when they develop their interventions. The

commitment to develop and implement the management response should be included in the signed project document, as this would hopefully enhance accountability of partners. In addition, raising awareness on evaluation practices and the importance of management response is also valuable.

*Halima Boukhriiss, Programme Associate  
Multi-Country Office, Maghreb*



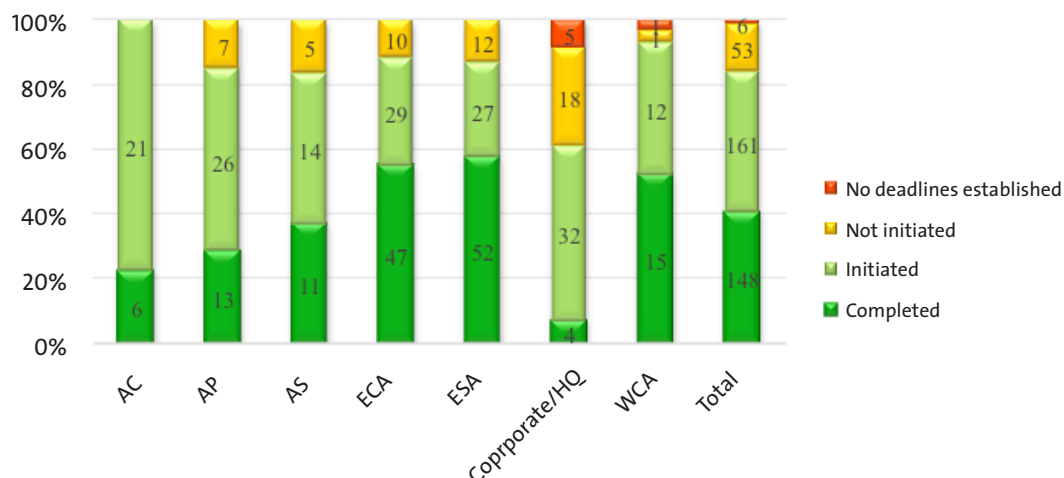
## C. UN WOMEN SYSTEMS TO FACILITATE USE OF EVALUATION

As indicated in [Chapter 2](#), the IEO is dedicated to facilitating use of evaluation at UN Women. IEO does this mainly through development and maintenance of the following systems:

- [Global Accountability and Tracking of Evaluation Use \(GATE\)](#): The main purpose of the [GATE](#) is to institutionalize the use of evaluation from an accountability perspective at UN Women.
- [Gender Equality Evaluation Portal](#): Serves as a tool to strengthen and promote the exchange of evaluation findings, conclusions and recommendations with stakeholders and potential users in order to have a wider impact on learning and to contribute to improved policy design and programming in the area of gender equality and women's empowerment. UN Women partners and other organizations or individuals dedicated to gender equality and women's empowerment are encouraged to contribute their evaluation reports to the website.
- [Global Evaluation Report Assessment and Analysis System \(GERAAS\)](#): IEO produces the meta-analysis (see [Chapter 6](#)) of evaluation findings, conclusions, recommendations, good practices and lessons learned gleaned from the 'good quality' evaluation reports. The main purpose of this report is to facilitate learning from evaluation results and it is presented to the Executive Board and should be used by UN Women staff in the formulation of programmes and strategies (see the [meta-analysis on lessons learned from evaluations conducted in 2013](#) as an example).
- [Global Evaluation Oversight System \(GEOS\)](#): Produces a "dashboard" report on KPIs. This report is used as an accountability mechanism, as it makes public the extent to which UN Women offices are implementing evaluation recommendations. IEO reports on the KPIs on a biannual basis to the Executive Director and Senior Management Team (see [Figure 10](#), example of a KPI report), and on an annual basis to the Executive Board through the Annual Report on the Evaluation Function (e.g. [see 2014 report](#)), and on an ad hoc basis to auditors. The KPIs are also made public on the [GATE](#) website.



**Figure 10. Example of a dashboard report:**  
**KPI 7—Use of evaluation- implementation of management response**



Source: UN Women [GATE](#) System.

## GATE responsibilities for following up on evaluation

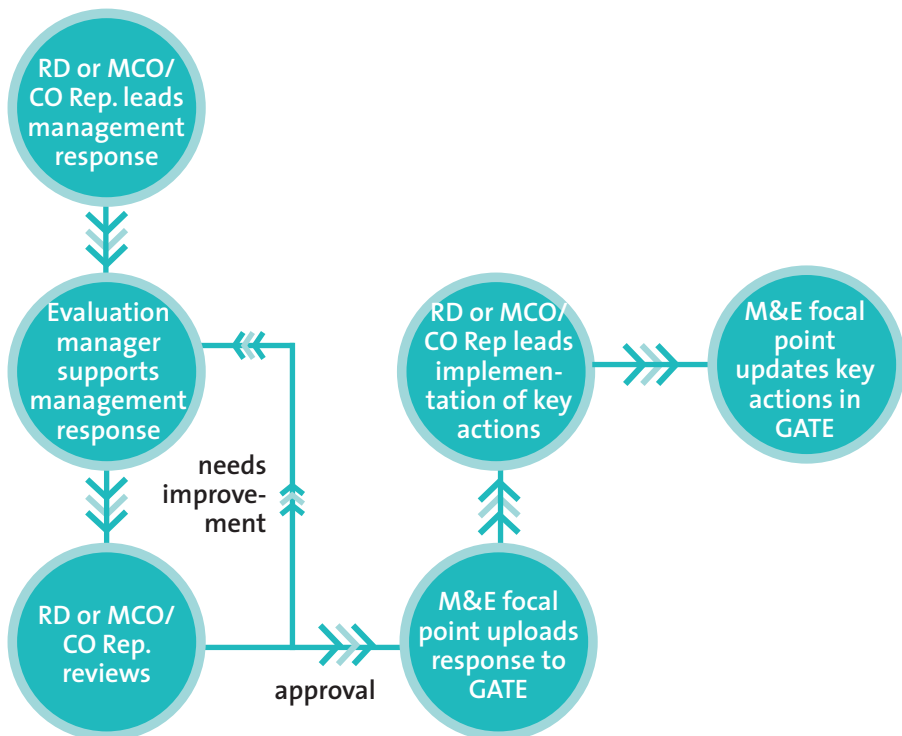
The [GATE](#) website enables the dissemination of evaluations and tracking of the use of evaluation, ensuring that knowledge gained from evaluations becomes an integral part of the UN Women accountability, transparency and organizational learning process. [GATE](#) allows staff and external stakeholders to access evaluative information about UN Women work and track the status of the evaluation plan and management response and action plans. All evaluation reports and associated management responses produced by UN Women are required to be disclosed on the [GATE](#) website within six weeks of completion of the evaluation report.

It is the responsibility of UN Women offices, division representatives, and directors to ensure that the status of the management response action plan is updated on a quarterly basis. The M&E officer or focal point is responsible for liaising with evaluation managers to receive updates on the implementation of the management response action plan and input the changes into [GATE](#). Tracking the implementation of the management response is a means to support managers in ensuring accountability towards evaluation results. It is included in the GEOS as a KPI of the evaluation function: KPI 7—Use of evaluation, including management response.

On the homepage of the [GATE](#) website, internal and external users can access a tool to produce their own analytical reports on [GATE](#) contents, such as the implementation status of management responses in a particular region. UN Women managers should use these reports to monitor their progress with the evaluation plan and implementation of management response.

Figure 11 illustrates the office and division responsibilities with respect to the management response. The M&E officer or focal point is responsible for managing contributions to [GATE](#), as outlined in [GATE Guidance](#) and in the [Evaluation Chapter of the POM](#).

**Figure 11. UN Women evaluation process: management response**





## D. COMMUNICATING EVALUATION RESULTS

Effective communication and dissemination of evaluation results will not only contribute to greater accountability for UN Women, but also enable partners to learn about UN Women work and contribute to broader knowledge generation on programming for gender equality and women's empowerment.

**UN Women discloses all evaluation reports to the public within six weeks of completion.**

### Evaluation dissemination strategy

An evaluation dissemination strategy is a systematic plan for disseminating evaluation results to key internal and external stakeholders through diverse, effective, creative and barrier-free methods. It is recommended that every evaluation have such a strategy. The aim of the strategy is to ensure the communication of evaluation results and the experiences and lessons emerging from UN Women work. Systematically planning for the dissemination of the evaluation results is the best way to ensure evaluation products and the results of an evaluation go beyond a mere internal exercise. It helps to contribute to the utility of evaluations and utility is a key principle that should guide all UN Women evaluations. The budget for the dissemination strategy should be included in the overall budget for the evaluation developed during the planning stage.

The office or division commissioning an evaluation has the main responsibility for developing the evaluation dissemination strategy (usually done by the evaluation manager and may be in coordination with a communication officer). However, evaluation reference and management groups or other relevant stakeholders may also play a role in providing inputs for the strategy and disseminating the results through their respective channels. The development of the evaluation dissemination strategy begins at the initiation of the evaluation and should be finalized and implemented during the final stage of the evaluation (see [Tool 15. How do you develop an evaluation dissemination strategy?](#)).

### Ensuring accessible evaluation products

Key to UN Women's commitment to gender-responsive evaluation processes is making evaluation products accessible and barrier-free for women and other groups subject to discrimination as key users of the evaluation. The evaluation



## Box 23.

## DISSEMINATION AND USE OF EVALUATION: Ethiopia Country Office

*Evaluation of Ethiopia UN Joint Programme on Gender Equality and Women's Empowerment.*

UN Women and the UN Population Fund launched the Ethiopia UN Joint Programme on Gender Equality and Women's Empowerment with funding from the Government of Spain. The overall goal of the programme was to ensure and support the implementation of national commitments to advance gender equality and women's empowerment, fighting violence against women in Ethiopia. An end of programme evaluation was conducted in 2013 to identify lessons that can improve UN Women's and UN Population Fund's future initiatives towards ending violence against women.

Once the final evaluation report was issued, UN Women Ethiopia organized a meeting to share with relevant stakeholders how UN Women planned to respond to evaluation recommendations and to get partners' point of view as well as to facilitate learning. Prior to the meeting UN Women distributed the final evaluation report to all of its partners including potential donors. This meeting was

of significant importance for UN Women future programming. It provided a forum for relevant stakeholders to visit the proposed evaluation management response plan and UN Women's programmatic prospects on ending violence against women and girls and provided feedback, which enabled UN Women to strengthen its priority area of focus on ending violence against women and girls. It also gave the assurance needed to other development partners present during the meeting that UN Women is serious in ensuring delivery of results by taking into account lessons learned into its future plans and programmes. Representatives from the donor community, civil society organizations, key government institutions and other relevant stakeholders who took part in the meeting appreciated UN Women's approach in dissemination and use of the evaluation results.

Heran Ayele

*Programme Specialist, Human Rights and EVAWG  
UN Women Ethiopia*





manager needs to consider and use audience appropriate means for sharing the evaluation results, in order for stakeholders to understand and participate in plans to act on recommendations. For example, language, accessibility to internet and connectivity issues need to be explored when matching the type of product to the audience.

While the evaluation products used should be based on the target audience, at a minimum, the types of products identified in Table 5 are recommended for gender-responsive evaluation at UN Women.

**Table 5. Key evaluation products and target audience**

Key evaluation product	Main audience
Evaluation report (with executive summary): necessary for accountability purposes	UN Women office managing the evaluation Management and reference groups Donors and other partners
Evaluation brief: outlines the key evaluation findings and recommendations in a short and reader friendly manner	UN Women senior managers and other staff members Management and reference groups Donors and other partners Other external audiences
Multi-media presentations (PowerPoint, webinar, video, photo exhibition): illustrates key findings or a case study through accessible audio visual means	UN Women senior managers and other staff members Beneficiaries Civil society and women's movement organisations National counterparts Other external audiences Management and reference groups Donors and other partners



## USE & FOLLOW-UP STAGE

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### MANAGEMENT RESPONSE:

- Did the country representative or deputy representative lead the development of the management response? **Yes** ☐ **No** ☐
- Did the M&E officer or focal point upload the management response in the GATE system within six weeks of finalization? **Yes** ☐ **No** ☐
- Did the country representative approve the management response in the GATE website? **Yes** ☐ **No** ☐
- Is the country representative or deputy representative ensuring timely implementation of key actions of the management response? **Yes** ☐ **No** ☐
- Is the M&E officer or focal point updating the status of the implementation of the management response key actions on a quarterly basis? **Yes** ☐ **No** ☐
- Did the M&E officer or focal point implement the evaluation dissemination strategy to ensure access to evaluation results and to facilitate learning? **Yes** ☐ **No** ☐



- Global Accountability and Tracking of Evaluation Use (GATE): <http://gate.unwomen.org>
- Gender Equality Evaluation Portal: <http://genderevaluation.unwomen.org>



- Tool 1. Evaluation process standards for decentralized evaluation
- Tool 14. GERAAS evaluation report quality assessment checklist
- Tool 15. How do you develop an evaluation dissemination strategy?
- Tool 16. Management response template



- Patton MQ, “Utilization-focused evaluation”, in Stufflebeam DL, Madaus GF, Kellaghan T (Eds), *Evaluation Models*, 2nd ed., 2011.
- UN Women intranet: <https://unwomen.sharepoint.com/>
  - GATE Guidance
  - POM, Chapter 5 Evaluation
- UN Women: <http://www.unwomen.org/en/digital-library>
  - Global Evaluation Report Assessment and Analysis System (GERAAS)
- UNEG: <http://unevaluation.org/>
  - Good practice guidelines for following up to evaluations





# TOOLS





## Tool 1.

# Evaluation process standards for decentralized evaluation

### GENERAL INFORMATION

Name of office:	Region:
Title of the evaluation:	
Name of evaluation manager:	Name of M&E officer or focal point:
Year:	

Stage of the evaluation	Quality assurance process to be complied	Status of compliance	Remark (if any)
Planning stage	Monitoring, evaluation and research plans (MERP)		
	Has the M&E officer or focal point supported the MERP process in consultation with concerned programme officers and senior managers?	Yes <input type="radio"/> No <input type="radio"/>	
	Was the draft plan sent to the regional evaluation specialist for review?	Yes <input type="radio"/> No <input type="radio"/>	
	Did the MCO or CO representative or regional director submit the MERP together with the strategic note, AWP for Peer Review Group review and approval?	Yes <input type="radio"/> No <input type="radio"/>	
	Did the M&E officer or focal point upload the evaluation section of the MERP to GATE within one month of approval?	Yes <input type="radio"/> No <input type="radio"/>	





Stage of the evaluation	Quality assurance process to be complied	Status of compliance	Remark (if any)
<b>Preparation stage</b>	<b>Terms of reference (ToR)</b>		
	Did the office appoint an evaluation manager (either the M&E officer or another staff member that is not involved in the programme management)?	Yes <input type="radio"/> No <input type="radio"/>	
	Was the draft ToR shared with the regional evaluation specialist for quality review?	Yes <input type="radio"/> No <input type="radio"/>	
	Was the draft ToR shared with the evaluation reference and management groups?	Yes <input type="radio"/> No <input type="radio"/>	
	Was the final ToR approved by the country representative or deputy representative?	Yes <input type="radio"/> No <input type="radio"/>	
	Did the M&E officer or focal point upload the final ToR to the GATE website?	Yes <input type="radio"/> No <input type="radio"/>	
	<b>Selection of consultants</b>		
	Did the M&E officer/evaluation manager consult the regional evaluation specialist on the selection of the consultant/firm for the evaluation?	Yes <input type="radio"/> No <input type="radio"/>	
	Was the final selection of the consultant/firm approved by the country representative or deputy representative?	Yes <input type="radio"/> No <input type="radio"/>	
<b>Conduct stage</b>	<b>Inception report</b>		
	Did the M&E officer/evaluation manager quality assure the inception report?	Yes <input type="radio"/> No <input type="radio"/>	
	Was the draft and final inception report shared with the regional evaluation specialist for quality review?	Yes <input type="radio"/> No <input type="radio"/>	
	Was the draft and final inception report shared with the evaluation reference and management groups for quality review?	Yes <input type="radio"/> No <input type="radio"/>	
	Was the final inception report approved by the country representative/deputy representative?	Yes <input type="radio"/> No <input type="radio"/>	



Stage of the evaluation	Quality assurance process to be complied	Status of compliance	Remark (if any)
<b>Reporting stage</b>	<b>Draft and final evaluation reports</b>		
	Did the M&E officer/evaluation manager review the quality of the draft evaluation report?	Yes <input type="radio"/> No <input type="radio"/>	
	Was the draft evaluation report shared with the regional evaluation specialist for quality review?	Yes <input type="radio"/> No <input type="radio"/>	
	Was the draft evaluation report shared with the evaluation reference and management groups for quality review?	Yes <input type="radio"/> No <input type="radio"/>	
	Was the final report approved by the country representative or deputy representative?	Yes <input type="radio"/> No <input type="radio"/>	
	Did the M&E officer or focal point upload the final evaluation report within six weeks of finalization to the GATE website?	Yes <input type="radio"/> No <input type="radio"/>	
<b>Use &amp; follow up stage</b>	<b>Management response</b>		
	Did the country representative or deputy representative lead the development of the management response?	Yes <input type="radio"/> No <input type="radio"/>	
	Did the M&E officer or focal point upload the management response in the GATE system within six weeks of finalization?	Yes <input type="radio"/> No <input type="radio"/>	
	Did the country representative approve the management response in the GATE website?	Yes <input type="radio"/> No <input type="radio"/>	
	Is the country representative or deputy representative ensuring timely implementation of key actions of the management response?	Yes <input type="radio"/> No <input type="radio"/>	
	Is the M&E officer or focal point updating the status of the implementation of the management response key actions on a quarterly basis?	Yes <input type="radio"/> No <input type="radio"/>	
	Did the M&E officer or focal point implement the evaluation dissemination strategy to ensure access to evaluation results and to facilitate learning?	Yes <input type="radio"/> No <input type="radio"/>	



## Tool 2.

### Eight parameters for prioritizing evaluation

Criteria for selection: A combination of the criteria below should be used for selecting evaluations. A justification of the selection should be provided in the comments section of the MERP.

Eight parameters for prioritizing evaluations <sup>1</sup>	
First priority	<b>1. Relevance of the subject.</b> Is the evaluation subject a socioeconomic or political priority of the mandate and role of UN Women? Is it a key priority of the strategic plan, strategic note or the AWP? Is it a geographic priority of UN Women, e.g., levels of gender inequality and the situation of women in the country?
	<b>2. Risk associated with the intervention.</b> Are there political, economic, funding, structural or organizational factors that present potential high risk for the non-achievement of results or for which further evidence is needed for management decision-making?
	<b>3. Significant investment.</b> Is the intervention considered a significant investment in relation to the overall office portfolio (more than one-third)?
Second priority	<b>4. Demands for accountability from stakeholders.</b> Are stakeholders specifically requesting the evaluation (e.g., through donor requirements in direct financing and co-financing arrangements)? Can the demand be satisfied through an evaluation that is already planned?
	<b>5. Potential for replication and scaling-up.</b> Would an evaluation provide the information necessary to identify the factors required for the success of an intervention and determine the feasibility of its replication or scaling-up? Is the intervention a pilot and/or an innovative initiative?
	<b>6. Potential for joint or UNDAF evaluation.</b> Does the evaluation present a clear opportunity to evaluate jointly with other partners (UN country teams, national governments, etc.) or fold into a UNDAF evaluation to avoid duplication and promote coordination?
Cross-cutting (to be assessed in all prioritized evaluations)	<b>7. Feasibility for implementing evaluation.</b> Does the commissioning office have the financial and human resources available to conduct or manage a high-quality evaluation within the time period indicated? Is the evaluability of the intervention high enough to conduct an in-depth study that can result in sound findings, recommendations and lessons?
	<b>8. Knowledge gap.</b> Will the evaluation help to fill a pressing knowledge gap in relation to achieving gender equality or the empowerment of women?

<sup>1</sup>The parameters are listed in the [UN Women Evaluation Policy](#).



## Tool 3.

### Evaluation plan template

**NOTE:**

Examples have been included below to illustrate how to complete each column; they are not meant to be accurate to real-life activities.

This template only includes the evaluation section of the MERP. Please visit the UN Women intranet for access to the monitoring and research sections.

## Evaluation plan 20XX-20XX

Evaluation name	Mandatory? (Y/N)	UNDAF outcome/ UN Women strategic plan goal, outcome	CO, MCO, or RO AWP output	Office in charge	Region/ country	Joint activity (Y/ N, indicate partners)	Key stakeholders	Planned dates (start-end)	Budget (US\$) / sources of funding	Status (pending/ initiated/ ongoing/ completed)	Remarks
<b>Evaluations managed by the office</b>											
Evaluation 1 (example): Evaluation of the E-Village Project	Example: Y	Example: Goal 2, Outcome 2.3	Example: Jordan AWP Output 2.1	Example: Jordan CO	Example: Jordan	Example: N	Example: Ministry of Planning, Ministry of ICT, JOHUD	Example: May-July 201X	Example: US\$100,000, core funds	Example: Ongoing	
Evaluation 2											
Evaluation 3											
<b>Evaluations in which the office participates</b>											
Evaluation 1 (example): UNDAF evaluation	Example: Y	Example: all goals & UNDAF outcomes	Example: N/A	Example: UN RC Office	Example: Jordan	Example: Y	Example: Government, UNCT, donors	Example: May-July 201x	Example: Total: US\$ 100,000; out of which UN Women contribution = US\$30,000	Example: Ongoing	
Evaluation 2											
Evaluation 3											



## Tool 4.

### Selecting the type of evaluation

The different types presented below represent a variety of ways gender-responsive evaluation can approach its work and all are designed to satisfy the primary evaluation audience and to assist in using evaluation results for learning more about the programme.

The following points should be considered when deciding on the type of evaluation to be conducted:

- What is the evaluation purpose (i.e., learning, accountability or decision-making)?
- Who is the target audience for the information from the evaluation?
- What kinds of information are needed to make decisions and/or contribute to learning?
- What is the scope of the evaluation (i.e., time frame, geographical representation, breadth of programmes and projects included)?
- What are the resources available to collect the information (i.e., human, financial, time)?
- When is the information needed (i.e., is there a strategic meeting, is the programme coming to an end, etc.)?

Evaluations are defined at UN Women according to the following two sub-types:<sup>2</sup>

- **Use of analysis:** institutional, policy, strategy, thematic, cluster, regional, programme/project evaluations or meta-evaluation
- **Timing:** formative (including mid-term evaluations), summative (including final evaluations), real-time and ex-post evaluations

### Categorizing evaluation by use of analysis

At UN Women, the type of evaluation is first defined by use of analysis. The [UN Women Evaluation Policy](#) sets forth requirements for undertaking each type of evaluation. COs are responsible for undertaking programme evaluations, while ROs could undertake any types of evaluation (see Table T1).

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<sup>2</sup> A single evaluation can be defined by one or more of the sub-types.



**Table T1. Types of evaluation at UN Women**

Evaluation type	Description	Office responsible
<b>Programme evaluation</b>	An assessment of an individual UN Women programme and its outcomes	CO, RO, HQ division
<b>Thematic evaluation</b>	An assessment of a thematic area of work. It analyses multiple programmes addressing a theme (e.g. ending violence against women, women's economic empowerment, etc.) with a view to understanding the combined results in an area and better understanding the opportunities, challenges and gaps in programming and results. It can be conducted at the global, regional or country level.	IEO or RO (at least one in each of the five regions during the strategic plan life cycle)
<b>Cluster evaluation</b>	An assessment of multiple programmes in one area of work or other programming elements, such as capacity development, innovation or partnership strategies	IEO or RO (at least one in each of the five regions during the strategic plan life cycle)
<b>Regional evaluation</b>	An assessment of the work of the entity at the regional level. It involves assessing the contributions made by UN Women to results in a specific region by either analysing multiple programmes across a region on a specific theme or focusing on other programming elements, such as capacity development, innovation, partnership strategies and regional-level results.	IEO or RO (at least one in each of the five regions during the strategic plan life cycle)
<b>Country portfolio evaluation</b>	A systematic assessment of the contributions made by UN Women to development results with respect to gender equality at the country level. It focuses on a set of interventions and their overall success in advancing gender equality in the country. It uses the strategic note as the main point of reference.	IEO or RO (at least one per country programme/ plan lifecycle)



## Categorizing evaluation by timing

At UN Women, programme evaluations can be undertaken at different points in time during the programme implementation.

**Formative evaluations** are forward looking and make recommendations with the aim of improving programme performance during the implementation of the intervention. Process and mid-term evaluations are types of formative evaluations.

**Summative evaluations** look backwards at the programme intervention to determine the extent to which the expected outcomes were achieved. Final evaluations are examples of summative evaluations.

**Real-time evaluations** are undertaken during the implementation of the intervention. These are most typically undertaken in humanitarian contexts when information is needed for decision-making quickly.

**Ex-post evaluations** are typically undertaken at least one year post implementation of the intervention of interest in order to measure impact.

**Meta-evaluations** are conducted based on the data contained in one or more evaluations. They typically assess the quality of the evaluation, providing information on whether the data can be utilized with confidence.

Table T2 below will help guide the selection of the appropriate type of evaluation.

**Table T2. Selecting the appropriate type of evaluation**

Approach	Type of evaluation	Definition	When to use	Questions addressed
Formative	Process evaluation	Typically assesses whether or not the internal dynamics of the programme management and organization will support the achievement of results. It can take place at any time during the implementation of the intervention.	During the implementation	Is the programme management working well?  Is the programme effectively reaching all the targeted beneficiaries?





Approach	Type of evaluation	Definition	When to use	Questions addressed
<b>Formative</b>	<b>Midterm evaluation</b>	Conducted at the midpoint of an intervention's life cycle. It can provide an early indication of the achievement of output-level results. It is useful as a more in-depth and credible study than a midterm review to make adjustments to an intervention.	During the implementation—used to understand how a programme works and how it produces the results that it does. It is useful if the programme is long-standing and has changed over the years. The focus is on the process.	Is the programme achieving or on its way to achieving output level results?  What successes or challenges has the programme had with implementation?
<b>Summative</b>	<b>Final evaluation</b>	Conducted at the end of an intervention's life cycle. It focuses on the assessment of outcome-level results, but final evaluations also capture lessons learned from the implementation of the intervention. At UN Women, final evaluations are the most typical type of summative evaluation.	Immediately following the end of an activity or intervention cycle—used to determine the programme's short term influence. The focus is on the outcome.	Was the programme relevant to the needs of the target population?  To what extent has UN Women contributed to achieving the expected changes?  How could UN Women improve the efficiency of implementation?  What was UN Women's added value to this area of work?
<b>Real-time</b>	<b>Typically humanitarian evaluation</b>	An evaluation in which the primary objective is to provide feedback in a participatory way in real time (i.e. during the evaluation fieldwork) to those executing and managing the intervention <sup>3</sup>	Typically during the early stages of the implementation of a humanitarian initiative or during transitional stages	What is the current state of the intervention and is this the appropriate approach given the context and needs?  How effective is the intervention in meeting the needs of the population?  What course of action is needed to better meet the needs of the population in a timely manner?

<sup>3</sup> ALNAP, “Real-time evaluations of humanitarian action: An ALNAP guide”, 2009, available online at: <http://www.alnap.org/resource/5595>.



Approach	Type of evaluation	Definition	When to use	Questions addressed
<b>Ex-post evaluation</b>	<b>Impact<sup>4</sup></b>	Impact evaluations focus on the broad, long-term impact or effects, whether intended or unintended, of a programme or intervention. Because of the complex nature of development interventions supported by the UN system UN Women and other UN entities typically do not undertake impact evaluations.	They are usually conducted at least a year after the programme or intervention has been completed	<p>What is the effect of the programme/ intervention on achievement of expected and unexpected outcomes/ impacts?</p> <p>How much better off are beneficiaries because of the intervention compared with those that did not participate in the programme/intervention (typically assessed with a control group)?</p> <p>What would have happened had there been no intervention (the counterfactual)?</p>
<b>Meta-evaluation</b>		The evaluation of one or more evaluations. It is an assessment by an evaluator of one or more completed evaluation reports that have been prepared by other evaluators. It is used mainly to assess the overall quality of evaluations against certain established standards or criteria. It can be combined with meta-analysis, which synthesizes information from a number of evaluations to identify discernible patterns and trends.	Conducted after evaluation has been conducted	<p>What similarities exist in findings across the evaluations?</p> <p>What lessons can be learned in terms of UN Women's role in this area?</p>

<sup>4</sup> **Resources on impact evaluation:** World Bank, [enGENDER Impact](#): A gateway to gender-related impact evaluations; [3ie](#), [International Initiative for Impact Evaluation](#); OECD-DAC, [Outline of Principles of Impact Evaluation](#).



## **Tool 5.**

# **How to conduct an evaluability assessment**

### **1. Introduction**

The purpose of this tool is to support programme managers in conducting an evaluability assessment to determine the feasibility of an evaluation and improve the effectiveness of programmes and future evaluations. The tool will explain what an evaluability assessment is, the purpose, when and how to conduct one, what the focus should be, and what to do after the evaluability assessment.

### **2. What is an evaluability assessment?**

An evaluability assessment is a systematic process that helps identify whether or not an intervention is in a condition to be evaluated, and whether or not the evaluation is justified, feasible and likely to provide useful information. It not only shows whether or not a programme can be meaningfully evaluated, but also whether or not conducting the evaluation is likely to contribute to improved programme performance and management. Its purpose is to determine whether or not the evaluation is to be undertaken and to prepare the programme to generate all the conditions necessary for an evaluation. An evaluability assessment is not considered to be an evaluation but rather a review. It can be conducted internally, or a consultant with a background in evaluation and gender analysis can be hired to conduct it.

### **3. Purposes and value of an evaluability assessment**

The purpose of an evaluability assessment for programme managers includes:

- Assessing the readiness for an evaluation to take place at a later stage and whether or not a programme is evaluable.
- Analyzing whether or not an evaluation is worthwhile in terms of benefits, utility and costs.
- Identifying the needed changes to be made.
- Formulating recommendations on the purpose, scope, timing and design of an evaluation to take place at later stage (e.g., what types of evaluation).



The value of an evaluability assessment for programme managers includes:

- Clarifying programme goals and objectives.
- Clarifying roles and responsibilities among stakeholders.
- Assessing the feasibility of the programme goals and objectives.
- Identifying programme priorities.
- Improving programme performance.
- Saving programme resources by making improvements in a timely manner and forestalling expensive evaluations of a programme that is not ready to be evaluated.
- Facilitating the development of a learning organization.

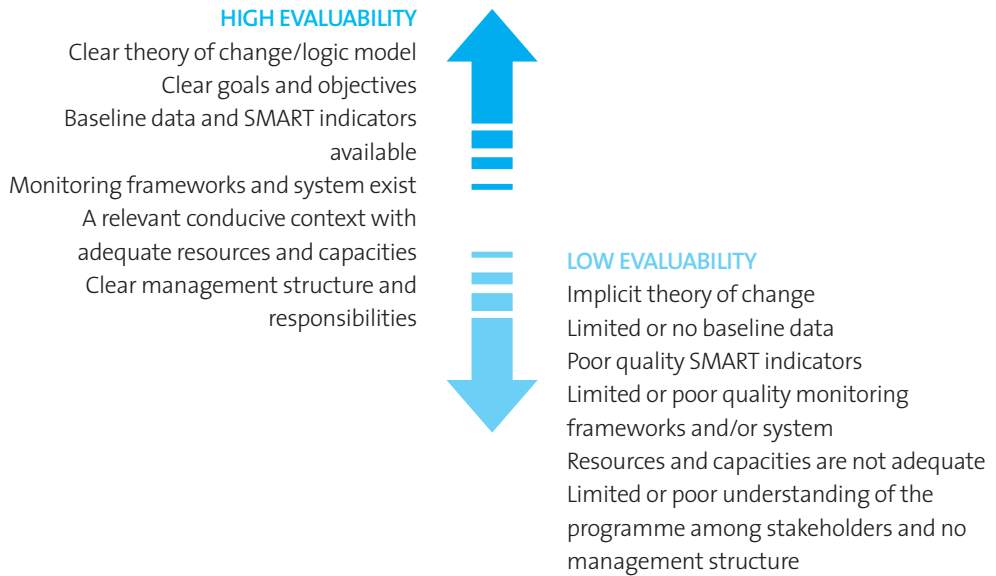
#### 4. Common issues that render a programme “unevaluable”

An evaluability assessment can save time and money for UN Women by determining whether or not an evaluation is feasible and appropriate and assist in the planning and preparation of an evaluation. Evaluability assessments can identify areas where evaluability is weak and provide recommendations on how it can be improved prior to the evaluation process. An evaluability assessment can not only conclude if an evaluation can be undertaken or not, but also identify steps a programme or evaluation can take to address issues raised by the assessment.

After an evaluability assessment is conducted, the following conclusions can be drawn:

- **The programme is ready for an evaluation.** The evaluability assessment will inform the evaluation design and may recommend corrective actions to enable an evaluation. It may also suggest some of the parameters for the evaluation.
- **The assessment identifies issues with the evaluability of the programme.** Shortcomings in the programme’s design or implementation will often affect the programme evaluability. The evaluability assessment should identify what can be done to ensure evaluability and recommend how an evaluation can deal with these issues. For example, if there is no theory of change, the evaluation can reconstruct one for the purpose of the evaluation.

Figure T1. High evaluability and low evaluability



## 5. How to conduct an evaluability assessment

### Duration

An evaluability assessment can take several days, weeks or months to complete depending on the time available and efforts. Ideally, programme managers should aim to have it completed quickly and it should not require a lot of resources.

### External or internal evaluator?

While an evaluability assessment can be conducted by a programme staff member who is knowledgeable about evaluation, it is usually most successfully conducted by a professional evaluator. It is important to keep in mind that the person performing the evaluability assessment should have a strong background in evaluation and gender equality.

### Key principles of evaluability assessment

The key principles of the evaluability assessment are: **formative** (i.e., the evaluability assessment should be conducted at early stage in the programme); **learning**; and **engaging** stakeholders.



## Gender equality and human rights considerations

All evaluability assessments should examine if human rights and gender equality are integrated into an intervention, regardless of whether or not the intervention is targeting these issues. For example:

- If gender equality and/or human rights analyses and disaggregated data (e.g., sex, class, or ethnicity) are available and attention was given to these in the programme theory and design, it will facilitate including gender equality and human rights in an evaluation in a cost-effective manner.
- If gender equality and/or human rights were not considered in the design and implementation of the intervention and no disaggregated information is available, evaluators will need to identify and gather additional data in order to assess the gender equality and human rights dimensions of the intervention.

## Methodology

An evaluability assessment is a qualitative analysis.<sup>5</sup> Typical evaluability assessment methodologies include: desk review and qualitative data collection through individual interviews, focus group discussions and stakeholder workshops.

The programme documents should be ready for review, and staff should be ready to be interviewed. It is necessary for an evaluator to look at all of the programme pieces to fully understand what a programme does on day-to-day basis.

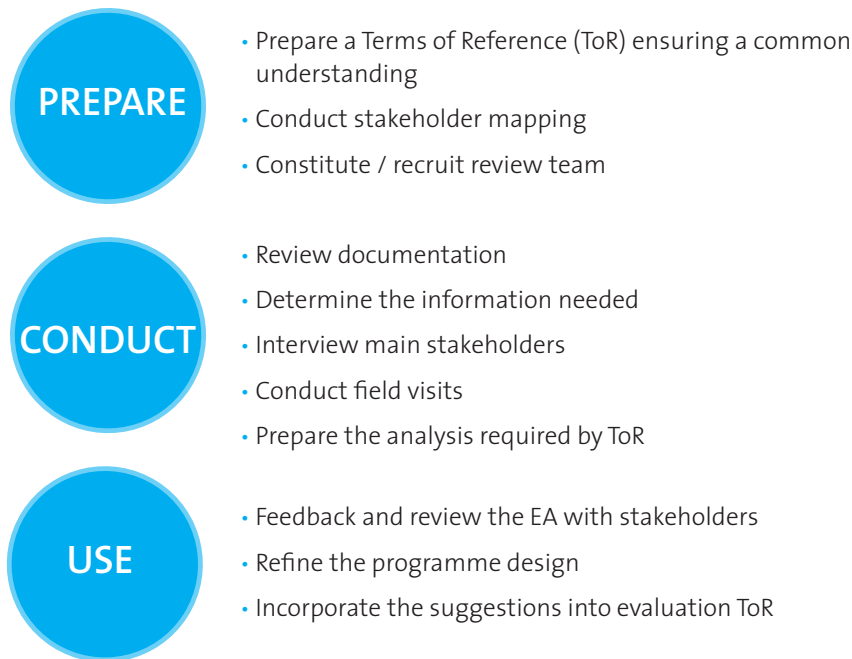
## Evaluability assessment steps

Like other evaluations, an evaluability assessment comprises the following key steps: 1) preparation; 2) conduct; and 3) use.

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<sup>5</sup> Rosse et al define an evaluability assessment as “a qualitative analysis of a project, programme or plan to determine whether it meets the preconditions for its evaluation and, if so, how the evaluation should be designed to ensure maximum utility.”

Figure T2. Evaluability assessment main steps



## 6. Focus of an evaluability assessment

### Decide the scope of the evaluability assessment

If staffing is available, the programme should form an evaluability assessment working group or team composed of implementation staff responsible for programme management, as well as stakeholders and the person conducting the evaluability assessment. The first activity of the team should be to identify the scope of the evaluability assessment, the parameters of the programme, and the individuals to be interviewed.

**In order to identify the scope of the evaluability assessment, the following focus for evaluability assessments are helpful:**

- Theory of change/logic model
- Existence and availability of relevant information



- Conduciveness of the context
- Accountability

**The evaluability assessment should examine:**

Theory of change/logic model (examine programme relevance, appropriateness and coherence)

- Does the programme clearly identify the problem and target population (context analysis)?
- Are gender inequality factors and women's needs clearly and explicitly identified?
- Does the programme have a clear strategic intent and a theory of change?
- Does the programme have clear goals, objectives and results?
- Does the programme articulate levels of activities, financial resources, results and strategies?

**Existence and availability of relevant information (examine programme accessibility and adequacy)**

- Does the programme have enough information on the intervention and the context?
- Does the programme have SMART indicators?
- Does the programme have baseline information?
- Does the programme have a monitoring system to gather and systematize information with defined responsibilities, resources and periodicity?
- What kind of information on women's rights is accessible and how is it or will it be collected?

**Conduciveness of the context (examine stakeholder involvement, resource and capacity, and socio-political conduciveness)**

- What is the level of stakeholders' involvement and their perspectives towards the programme?
- Does the programme have resources and capacities to undertake the evaluation (i.e., budget, time, technical knowledge)?
- How is the adequacy of the institutional and socio-political context (e.g., evaluation culture, groups of interest that could influence the independence of the evaluation, etc.)?





### Accountability (management structure, monitoring and reporting, ownership and leadership)

- Does the programme have a clear management structure?
- Do partners have their responsibilities, accountabilities and ownership of the programme?
- Does the programme have a transparent performance monitoring and reporting system?

**Table T3. Evaluability assessment focus areas and criteria**

Area of focus	Criteria
<b>ToC/Logic model</b>	Relevance Appropriateness Coherence
<b>Existence and availability of relevant information</b>	Accessibility Adequacy
<b>Conduciveness of context</b>	Stakeholder involvement Availability of resources and capacities Socio-political conduciveness
<b>Accountability</b>	Clear management structure and responsibilities Transparent monitoring and reporting of performance Existence of ownership and leadership in national and civil society partners

## 7. What to do after evaluability assessment

By conducting an evaluability assessment, an office can save a great deal of time and money by determining whether or not an evaluation is feasible and appropriate. On rare occasions, an evaluability assessment will identify major issues with the programme that render the programme not ready for evaluation or “unevaluable”.

An evaluability assessment begins the evaluation process by carrying out a preliminary assessment of the programme design and implementation. At its conclusion, the assessment will identify steps necessary in order to prepare for an evaluation. It is in UN Women’s best interest to either invest the time and funds necessary to hire external consultants to conduct an evaluability assessment or to have one conducted internally by the respective office.



## Tool 6.

### Evaluation terms of reference template

This is a template that can be used to develop the evaluation terms of reference. It should be used as a guide and adjusted as appropriate. All text in brackets should be replaced. This template should be used together with the guidance provided in [Chapter 4](#) of this handbook and the [Evaluation Chapter of the POM](#).

*\*Replace all text in brackets*

**[TITLE OF EVALUATION]**

**[OFFICE COMMISSIONING EVALUATION]**

#### I. Background (programme/project context)

The background section should provide an overview of the programme/project and its intended outcome(s). It should also refer to the guiding documents for evaluation at UN Women, including the [Evaluation Policy](#), [Evaluation Chapter of the POM](#), the [GERAAS evaluation report quality checklist](#), the [United Nations System-wide Action Plan Evaluation Performance Indicator](#) (UN-SWAP EPI) and this [Evaluation Handbook](#). These documents serve as the frame of reference for the Evaluation Manager and the evaluation consultant(s) for ensuring compliance with the various requirements and assuring the quality of the evaluation report.

#### Questions to consider:

- What is the overall programme/project theme to be evaluated?
- To what elements of women's human rights treaties and international commitments (Convention to Eliminate All Forms of Discrimination Against Women, Beijing Declaration and Platform for Action, SCR 1325 and Millennium Development Goals) is the programme/project contributing?
- How does the programme/project fit into UN Women's thematic, regional, multi-country and country strategies and to what extent does it relate to UN Women priorities outlined in the Strategic Plan?
- What is the most recent guidance on women's rights from the Convention to Eliminate All Forms of Discrimination Against Women committee at the country level? How does the programme/project respond to this guidance?
- What is the rationale of UN Women involvement in the area to be evaluated?
- What status does the programme/project have now (it is mid-term, final, continuing, etc.)]



## II. Description of the programme/project

[The description of the subject in the ToR should include the logic and underlying assumptions upon which the strategy was originally developed. Any major divergences between the programme strategy and the actual implementation should be stated and explained. The resources and management structure of the programme should also be described.]

### Questions to consider:

- What is the programme/project objective?
- What is the programme/project strategy?
- What women's rights is the programme attempting to support? What capacities of rights-holders to claim their rights and duty-bearers to meet their obligations does the programme/project aim to enhance?
- What is the programme/project logic or theory of change?
- What are the geographical scope and time frame?
- Who are key stakeholders involved in the programme/project (including donors, partners, implementing agencies/organizations)?
- How is the programme linked to the work of other programme/project implementing partners such as other national partners and UN agencies?
- What is the programme/project management structure?
- What is the programme's budget?
- What are the inter-linkages between the normative support, coordination and operational work?]

## III. Purpose (and use of the evaluation)

[This section of the ToR should explain the purpose of the evaluation (the why), what triggered it, and how the evaluation results will be used and by whom. This should be clearly linked to the corporate, thematic, RO, MCO and CO evaluation plans.]

### Questions to consider:

- What is the overall programme/project/theme to be evaluated?
- Who initiated the evaluation? Is it a mandatory evaluation?
- Is the evaluation expected to contribute to accountability, learning and/or decision-making?
- Why is the evaluation being undertaken now? Is it a mid-term or final evaluation?
- How will the evaluation process and/or results be used?
- Who are the key evaluation users and target audiences? Is the evaluation targeting a specific information or decision-making need? ]



## IV. Objectives

[This section should clearly identify the key objectives of the evaluation and the criteria upon which the programme will be assessed. The objectives should follow the purpose and be clearly formulated considering the programme information available and the context in which the programme is being implemented and in which the evaluation will take place. The objectives should be framed from a gender equality and human rights perspective. The objectives often identify the evaluation criteria upon which the programme/intervention will be assessed: relevance, effectiveness, efficiency, impact, sustainability, etc. For example:

- Assess the relevance of UN Women contribution to the intervention at national levels and alignment with international agreements and conventions on gender equality and women's empowerment.
- Assess effectiveness and organizational efficiency in progressing towards the achievement of gender equality and women's empowerment results as defined in the intervention.
- Assess the sustainability of the intervention in achieving sustained gender equality and women's empowerment.
- Determine the impact of the intervention with respect to gender equality and women's empowerment.
- Analyse how human rights approach and gender equality principles are integrated in implementation.
- Identify and validate lessons learned, good practices and examples and innovations of efforts that support gender equality and human rights in area of work.
- Provide actionable recommendations with respect to the UN Women intervention.

The key evaluation questions should also be specified under this section. Evaluation questions contribute to further defining the objectives by relating to the purpose and criteria for the evaluation. For example (see [Evaluation Chapter of the POM](#) for more detailed examples):

### Relevance

- To what extent is the intervention relevant to the needs and priorities as defined by beneficiaries?
- To what extent is the intervention aligned with relevant normative frameworks for gender equality and women's empowerment?



- What is UN Women's comparative advantage in this area of work compared with other UN entities and key partners?

#### Effectiveness

- To what extent were the expected outcomes achieved and how did UN Women contribute towards these?

#### Efficiency

- To what extent does the management structure of the intervention support efficiency for programme implementation?

#### Impact

- To what extent was gender equality and women's empowerment advanced as a result of the intervention?
- What were the unintended effects, if any, of the intervention?

#### Sustainability

- To what extent was capacity developed in order to ensure sustainability of efforts and benefits?
- How will the benefits of the intervention be secured for rights holders (i.e. what accountability and oversight systems were established)?

#### Gender Equality and Human Rights

- To what extent has gender and human rights considerations been integrated into the programme design and implementation?
- How has attention to/integration of gender equality and human rights concerns advanced the area of work?

## V. Scope of the evaluation

[The scope of the evaluation describes what will be included and what will be excluded from the evaluation. Defining the scope provides an opportunity to weigh what is important to obtain from the evaluation against what is actually feasible. In support of harmonization, to limit duplication and make efficient use of scarce resources, the scope should take into account other existing or planned evaluations of the same subject. The relationship between the planned evaluation and other related evaluations should be described, including how information from these other evaluations may be used.]

#### The scope of an evaluation defines:

- **Timing:** When in the life of the programme is the evaluation being conducted (mid-term, end of programme, etc.)



- **Time frame:** Specific time frame in the life of the programme (the entire programme life or several SN periods, etc)
- **Geography:** Whether or not it will cover the entire region or selected areas where the programme has operated or provided services
- **Thematic coverage:** Whether or not it will include all aspects of a theme (ending violence against women, political participation, etc.), or focus on a specific sub-theme
- **Programmatic coverage:** Whether or not it will include all aspects of a programme or focus on a specific area of the programme
- **Limitations:** The scope should also identify limitations of the evaluation given the scope ]

## VI. Evaluation design (process and methods)

[The design selected will frame the conduct of the evaluation and determine which methods are most appropriate. The evaluation design will depend on the purpose and objectives of the evaluation and on the nature of information available to the evaluator(s), such as indicators, baseline information, and specific targets. The approach can be formative (forward looking), summative (backward looking) or in very rare cases real-time evaluation (typically utilized in a humanitarian setting). The approach should also promote inclusion and participation by employing gender equality and human rights responsive approaches with a focus on utilization<sup>6</sup>, empowerment<sup>7</sup> or feminist approaches<sup>8</sup>. Gender-responsive evaluation applies mixed-methods (quantitative and qualitative data collection methods and analytical approaches) to account for complexity of gender relations and to ensure participatory and inclusive processes that are culturally appropriate.

The evaluation process should outline the different phases of the evaluation and specify the key tasks evaluator(s) are responsible for carrying out and a schedule for completion.

### At UN Women the evaluation phases are:

- **Preparation:** This includes the stakeholder analysis and establishment of the reference group, development of the ToR, and recruitment of the evaluation team

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<sup>6</sup> Promotes intended use by intended users. Strong focus on participation of users throughout the evaluation process.

<sup>7</sup> Programme participants are involved in the conduct of the evaluation. An outside evaluator serves as a coach or facilitator in the evaluation process.

<sup>8</sup> Addresses and examines opportunities to reverse gender inequities that lead to social injustice. Prioritizes women's experience and voices, including women from discriminated and marginalized groups.



- **Conduct:** Inception report, stakeholder workshop, data collection and analysis
- **Reporting:** Presentation of preliminary findings, draft and final reports
- **Use and follow up:** Management response, dissemination of the report, and follow up to the implementation of the management response]

## Methods

[The evaluation methodology should enable achievement of the evaluation purpose, be aligned with the evaluation approach, and be designed to address the evaluation criteria and answer the key questions through credible techniques for data collection and analysis.

### The methodology should outline:

- Wide range of data sources (e.g., documents, field information, institutional information systems, financial records, beneficiaries, staff, funders, experts, government officials and community groups)
- Data collection methods and analysis (e.g., appreciative inquiry, most significant change case study, survey, interviews, focus groups, observation, site visit, etc.) that will address gender equality and human rights issues; the evaluator will elaborate on the final rationale for selection and their limitations
- Participatory tools for consultation with stakeholder groups and suggest a plan for inclusion of women and individuals and groups who are vulnerable and/or discriminated against in the consultation process and a plan for translation, as necessary
- Specify that the evaluator should detail a plan on how protection of subjects and respect for confidentiality will be guaranteed
- Specify that the evaluator should develop a sampling frame (area and population represented, rationale for selection, mechanics of selection, limitations of the sample) and specify how it will address the diversity of stakeholders in the intervention
- Specify that the evaluator should take measures to ensure data quality, reliability<sup>9</sup> and validity<sup>10</sup> of data collection tools and methods and their responsiveness to gender equality and human rights; for example, the limitations of the sample (representativeness) should be stated clearly and the data should be triangulated (cross-checked against other sources) to help ensure robust results]

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<sup>9</sup> **Reliability** is consistency in results using the same method (i.e. if the same survey is instituted several times it should give you similar results each time).

<sup>10</sup> **Validity** refers to the accuracy of data collection tools; in other words whether the tools are collecting the information they are intended to collect or measuring the right construct.



## I. Stakeholder participation

[This section should specify involvement of key stakeholders (e.g., internal stakeholders, programme/project partners, donors etc.) and whether or not they will participate in the reference group or management group. Their roles might include liaison, technical advisory, observers etc. or more active participation in the evaluation reference group. Be clear about when they would participate, i.e., preparation, conduct, reporting and/or follow-up and dissemination.]

It is important to pay particular attention to participation of rights holders—in particular women and vulnerable and marginalized groups—to ensure the application of a gender-responsive approach. It is also important to specify ethical safeguards that will be employed.]

## II. Time frame

[The ToR should clearly specify the number of days required by the evaluator(s). The time frame for an evaluation depends on its scope. Typically, evaluations conducted at the country level will require one to two months of an evaluator's time. However, this should be spread over a three to six month time period so as to allow for the iterative feedback process on the deliverables. A sample time frame required for each phase of the evaluation is below:

Task	Time frame	Person Responsible
Final ToR (after consultations with reference group and management group)	3-4 weeks	UN Women evaluation manager
Recruitment of evaluator(s)	3-4 weeks post circulation	UN Women evaluation manager
Inception phase	2-3 weeks (post contract signing)	Evaluator
Conduct stage (data collection)	2-3 weeks (post inception report submission)	Evaluator
Reporting stage (analysis and presentation of preliminary findings)	2-3 weeks (post final data collection)	Evaluator
Use and follow-up	6 weeks post final report	UN Women evaluation manager



### III. Expected deliverables

[This section describes the type of products (reports, briefs or other) that are expected from the evaluation, who will use them and how they will be used. It should also specify the expected formats for such products and the number of revisions expected (after quality review and consultations with reference group, etc.) and time frame for deliverables.]

Deliverable	Time frame for submission	Person responsible [evaluation manager, evaluation consultant, etc.]

### IV. Management of evaluation

[This section outlines the key responsibilities of UN Women in the process of the evaluation and identifies the logistical support needed, such as materials and office space. Describe the role of UN Women in managing the evaluation, including preparation, conduct, reporting and follow up and dissemination. The evaluation manager should be dedicated to coordinate the evaluation process. Specify whether the evaluation will have a management group, reference group and any other mechanism to facilitate the management of the evaluation.]

### V. Evaluation team composition, skills and experiences

[This section outlines the skills, experience, qualifications and other relevant competencies—such as language capabilities—that will be needed to conduct the evaluation effectively (whether or not by a consulting firm or by individual consultants). It has to specify the size of the team required and provide the estimated number of person-days required (as further elaborated below under time frame). Specify that international consultants should be paired with national consultants in several steps of the evaluation.]



## VI. Ethical code of conduct

[Links to the [UN Women Evaluation Consultants Agreement Form](#), [UNEG Ethical Guidelines](#) and [Code of Conduct for Evaluation in the UN system](#) should be provided.]

### Annexes

After the selection of the evaluation consultant/firm, the following documents should be appended to the ToR:

- [UN Women GERAAS evaluation report quality checklist](#)
- [UN Women Evaluation Consultants Agreement Form](#)
- [UNEG Norms for Evaluation in the UN System](#)
- [UNEG Standards for Evaluation in the UN System](#)
- [UN Women Evaluation Handbook](#)

## Tool 7.

### Evaluation product comment template

Page, paragraph # (the actual text from the evaluation can also be inserted)	Comment	Stakeholder name /organization	Evaluator response (clearly address the comment with a specific response on how it was taken into consideration in the report or justifying why it was not)

## Tool 8.

### Evaluation matrix template

The evaluation matrix is a key tool for the evaluation that elaborates how the evaluation questions will be answered through the evaluation methods. The text in the template is only provided as an example and should be adjusted as appropriate. Also see the [Evaluation Chapter of the POM](#) for guidance on evaluation questions.

Evaluation criteria	Key question(s)	Sub-question(s)	Indicator(s) data	Collection method(s)	Data source	Assumptions
<b>Relevance</b>	To what extent did the programme ensure alignment with national goals on gender equality and women's empowerment?	Did the programme consultations with national counterparts in the formulation and implementation of the programme lead to integration of national priorities?	<ul style="list-style-type: none"> <li>Alignment with national plan on gender equality</li> <li>Number of meetings with national counterparts</li> <li>Etc.</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Monitoring records</li> <li>Interviews</li> </ul>	<ul style="list-style-type: none"> <li>National government website</li> <li>UN Women programme staff</li> <li>National counterparts</li> </ul>	<ul style="list-style-type: none"> <li>Information is available</li> <li>National counterparts are willing/able to meet</li> </ul>
<b>Effectiveness</b>	What is the progress towards results to which UN Women has contributed?	<p>Did UN Women effectively coordinate with relevant partners to achieve results?</p> <p>What are enabling and limiting factors that contributed to the achievement of results and what actions need to be taken to overcome any barriers that limit the progress?</p>	<ul style="list-style-type: none"> <li>Evidence of contribution to results as outlined in the programme/project plan and articulated in the theory of change</li> <li>Evidence of effective consultation with key partners</li> <li>Evidence of unintended effects of UN Women (positive or negative), including on excluded/more vulnerable groups and men/boys</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis (annual and donor reports, etc.)</li> <li>Monitoring records</li> <li>Interviews</li> <li>Survey</li> <li>Case study</li> </ul>	<ul style="list-style-type: none"> <li>All key stakeholders</li> <li>UN Women programme staff</li> <li>UN Women websites</li> <li>National government websites</li> <li>Project implementation sites</li> </ul>	<ul style="list-style-type: none"> <li>Information is available</li> <li>National counterparts are willing/able to meet</li> </ul>
<b>Etc.</b>						



## Tool 9.

### Stakeholder analysis template

It is important to identify who to engage in the evaluation based on what their role was in the intervention and why they should be involved. This will help to determine how and when they can be involved and to prioritize their engagement.

Who	What (their role in the intervention)	Why (gains from involvement in the evaluation)	How (informational, reference group, management group, data collection, etc.)	When (in what stage of evaluation)	Priority (importance of involvement in evaluation process)
Duty bearers who have decision-making authority over the intervention such as governing bodies					
Duty bearers who have direct responsibility for the intervention, such as programme managers					
Secondary duty bearers, such as the private sector or parents					
Rights holders (individually or through the civil society organizations acting on their behalf) who are the intended and unintended beneficiaries of the intervention					
Rights holders (individually or through the civil society organizations acting on their behalf) who should be represented in the intervention but are not, or who are negatively affected by the intervention					



## Tool 10.

# Tips for employing gender-responsive evaluation methods

- **Identify rigorous methods that are appropriate and relevant to ensure a high-quality and credible evaluation.** Evaluation findings can often be contentious, particularly within some contexts where gender equality and human rights are sensitive issues.
- **Employ gender-responsive methods that facilitate participation and inclusion.** Participatory methodologies are those that allow all the defined users and stakeholders to not only submit data and information but also actively participate in the definition of what data should be collected. For example, **appreciative inquiry** highlights good practices in association with the evaluand and promotes a high level of stakeholder participation.<sup>11</sup> **Most significant change** entails the sharing of lived experiences and selecting those most representative of the type of change being sought. Project stakeholders are involved both in deciding the sorts of change to be recorded and in analysing the data.<sup>12</sup>
- **Ensure collection of sex disaggregated data.** This is basic to any gender or human rights evaluation. All data gathered should identify the sex of the respondent and other basic data about the respondents that may prove relevant to the evaluation, including age, ethnicity, nationality, marital status, occupation.
- **Employ a flexible methodological approach that understands the constraints and challenges of the informants and context.** Some methods of data collection may be appropriate for certain groups of beneficiaries but may actually place others at a disadvantage. Thus, the methods identified need to be carefully targeted and weighed against the potential risks.
- **Identify how vulnerable populations will be included in the data gathering process and the constraints and challenges of stakeholder participation.** The evaluation manager should be cognizant of potential biases that may arise in the selection of methods and avoid this through the inclusion of the full range of stakeholder groups. Biases may involve gender, power (sources able

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<sup>11</sup> For more information, see the Appreciate Inquiry Commons available online at: <http://appreciativeinquiry.case.edu/>.

<sup>12</sup> Davies R, Dart J, 'The most significant change (MSC) technique: A guide to its use', United Kingdom and Australia, April 2005, available online at [www.mande.co.uk/docs/MSCGuide.pdf](http://www.mande.co.uk/docs/MSCGuide.pdf).



to contribute freely because privacy and confidentiality issues are addressed), class or caste, and distance (favouring the more accessible). Also the choice of location, timing and language used of the evaluator may all have a bearing on the capacity of particular respondents to participate. Some groups may not be able to express themselves freely because of social pressure or they may not be allowed to speak or be represented in public meetings or community consultations.

- **Interrogate gender roles.** The data collection tools should address the gender issues of the initiative or project, and must probe into broader gender issues. For example, in assessing the impact of an information and communication technology training initiative, it is not only important to look into what the trainees have learned but also how they have applied their knowledge in their work or organization. In order to assess this, it is essential to probe into the gender roles within the trainees' organizations and look at how they are able (or unable) to practice their newly-acquired skills.
- **Evaluations need to be undertaken in a culturally sensitive fashion in order for there to be a full understanding of human rights and gender equality implications.** Group dynamics, subject matter, gender, class, caste, age, race, language, culture, rural and urban issues, etc. greatly influence how effectively and inclusively information is gathered. Cultures may be viewed as contextual environments for the implementation of human rights policies. Nevertheless, a human rights perspective affirms that the rights of women and girls to freedom from discrimination and to the highest standard of living are universal. Cultural claims cannot be invoked to justify their violation.
- **Use mixed qualitative and quantitative methods.** A mixed methods approach increases the reliability<sup>13</sup> and validity<sup>14</sup> of the evaluation findings, and helps to explore whether or not different stakeholders groups benefited differently and why.



See UNEG guidance document: [Integrating human rights and gender equality in evaluations](#) for a detailed discussion on methods.

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<sup>13</sup> **Reliability** is consistency in results using the same method (i.e. if the same survey is instituted several times it should give you similar results each time).

<sup>14</sup> **Validity** refers to the accuracy of data collection tools; in other words whether the tools are collecting the information they are intended to collect or measuring the right construct.



## Tool 11.

### Management group terms of reference template

This is a template that can be used to develop the management group terms of reference. It should be used as a guide and adjusted as appropriate. All text in brackets should be replaced. This template should be used together with the guidance provided in [Chapter 4](#) of this handbook and the [Evaluation Chapter of the POM](#).

*\*Replace all text in brackets*

#### **UN Women Management Group for [EVALUATION TITLE]**

##### **Background**

[Describe the background of the programme/project and evaluation.]

##### **Evaluation purpose and objectives**

[Describe the purpose, use and audience of the evaluation. Describe the objectives of evaluation as stated in the ToR.]

##### **Evaluation management**

[Describe the management structure as in the evaluation ToR (i.e. management group + reference group)]

Under the guidance of the [UN Women office representative or director] and evaluation manager, the evaluation will be carried out by a team consisting of [specify based on evaluation, i.e., a project leader and one project team member. The team will also contract a subject area expert as a consultant on the evaluation].

##### **Composition and function of the UN Women management group**

[The management group is constituted to oversee the evaluation management, make key decisions and quality assure the different deliverables. It is composed of the UN Women office/division senior management, the regional evaluation specialist and key programme staff.]





The evaluation manager will be lead the day-to-day management of the process and will consult with the management group regarding key issues. The inputs of members are expected to strengthen the quality and credibility of the review. More specifically, management group members will be expected to:

- Participate in any meetings of the management group
- Approve the consultant/firm selected to conduct the evaluation
- Participation in any inception meeting/s and quality assure the evaluation inception report
- Facilitate access to information by the evaluation team
- Review and quality assure the draft evaluation report
- Disseminate and promote the use of the evaluation findings and recommendations.]

**The proposed management group composition includes the following:**

UN Women Management Group for [Evaluation Title]	
Name	Title, Unit/Division/Office



## Tool 12.

### Reference group terms of reference template

This is a template that can be used to develop the reference group terms of reference. It should be used as a guide and adjusted as appropriate. All text in brackets should be replaced. This template should be used together with the guidance provided in [Chapter 4](#) of this handbook and the [Evaluation Chapter of the POM](#).

*\*Replace all text in brackets*

#### **UN Women Reference Group for [EVALUATION TITLE]**

##### **Background**

[Describe the background of the programme/project and evaluation.]

##### **Evaluation purpose and objectives**

[Describe the purpose, use and audience of the evaluation. Describe the objectives of evaluation as stated in the ToR.]

##### **Evaluation management**

[Describe the management structure as in the evaluation ToR.]

Under the guidance of the [UN Women office representative or director] and evaluation manager, the evaluation will be carried out by a team consisting of [specify based on evaluation, i.e., a project leader and one project team member. The team will also contract a subject area expert as a consultant on the evaluation].

**In order to facilitate a comprehensive review of evaluation products, UN Women [office] is establishing a reference group.**

##### **Composition and function of the UN Women reference group**

The UN Women reference group is an integral part of the evaluation management structure and is constituted to facilitate the participation of relevant stakeholders in the design and scope of the evaluation, raising awareness of the different information needs, quality assurance throughout the process and in disseminating the evaluation results.



The UN Women reference group will be composed of [identify the broad categories of stakeholders: national counterparts, UN system representatives, non-governmental organization representatives, etc.]

**Reference group members will be expected to:**

- Act as source of knowledge for the evaluation
- Act as an informant of the evaluation process
- Assist in the collection of pertinent information and documentation
- Assist in identifying external stakeholders to be consulted during the process;
- Play a key role in disseminating the findings of the evaluation and implementation of the management response
- Participate in any meetings of the reference group
- Provide input and quality assurance on the key evaluation products: ToR, inception report and draft evaluation report
- Participate in the validation meeting of the final evaluation report
- Participate in learning activities related to the evaluation report

**The proposed reference group composition includes the following:**

UN Women Reference Group for [Evaluation Title]	
Name	Title, Organization

## Tool 13.

# Advantages and disadvantages of data collection methods

Method	Advantages	Disadvantages
<b>Review of documentation (made available to evaluator or collected by evaluator)</b>		
	<ul style="list-style-type: none"> <li>• Inexpensive</li> <li>• Relatively fast and easy</li> </ul>	<ul style="list-style-type: none"> <li>• Limited to documents available</li> <li>• Difficult to verify quality of information</li> <li>• Leaves out tacit and informal knowledge</li> </ul>
<b>Interviews (conducted by evaluator or trained researcher)</b>		
<ul style="list-style-type: none"> <li>• UN Women management or staff</li> <li>• Stakeholders involved in or affected by the intervention</li> </ul>	<ul style="list-style-type: none"> <li>• Provide context of the topic being evaluated</li> <li>• Suitable for complex or sensitive topics</li> <li>• Increased depth and detail</li> </ul>	<ul style="list-style-type: none"> <li>• Time consuming (in arranging and conducting interviews)</li> <li>• Cannot generalize findings</li> <li>• Can be costly if evaluator and interviewees must be in same location (video-conferences may be possible but may limit effectiveness and number and type of participants)</li> </ul>
<b>Focus group sessions</b> (a group of people are asked about their perceptions, opinions, beliefs, and attitudes about the issue under study; moderated by someone external to the programme or project)		
<ul style="list-style-type: none"> <li>• UN Women management or staff</li> <li>• Stakeholders involved in or affected by the intervention</li> </ul>	<ul style="list-style-type: none"> <li>• Faster and more cost-effective than individual interviews</li> <li>• Group interaction may bring out nuances</li> </ul>	<ul style="list-style-type: none"> <li>• Inability to give views anonymously</li> <li>• Responses cannot easily be compared or generalized</li> </ul>
<b>Survey</b> (written questionnaire, web-based questionnaire, or telephone survey, etc.)		
<ul style="list-style-type: none"> <li>• UN Women management or staff</li> <li>• Stakeholders that are close to the programme implementation</li> </ul>	<ul style="list-style-type: none"> <li>• Relatively inexpensive</li> <li>• Ability to reach more stakeholders</li> <li>• Summarizes findings in a clear and precise way</li> <li>• Depending on the size of the sample, suitable for comparison of findings</li> </ul>	<ul style="list-style-type: none"> <li>• Risk of losing subtle differences in responses</li> <li>• Usefulness depends on response rate</li> <li>• Difficult to verify quality of information</li> </ul>
<b>Observation (key meetings, processes or events)</b>		
<ul style="list-style-type: none"> <li>• By evaluator or trained researchers</li> </ul>	<ul style="list-style-type: none"> <li>• Ability to observe first-hand the programme or initiative “in action”</li> </ul>	<ul style="list-style-type: none"> <li>• Depending on the location: could be expensive and time-consuming (in arranging and conducting them)</li> <li>• Cannot easily be compared or generalized</li> <li>• Bias may be introduced if the participants are aware of the evaluators presence</li> </ul>



## Tool 14.

# GERAAS evaluation report quality assessment checklist

### PARAMETER 1: OBJECT AND CONTEXT OF THE EVALUATION

	1.1 The <b>logic model and/or the expected results chain</b> (inputs, outputs and outcomes) of the object is clearly described.
	1.2 The <b>context</b> includes factors that have a direct bearing on the object of the evaluation: social, political, economic, demographic and institutional. This also includes explanation of the contextual gender equality and human rights issues, roles, attitudes and relations.
	1.3 <b>The scale and complexity of the object of the evaluation are clearly described</b> (the number of components, the geographic context and boundaries, the purpose, goal and organization or management of the object, and the total resources from all sources including humans and budgets).
	1.4 The <b>key stakeholders</b> involved in the object implementation, including the implementing agency(s) and partners, other stakeholders and their roles.
	1.5 The report identifies <b>the implementation status of the object</b> , including its phase of implementation and any significant changes (e.g., plans, strategies, logical frameworks) that have occurred over time and explains the implications of those changes for the evaluation.

### PARAMETER 2: PURPOSE, OBJECTIVES AND SCOPE

	2.1 <b>Purpose of evaluation</b> is clearly defined, including why the evaluation was needed at that point in time, who needed the information, what information is needed and how the information will be used.
	2.2 <b>Evaluation objectives:</b> A clear explanation of the evaluation objectives including main evaluation questions is provided.
	2.3 <b>Evaluation scope:</b> The scope of the evaluation is described including justification of what the evaluation covers and did not cover
	2.4 <b>Evaluation criteria:</b> The report describes and provides an explanation of the chosen evaluation criteria, performance standards, or other criteria used by the evaluators.
	2.5 <b>Gender and human rights:</b> Evaluation objectives and scope include questions that address issues of gender and human rights.

### PARAMETER 3: METHODOLOGY

	3.1 <b>Methodology:</b> The report presents a transparent description of the methodology applied to the evaluation that clearly explains how the evaluation was specifically designed to address the evaluation criteria, yield answers to the evaluation questions, and achieve evaluation purposes and objectives.
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3.2	<b>Data collection:</b> The report describes the data collection methods and analysis, the rationale for selecting them, and their limitations. Reference indicators and benchmarks are included where relevant.
3.3	<b>Data sources:</b> The report describes the data sources, the rationale for their selection, and their limitations. The report includes discussion of how the mix of data sources was used to obtain a diversity of perspectives, ensure data accuracy and overcome data limits.
3.4	<b>Sampling frame:</b> The report describes the sampling frame—area and population to be represented, rationale for selection, mechanics of selection, numbers selected out of potential subjects, and limitations of the sample.
3.5	<b>Stakeholder consultation:</b> The evaluation report gives a complete description of the stakeholder consultation process in the evaluation, including the rationale for selecting the particular level and activities for consultation.
3.6	<b>Data quality:</b> The report presents evidence that adequate measures were taken to ensure data quality, including evidence supporting the reliability and validity of data collection tools (e.g., interview protocols, observation tools, etc.).
3.6	<b>Gender and human rights considerations:</b> The methods employed are appropriate for analyzing gender and rights issues identified in the evaluation scope.
3.7	<b>Ethics:</b> The evaluation report includes a discussion of the extent to which the evaluation design included ethical safeguards and mechanisms and measures that were implemented to ensure that the evaluation process conformed with relevant ethical standards including but not limited to informed consent of participants, privacy and confidentiality considerations.

#### PARAMETER 4: FINDINGS

4.1	Findings respond directly to the evaluation criteria and questions detailed in the scope and objectives section of the report and are based on evidence derived from data collection and analysis methods described in the methodology section of the report.
4.2	Reported findings reflect systematic and appropriate analysis and interpretation of the data.
4.3	Reported findings address the evaluation criteria (such as efficiency, effectiveness, sustainability, impact and relevance) and questions defined in the evaluation scope.
4.4	Findings are objectively reported based on the evidence.
4.5	Gaps and limitations in the data and/or unanticipated findings are reported and discussed.
4.6	Reasons for accomplishments and failures, especially continuing constraints, are identified as much as possible.



#### PARAMETER 5: CONCLUSIONS AND LESSONS LEARNED

- |     |   |
|-----|---|
| 5.1 | Conclusions present reasonable judgments based on findings and substantiated by evidence, and provide insights pertinent to the object and purpose of the evaluation.   |
| 5.2 | The conclusions reflect reasonable evaluative judgments relating to key evaluation questions.   |
| 5.3 | Conclusions are well substantiated by the evidence presented and are logically connected to evaluation findings.  |
| 5.4 | Stated conclusions provide insights into the identification and/or solutions of important problems or issues pertinent to the prospective decisions and actions of evaluation users.  |
| 5.4 | Conclusions present strengths and weaknesses of the object (policy, programmes, projects or other intervention) being evaluated, based on the evidence presented and taking due account of the views of a diverse cross-section of stakeholders.  |
| 5.5 | <b>Lessons learned:</b> When presented, lessons drawn represent contributions to general knowledge. They may refine or add to commonly accepted understanding, but should not be merely a repetition of common knowledge. Lessons presented suggest how they can be applied to different contexts and/or different sectors. |

#### PARAMETER 6: RECOMMENDATIONS

- |     |   |
|-----|---|
| 6.1 | Recommendations are supported by evidence and conclusions, and were developed with the involvement of relevant stakeholders.          |
| 6.2 | The report describes the process followed in developing the recommendations including consultation with stakeholders.                 |
| 6.3 | Recommendations are relevant to the object and purposes of the evaluation.  |
| 6.4 | Recommendations clearly identify the target group for each recommendation.  |
| 6.5 | Recommendations are clearly stated with priorities for action made clear.   |
| 6.6 | Recommendations are actionable and reflect an understanding of the commissioning organization and potential constraints to follow-up. |

#### PARAMETER 7: GENDER AND HUMAN RIGHTS

- |     |  |
|-----|--|
| 7.1 | GEEW is integrated in the evaluation scope of analysis and indicators are designed in a way that ensures GEEW-related data will be collected.  |
| 7.2 | Evaluation criteria and evaluation questions specifically address how GEEW has been integrated into the design, planning, implementation of the intervention and the results achieved. |



7.3 A gender-responsive evaluation methodology, methods and tools, and data analysis techniques are selected.

7.4 The evaluation findings, conclusions and recommendation reflect a gender analysis

#### PARAMETER 8: THE REPORT STRUCTURE

8.1 **Report is logically structured** with clarity and coherence (e.g., background and objectives are presented before findings, and findings are presented before conclusions and recommendations).

8.2 **The title page and opening pages** provide key basic information

- A. Name of the evaluation object
- B. Time frame of the evaluation and date of the report
- C. Locations (country, region, etc.) of the evaluation object
- D. Names and/or organizations of evaluators
- E. Name of the organization commissioning the evaluation
- F. Table of contents which also lists tables, graphs, figures and annexes
- G. List of acronyms

8.3 The **executive summary** is a stand-alone section that includes

- A. Overview of the evaluation object
- B. Evaluation objectives and intended audience
- C. Evaluation methodology
- D. Most important findings and conclusions
- E. Main recommendations

8.4 **Annexes** increase the credibility of the evaluation report. They may include, inter alia:

- A. ToRs
- B. List of persons interviewed and sites visited
- C. List of documents consulted
- D. More details on the methodology, such as data collection instruments, including details of their reliability and validity
- E. Evaluators biodata and/or justification of team composition
- F. Evaluation matrix
- G. results framework



## Tool 15.

# How do you develop an evaluation dissemination strategy?

The evaluation dissemination strategy is fundamental for facilitating use of the evaluation results. It is also an essential way for ensuring a gender-responsive evaluation, as it is a means for identifying appropriate products for each stakeholder audience.

The evaluation dissemination strategy should be initially developed during the preparation stage of the evaluation and integrate additional information as the evaluation progresses. By doing so, at the final evaluation stage most of the necessary information will be ready to quickly finalize and implement the dissemination strategy. The table below summarizes the key actions to be taken during each stage of the process.

**Table T4.**  
Key steps in preparing and implementing evaluation dissemination strategy

Evaluation phase	Evaluation dissemination plan
<b>Initiation and preparation</b>	
<b>1. Budgeting</b>	When determining your evaluation budget, factor in the cost of copy-editing, translation, development of knowledge products, dissemination workshops, etc. Keep in mind the need to ensure that information should be made accessible to key stakeholders particularly to women and other groups subject to discrimination, as relevant.
<b>2. Stakeholder analysis</b>	Once you have identified the key stakeholders for the evaluation, input these into the “key audiences” column of the evaluation dissemination strategy matrix (please refer to Tool 15A).
<b>3.ToR</b>	Once the different stakeholders are identified through the stakeholder analysis, consider their expectations and needs with regards to receiving the evaluation products. Incorporate some elements of the anticipated dissemination strategy in the ToR, especially any aspects for which the evaluator or evaluation team would be involved, such as:  Language(s) in which the report should be submitted Format of the report (written, video, etc.) Other products to be developed (powerpoint presentations, pamphlets, etc.) Involvement in dissemination workshops on the results Role of reference or management group in dissemination



Management and conduct	
Data collection	<p>As the evaluator or evaluation team begins to contact informants to collect data through interviews, focus group discussions, etc., the evaluation manager could ask them to provide a list with the contact information of all persons contacted in each country: name, title, organization, address, phone, e-mail, etc.</p> <p><i>NOTE: The need to maintain confidentiality should be considered in any request for a list of contacts.</i></p>
Report writing	<p>While the evaluation report is being drafted and finalized, the evaluation task manager should begin to develop the dissemination strategy by:</p> <ul style="list-style-type: none"><li>• Reviewing the contact lists developed during the data collection stage and sort the list according to country and type of stakeholder</li><li>• Reviewing the “key audiences” identified in the evaluation dissemination strategy matrix (please refer to Tool 15A) and updating and revising as needed to ensure it includes all stakeholders who would be interested to receive the evaluation results</li><li>• Identifying and making a list of the relevant internal and external websites, listservs, forums, press and media releases, etc. through which results should be disseminated</li><li>• Contacting relevant clusters, ROs, MCOs, and COs for feedback on necessary translation, the types of knowledge products that would be most useful, clarifying roles and responsibilities regarding regional and country dissemination strategies, etc.</li><li>• Identifying and recruiting vendors as needed (copy-editor, translators, designers, printers, consultants, etc.). <i>Tip: Refer to the UN Women Vendors Database located in the Communications section of the Intranet to help you identify appropriate vendors.</i></li><li>• Organizing dissemination events (workshops, webinars, press conferences, etc.)</li><li>• Using social media tools e.g. Internet forums, weblogs, social blogs, microblogging, wikis, social networks, podcasts, social bookmarking, etc.</li></ul> <p><b>The evaluation dissemination strategy matrix (Tool 15A) is the key tool to assist in the development of the strategy.</b></p>



Follow-up and use	
Development of management response	<p>The management response to the evaluation will be developed within six weeks of the finalization of the report. During this time, evaluation managers should finalize:</p> <ul style="list-style-type: none"><li>• Development of any identified knowledge products</li><li>• Copy-editing, translation, designing and printing of the report and knowledge products</li><li>• Translation of the management response, as relevant</li><li>• Organization of dissemination events or forums</li><li>• Media contact</li></ul> <p><i>Note: The management response should also be disseminated to key stakeholders and uploaded in GATE.</i></p>
Finalization and implementation of dissemination strategy	<p>The global, regional or country dissemination strategies should be implemented:</p> <ul style="list-style-type: none"><li>• Finalize development of printed report and knowledge products in relevant languages</li><li>• Hold dissemination workshops or events</li><li>• Distribute report and knowledge products as identified. Tip: use the distribution template and mailing lists located in the communication section of the intranet.</li></ul> <p><i>Note: All evaluation reports and knowledge products and management response should be uploaded in the UN Women <a href="#">Global Accountability and Tracking of Evaluation Use (GATE)</a>, along with any other dissemination products, e.g. pamphlets, powerpoint presentations, etc.</i></p>

Four annexes have been developed to assist UN Women staff in developing an evaluation dissemination strategy.

- **Tool 15A.** Evaluation dissemination strategy and calendar matrix
- **Tool 15B.** Common audiences for evaluation results and their general needs and expectations
- **Tool 15C.** Possible knowledge products that can be developed to disseminate evaluation results
- **Tool 15D.** Internal and external forums through which evaluation reports and knowledge products can be disseminated



# Tool 15A.

## Evaluation dissemination strategy and calendar matrix

As you develop and complete this matrix, it is very important to define a corresponding time table that takes into account:

- Key upcoming forums, events or decision-making that should be informed of the evaluation results
- Time available for UN Women offices and divisions to develop and manage development of knowledge products given other deadlines and responsibilities

Key audiences <sup>15</sup>	Purpose <sup>16</sup>	Relevant knowledge products needed to foster use and responsible party	Translation needed to make accessible and barrier-free and responsible party	Dissemination event and responsible party	Timing and venue

**15 Key identified audiences are:**

Internal UN Women audiences  
UN entities  
Government and other national partners  
Sub-regional partners  
Regional partners

**16 The key dissemination purposes include:**

Transparency and accountability  
Informing and improving UN Women work  
Sharing UN Women good practices and 'how to' to advance women's human rights  
Sharing lessons with partners on the ground and building their capacity  
Generating knowledge on how gender equality, women's empowerment and women's human rights can be advanced  
Facilitating exchange on key issues raised on advancing gender equality and women's empowerment

## Tool 15B.

### Evaluation stakeholders expectations and needs

Different stakeholders involved in the evaluation process have different expectations and needs regarding the evaluation. It is necessary to identify these in order to deliver an overall effective dissemination strategy for the evaluation. The table below lists some of the common UN Women stakeholders and their general expectations and needs in terms of receiving evaluation results. This list is not exhaustive and is meant to be a general guide: there could be additional types of stakeholders and different expectations and needs for particular evaluations.

Stakeholder type	General expectations and needs
<b>UN Women programme managers</b>	They assume that the evaluation will provide key learning and inputs to improve the evaluated programme and for the design of new interventions. They expect very detailed information in a timely manner and are qualified to interpret complex messages.
<b>Beneficiaries</b>	They usually expect that an evaluation will contribute to clarifying management aspects and to improving effectiveness of the intervention. It is important to make a special effort to establish a targeted dissemination strategy to communicate evaluation results to them. The format should be user-friendly and may require translation to local languages.
<b>Governments and decision makers</b>	They are usually interested in information on results achieved by the intervention. They expect concise, local language and policy-oriented materials. At this level it is important to consider high-level forums and in-person meetings.
<b>Donors and consultative committees or boards</b>	Expectations are related to accountability, with a special focus on the efficient use of the resources and the results generated.
<b>UN agencies</b>	They are interested to learn about UN Women work in order to identify the most effective approaches to advance gender equality and lessons on what does and what does not work.
<b>Evaluation community</b>	Expectation that agencies conducting evaluation of development work disseminate evaluation results through evaluation networks. This is particularly important in that it increases UN Women contributions to enhancing evaluation practice from a gender equality and human rights perspective.



Stakeholder type	General expectations and needs
Gender advocates	Expectation that evaluation results can contribute to the knowledge base on programming and policy-making on gender equality. They are interested to learn from evaluations and may use the results to advocate for specific programmes and policies.
Civil society organizations and networks	Civil society organizations working on a range of issues related to UN Women work are also key audiences for evaluation results. They may be solely focused on gender or they may focus on other development issues that could better integrate gender equality.
Academic and research institutions and media	These institutions are interested in receiving information that can enhance their ongoing research and thinking on gender issues.
Broader society	In general, society expects evaluations to contribute to transparency in the management of public resources and want information regarding the achieved results and the main activities carried out during an intervention.

## Tool 15C.

### Evaluation knowledge products

Considering the needs and expectations of the different key audiences and limited resources, it is necessary to choose the most appropriate and efficient knowledge products to communicate evaluation results. Offices, units and sections have to decide on the most effective and efficient products to develop for each evaluation, taking into account staff time and budget available. You are encouraged to be creative in developing formats for communicating evaluation results.

Knowledge product	Benefits
<b>Evaluation report (printed and electronic versions)</b>	The evaluation report is usually the main evaluation product. Different strategies must be considered to distribute the different formats. Hard copies of the printed version need to be sent to donors and counterparts. A wider distribution list is normally developed for the electronic and memory stick versions. The memory stick version is very useful for workshops and other meetings where recipients receive a bulk of printed materials; it can easily be brought back with them without adding much weight. Careful consideration should be made to determine the number of copies needed of printed and memory stick versions in each language.
<b>Briefs and pamphlets</b>	Briefs and pamphlets are usually one- to two-page products that concisely summarize and communicate key information drawn from the evaluation report. They should be easy to read and graphically pleasant. More people read this than the full report.
<b>Evaluation blurbs and announcements</b>	<p>There are also different techniques to announce an evaluation publication. For instance “who should read this evaluation announcement” generates interests from non-evaluation audience groups by relating publication content to thematic work areas.</p> <p>It is recommended to publish evaluation reports with a nice and catchy design for wide distribution amongst target audience (beneficiaries, donors, programme managers).</p> <p>Electronic versions of evaluation reports and products are often posted on websites or distributed by e-mail. They should be accompanied by a one-paragraph description that generates interest and facilitates the visibility and announcement of the publication.</p>
<b>Lay summaries</b>	This is a five-page non-technical summary of the executive summary. It increases general interest in the results but does not overwhelm the reader with a long document. It is useful for reaching groups for whom the report may not be accessible due to technical language, etc.



Knowledge product	Benefits
<b>Internet and information technology</b>	Internet, intranet, e-mail, and virtual forums: an online dissemination strategy also includes an e-mail announcement with links to the full publication on UN Women website and website announcement with link to full publication. Creating a shorter targeted e-mail announcement of new publication generates interest without overwhelming the recipient with information.
<b>PowerPoint presentation for webinars and other meetings</b>	Developing a PowerPoint presentation that can supplement oral presentation of evaluation results at webinars, meetings and workshops. In many cases oral presentations are the best option to communicate evaluation results; especially to communicate to those key stakeholders that we assume will not have time to read the full evaluation report.
<b>Graphic novels and storytelling</b>	Evaluation results can also be communicated through innovative formats such as graphic novels, cartoons or through drama or live storytelling. These may be a more effective way of disseminating results for some stakeholders.
<b>Audiovisual and social media</b>	Evaluation reports and knowledge products do not always need to be communicated in written form. It is encouraged to make use of audiovisual technology to produce videos, short movies, songs, computer animation, etc. to communicate the findings. These may be particularly useful to reach stakeholders with low literacy levels. With the multiple options that the social media provides, it is also important to make a good use of the different tools available, e.g. UN Women Facebook page, Twitter, evaluation wikis, evaluation weblogs, etc.





## Tool 15D.

### Common dissemination forums for evaluation results

The list below provides some common internal and external forums through which UN Women staff can disseminate evaluation results. This list is not exhaustive and you are encouraged to seize other opportunities for disseminating results, particularly to ensure that women and other marginalized groups have access to the information.

#### Internal forums

1. Intranet/sharepoint
2. M&E regional listservs
3. Section, unit, office, and division newsletters
4. Workshops and trainings
5. Webinars

#### External forums

1. UN Women public website and social media
2. UN Women regional public websites
3. UN Women [Global Accountability and Tracking of Evaluation Use \(GATE\)](#) website
4. UNEG website
5. UN evaluation listservs (UNEVALNET, etc.)
6. Relevant contacts in UN agencies (evaluation offices and departments, thematic and regional units, etc.)
7. Evaluation associations (EvalPartners, EvalGender+, IDEAS, IOCE, regional/country evaluation associations)
8. Evaluation listservs and knowledge networks (M&E News, NONIE, XEVAL, etc.)
9. Relevant regional and country listservs, websites and knowledge networks
10. Listservs, forums and knowledge networks frequented by women's advocates, organizations and networks
11. Relevant thematic websites and knowledge networks
12. Media events, interviews, press articles and campaigns (15+ Beijing, etc.)
13. Global and regional conferences (CSW, etc.)
14. Trainings
15. Global, regional and national planning meetings
16. Information packages and materials sent to donors, etc.
17. Annual report
18. Meetings with beneficiaries, communities and groups
19. Stakeholder seminars or workshops specifically planned to disseminate and discuss results



## Tool 16.

### Management response template

Management responses should be prepared for each and every UN Women evaluation, including joint evaluations in which UN Women participated. In the case of joint and country-led evaluations, management responses may either follow the UN Women format or the one suggested by partners. UN Women is accountable for developing a management response for recommendations directed to UN Women, as well as for facilitating and supporting partners in developing their own response. For recommendations directed to the UN country team—i.e., in UNDAF evaluations—UN Women should facilitate, in cooperation with UN country team members, a joint management response.

This template can be used for both UN Women and joint evaluations as a tool for sharing with stakeholders in order to reach agreement prior to entering into the [GATE](#) system. The management response must be approved in the [GATE](#) system within six weeks of finalization of the evaluation report.

## Tool 16. Management response template

### OVERALL COMMENTS

[This section provides an opportunity to highlight lessons from the evaluation experience and reactions to findings that are not directly addressed by key recommendations and/or any other points that should be recorded.]

RECOMMENDATION 1 [Copy from evaluation report]				
MANAGEMENT RESPONSE [The management response specifies the reaction to the recommendation and highlights key issues raised and steps UN Women will take.]			SELECT ONE OF THE BELOW Accepted, partially accepted or rejected	
KEY ACTION [Indicates the concrete measures or actions to be taken including the key partners to be involved in carrying out the actions.]	TIME FRAME	RESPONSIBLE PARTY FOR IMPLEMENTATION [Where the implementation of a key action depends upon other factors such as policy changes or further donor funding, this should be made clear in the comments section.]	STATUS [Initiated, not initiated, completed, no longer applicable (requires justification in comments section); to be updated on quarterly basis]	COMMENTS [A justification must be provided if “no longer applicable” was selected; any other pertinent information regarding the plan for implementation or budget should be noted here]
1.				
2.				
3.				
4.				



**Tool 16. Management response template**

RECOMMENDATION 2 [Copy from evaluation report]				
MANAGEMENT RESPONSE			SELECT ONE OF THE BELOW Accepted, partially accepted or rejected	
KEY ACTION	TIME FRAME	RESPONSIBLE PARTY FOR IMPLEMENTATION	STATUS	COMMENTS
1.				
2.				
3.				
4.				
[ADD MORE BOXES AS NECESSARY]				



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<http://www.unwomen.org/en/about-us/evaluation>

We encourage you to email us with your  
feedback: [ieo@unwomen.org](mailto:ieo@unwomen.org)

HOW IS GENDER-  
RESPONSIVE  
EVALUATION  
DIFFERENT  
FROM OTHER  
EVALUATION?

HOW CAN  
EVALUATION BE  
A DRIVER FOR  
CHANGE TOWARDS  
GENDER EQUALITY  
AND WOMEN'S  
EMPOWERMENT?

WHAT DO I NEED  
TO KNOW TO  
MANAGE OR  
CONDUCT AN  
EVALUATION AT  
UN WOMEN?

If you are interested in these questions – this evaluation handbook is right for you. Gender-responsive evaluation is a tool for moving towards the achievement of gender equality and empowerment of women. This is a practical handbook to help those initiating, managing and/or using gender-responsive evaluations by providing direction, advice and tools for every step in the evaluation process from a gender perspective. The primary audience is UN Women staff who manage evaluations or are involved in evaluation processes. However, it may also be useful to international development evaluators and professionals, particularly those working on gender equality, women's empowerment and human rights.