

# Guidelines for Evaluation Terms of Reference

These guidelines assist Project Managers in the preparation of Terms of Reference (ToR), i.e. the “contract” between UNODC and the Evaluator(s), in the aim of improving quality of evaluation in UNODC. The guidelines below should be read together with the Evaluation Policy and Evaluation Handbook and must be tailored to the needs of each project or programme..

For Independent Project Evaluations, Project Managers are in charge of drafting the ToR, in cooperation with relevant Units and Sections at Headquarters and in Field Office. The ToR must be shared with all key stakeholders, i.e. “Core Learning Partners/Partnership” (CLP). The Independent Evaluation Unit (IEU) provides mandatory normative tools, guidelines and templates to be used in the evaluation process. Please find the respective tools, the Evaluation Handbook as well as information on the roles and responsibilities on the IEU web site: <http://www.unodc.org/unodc/en/evaluation/evaluation.html>

The following sections need to be addressed in the ToR:

1. Background and context
2. Disbursement history
3. Purpose of the evaluation
4. Scope of the evaluation
5. Evaluation criteria and key evaluation questions
6. Evaluation methodology
7. Timeframe and deliverables
8. Evaluation team composition
9. Management of evaluation process
10. Payment modalities
11. Annexes:
  1. Job descriptions of evaluators
  2. List of background documents for the desk review
  3. List of CLP members
  4. UNODC standard format and guidelines for evaluation reports

## 1. BACKGROUND AND CONTEXT

This section includes:

- (a) The below tables which provide an overview of the project and its evaluation.

Project number:	
Project title:	
Duration:	
Location:	
Linkages to Country Programme	
Linkages to Regional Programme	
Linkages to Thematic Programme	
Executing Agency:	
Partner Organizations:	
Total Approved Budget:	
Donors:	
Project Manager/Coordinator:	

Type of evaluation (mid-term or final):	
Time period covered by the evaluation:	
Geographical coverage of the evaluation:	
Core Learning Partners <sup>1</sup> (entities)	

<sup>1</sup> The **Core Learning Partnership (CLP)** encourages a participatory evaluation approach by allowing its members to participate in and provide feedback on key steps of the evaluation process. CLP members are the key stakeholders of the subject evaluated (project, programme, policy etc.) who have an interest in the evaluation. The CLP works closely with the Evaluation Manager to guide the evaluation process. The list of CLP members is to be found in Annex.

- (b) Project overview and historical context in which the project is implemented;
- (c) Justification of the project and main experiences / challenges during implementation, if any;
- (d) Project documents and revisions of the original project document;
- (e) UNODC strategy context, including project's main objectives and outcomes and project's contribution to UNODC country, regional or thematic programme;
- (f) Project's main objectives and outcomes and project's contribution to UNODC country, regional or thematic programme;
- (g) Reference should be made to the background information list (Annex 1), which encompasses materials to be used by the evaluator for the desk review. Of particular importance, is to include information on previous audits, evaluations and donors' assessments.

Please limit the text of this section to no more than 3 pages.

## 2. DISBURSEMENT HISTORY

This section includes the following table:

Overall Budget (time period)	Total Approved Budget (time period)	Expenditure (time period)	Expenditure in % (time period)

## 3. PURPOSE OF THE EVALUATION

This section identifies the purpose of the evaluation by answering the below questions.

- (a) Who commissioned the evaluation?

**TIP** The evaluation might have been foreseen in the project document, decided on by UNODC senior management, requested by donors or identified for strategic reasons by IEU.

- (b) Why is the evaluation being undertaken at this point?

**TIP** To present at the CND or at an annual donor meeting.

- (c) What does the evaluation seek to accomplish?

**TIP** To learn lessons for a possible extension of project; to provide accountability to donors by determining whether project objectives were met and resources were wisely utilized; to identify areas of improvement in a project; to highlight and resolve disagreements; to clarify and tackle problems; to get feedback, appraisal and recognition; to attract resources toward a project.

(d) What decisions may the evaluation guide you to?

**TIP** To set different priorities and goals; to suggest new strategic directions; to decide whether to extend the duration of a project; to decide whether the project feeds into a regional programme.

(e) Who are the main evaluation users and how will they be involved?

**TIP** CND Member States; the beneficiary Government, the Project Manager; the donors etc.

#### 4. SCOPE OF THE EVALUATION

In clarifying the scope of the evaluation, the following points should first be determined:

(a) The unit of analysis to be covered by the evaluation

**TIP** A project, a cluster of related projects, a programme, a subcomponent, or a process within a project.

(b) The time period to be covered by the evaluation

**TIP** The period 2010-2013.

(c) The geographical coverage of the evaluation. Please state the rationale of your selection

**TIP** Global, regional, sub regional or national.

#### 5. EVALUATION CRITERIA AND KEY EVALUATION QUESTIONS

This section identifies the key evaluation questions to be answered by the evaluation, along with their related evaluation criteria. The questions need to address the DAC evaluation criteria (relevance, efficiency, effectiveness, impact and sustainability) and the criteria of partnerships and cooperation. Additional criteria may also be used to customize evaluations and adapt to the specific needs of the project, e.g. design and innovation.

Please note that standard questions need to be tailored to the particular project and to the specific context; they should not simply be copied and pasted.

**TIP** Standard evaluation questions:

Relevance

- How relevant is the project to target groups', including Governments', needs and priorities?

Efficiency

- Were the resources and inputs converted to outputs in a timely and cost-effective manner?

### Partnerships and cooperation

- To what extent have partnerships been sought and established (including UN agencies) and synergies been created in the delivery of assistance?

### Effectiveness

- Were the planned objectives and outcomes in the project document achieved?

### Impact

- Has the project contributed or is likely to contribute to long-term social, economic, technical, environmental changes for individuals, communities, and institutions related to the project?

### Sustainability

- To what extent are the project results (impact if any, and outcomes) likely to continue after the project?

## **6. EVALUATION METHODOLOGY**

This section includes:

- (a) The methods used to collect and analyse data on which the quality of the evaluation is dependent on.

**TIP** Desk review, questionnaires, surveys, structured interviews, discussions, workshops, field office visits, observations, retrospective baseline construction etc. If applicable, gender sensitive methods should also be considered.

- (b) The sources of data

**TIP** Primary or secondary sources.

- (c) Possible reference to an evaluation methodology summarized in an evaluation matrix by the evaluator.

## **7. TIMEFRAME AND DELIVERABLES**

This section includes:

- (a) When the evaluation takes place
- (b) When the field missions of the evaluation are planned for
- (c) What the expected deliverables and respective timeframes are

**TIP**  
Expected Deliverables

The Lead Evaluator will have the overall responsibility for the quality and timely submission of all deliverables, as specified below:

- Inception Report, containing a refined work plan, methodology and evaluation tools.
- Draft Evaluation Report in line with UNODC evaluation policy and guidelines.
- Final Evaluation Report, including annex with management response
- Presentation of evaluation findings and recommendations to CLP and other key stakeholders

## 8. EVALUATION TEAM COMPOSITION

This section includes:

- (d) The number of evaluators needed;
- (e) The role of IEU;
- (f) A standard sentence addressing conflict of interest;
- (g) Reference to the specific job descriptions detailing qualifications and responsibilities.

It should be kept in mind that:

- (h) It is recommended that evaluations be conducted by an evaluation team with a lead evaluator with expertise in evaluation and a supporting consultant with expertise in the subject area of the project to be evaluated. The evaluation team should be gender balanced and take into consideration local customs and religious beliefs; Preference should be given to evaluation teams that are gender balanced.
- (i) Large evaluation teams should be multicultural with appropriate gender balance and geographical representation.
- (j) The evaluators will not act as representatives of any party and must remain independent and impartial.

**TIP** Members of the evaluation team must not have been involved in the design and/or implementation, supervision and coordination of and/or have benefited from the project under evaluation.

The consultants are contracted by UNODC. The qualifications and responsibilities for each team member are specified in the respective job descriptions attached to these Terms of Reference (Annex 1).

## 9. MANAGEMENT OF EVALUATION PROCESS

This section includes:

- (a) Roles and responsibilities of the evaluation stakeholders, including responsibilities of the field offices and units and sections at headquarters (where appropriate);

- (b) Logistical support responsibilities, such as arrangements for transportation, translation, office space etc.
- (c) Reference to any agreements with other relevant stakeholders where relevant (for example, in the case of a joint evaluation).

Please see “Roles and responsibilities” matrix.

## TIP

### Management Arrangements

The independent evaluation will be carried out following UNODC’s evaluation policy and UNEG Norms and Standards.

## TIP

### Project Manager

Management is responsible for drafting and finalizing the ToR, selecting Core Learning Partners and informing them of their role, recruiting evaluators, providing desk review materials to the evaluation team, reviewing the inception report as well as the evaluation methodology, liaising with the Core Learning Partners, reviewing the draft report, assessing the quality of the final report by using the Quality Checklist for Evaluation Reports, as well as developing an implementation plan for the evaluation recommendations.

Management will be in charge of providing logistical support to the evaluation team including arranging the field missions of the evaluation team. For the field missions, the evaluation team liaises with the UNODC Regional/Field Offices and mentors as appropriate.

## TIP

### The Independent Evaluation Unit

The Independent Evaluation Unit (IEU) provides mandatory normative tools, guidelines and templates to be used in the evaluation process. Please find the respective tools on the IEU web site <http://www.unodc.org/unodc/en/evaluation/evaluation.html>

## TIP

### Core Learning Partners

Members of the Core Learning Partnership (CLP) are selected by the project managers. Members of the CLP are selected from the key stakeholder groups, including UNODC management, mentors, beneficiaries, partner organizations and donor Member States. The CLPs are asked to comment on key steps of the evaluation and act as facilitators with respect to the dissemination and application of the results and other follow-up action.

## TIP

### Evaluation Team

### Roles and Responsibilities of the Lead Evaluator

- carry out the desk review;
- develop the inception report, including sample size and sampling technique;
- draft and finalize the inception report and evaluation methodology, incorporating relevant comments;
- lead and coordinate the evaluation process and the oversee the tasks of the evaluators;
- implement quantitative tools and analyze data
- triangulate data and test rival explanations
- ensure that all aspects of the terms of reference are fulfilled;
- draft an evaluation report in line with UNODC evaluation policy;
- finalize the evaluation report on the basis of comments received;
- include a management response in the final report
- present the findings and recommendations of the evaluation at the donor briefing at the time of its annual mentors' meeting

### Roles and Responsibilities of the Evaluator(s)

- assist the Lead Evaluator in all stages of the evaluation process, as per the respective TOR.
- participate in selected missions
- provide methodological evaluation quality assurance throughout the evaluation process
- comment on all deliverables of the evaluation team
- assist the Lead Evaluator in all stages of the evaluation process
- join some of the planned missions and apply methodological tools

More details will be provided in the respective job descriptions in Annex 1.

## 10. PAYMENT MODALITIES

Consultants will be issued consultancy contracts and paid in accordance with UNODC rules and regulations. The contract is a legally binding document in which the consultant agrees to complete the deliverables by the set deadlines. There is no template or formula to calculate the number of days needed. It is however the responsibility of the requesting office to carefully consider and determine the estimated number of days that the consultant would need, to be able to produce quality work and fully complete all the expected deliverables on time. It is particularly essential that sufficient time is planned for the drafting and finalizing of the report, including the process of consultation and incorporation of comments and changes. A minimum of 30 days may be recommended, but it is understood that the number of days may vary depending on the complexity and scope of the project. Payment is correlated to deliverables and three installments are typically planned for: upon delivery of the Inception Report, of the Draft Evaluation Report and of the Final Evaluation Report, including the final presentation.

### TIP

75 percent of the daily subsistence allowance and terminals is paid in advance, before travelling. The balance is paid after the travel has taken place, upon presentation of boarding passes and the completed travel claim forms.



The consultant is paid in accordance with United Nations rules and procedures. Payment correlates to deliverables – three installments are foreseen (25%, 25% and 50% of total fees).

- The first payment (25 per cent of the consultancy fee) upon receipt of the Inception Report;
- The second payment (25 per cent of the consultancy fee) upon receipt of the Draft Evaluation Report;
- The third and final payment (50 percent of the consultancy fee, i.e. the remainder of the fee) only after completion of the respective tasks, receipt of the final report and clearance by UNODC.

## **11. ANNEXES**

**Annex 1. Job descriptions of evaluators**

**Annex 2. List of background documents for the desk review**

**Annex 3. List of CLP Members (names and titles)**

**Annex 4. UNODC standard format and guidelines for evaluation reports**

## **Annex 1: Job descriptions**

### **Independent Project Evaluation of the UNODC project:**

#### **Job description for the International Evaluation Consultant**

<b>Post title</b>	International Evaluation Consultant and Team Leader
<b>Estimated duration</b>	over a period of X months
<b>Starting date required</b>	XXX
<b>Duty station</b>	Home base; missions to Countries/Cities

#### **Duties of the International Evaluation Consultant:**

The International Evaluation Consultant will collaborate with the National Evaluation Consultant on the Independent Project Evaluation of the UNODC project XXX. On the basis of the Terms of Reference s/he will carry out the following duties:

<b>Duties</b>	<b>Location</b>	<b>Results</b>
Desk study	Home base	List of evaluation questions Evaluation tools Draft inception report
Interviews with staff at UNODC HQ	UNODC HQ	Inception report
Evaluation mission: briefing, interviews and presentation of preliminary findings	Countries/Cities	Notes
Presentation of preliminary findings at UNODC HQ	UNODC HQ	Notes
Drafting of the evaluation report; submission to stakeholders for comments; incorporation of comments and finalization of report	Home base	Draft report Final Report

#### **Required qualifications:**

The consultant should demonstrate:

- extensive knowledge of, and experience in applying, qualitative and quantitative evaluation methods;
- a strong record in designing and leading evaluations;
- technical competence in the area of evaluation (advanced university degree or practical experience);
- excellent communication and drafting skills; proven by previous evaluation reports

#### **Languages:**

The consultant must have excellent English writing skills. Knowledge of another language relevant to the evaluation might be an advantage.

#### **Absence of Conflict of Interest:**

According to UNODC rules, the consultant must not have been involved in the design and/or implementation, supervision and coordination of and/or have benefited from the programme/project or theme under evaluation.

**Ethics**

The evaluators shall respect the UNEG Ethical Guidelines

# Independent evaluation of the UNODC project:

## Job description for the National Evaluation Consultant 1

<b>Post title</b>	National Evaluation Consultant
<b>Estimated duration</b>	over a period of X months
<b>Starting date required</b>	XX
<b>Duty station</b>	Home base; Countries/Cities

### Duties of the National Evaluation Consultant:

The National Evaluation Consultant will collaborate with the International Evaluation Consultant on the independent evaluation of the UNODC project XXX. On the basis of the Terms of Reference s/he will carry out the following duties:

Duties	Location	Results
Desk study of project documents, reports, etc and collection of additional information as required	Home base	List of evaluation questions and tools developed Draft inception report
Establishment of the mission's programme; Interview guidelines in collaboration with the international consultant		
Evaluation mission: briefing and interviews	Countries/Cities	Notes
Drafting of chapters of the evaluation report in collaboration with the international consultant	Home base	Draft report

### Qualifications:

The consultant should demonstrate:

- knowledge of, and experience in applying, evaluation methods;
- technical competence in the area of evaluation;
- knowledge of the UN environment and possibly of UNODC;
- proven experience in gender analysis and gender evaluation methodologies (at least one team member);
- Language skills: English proficiency and knowledge of another language relevant to the evaluation might be an asset;
- Field experience

### Languages:

The consultant must be fluent in XXX

### Absence of Conflict of Interest:

According to UNODC rules, the consultant must not have been involved in the design and/or implementation, supervision and coordination of and/or have benefited from the programme/project or theme under evaluation.

### Ethics

The evaluators shall respect the UNEG Ethical Guidelines.