HOW TO MANAGE GENDER-RESPONSIVE EVALUATIONS:

EVALUATION HANDBOOK

FOREWORD

In 2015, the United Nations Entity for Gender Equality and the Empowerment of Women (UN Women) issued its first evaluation handbook on How to Manage Gender-Responsive Evaluations. The evaluation handbook and evaluation professionalization programme (developed in collaboration with Human Resources and the UN Women Training Centre) have been key components of efforts to professionalize the evaluation function within UN Women.

Gender-responsive evaluation remains a priority area for UN Women in 2022 and serves three key purposes: first, to demonstrate accountability to stakeholders; second, to provide credible and reliable evidence for decision-making; and third, to contribute important lessons learned about normative, operational and coordination work.

With the aim of continuing to strengthen and support the evaluation function, the UN Women Independent Evaluation Service (IES) has developed an updated version of the evaluation handbook.[1] The primary audience for the handbook remains UN Women personnel who are involved with and manage evaluations. The updated handbook includes a number of new evaluation resources that may also be useful for the wider developmental evaluation field.

Users of the previous handbook will find a familiar overall structure, which follows the evaluation process through planning, preparation, conduct, reporting, evaluation use and follow-up. For each stage, the handbook has been updated to align with the current UN Women Evaluation Policy and coverage norms, as well as IES structure, governance and processes.

In addition to providing up-to-date links to all guidance documents and references (including the 2020 United Nations Evaluation Group [UNEG] ethical guidance for evaluations, disability inclusion and IES data management guidance for evaluations), the handbook includes references to a rich set of new IES knowledge products, including Good Practices in Gender-Responsive Evaluation, Humanitarian Rapid Assessment Tool, Inclusive Systemic Evaluation for Gender Equality, Environments and Marginalized Voices Guide (ISE4GEMs), Guidance Note on Evaluating Impact in Gender Equality and Women's Empowerment and the Pocket Tool for managing evaluation during the COVID-19 pandemic. The handbook also reflects recommendations on how to improve evaluations from recent IES Global Evaluation Reports Assessment and Analysis System (GERAAS) reports.

The ongoing COVID-19 crisis threatens to reverse important gains in gender equality and the need for robust gender-responsive evaluations and good evidence on what works, why and for whom has never been stronger. We hope that users of the handbook will find the new updates helpful and relevant in undertaking high-quality evaluations that feed into important policy, programmatic and strategic issues for gender equality and women's empowerment.

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1 This evaluation handbook is an updated version of the UN Women Evaluation Handbook on How to Manage Gender-Responsive Evaluations, 2015.

ACRONYMS AND ABBREVIATIONS

AWP	Annual Work Plan
GATE	Global Accountability and Tracking of Evaluation Use
GEOS	Global Evaluation Oversight System
GERAAS	Global Evaluation Reports Assessment and Analysis System
IEAS	Independent Evaluation and Audit Services
IES	Independent Evaluation Service
KPI	Key Performance Indicator
M&E	Monitoring and Evaluation
MERP	Monitoring, Evaluation and Research Plan
RBM	Results-Based Management
SMART	Specific, Measurable, Achievable, Relevant and Timebound
ToR	Terms of Reference
UNEG	United Nations Evaluation Group
UNSDCF	United Nations Sustainable Development Cooperation Framework
UN Women	United Nations Entity for Gender Equality and the Empowerment of Women

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The best way to navigate this guide is as a PDF. There are navigation menus on each page, and interactive buttons that enable readers to quickly navigate the different sections:

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.

Introduction to gender-responsive evaluation

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

UN Women's work 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 outlines governments' commitments to enhance women's rights.

The spirit of these agreements has been affirmed by the Sustainable Development Goals; UN Security Council resolutions on women, peace and security and on sexual violence in conflict;[2] 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 UN System-Wide Action Plan (UN-SWAP) on gender equality and the empowerment of women.

Evaluation in UN Women is guided by these normative agreements to be gender-responsive and uses 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.

As part of organizational change, UN Women's internal audit and evaluation functions were co-located under one oversight service umbrella with evaluation forming part of UN Women's wider work on oversight via the Independent Evaluation and Audit Services (IEAS).[3]

The UN Women Evaluation Policy and the UN Women Evaluation Strategy are the main guiding documents that set out the Entity's principles and organizational framework for evaluation planning, conduct and follow-up. These principles are aligned with the United Nations Evaluation Group (UNEG) Norms and Standards for Evaluation in the UN System,[4] Ethical Guidelines,[5] Evaluation Guidance[6] and Guidance on Evaluating Institutional Gender Mainstreaming.[7]

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2 The UN Security Council has adopted seven additional resolutions on women, peace and security: 1820 (2008), 1888 (2009), 1889 (2009), 1960 (2010), 2106 (2013), 2122 (2013), 2242 (2015), 2467 (2019) and 2493 (2019).

3 The IEAS Charter governs the IEAS mandate, responsibilities and activities: https://www.unwomen.org/-/media/headquarters/attachments/sections/about%20us/accountability/un-women-charter-of-indepedent-evaluation-and-audit-services-en.pdf?la=en&vs=4942

4 UNEG (United Nations Evaluation Group). 2016. UNEG Norms and Standards. New York: UNEG. Available at: http://www.unevaluation.org/document/detail/1914.

5 UNEG (United Nations Evaluation Group). 2020. UNEG Ethical Guidelines. New York: UNEG Available at: http://www.unevaluation.org/document/download/3625

6 UNEG (United Nations Evaluation Group). 2014. Integrating Human Rights and Gender Equality in Evaluations. New York: UNEG. Available at: http://www.unevaluation.org/document/detail/1616.

7 UNEG (United Nations Evaluation Group). 2018. Guidance on Evaluating Institutional Gender Mainstreaming. Available at: http://www.uneval.org/document/detail/2133.

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 to promote coordination and coherence on gender equality and the empowerment of women.

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 independent of other management functions to ensure 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 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 Pledge of Commitment to Ethical Conduct in 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 and Standards for Evaluation define evaluation as "an assessment, conducted as systematically and impartially as possible, of an activity, project, programme, strategy, policy, topic, theme, sector, operational area or institutional performance. It analyses the level of achievement of both expected and unexpected results by examining the results chain, processes, contextual factors and causality using appropriate criteria such as relevance, effectiveness, efficiency, impact and sustainability. An evaluation should provide credible, useful evidence-based information that enables the timely incorporation of its findings, recommendations and lessons into the decision-making processes of organizations and stakeholders."[8]

UN Women subscribes to the UNEG definition of evaluation but directly incorporates principles of gender equality, women's rights and the empowerment of women, i.e. 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 for 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.

Therefore, an evaluation is not only a driver of positive change in term of gender equality and the empowerment of women, but the process itself also empowers the stakeholders involved and can prevent further discrimination and exclusion.

UN Women subscribes to the UNEG guidance on Integrating Human Rights and Gender Equality In Evaluations[9] and promotes non-discrimination and the meaningful participation of all stakeholder groups, with particular focus on women and individuals/groups who are marginalized and/or discriminated against. This is most often due to race, gender, class, caste, ethnicity, age, disability, sexual orientation, etc. Individuals/groups often experience multiple forms of discrimination.

What makes an evaluation gender-responsive?

Gender-responsive evaluation has two essential elements: what the evaluation examines and how it is undertaken. A gender-responsive evaluation 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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8 UNEG (United Nations Evaluation Group). 2016. UNEG Norms and Standards. New York: UNEG. Available at: http://www.unevaluation.org/document/detail/1914.

9 UNEG (United Nations Evaluation Group). 2014. Integrating Human Rights and Gender Equality in Evaluations. New York: UNEG. Available at: http://www.unevaluation.org/document/detail/1616.

Gender-responsive evaluation promotes accountability for gender equality, human rights and women's empowerment commitments by providing information about the way in which development programmes affect women and men differently and contribute to achievement of these commitments. Gender-responsive evaluation is applicable to all types of development programming, not only gender-specific work. Gender-responsive evaluation can also help to 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 an evaluation can help individuals and groups: (a) feel empowered through participation in the evaluation process and in the communication of its results; (b) develop the capabilities to participate in broader processes of social change; and (c) equip them with the knowledge to challenge existing development strategies. Gender-responsive evaluation can contribute to the development of social cohesion and collaboration through relationships and communication among participants, programme managers, evaluators and other stakeholders.

C. Strategic intent of gender-responsive evaluation

The strategic intent of evaluation 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. Evaluation aims to improve institutional relevance and the achievement of results; optimize the use of resources and support accountability; and maximize the impact of the Entity's contribution to gender equality and the empowerment of women. Evaluation is also an important contributor to building knowledge and organizational learning.

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

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

2. It provides credible and reliable **evidence for decision-making** by providing: (a) information about programme design, implementation and resource allocation; and (b) knowledge on participants and stakeholders' needs, programme functioning and programme effects.

3. It contributes important **lessons learned** about normative, operational and coordination work in gender equality and the empowerment of women – including what is working well, what is not and what this means for the programme and other development efforts.

UN Women evaluations provide evidence of the processes employed at global, regional and country levels and results achieved at output, outcome and impact levels; illuminate the implicit connections in UN Women's unique role 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 (RBM)

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 their achievement while also ensuring evidence for decision-making, learning and accountability. The UN Women Strategic Plan reaffirms RBM as an organizational priority and stresses the need for further advancement of RBM systems.[10]

UN Women aligns its RBM framework with the United Nations Development Group RBM Handbook, where the key principles of RBM are: (a) accountability; (b) national ownership; and (c) 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 (see 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 about what the programme is designed to achieve; measure progress and the attainment of results; and learn from programme experiences. Evaluation is an important tool for managers in their RBM responsibilities.

The planning stage of RBM entails use of the UN Women development results framework[11] (based ideally on an explicit theory of change[12] 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 to achieve it and indicators for measuring achievement. It is used as a key tool for assessing a programme's contribution to results.

Figure 1. Steps in the results-based management cycle

Planning

STAKEHOLDER ENGAGEMENT

Evaluation

Monitoring/ reporting

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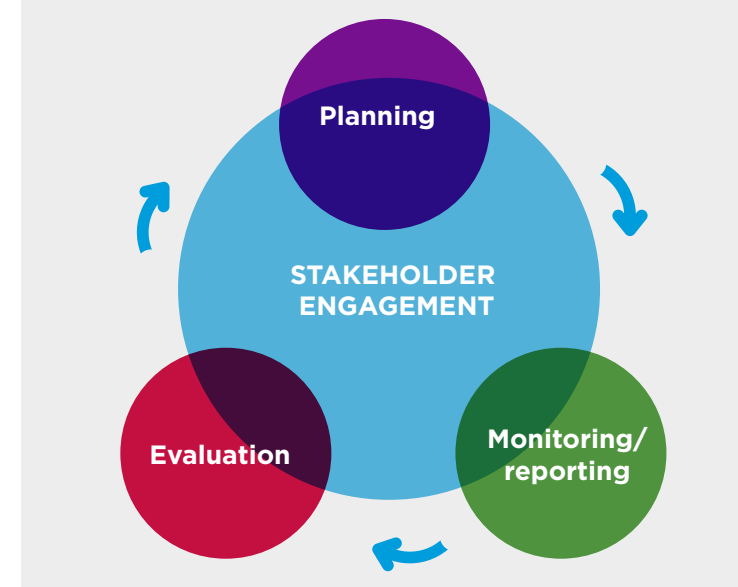
10   UN Women Strategic Plan 2018-2021 available at: https://www.unwomen.org/en/digital-library/publications/2017/8/un-women-strategic-plan-2018-2021

11   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.

12   A 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.

Figure 2. Programmatic causal chain

INPUTS ▸ ACTIVITIES ▸ OUTPUTS ▸ OUTCOMES ▸ IMPACT
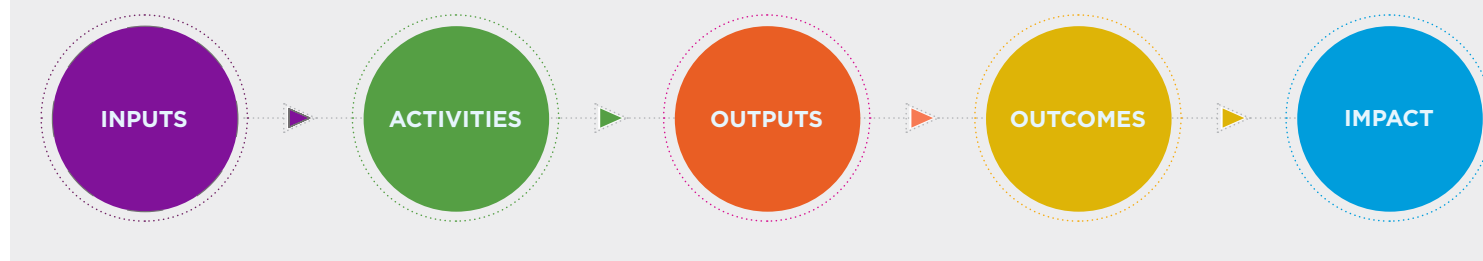
Results include outputs, outcomes and impacts. These are articulations of what is hoped to be achieved in furthering human rights, gender equality and women's empowerment through the UN Women programme of work.[13]

↘ **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 the skills 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 in the control of UN Women. They are achieved with the resources provided and within the time period specified.

↘ **Outcomes** represent change in institutional and behavioural 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 outcomes; therefore, the majority of UN Women programmes and projects identify intermediate and longer-term outcomes.

↘ **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 might be economic, socio-cultural, institutional, environmental, technological or other types. Positive impacts should have some relationship to the 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 throughout programme implementation (evaluation types will be discussed in Chapter 3). Lessons learned through evaluations are instrumental to the RBM process in helping 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.

13 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 at: http://issuu.com/undevelopmentgroup/docs/undg-rbm-handbook/11?e=0.

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, e.g. audit, reviews, social research and knowledge management.

- **Audit** focuses mainly on compliance with the Entity's rules, regulations and risk management, while evaluation focuses on development results and enhancing understanding of what works or doesn't work, why and how.

- **Monitoring** is the ongoing systematic collection of data by programme managers to help UN Women and its partners track progress against expected results and indicators, and 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 not to be as methodologically rigorous and 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 this 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, e.g. 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
Definition	Systematic tracking of progress against planned goals and indicators	Systematic and objective assessment of expected and achieved results. It aims to determine the relevance, impact, effectiveness, efficiency, gender and human rights responsiveness, and sustainability of interventions
Purpose	For learning, decision-making and accountability	For learning, decision-making and accountability
Who conducts	Programme manager or implementing partner	• Independent or external consultant • UN Women office managing programme of interest (for self-evaluation) • IES
Timing	Ongoing throughout the programme	Specific points in the programme life cycle: baseline, mid-term, end of programme, or years after the end of programme (to measure impact)
Type and source of information	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
Types of analyses	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 to outcomes and impact Different frameworks for analysis Ultimately makes a judgment
Use	Can lead to changes in programme plans	**Can lead to:** • Changes in programme plan / Organizational change • Resource allocations • Innovation

CHAPTER 1 INFO PAGE

- Sustainable Development Goals: https://sdgs.un.org/goals

- 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)

- 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/undevelopmentgroup/docs/undg-rbm-handbook

UNEG: http://www.unevaluation.org/

- UNEG Norms and Standards: http://www.unevaluation.org/document/detail/1914

- UNEG Ethical Guidelines: http://www.unevaluation.org/document/download/3625

- UNEG Integrating human rights and gender equality in evaluations: http://www.unevaluation.org/document/detail/1616.

- UNEG Guidance on Evaluating Institutional Gender Mainstreaming: http://www.uneval.org/document/detail/2133

UN WOMEN: http://www.unwomen.org/en/digital-library

- UN Women Evaluation Policy

- UN Women intranet: https://unwomen.sharepoint.com/

- UN Security Council resolutions on women, peace and security and on sexual violence in conflict: 1820 (2008), 1888 (2009), 1889 (2009), 1960 (2010), 2106 (2013), 2122 (2013), 2242 (2015), 2467 (2019), and 2493 (2019).

CHAPTER 2

GENDER-RESPONSIVE EVALUATION IN UN WOMEN

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

A. UN Women evaluation governance, roles and responsibilities

The UN Women Evaluation Policy and Evaluation Strategic Plan identify the institutional structures governing evaluation and the respective roles and responsibilities for evaluation in UN Women. The UN Women Evaluation Strategic Plan is the main guiding document that outlines the Entity's organizational framework for evaluation planning, conduct and follow-up. All UN Women staff are responsible for adhering to the principles of the UN Women Evaluation Policy and promoting a culture of evaluation responsive to gender equality and women's rights, both within the Entity and in the wider UN system.

UN Women corporate and decentralized evaluations assess the operational, normative support and coordination work of the Entity through strategy/policy, organizational, thematic, regional, country and programme evaluation. Joint evaluation is also promoted.

As described in the IES evaluation coverage norms, there is a need to balance requirements for systematic and adequate evaluation coverage at the corporate level across the whole of UN Women's work, with a strategic selection of evaluations at the decentralized level. Table 2 is adapted from IES coverage norms and indicates minimum corporate expectations within which IES and commissioning units have the flexibility to prioritize topics, interventions and timing in line with their programmes of work and stakeholder needs.

UN Women undertakes independent and decentralized evaluations:

INDEPENDENT EVALUATIONS

Independent evaluations are corporate and strategic evaluations (such as country portfolio and regional evaluations), that are strategic independent assessments undertaken by IES with the support of external evaluators where necessary. Independent evaluations are used to assess issues of corporate and strategic significance concerning development effectiveness, organizational performance and normative and operational coherence.

DECENTRALIZED EVALUATIONS

Decentralized evaluations are conducted by independent external evaluators but managed by programmatic offices. They are conducted in consultation or in partnership with national stakeholders and UN agencies, to the extent possible. Decentralized evaluations are used to assess issues of significance at the programmatic level and play a crucial role in managing for results. They are key inputs for corporate evaluations and United Nations Sustainable Development Cooperation Framework (UNSDCF) evaluations.

Table 2. Evaluation coverage norms

EVALUATION	FREQUENCY	EVALUATION TEAM LEADER/ CO-MANAGER	QUALITY ASSURANCE	ACCOUNTABILITY for management response and use of evaluation results
Corporate evaluations	Themes under each Strategic Plan Outcome Area to be evaluated during the Strategic Plan period, in accordance with the global evaluation plan. Corporate evaluations also focus on organizational effectiveness and efficiency areas and programmatic approaches.	IES evaluation specialist	Chief, IES and Director, IEAS, external experts (Evaluation Advisory Panel)	Executive Director, Deputy Executive Directors, Division directors
Corporate evaluations (IES led)				
Country Portfolio Evaluation (CPE)	At least once every two Strategic Note cycles, sequenced to feed into the subsequent Strategic Note document and UNSDCF.	Regional evaluation specialist (in some cases evaluation specialist)	Chief, IES and Director, IEAS, external experts (Evaluation Advisory Panel)	Country Representative, Regional Director
Country Portfolio Evaluation (IES led)	At least once in a Strategic Note cycle if monitoring and audit information points to a significant shift in the programming context or a significant increase in the level of risk.			
Regional evaluations	Coverage and frequency determined in the context of development of the Regional Strategic Note	Regional evaluation specialist	Chief, IES and Director, IEAS, external experts (Evaluation Advisory Panel)	Country Representative, Regional Director, Division directors if relevant)
Regional evaluations (IES led)				
Country Office-level thematic evaluations and country portfolio evaluations co-managed by Country Office and regional evaluation specialist	Between two to four country thematic evaluations, Strategic Note component evaluation or project evaluation over a Strategic Note cycle.	Country Office M&E specialist/ staff member responsible for evaluation/regional evaluation specialist (co-managed CPEs)	Regional evaluation specialist	Country Representative Regional Director, Division director (if relevant)
Evaluability assessments, evaluation syntheses, meta-evaluations	Coverage and frequency determined by commissioning office	IES, regional evaluation specialist, Country Office M&E specialist	IES, regional evaluation specialist, Country Office M&E specialist	Division Director, Regional Director, Country Representative
Joint UN and system-wide evaluations, including UNSDCFs and joint programmes and Strategic Plan common chapter	Coverage and frequency determined by inter-agency mechanism	Determined by inter-agency mechanism	Determined by inter-agency mechanism and approved by Chief, IES and Director, IEAS	Heads of United Nations entities, governments, partners
Country-led evaluation	Coverage and frequency determined by partner governments	Determined by governments and partners	Determined by governments and partners	Determined by governments and partners

Below is a brief description of key roles within the governance hierarchy for the UN Women evaluation function.

- The **UN Women Executive Board** has ultimate decision-making power over the evaluation function at UN Women as it approves the UN Women Evaluation Policy. Other intergovernmental bodies, such as the Commission on the Status of Women, may consider findings, recommendations and lessons learned from UN Women evaluations 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.

- **IES** is the custodian of the UN Women evaluation function. It reports directly to the Executive Director to safeguard its independence from management and to conduct its work with impartiality. The Chief, IES is supported in implementation of the IES workplan by evaluation specialists, evaluation analysts, regional evaluation specialists and evaluation associates who report directly to the Chief; meet UNEG core competencies for evaluators; and abide by UNEG norms and standards, UNEG ethical guidelines and pledge of commitment to ethical conduct in evaluation. IES undertakes corporate evaluations with the support of external evaluators. IES 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.

- **Regional evaluation specialists** are IES staff deployed in Regional Offices. Regional evaluation specialists conduct and manage strategic decentralized evaluations at regional and country levels, enhancing the independence of the process. The regional evaluation specialists allow for a more symbiotic exchange between corporate and decentralized evaluation systems by supporting implementation of the UN Women Evaluation Policy and strategies in their respective regions through formulation of regional evaluation strategies and by supporting the quality assurance and capacity development of UN Women staff managing decentralized evaluations, UN-SDCF evaluations and other joint evaluation processes from a gender perspective.

- The **Advisory Committee on Oversight (ACO)** reviews and advises the Executive Director on: (a) the UN Women Evaluation Policy; (b) strategy, evaluation plan and annual workplan that relate to the UN Women Evaluation Policy adopted by the Executive Board; (c) relevant issues from evaluation reports with a view to highlighting these issues with management; (d) the quality assurance system for the evaluation function, including internal and external assessments; and (e) the status of implementation by management of evaluation recommendations. The ACO reports to the Executive Board on an annual basis.

2 Gender-responsive evaluation in UN Women

A. UN Women evaluation governance, roles and responsibilities ▶

B. UN Women quality assurance and accountability systems

- **Country Offices, Multi-Country Offices, Regional Offices, programme divisions and other headquarters divisions:** are responsible for the decentralized evaluation function. Each office assumes a distinct role and responsibility. Working with IES, 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 to ensure an effective and efficient evaluation function. They are responsible for: creating an enabling environment that strengthens evaluation culture in the area under their purview; putting in place the factors and resources necessary to ensure the evaluability of interventions, including quality design and monitoring, reporting and documentation systems; and 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 fulfilment 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 to promote compliance with the UN Women Evaluation Policy. They are **r**esponsible for keeping UN Women evaluation-related databases up-to-date (e.g. the Global Accountability and Tracking of Evaluation Use [GATE]).

  ↘ See Guidance for M&E focal points

- **Evaluation task managers** support the overall management of individual decentralized evaluation processes, including ensuring overall stakeholder participation. 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. Evaluation task managers should complete the eLearning course and liaise closely with the regional evaluation specialist.

B. UN Women quality assurance and accountability systems

IES 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. IES provides tools, support and technical assistance to offices managing evaluations to assist them in fulfilling their responsibilities. Regional or headquarters 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)

IES established a Global Evaluation Oversight System (GEOS) 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 function.
2. Human resources for monitoring and evaluation.
3. Evaluation coverage.
4. Evaluation implementation rate.
5. Quality of evaluation reports.
6. Management response submission to GATE.
7. Implementation of management response.
8. Use of evaluations.

IES reports on the KPIs on a biannual basis to UN Women's leadership and on an annual basis to the Executive Board.

Global Evaluation Reports Assessment and Analysis System (GERAAS)

To ensure good quality and credible evaluations, particularly at the decentralized level, in 2013 IES established the Global Evaluation Reports Assessment and Analysis System (GERAAS). Within the framework of the Global Evaluation Strategy, the GERAAS guidance and the Evaluation Quality Assessment (EQA) matrix have been revised to further enhance the quality and credibility of evaluations cognizant of UN Women's institutional maturity. The GERAAS guidance and Evaluation Quality Assessment are also aligned with the revised UNEG norms and standards (2016). The assessment and analysis system uses the UNEG evaluation report standards, the United Nations System-Wide Action Plan Evaluation Performance Indicator and the United Nations Disability Inclusion Strategy (UNDIS) Accountability Framework as a basis for review and assessment, while ensuring specific standards relevant to UN Women. These 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.

IES presents the findings of the GERAAS meta-evaluation and meta-analysis at the Annual Session of the Executive Board and to 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 relevant headquarters divisions, Regional Offices, Multi-Country Offices and Country Offices to improve the quality and utility of evaluations by highlighting strengths, good practices and areas that require improvement.

Quality assurance process for decentralized evaluations

IES 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 check-list (Table 3 and Tool 1) identifies 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 check-lists at the end of each chapter and links to tools that have been developed by IES and other external resources.

Figure 3. Key stages of an evaluation process

PLANNING ▶ PREPARATION ▶ CONDUCT ▶ REPORTING ▶ USE AND FOLLOW-UP
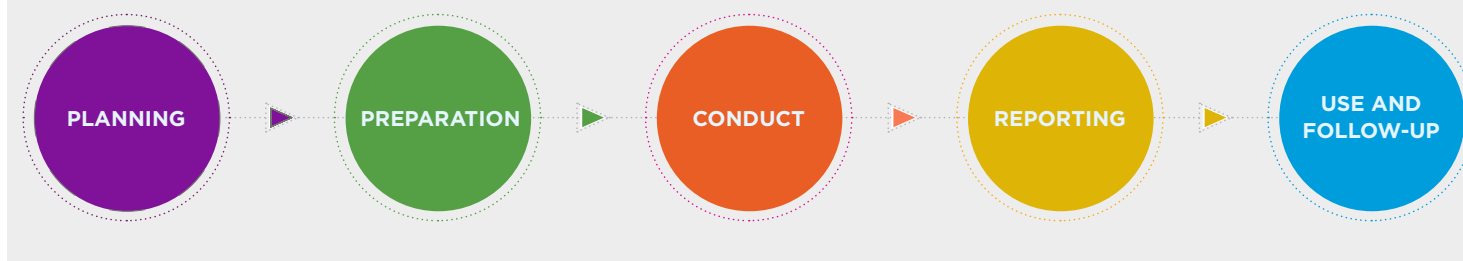
Table 3. Evaluation process standards for decentralized evaluations

Stage of the evaluation	Evaluation process to be complied	Status of compliance
Planning stage (Chapter 3)	**Monitoring, evaluation and research plans (MERPs)**	
	Has the M&E officer been consulted at the design stage of all programmes and projects to ensure adequate budget and planning for M&E activities throughout the programme life cycle?	Yes
		No
	Has the M&E officer or focal point supported the MERP process in consultation with the programme officers and senior managers concerned?	Yes
		No
	Was the draft plan sent to the regional evaluation specialist for review?	Yes
		No
	Did the Multi-Country Office or Country Office representative or Regional Director submit the MERP together with the Strategic Note and Annual Work Plan for peer review group review and approval?	Yes
		No
	Did the M&E officer or focal point upload the evaluation section of the MERP to GATE within one month of approval?	Yes
		No
Preparation stage (Chapter 4)	**Terms of Reference (ToR)**	
	Did the office appoint an evaluation manager (either the M&E officer or another staff member who 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
	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
	Did the M&E officer/evaluation manager provide guidance on UN Women evaluation procedures and quality assurance criteria to the selected consultant/ firm?	Yes
		No

Conduct stage (Chapter 5)	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	
Reporting stage (Chapter 6)	**Draft and final evaluation reports**		
	Did the M&E officer/evaluation manager review the quality of the draft evaluation report?	Yes	
		No	
	Was the draft evaluation report shared with the regional evaluation specialist for quality review?	Yes	
		No	
	Was the draft evaluation report shared with the evaluation reference and management groups for quality review?	Yes	
		No	
	Was the final report approved by the country representative or deputy representative?	Yes	
		No	
	Did the M&E officer ensure the report was formatted according to UN Women branding guidelines for technical publications?		

CHAPTER 2 INFO PAGE

- [Tool 1](). Evaluation process standards for decentralized evaluation

UN Women: http://www.unwomen.org/en/digital-library

- UN Women GATE: http://gate.unwomen.org
- Global Evaluation Reports Assessment and Analysis System (GERAAS)
- UN Women Evaluation Policy
- United Nations System-wide Action Plan 2.0
- UN Women intranet: https://unwomen.sharepoint.com/
- Guidance for M&E focal points

UNEG: http://unevaluation.org/

- United Nations System-Wide Action Plan Evaluation Performance Indicator

CHAPTER 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.

CHAPTER

3

PLANNING

A. Decentralized evaluation planning ▶

B. Steps for evaluation planning

C. Deciding on evaluation type and modality

D. Budgeting for evaluations

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 strategic and operational planning. During this 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 takes 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 timebound (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 evaluation plan represents an important component of country, multi-country and regional planning processes, and is an integral part of the development of Strategic Notes and AWPs. It is essentially a calendar of all activities related to evaluation that allows UN Women Regional Offices, Multi-Country Offices and Country Offices to strategically reflect on their information needs in terms of learning, decision-making and accountability.

The evaluation plan 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 evaluation plan serves 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, and annually update what evaluation activities will be conducted during the Strategic Note period.

- Provide a link to programmatic planning and budgeting at Regional Office, Multi-Country Office and Country Office level.

Evaluation planning requirements

All Regional Offices, Multi-Country Offices and Country Offices should develop decentralized evaluation plans in conjunction with country, multi-country and regional Strategic Notes and AWPs to which they will be annexed.

- Evaluation plans from Regional Offices should align with the Strategic Plan period.

- Evaluation plans from Multi-Country Offices should align to the UNSDCF of one country or to the corporate Strategic Plan as appropriate.

- Evaluation plans from Country Offices should cover the period of their Strategic Note (e.g. from 2014 to the end of their country's UNSDCF).

All evaluation plans should be reviewed and updated annually together with the development of AWPs. The evaluation plan is then uploaded to 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. Regional Office, Multi-Country Office and Country Office 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).

Figure 4. UN Women evaluation process: planning stage
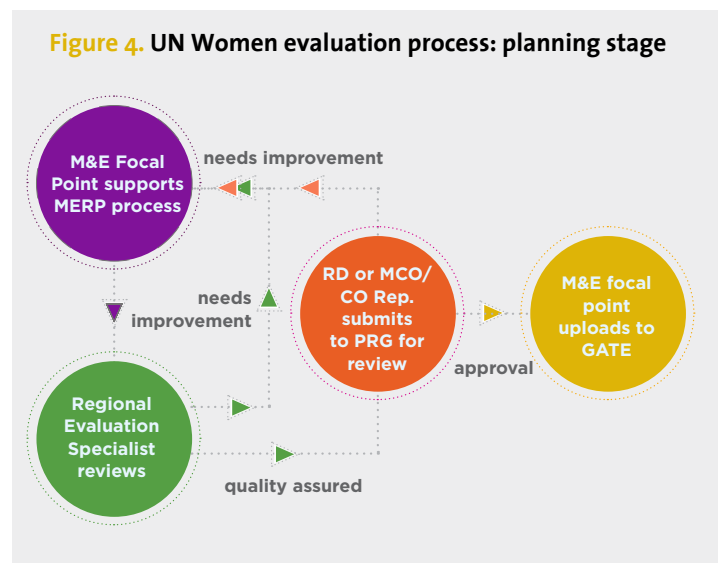
Box 1.
Criteria for selecting evaluations

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 2012 established eight parameters for prioritizing evaluations that should be used at this stage (see Box 1).
Any new UN Women programmes/projects should include an M&E plan and budget, which should be aligned with guidance from the Programme Planning unit. The evaluation plan should also include evaluations of donor-funded projects. It is recommended that an annual review and update to the evaluation plan take place every year in the first quarter of the plan's implementation based on the actual office budget.

> ✏ 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.

STEP 2:

Complete the evaluation plan

The evaluation plan is divided into two sections. The first section should include all evaluations to be commissioned and managed by UN Women, Regional Offices, Multi-Country Offices and Country Offices directly, including those jointly managed with others (see Box 2).[14]

The second section should list evaluations in which UN Women Regional Offices, Multi-Country Offices and Country Offices are involved but not managing the evaluation, e.g. UNSDCF evaluations, evaluations of donor-funded projects/programmes, evaluations managed/commissioned by a different UN Women Office/Unit, and evaluations managed by Trust Funds to End Violence Against Women, Fund for Gender Equality. 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 evaluation plan, together with the respective Strategic Note and AWP, is shared with the regional evaluation specialists for quality assurance purposes. The regional evaluation specialists provide technical support to evaluation planning throughout the process.

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14   All joint evaluations in which UN Women participates should be included in Section 2A, as UN Women should be part of the management structure.

STEP 3:

Finalize and seek approval of the evaluation plan as part of the Strategic Note and AWP approval process

Draft Strategic Notes and AWPs, including evaluation plans, are reviewed and cleared by the Regional Office and HQ-based advisers and thematic clusters, and IES (via regional evaluation specialists). During this process the Director, Programme Division convenes a Peer Review Group (including regional evaluation specialists) that appraises Strategic Notes, AWPs and the evaluation plan.

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

1. The Peer Review Group submits Strategic Notes and AWPs, 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, AWPs and MERP to the relevant office for revision and further appraisal.

Once approved, the M&E officer or focal point uploads the evaluation plan in GATE.

STEP 4:

Review and update the evaluation plan on an annual basis as part of the AWP development process

Regional Offices, Multi-Country Offices and Country Offices refine evaluation plans[15] annually based on their actual office portfolio/investment to ensure 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 every quarter. 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 GATE.[16] Drawing on information in GATE, IES 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, e.g. requests from auditors. Therefore, it is of utmost importance that information be entered in GATE in a timely fashion to ensure accurate reporting to senior management and the Executive Board.

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15 Evaluation Plans are part of MERPs, which are reviewed and submitted together with AWPs on an annual basis.

16 For details on how to navigate the GATE System see GATE Guidance, available on the GATE website after logging in.

C. Deciding on evaluation type and modality

Evaluation type

At UN Women evaluations are defined according to the following two sub-types[17] (see Tool 4. Selecting the type of evaluation):

- **Use of analysis:** institutional, policy, strategy, thematic, cluster, regional, country-level (CPE), programme or project evaluations, or meta-evaluation.

- **Timing:** formative (including developmental evaluations and 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 purpose of the evaluation (i.e. learning, accountability or decision-making)?

- Who is the target audience for the information from the evaluation?

- What kind of information is 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 resources are 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 UNSDCF and/or Delivering as One UN programmes.

UN Women has a mandate to support the integration of gender equality across UN inter-agency evaluation work, and the UN Women Executive Board has repeatedly highlighted the importance of UN Women's engagement in joint programme and UNSDCF evaluations. Joint evaluations can be an effective means to enhance gender-responsive evaluation capacity at the national level and among UN Women partners. However, joint evaluations require additional efforts in terms of coordination via a joint management structure. This needs to be carefully reflected upon when planning joint evaluations.

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17   A single evaluation can be defined by one or more of the sub-types.

D. Budgeting for evaluations

Evaluation is a core function of the organization. Therefore, it is essential that core budget is 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 (see Box 3). Regional Office, Multi-Country Office and Country Office 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.

Budgeting for evaluation:

- The recommended minimum level of investment for evaluations is 2–3 per cent of the total programme or portfolio budget being evaluated. However, this amount should be adjusted depending on the size of the portfolio and scope of the evaluation.

- For Country Portfolio Evaluations (CPEs), which are mandatory at least once during two Strategic Note cycles, sufficient budget to support relevant evaluation activities should be allocated by respective business units under the Organization Effectiveness and Efficiency Framework. Regional evaluations that are conducted or co-managed by regional evaluation specialists should be also budgeted under the Organization Effectiveness and Efficiency Framework. Both core and non-core resources can be used for these types of evaluations.

- Programme or project evaluations planned at the mid-term of multi-year projects or prior to project closure are budgeted as a direct project cost under the Development Results Framework (DRF). For all cost-sharing agreements with donors, the 2–3 per cent allocation for the evaluation should be negotiated and reflected in the Project Cooperation Agreement and its resource and results framework accordingly.

- For all types of evaluations that the business unit plans to implement, there should be at least one dedicated activity in the Results Management System (RMS) to account for all costs incurred in evaluation-related activities.

Recording and tracking evaluation expenditure

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

- Conduct of evaluation (direct programme or project investment in the conduct of evaluations, e.g. consultancy costs).

- Staff costs.[18]

- 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).

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18   Staff costs refer to a monetary calculation of staff time spent on evaluation-related activities, using the total cost of the staff per year as a basis. IES 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 different contexts.

CHAPTER 3

PLANNING

CHAPTER 3 INFO PAGE

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

UNEG http://unevaluation.org

- UNEG Guidance on Joint Evaluation

UN WOMEN http://www.unwomen.org/en/digital-library

- UN Women GATE: http://gate.unwomen.org
- UN Women Evaluation Policy 2012
- UN Women intranet https://unwomen.sharepoint.com/
- GATE Guidance Note

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 2-3 per cent of UN Women budget, including core and non-core, in the evaluation function, Country Offices should ensure that adequate resources are allocated to evaluation. An additional 3 – 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.

CHAPTER 4

PREPARATION

Evaluation requires careful preparation to ensure it is 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 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

Appoint evaluation manager ▶ Evaluability assessment ▶ Stakeholder analysis and engagement ▶ Develop ToR ▶ Select evaluation team

A. Checking evaluability

Ideally, all programmes and projects should be designed to enable robust M&E. An evaluability assessment is a systematic process intended to determine whether 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. It typically takes place at the beginning of an intervention but can be carried out at any point during implementation. If completed at the beginning of a programme, ideally an evaluability assessment takes place prior to implementation within the first six months of the programme; and a rapid evaluability assessment should also always be undertaken by the evaluation team as part of the inception phase.

An evaluability assessment is not a replacement for high-quality programme design: it is useful for ensuring the intervention is ready for an evaluation and 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 Tool 5.).

Evaluability assessments review:

- programme design;

- availability of relevant monitoring information and data; and

- conduciveness of the context for evaluation.

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

CHAPTER 4

PREPARATION

A. Checking evaluability

B. Stakeholder analysis and engagement ▶

C. Developing an evaluation Terms of Reference

D. Selecting an evaluation team

E. Quality assurance of the ToR

B. Stakeholder analysis and engagement

A defining characteristic of gender-responsive evaluations is the inclusion of stakeholders, e.g. both women and men, non-binary people, and vulnerable groups, such as indigenous peoples, persons with disabilities, LGBTIQ persons, etc. Below are several key principles to follow when engaging stakeholders.

- **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, disability, 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 way in the design, management and conduct of the evaluation. Assess whether 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 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.

- **Transparency and accountability:** Ensure the design and conduct of the evaluation is transparent and responsive to questions about all aspects of the process. In particular, ensure an established process to seek informed consent from stakeholders regarding the use, storage, access and publishing of data and information. The results of the evaluation 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.

CHAPTER

4

PREPARATION

A. Checking evaluability

B. Stakeholder analysis and engagement ▶

C. Developing an evaluation Terms of Reference

D. Selecting an evaluation team

E. Quality assurance of the ToR

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 enrich the evaluation design and approach, including identifying gender equality and human rights issues and implications that may not have been explicit in 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 therefore its use. The early engagement of stakeholders manages expectations about what the evaluation can provide by involving key players in the definition of why it is being conducted. 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 factor 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.

Box 4.
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

Identifying stakeholders

The evaluation manager should undertake a stakeholder analysis using the stakeholder 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 4). While there are many benefits to involving stakeholders in the design, planning and conduct of the evaluation, the evaluation manager needs 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.

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 key stakeholders. Key stakeholders can be involved in the evaluation process through the establishment of the evaluation management group and evaluation reference group.

Establish an evaluation management group

An evaluation management group should be established to oversee the evaluation process, coordinated by the evaluation manager. This group should consist of UN Women staff and, in the case of joint evaluations, must also include non-UN Women staff.[19] 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 of 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 must 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 Regional Offices, Multi-Country Offices and Country Offices in an advisory capacity. The evaluation management group should be chaired by the country representative or by a member of senior management, with the evaluation officer/focal point serving as the task manager. A ToR for the management group outlining 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 (e.g. via email) to lessen the administrative burden. The main goal is to ensure senior management oversight of all evaluation processes.

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19 See UNEG Guidance Pack on Joint Evaluations here: http://uneval.org/document/detail/1620

Establish an evaluation reference group

An 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 to ensure the best use of a reference group.

The evaluation manager can use stakeholder analysis to aid the selection of key stakeholders for the reference group. It is important to ensure that the reference group is a diverse and representative group of stakeholders. 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 there is a clear understanding among reference group members on how they will contribute to the evaluation process, which can be done through establishment of a ToR outlining the reference group's main roles and responsibilities. Limiting the number of participants may facilitate efficient management.

The main functions of the reference group include:

- Facilitating the **participation of key stakeholders** in the evaluation design, defining the objectives, the evaluation scope and different information needs.

- Providing input on the **evaluation products:** a) the ToR, which define 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** (e.g. via surveys, interviews, etc.) and documentation to the evaluation team.

- **Disseminating evaluation results**.

- **Contributing to the development of evaluation recommendations** as appropriate (see Chapter 7).

See Tool 12. Evaluation reference group terms of reference template.

The participation of stakeholders in the evaluation process can be challenging to manage and may have cost and time implications (see Box 5b). 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 to build 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, the 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).

Box 5a.
Steps for managing the reference group

STEP 1
Identify key stakeholders for the reference group as early as possible in the evaluation process.

STEP 2
Develop a ToR for the reference group to ensure clarity regarding member roles and responsibilities (Tool 12. Reference group terms of reference template).

STEP 3
Convene the reference group to discuss feedback on the evaluation process and the ToR for the evaluation.

STEP 4
Keep reference group members informed via e-mail or conference call (as necessary) as the evaluation proceeds.

STEP 5
Convene the reference group for the presentation on the preliminary findings of the evaluation.

STEP 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).

CHAPTER 4

PREPARATION

Box 5b.
6 common challenges 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.

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.

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.

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 two-way communication. Consider holding regular workshops/teleconferences to facilitate communication and make members feel more connected.

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.

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, but at the same time evaluators must maintain their impartial judgement in the final report. Use Tool 7 to track comments provided by the reference group and response from the evaluation team.

C. Developing an evaluation terms of reference

The evaluation ToR is a critically important document in preparing for an evaluation. The ToR define 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 6 and Tool 6). Subsequent sub-sections elaborate on how to define evaluation questions, scope, approach and methods. The time and effort spent in preparing a good ToR has big returns in terms of the 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, the GERAAS evaluation report quality checklist, the United Nations System-Wide Action Plan Evaluation Performance Indicator, the United Nations Disability Inclusion Strategy Entity Accountability Framework (UNDIS) and this Evaluation Handbook. These documents serve as the frame of reference for the evaluation manager and the evaluation consultant(s) to ensure compliance with the various requirements and to assure 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. 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).

Box 6.
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

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, including individuals/groups who are marginalized and/or discriminated against, which is most often due to race, gender, class, caste, ethnicity, age, disability, sexual orientation, etc. Individuals/groups also often experience multiple forms of discrimination. The objectives identify the evaluation criteria upon which the programme or intervention will be assessed.

For example, the criteria:

- Assess the **relevance** of UN Women's 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 in terms of gender equality and women's empowerment.

- Assess the coherence of the intervention with other interventions in the country, sector or institution.

- 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 areas 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, coherence and impact** (where feasible).[20] In addition, 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. For example, mid-term evaluations generally focus on the effectiveness and efficiency criteria (i.e. process and output achievement) rather than impact and sustainability criteria, which require more time to see any change. 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.

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20   Updated definition of the OECD DAC evaluation criteria, including the new criteria, "coherence" can be found online: https://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm

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 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. Therefore, the evaluability of the questions should be assessed according to whether the evaluation team has the time, resources and information available to provide credible answers to the questions.

The evaluation manager needs 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, 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 evaluation reference and management groups. The questions could be organized around the chosen evaluation criteria and the evaluation should present its findings accordingly. Generally, three to five key questions related to each of the selected criteria 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 to ensure the sustainability of efforts and benefits?

- How will the benefits of the intervention be secured for rights holders (i.e. what accountability and oversights systems were established)?

CHAPTER

4

PREPARATION

A. Checking evaluability

B. Stakeholder analysis and engagement

▶ C. Developing an evaluation Terms of Reference

D. Selecting an evaluation team

E. Quality assurance of the ToR

Defining the scope

The scope of the evaluation describes what will be included and excluded from the evaluation. Defining the scope provides an opportunity to assess 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 the evaluation is 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 it will cover the entire region where the programme has operated/provided services or selected areas.

- **Programmatic or project coverage:** Whether it will include all aspects of the programme or focus on specific elements.

- **Thematic coverage:** Whether 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, methodology, design and other constraints due to time, context or resources.

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[21] selected frames the conduct of the evaluation and determines 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 provide expertise in this area. However, the ToR should define preliminary thoughts on a general approach to be taken in the conduct of the evaluation. The evaluation design depends 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 (retrospective), ex-post (including impact evaluations), developmental (real-time/close to real-time feedback loop) or real-time (typically used in a humanitarian setting).

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21   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 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; 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.

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,[22] empowerment[23] or feminist approaches.[24]

Gender-responsive evaluation applies mixed-methods (quantitative and qualitative data collection methods and analytical approaches) to account for the 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' methods, such as quantifying some aspects of qualitative data are also increasingly seen as valuable."[25]

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 7 and Tool 10. Tips for employing gender-responsive evaluation methods).[26]

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

Box 7.
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)

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22 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.

23 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.

24 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.

25 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.

26 IES's "Good Practices in Gender Responsive Evaluation" showcases good and promising practices in gender-responsive evaluation approaches and methods by featuring gender-responsive evaluations from UN Women and UN entities: https://www.unwomen.org/en/digital-library/publications/2020/06/good-practices-in-gender-responsive-evaluations. IES's Pocket tool for managing evaluation during the COVID-19 pandemic provides practical guidelines for gender-responsive evaluation management and data collection. UN Women IES Guidance Note - Evaluating Impact in Gender Equality and Women's Empowerment

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, donors, experts, government officials and community groups).

- Describe data collection methods and analysis (e.g. appreciative inquiry,[27] most significant change,[28] storytelling, 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 detail a data management plan (Tool 17. Data management plan and informed consent template) on how protection of subjects and respect for confidentiality will be guaranteed.

- Specify that the nature of informed consent must be included in the inception report as part of the data management plan and should cover ethical issues, including subject populations and access to vulnerable populations; coverage of sensitive issues, such as topics related to gender-based violence; manner in which informed consent will be obtained (written, verbal or requesting a waiver); procedures for storing and destroying files; and other data to be collected (e.g. GPS) and any associated risks posed.

- Specify that the evaluator 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 take measures to ensure data quality, reliability[29] and validity[30] 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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27   Coughlan AT, Preskill H, Catsambas TT, 'An overview of appreciative inquiry in evaluation', New Directions for Evaluation, Issue 100, 2003, pp. 5-22.

28   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.

29   Reliability is consistency in results using the same method (i.e. if the same survey is instituted several times it should give similar results each time).

30   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 the tools are collecting the information they are intended to collect or measuring the right construct.

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 implementation of the management response.

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 on the violations of rights, which require those affected to discuss these issues with the evaluators. UN Women and the hired evaluator(s) must assess whether certain methods may pose more harm than benefit to the affected individual or community. 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 to ensure the protection of rights and avoidance of further harm.

The UNEG Ethical Guidelines should be applied to the selection of methods for the evaluation and throughout the evaluation process. The four principles of ethics in evaluation are:

- Integrity (the active adherence to moral values and professional standards, which are essential for responsible evaluation practice).

- Accountability (the obligation to be answerable for all decisions made and actions taken; to be responsible for honouring commitments, without qualification or exception; and to report potential or actual harms observed through the appropriate channels).

- Respect (involves engaging with all stakeholders of an evaluation in a way that honours their dignity, well-being and personal agency while being responsive to their sex, gender, race, language, country of origin, LGBTQ status, age, background, religion, ethnicity and ability, and to cultural, economic and physical environments).

- Beneficence (means striving to do good for people and planet while minimizing harms arising from evaluation as an intervention). Following these principles is essential to ensure the inclusion of women, individuals and groups who are marginalized and/or discriminated against.

Box 8.
Evaluating violence against women and girls

Special precaution should be taken when the topic of the evaluation is 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 domestic 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, documenting and monitoring 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 evaluation ToR is the basis for soliciting and selecting external evaluation team members. The ToR for evaluation team members defines the needs of the commissioning entity and specifies requirements. It should outline the skills, experience, qualifications and other relevant competencies that are needed to conduct the evaluation effectively – whether by a consulting firm or by a consultant(s) (see Box 9). It has to specify the size of the team required and provide the estimated number of days required to undertake the evaluation. The ToR should also clearly specify key deliverables for each external member (such as inception presentation and report; data collection debriefing; preliminary findings presentation; and draft and final report). 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 a gender balance and geographic representation. Evaluators are required to submit two or three examples of evaluation reports recently completed when responding to the ToR. It is also a good idea to check the quality rating of any evaluations they have contributed to, as UN Women (and some other UN agencies) make the ratings publicly available.

The recruitment and selection of external evaluation professionals will be governed by UN Women's Policy, Procedure and Guidance Framework. The following tips will help to ensure a strong evaluator(s) is identified:

- **Carefully consider 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 and criteria for selection; and consult the management group, including the regional evaluation specialist, on the final selection.

- **Ensure the ToR** clearly identify requirements for evaluator(s) and indicate the expected time frame and deliverables. The ToR should contain enough specifications for a wide range of applications but should be cautious not to 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 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, and is an important means to strengthen national capacities in gender-responsive evaluation. Finally, local professionals usually reduce evaluation costs because of reduced 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 different skills and perspectives are balanced (see Box 9).

CHAPTER 4 — PREPARATION

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 among evaluation networks.

Avoiding conflict of interest

Impartiality is an important feature of evaluation because it ensures the credibility of the evaluation. 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. Similarly, 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 Pledge of Commitment to Ethical Conduct in Evaluation. These documents should be annexed to a consultant's 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.

Box 9
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

E. Quality assurance of the ToR

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

Sharing the ToR with the reference group makes good use of their collective knowledge and facilitates an agreed-upon understanding of the purpose of the evaluation (key users and uses) and key elements of the evaluation, therefore facilitating ownership. It also serves 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 for UN Women reports prior to payment (Tool 14. GERAAS evaluation report quality assessment checklist).

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

CHAPTER

4 PREPARATION

CHAPTER 4 INFO PAGE

- 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. Evaluation management group terms of reference template
- Tool 12. Evaluation reference group terms of reference template
- Tool 13. Advantages and disadvantages of data collection methods
- Tool 14. GERAAS evaluation report quality assessment checklist
- Tool 17. Data management plan and informed consent template

- Brisolara S, Seigart D, SenGupta S (eds), *Feminist Evaluation and Research*, New York: Guilford Publications, available online here.
- Coughlan AT, Preskill H, Catsambas TT, "An overview of appreciative inquiry in evaluation", New Directions for Evaluation, Issue 100, 2003, pp. 5-22.
- 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.
- Graham, A., Powell, M., Taylor, N., Anderson, D. & Fitzgerald, R. (2013). Ethical Research Involving Children. Florence: UNICEF Office of Research – Innocenti, available online here.
- Fetterman DM, Wandersman A, Empowerment Evaluation Principles in Practice, New York: Guilford Publications, 2005, available online here.
- OECD DAC evaluation criteria: https://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm
- Patton MQ, *Utilization-focused Evaluation*, Sage Publications, 2008, available online here.

CHAPTER 4

PREPARATION

A. Checking evaluability

B. Stakeholder analysis and engagement

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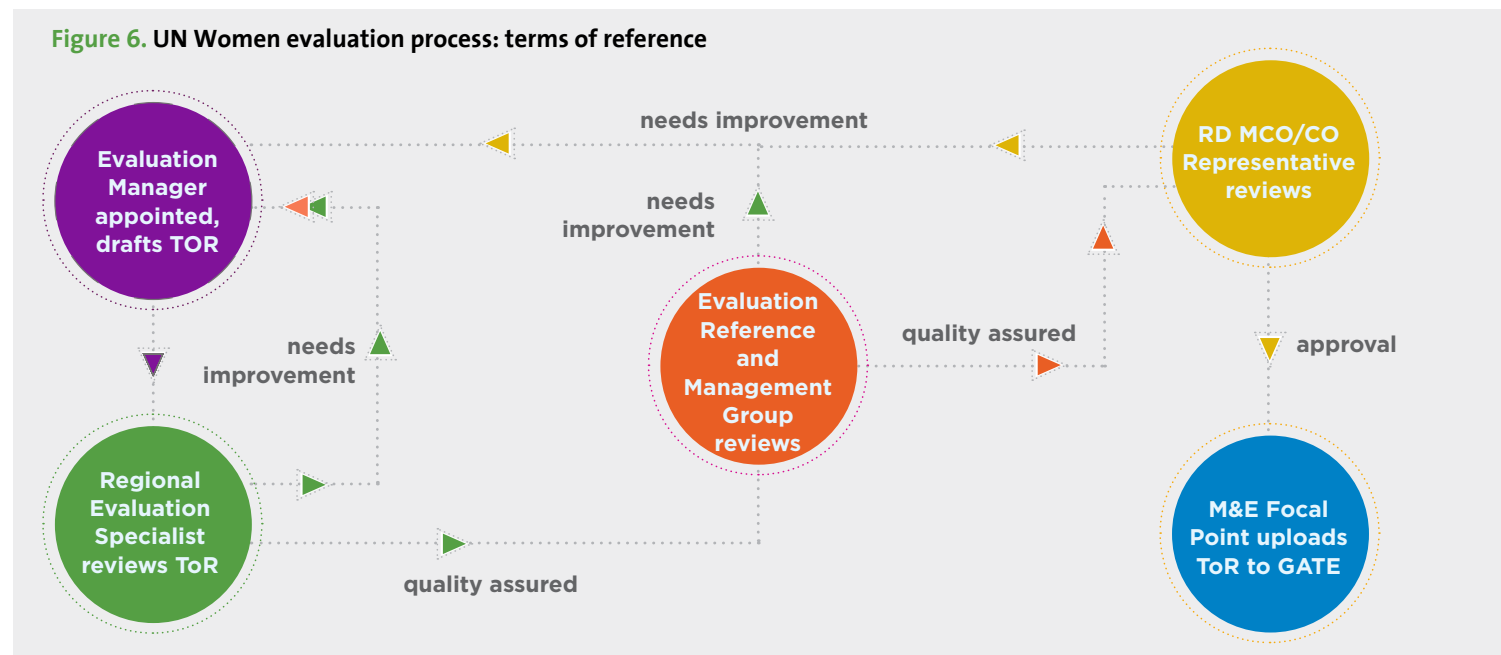
E. Quality assurance of the ToR

UNEG: http://unevaluation.org/

- | Ethical Guidelines | Pledge of Commitment to Ethical Conduct in Evaluation | Guidance on Impact Evaluation
- UNEG Norms and Standards: http://www.unevaluation.org/document/detail/1914.
- UNEG Integrating human rights and gender equality in evaluations : http://www.unevaluation.org/document/detail/1616.
- United Nations System-wide Action Plan 2.0

UN Women: http://www.unwomen.org/en/digital-library

- UN Women GATE: http://gate.unwomen.org
- UN Women virtual knowledge centre to end violence against women and girls: http://www.endvawnow.org/
- Evaluation Policy 2012
- UN Women IES "Good Practices in Gender Responsive Evaluation"
- UN-WOMEN IES: Pocket tool for managing evaluation during the COVID-19 pandemic
- UN WOMEN GUIDANCE NOTE: Evaluating Impact in Gender Equality and Women's Empowerment
- Guide for the evaluation of programmes and projects with a gender, human rights and intercultural perspective
- United Nations System-wide Action Plan 2.0
- UN Women intranet: https://unwomen.sharepoint.com/ | Contracting Policies and Procedures | Evaluation Consultants Agreement Form | Performance Evaluation for Special Service Agreement (SSA) Consultants

- Women's empowerment framework: http://awidme.pbworks.com
- World Bank: http://web.worldbank.org
- World Health Organization (WHO): 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

CHAPTER 5

Conduct

This chapter provides direction on how to manage the conduct of an 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

Inception Report → Data collection → Analysis and reporting
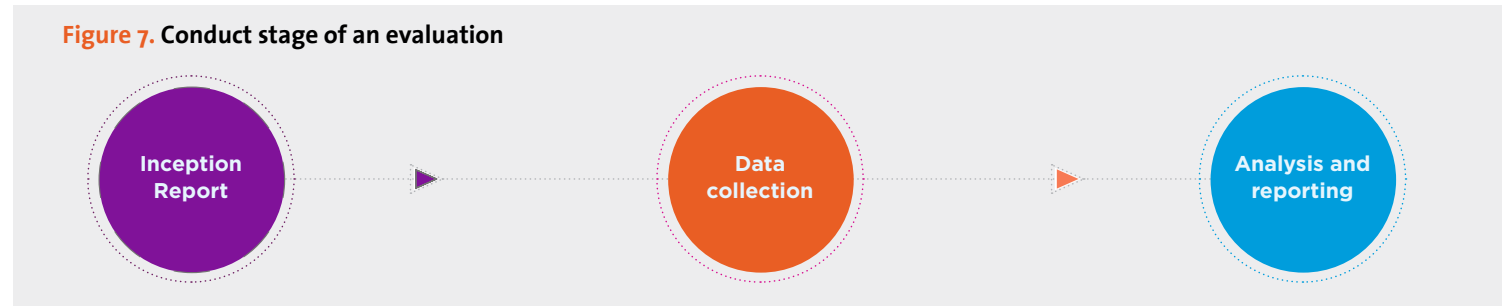
A. Managing the evaluation consultant or team

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 includes:

- Providing comments and quality assurance on the deliverables.

- Organizing relevant background documentation[31] 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, 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 into all approaches.

- Communicating on a regular basis with the evaluator(s) to provide support.

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[31] Relevant background documentation includes the 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.

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- Sharing evaluation products with the evaluation 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) has a plan for safety and security when visiting project sites.

- Ensuring the evaluator(s) has a data management plan that is compliant with UN Women data security protocols and procedures.

- Ensuring the evaluator(s) has 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 evaluation 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 4 for suggestions).

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Table 4. 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 the implications with regional evaluation specialist, human resources and procurement and determine a course of action. It may be necessary to end the contract if the team is unable to deliver or is exhibiting inappropriate behaviour. 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 of engaging stakeholders as part of the inception report. Make sure initial communications are well established. Test the team's sensitivity to cultural, social and local norms. Discuss with the team and identify how to meaningfully engage with stakeholders who 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 therefore all information collected is the 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 evaluation reference and management groups, in particular the regional evaluation specialist, are aimed at methodological rigour, 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 Tool 14. GERAAS evaluation report quality assessment checklist.

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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.[32] 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 important to discuss the accessibility of the information and the data, and alternative methods if data is unavailable.

Inception meetings

The inception phase benefits from meetings with the evaluation manager and management and reference groups, as appropriate. These can take place over the telephone, via video-conferencing 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. An important deliverable is the presentation that summarizes the key aspects of the inception report (outlined below). This is an opportunity for the team to receive oral feedback prior to finalizing the inception report as it is a more user-friendly format for the reference group members. The presentation should be quality checked by UN Women and the regional evaluation specialist prior to delivery of the presentation. For larger evaluations, the evaluation team may need to visit the programme or project site(s) in advance of the data collection. Information gathered during the visit is used to make final decisions on the evaluation approach and to pilot test the data collection instruments and validate or modify stakeholder analysis. Therefore, enough time should be allocated between any visits and 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 during the visit.

> Box 10.
> **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. Workplan**
>
> **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

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32 Note that the inception phase is also a negotiation phase because it serves as a road map for the evaluation process.

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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 basis of outcomes from the inception meetings between the evaluator(s) and the evaluation manager and evaluation management and reference group members. The inception report also benefits from the preliminary review of relevant documentation and consultation with relevant staff and stakeholders.

The inception report seeks to enhance the evaluator(s)' understanding 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.[33]

- Review of documentation, scoping conducted and programme theory or theory of change.

- A workplan 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 10 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 and corresponding sub-evaluation questions, indicators for measuring progress, required data, data sources and data collection methods. The evaluation matrix is a living document and is 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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33 The evaluability assessment can be conducted 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. See Chapter 4 and Tool 14. GERAAS evaluation report quality assessment checklist.

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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;[34] adherence to evaluation quality standards and ethical guidelines; and integration of gender equality and human rights principles in the design of the evaluation[35] (see Chapter 6 for details on the UN Women quality assurance process).

Stakeholders should be given one to two weeks to provide feedback. In coordination with the evaluation management group, the UN Women evaluation manager should approve the final inception report before the evaluation team undertakes any primary data collection (see Chapter 4 for a description of roles and responsibilities). Once approved, the inception report replaces the ToR as the key reference document and forms the basis for guiding the entire evaluation process through to its finalization. Roles and responsibilities for quality assurance of the inception report are outlined in Table 5 and Figure 8.

Figure 8. UN Women evaluation process: inception report

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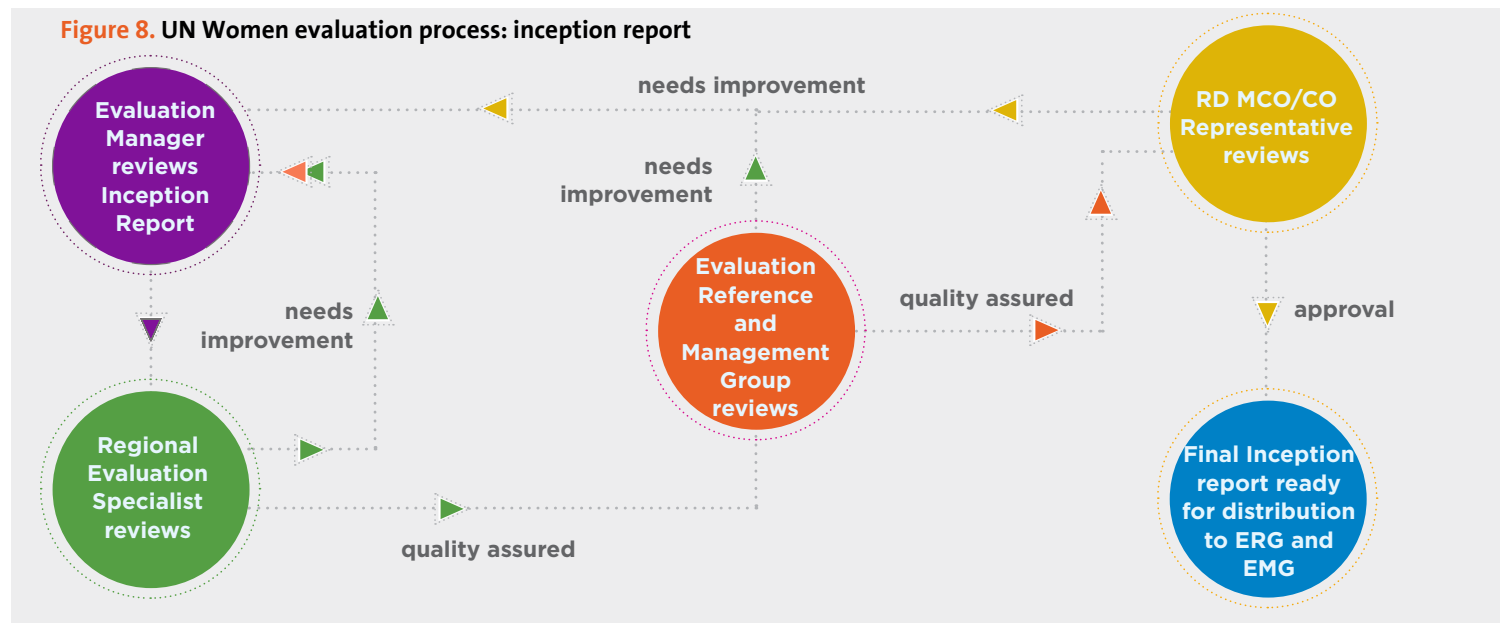
34   Participation and inclusion are key building blocks of any evaluation in UN Women; therefore, where appropriate, consultation with key stakeholders starting from the inception phase is highly encouraged to potentially increase the utility of the evaluation results.

35   Please see also UNEG, "Quality checklist for evaluation terms of reference and inception report", 2010, available online at: http://unevaluation.org/document/detail/608.

Table 5. Roles and responsibilities for inception report

Evaluation team	• Prepares the inception report and corresponding presentation, which should reflect an agreed-upon approach and design for the evaluation from the perspective of both the evaluation team and the evaluation manager.
Evaluation manager	• 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. • Provides substantive comments on the conceptual and methodological approach and other aspects of the evaluation design. • Establishes mechanisms for communication, consultation and presentation of the report (phone, video-conference, email and, where possible, workshops or meetings). • Coordinates feedback on the draft and final report, using Tool 7. Evaluation product comment template, from the regional evaluation specialist, management and reference groups.
Evaluation management and reference groups (including the regional evaluation specialist)	• Provides substantive comments and other operational assistance throughout preparation of the draft and final inception reports. • Where appropriate, participates in meetings and workshops with other key partners and stakeholders before finalization of the inception report.

C. Data collection

On 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) is responsible for addressing translation needs, if necessary.

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, including person with disabilities, 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 11.

To the extent possible, efforts should be made to collect data with a view to providing disaggregated results for women and other vulnerable and marginalized groups including persons with disabilities, youth, LGBTIQ persons, women with HIV, etc. 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 may compromise findings. Therefore, it is necessary to weigh the benefits of these changes against any disadvantages.

> **Box 11.**
> **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 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

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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; 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 12). 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 contributes 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.

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.

- Ensure compliance with UN Women IES data management guidance with respect to informed consent, procedures for data collection, confidentiality and protocols for data processing and retention.

- Adequate time should be made 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 forms of engagement.

> **Box 12.**
> **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.

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 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.

> **Box 13.**
> **Resources for data on gender equality and human rights**
>
> • UN Office of the High Commissioner for Human Rights (OHCHR) – Universal Human Rights Index
>
> • UN Statistics – Gender Statistics
>
> • UNDP Human Development Report – Gender Inequality Index
>
> • World Bank – Gender Equality Data and Statistics
>
> • Organisation for Economic Co-operation and Development (OECD) Social Institutions and Gender Index
>
> • World Economic Forum – Global Gender Gap Report
>
> • A listing of UN reports, databases and archives relating to gender equality and women's human rights

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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 the human rights and gender equality situation in the community, country, etc. with existing information (see Box 13 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 the context, relationships, power dynamics, etc. into the analysis.

- 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 intervention's planning, design, implementation and decision-making processes.

- Triangulating information to identify similarities and/or discrepancies in data obtained in different ways (e.g. 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 explore an issue in more depth).

- 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 builds understanding as the evaluation process develops and leads 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 workplan. This is an opportunity for the team to receive feedback from the reference group on 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 or errors of interpretation; and validate the findings. The draft evaluation report also addresses any issues identified through the stakeholder validation workshop.

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CHAPTER 5 INFO PAGE

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

UNEG: http://unevaluation.org/

- Integrating human rights and gender equality in evaluations
- UNEG Norms and Standards: http://www.unevaluation.org/document/detail/1914.
- Quality checklist for evaluation ToR and inception report

UN Women: http://www.unwomen.org/en/digital-library

- Evaluation Policy 2012
- UN Women Virtual Knowledge Centre: http://www.endvawnow.org/
- UN Women Watch Resources: http://www.un.org/womenwatch/
- UN Women Count Data Hub: https://data.unwomen.org/women-count

CHAPTER 6

REPORTING

The reporting stage entails the review of the key product of the evaluation: the evaluation report. As gender-responsive evaluations focus on engagement, not just reporting, this chapter describes the fundamental step of engaging stakeholders in the review of draft products to ensure that the report is factually correct and is useful for stakeholders. This chapter also discusses UN Women's 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 fulfils its purpose and objectives. The evaluation manager and stakeholders' comments (reference and management groups) 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 Norms and Standards for Evaluation in the UN System instruct that "*The final evaluation report should be logically structured and contain evidence-based findings, conclusions and recommendations. The products emanating from evaluations should be designed to the needs of its intended users. The evaluation report should be presented in a way that allows intended readers to access relevant information in the clearest and simplest manner. It should not be overloaded with information that is not directly relevant to the overall analysis. Evaluation readers should be able to understand: What was evaluated and why (purpose and scope); How the evaluation was designed and conducted (evaluation questions, methodology and limitations); What was found and on what evidence base (findings and evidences); What was concluded from the findings in relation to main evaluation questions asked, and how such conclusions were drawn (conclusions); What was recommended (recommendations); and; What could be learned from the evaluation if any (lessons learned).*" The evaluation report should also explain the context in which the intervention and the evaluation took place.

IES developed the GERAAS adapted from the UNEG Norms and 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 are deemed to be credible and therefore a sound basis for decision-making.

> Box 14.
> **Outline of an evaluation report**
>
> **I)** Title and opening pages
>
> **II)** Executive summary
>
> **III)** Background and purpose of the evaluation
>
> **IV)** Programme/object of evaluation description and context
>
> **V)** Evaluation objectives and scope
>
> **VI)** Evaluation methodology and limitations
>
> **VII)** Findings
>
> **VIII)** Conclusions
>
> **IX)** Recommendations
>
> **X)** Lessons learned
>
> **ANNEXES**
> • Terms of reference
> • Documents consulted
> • Lists of institutions interviewed or consulted and sites visited (without direct reference to individuals)
> • Analytical results and methodology related documentation, such as evaluation matrix
> • List of findings and recommendations

CHAPTER

6

REPORTING

A. Ensuring a high quality report ▶

B. Stakeholder involvement in reviewing the evaluation report

C. Quality assurance of the evaluation report

A gender-responsive evaluation report also:

- Indicates how the methodology incorporated gender equality and human rights perspectives and approaches.

- Includes 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 beneficiary communities).

- Explains how the evaluation process may have helped empower stakeholders or prevented further discrimination and/or exacerbation of existing uneven power relations.

- Reflects gender equality and human rights principles and analysis throughout the report.

- Provides recommendations on how to improve gender equality and human rights performance.

- Highlights lessons learned regarding gender equality and human rights mainstreaming that go beyond the specific project or programme.

- Ensures the final report is succinct and avoids technical jargon and other language that could marginalize stakeholders. As per IES guidance, the ideal report length is 45–50 pages, with annexes no longer than 60 pages.

It is important that the evaluation manager pays special attention to the report recommendations because they are critical to UN Women follow-up. The recommendations should have direct linkage to the report's findings and conclusions 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 concerned, prioritized, appropriately incorporate gender equality and human rights considerations, and be addressed to specific stakeholders.

The final evaluation report should be organized according to the structure set out in Box 14. 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 the 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.

Stakeholders should review the report to:

- Identify factual errors, omissions and misinterpretation of information.

- Review the recommendations to ensure 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 the 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) has final judgment on the evaluation report's findings, conclusions and recommendations, 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 are followed and that confidentiality is maintained (see Box 15).

> **Box 15.**
> **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. To support UN Women offices in producing high-quality evaluation reports, IES 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, adapted from UNEG report standards and integrating the United Nations System-Wide Action Plan Evaluation Performance Indicator and the United Nations Disability Inclusion Strategy (UNDIS) Accountability Framework, are used to assess the quality of evaluation reports produced by all UN Women offices, including IES. UN Women evaluation managers should use the standards to assess the quality of evaluation reports (see Tool 14. GERAAS evaluation report quality assessment checklist). 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 check the evaluation report for quality. If the report does not meet the UN Women evaluation report requirements as outlined in 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 country representative or director has 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
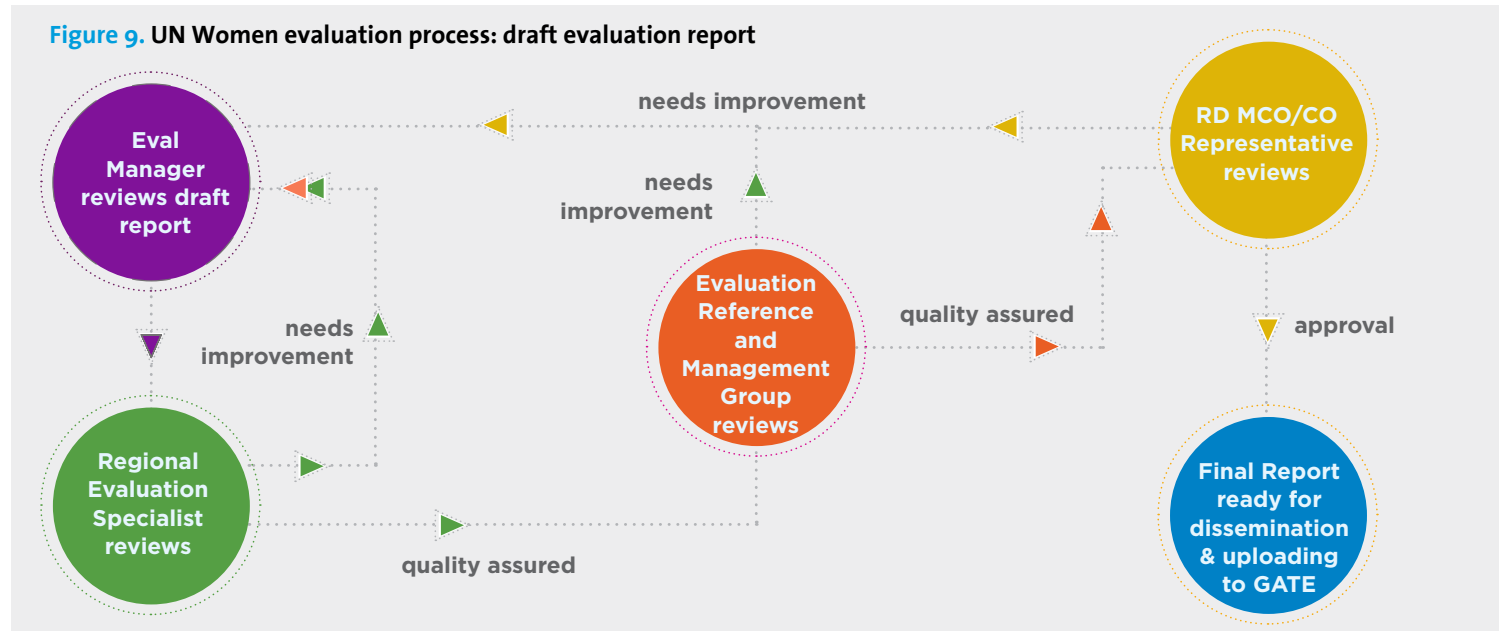
External assessment of evaluation reports

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. Aggregate performance on the United Nations System-Wide Action Plan Evaluation Performance Indicator is included in the report to the United Nations Economic and Social Council on mainstreaming a gender perspective into all UN system policies and programmes. The overall rating and 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, fair and unsatisfactory. The GATE website has a 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 offices concerned to support improved quality and utility of evaluations, IES presents it at the Annual Session of the UN Women Executive Board and to the senior managers and the Advisory Committee on Oversight. 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 GEOS KPIs.

CHAPTER 6

REPORTING

A. Ensuring a high quality report

B. Stakeholder involvement in reviewing the evaluation report

C. Quality assurance of the evaluation report

CHAPTER 6 INFO PAGE

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

UNEG: http://unevaluation.org/

- UNEG Norms and Standards: http://www.unevaluation.org/document/detail/1914.
- United Nations System-Wide Action Plan Evaluation Performance Indicator

UN Women: http://www.unwomen.org/en/digital-library

- UN Women GATE: http://gate.unwomen.org
- UN Women intranet: https://unwomen.sharepoint.com/
- UN Women Branding Guidelines
- UN Women Legal Framework for Addressing Non-Compliance with UN Standards of Conduct

CHAPTER 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 discusses 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[36] should be designed and managed with their 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 UN Women 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 the use of evaluations by acting on evaluation recommendations and using lessons learned for future policy and programme design and development. The management response to an evaluation is a key tool for institutionalizing the use of evaluations (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 to enhance existing and design new UN Women programmes and strategies at all levels of the Entity from lower project-level planning to strategic planning. Therefore, the Strategic Plan, Strategic Notes, AWPs, and programme and project documents should all reflect lessons learned from evaluations.

There are many ways to facilitate the follow-up and implementation of evaluation recommendations, including:

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

- Meta-analyses undertaken by IES and Regional Offices 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 from evaluations in Strategic Notes and AWPs.

- 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.

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36 Patton MQ, 'Utilization-focused evaluation', in Stufflebeam DL, Madaus GF, Kellaghan T (Eds), Evaluation Models, 2nd ed., 2011.

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 evaluation recommendations and specify how it will follow up, who is responsible, and by when the action will be implemented 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 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 identified three preconditions to aid effective evaluation management response and follow-up processes that incorporate human rights and gender equality principles:[37],[38]

1. **The involvement of internal and external stakeholders**: Active engagement of stakeholders is a core principle of gender-responsive evaluation and ensures ownership of the process.

2. **Quality evaluation recommendations:** An effective management response is dependent on the formulation of evaluation recommendations that are realistic and reflect an understanding of the office or division and programme context and potential constraints to follow up (see Box 16).

3. **Evaluation credibility:** An evaluation must be considered credible to garner support for implementation of the recommendations, particularly when dealing with sensitive issues. The level of impartiality, transparency, quality, appropriate methods used and level of participation of key stakeholders determines the credibility of an evaluation.

Box 16.
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 the 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.

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37 UNEG guidance document, "Integrating human rights and gender equality in evaluation", August 2014, pp 115-117, available online here.
38 UNEG, "Good practice guidelines for following up to evaluations", June 2010, available online here.

CHAPTER 7

USE AND FOLLOW-UP

A. Using evaluation for managing for results

B. Management response and action plan ▶

C. UN Women systems to facilitate use of evaluation

D. Communicating evaluation results

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 into 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. Therefore, preparation of the management response should be conducted 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 in 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.) 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 relevant office or division is ultimately responsible and accountable for development, approval and implementation of the management response.

- 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 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 UN Women office concerned should take responsibility for developing a management response for recommendations directed to UN Women, as well as facilitating and supporting partners in developing their own response. For recommendations directed to the UN Country Team, e.g. in UNSDCF 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 for which 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.

IES, 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.

CHAPTER

7

USE AND FOLLOW-UP

A. Using evaluation for managing for results

B. Management response and action plan

C. UN Women systems to facilitate use of evaluation ▶

D. Communicating evaluation results

C. UN Women systems to facilitate use of evaluation

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

- Global Accountability and Tracking of Evaluation Use (GATE): The main purpose of GATE is to institutionalize the use of evaluation at UN Women from an accountability perspective.

- Global Evaluation Report Assessment and Analysis System (GERAAS): IES produces the meta-analysis (see Chapter 6) of evaluation findings, conclusions, recommendations, good practices and lessons learned gleaned from 'good quality' evaluation reports. The main purpose of this report is to fa-

cilitate learning from evaluation results. It is presented to the Executive Board and should be used by UN Women staff in the formulation of programmes and strategies.

- 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. IES reports on the KPIs on a biannual basis to the Executive Director and Senior Management Team (see Figure 10, example of a KPI report); on an annual basis to the Executive Board through the Evaluation Annual 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
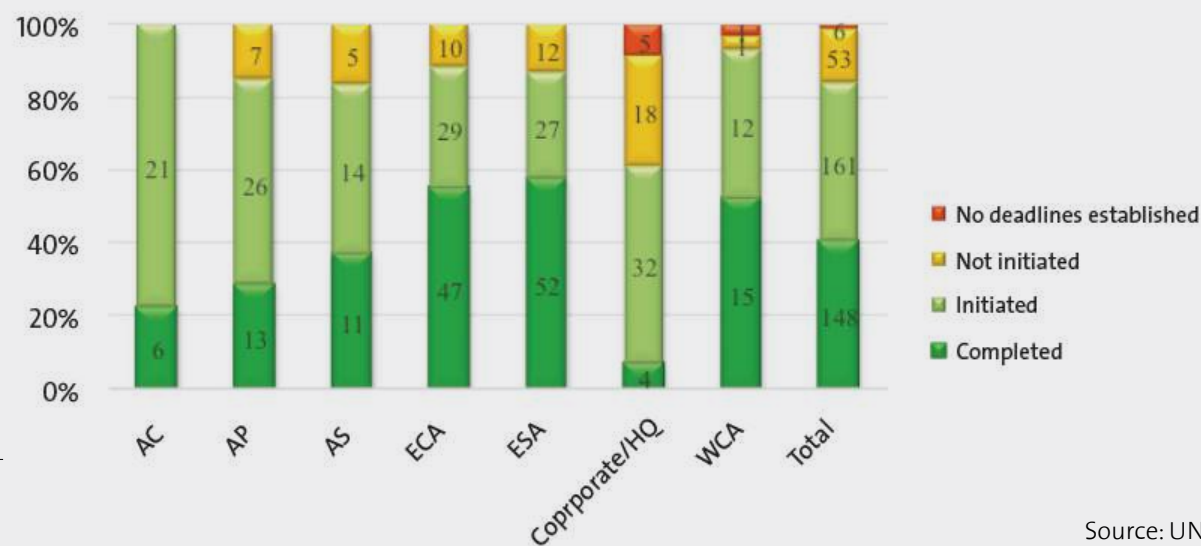
Source: UN Women GATE System.

GATE responsibilities for following up on evaluation

The GATE website enables the dissemination of evaluations and tracking of their use, 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's work and track the status of the evaluation plan, 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 implementation of the management response action

plan and input the changes into GATE. Tracking implementation of the management response is a means to support managers in ensuring accountability for 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 GATE website homepage, 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.

Figure 11. UN Women evaluation process: management response
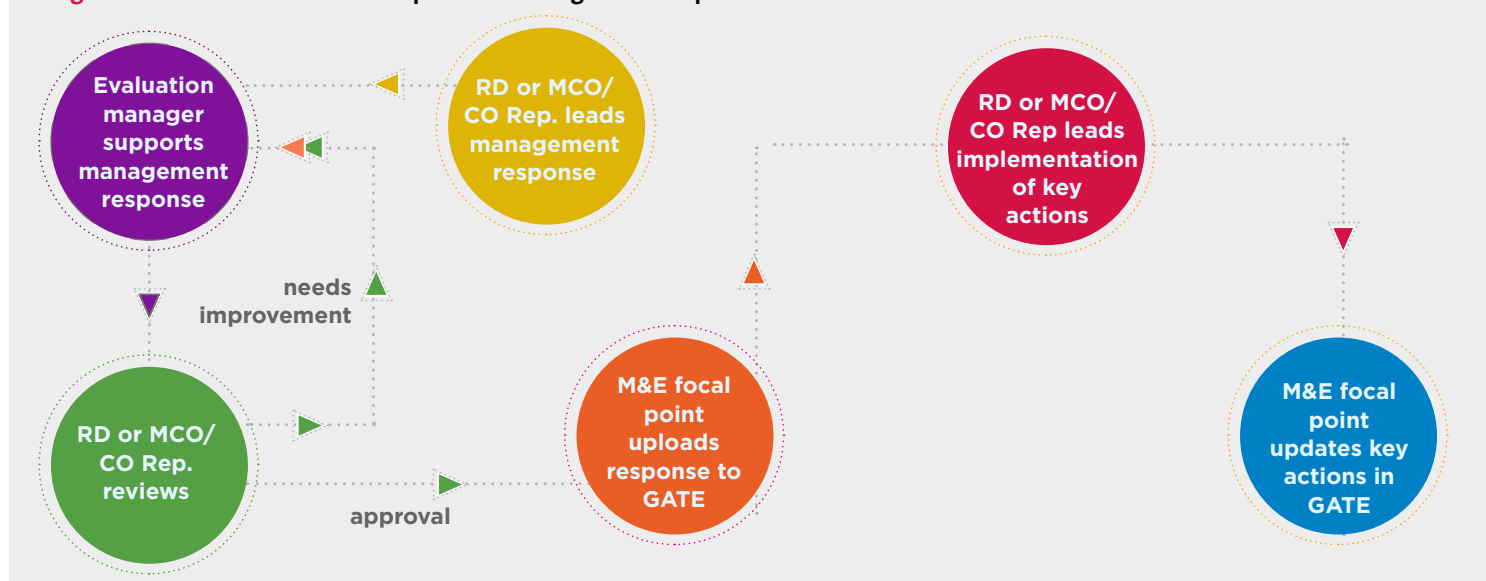
D. Communicating evaluation results

Effective communication and dissemination of evaluation results not only contributes to greater accountability for UN Women, but also enables partners to learn about UN Women's work and contributes 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's work. Systematically planning for the dissemination of 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 undertaken by the evaluation manager or in conjunction 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. 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 manager needs to consider and use audience appropriate means for sharing the evaluation results so that stakeholders understand and participate in plans to act on recommendations. For example, language, accessibility to the 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 6 are recommended for gender-responsive evaluation at UN Women.

CHAPTER
7
USE AND FOLLOW-UP

A. Using evaluation for managing for results

B. Management response and action plan

C. UN Women systems to facilitate use of evaluation

D. Communicating evaluation results

Table 6. 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 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 Evaluation 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 organizations National counterparts Other external audiences Evaluation management and reference groups Donors and other partners

CHAPTER 7

USE AND FOLLOW-UP

✏️ CHAPTER 7 INFO PAGE

🛠️
- 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: http://www.unwomen.org/en/digital-library

- Global Evaluation Report Assessment and Analysis System (GERAAS)
- UN Women intranet: https://unwomen.sharepoint.com/
- GATE Guidance
- Global Accountability and Tracking of Evaluation Use (GATE): http://gate.unwomen.org
- Gender Equality Evaluation Portal: http://genderevaluation.unwomen.org

UNEG: http://unevaluation.org/

- Good practice guidelines for following up to evaluation

TOOLS

TOOL 1 Evaluation process standards for decentralized evaluation 84	**TOOL 2** Eight parameters for prioritizing evaluation 86	**TOOL 3** Evaluation plan template 87	**TOOL 4** Selecting the type of evaluation 88
TOOL 5 How to conduct an evaluability assessment 91	**TOOL 6** Evaluation terms of reference (ToR) template 95	**TOOL 7** Evaluation product comment template 100	**TOOL 8** Evaluation matrix template 101
TOOL 9 Stakeholder analysis template 102	**TOOL 10** Tips for employing gender-responsive evaluation methods 103	**TOOL 11 & TOOL 12** Management group and Reference group ToR templates 104	**TOOL 13** Advantages and disadvantages of data collection methods 106
TOOL 14 GERAAS evaluation report quality assessment checklist 107	**TOOL 15** How do you develop an evaluation dissemination strategy? 112	**TOOL 16** Management response template 118	**TOOL 17** Data management plan and informed consent template 119

STAGE OF THE EVALUATION	EVALUATION PROCESS TO BE COMPLIED	STATUS OF COMPLIANCE	REMARKS (IF ANY)
Planning stage (Chapter 3)	**Monitoring, evaluation and research plans (MERPs)**		
	Has the M&E officer been consulted at the design stage of all programmes and projects to ensure adequate budget and planning for M&E activities throughout the programme life cycle?	Yes	
		No	
	Has the M&E officer or focal point supported the MERP process in consultation with the programme officers and senior managers concerned?	Yes	
		No	
	Was the draft plan sent to the regional evaluation specialist for review?	Yes	
		No	
	Did the Multi-Country Office or Country Office representative or Regional Director submit the MERP together with the Strategic Note and Annual Work Plan for peer review group review and approval?	Yes	
		No	
	Did the M&E officer or focal point upload the evaluation section of the MERP to GATE within one month of approval?	Yes	
		No	
Preparation stage (Chapter 4)	**Terms of reference (ToR)**		
	Did the office appoint an evaluation manager (either the M&E officer or another staff member who 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	
	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	
	Did the M&E officer/evaluation manager provide guidance on UN Women evaluation procedures and quality assurance criteria to the selected consultant/ firm?	Yes	
		No	

Conduct stage (Chapter 5)	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	
Reporting stage (Chapter 6)	Draft and final evaluation reports		
	Did the M&E officer/evaluation manager review the quality of the draft evaluation report?	Yes	
		No	
	Was the draft evaluation report shared with the regional evaluation specialist for quality review?	Yes	
		No	
	Was the draft evaluation report shared with the evaluation reference and management groups for quality review?	Yes	
		No	
	Was the final report approved by the country representative or deputy representative?	Yes	
		No	
	Did the M&E officer ensure the report was formatted according to UN Women branding guidelines for technical publications?		

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[1]	
First priority	**1. Relevance of the subject** 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 for UN Women, e.g. levels of gender inequality and the situation of women in the country?
	2. Risk associated with the intervention Are there political, economic, funding, structural or organizational factors that present potential high risks for the non-achievement of results or for which further evidence is needed for management decision-making?
	3. Significant investment Is the intervention considered a significant investment in relation to the overall office portfolio (more than one-third)?
Second priority	**4. Demands for accountability from stakeholders** 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?
	5. Potential for replication and scaling-up 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?
	6. Potential for joint or UNSDCF evaluation Does the evaluation present a clear opportunity to jointly evaluate with other partners (UN Country Teams, national governments, etc.) or align with a UNSDCF evaluation to avoid duplication and promote coordination?
Cross-cutting (to be assessed in all prioritized evaluations)	**7. Feasibility for implementing evaluation** 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 will result in sound findings, recommendations and lessons?
	8. Knowledge gap Will the evaluation help to fill a pressing knowledge gap in relation to achieving gender equality or the empowerment of women?

1 The parameters are listed in the UN Women Evaluation Policy 2012.

NOTE: Examples have been included below to illustrate how to complete each column in the evaluation plan; they are not meant to be accurate representations of 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)?	UNSDCF OUTCOME/ UN WOMEN STRATEGIC PLAN GOAL, OUTCOME	REGIONAL OFFICE, MULTI-COUNTRY OFFICE AND COUNTRY OFFICE AWP OUTPUT	OFFICE IN CHARGE	REGION/ COUNTRY	JOINT ACTIVITY (Y/N, INDICATE PARTNERS)	KEY STAKEHOLDERS	PLANNED DATES (START-END)	BUDGET (US$) / SOURCES OF FUNDING	STATUS (PENDING/ INITIATED/ ONGOING/ COMPLETED)	REMARKS
Evaluations managed by the office											
Evaluation 1 (example): Evaluation of the E-Village Project	Example: Y	Example: Goal 2, Outcome 2.3	Example: Jordan AWP Output 2.1	Example: Jordan CO	Example: Jordan	Example: N	Example: Ministry of Planning, Ministry of ICT, JOHUD	Example: May-July 202X	Example: US$ 100,000, core funds	Example: Ongoing	
Evaluation 2											
Evaluation 3											
Evaluations in which the office participates											
Evaluation 1 (example): UNSDCF evaluation	Example: Y	Example: all goals & UNSDCF outcomes	Example: N/A	Example: UN RC Office	Example: Jordan	Example: Y	Example: Government, UNCT, donors	Example: May-July 202X	Example: Total: US$ 100,000; out of which UN Women contribution = US$ 30,000	Example: Ongoing	
Evaluation 2											
Evaluation 3											

The different types of evaluation presented below represent a variety gender-responsive evaluation approaches; 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 purpose of the evaluation (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 (time frame, geographical representation, breadth of programmes and projects included)?

- What are the resources available to collect the information (human, financial, time)?

- When is the information needed (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:1

- **Use of analysis**: institutional, policy, strategy, thematic, cluster, regional, country-level (CPE), programme or project evaluations, or meta-evaluation.

- **Timing**: formative (including developmental evaluations and mid-term evaluations), real-time, summative (including final evaluations) and ex-post evaluations (including impact 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 2012 sets forth requirements for undertaking each type of evaluation. Country Offices are responsible for undertaking programme evaluations, while Regional Offices can undertake any type of evaluation (see Table T1).

Categorizing evaluation by timing

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

- **Formative evaluations** are forward looking and make recommendations with the aim of improving programme performance during 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 implementation of the intervention. These are most typically undertaken in humanitarian contexts when information is needed for quick decision-making.

- **Ex-post evaluations** are typically undertaken at least one year post implementation of the intervention 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.

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1   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
Programme evaluation	An assessment of an individual UN Women programme and its outcomes	Country Office, Regional Office, headquarters division
Thematic evaluation	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.	IES or Regional Office (at least one in each of the five regions during the Strategic Plan life cycle)
Cluster evaluation	An assessment of multiple programmes in one area of work or other programming elements, such as capacity development, innovation or partnership strategies	IES or Regional Office (at least one in each of the five regions during the Strategic Plan life cycle)
Regional evaluation	An assessment of the Entity's work 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.	IES or Regional Office (at least one in each of the five regions during the Strategic Plan life cycle)
Country portfolio evaluation	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.	IES or Regional Office (at least one per country programme/plan life cycle)

APPROACH	TYPE OF EVALUATION	DEFINITION	WHEN TO USE	QUESTIONS ADDRESSED
Formative	Process evaluation	Typically assesses whether the internal dynamics of programme management and the organization will support the achievement of results. It can take place at any time during implementation of the intervention.	During implementation	Is programme management working well?
				Is the programme effectively reaching all the targeted beneficiaries?
Formative	Mid-term evaluation	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 mid-term 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?
Summative	Final evaluation	Conducted at the end of an intervention's life cycle. It focuses on 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?
Real-time	Typically humanitarian evaluation	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.[1]	Typically during the early stages of implementation of a humanitarian initiative or during transitionary 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?
Ex-post evaluation	Impact[2]	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	What is the effect of the programme/intervention on achievement of expected and unexpected outcomes/impacts?
				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)?
				What would have happened had there been no intervention (the counterfactual)?
Meta-evaluation		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	What similarities exist in findings across the evaluations?
				What lessons can be learned in terms of UN Women's role in this area?

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; its purpose; when and how to conduct such an assessment; 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 an intervention is in a condition to be evaluated, and whether the evaluation is justified, feasible and likely to provide useful information. It not only shows whether a programme can be meaningfully evaluated, but also whether conducting the evaluation is likely to contribute to improved programme performance and management. Its purpose is to determine whether 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 a programme is evaluable.
- Analysing whether an evaluation is worthwhile in terms of benefits, utility and costs.
- Identifying the changes that need to be made.
- Formulating recommendations on the purpose, scope, timing and design of an evaluation to take place at a later stage (e.g. what type 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 an evaluation is feasible and appropriate, and to 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 not only concludes if an evaluation can be undertaken, but also identifies 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 informs 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 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

HIGH EVALUABILITY

Clear theory of change/logic model •

Clear goals and objectives •

Baseline data and SMART indicators available •

Monitoring frameworks and system exist •

A relevant conducive context with adequate resources and capacities •

Clear management structure and responsibilities •

LOW EVALUABILITY

- Implicit theory of change
- Limited or no baseline data
- Poor quality SMART indicators
- Limited or poor quality monitoring frameworks and/or system
- Resources and capacities are not adequate
- Limited or poor understanding of the programme among stakeholders and no management structure

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 the assessment 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 (the evaluability assessment should be conducted at an 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 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 to assess the gender equality and human rights dimensions of the intervention.

Methodology

An evaluability assessment is a qualitative analysis.1 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. An evaluator needs to look at all of the programme pieces to fully understand what a programme does on a 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.

Figure T2. Evaluability assessment main steps

PREPARE
- Prepare a Terms of Reference (ToR) ensuring a common understanding
- Conduct stakeholder mapping
- Constitute / recruit review team

CONDUCT
- Review documentation
- Determine the information needed
- Interview main stakeholders
- Conduct field visits
- Prepare the analysis required by ToR

USE
- Feedback and review the EA with stakeholders
- Refine the programme design
- Incorporate the suggestions into evaluation ToR

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 team's first activity should be to identify the scope of the evaluability assessment, the parameters of the programme, and the individuals to be interviewed.

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 the theory of change/logic model (examine programme relevance, appropriateness and coherence) and raise the following questions:

- 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?

1 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."

Conduciveness of the context (examine stakeholder involvement, resources 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 (budget, time, technical knowledge)?

- How is the adequacy of the institutional and socio-political context (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 responsibilities, accountabilities and ownership of the programme?

- Does the programme have a transparent performance monitoring and reporting system?

7. What to do after the evaluability assessment

By conducting an evaluability assessment, an office can save a great deal of time and money by determining whether 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 the steps necessary 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 for it to be conducted internally by the respective office.

Table T3. Evaluability assessment focus areas and criteria

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

This is a template that can be used to develop the evaluation ToR. 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.

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, the GERAAS evaluation report quality checklist, the United Nations System Wide Action Plan Evaluation Performance Indicator, the United Nations Disability Inclusion Strategy Entity Accountability Framework (UNDIS) and this Evaluation Handbook. These documents serve as the frame of reference for the evaluation manager and the evaluation consultant(s) to ensure compliance with the various requirements and assure the quality of the evaluation report.

Questions to consider:

- What is the overall programme/project theme to be evaluated?

- 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, UN Security Council Resolution 1325 and Millennium Development Goals) is the programme/project contributing to?

- 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's 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 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 is the geographical scope and time frame?

- Who are the 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 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, Regional Office, Multi-Country Office and Country Office 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, coherence, effectiveness, efficiency, impact, sustainability, etc. For example:

- Assess the relevance of UN Women's 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.

- Assess the coherence of the intervention with other interventions in the country, sector or institution.

- Determine the impact of the intervention with respect to gender equality and women's empowerment.

- Analyse how a 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.

- 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:

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?

Coherence
- To what extent is the intervention aligned with other interventions (internal and external) in the sector?

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 to ensure the sustainability of efforts and benefits?
- How will the benefits of the intervention be secured for rights holders (i.e. what accountability and oversights systems were established)?

Gender equality and human rights

- To what extent have gender and human rights considerations been integrated into 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 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 Strategic Note periods, etc).
- **Geography:** Whether it will cover the entire region or selected areas where the programme has operated or provided services.
- **Thematic coverage:** Whether 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 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 methodology, design, etc.]

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 (retrospective) or in very rare cases real-time evaluation (typically utilized in a humanitarian setting).[2] The approach should also promote inclusion and participation by employing gender equality and human rights responsive approaches with a focus on utilization, empowerment[3] or feminist approaches. Gender-responsive evaluation applies mixed-methods (quantitative and qualitative data collection methods and analytical approaches) to account for the 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

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2   IES Humanitarian Rapid Assessment tool available at: https://www.unwomen.org/en/digital-library/publications/2020/05/rapid-assessment-tool-to-evaluate-gewe-results-in-humanitarian-contexts

3   Programme participants are involved in the conduct of the evaluation. An outside evaluator serves as a coach or facilitator in the evaluation process.

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 evaluation reference group, 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 report, and follow-up to 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.[4]

The methodology should outline:

- Wide range of data sources (e.g. documents, field information, institutional information systems, financial records, beneficiaries, staff, donors, 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 detail a plan on how protection of subjects and respect for confidentiality will be guaranteed

- Specify that the evaluator 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 take measures to ensure data quality, reliability[5] and validity[6] 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.

I. Stakeholder participation

This section should specify the involvement of key stakeholders (e.g. internal stakeholders, programme/project partners, donors etc.) and whether they will participate in the evaluation 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 in the evaluation process they would participate, e.g. preparation, conduct, reporting and/or follow-up and dissemination stages.

It is important to pay particular attention to the participation of rights holders – in particular women and vulnerable and marginalized groups (including persons with disabilities) – 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 to allow for the iterative feedback process on the deliverables. A sample time frame required for each phase of the evaluation is shown in Table T4 below:

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4 UN-WOMEN IES's "Good Practices in Gender Responsive Evaluation" available here: https://www.unwomen.org/en/digital-library/publications/2020/06/good-practices-in-gender-responsive-evaluations

5 **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).

6 **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.

Table T4. Sample time frame required for each phase of the evaluation

Task	Time frame	Person Responsible
Final ToR (after consultations with the evaluation 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 the evaluation 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 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 Pledge of Commitment to Ethical Conduct in Evaluation should be provided.

Annexes

After 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 and Standards: http://www.unevaluation.org/document/detail/1914.

- UN Women Evaluation Handbook

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)

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.

Evaluation criteria	Key question(s)	Sub-question(s)	Indicator(s) data	Collection method(s)	Data source	Assumptions
Relevance	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?	• Alignment with national plan on gender equality • Number of meetings with national counterparts etc.	•Document analysis •Monitoring records •Interviews	• National government website • UN Women programme staff • National counterparts	•Information is available • National counterparts are willing/able to meet
Effectiveness	What is the progress towards results to which UN Women has contributed?	Did UN Women effectively coordinate with relevant partners to achieve results? What are the enabling and limiting factors that contributed to the achievement of results and what actions need to be taken to overcome any barriers that limit progress?	• Evidence of contribution to results as outlined in the programme/project plan and articulated in the theory of change • Evidence of effective consultation with key partners • Evidence of unintended effects of UN Women (positive or negative), including on excluded/more vulnerable groups and men/boys	•Document analysis (annual and donor reports, etc.) •Monitoring records •Interviews •Survey •Case study	• All key stakeholders • UN Women programme staff • UN Women websites • National government websites • Project implementation sites	• Information is available • National counterparts are willing/able to meet
Etc.						

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					

- **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 evaluation and promotes a high level of stakeholder participation.[1] **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.[2]

- **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. Therefore, 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 to contribute freely because privacy and confidentiality issues are addressed), class or caste, and distance (favouring the more accessible). The choice of location, timing and language used by the evaluator during the data gathering process 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 learned but also how they 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 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. 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[3] and validity[4] of the evaluation findings, and helps to explore whether different stakeholder groups benefitted differently and why.

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

See UN WOMEN IES knowledge product: Good Practices in Gender Responsive Evaluation for good and promising gender evaluation approaches. Available online here.

See UN Women IES guidance on the Inclusive Systemic Evaluation for Gender equality, Environments and Marginalized voices (ISE4GEMs) approach. Available online here.

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1   For more information, see the Appreciate Inquiry Commons available online at: http://appreciativeinquirey.case.edu/.

2   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.

3   **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).

4   **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.

This is a template that can be used to develop the evaluation management group's ToR. 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.

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 (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, e.g. 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 evaluation 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, regional evaluation specialist and key programme staff.

The evaluation manager will lead the day-to-day management of the process and will consult with the management group on 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 management group meetings.

- Approve the consultant/firm selected to conduct the evaluation.

- Participate 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 evaluation management group composition includes the following:

UN WOMEN MANAGEMENT GROUP FOR [EVALUATION TITLE]	
Name	**Title, Unit/Division/Office**

This is a template that can be used to develop the evaluation reference group ToR. 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.

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, e.g. 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 evaluation 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 a 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 evaluation findings and implementation of the management response.

- Participate in any reference group meetings.

- 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**

METHOD	ADVANTAGES	DISADVANTAGES
Review of documentation (made available to the evaluator or collected by evaluator)		
	• Inexpensive • Relatively fast and easy	• Limited to documents available • Difficult to verify quality of information • Leaves out tacit and informal knowledge
Interviews (conducted by the evaluator or trained researcher)		
• UN Women management or staff • Stakeholders involved in or affected by the intervention	• Provide context of the topic being evaluated • Suitable for complex or sensitive topics • Increased depth and detail	• Time consuming (in arranging and conducting interviews) • Cannot generalize findings • Can be costly if the evaluator and interviewees must be in the same location (video-conferences may be possible but may limit the effectiveness and number and type of participants)
Focus group sessions (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).		
• UN Women management or staff • Stakeholders involved in or affected by the intervention	• Faster and more cost-effective than individual interviews • Group interaction may bring out nuances	• Inability to give views anonymously • Responses cannot easily be compared or generalized
Survey (written questionnaire, web-based questionnaire, or telephone survey, etc.)		
• UN Women management or staff • Stakeholders that are close to the programme implementation	• Relatively inexpensive • Ability to reach more stakeholders • Summarizes findings in a clear and precise way • Depending on the size of the sample, suitable for comparison of findings	• Risk of losing subtle differences in responses • Usefulness depends on response rate • Difficult to verify quality of information
Observation (key meetings, processes or events)		
• By evaluator or trained researchers	• Ability to observe firsthand the programme or initiative "in action"	• Depending on the location, could be expensive and time-consuming (in arranging and conducting meetings etc) • Cannot easily be compared or generalized • Bias may be introduced if the participants are aware of the evaluators presence

SECTION 1: OBJECT AND CONTEXT OF THE EVALUATION **Does the report present a clear and full description of the 'object' of the evaluation?**

1.1 The report clearly specifies the **object** of the evaluation, and provides a clear and complete description of the **intervention's original logic** (e.g. expected results chain or theory of change), timeframe, intended beneficiaries by type, geographic location(s) as well as the planned budget of the intervention.
Note: Please address all aspects of this sub-criteria. If the project did not have a ToC, clearly outline the expected results of the intervention and how the activities were expected to lead to the results.

1.2 The **context** 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.
Note: This section should be concise but sufficient to cover key contextual issue.

1.3 The **key stakeholders** involved in the implementation, including the implementing agency(ies) and partners, other stakeholders and their roles are described.
Note: Remember to include not only a list of partners but also a description of their main activities and/or the role they had in the implementation of the intervention in the body of report. Detailed description and stakeholder analysis can be provided in annexes.

1.4 The report identifies any changes in the **timeframe and/or implementation plans** (e.g. original plans, strategies, logical frameworks), provides an explanation for these and for any implications these may have had regarding the evaluation. d
Note: Remember to identify the implementation status of the object, including its phase of implementation and any significant changes.

SECTION 2: PURPOSE, OBJECTIVES AND SCOPE **Are the evaluation's purpose, objectives and scope sufficiently clear to guide the evaluation?**

2.1 Purpose, objectives and use of evaluation: The evaluation report provides a clear explanation of the purpose and the objectives of the evaluation, including the intended use and users of the evaluation and how the information will be used.

2.2 Evaluation Scope: The evaluation report provides a clear description of the scope of the evaluation, including a description of the timeframe and outputs/outcomes covered, and not covered (thematically, geographically etc.) as well as the reasons for this scope (e.g. specifications by the ToR, lack of access to particular geographic areas for political or safety reasons at the time of the evaluation, lack of data/evidence on particular elements of the intervention).

SECTION 3 : METHODOLOGY

Is the methodology used for the evaluation clearly described and appropriate, and the rationale for the methodological choice justified?

3.1 Methodology: The report provides a complete description of the methods used for data collection and analysis, the chosen evaluation criteria and evaluation questions, and demonstrate that the methods chosen are appropriate to inform the responses to the criteria and questions.

Note: An evaluation matrix containing the evaluation questions in each evaluation criteria, the indicators, the data sources and methods for data collection is useful to show these, but it is still important to include some explanations in the body of the document to clearly demonstrate that the methods are appropriate for triangulation. Remember to keep this section succinct and use annexes to provide detailed information.

3.2 Data collection, analysis and sampling: The report clearly describes the tools used for data collection and the rationale for their selection as well as the sampling strategy and methods used for data analysis. The report includes discussion of how the mix of data sources was used to obtain a diversity of perspectives, to guide the assessments of GE/HR specific results and to ensure data accuracy and completeness.

Note: Please describe not only the types of data collection tools used (e.g. surveys, KIIs, desk review) but also how the data was collected (where, when, who, how) and what steps were taken to analyze it. Remember to include a description of original sampling strategy and the extent to which it covers the range of stakeholders involved in the intervention, with a clear justification of the selection of the targeted sample. Use annexes to provide detailed description.

3.3 Stakeholders Consultation: 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.

Note: Include a stakeholder mapping, showing that the consultation process was comprehensive to assure the reader that the selection of KIs and/or survey participants was appropriate and representative of the universe of project stakeholder (in line with descriptions under item1.3 above). Use annexes to provide detailed description.

3.4 Limitations: The report presents a clear and complete description of limitations and constraints faced by the evaluation and if/how these were mitigated (e.g. gaps in the evidence, biases due to limits in stakeholder consultations, etc.).

3.5 Ethics: The evaluation report makes explicit references to the ethical obligations of the evaluators and shows evidence that data collection and tools adhered to these ethical principles, (e.g. mechanisms and measures were implemented to ensure that the evaluation process conformed to relevant ethical standards, including but not limited to, informed consent of participants, confidentiality and avoidance of harm considerations).

Note: Mentioning/referencing UNEG standards in the report does not amount to sufficient evidence that the data was actually collected with sensitivity to ethics and discrimination. It is a good practice to provide a clear explanation as to how the evaluation adopted these, showing examples of tools and processes used were sensitive to ethical considerations (e.g. consent, confidentiality) and were not discriminatory against particular group's participation (i.e. were interviews or focus groups held in a location, at a time, in a setting, using language/translation, that is appropriate and respectful; and facilitates the participation of a full range of stakeholders). Use annexes to provide detailed description.

SECTION 4: FINDINGS
Are the findings well substantiated, clearly presented, relevant and based on evidence?

4.1 Findings are presented with clarity, logic and coherence (e.g. avoid ambiguities).
Note: It is a good practice to clearly outline the findings in the report, preferably using a "set" of findings statements, with clear articulation and conciseness, followed by substantiation and full demonstration of the evidence used to formulate the findings' statements.

4.2 The evaluation findings are **well substantiated, and provide sufficient levels of high quality evidence** to systematically ad-dress the evaluation questions and criteria.
Note: Ensure the findings narrative are consistent with the findings statements and fully back the statement, showing the evidence and triangulation clearly.

4.3 Findings reflect systematic and **appropriate analysis** and interpretation of the data; they are free from subjective judgments.
Note: in addition to describing the implementation of activities and completion of outputs, include an analysis of their contributions towards the intervention outcomes.

4.4 Are **cause and effect links** between an intervention and its end results explained and any unintended results highlighted?
Note: Remember to include information on both the cause/effect links and unintended results

SECTION 5: CONCLUSIONS AND LESSONS LEARNED
Are the conclusions clearly presented based on findings and substantiated by evidence?

5.1 Conclusions are well substantiated by the evidence presented and are logically connected to evaluation findings.
Note: Conclusions are not summaries of findings but they are formulated from the analysis and interpretation of the findings, giving meaning to them.

5.2 The conclusions reflect reasonable evaluative judgments that add insight and analysis beyond the findings.
Note: Conclusions should provide explanations for the findings and form the basis for recommending actions or decisions that are consistent with the conclusions.

5.3 Conclusions present the **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.

5.4 Lessons Learned: When presented, the lessons learned section stems logically from the findings, presents an analysis of how they can be applied to different contexts and/or different sectors, and takes into account evidential limitations such as generalizing from single point observations.
Note: The lessons learned from an evaluation comprise the new knowledge gained from the particular circumstance (initiative, context outcomes and even evaluation methods) that is applicable to and useful in other similar contexts. They should demonstrate the intervention experience and be generalized to enable applicability by other interventions.

SECTION 6: RECOMMENDATIONS

Are the recommendations relevant, useful, actionable and clearly presented in a priority order?

6.1 Recommendations are well grounded on the evaluation, logically **derived from the findings and/or conclusions.**
Note: The recommendations should be complete in number and depth, reflecting the analysis in the findings and conclusions and address the issues identified earlier.

6.2 The report **describes the process** followed in developing the recommendations including consultation with stakeholders.
Note: Include a relevant explanation on the extent to which the evaluation participants were specifically consulted for the formulation of the recommendations and/or the level of participation of stakeholders in this evaluation stage.

6.3 Recommendations are clear, realistic (e.g. reflect an understanding of the subject's potential constraints to follow-up) and actionable.

6.4 Clear **prioritization and/or classification** of recommendations to support use.

SECTION 7: GENDER AND HUMAN RIGHTS

Does the evaluation meet UN SWAP evaluation performance indicators? Note: this section will be rated according to UN SWAP standards.

7.1 GEWE is integrated in the **evaluation scope** of analysis and evaluation criteria and questions are designed in a way that ensures GEWE related data will be collected.
Note: Refer to the UNEG UN-SWAP Evaluation Performance Indicator Technical Note for guidance on this section.

7.2 A **gender-responsive methodology,** methods and tools, and data analysis techniques are selected.
Note: it is not enough to simply describe the methodology as "gender-responsive", it is important to demonstrate that the data collection and analysis integrated gender considerations; that data was collected disaggregated by sex; that methods/tools were designed to enable GEWE assessments; and/or that processes employed (i.e. sampling, triangulation, validation) ensured inclusion and enabled data for GEWE analysis.

7.3 The evaluation findings, conclusions and recommendation reflect a gender analysis.
Note: Please address all aspects of this sub-criterion.

SECTION 8: THE REPORT PRESENTATION

Is the report well structured, written in accessible language and well presented?

8.1 Report is **logically structured, concise and of reasonable length, well written and presented** with clarity and coherence (e.g. the structure and presentation is easy to identify and navigate (numbered sections, clear titles and subtitles, context, purpose and methodology would normally precede findings, which would normally be followed by conclusions, lessons learned and recommendations) and is written in accessible language with minimal grammatical, spelling or punctuation errors.
Note: Reasonable length for project/programme and CPE evaluations is about 40 pages (excluding Annexes 60 pages); and 50 pages for institutional and thematic evaluations (excluding Annexes 60 pages).

8.2 The **title page and opening pages** provide key basic information on the name of evaluators and, timeframe of the evaluation, date of report, location of evaluated object, names and/or organization(s) of the evaluator(s), name of organization commissioning the evaluation, table of contents including, as relevant: tables, graphs, figures, annexes-; list of acronyms/abbreviations, page numbers.

8.3 The Executive Summary is a stand-alone section that includes an overview of the intervention, evaluation purpose, objectives and intended audience, evaluation methodology, key findings, conclusions and recommendations. The Executive summary should be reasonably concise.
Note: Executive Summaries should be maximum 5-6 pages long.

8.4 Annexes should be of reasonable length and include, when not present in the body of the report: ToR, evaluation matrix, list of interviewees, list of site visits, data collection instruments (such as survey or interview questionnaires), list of documentary evidence.
Other appropriate annexes could include: additional details on methodology, copy of the results chain, information about the evaluator(s).
Note: Annexes should be maximum 60 pages long.

Additional Information

Identify aspects of *good practice* of the evaluation
Note: This section is to be populated by the QA Reviewer only, based on the overall Evaluation Report. No need to identify specific elements related to this section.

SECTION 9: DISABILITY INCLUSION

Is disability inclusion mainstreamed effectively throughout the evaluation process and reflected in the evaluation report?

9.1 The terms of reference of evaluation pays adequate attention to disability inclusion and evaluation team has knowledge and/or experience of disability inclusion, where relevant.

9.2 Evaluation report covers different aspects of disability inclusion through evaluation questions, stakeholder mapping and/or data collection methods.

9.3 Evaluation provides data and evidence on disability inclusion and the conclusions and/or recommendations of evaluation reflect any findings on disability inclusion.

The evaluation dissemination strategy is fundamental for facilitating the use of evaluation results. It is also an essential way to ensure a gender-responsive evaluation, as it is a means to identify 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. Table T5 below summarizes the key actions to be taken during each stage of the process.

Table T5. **Key steps in preparing and implementing the evaluation dissemination strategy**	
Evaluation phase	Evaluation dissemination plan
Initiation and preparation	
1. Budgeting	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.
2. Stakeholder analysis	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).
3.ToR	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	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, email, etc. **NOTE:** The need to maintain confidentiality should be considered in any request for a list of contacts.
Report writing	While the evaluation report is being drafted and finalized, the evaluation task manager should begin to develop the dissemination strategy by: • Reviewing the contact lists developed during the data collection stage and sort the list according to country and type of stakeholder. • Reviewing the "key audiences" identified in the evaluation dissemination strategy matrix (please refer to Tool 15A) and updating and revising it as needed to ensure it includes all stakeholders who would be interested in receiving the evaluation results. • 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. • Contacting relevant clusters, Regional Offices, Multi-Country Offices and Country Offices 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. • Identifying and recruiting vendors as needed (copy-editor, translators, designers, printers, consultants, etc.). *Tip: Refer to the UN Women Vendors Database located in the Communications section of the Intranet to help you identify appropriate vendors.* • Organizing dissemination events (workshops, webinars, press conferences, etc.). • Using social media tools, e.g. Internet forums, weblogs, social blogs, microblogging, wikis, social networks, podcasts, social bookmarking, etc. The evaluation dissemination strategy matrix (Tool 15A) is the key tool to assist in the development of the strategy.

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

Follow-up and use	
Development of management response	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: • Development of any identified knowledge products • Copy-editing, translation, designing and printing of the report and knowledge products • Translation of the management response, as relevant • Organization of dissemination events or forums • Media contact Note: The management response should also be disseminated to key stakeholders and uploaded in GATE.
Finalization and implementation of the dissemination strategy	The global, regional or country dissemination strategies should be implemented as follows: • Finalize development of printed report and knowledge products in relevant languages • Hold dissemination workshops or events • Distribute report and knowledge products as identified. Tip: use the distribution template and mailing lists located in the Communication section of the intranet. Note: All evaluation reports and knowledge products and management response should be uploaded in the UN Women Global Accountability and Tracking of Evaluation Use (GATE), along with any other dissemination products, e.g. pamphlets, PowerPoint presentations, etc.

As you develop and complete this matrix, it is very important to define a corresponding timetable 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[1]	Purpose[2]	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

1   **Key identified audiences are:**
> **Internal** UN Women audiences
> **UN** entities
> **Government** and other national partners
> **Subregional** partners
> **Regional** partners

2   **The key dissemination purposes include:**
> **Transparency** and accountability
> **Informing** and improving UN Women's 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

Different stakeholders involved in the evaluation process have different expectations and needs related to the evaluation. It is necessary to identify these 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
UN Women programme managers	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.
Beneficiaries	They usually expect that an evaluation will contribute to clarifying management aspects and to improving the 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.
Governments and decision makers	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.
Donors and consultative committees or boards	Expectations are related to accountability, with a special focus on the efficient use of the resources and the results generated.
UN agencies	They are interested in UN Women's work in order to identify the most effective approaches to advance gender equality and lessons on what does and what does not work.
Evaluation community	Expectation that agencies conducting evaluation of development work disseminate evaluation results through evaluation networks. This is particularly important in that it increases UN Women's contributions to enhancing evaluation practice from a gender equality and human rights perspective.
Gender advocates	Expectation that evaluation results can contribute to the knowledge base on programming and policymaking 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's work are also key audiences for evaluation results. They may be solely focused on gender or 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.

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
Evaluation report (printed and electronic versions)	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 electronic and memory stick versions of the report. 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.
Briefs and pamphlets	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 pleasing. More people read this than the full report.
Evaluation blurbs and announcements	There are also different techniques to announce an evaluation publication. For instance "who should read this evaluation announcement" generates interest from non-evaluation audience groups by relating publication content to thematic work areas. It is recommended that evaluation reports are published with an attractive design for wide distribution among target audiences (beneficiaries, donors, programme managers). Electronic versions of evaluation reports and products are often posted on websites or distributed by email. They should be accompanied by a one-paragraph description that generates interest and facilitates the visibility and announcement of the publication.
Lay summaries	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.
Internet and information technology	Internet, intranet, email and virtual forums: an online dissemination strategy also includes an email announcement with links to the full publication on the UN Women website and website announcement with link to full publication. Creating a shorter targeted email announcement of a new publication generates interest without overwhelming the recipient with information.
PowerPoint presentation for webinars and other meetings	Developing a PowerPoint presentation that can supplement an oral presentation of evaluation results at webinars, meetings and workshops. In many cases oral presentations are the best option to communicate evaluation results, especially for those key stakeholders that we assume will not have time to read the full evaluation report.
Graphic novels and storytelling	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.
Audiovisual and social media	Evaluation reports and knowledge products do not always need to be communicated in written form. Making use of audiovisual technology to produce videos, short movies, songs, computer animation, etc. to communicate the findings is encouraged. These may be particularly useful to reach stakeholders with low literacy levels. With the multiple options that social media provides, it is also important to make good use of the different tools available, e.g. the UN Women Facebook page, Twitter, evaluation wikis, evaluation weblogs, etc.

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 training
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. Training
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

Management responses should be prepared for all UN Women evaluations, 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 that 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 (e.g. in UNSDCF 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 format 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.

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 Number
[Copy from evaluation report]

Management response [The management response specifies the reaction to the recommendation and highlights the 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 a 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.				

[ADD MORE BOXES AS NECESSARY]

The Data Management Guidance provides direction for UN Women personnel involved in IES activities on how to manage data in alignment with UN Women policies as well as evaluation norms and standards.

Accordingly, it is intended to:

- establish guiding principles across evaluative practice based on organizational and professional standards;

- foster responsible and ethical evaluation practice around the acquisition, retention and use of data; and

- contribute to risk mitigation and management taking into account fundamental human rights.

The scope of the guidance is limited to the evaluations conducted by IES personnel. However, IES recognizes that UN Women commissions independent evaluations to third-party consultants and organizations. Under such circumstances, it is the responsibility of the evaluation manager to collect a declaration from the third party ensuring that the data protection principles of the third party's country office and that of UN Women will be adhered to.

IES roles and responsibilities in implementing the data management guidance are outlined below following the overall evaluation phases, which are centered around preparation and implementation of the Data Management Plan.

EVALUATION PHASE	TASK	DESCRIPTION	RESPONSIBLE
Preparation	Establish data management profile	Reflect on the data management profile during planning phases of the evaluation, including types of stakeholders that will be consulted and the issues covered	Team leader
Conduct	Create the Data Management Plan included in the inception report	Data Management Plan explains whether the evaluation will generate personal data as well as sensitive personal data, for what purposes and what use, then how this will be appropriately treated	Team leader
	Approve Data Management Plan	Seek approval from the evaluation manager on proposed Data Management Plan	Team leader
	Administer informed consent during data collection	Administer informed consent language through inclusion in relevant data collection methods, such as interviews and surveys, through written or verbal means	Team leader and members
	De-identify data and ensure storage with restricted access rights	Ensure de-identification of personal data and appropriate storage on encrypted measures with restricted access rights to immediate evaluation team	Team leader and members
Reporting	Ensure data protection in report writing	Guarantee that confidential information is not publicly disclosed in report writing	Team leader and members
Use and follow-up	Archive data for up to four years ensuring appropriate storage	Establish clear rationale on which data will be archived for possible subsequent research following the Data Management Plan	Team leader and members
	Destroy raw data	Any data that is not deemed to be re-used will need to be destroyed/deleted from all files	Team leader and members

DATA MANAGEMENT PLAN

Collection of data and study materials

Are these digital or non-digital data/materials?
Are these new or existing data/materials?
Type(s) *(survey/questionnaires, audio-visual files, physical objects etc.)*
Methods of data/materials collection
Approaches to ensuring quality *(file naming conventions, peer review, controlled vocabularies, repeated measurements, data validation/verification rules)*

Treatment of consulted populations

Determination of study population characteristics (vulnerable or not), evaluation topics (sensitive or not), and accordingly the informed consent approach
Informed consent protocol (building on below template and checklist)

Storage, security and backup

Where will you store your data/study materials?
Approaches to securing data and study materials *(How will you mitigate risks? If applicable, consider ways to secure your data/study materials while in transit)*
What is your backup strategy? *(who is responsible for backing up your data, how often,*
location of backup copies, etc.)
Are you using any personal, identifiable or pseudonymised data? *(If so, reach out to the UN Women data protection officer on handling sensitive, personal and special categories of data)*
What software/ platforms are you using for data analysis and cleaning (including transcribing interviews) and what security measures are in place?

Archiving, preservation and curation

How long will you preserve the data/output? *(UN Women recommends preserving data for four years, covering the four-year Strategic Note period)*
How will you remove personally identifiable information and archive the data *(archive digital and/or non-digital materials?)*
If applicable, how will you dispose of any evaluation data?

Discovery, Access and Sharing

Limits of data access and sharing *(any ethical, legal and /or commercial constraints on data sharing?)*
Ethical issues,
Usage licenses
Data sharing statement

Responsibilities

Evaluation Team Lead
Evaluation Manager

Informed consent template

In typical IES projects that are consulting non-vulnerable populations regarding non-sensitive topics (e.g. interviews with UN Women personnel on organizational performance), the informed consent approach can integrate the below suggested areas into interview, survey, focus group and other data collection protocols. Italicized text in parentheses requires further specification or indicates guidance. Text highlighted in grey should be included depending on participation of vulnerable populations and/or coverage of sensitive topics, especially where any participation may carry risks.1

Purpose and procedures

Hello, my name is _____. I work with UN Women (an international organization focused on women's empowerment and gender equality). I am speaking with you today because we are conducting an evaluation about _____. We are inviting you to participate in this evaluation through this (interview/survey/focus group), whose purpose is to _____. This will take approximately (duration) of your time.

We hope that this evaluation will help us better understand _____ in order to improve future _____ (If there is a benefit to participants, state it clearly, and/or describe how *evaluation impacts public good*). If you choose to participate, you will be asked to complete this (*interview/survey/focus group*) covering _____. For this evaluation, participants were identified based on _____ (*experimental assignment*).

For your participation, you will receive (*compensation*). We may wish to follow up with you, in the next (*time frame*), but you are free to decline participation in the follow-up if you wish.

Risks and rights

Your participation is completely voluntary. (*Insert whether there are any risks or outline questions that could distress participants).* You are free to decline participation, skip any question that makes you feel uncomfortable or stop the interview at any time.

Confidentiality

The answers you provide will be kept confidential to the extent possible. The answers you provide will only be accessible to the evaluation team and individuals from UN Women who oversee the evaluation. UN Women will destroy your personal data as soon as it is no longer needed for the evaluation. Aggregate data that cannot be linked to you personally may be used for publications, and UN Women evaluations are made public. Only information that does not identify you may be shared with other people or organizations. You may be contacted to participate in follow-up data collection or another evaluation at a future date.

You can get in touch with the evaluation team to request access, verification, rectification, and/or deletion of your personal data at any point in time during the course of this evaluation.

Contact information and questions

Please contact (Team Leader name and local phone number), if you have questions about the evaluation. Do you have any further questions?

Response

If I have answered all your questions, do you agree to participate in this evaluation? *(Provide participant opportunity for verbal or written consent.)*

Do you agree to be contacted in the future for follow-up data collection? Do you agree to be recorded? Do you agree to have the GPS coordinates recorded?

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1   IEAS policy is to not record individual interviews; however, if the evaluation team finds it necessary to record focus groups or large meetings, then the following language should be included: We plan to record a portion of this interview for (give reason for recording) purposes. This is voluntary, and you are free to decline if you do not wish to be recorded.

INFORMED CONSENT CHECKLIST

The following checklist aims to assist in elaborating the informed consent using criteria applicable to all IES projects (required), and additional criteria for certain projects (where

CHECKLIST AREA	YES	NO
All IES projects (required)		
Evaluator introduces him/herself including affiliation		
Describes the purpose of the evaluation and data collection		
Consent is administered in a language that the participant understands, and that excludes jargon or confusing language, ensuring that phrasing is clear, comprehensible and concise		
Statement of voluntary nature of participation and duration		
Statement on confidential nature of participation to the extent possible		
Contact information is provided for further questions about their rights as participants		
Space for questions and verbal/written consent (yes/no)		
IES projects involving vulnerable populations and/or covering sensitive topics (where applicable)		
Description of overall procedures to be followed, including selection of persons for voluntary participation		
The individual and global benefits of the evaluation are described, as well as the contents of the survey/interview/focus group (i.e. demographics, education, savings behaviours, etc.)		
A statement that the consultation or procedures may involve risks to the subjects (that are currently unforeseeable), and adequate description of such risks or discomforts (i.e. if some questions make respondents feel uncomfortable)		
Clearly state if there are any costs associated with participation, and if so, specify what they are		
In exceptional cases, where recording of certain interviews will take place, procedures for any recording including: · If recordings will be taken and what type (audio/video) · When and why the recordings will be taken · How the recordings will be kept confidential and when they will be destroyed · Whether being recorded in this manner is a requirement of participation, and if not, how participants can express that they would not like to participate		
Any compensation for participation, such as a payment or gift		
Statement that refusal to participate or withdraw at any time will not lead to penalty or loss of benefits		

UN WOMEN IS THE UN ORGANIZATION DEDICATED TO GENDER EQUALITY AND THE EMPOWERMENT OF WOMEN. A GLOBAL CHAMPION FOR WOMEN AND GIRLS, UN WOMEN WAS ESTABLISHED TO ACCELERATE PROGRESS ON MEETING THEIR NEEDS WORLDWIDE.

UN Women supports UN Member States as they set global standards for achieving gender equality, and works with governments and civil society to design laws, policies, programmes and services needed to implement these standards. It stands behind women's equal participation in all aspects of life, focusing on five priority areas: increasing women's leadership and participation; ending violence against women; engaging women in all aspects of peace and security processes; enhancing women's economic empowerment; and making gender equality central to national development planning and budgeting. UN Women also coordinates and promotes the UN system's work in advancing gender equality.

UN WOMEN