



With prefaces  
by the Presidents  
of IDEAS and IOCE

# Evaluation Working Papers

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## New Trends in Development Evaluation



International Program  
Evaluation Network



The Evaluation Working Papers (EWP) are documents that present strategic evaluation findings, lessons learned and innovative approaches and methodologies. We would like to encourage you to propose relevant papers that could be published in the next EWP issues. Papers can be prepared by UN staff, consultants and partners.

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# **New Trends in Development Evaluation**

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## **PREFACE:**

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## Preface by IDEAS President

Over the past years, a new development consensus has emerged, focused on sustained poverty reduction driven by economic growth; the removal of social and structural constraints to economic and human development; reforms that are owned by those who must carry them out; and an intent, especially in the public sector, to manage for results and measure for performance.

Developing national capacities in evaluation is part of the vision for the future of the International Development Evaluation Association (IDEAS) – an initiative that may bring us one step closer to sustainable development. Following the IDEAS 1st Biennial Conference in New Delhi in 2005, I am gratified that the UNICEF CEE/CIS Regional Office and IPEN have taken up the challenge to explore how to implement a democratic approach to evaluation.

Along with our peers in other international development agencies and organizations, IDEAS has been preoccupied with some significant changes in the global landscape of development that have important implications for the evaluation function. The most fundamental change is the shift from evaluating ‘aid’ to evaluating ‘development’ which will require a new approach to evaluation that encompasses management for development results, human development, human rights, public accountability, country-based evaluation, and national ownership.

- Human rights and sustainability have become increasingly central to development. Beyond economic growth, the paradigm of development is shifting to focus on whether interventions result in equity and equality for citizens and communities.
- New forms of collaboration and partnerships between and among development agencies and donors, governments, civil society, the private sector, academia, and evaluation professional organizations will be needed if we are to advance evaluation beyond the traditional paradigm of aid effectiveness.
- Involving developing countries in the evaluation process will require major donor commitments to building evaluation capacity in developing countries, not only in terms of funding, but also in establishing governance arrangements that give substantive control of the agenda to those countries and that involve citizens in the development and evaluation of interventions designed for their benefit.
- Evaluating environmental sustainability – As a result of the significant deterioration of the earth’s ecosystems in the last 50 years, there is growing recognition of the need for methodologies to assess the environmental impacts and sustainability of development interventions.
- Developing an evaluation culture – Evaluation information is valuable only when it is recognized and used by decision makers. This implies the need to generate reliable information (by setting standards) and increasing demand for evaluation information by educating both decision makers and stakeholders about the value of such information.

UNICEF and IPEN, given their experience in both UN evaluation reform and newly-formed democracies, are well placed to advance this agenda and to advocate for a democratic approach to evaluation.

It is encouraging that the 1st IDEAS Biennial Conference has stimulated a desire to move forward with new research and initiatives in evaluation, and I hope that this valuable and informative paper from the UNICEF CEE/CIS Regional Office and IPEN will encourage other agencies to contribute to the dialogue.

Marie-Hélène Adrien, President, IDEAS

## **Preface by IOCE President**

Evaluation interest, activities, personnel and organizations are growing around the world. The International Organization for Cooperation in Evaluation (IOCE) is dedicated to fostering this development by working with national and regional evaluation organizations, networks and groups. The mission of IOCE is "To help legitimate evaluation and support evaluation societies, associations and networks so that they can better contribute to good governance, effective decision making and strengthen the role of civil society." Working with national and regional organizations and networks, IOCE promotes worldwide cooperation and partnership in evaluation, fosters the cross fertilization of evaluation ideas and approaches, promotes high professional standards for the field, and catalyzes an open and global perspective among evaluators.

IPEN is one of the newest members of IOCE and is a good example of an evaluation network that formed out of regional and local needs and interests. IPEN has developed a structure that suits the evolving realities in the region and fosters the development of evaluation activities and professionals. IPEN is on a track similar to other regional networks in Latin America and Africa, which have grown in strength and influence. The benefits of regional evaluation networks and organizations extend beyond the boundaries of the region, as these new evaluators contribute unique perspectives to the international evaluation community, in both the developing and developed world.

This paper discusses evaluation issues that are relevant not only to CIS countries but also to others around the world. The optimal organization of and implementation of the evaluation function are issues that concern many who are involved in evaluation. The perspectives in this paper will contribute to a strengthened evaluation function in the CIS countries, which will have valuable lessons and ideas for others.

I salute the initiative of UNICEF CEE/CIS and IPEN to partner together to strengthen the evaluation function in CEE/CIS. Partnerships and collaborations between those with different levels and types of evaluation experience are a critical ingredient in producing strong evaluations, adapted to the regional and national contexts. This paper is an important first step toward achieving that reality for the CIS countries. IOCE stands ready to assist UNICEF CEE/CIS and IPEN as they implement the ideas presented here.

Ross Conner, President of the Board of Trustees  
International Organization for Cooperation in Evaluation

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## **I. Acknowledgement**

The editor would like to thank Marie-Helene Adrien, President of IDEAS (International Development Evaluation Association) and Ross Conner, President of IOCE (International Organization for Cooperation in Evaluation) for their valuable prefaces to this Evaluation Working Paper. IDEAS and IOCE are strategic players in strengthening the evaluation function worldwide, and a potential partnership between UNICEF CEE/CIS, IPEN, IDEAS and IOCE to foster the evaluation function in Eastern Europe and Central Asia would be strategic.

The editor would also like to thank Alexey Kuzmin, Chairman of the International Program Evaluation Network (IPEN) Board of Trustees, and Inessa Frants, Asel Abdykadyrova, Liubov Palivoda, Afar Karimov, Djahangir Efendiev, Seymour Usifli, Alexander Borovykh, Ekaterina Greshnova, Vladimir Balakirev, Elena Konovalova from IPEN for their valuable effort to present the status of the evaluation function in the Newly Independent States. This article is of paramount importance as, for the first time, it provides an assessment developed by national and regional stakeholders.

Last but not least, the editor would like to thank Fabio Sabatini, Regional Programme Officer, Maria Calivis, Regional Director, and Shahnaz Kianian-Firouzgar, Deputy Regional Director, UNICEF Regional Office for Central and Eastern Europe and the Commonwealth of Independent States, for their continuous support in fostering the evaluation function in the region.

## **II. Introduction**

This working paper was conceived to stimulate debate on new trends in the evaluation function within the Post-Paris new Aid architecture and the UN Reform, and to explore the status of the evaluation function in CIS countries. Though this paper is not a technical manual or handbook, the authors made every effort to offer practical proposals on how to implement a democratic approach to evaluation.

The paper is divided into three parts. In the first part, Segone presents the evolution of the evaluation function in the context of UN Reform and a changing Aid architecture. This part is mainly based on the discussion and outcomes of the IDEAS 1st Biennial Conference held in New Delhi in 2005 and conceptual discussions within the UN. Samuel Bickel presents an assessment of the status of the evaluation status worldwide, based on the address he delivered at the 2005 IPEN Conference held in Kazakhstan. Quesnel introduces how the growing professional evaluation organizations are instrumental to strengthen the evaluation function worldwide. Segone then presents thoughts on the scope of the evaluation function.

In the second part Segone proposes a strategy for improving the evaluation function through strengthening a pro-evaluation culture and a democratic approach to evaluation. Kushner, one of the world's leading thinkers on Democratic evaluation, presents his thinking on the relationship between Evaluation and Democracy.

In the third part, six members of IPEN, coordinated by Kuzmin, analyse the evaluation function in CIS countries, giving important information on its status and trends. This piece is particularly important as it is one of the few existing documents on the evaluation function in CIS countries.

Finally, the annexes give practical information on how to access international evaluation resources via the Internet and present the UN Evaluation Norms and Standards and guidelines on how to develop evaluation ToR.



# 1: Why Evaluate?

## *The evolution of the evaluation function*

by *SEGONE, Marco*

Traditionally, in the context of international development assistance, the objective of evaluation has been to measure project and programme outputs and outcomes. According to Cracknell (1988), in the 1950s evaluation began to be implemented in US-based organizations (World Bank, UN, USAID), focusing on appraisal rather than evaluation. Agencies were trying to design projects according to a logical model and to establish mechanisms and indicators to measure project outputs. In the '70s the Logical Framework Approach (LFA) was developed as a tool for planning, implementing, monitoring and evaluating projects according to criteria that permit measurement of successful outputs. Clearly, at this stage we can speak of results-focused evaluation, highlighting evaluation as a product and not as a process.

### Box 1: Stages in evaluation thinking and practices

Stage	Objective	Focus
First generation 1950s – '70s	Measurement/comparison	Results
Second generation 1980s	Transparency/accountability	Results
Third generation 1990s	Understanding/learning/decision making/positive accountability	Results/process/ utilization

*Source: Segone, 1998.*

In the second phase, during the 1980s, there was an expansion of interest in evaluation. International agencies began institutionalizing evaluation and evaluation units were set up, not only in the United States, but also in Europe, mainly as an accountability tool to satisfy public opinion and the government's need to know how public aid funds were used. At this stage, international organizations became more professional in carrying out evaluations focused on the long-term impact of aid assistance.

In the third phase, agencies have internalized the meaning of and the need for the evaluation function within an organization. They are focusing on evaluation as a strategic tool for knowledge acquisition and construction with the aim of facilitating decision making and organizational learning. During this period, agencies are conscious of the relevance and importance of evaluation, but resources allocated to evaluation units are still insufficient to allow them to meet their objectives satisfactorily. Aid agencies still do not have the necessary capacity for developing theory and methodologies (Rebien 1997). Emphasis is given to the evaluation process as a tool for individual and organizational understanding and learning, without overlooking the need for accountability.

In this context, participatory and empowering evaluation represents an interesting development in approach and methodology aimed at achieving different objectives. For example, Kushner (2006) suggests that the basic problem in the previous phases was that we

were learning *what* results were being achieved, but neither *how* they were being achieved nor what was being achieved that fell outside of the results matrix. Governments needed to learn about change processes, principally so as to be able to build on the strengths of innovation and to replicate success. The methodological response was to focus evaluation on analyzing change processes and contexts: points of resistance to change; how organizations constrain and empower to change people; those aspects of change potential that are limited to certain contexts and those that are transferable across contexts; how innovations gain leverage within social and political structures; and how people actually do (or do not) change behaviour patterns. The result was the emergence of what became known as 'Responsive Evaluation' and further encouragement for development of other models such as the 'utilisation-focused evaluation'.

Nowadays the whole international development assistance world has been going through further major changes. The UN Reform and the Post-Paris consensus on Aid Effectiveness are reshaping the purpose and strategies of international development assistance. In March 2005, Ministers and other high-level officials of some 85 developed and developing countries, as well as heads of some 20 bi- and multilateral development organizations, gathered in Paris, France to discuss ways to improve the quality of development assistance. The message coming out of Paris was loud and clear:

"Development assistance works best when it is fully aligned with national priorities and needs."

As reaffirmed in Paris, sound national development strategies, combined with strong national leadership, form the basis for successful development cooperation. Such 'ownership' is also a prerequisite for achieving the commitments of the United Nations' Millennium Declaration. This is also the vision expressed in the Secretary-General's March 2005 report, *In Larger Freedom*, which, following the recommendations of the Millennium Project, calls for the preparation of ambitious MDG-based national development plans and the close linkage of development, security and human rights. The International development community attaches prime importance to supporting the development of high quality, MDG-based national development plans such as those articulated in poverty reduction strategies (PRS), and in doing so through the broad consultative process endorsed in Paris. To turn the commitments made in Paris into practice, future actions will focus in the following areas:

- Putting national development plans at the center of international development agencies, including the UN
- Strengthening national capacities
- Increasingly using and strengthening national systems

As the development framework changes, the evaluation function should also change accordingly. This process of reshaping the evaluation function is just beginning and it is impossible to foresee its final shape. Nevertheless, in order to stimulate debate, it is desirable to attempt to formulate the key trends.

Due to the new focus on development of high quality, MDG-based national development plans such as those articulated in poverty reduction strategies (PRS), the focus of evaluation is shifting **from small projects to national programmes and policies**. This shift requires a **systemic approach to evaluation** so that policy decisions can be informed by knowledge streams that are the result of continuous analysis, not individual evaluation reports only. **Knowledge streams** are produced by relevant and integrated M&E systems whose data inform major evaluations strategically designed to inform key decision-making milestones. To ensure such outcomes, M&E is being **institutionalized** in implementing organizations.

## Box 2: Success factors and lessons learned for building relevant and integrated country M&E Systems

- Substantive government demand is a prerequisite for successful institutionalization
- Socio-economic pressures (such as a concerned citizenry) and other incentives for change (acknowledging and rewarding success; valuing organizational learning; sharing budget savings)
- Centrally-driven by strong leaders, usually an effective champion or champions at the most senior level of government
- Donor harmonization requirements for reporting on results
- Recognition of the danger of over-engineering the system
- Utilization is the measure of 'success'
- Acknowledgment of the limitations of relying on government laws, decrees and regulations
- Structural arrangements that ensure M&E objectivity and quality
- Results information is linked to budget and other resource allocation decisions
- Civil society is involved as an important partner with government
- Pilot efforts are used to begin demonstrating effective results-based monitoring and enclave strategies, such as islands of innovation, are used rather than government-wide approaches
- Long-haul efforts require patience

*Source: adapted by Mackay 2005 and Kusek, Rist & White, 2005*

Such **integrated M&E systems** should be **nationally owned** and international development agencies should coordinate their support to avoid duplication and parallel systems, and to focus efforts on supporting existing national M&E systems. In this context, **partnership** is a key strategy for ensuring that efforts achieve synergies, that national governments play the leading role, and that international agencies **align** their M&E assistance with national M&E plans and priorities.

Strategic contributions by international development agencies include supporting **sustainable national M&E capacity development**, taking into consideration the value of diversity in evaluation approaches and always focusing on the quality of the knowledge produced by evaluative processes. In this context, evaluation professional organizations have a potentially significant role to play. They can foster **democratic approaches to evaluation**, not only by helping to share experience and expertise, but also by providing a forum for greater dialogue among civil society, academia, governments and donors, in line with the important growing role of civil society, academia and the private sector in national development. Quesnel (2004) suggests the importance of strategies for promoting partnerships with the mass media and parliaments to further the use of evaluation as instrument for transparency and accountability.

To ensure the quality of the knowledge produced by evaluative processes, respect for **Evaluation standards** should be a priority, as demonstrated by increased attention by both evaluation professional organizations.

Evaluative knowledge streams should highly be focused on **utilization**. MacKeith (2005) suggests that simply having M&E information available does not guarantee that it will actually be used, whether by program managers in their day to day work, or by budget officials responsible for advising on spending options, or by a congress or parliament responsible for accountability oversight. This underscores the dangers of a technocratic view of M&E, as a set of tools with inherent merit, and the fallacy that simply making M&E information available would ensure its utilization. Utilization is the yardstick of 'success' of an M&E system; conversely, it would be hard to convince a skeptical finance ministry that it should continue to fund an M&E system whose outputs are not being utilized. To ensure the relevance, and thereby the use of evaluative knowledge, it is critical that **demand**—from national

governments and civil society, not just from donors—**drives the supply of data** and that strategies to strengthen statistical systems are part of a broader reform agenda. This is possible only by strengthening a pro-evaluation culture within societies and organizations, and by acknowledging the fact that any **evaluative process is inevitably a political process** (Kusek, Rist & White, 2005). M&E systems provide critical information that empowers policy-makers to make better-informed decisions, or, in the case of the MDGs, to target appropriate resources and provide policy support for their achievement. At the same time, providing this kind of information may lessen the number of options available to politicians, leaving them less room for maneuver in their policy making.

Finally, within a **human rights approach**, evaluation should focus on the most vulnerable populations to determine whether public policies are designed to ensure that all people enjoy their rights as citizens, whether disparities are eliminated and equity enhanced, and whether democratic approaches have been adopted that include everyone in decision-making processes that affect their interests.

# ***The status of the evaluation function worldwide<sup>1</sup>***

by **BICKEL, Samuel**

This is an effort to assess if the evaluation function is growing in competence, strength, and credibility. I will offer positive, neutral, and negative trends in three areas:

1. Intellectual Advances
2. Accountability.
3. The Supply of and Demand for Evaluators

## **Intellectual Advances**

This refers to our ability to deliver evaluations of greater insight based on conceptual and practical innovations in evaluation methods and approaches.

There have been at least 4 positive trends in recent years.

Better theorizing about Evaluation's role has created new space and cleaned out some earlier weaknesses. That evaluation is a learning function is now more clearly understood, and the negative perception that it is an arm of audit and inspection is fading. With this has come a clearer sense of where evaluation assists learning. It is of course no longer only in the impact measurement phase, but throughout the cycle, starting with the initial situation analysis extending throughout the life of the program. The respect accorded formative evaluations for mid-course learning is one very positive consequence.

Related to this is a diminished interest in attribution. A fundamental question for many years was, 'How much of the result was due to the work of agency X'? This took energy away from the real issue of determining if the developmental strategy used is working or not. A concern with organizational competence was the real cause of the attribution issue. It is now being addressed through discrete capacity and performance evaluations, and through a less formal accrual of knowledge based on monitoring and professional interaction.

Evaluation methods and approaches are rapidly advancing in all programmatic frontier areas. There is no thematic area you can name—trafficking, violence, environmental preservation, governance, etc—that is not undergoing interesting conceptualization and methodological experimentation. Likewise, evaluation is reaching deeper into the social spaces by better analyzing exclusion, and by incorporating stakeholder consultation as a professional norm. This does not mean that all technical and conceptual problems are being solved, but none are being ignored.

The fourth area is where the advances have been greatest. This is evaluation in humanitarian crisis settings. The last 15 years have seen a complete review of evaluations role and it's tools for emergency preparedness and crisis response. As an example, the concept of Real-Time evaluation—following soon behind the initial response to do formative and impact evaluation work amidst the crisis—is making emergency programs far more powerful. In addition, the institutional networks of crisis response agencies and academic institutions will ensure continued adaptation.

There is one neutral and one negative trend to note.

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<sup>1</sup> Based on an address to the International Program Evaluation Network International Conference on 'Program and Project Impact Evaluation: Experience and Development Perspectives' Almaty, Kazakhstan, 29 September 2005

The neutral trend is the effort to evaluate ever larger themes. The positive part is that policy level evaluation work is advancing. We are overcoming the fixation on project and program evaluations, and looking at larger scale strategies and resource commitments. Since policies are more securely linked to measurable impact, we are able to expand impact analysis while incorporating issues such as policy resourcing and social equity. However, there are themes larger than the policy level that is so vast that evaluation thinking has not come close to capturing them with any skill. Here is one that we run across in UNICEF --Human rights based programming, which is an entire programming philosophy rather than a strategic approach. At present it is truly not evaluable.

The negative trend is the ongoing reluctance by many to respect and utilize business evaluation models. Avoiding classic approaches like cost-benefit analysis and cost-effectiveness analysis means that policy-makers and the banks can largely ignore most evaluations. Newer approaches to analyzing efficient execution, human resources, or private-public partnerships should be more widely employed. An interesting question is why are business models not widely used? In part this is due to the pull evaluation exerts on social scientists, who see Health etc as public goods that should not be overly disciplined by the market. The reality is that every social investment is subject to discipline, whether by the political, financial, or economic markets just to name three. However, I don't want to end on this negative note. A quick look at the program of this conference shows an intense interest in evaluating business models of development, or applying business management thinking to evaluation. For that, IPEN and the regional evaluation community should be congratulated. .

### **Accountability**

This refers to the demand for evaluations as well as what the evaluation community feels is needed to ensure the quality of what we do.

Let me begin with the impact of the absence of competition to development agencies and to most public sector ministries. Although we may feel that there is competition, the fact is that no development agency has ever gone out of business, new ones have entered in recent years, and total development budgets are growing. Further, there is no reasonable expectation of competition and shrinkage, except for the potential combination of UN agencies under the title of UN reform. So the fear based incentive for change is not strong. In evaluation terms, this has had one negative and one positive trend.

The negative result is the continued weakness in deriving and archiving lessons learned, and incorporating them in new program design; since this need not be done to ensure survival, it is often not done at all, or is done very poorly. Archiving is a management prerogative, so it is not evaluators per se that are at fault. Of course there are good exceptions, both within some agencies and within some themes: for example, the continued strength of WHO in identifying best practices based on epidemiological studies is a good case, as are globally validated approaches that are widely followed within micro-nutrient fortification. But the efforts are still weak overall.

The positive trend is that the absence of competitive pressure means evaluation results can be treated as a public good. This knowledge was purchased with public funds usually, and will be used to improve public well being. Consequently, it is widely accepted that evaluation thinking and findings should be freely available. This is happening. Agencies are posting reports, methods etc for all to use. Meanwhile, internet connectivity makes it possible to locate information easily. This helps erode the archiving problem by making information much more available for secondary analysis by academics, NGOs and others.

A neutral accountability trend is the heightened concern for evaluator and evaluation function independence. This is certainly welcomed since it preserves the ability to reach tough conclusions without fear of reprisal. However, making independence an absolute standard

risks devaluing and de-commissioning internal evaluation structures. I think that many European development agencies in particular are sending the wrong message that the work of external evaluators is more valid, and that self-assessment (as the work of internal evaluation units is termed) is generally inferior. We are not in an either/or situation, and should not position internal and external functions as competency rivals.

The two remaining accountability items are more significant than the first three. By far the strongest positive is the general global trend toward increased accountability of governments and development agencies to the public. As a result, evaluation practices are encouraged to address new fields or to reach new audiences. Further, there are new users emerging, namely the many civil society watch-dog groups. They may not commission many evaluations, but they use the results to ignite debate on private and public policies.

The final trend is not really a trend yet, but more a hope that we are seeing the start of a trend. The debates about evaluation's role--and the actual commissioners of most evaluations--are from the OECD North, including the Banks. If there is an articulated Southern or middle income/transition position on evaluation, I am not familiar with it other than the desire for greater national level evaluation capacity building. There is certainly room for new leadership and thinking about evaluation. For example, it was policy think tanks and evaluators led by Brazil that assessed the impact of agricultural subsidies on Southern incomes, public budgets and economic structures. This became an important part of the WTO negotiations. Wouldn't it be an interesting evaluation objective to more systematically analyze Northern developmental aid accountability?-- for example, to understand how much of an African nation's PRSP investments are going to fund services that nationals could and would pay for themselves if they had true open market access?.

### **Supply and Demand**

This refers to the availability and competence of evaluators compared to demand and to need.

In one neutral sense, demand and supply are well balanced. As noted, evaluators are following the programming frontier. The evaluation community evolves and there are always evaluators to engage for any theme, even if the tools etc are very immature. But the negative result is that a sponsor can always find evaluators willing to work on their terms. Put another way, if you have an ideological predisposition you want to see reflected in the evaluation, you can find an evaluator. For example, there are no end of evaluators willing to not apply cost analysis, or to evaluate programming approaches already decisively refuted by many earlier evaluations.

Another neutral trend is the absence of an accreditation mechanism for evaluators. The positive result is that there are low entry barriers, and the inflow of talented persons ready to make this a career is very strong. But the negative is that there is no exit door except the one taken when people find they cannot make a living. I am not advocating certification, but I see a problem in knowing who are the poor evaluators.

There are two negative trends to note. The first is the difficulty of accessing evaluation talent in some countries. This can reflect a weak evaluation culture there and high demand from on-site donors. But it also reflects the distorting impact of high fees-paying agencies like the UN, the banks, and bi-laterals. Not only are these magnets for evaluators from all countries, but their fee structures make them hard to afford by needier but poorer clients. As a result, a poor country will find a shortage of both internal and external supply, and the resulting low visibility for evaluation means the value of the function may not be understood.

The other negative trend is the continued weakness in linking what we might call non-standard practitioners with the larger community. For example, Central Banks normally have

staff policy experts and economists who project and evaluate the impact of fiscal and social development policies. They can be incredibly innovative and methodologically advanced. Yet they are frequently not in consistent touch with the larger social science based community, which is a tremendous loss to both groups. How many other such worthy groups are presently lost to evaluation?

The final trend is the strongly positive supply impacts of Evaluation Professional Organizations in program countries. Through the efforts of such organizations—especially using web sites and mailing lists--individuals and companies make their talents known to a far greater set of employers. The organizations also increase evaluation community access to training and evaluation knowledge. Supporting this growth are formal training programs in universities, and the indirect production through public administration institutes and foundation capacity building efforts. My sense is that the supply of high quality talent in many countries is far greater than is perceived in central evaluation offices. If this is true, my hope is that we will begin to break the near-monopoly of major evaluation contracts won by the high-cost Western European and North American providers.

## **Conclusion**

To move toward a close.

In my purely subjective opinion, is the status of the evaluation function worldwide improving in terms of strength, competence, and credibility? Yes it is: the positives easily outweigh the negatives. Let's not doubt that.

Looking ahead, is there a major challenge that may reshape the evaluation landscape? Yes, there is. It is the rapid and large-scale reconfiguration of development aid flows in coming years. I resisted discussing this simply because I don't know enough and would probably mislead you. But I urge you to give some thought to this, and there are some fascinating references you could consult.<sup>2</sup>

Finally, what is the one realistic change that could occur that could most positively and lastingly influence the evaluation function? In my opinion, it would be bringing the Southern and middle income evaluators and experience into the center of development debates. The conditions are ripe: supply and competence are increasing; the demand for accountability is surging; much relevant program experience is available but under-appreciated; and there is a need to challenge and refresh aspects of the evaluation model drawn from the North that shapes the function today. I hope IPEN and other Evaluation Professional Organizations can play a strong role in fostering an explosion of this needed influence.

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<sup>2</sup> See especially Overseas Development Institute of London March 2004 Working Paper 235 'The International Aid System 2005-2010: Forces For and Against Change'



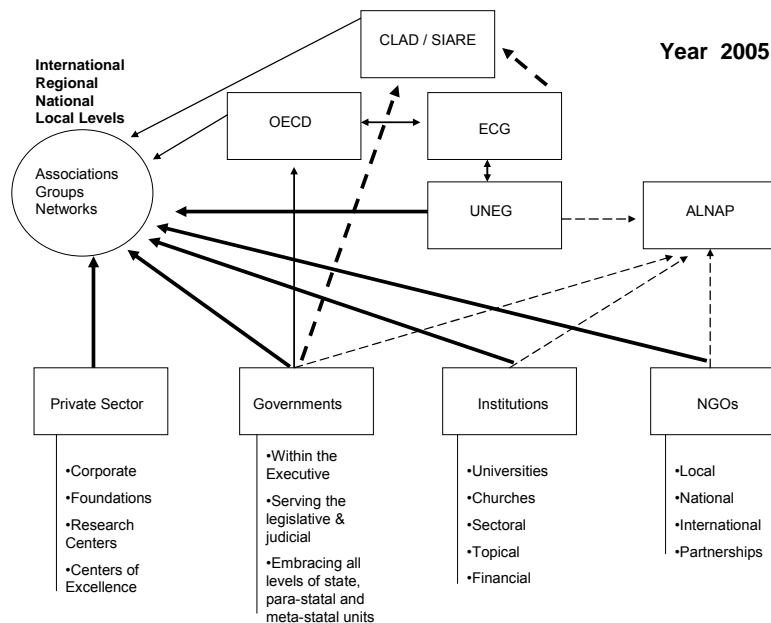
# The Importance of Evaluation Associations and Networks

By Jean Serge Quesnel

## Who's Who?

Greater professional recognition is in the making. When one draws a map of existing and emerging evaluation associations, groups and networks, it becomes evident that evaluation is increasingly being valued. From the seminal purpose of sharing experience and mutual learning, has grown a more professional rallying, as evidenced by the growing consensus about evaluation deontology in the various evaluation associations.

The following diagram illustrates existing evaluation groups. This holistic view shows quite an impressive picture, especially when taking into account the fact that there has been an accelerated development over the last five years. The arrows show where membership comes from. Nowadays more than 60 groupings of evaluators can be tallied.



The Private Sector has its own evaluation systems within the respective corporate structures. It also sponsors foundations and research centers, each with an evaluation capacity. Centers of excellence in evaluation exist such as the Evaluators Institute<sup>3</sup>, Center for European Evaluation Expertise (EUREVAL)<sup>4</sup> and the Performance Assessment Resource Centre (PARC)<sup>5</sup>.

Non-Governmental Organisations (NGOs) have developed strong evaluation capacity and have their own networks sharing amongst themselves, linking as well local, national<sup>6</sup>, regional and international<sup>7</sup> entities. Also institutions have partnerships and networks most often based on a discipline, a sector or particular topic of interest. They support excellent publications fostering knowledge building in evaluation and enhancing methodological rigor.

<sup>3</sup> See <http://www.evaluatorsinstitute.com>

<sup>4</sup> See <http://www.eureval-c3e.fr/english/>

<sup>5</sup> See <http://www.parcinfo.org/index.asp>

<sup>6</sup> For an example see the CCIC website at <http://www.ccic.ca/e/home/index.shtml>

<sup>7</sup> For an example see Oxfam's website at <http://www.oxfam.org/>

No doubt, governments have been the main protagonist of evaluation. They use evaluation for the purpose of good governance, accountability, learning by doing, re-engineering ways and means for improving performance, value-for-money and assessing taxpayer satisfaction. Many governments have evaluation units within each of their ministries/departments, as well as internal governmental networks<sup>8</sup> linking governmental units, fostering joint work and harmonizing evaluation approaches. Many governments also have evaluation units independent from the executive, serving the legislative bodies. These independent units have their own networks often associated with other oversight functions, such as INTOSAI.<sup>9</sup> Noteworthy as well are the many evaluation offices of the European Union and its Commissions.<sup>10</sup>

Through international development and cooperation activities, governments have made a significant contribution to the mainstreaming of evaluation across the world. The main body that introduced greater professionalism in the evaluation of official development assistance was the Expert Group on Evaluation of the Development Assistance Committee (DAC) of the Organisation for Economic Cooperation and Development (OECD). The Expert Group created in 1982 subsequently became the DAC Working Party on Evaluation. This Working Party nowadays is known as the DAC Network on Development Evaluation<sup>11</sup> It provides a forum to evaluation specialists from 30 governmental and multilateral agencies working together aiming at improving the relevance and effectiveness of development cooperation. One of its aims is the promotion and support of evaluation capacity development.<sup>12</sup>

Another potent leverage used by governments for greater systematization of the use of evaluation is the system of international financial institutions. These institutions such as the International Monetary Fund, World Bank Group<sup>13</sup>, Regional<sup>14</sup> and Sub-regional multilateral development banks or international funds are governed by assemblies of government representatives. Each organization has an evaluation unit. The Evaluation Cooperation Group (ECG)<sup>15</sup> brings together the heads of evaluation of the global and regional organizations. They have done much to harmonise and develop new evaluation approaches in response to evolving development policy challenges.

Governments are the member states forming the United Nations System, supporting its secretariat and many specialized offices, agencies, programmes and funds. The United Nations Evaluation Group (UNEG)<sup>16</sup> brings together some 38 Heads of evaluation across the UN system. UNEG aims to improve the use of evaluation within the UN System, to contribute to harmonization and simplification and to undertake joint evaluation work, especially at country level. The General Assembly of the United Nations adopted a resolution requesting that the UN provide support to member countries, enabling them to evaluate their programmes and activities. Hence, evaluation capacity strengthening is much part of UNEG's work programme.

In Latin America and the Caribbean regions there is a network of governments working together with the multilateral banks for the improvement of the performance of the public sector. The Latin American Center for Development Management (CLAD)<sup>17</sup> and its Integrated Analytical Information System on Public Sector Reform (SIARE)<sup>18</sup> plays a significant role in

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<sup>8</sup> For an example see Canada's at <http://www.tbs-sct.gc.ca/eval/>

<sup>9</sup> See <http://www.intosai.org/>

<sup>10</sup> See [http://europa.eu.int/comm/echo/evaluation/index\\_en.htm](http://europa.eu.int/comm/echo/evaluation/index_en.htm) or [http://europa.eu.int/comm/budget/evaluation/index\\_en.htm](http://europa.eu.int/comm/budget/evaluation/index_en.htm)

<sup>11</sup> See [http://www.oecd.org/departement/0,2688,en\\_2649\\_34435\\_1\\_1\\_1\\_1\\_1,00.html](http://www.oecd.org/departement/0,2688,en_2649_34435_1_1_1_1_1,00.html)

<sup>12</sup> See [http://www.internationalevaluation.com/briefing\\_en.html](http://www.internationalevaluation.com/briefing_en.html)

<sup>13</sup> See <http://www.worldbank.org/oed/>

<sup>14</sup> For an example see the African Development Bank at <http://www.afdb.org/>

<sup>15</sup> See <http://www.ecgnet.org/>

<sup>16</sup> See <http://www.uneval.org/>

<sup>17</sup> See <http://www.clad.org.ve/>

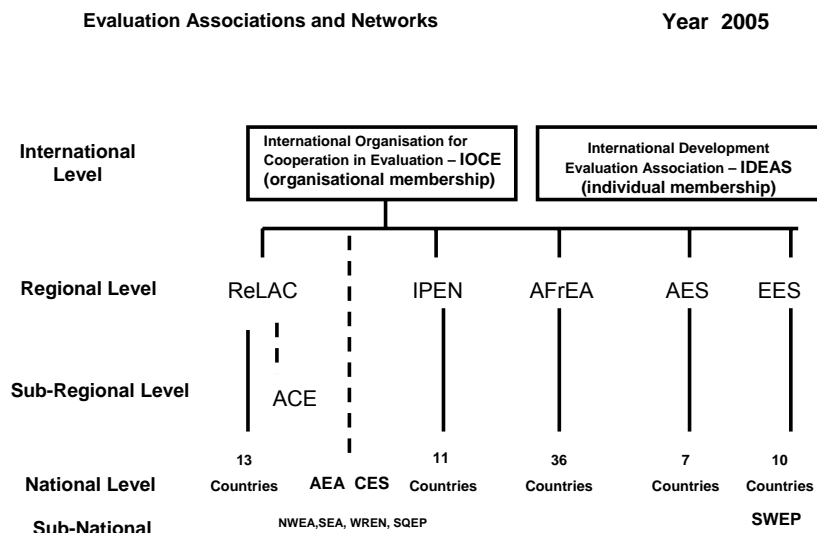
<sup>18</sup> See <http://www.clad.org.ve/siare/index.htm>

the promotion of the use of sound evaluation approaches in the good governance of the public sector.

The Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP)<sup>19</sup> is an international, interagency forum working to improve learning, accountability and performance across the Humanitarian Sector. It rallies both governmental and non-governmental partners and has made exponential progress in the application of evaluation in emergency and unstable situations and has gone a long way in generating lessons learned for better policy and programme design.

The most open fora where evaluators meet are the evaluation associations and networks. Evaluation members are involved in many aspects of evaluation and performance measurement. Members include interested individuals, evaluation practitioners, managers, consultants, teachers and students, officials from all levels of government, educational institutions, research agencies, civil society organisations and businesses. Members meet regularly through groups at local, national and international levels. In the chart below, the hierarchy of evaluation associations and network is drawn.

At the global level there are two associations, notwithstanding ALNAP's network mentioned above. They are International Organisation for Cooperation in Evaluation (IOCE) and the International Development Evaluation Association (IDEAS).



The International Organisation for Cooperation in Evaluation<sup>20</sup> is called to play a major role in the professionalisation of evaluation in the near future. This organisation is the “world umbrella” of evaluation association and networks.<sup>21</sup> The mission of the IOCE as stated in its constitution is:

*To help legitimate evaluation and support evaluation societies, associations and networks so that they can better contribute to good governance, effective decision making and strengthen the role of civil society.*

<sup>19</sup> See <http://www.alnap.org/>

<sup>20</sup> See <http://www.internationalevaluation.com/>

<sup>21</sup> For the list see <http://ioce.net/content/index.cfm?navID=3&itemID=3&lan=en>

IOCE believes that evaluation is best strengthened through national and regional organisations. Membership is made up of organisations not individuals. IOCE aims to promote cooperation between national and regional evaluation societies, associations or networks. As an international organisation, the IOCE is committed to cultural diversity, inclusiveness and to bringing together different evaluation traditions in ways that respect this diversity. IOCE is a loose coalition of regional and national evaluation organisations from around the world. It is dedicated to building leadership and capacity in countries, fosters cross-fertilization of evaluation theory and practice around the world, and supports evaluation professionalisation.

IOCE was launched at an Inaugural Assembly in Lima, Peru at the end of March 2003. Representatives from 24 evaluation groupings from Latin America, Africa, Australasia, North America, Asia, Europe and the ex Soviet Union attended the Assembly. Observers were also present from various sponsor organisations. Support for the Assembly was received from W.K. Kellogg Foundation, UNICEF, the World Bank, UK Department for International Development, the International Fund for Agricultural Development, Global Greengrants Fund as well as from the American Evaluation Association, the Canadian Evaluation Society and other national and regional groups who sent their representatives.

IOCE is a platform for worldwide cooperation and partnership in evaluation, fostering the cross fertilisation of ideas, high professional standards and an open and global perspective among evaluators. The vision is that collaboration between evaluation associations would strengthen evaluation worldwide. IOCE seeks to legitimate and strengthen evaluation societies, associations or networks so that they can better contribute to good governance and strengthen civil society. It wishes to build evaluation capacity, develop evaluation principles and procedures, encourage the development of new evaluation societies and associations or networks, undertake educational activities that will increase public awareness of evaluation, and seek to secure resources for co-operative activity.

The International Development Evaluation Association (IDEAS)<sup>22</sup> had its first conference in New Delhi in April 2005. IDEAS was created with the support of the World Bank and the DAC Network on Development Evaluation for the purpose of attracting individual members worldwide (particularly from developing countries and transition economies), who will:

- *promote development evaluation for results, transparency and accountability in public policy and expenditure;*
- *give priority to evaluation capacity development;*
- *foster the highest intellectual and professional standards in development evaluation;*
- *encourage national and regional development evaluation groups.*

In addition to the two global evaluation associations, there are five regional associations /networks.

The American Evaluation Association<sup>23</sup> is the first national association to be created. De facto, it also acts as the North American regional convener. AEA has approximately 4000 members representing all 50 states of the USA as well as over 60 countries. In October 2005, AEA together with the Canadian Evaluation Society (CES<sup>24</sup>) held a joint meeting in Toronto where some 2500 evaluation practitioners assisted in four days to more than 525 concurrent sessions dealing with evaluation themes and issues. Many participants took advance of 50+ pre & post-conference training sessions in evaluation. The CES has also provincial chapters<sup>25</sup>. The Quebec Programme Evaluation Society (SQEP)<sup>26</sup> an independent association collaborates with the CES acting as a provincial chapter for that province.

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<sup>22</sup> See <http://www.ideas-int.org/>

<sup>23</sup> See <http://www.eval.org/News/news.htm>

<sup>24</sup> See <http://evaluationcanada.ca/>

<sup>25</sup> For example see <http://www.evaluationontario.ca/>

<sup>26</sup> See <http://www.sqep.ca/index.htm>

Similarly, the American Evaluation Association has sub-national associations such as the North West Evaluation Association,<sup>27</sup> the Southeast Evaluation Association<sup>28</sup> and the Washington Research and Evaluation Network.<sup>29</sup>

The Australasian Evaluation Society was the first regional association. It has some 700 individual members from the region. Most are from Australia and New Zealand. AES collaborates particularly with the Malaysia Evaluation Society<sup>30</sup> and the Sri Lanka Evaluation Society<sup>31</sup>.

The African Evaluation Association<sup>32</sup> will have its fourth biennial conference in Niger in January 2007. At the time of the creation of AFEA, in 1999, evaluation associations or networks existed in only six African countries. At present at least 18 such associations or networks<sup>33</sup> have been developed or are in the process of development, all with the common goal of promoting evaluation on a national basis in their respective countries.

The primary goal of the European Evaluation Society<sup>34</sup> (EES) is to promote theory, practice and utilization of high quality evaluation, but not exclusively, within the European countries. This goal is obtained by bringing together academics and practitioners from all over Europe and from any professional sector, thus creating a forum where all participants can benefit from co-operation and bridge building. The Society was founded in The Hague in 1994. The first official board was elected in autumn 1995 and started its work in January 1996. National evaluation associations and networks also exist in Belgium, Denmark, Finland, France, Germany, Ireland, Italy, Poland, Spain, Sweden, Switzerland, The Netherlands and the United Kingdom<sup>35</sup>.

In October 2004, the Latin American and Caribbean Evaluation Network (ReLAC) was launched in Peru. Present members are the Brazilian Evaluation Association, the Central American Evaluation Association and networks from Chili, Colombia, Ecuador, and Peru. ReLAC plans to hold its second biennial conference in Colombia in May 2007.

Last but not least, there is the International Program Evaluation Network<sup>36</sup> (IPEN) mainly composed of evaluators from the former Soviet Union countries. IPEN was founded in 2000 and the fifth conference was held successfully in Almaty, Kazakhstan in September 2005. About 150 participants from 20 countries from Central and Eastern Europe and the Commonwealth of Independent States attended the conference

### **The Crucial Role of Some Evaluation Associations and Groups in Evaluation Capacity Development**

Evaluation Associations play a crucial role from the local to the international level in evaluation capacity development. For example, one should not underestimate the influence that the Washington Research and Evaluation Network and the Ottawa Chapter of the Canadian Evaluation Association had in the strengthening of the evaluation function in their respective capitals and by extension on the development of their national evaluation systems and the governmental use of evaluation by the legislative and executive.

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<sup>27</sup> See <http://www.nwea.org>

<sup>28</sup> See <http://www.bitbrothers.com/sea/>

<sup>29</sup> See <http://www.wren-network.net/>

<sup>30</sup> See <http://www.mes.org.my/>

<sup>31</sup> <http://www.nsf.ac.lk/sleva/>

<sup>32</sup> See <http://www.afrea.org/conference/>

<sup>33</sup> See <http://www.afrea.org/conference/national>

<sup>34</sup> See <http://www.europeanevaluation.org/>

<sup>35</sup> See list of websites may be found at <http://ioce.net/content/index.cfm?navID=3&itemID=3&lan=en>

<sup>36</sup> See <http://www.eval-net.org/>

The American Evaluation Association's mission<sup>37</sup> is to:

- Improve evaluation practices and methods
- Increase evaluation use
- Promote evaluation as a profession and
- Support the contribution of evaluation to the generation of theory and knowledge about effective human action.

For many years the AEA served as the North American and International convener on evaluation. Needless to say that most founders of national, regional and international associations have had an exposure to the pioneering work of the AEA.

Another dynamic network of evaluators promoting evaluation capacity building is the Expert Group on Aid Evaluation of the Development Assistance Committee of the Organisation for Economic Cooperation and Development. Together with the Multilateral Development Banks, the Group has sponsored evaluation capacity development.

In March 1987, a seminar<sup>38</sup> with evaluators from countries across the world was held in Paris under the auspices of the Development Assistance Committee (DAC/OECD). The seminar provided an opportunity to engage in a capacity development programme. It was agreed that conducting a series of seminars on a regional basis would be useful in generating exchanges based on the needs and specificities of each region of the world.

The first regional seminar on evaluation in Africa was jointly sponsored by DAC/OECD Expert Group on Aid Evaluation and the African Development Bank. It took place in Abidjan in May 1990. Its objectives included the clarification of evaluation needs as perceived by African countries. The seminar explored the ways and means of strengthening African evaluation capabilities and of increasing awareness of evaluation as a key tool for effective management. Participants gained new understanding of evaluation issues in the African context.

In November 1998, the African Development Bank, the World Bank, the United Nations Development Programme together with the agencies of international cooperation of Denmark, Norway, Switzerland and Sweden organized another Pan-African seminar. This seminar also held in Abidjan, was specifically on Evaluation Capacity Development in Africa<sup>39</sup>. Close to 100 participants attended. They were from twelve African countries and from donor countries, international and regional institutions. One of the objectives of the Abidjan seminar was to provide an overview of progress with evaluation capacity development in Africa, including the sharing of lessons of experience. Another was to build consensus on the purposes and elements of evaluation in support to development. A third objective was to identify strategies and resources for building evaluation demand and supply in African countries. A fourth was to help country teams, representing the 12 participating African countries, to develop preliminary action plan for developing evaluation systems in their countries. A final objective was to support the creation of country and regional networks to encourage follow-up work. This provided support for the creation of national evaluation networks and the African Evaluation Association.

The Regional Workshop and Seminar on Monitoring and Evaluation Capacity Development in Africa, held in Johannesburg, South Africa in September 2000 was a follow-up to the regional

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<sup>37</sup> See: <http://www.eval.org/aboutus.asp>

<sup>38</sup> The summary report of the discussion, *Evaluation in Developing Countries: A Step Towards Dialogue*, was published by the OECD in 1988.

<sup>39</sup> The proceedings were published jointly by the World Bank and the African Development Bank as *Evaluation Capacity Development in Africa – Selected Proceedings from a Seminar in Abidjan.1998*

seminar held in Abidjan in 1998. The event<sup>40</sup> brought together 56 participants from 11 sub-Saharan countries and 32 from multilateral and bilateral agencies. They represented governments, non-governmental organizations, research institutions, universities and the private sector. The event was hosted by the Development Bank of South Africa, the African Development Bank, the World Bank, the International Development research Centre, UNICEF, UNDP, USAID and AusAID. The two main objectives were a) the definition of the requirements and capabilities of M&E in the context of good governance and accountability for better results, and b) the development of a collaborative strategy and infrastructure for a pan-African M&E network.

In May 1992, in Kuala Lumpur, the DAC/OECD Expert Group on Aid Evaluation and the Asian Development Bank hosted a Regional Seminar on Performance Evaluation in Asia and the Pacific.<sup>41</sup> Attending participants included 38 senior representatives from 17 developing countries, 43 representatives from 17 donor countries and six multilateral institutions. In addition 16 senior officials of the Government of Malaysia attended as observers. Through a series of well prepared papers on evaluation practices and issues, the seminar brought the participants up-to-date with the latest thinking on evaluation. The understanding of both the recipients and donors was broadened with respect to the range of institutional capabilities, evaluation strategies, models, systems and resources. The seminar reviewed practical evaluation experiences of participant countries. Recipient countries' plans to strengthen evaluation capacities were discussed. The seminar concluded with an Action Plan for strengthening performance evaluation through closer cooperation between recipient countries and aid agencies.

In June 1995, in Manila, the Asian Development Bank hosted a Regional Workshop<sup>42</sup> on Strengthening Post-evaluation Feedback System. For the Workshop 14 Developing Countries prepared country papers outlining the status of post-evaluation in their own country. Much of the Workshop discussion focused on issues relating to the countries' commitment and priority for post-evaluation and the difficulties encountered. An Agenda for Action was also developed intensifying efforts to support evaluation outreach programmes for the benefit of the public sector in the countries.

In November 1993, in Quito, some 80 participants representing 26 governments of Latin America and the Caribbean attended a Regional Seminar on Evaluation, together with some 30 participants from the Expert Group on Aid Evaluation of DAC/OECD. The Seminar was sponsored by DAC/OECD and the Inter-American Development Bank. The aim of the Seminar<sup>43</sup> was to further sensitise partners in development to the importance of evaluation as a management and planning tool and to broaden the understanding of the utilization of evaluation in government. There was an exchange of experience and the identification of opportunities of closer collaboration between countries. The adoption of an Action Plan to strengthen the evaluation function in the region was a tangible result of the Seminar.

In October 1994 the Inter-American Development Bank in collaboration with the Caribbean Development Bank hosted a Regional Seminar for the Caribbean countries in Barbados<sup>44</sup>. Representatives from 17 Caribbean and regional governments participated in the Seminar.

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<sup>40</sup> The proceedings were published by the Development Bank of Southern Africa as *Monitoring and Evaluation Capacity Development in Africa, 2000*. The complete set of the 45 papers presented may be found at <http://www.dbsa.org/M&E/M&E.htm>

<sup>41</sup> The proceedings were published by the Asian Development Bank as *Summary of the Proceedings of the Regional Seminar on performance Evaluation in Asia and the Pacific, 1992*

<sup>42</sup> The proceedings were published by the Asian Development Bank as *Postevaluation and Feedback – Realities and Challenges in the Asian and pacific Region, 1995*

<sup>43</sup> The proceedings were published jointly by OECD and the Inter-American Development Bank as *Regional Seminar on Monitoring and Evaluation in Latin America and the Caribbean : Strengthening Evaluation Capabilities for Sustainable Development, 1993*

<sup>44</sup> The proceeding were jointly published by the Inter-American Development Bank and the Caribbean Development Bank as *Regional Seminar on Monitoring and Evaluation in the Caribbean: Strengthening Evaluation Capabilities for Sustainable Development, 1994*

The results were a) an increase awareness about the role of evaluation in the process of public sector reform; b) the development of a regional strategy for enhancing the role of evaluation and strengthening evaluation capacity, and c) the preparation of a collaborative plan of action among development assistance organizations.

In December 1994, in San Jose, Costa Rica, the Central American Evaluation Association, the International Fund for Agricultural Development, the Inter-American Development Bank and the Central American Bank for Economic Integration hosted an Evaluation Seminar<sup>45</sup> for Central American countries, Panama and the Dominican Republic. The main theme of the Seminar was the role that evaluation plays in the modernization of the State and in achieving greater efficiency in public investment management. There was a review of national experiences which provide an opportunity to identify ways of strengthening evaluation capacities. There was a consensus to a) promote an evaluation culture in government by establishing and strengthening national evaluation units and systems; b) to strengthen the skills and expertise of the human resources engaged in evaluation activities, and c) support the mission of the Central American Evaluation Association as a facilitator in the region.

In October 2005, in Tegucigalpa, the Second Regional Evaluation Seminar was organised by the Honduras Evaluation Network with the collaboration of ReLAC, the Central American Evaluation Association, the Central American Bank for Economic Integration, the International Fund for Agricultural Development and UNICEF.

In July 1996, in Cartagena de Indias, the Colombian National Planning Department and the Inter-American Development Bank hosted a meeting on Results-Based Evaluation and Control of Public Management<sup>46</sup> for the benefit of the South American Countries.

There was a consensus that a gradual and systematic process of retooling the public sector was required, seeking more suitable administrative and management mechanism for efficient, responsive and user-oriented performance. A cultural change will lead to the transformation of public institutions and it hinges on the concepts of transparency and accountability. It was obvious to the participants that evaluation has a key role to play in the process of public sector reform.

Finally one has to single out the tremendous contribution of the World Bank in evaluation capacity development. Noteworthy were the bi-annual conference held at the Bank headquarters hosted by the Evaluation Office. The World Bank Series on Evaluation and Development are indeed a much sought reference source. This series of conference have attracted and involved evaluation practitioners from all over the world. They were a tremendous forum of exchange and stimulation for the progress of development evaluation. Also recognition has to be made to the catalytical role of the World Bank for the establishment of the International Program for Development Evaluation Training (IPDET)<sup>47</sup> at Carleton University in Ottawa.

### **Concluding remarks**

The experience of the evaluation community in general shows that the success or failure of Evaluation Capacity Development depends greatly on three conditions:

- a) The awareness and appreciation at the governmental decision-making levels of the importance and necessity of evaluation – in other words the existence of demand of evaluation.

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<sup>45</sup> The proceedings were published by the Inter-American Development Bank as *First Evaluation Seminar for Central America, Panama & The Dominican Republic, 1995*

<sup>46</sup> The proceedings were published by the Inter-American Development bank as *South American Meeting on Results-Based Evaluation and Control of Public Management, 1996*

<sup>47</sup> See <http://www.ipdet.org/>



- b) The institutionalization and meaningful integration of the various evaluation function in the government machinery at national, sectoral, programme/project, and sub-statal levels.
- c) The development of human and financial resources to support a professional, dedicated, and effective cadre of evaluators and evaluation managers.

The framework for international cooperation exists to:

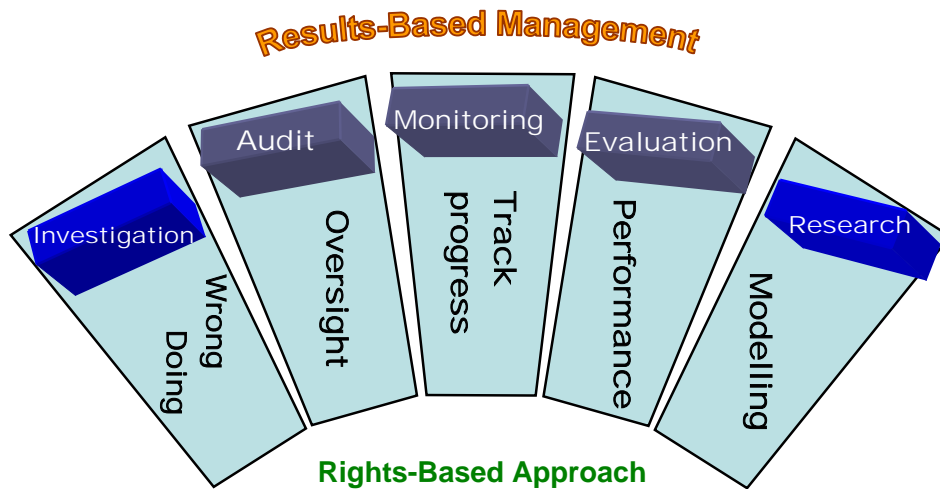
- Establish an international consensus on the legitimacy and credibility of evaluation as part of civic responsibility and participation.
- Increase the systematic utilization of evaluation internationally and support evaluation societies in evaluation utilization in national and local policy decision making.
- Build capacity through the provision of opportunities for reciprocal learning amongst established and newly formed or emergent evaluation societies.
- Develop general principles, procedures, ethics and codes of conduct for evaluation and commissioning practice
- Provide a forum for the exchange of good practice in evaluation theory and practice and develop new evaluation knowledge through cooperative research and other activities
- Increase and support cultural specificity in evaluation design and practice by encouraging pilot approaches in diverse cultural settings.

To sum up, this means tremendous potential for the professionalisation of evaluators in an open and global perspective with the benefit of cross-fertilisation of ideas. That is the mission of the International Organisation for Cooperation in Evaluation.

## The oversight and M&E function

by *SEGONE, Marco*

Figure 1: Oversight, M&E Function



Source: UNICEF, 2005.

Inspection, audit, monitoring, evaluation and research functions are understood as different oversight activities situated along a scale (see Figure 1). At one extreme, inspection can best be understood as a control function. At the other extreme, research is meant to generate knowledge. Monitoring and evaluation are situated in the middle. While all activities represented in Figure 1 are interrelated, it is also important to see the distinctions (UNICEF 2005).

UNDP (1997) defines **audit** as an examination or review that assesses and reports on the extent to which a condition, process or performance conforms to predetermined standards or criteria. Audit is concerned with resource allocation, financial and general administrative management, and, to a certain extent, substantive issues. UNICEF (2005) suggests that audits generally assess the soundness, adequacy and application of systems, procedures and related internal controls. Audits encompass compliance of resource transactions, analysis of the operational efficiency and economy with which resources are used, and the analysis of programme management and programme activities.

Broadly speaking, audit principally focuses on compliance with predetermined rules and regulations and not as much on the impact, relevance, effectiveness, and sustainability of programme or project objectives as evaluation does.

**Research**, on the other hand, is a learning process based on developing, exploring and testing hypotheses and/or theories, through observations and measurements of reality. Trochim (1996) identifies three basic types of questions that research can address: (a) descriptive questions, when the study mainly describes the reality, (b) relational questions, when the study looks at the relationships between two or more variables, and (c) causal questions, when the study determines whether one or more variables causes or affects one or more outcome variables. Clearly, there are no accountability elements in research objectives and processes.

The practical approach to research is highlighted by action research that integrates the processes of traditional research with action, rejecting the concept of two separate processes in which research is carried out first by researchers, and, in a second stage, the knowledge generated by the research is applied by practitioners (UEA, 1994). Action research is based on a spiral of action/reflection/more action/more reflection, etc., that integrates research with real life and reacts to on-going feedback.

Matching UNICEF (1991) and UNDP (1997) definitions, **monitoring** can be defined as the tracking function that aims primarily to provide project management and the main stakeholders with early indications of progress, or lack thereof, in the achievement of programme or project objectives.

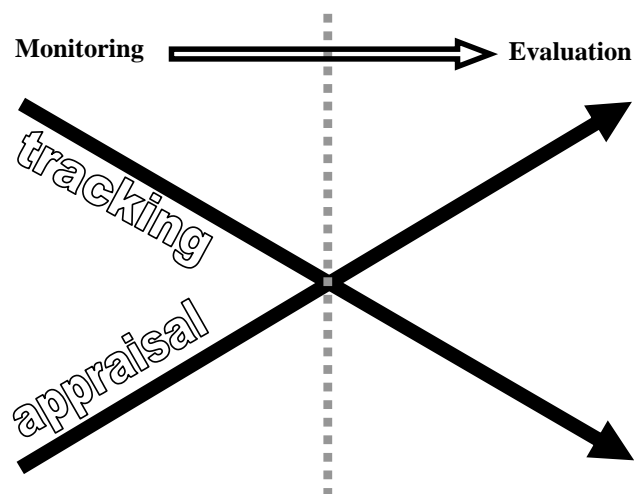
UNICEF (2005) defines **evaluation**, in contrast, as an exercise that attempts to determine as systematically and objectively as possible the worth or significance of an intervention, strategy or policy. Evaluation findings must be sufficiently credible to influence decision-making by programme partners on the basis of lessons learned. For the evaluation process to be 'objective,' it needs to achieve a balanced analysis, recognising bias and reconciling the perspectives of different stakeholders (including primary stakeholders) through the use of different sources and methods. In the UNDP (1997) definition highlighted the time-bound frame, specifying that evaluation is to be carried out more selectively—not periodically and continually, as is the case with monitoring—and project managers have the flexibility to decide why and when an evaluation is needed.

**Table 1: Complementarity between monitoring and evaluation**

MONITORING		EVALUATION
Periodic, regular	<i>Frequency</i>	Episodic
Keeping track	<i>Main action</i>	Appraisal
Improve progress in implementation, efficiency, adjust work plan	<i>Basic purpose</i>	Improve relevance, effectiveness, impact, future programming
Short term	<i>Horizon</i>	Long term, beyond scope of specific programme
Inputs, process, outputs	<i>Focus in programme cycle</i>	Also outcomes and impact
Work plans, performance targets, and reference indicators	<i>References for comparison</i>	Broader programme objectives and strategy, as well as external benchmarks/standards
Routine or sentinel systems, field observation, progress reports, rapid assessments	<i>Information sources</i>	Same, plus specific surveys, studies
Programme managers, community workers, primary stakeholders, supervisors, and funders	<i>Undertaken by</i>	Same, if the approach is participatory, plus external evaluators
Programme managers, community workers, primary stakeholders, supervisors, funders	<i>Reporting to</i>	Same, if the approach is participatory, plus policy-makers, and a wider range of external stakeholders

Source: UNICEF 2005

**Figure 2: Relationship between monitoring and evaluation**



Source: UNICEF 2005

A set of widely shared evaluation criteria should guide the appraisal of any intervention or policy. These are standard OECD-DAC evaluation criteria:

- **Relevance:** What is the value of the intervention in relation to other primary stakeholders' needs, national priorities, national and international partners' policies (including the Millennium Development Goals, National Development Plans, UNDAF, PRS and SWAps), and global references such as human rights, humanitarian law and humanitarian principles, the Convention on the Right of the Child (CRC), and the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW)?
- **Efficiency:** Does the programme use the resources in the most economical manner to achieve its objectives?
- **Effectiveness:** Is the activity achieving satisfactory results in relation to stated objectives?
- **Impact:** What are the results of the intervention—intended and unintended, positive and negative—including the social, economic, and environmental effects on individuals, communities and institutions?
- **Sustainability:** Are the activities and their impact likely to continue when external support is withdrawn, and will it be more widely replicated or adapted?

The scope of evaluation has been changing throughout the years (see box 1) according to a process that embraces not only the evaluation function, but the entire process of organizational development. Years ago, when the aim of evaluation was to measure and judge, people and staff perceived evaluation as a repressive tool at the service of top management to control both organizational and individual performance. Today, evaluation is a tool to improve programme or project performance through positive accountability on behalf of stakeholders, giving decision-makers and society the needed information to take relevant decisions to solve problems. As one of the main objectives of evaluation is to build knowledge for organizational and individual learning, the *process*, as well as the *results* of the evaluation, become very important.

In today's context, the following should be the aims of evaluation:

- **Problem-solving and decision-making.** Evaluation is an excellent management tool for gathering information and generating knowledge for understanding why a programme or project is not achieving its predetermined objectives, and what one can do to correct and

strengthen the weak areas. Data and information collected during the evaluation process are fundamental for highlighting critical process points that can negatively affect the project/programme's performance and results, and for providing the necessary input to enable decision-makers to weigh different alternatives and make relevant decisions.

- **Positive accountability and excellence.** The aim of positive accountability is not to find mistakes and punish people but to detect problems and propose related solutions to improve efficiency, effectiveness, relevance, and sustainability.

- **Knowledge construction and capacity building.** Two of the main objectives of evaluation are, 1) to produce knowledge that can be used in decision-making processes and strategic planning, and, 2) to build evaluation capacity through the evaluative process. Since the evaluation cycle is composed of several steps, it is essential to choose the knowledge range up front, according to its relevance and transferability to similar programmes and projects, in order to optimize the function of knowledge construction. One of the most efficient ways to increase relevance and transferability is to carry out sectoral, thematic or strategic evaluations that can facilitate learning across countries (UNDP, 1997). The aim of this approach is to extract lessons learned from experience in such a way that they can be used not only to solve the problems of the evaluated intervention, but also to improve the performance of similar projects and to give inputs for planning future ones.

The Inter-American Development Bank (1997) defines lessons learned as a general hypothesis based on the findings of one or more evaluations, which are presumed to relate to a general principle that may be more broadly applicable. Lessons are transformed into knowledge when they are analyzed, systematized, disseminated and internalized within an organization through participatory evaluative processes, workshops, training, networks or newsletters. Some organizations insist that the lessons learned should be able to accommodate both information needs that are identified by users (demand-driven) and those identified by producers (supply driven). At present, the learning process is mainly one-way, i.e., not as reciprocal as might be desired, because the lessons are extracted from evaluations reflecting the specific needs of the project being evaluated, not those of similar projects. An organization's use of lessons learned depends on the lessons' relevance, timely dissemination, and the strength of the evaluation culture existing within the organization. UNDP (1997) proposes that no programme or project should be considered for approval unless there is evidence that a comprehensive search for relevant lessons has been carried out and that the pertinent lessons have already been applied in designing the programme or project.

- **Organizational learning and change, and strategic planning.** The new concept of evaluation as a function of organizational learning and strategic planning is being accepted both at the development agency level and at the academic level (Preskill and Torres, 1997; Lysyk, 1997; Cousins, 1995).

Preskill and Torres (1997) define organizational learning as a continuous process of organizational growth and improvement that is integrated with work activities; that invokes the alignment of values, attitudes and perceptions among organization members; and that uses information or feedback about both processes and outcomes to make changes. It is quite clear that organizational learning is not merely the sum of organization members' learning (Levitt and March, 1988; Fiol and Lyles, 1985) but rather a process that unfolds over time (Garvin, 1993). Organizational learning does not imply merely the use of information, but is based on the concept of knowledge acquisition and construction, which means gathering relevant information; processing and analyzing it; efficiently communicating it to other members of the organization; and being understood, accepted and internalized by the organization. This process facilitates behaviour and attitude change among organization members and enables continuous adaptation of the organization according in response to internal and environmental changes.

Evaluation and systematic inquiry can support organizational learning and strategic planning, not only through the gathering of information and data, but also through the construction of knowledge as mentioned above. Empowerment and participatory evaluative approaches directly involving organization members can lead to deeper and broader learning, since the individuals have stronger ownership and understanding and can engage in an authentic dialogue with peers about the meaning of data (Lysyl, 1997; Cousins, 1995). The result can be deeper analysis and internalization of knowledge that leads to greater conceptual learning about the organizational framework and processes and the relationship among participants.

Ansoff (1984) notes that organizations with established systematic enquiry processes not only perform significantly better on average, but are also generally more proactive concerning organizational decision making and strategizing. An assumption is that evaluation is not viewed as a discrete point in the life of the organization, but as ongoing and contributing to organizational change through the setting of new priorities, strategies and reconsideration of existing norms. Cousins (1995) describes at least four ways in which participatory evaluation and systematic inquiry can lead to organizational learning:

- discussion among organization members regarding organizational successes and failures
- developing in organization members a finer appreciation of the interrelationships that exist among program components
- helping organization members to develop their understanding of unintended organizational effects of programmes
- helping organization members to appreciate the significance and implications of changes in the organization's environment

To foster organizational change, the evaluator should see him/herself as an agent of change and should have the following attributes (Sonnichsen, 1994):

- s/he has to believe that organization members can facilitate change and affect the decision-making process
- s/he has to think critically, challenging basic organizational assumptions and exploring alternatives
- s/he has to have credibility among the organization members thanks to his/ her objectivity and honesty, and complete knowledge of the organizational decision-making process

The evaluator must create a demand for evaluation as a value-added organizational exercise. Organizational change is a very complex process that depends on organizational culture and structure, and on individual personalities and relationships. It requires a risk-driven and risk-accepting organization, individual preparedness to discuss the organizational assumptions and to explore new alternatives through mainstreaming of different ideas, and, last but not least, the support of top management. The objective of a change-focused evaluator should be to influence the organizational change process by producing objective and realistic evidence of the organization's structure, process and performance.

Strategic planning is a process for ensuring that an organization is sensitive to its social, economic and political environment, can anticipate and respond to major environmental changes, and can prepare and implement effective approaches for improving its programme and operational performance (Fisk, 1994). Strategic planning is used by organizations to effectively plan future activities and strategies in order to efficiently achieve organizational objectives in the context of the overall mission and changes in the external environmental. The knowledge and lessons acquired, learned and built through the evaluative process is a fundamental input to and support for this strategic organizational process.

• **Advocacy, fund raising and communication strategies.** Evaluation findings can be used to strengthen an organization's positions in evidence-based advocacy activities to improve the conditions of stakeholders, to document organizational activities, outputs and impacts for fund-raising purposes, and to effectively communicate the organization's message.

## 2: How to Evaluate?

### *Evaluation culture: a new approach to learning and change*

by *SEGONE, Marco*

Different international organizations have discovered that the key bottleneck of the evaluation function is not technical capacity, i.e., evaluation practices, but weak evaluation culture. Participants at the UNICEF Workshop on Programme orientation, process and guidance (UNICEF, 1997) recognized that a pro-evaluation culture would improve programme performance, enhance accountability, and serve as a basis for decision-making and programme modification. UNDP (1996) affirms the need to create a constituency for evaluation; the most fundamental challenge is the frequent lack of genuine demand and ownership within countries for honest evaluation. Creating technical capacities for evaluation makes little sense if undertaken in isolation from the essential processes of decision-making (UNDP, 1996). The Inter-American Development Bank (1997) declares that the first challenge in developing evaluation capacity is to produce a genuine evaluation culture.

Participants in a UNICEF M&E workshop (UNICEF, 1997) defined the concept of evaluation culture as a set of values and attitudes supporting processes of systematic, participative reflection on an institution's mission, objectives, strategies and programmes, in order to systematize experiences, generate knowledge, and conduct rigorous validation. They saw that strong evaluation cultures include the daily processes and practices that indicate an understanding of the foundations and principles of M&E; an appreciation of the historic perspective and shared language of evaluation; the incorporation of independent voices within evaluation; and the will to apply the lessons learned. The processes of systematic, participative reflection should allow people to give feed back on and/or reorient the plans, policies and programmes. These concrete, daily expressions of evaluation culture are the way institutions learn from experience in order to achieve efficacy, efficiency, impact, sustainability and diffusion of knowledge. The workshop participants also stressed that evaluation has to be a daily process that involves the entire organization at different levels and not only its technical or specialized personnel.

Kushner (1998) affirms that a pro-evaluation culture should be in alignment with a wider organizational culture that helps to create shared understandings about what words and actions mean, and within which interactions can take place with a minimum of negotiation and maximum tolerance for argument. This cultural alignment supports conditions that encourage people to orient their individual actions to the goals of the programme: a common vocabulary, sustained personal contact, and a core (not a totality) of common values and interests balanced with a tolerance for some divergence of values and interests. An organizational culture is an achievement rather than a design; it is recognised through a feeling of community more than through statements of allegiance to common goals. It is experiential rather than rational.

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

- **Leadership support and commitment.** Top managers at headquarters, regional and country levels should commit themselves to supporting the evaluation function as a priority strategy for making the organization efficient, effective and self-accountable. In the case of UNICEF, an international organization undergoing major changes shifting from a service-delivery to a knowledge-center approach, evaluation is a fundamental function for producing the knowledge needed to support advocacy and social mobilization for strengthening child rights promotion and protection worldwide.
- **Allocation of human and financial resources.** Without adequate financial resources, evaluation has greatly diminished impact. Low quality evaluations make it impossible to create relevant knowledge of sufficient weight to improve organizational learning and

influence the decision-making process. In fact, many experts suggest that it would be better to focus on a few high-quality evaluations of genuine relevance to an organization rather than many low quality evaluations that lie ignored on the desk of some specialized people.

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

**Box 3: Attempts to avoid evaluations in the United Nations System: a list of unacceptable excuses.**

The following selection of excuses to avoid conducting an evaluation was collected by someone in the United Nations System and updated by the UNDP Office of Evaluation and Strategic Planning. Combining two or more reasons may result in some very interesting justification for not carrying out evaluations.

1. Our project is different.	27. Think about the disruption it'll cause.
2. It will cost too much.	28. It can't be done objectively.
3. We don't have time.	29. It's too much trouble to change.
4. The project is too small.	30. We've always done it this way.
5. It wasn't in the implementation plan.	31. We did what we said we'd do.
6. We've never done it before.	32. We have already been evaluated.
7. The government won't like it.	33. We don't have any problems.
8. Give me the money that you want to spend on evaluation.	34. There has been a change in the government.
9. Outsiders won't understand the complexity.	35. The financial crisis put us behind schedule.
10. It's an ivory tower exercise.	36. We were just audited.
11. I'm due for holidays.	37. The Rep says it's one of his/her best projects.
12. It's not our problem.	38. It's a pilot/experimental/model/research project.
13. Why change it? It's working all right.	39. The project is too young/almost over/too far along.
14. We're not ready for it yet.	40. Construction has not been completed.
15. It isn't in the budget.	41. The equipment has not arrived/been installed yet.
16. The Rep./counterpart has left.	42. Legal status has not yet been provided/ approved.
17. The Rep./counterpart is new/has recently changed.	43. We can't find the original workplan.
18. The project director has not been appointed yet.	44. I wasn't the responsible officer when the project started.
19. The counterpart staff is still in training/on fellowship.	45. The government is satisfied with the project.
20. We're doing all right without one.	46. The government hasn't supplied its inputs yet.
21. It has never been tried before.	47. The project isn't "evaluable" owing to its nature.
22. There must be an additional reason.	48. We don't have the data.
23. I don't need anybody to teach me my job.	49. The project design is too vague.
24. That may work in any other organization/ region/ country/ technical field, but it will never work here.	50. We evaluate all the time ourselves.
25. I'm not convinced that it'll work.	51. It's the rainy season.
26. They just want to get us.	52. We have a sound monitoring system.

Source: UNDP, 1997.



## Strategic elements of evaluation culture

Several researchers and evaluators define the strategic elements and characteristics of a pro-evaluation culture. All elements should be present, but not necessarily at the same time.

Trochim (1996) describes four essential elements of a twenty-first century evaluation culture:

- **Action-oriented.** Evaluation should be a strategic instrument that facilitates and supports the use of information and knowledge acquired during the evaluative process, with the aim of strengthening programme performance. The evaluation process does not end with the final report, but with the implementation of recommendations and follow-up actions. Evaluation should be an integral part of the supposition-action-evidence-revision cycle within the action research cycle. Several researchers embrace this approach, including Patton with his Utilization-Focused Evaluations and UNDP with its Results-Oriented Evaluations.
- **Interdisciplinary and holistic.** Evaluation is not one sector's discipline to be grafted onto other sectoral areas. The evaluation function should be completely integrated and deeply rooted in the organizational structure and not seen as a parallel function. Monitoring and Evaluation is an interdisciplinary function and management tool applicable to entire organizations and to all sectoral programmes and projects, whatever their nature and objectives.
- **Inclusive, participatory and non-hierarchical.** Evaluation is not a technical discipline restricted to specialized, technical people. Monitoring and evaluation should be the responsibility of the entire office and not only of the corresponding officer or focal point. [Is there a more people-oriented expression than 'focal point?'] Evaluation should be a daily activity of everybody working in the organization to better his/her personal performance and the overall organizational performance.
- **Ethical, truth-seeking, open and fair.** Evaluation is a technical and political instrument and political and value issues are an integral part of an evaluation. Virtually every phase of the evaluation process has political implications (Kellogg, 1997). Evaluators must understand the implications of their actions and be sensitive to the concerns of the project director, staff and other stakeholders. This understanding is achieved in an ongoing, two-way dialogue with the involvement of all the group members. While an evaluation should be rigorous in design, data collection and analysis, the evaluator must remain open-minded and ready to welcome and adopt the flexibility required by stakeholders. Social and development interventions are themselves a result of certain priorities and policy decisions in which values play an important role. From the beginning, both evaluator and commissioner should identify the perspective, procedure and rationale to be used to interpret findings, so that the bases for value judgements are clear. Evaluators should have a constructive perspective and positive approach, so that they help organizations to develop and strengthen excellence.

Evaluation data (Rebien, 1997) enter a political decision-making system in which resources are being prioritized, allocated, and possibly redistributed. Value, moral and ethical considerations are inherent to all these decisions, and evaluation results are used as input into this political game. For this reason, it is very important to conduct evaluations with an ethical perspective within a professional framework, bearing in mind that in no way should evaluation have the aim of deliberately hurting people or organizations, or taking personal advantage of evaluation findings.

The African, American, Australasian, Canadian and European Evaluation Associations and Societies have prepared guidelines or standards for the ethical conduct of evaluations with the aim of promoting ethical practices. The existence of independent, complementary guidelines defined by the largest and most important evaluation associations in the world reflects the importance given to ethical issues in conducting evaluations.

The United Nations Evaluation Group (UNEG— a group of professional practitioners—defined norms and standards of practice that contribute to the professionalization of the evaluation function and guide UN evaluation offices in preparing their evaluation policies or other aspects of their operations. These standards can inform the establishment of an institutional framework, the

management of the evaluation function, and the conduct and use of evaluations. They are also a reference for the competencies and work ethics evaluation practitioners apply as appropriate in each organization. The UN Evaluation Norms and Standards are available in Annex 4 of this paper.

These norms and standards comprise a comprehensive set of best practices. An evaluator's integrity depends on relating to stakeholders with sensitivity to the factors in the cultural and social environment necessary to appropriate conduct. Evaluators identify and respect differences—culture, religion, gender, disability, age, sexual orientation and ethnicity—among participants and bear in mind potential implications of these differences when planning and conducting the evaluation and reporting their findings.

Evaluators identify and deal openly and honestly with conflicts of interest, either their own or the stakeholders,' so that the validity of the evaluation process and results are not compromised. Evaluators declare the limitations of the methodologies they select and admit, when necessary, to facing circumstances beyond their competence. Top management and selected stakeholders need to know these limitations during the decision-making process.

Negative and/or critical conclusions are communicated with respect for stakeholders' dignity and self-esteem. Evaluators try to maximize the benefits and reduce unnecessary harm that might occur when to do so will not compromise the integrity of the evaluation findings. Evaluators guarantee confidentiality, privacy, and the ownership of findings and recommendations. Professional conduct is the basis for a evaluator's credibility and helps assure that reports and findings are respected and used. Due regard for these norms and standards provides some assurance that evaluation processes are facilitated by people with the necessary qualifications, skills and authority.

- **Forward-looking.** The evaluation function should prospective, anticipating necessity and needs of the evaluation results. The planning of a simple Monitoring & Evaluation system should be an integral part of the planning process of every project and programme, so that the evaluation process can benefit the programme during implementation and not only at the programme's end.

### **Strategic outcomes of evaluation culture**

An organization that is able to develop and strengthen an evaluation culture will have advantages in organizational processes and results. Preskill and Torres (1996) affirm that individual staff members and team members of such organizations:

- are more self-directed learners and use information to act
- take higher risks but also develop a greater sense of personal accountability and responsibility
- consult, coach, and support for each other more

In this context, organizations are able to:

- develop new ideas and strategies
- change more quickly according to variations in the external environment
- increase efficiency and effectively use lessons learned to improve projects and programmes
- unify processes

Staff members have broader functions. They work in teams whose objective is not so much to follow instructions as it is to meet strategic goals defined through a participatory process. There is less direction from top management and a much more positive attitude and self-accountability at all organizational levels.

# **Democracy and Evaluation**

By **KUSHNER, Saville**

The range of things evaluators might do, and the range of purposes evaluation can serve is fairly broad. Perhaps there is a loosely observed rule that says the more expansive the view of what a programme is, the more expansive will be the view of what programme evaluation can do: and similarly, the more focused the view of what programmes are and can achieve, the more focused tend to be the expectations of evaluation. A programme that is seen as representing high levels of technical challenge with uncontroversial objectives will tend to look to evaluation for technical expertise. Where programmes are seen as social experiments, as attempts to stimulate social and political change, this can lead to a relatively complex view of the evaluation task and evaluators may be asked to take into account political, ethical and social dimensions of programme action. Where programme goals are acknowledged to be ambitious, multi-faceted, vulnerable to the complexities of particular contexts in which they are applied, then there tends to be a focus on evaluation as a learning resource. Programmes seen to be the promoters of new moral orders, tend to look to evaluation to capture the experiential aspect of programmes – how people live in them and relate to each other. Evaluation, as reported by professional evaluators, is a flexible practice.

Some evaluators – principally in the USA and Europe - have argued that programmes have all of these dimensions, and that they all have implications for attempts to create and sustain democratic governance. Evaluation, they have said, is an instrument of democracy in that it deals with the question of who has the right to know what, and under what conditions. Democratic evaluation has emerged as one response to this and, though still little practiced, it has generated some debate. There have been two main aspects to the debate: what role evaluation is thought to play in a democracy; and how some people see the role of democracy in evaluation.

## **Evaluation serving democracy**

One question here is how evaluation might contribute to good governance – for example, by being inclusive, negotiating its way, sharing and disseminating knowledge of programmes, by building bridges of shared understanding between government, citizen and professional.

It has been a preoccupation of democratic evaluation writers that evaluation reports are more often directed at and read by the political and administrative communities than the citizenry. Evaluation in advanced industrial societies has tended to orientate itself to decision makers and programme managers – i.e. those with the capacity to commission them. This does not mean that their efforts are undemocratic, but, nonetheless, the professional evaluation community in these societies has historically found it hard to contribute directly to public knowledge – for example, to report directly to the citizenry in accessible ways. To report to the democratic representatives of the citizenry is one thing, it is argued; to democratize knowledge is another. Some evaluators, too, have expressed concern that the questions they ask tend to reflect the values and dilemmas of their sponsors more than to those of other programme stakeholders, including the citizen. *Whose questions should get asked?* is a question raised by democratic evaluators. *'Everyone's'* is their not uncommon answer. *Who has the right to see evaluation reports?* is another, and, again, the answer is frequently *'everyone'*. Yet another question which underpins democratic concerns with evaluation is *who has the right to define the criteria against which a programme is judged?*, and yet again, the answer is *'all stakeholders'*. Clearly, the question of *questions* presents challenges.

One of the reasons for seeking such inclusive approaches to evaluation has been that democratic evaluators express a view that evaluation could be contributing to the strength and the texture of democracy by helping different stakeholder groups to learn about each other, their diverse aims and their diverse values. In fact, democratic evaluators promote diversity as a principle. They place a high premium on information exchange between different groups, making more transparent programmes and the systems in which they exist, acknowledging difference, but seeking forms of social consensus<sup>48</sup>. The sensitivity of exchanging information across different constituencies in a what is effectively a power system means that the evaluator has to be skilled in negotiation techniques, familiar with the give and take of making private lives public data in sensitive contexts. For example, a fair amount is known about how people fit into social programmes, but less is known about how programmes fit into people's lives – and learning about this may even sometimes be an uncomfortable process needing careful negotiation. Nonetheless, the promises that are claimed are great, and democratic evaluators have argued that such approaches have a role to play in building public trust and social cohesion. Social fragmentation, they have said, arises partly, at least, out of unresolved tensions between different social and political groups based on lack of mutual understanding. The claim is that evaluation, insofar as it creates knowledge in key areas of social action, can build bridges of communication.

This question of *questions* has broad implications, and not just for the politics of evaluation. It affects evaluation methodology, too. If evaluators represent the dilemmas of diverse stakeholders with diverse experiences, then they will encounter the challenge of multiple forms of representation. For example, if a programme manager asks that the evaluation documents their success at political 'leverage', or, similarly, if a project worker wants the evaluation to represent their success at persuading young people to see the world in different ways, then the evaluator will have to (has had to) develop creative and often qualitative techniques for both generating data, analyzing it and validating it. In the kind of complex world tolerated by democracy not all that is important can be measured and controlled, and complex techniques are needed for representation and analysis. A more profound implication of democratic evaluation is that stakeholders have the right to say how their work and lives are to be represented. Methodology itself is not immune from participation.

Most recently, concerns like this have embraced the concept of good governance, and democratic evaluation has been promoted as strategy for social cohesion, rebuilding bridges of mutual understanding between government, institutions and citizenry, principally by providing an information exchange service, treating reporting as a process of negotiation and interaction more than as a one-off event. Democratic evaluators claim their legitimacy on the basis that people have a right to know about programmes, and some have described the role of the democratic evaluator as a 'broker' of information. There are vigorous arguments in the USA, in particular, for evaluation to be seen as social capital, and that evaluators should strengthen their democratic base by extending their service to communities. In general, views on evaluation in a democracy tend to cohere around the following broad understandings: that evaluation should be defined as a *right* as well as a *service* – based on principles of inclusion; and that to *sponsor* evaluation is not necessarily to *buy* it – i.e. that the legitimate urgency of a sponsor's or a programme manager's concerns should not displace the concerns of other stakeholders.

## Democracy in Evaluation

Democratic evaluation theorists have argued that evaluation itself should model the democratic practices it promotes – that it should *be* democratic as well as *servicing* democracy. Just as a programme will model alternative ways of organizing productive society, so

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<sup>48</sup> 'Overlapping consensus' is a sometimes preferred term – i.e. consensus which allows people to maintain differences to focus on where their values and interests coincide.

evaluation should, these theorists suggest, model forms of democratic process. So, they look to democratic processes inside evaluation.

That evaluation should be democratic means that it promotes democratic processes to programme managers and participants – e.g. that evaluation pays attention to inclusion, transparency, rights and obligations. Each evaluation, the argument goes, is an *ethical site* within which rights to hear and to be heard in one's own terms are realized ( – and this includes programme managers, for their individual voice, too, is rarely heard). More than this, the argument suggests that people have the right to help determine the criteria against which their work is judged. Now the concern extends from programme decision makers and the citizens, to programme workers and how evaluation acknowledges their rights in a programme.

Democratic evaluation is often thought of as a *democratic practice*. What does this practice look like?

The kind of democracy envisaged by these theorists and tested by them in practice is the kind of civic democracy found at municipal levels of society – i.e. the pursuit of rights at community level. Civic democracy is intimate, often face-to-face, and so involves argument and direct exchange. Since civic relations are so close, it is essential to make decisions by negotiation, and this goes for evaluators, too. What the evaluator is prepared or free to negotiate will vary according to their confidence and to their contract.

Another implication of the civic model to democratic evaluation is the role of common sense. Science itself is expensive, and it is rarely available to municipal-level actors – but, in any event, local politicians and administrators live close to their constituents and have to rely on personal persuasion more than on scientific demonstration. Argument and persuasion, therefore, tend to happen on the basis of day-to-day language and concepts, and so it is in democratic evaluation. The democratic evaluator tries to collect data and report it in ways which reflect how programme people think and talk. It is partly for this reason that democratic evaluators have looked to case study as the methodology of choice.

Most recently, concerns about having evaluation *be* democratic in its process as well *serve* democracy in its role have been fuelled by a growing interest among evaluators in *deliberative democracy*. This comes from branches of democratic theory which argue, essentially, that public policy should be an inclusive, open and reflective knowledge system, free from authority and conducted at the lowest possible political level. The argument says that important social decisions need to be subjected to open, rational argument in the public domain, on an inclusive basis and with an open contest for ideas leading to some form of consensus. Policies and programmes, says this theory, should arise out of public 'conversation' – and in those conversations people (stakeholders, in the case of programmes) have the opportunity to test and amend their views and preferences in the light of others being expressed<sup>49</sup>. The basic principles of deliberation in democratic evaluation are inclusion, consensus and rational argument.

What follow, then, are some basic dimensions of democratic evaluation practice around which there has grown some agreement. Quite probably there are only few evaluations which manage to embrace all of these – but democracy is best seen as a tendency, a leaning towards, not an end state. Nor is the implication that those who do not do these things are not being democratic – or that no-one other than democratic evaluators are doing them – these are not uncommon practices and principles:

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<sup>49</sup> For those who are interested in academic references the following authors should be searched: conventional sources for deliberative democracy are John Dewey, John Rawls, Jurgen Habermas and there is a useful summarising book by Tom Dryzek. For a radical approach to deliberative democracy you might read the work of Chantal Mouffe.

- All people own the data over their own lives and work – evaluators need permission to use it.
- Key evaluation questions, methodological principles and ethical procedures are negotiated and agreed with programme stakeholders.
- Programme stakeholders, including programme managers, programme workers and recipients, have the right to contribute to the criteria against which their work is to be judged.
- Evaluators have no warrant to grant privileges to any stakeholder – they must serve all equally.
- Programme stakeholders have the right to know about the views and interests of those who influence their work in whatever way. Evaluators have the obligation to support open information exchange.
- Evaluation should be inclusive, seeking out a *range* of views including those which may be highly valued as well as views which may be controversial – disreputable, even. Evaluators have no warrant to censor views.
- Evaluators have no basis on which to make their own judgement – their job is to help articulate and to feed into other people's judgements.

These are demanding principles, especially for those who want to set up democratic forms of evaluation immediately. They need to be seen as *sites for the exploration of ethical dilemmas and practices* more than as expected standards of behaviour. But it needs to be recognized, as well, that democracy is not a fixed state, a political objective that all must aspire to in the same way. Democracy itself, and democratic evaluation, are generally seen as dynamic processes, allowing for the exploration of these principles and their implications for particular political and cultural contexts. Information, rights, ethics, power – all of these dimensions vary with political culture, and so should democratic procedures like evaluation.

## **Democratic approach to evaluation**

by **SEGONE, Marco**

If we accept the concept that any democratic approach represents a vision of the world, a way to think, to feel and to act that we can practice and live, as well as a perspective for understanding and improving human and social relationships, then a democratic approach to evaluation represents a way to understand the evaluation function. In this view, the goals are to understand, to learn, to be self-accountable, and to improve performance, efficiency and effectiveness. The process involves empowerment, inclusion and dialogue. This approach gives stakeholders control of their evaluation; they are, after all, the ones who will plan, carry out, internalise and follow-up the evaluation findings, lessons learned and recommendations (Segone, 1998). Mathison (2000) argues that, as a democratic approach is not about nation states or electoral politics, it has the potential to exist even in non-democratic circumstances and states, making the concept of a democratic approach to evaluation relevant in all contexts.

House and Howe (2000) suggest that if we look beyond the conduct of individual studies by individual evaluators, we can see the outlines of evaluation as an influential social institution, one that can be vital to the realization of democratic societies. Evaluation can be an institution trusted for the accuracy and integrity of its claims, but it needs a set of explicit democratic principles to guide its practices and test its intuitions. According to Ernest House (2005), because evaluation has typically served government and funding agencies and is associated with contexts of institutional power. A democratic approach to evaluation seeks to correct this bias by including all persons with legitimate and relevant interest in the decision processes that affect their interests. Ordinary people are equipped with the knowledge and encouraged to find their voice so that they can influence an evaluation's purpose, judge a program's quality, and make recommendations for its future. Such aims deepen evaluators' obligations to strive for public deliberation of their findings.

A democratic approach to evaluation should embrace an "empowerment evaluation" approach, i.e., a process that focuses on people by giving all relevant stakeholders the capacity to understand and carry out the evaluation process (Segone, 1998).

**Empowerment evaluation** is defined as the use of evaluation concepts, techniques and findings to foster improvement and self-determination, an approach designed to help people to help themselves (Fetterman, 1996). This is a democratic process in which people empower themselves with the assistance of an external expert who acts mainly as a coach and facilitator. Programme participants decide to carry out their own evaluation. They plan it and implement it, collect and analyze their own data, interpret their own findings, draw their own recommendations and lessons learned, and implement their own recommendations. The external professional evaluator's role is clearly fundamentally different from what it is in conventional evaluations. S/he must work directly with stakeholders to carry out *their* evaluation, not *his/her* evaluation. The evaluator acts as an *internal* coach, facilitator, trainer, and advisor, not as an *external* agent.

From an empowerment perspective, evaluation is not the final programme phase, but an ongoing improvement process wherein stakeholders learn to continually assess their progress towards self-determined goals and to re-direct their plans and strategies according to the findings of their own continuous evaluative process. Stevenson, Mitchell and Florin (1997) recognized a multilevel approach to empowerment evaluation, with three levels at which changes in power can occur:

- the individual level, at which psychological empowerment (including knowledge, skills, perceived competencies and expectancies) takes place

- the intra-organizational level, at which a collective empowerment of members takes place in an empowering organization (at this level, empowerment evaluation helps the organization's individual members to connect their needs, interests and abilities with the means, goals and mission of the organization [Mithuag, 1996])
- the extra-organizational level, at which system empowerment takes place to the extent that relevant social organizations successfully influence their environment

The empowerment evaluation approach is based on Rappaport's three guiding principles of an empowering philosophy (1981):

- all people have existing strengths and capabilities as well as the capacity to become more competent
- the failure of a person to display competence is not due to deficiencies of the person but to the failure of the social system to provide or create opportunities for competencies to be displayed or acquired
- in situations where existing capabilities need to be strengthened or new competencies need to be learned, they are best learned through experiences that lead people to make self-attributions about their capabilities to influence important life events

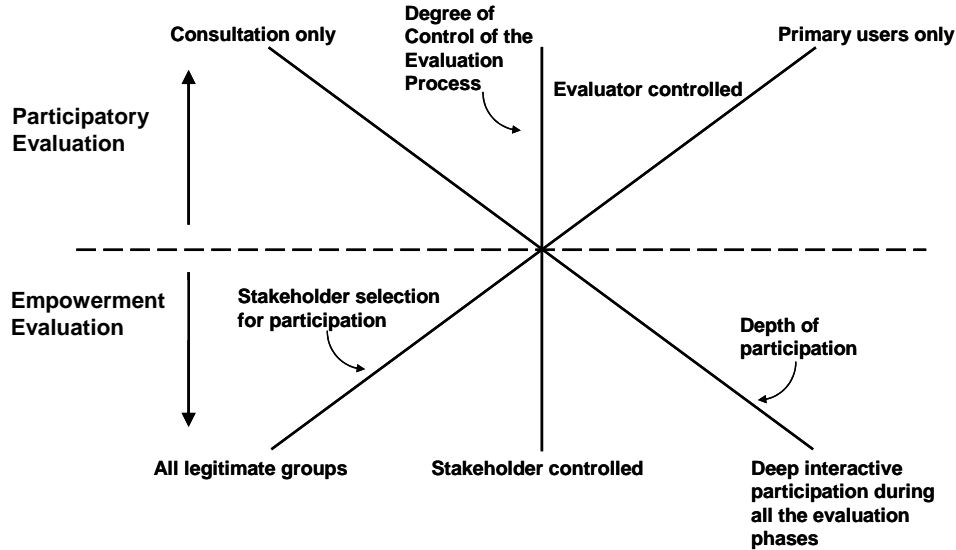
Fetterman (1996) highlights several facets of empowerment evaluation:

- Training. Evaluators teach people to conduct their own evaluation by demystifying and internalizing the evaluation process. In a conventional evaluation, the evaluative process ends when the evaluator give the results to the managers. In an empowerment evaluation, the evaluative process is internalized within the organization and becomes an ongoing and continuous self-assessment exercise to improve one's own performance.
- Facilitation. Evaluators act as coaches and facilitators to help people conduct their own self-evaluation. The evaluator presents alternatives based on different methodological and technical approaches, explaining the benefits and concerns for each alternative, but the participant controls the decision making process. S/he decides which methodological alternative to employ with help from the facilitator/evaluator.
- Illumination and liberation. Many participants experience the empowerment evaluation exercise as an enlightening and revealing experience that leads to a new self-concept. Many experiences demonstrate how helping people to find useful ways to evaluate themselves can liberate them from traditional expectations and roles. Empowerment evaluation enables them to find new opportunities by redefining their roles and identities, and seeing existing resources in a new light.

In addition to these advantages, empowerment evaluation (Fetterman, 1997) facilitates integration by actively involving stakeholders in providing the qualitative inputs needed by the evaluation's quantitative methods; helps demystify the evaluation process through a participatory, capacity building approach; supports the reinvention and refinement of methods and techniques; and, last but not least, promotes internalization and institutionalization of evaluation processes and methods.



**Figure 3: Degree of participation in empowerment and participatory evaluations**

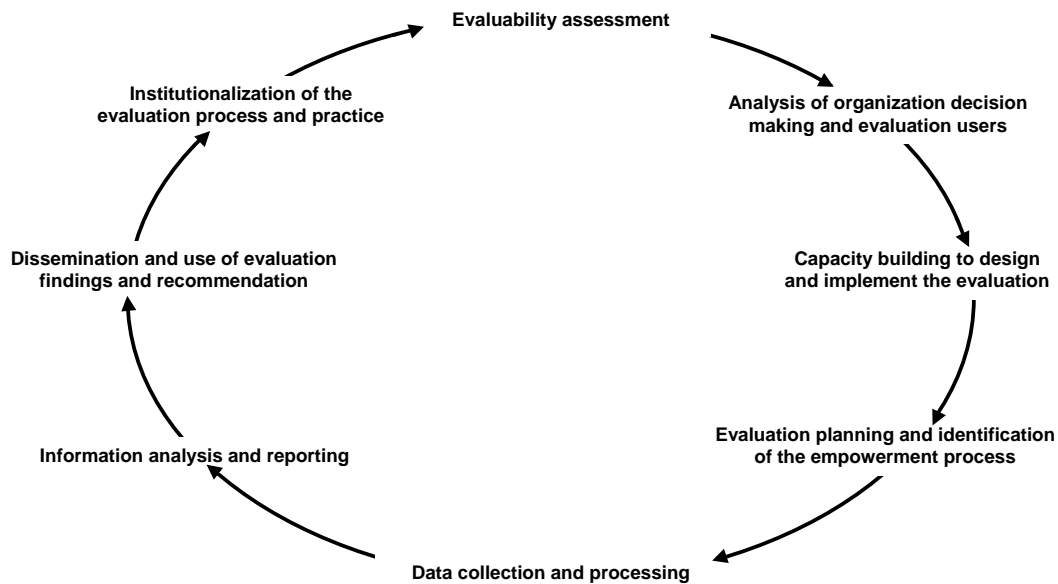


*Source: Adapted from Cousins, 1997*

Empowerment evaluation should not be confused with participatory evaluation. Even when the borderline is ambiguous, the locus of control of the evaluation process, the depth of participation, and the selection of stakeholders for participation distinguish empowerment evaluation from participatory evaluation. In the former, control of the evaluation process is exercised by participants, while evaluators act as coaches and facilitators; in the latter, control is exercised by the evaluator. In the former, a high level of participation continues throughout the evaluation process; in the latter, it does not.

A democratic approach to evaluation should also focus on the use of evaluation findings and recommendations to improve equitable policies and interventions. Michael Quinn Patton is one of the major evaluators who developed the concept of **utilization-focused evaluation**, in which the focus is on the evaluation's intended use by its intended users (Patton, 1997). A utilization-focused evaluation is designed to answer specific questions raised by those in charge of a programme, so that the information provided can affect decisions about the programme's future (Newcomer, Hatry and Wholey, 1994). One objective of this evaluation approach is to narrow the gap between the evaluation findings and the utilization of those findings (Patton, 1997). The approach helps programme managers to generate their own questions, so they are more able to solve their own problems, in order to strengthen and improve their own programmes.

**Figure 4: The process of the democratic approach to evaluation**



Source: Segone, 1998.

The process of the democratic approach to evaluation should be composed of the following phases:

**A. Evaluability assessment.** Ideally, each intervention should include an evaluation process in order to be able to continuously learn from experience and to maintain performance at an acceptable level of excellence. But since real-world resources are limited, selection of programmes and projects to be evaluated using an evaluability assessment can assure the relevance, feasibility, and likely usefulness of the evaluation. Newscomer, Hatry and Wholey (1994) developed an inquiry framework for use before starting the evaluative process that includes the following questions:

- Is the programme significant and relevant enough to merit evaluation?
- Are programme objectives well and clearly defined, plausible (realistic) and measurable?
- Can the evaluation be done in time to be useful and used? Can the results of the evaluation influence decisions about the programme?
- Is the cost of the evaluation offset by the likely benefits it can bring to the improvement of programme?

**B. Analysis of organizational decision making and evaluation use.** The use of evaluation findings is not only determined by hierarchical positions and organizational structure, but also by real, live, caring human beings. To assure actual use of evaluation for learning from past and present experiences and improving programme performance, it is very important to carry out an organizational decision making analysis to determine, 1) *who* are the key actors needing information to solve problems, and, 2) *who* is likely to use evaluation findings and support follow-up actions based on evaluation recommendations. This is not meant to imply that only the top management must be actively involved in the evaluation process from the first steps, in fact, very often the key actors are middle managers, officers and stakeholders responsible for developing and implementing the programme in the field. In any case, the personal factor is a key element for guaranteeing the use of evaluation findings. Patton (1997)

defines the personal factor as the presence of an identifiable individual or group of people who personally care about the evaluation and its findings. *Personal factor* thus represents the leadership, interest, enthusiasm, determination, commitment and caring of specific individual people. When carrying out the organizational decision making analysis, both the organizational structure (leadership and authority) and the personal factor (interest, enthusiasm, and commitment) must be taken into consideration. This means identifying strategically located people who are willing and able to carry out the evaluation and to utilize its findings. External evaluators should create or strengthen the demand for evaluation findings and results, and the expectation that selected stakeholders can derive a benefit from participating and becoming familiar with the evaluation process.

**C. Capacity building for designing and implementing the evaluation.** Before participants reach consensus on the evaluation design, the external evaluator must act as a trainer to build the needed technical capacity among the participants and as a coach to focus participants' knowledge and understanding of how their programme works. To help develop confidence that what they are about to do will work, the evaluator must get to know participants, acknowledging their fears and demystifying the evaluation process in order to build trust and a positive environment. S/he must train the group to build capacity before taking action and coach the group during implementation. One lesson learned from past experience (Dugan, 1997) is the importance of dividing participants into small groups in which, for every block of teaching time, the group has a specified amount of time for interactive exchange, questions and practical activities. Another lesson is that the external evaluator should be ready, if needed, to slow the process down to a pace every participant can handle.

#### **D. Evaluation planning and identification of the empowerment process**

The strategically located people identified to carry out the evaluation should obviously be actively involved in the entire evaluation process from the very beginning. When planning the evaluation, the external evaluator should not propose specific evaluation questions, only a process for generating stakeholders' questions (Patton, 1997). That is the best way to focus the evaluation exactly on the needs of the people who will use its findings to improve and better the programme evaluated. It is also the best way to assure follow through on the evaluation's recommendations.

When planning an evaluation, participants should answer the following questions (UNICEF, 1991). *Why* is the evaluation being conducted (its purpose) and *who* can/will use the results? *When* do they want to carry out the evaluation in light of the timing of evaluation in the programme cycle and the project's life? *What* is the scope and focus of the evaluation and the questions to be answered? *Who* is responsible for managing, carrying out, and following up on the evaluation? *How* will they gather the needed data, i.e., what evaluation methodologies and techniques will be applied? *What* resources (financial and human, supplies and materials, infrastructure and logistics) are needed to carry out the evaluation? *What* is the rationale for interpreting the evaluation's findings? (See Annex 5 for additional information on what goes into an evaluation's ToR.) The evaluator should act as a coach to help participants design their empowerment evaluation process, including an evaluation plan, time frame, and individual and team responsibilities.

All these variables are important in making an evaluation useful and relevant. The evaluation must respond to the information needs of those who are implementing the programme to be evaluated, and therefore this kind of evaluation must be designed for each specific situation and reality. Following a general model can never guarantee an adequate response to specific needs.

**E. Data collection and processing.** The implementation of an evaluation plan is the hardest step. The external evaluator should coach, advocate, and train participants in the methodologies and techniques for gathering and processing data, and provide expert direction and support

when needed. Participants may feel like giving up if they believe that they are not able to implement the evaluation, don't have enough time, or lack the commitment to go on. Because the underlying issue is usually inexperience and a fear of committing mistakes (Dugan, 1997), an external evaluator must coach the group and individual participants, advocating their continued involvement and convincing them to trust their own evaluative processes.

**F. Information analysis and reports.** Indicators and statistical data are just neutral numbers that need to be interpreted to give them meaning. Interpretation is thus a key step in the evaluation process. Indicators can have either a positive or negative meaning depending on the interpretation framework and organizational and external environment context to which the indicators are related. There is no universal interpretation framework; the human, political, economical, and cultural contexts all influence the final results of an evaluation. That is why this phase is so important and so sensitive, and why all participants should be actively involved. The full and integrated participation of the selected stakeholders strengthens the learning process, improves the ownership of evaluation results, enriches and deepens the analysis and interpretation effort, and ensures the use of the findings and recommendations.

**Box 4: Democratic approach to evaluation versus conventional evaluation**

Items	Democratic approach to evaluation	External evaluation
Process	Inclusive Non-hierarchical, horizontal	Exclusive Hierarchical, vertical
Evaluation results	Internalization of evaluation process and practices in the organization	Evaluation final report
Responsibility	Stakeholders	External evaluator
Control and decision-making	Stakeholders	External evaluator
Expertise	Stakeholder through capacity building	External evaluator
Stakeholder participation	Power	Consultation
Ethnic, gender, social, political, economic, cultural and religious diversity and inequity	Core criteria	Appreciation
Evaluation report's structure	Short and focused ad hoc reports (more than one report according to the different users' need)	Long and comprehensive report (only one comprehensive report for all the different users)
Evaluation report's style	Active and involved style, written in first or second person	Passive and detached style, written in third person
Evaluation report's content	Selected findings, brief methodological description	All the findings, detailed methodological description
Evaluation report's perspective	Insider author, audience perspective and context	Outsider author, neutral perspective

Source: Adapted by Segone, 1998.

The evaluation report should be the product of a participatory process in which selected stakeholders reach a consensus on the content of the report. Before presenting the final

report to the public, a draft version should be circulated, discussed and cleared by evaluation participants, selected stakeholders, and users in order to avoid embarrassing surprises that could block the use of the evaluation's findings and recommendations. When interpreting data and writing the report, participants try to articulate the positive value in the negative findings by anticipating the benefits of improvement. The goal of the evaluation is *not* to offend or attack anybody, but to learn from past experience and improve programme performance. They try to focus the report or reports (if there are different intended users and it seems more effective to produce different ad-hoc reports) on the intended users and not on some generic audience.

Recommendations should be logically supported and linked to evaluation findings, easy to understand and realistic within the organizational context and in light of the users' individual capacities and authority. Recommendations should include an analysis of their implications in terms of benefits and constraints followed by proposals for strategies and plans for implementing follow-up actions.

#### **G. Dissemination and use of evaluation findings and recommendations**

Dissemination and use are two different phases and broad dissemination does not guarantee greater use. Evaluation findings and recommendations can be disseminated widely but not used at all and they can be distributed narrowly to a specific audience and be used fully and effectively to improve the intervention being evaluated. We propose the strategic distribution of concise, ad-hoc reports that meet specific people's needs. This kind of report will:

- present selected findings and recommendations,
- focus on action-oriented recommendations with follow-up actions described in the context and framework of project and organization,
- not propose hypotheses and long methodological analyses,
- present findings with many graphics to visually explain contents, and
- is written in the first person, with an involved tone and perspective.

The active participation of selected, strategically located stakeholders in the evaluation process supports the actual use of the evaluation findings and recommendations. This approach facilitates follow through on the implementation of recommendations because the implementation strategy and plans have already been proposed, discussed and agreed upon with stakeholders.

**H. Institutionalization of evaluation process and practice.** One of the major outcomes of the evaluation process we propose is the institutionalization of the process within the organization. Once stakeholders gain the capacity to design and implement evaluations with an understanding of their importance and objectives, they will formally include evaluation elements when they plan new programmes and will carry out day-by-day evaluation processes in their on-going projects.

**Box 5: Dissemination of Evaluation Plans, Procedures and Results**

	Technical Report	Executive Summary	Technical Professional	Popular Article	News Release	Press Conference	Media Appearance	Public Meeting	Staff Seminar, Workshop	Other (film, film-strip)	
<i>Potential Audience</i>	Likely communication form:										
Funding agencies for program or evaluation	█	█									
Program administrators	█	█	█	█	█				█		
Other relevant management-level staff		█		█							
Board members, trustees		█		█							
Technical advisory committees	█	█	█								
Relevant political bodies (for example, legislatures, city councils)		█		█							
Interested community groups			█				█	█			
Current clients			█				█	█			
Prospective clients			█				█				
Providers of program service (for example, instructors, counselors, distributors)		█		█							
Professional colleagues of evaluator(s)			█								
Organizations or professions concerned with program Content			█	█							
Local, state, regional media					█	█		█			
National media					█	█					
Other											

Source: UNICEF (1991)

**Box 6: Who Needs to Get the Results; Why and How**

<i>Audience</i>	<i>Role in evaluation and follow-up</i>	<i>Which results they need to get and why</i>	<i>How they can get these results</i>
<i>Community not directly involved in programme</i>	Takes a small part (e.g., answering questionnaires)	Summary of results and recommendations so that they can help to put them into action	Meetings. Discussions. Mass media. Newsletters. Pictures
<i>Community directly involved in programme</i>	Takes part in planning and carrying out evaluation	Full results and recommendations so that they can help to put them into action	Through participation in evaluation. Meetings. Study of results. Mass media. Newsletters. Pictures
<i>Programme staff</i>	Responsibility for co-ordination, facilitating community decision-making and action	Full results and recommendations to be able to put them into action	Through participation. Meetings. Study of report.
<i>District-level departments agencies, organizations</i>	Receive information and/or specified active role. Disseminate lessons learnt. Support future action	Full results or summary only for analysis of lessons learnt and policy decision-making	Full report or summary (1-2 pages). Discussions with evaluation co-ordinators. Mass media
<i>Regional level</i>	Same as district level	Same as district level	Probably summary only. Discussions. Meetings
<i>National-level ministries, agencies, organisations</i>	Receive information. Disseminate lessons. Support future action.	Full results or summary for analysis of lessons learnt and policy-making.	Summary. Discussions. Meetings
<i>Receive funding agency</i>	Receive information. Disseminate lessons. Support future action.	Full results for analysis of lessons learnt and policy making.	Full report plus summary discussions.
<i>International agencies, UN development agencies</i>	Receive information. Disseminate lessons. Support future action.	Full results or summary for analysis of lessons learnt and policy-making.	Probably summary only. Discussions. Meetings.

Source: UNICEF (1991)

### 3. Programme Evaluation Development in the CEE/CIS

By *Afar Karimov* (Azerbaijan), *Alexander Borovykh* (Russia), *Alexey Kuzmin* (Russia), *Asel Abdykadyrova* (Kyrgyzstan), *Djahangir Efendiev* (Azerbaijan), *Ekaterina Greshnova* (Russia), *Elena Konovalova* (Russia), *Inessa Frants* (Kazakhstan), *Liubov Palivoda* (Ukraine), *Seymour Usifli* (Azerbaijan) and *Vladimir Balakirev* (Russia) .

This chapter provides a general overview of the development of program evaluation in CIS countries. We start by telling a story that describes how evaluation appeared in the scene, how it developed and who the key players were in its development. We discuss the issue of demand for and supply of evaluation services. In the conclusion, we describe our view of the stages in the emergence of evaluation in the CIS and the perspective of each. The four stages we identify are: “An External Phenomenon” (1991–1995), “Initiation” (1996–2000), “Assimilation” (2000–2004), and “Implementation” (2005 to the present).

The only difficulty in writing an overview of this kind is the diversity of laws and governmental structures in our various countries. After some consideration, we decided not to describe each country’s particular circumstances, but rather to present a general picture of what is happening with several illustrative examples. For example, we use the term “government” without going deeply into the differences between municipal and state governmental structures. This kind of diversity is critical for some countries but unimportant for others.

Another limitation that we must acknowledge is the fact that our survey is not exhaustive. We did not have information about the development of program evaluation in all the countries of the CIS and our examples are drawn only from the countries whose specific information we possess.

#### **The beginnings**

The development of program evaluation as a profession started simultaneously with the appearance of foreign donors at the beginning of 1990s. Evaluation was “imported” together with the project approach as one of the management functions of foreign organizations. These organizations carried out monitoring and evaluation of the financial and technical or humanitarian support programs and projects they had funded. This work was done either by the staff of donor organizations (typically monitoring) or by experienced foreign external evaluators. Thus, the first people to become acquainted with program evaluation were staff members in the local offices of foreign organizations such as the United Nations, international development agencies, and foundations, and, soon after, staff members of the local recipients of foreign grants. The majority of recipients of these first grants were social, educational and healthcare-related NGOs, but governmental structures at different levels and small and medium-sized businesses also received grants.

In the early '90s, the large foreign NGOs that managed the projects and programs funded by foreign donors, played a significant role in the development of program evaluation, not least because these NGOs were using monitoring and evaluation techniques in their own activities and were being evaluated by external consultants hired by the foreign donors.

By the second half of the '90s, the project approach had been thoroughly studied by the region’s NGOs; their representatives had participated in training courses and gained practical experience. The dynamism of this process varied from country to country, with the development of program evaluation proceeding faster in some countries and slower in others. Nevertheless, though the rate of development differed from country to country, the stages of development are very much alike. We discuss this further below.



## Training

NGOs moved into a stage of professionalizing and deepening knowledge in response to specific “narrow” issues. Training programs were modified to meet the needs of particular situations. Local NGOs wanted to develop a clear understanding of which models were most effective and why. In 1996, one of the first evaluation seminars in the CIS was organized for NGO representatives in Russia. This first seminar in Russia was initiated by the Russian Office of the Charities Aid Foundation (CAF-Russia) with the support of DFID and the involvement of British specialists as trainers<sup>50</sup>.

In 1997, the Russian Office of the American NGO, World Learning, organized a long-term training course on evaluation for a group of Russian experts in Moscow with the support of USAID. [Do you think that we'd better say what 'experts' implies in this context?\*\*\*] The course included an introductory seminar, a practical project evaluation task, and a final seminar for analyzing the trainees' work. American specialists were invited as trainees and program writers<sup>51</sup>. In the same year, a similar training course was organized by the Siberian Social Initiatives Support Center (Novosibirsk) to which Russian specialists were invited as trainers<sup>52</sup>.

By the end of the '90s similar seminars were offered in other CIS countries. We can mention here Counterpart Creative Center in Ukraine; Azerbaijan office of the American NGO ISAR in Azerbaijan; HORIZONTY Foundation in Georgia; AED<sup>53</sup> in Kazakhstan; Eurasia Foundation in Kazakhstan and Kyrgyzstan<sup>54</sup>. In 2000, Russian Community Development Institute<sup>55</sup> with the support of USAID and American specialists<sup>56</sup> carried out training for Russian resource centers' representatives. The British organization INTRAC carried out a range of training courses in evaluation in the Central Asia in 2000 and involved local evaluation specialists into evaluating their own programs in their regions. In 2004, the Community Development Institute<sup>57</sup> was supported by “Eurasia” Foundation to train a group of specialists in Uzbekistan.

The end of 1990s and the beginning of 2000s was characterized by local NGOs' internal evaluation training, sometimes held with the involvement of foreign specialists. We should highlight the partnership project<sup>58</sup> of the British organization INTRAC and the Russian Trainers and Consultants Association known as INTERTRAINING, aimed at developing and disseminating methodologies for training evaluation. Currently, the Russian NGO “Training-Center Golubka” conducts a few training courses on program evaluation and training evaluation in Russia and other CIS countries; World Learning, with the support of USAID organizes training in Armenia<sup>59</sup>; “Eurasia” Foundation conducts training in Uzbekistan<sup>60</sup>; and the Community Development Institute conducts training in Central Russia. The Association of Civil Society Development Centers in Kyrgyzstan and the Kazakhstan Office of the American organization “Counterpart International” also organize evaluation training<sup>61</sup>.

In contrast, the Counterpart Creative Center is developing its own program and conducts a training series in Ukraine. This approach is also used by the Horizonty Foundation (Georgia), the Siberian Social Initiatives Support Center (Russia), the NGO “Zhalgas-Counterpart” (Kazakhstan), and several other NGOs in the CIS. As a result of these training courses,

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<sup>50</sup> Evaluation Trust

<sup>51</sup> Management Systems International

<sup>52</sup> Process Consulting Company, Russia

<sup>53</sup> Academy for Educational Development, USA

<sup>54</sup> All of the above mentioned seminars were carried out by the Process Consulting Company. In Ukraine – in cooperation with Evaluation Trust, UK

<sup>55</sup> At that time – NGO Support Center

<sup>56</sup> Management Systems International

<sup>57</sup> Former NGO Support Center, Moscow

<sup>58</sup> The Project received a grant from CAF-Russia with the support of DFID.

<sup>59</sup> Management Systems International and Community Development Institute

<sup>60</sup> NGO Support Center

<sup>61</sup> Conducted by Process Consulting Company

groups of local specialists form and become involved into program and project evaluation. Their first clients are often the structures that organized their training.

A project of the Siberian Support Center of Social Initiatives, funded by TACIS, was the beginning a new stage in the development of evaluation. The project trained the representatives of municipal and local government together with the community representatives and was implemented in cooperation with the London School of Economics. The growing interest of governmental structures is a new trend in evaluation development. This project was the first to introduce the so-called “participatory<sup>62</sup>” approach to evaluating social programs funded by the local municipal budgets.

During the past 5 to 6 years, higher education institutions have begun to include program evaluation as a new discipline in their programs for NGO managers. There are as yet only a few programs of this kind but their number is growing steadily. The first and only “Program and Project Evaluation” course in the region has been offered by the Moscow Community Development Institute since 2003. The Moscow School of Social and Economic Sciences was the first to introduce the course “Evaluating Program and Project Effectiveness” into its full-time tuition program in 2004. The Moscow State University “Higher School of Economics” has taught evaluation in the context of governmental policy analysis since 2004; the Governmental Management Academy (Kiev) has offered a similar course since 2001. Senior courses at the American University of Central Asia (AUCA) now include evaluation in Kyrgyzstan. The master’s degree program at the School of Social Work of the Kiev-Mogilyansk Academy and the Certificate Program of the NGO Institute of Ukrainian Catholic University in Lvov also include program evaluation.

### **Publications**

There are few publications in Russian or the other languages of the region and the demand for them exceeds the supply. Articles on monitoring and evaluation are nevertheless regularly published (and disseminated free of charge to members) in the electronic newsletter and on the website of the International Program Evaluation Network<sup>63</sup> and in the free electronic newsletter of Process Consulting Company<sup>64</sup>.

A wide range of publications is offered by the Russian foundation “Urban Economics Institute” and the foundation’s website<sup>65</sup> contains a complete catalogue of publications for sale to the public. International organizations have issued a few materials in Russian, including J. Baker *Evaluating Project Impact on Poverty*<sup>66</sup> and *Glossary of Management for Results and Evaluation Terms*<sup>67</sup>. The book by C. Weiss, *Evaluation: Methods for Studying Programs and Policies*, was translated into Ukrainian and published in Ukraine in 2000. Books and manuals on evaluation for organizations working in specific areas, e.g., HIV/AIDS, are also beginning to appear.

In 2003, the NGO Support Center issued a series of lectures entitled *Program and Project Evaluation*. This book was created principally for students in correspondence courses offered by the Community Development Institute<sup>68</sup> (Moscow) and is not available for purchase. In 2005, the Institute of Community Development (Almaty) published a collection of articles on impact evaluation<sup>69</sup>. The issue was dedicated to the annual conference of the International Program Evaluation Network (IPEN) mentioned above. In the same year, Process Consulting

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<sup>62</sup> Participatory approach presupposes the active involvement of all stakeholders, not only evaluators into the evaluation process

<sup>63</sup> [www.eval-net.org](http://www.eval-net.org)

<sup>64</sup> <http://processconsulting.ru/registration.shtml>

<sup>65</sup> [http://www.urbaneeconomics.ru/texts.php?folder\\_id=94&mat\\_id=41](http://www.urbaneeconomics.ru/texts.php?folder_id=94&mat_id=41)

<sup>66</sup> World Bank, <http://web.worldbank.org/>

<sup>67</sup> <http://www.oecd.org/dataoecd/22/61/31650813.pdf>

<sup>68</sup> <http://www.ngo.org.ru/ngoicb/course6/cls0/CourseTOC.html>

<sup>69</sup> <http://www.idc.nursat.kz/gb.php?lang=&page=4>

Company published the book *Program and Project Evaluation* that can be easily purchased by anyone interested<sup>70</sup>.

### **Research and Development of the Core Body of Knowledge**

Meanwhile, the region is accumulating practical experience and getting acquainted with theoretical materials on evaluation developed abroad. The latter resources are not easily available for everyone because of language barriers and limited access to the modern literature in evaluation. Local evaluators are mostly involved in monitoring and evaluation of specific projects or circumstances. They have not yet made any significant contribution to the discipline's development.

### **Demand and Supply**

Through the mid-1990s, foreign donors' needs for program and project evaluation services were mainly met by foreign evaluators. By the end of 1990s, however, local specialists and organizations capable of conducting evaluations at a very high professional level were available in almost all of the countries of the CIS. The most important factor in this professional development was that local specialists were invited by foreign donors to participate in evaluations, both under the supervision of foreign experts, and, for the first time, on their own. This practical work made it possible for many local specialists to gain invaluable experience.

The first evaluation clients of these local specialists were USAID, DFID, TACIS, UNDP, HIVOS, and the Soros Foundation. Large foreign NGOs and their Russian offices also started hiring local evaluators in the second half of the 1990s, among them American organizations like IREX, ISAR, Counterpart, and Save the Children, and the United Kingdom's Charities Aid Foundation. It naturally takes time and effort for foreign donors to gain confidence in new practitioners, no matter how experienced, and many foreign donors still maintain a cautious attitude toward new local specialists. We acknowledge Eurasia Foundation for providing systemic support for local evaluation capacity development and for involving local evaluation specialists from Russia, Ukraine, Kazakhstan, Kyrgyzstan, and Georgia.

At the end of the 1990s, governmental structures began to demonstrate interest in program evaluation. In Russia, Ukraine, and Kazakhstan this followed the adoption of laws and regulations governing competitive bidding for government contracts for social programmes and municipal grants. The Siberian Support Center for Social Initiatives, for example, took an active part in introducing program evaluation by helping local and municipal governments in their region. Moscow's Institute for Urban Economics also made a significant contribution in this area. In Kazakhstan, a new law governing conduct of social programme was adopted in 2005, and this year (2006), a methodology for local project evaluation developed by the Kazakh NGO "Institute of Cooperation for Development" is being introduced by the Ministry of Culture, Information and Sports.

In Ukraine and Russia, where administrative reforms emphasize management for results, governmental structures are increasingly interested in evaluation as an important new management tool.

A new use for evaluation has appeared with the development of corporate charities. Large corporations have begun to include charitable programs in their long-term strategies for social responsibility. Important questions requiring the tools of evaluation arise in this connection: how do we decide our priorities for charitable investment; how do we evaluate the efficiency of our charitable programs; and how do we measure the impact of these programs on a company's core business?

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<sup>70</sup> [http://processconsulting.ru/news\\_arc.shtml](http://processconsulting.ru/news_arc.shtml)

## **Professional Communities**

In our region (the CIS) nowadays, communities of program evaluators are creating professional networks and associations at the national level. Because the International Program Evaluation Network works throughout the region, it does not compete with the new national groups or duplicate their functions. Its purpose is rather to provide informational resources to support the development of these national networks and their cooperation with each other.

IPEN does not intend to become an international professional association but rather an effective tool for cooperation and communication among national associations in its region.

IPEN's activity is completely non-commercial. The Network remains neutral towards any evaluation specialist or organization: it does not advertise evaluation services, does not provide them, and does not promote evaluators or the organizations that they represent.

A board of trustees provides for the strategic management of the Network and board members provide resources to support the operation of the Network. It proved crucial that all trustees be organizations rather than individuals in order to sustain the necessary level of Board activity. In 2000 there were five organizations on the board representing Georgia, Russia and Ukraine. In 2005 an organization from Kazakhstan joined the board and the UNICEF Regional Office for CEE/CIS in Geneva accepted IPEN's invitation to become a board member. This UNICEF-IPEN cooperation is an important sign of recognition that acknowledges an informal network whose activities are aligned with UNICEF's efforts to develop local evaluation capacity. UNICEF's support of the IPEN annual conference in 2005 and this joint publication are products of this new cooperative relationship.

The Uzbekistan Evaluation Network<sup>71</sup> was created in 2005 with the support of Eurasia Foundation. Its mission is to increase the professional level of local evaluation specialists and to promote evaluation as a management tool for increasing the effectiveness of social programs and projects implemented in Uzbekistan.

According to our data, two other professional evaluation networks are in the process of being created in Kyrgyzstan and Kazakhstan. A "Young Evaluators' Network" is being created in Moldova with the support of UNICEF.

## **Stages of Program Evaluation Development in the Region**

In light of the information presented above, we have identified the following four stages in the development of evaluation in the CIS:

1991–1995 "An External Phenomenon" — Evaluation is carried out only by foreign donors and is viewed by staff members of local organizations as an "external phenomenon," brought from abroad, with very little to do with the processes presently at work in the region.

1996–2000 "Initiation" — There is a growing interest in evaluation accompanied by rapid dissemination of the information about it through training courses.

2000–2004 "Assimilation" — The region's first professional organization (IPEN) is created to more deeply introduce evaluation into NGOs' activities. There is an increase in evaluation services provided by organizations and independent specialists in local markets and increased recognition of local specialists by both local and international clients. Nevertheless, promotion of evaluation at this stage faces serious difficulties and there is little local demand for evaluation services.

2005–the present "Implementation" — While it is very hard to name a stage that one has just begun, we point out this stage because of the sharp increase of the interest in evaluation among governmental and business organizations in many countries of the region. Though it was born in the non-commercial sector, the function of evaluation is gradually migrating into the commercial sector. National social programs at least declare the necessity of monitoring and evaluation, e.g., some include a system of indicators for their evaluation. Regional authorities that

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<sup>71</sup> <http://evaluation.freenet.uz>

The International Program Evaluation Network was the first professional evaluation community in the region. It was created in 2000 by five national organizations—three Russian, one Ukrainian, and one Georgian—as an informal community of people working in the field of evaluation or interested in the subject of evaluation. IPEN now includes 131 individual members from 13 countries. Together with its partners in the CIS, IPEN has conducted five annual international conferences: three in Russia (2000<sup>73</sup>, 2002<sup>74</sup>, 2003<sup>75</sup>), one in Ukraine (2004<sup>76</sup>), and one in Kazakhstan (2005<sup>77</sup>). In 2001, SCSIS carried out the first School of Program Evaluation with IPEN as its partner. The next IPEN conference will take place in Georgia in September 2006<sup>78</sup>. HORIZONTY Foundation will be the regional partner of IPEN.

IPEN's mission is to promote the professional development of evaluation specialists and to develop the evaluation function in the former USSR. IPEN's goal (until the year 2008) is to form a sustainable system to provide network members with quality information on various aspects of program evaluation.

The Network disseminates the following information:

- International news
- News from the former USSR
- Information about companies that specialize in evaluation in the regions
- Information about training and professional development possibilities, upcoming seminars and conferences
- Job opportunities for evaluators
- Publications on regional evaluation experiences
- Digests and translations of foreign evaluation publications
- Evaluation methods and toolkits

Information is published and disseminated on the IPEN website, in electronic newsletters, e-mail listserv, and in “round table” discussions and conferences.

Membership in IPEN is free of charge and open to any individual who agrees with the Network's principles and goals and who is ready to follow the professional principles for evaluators adopted by IPEN. Prospective members provide information on an appropriate form and formally accept the IPEN principles. No other requirements are possible and any network member can quit the network without any additional conditions. All members receive:

- The *Program Monitoring and Evaluation Newsletter* (quarterly)
- Timely information (through the mailing list)
- the possibility of sending information to all IPEN members (through the mailing list)
- the ability to update their personal information online

<sup>72</sup> [www.eval-net.org](http://www.eval-net.org)

<sup>73</sup> Novosibirsk, in partnership with Siberian Center for Social Initiatives Support (SCSIS)

<sup>74</sup> Sochi, in cooperation with South Regional Resource Center (SRRC)

<sup>75</sup> Moscow

<sup>76</sup> Kiev, in cooperation with Counterpart Creative Center

<sup>77</sup> Almaty, in partnership with Association of Civil Society Development (ACSD) and Institute of Development for Cooperation

<sup>78</sup> [http://www.eval-net.org/conference\\_next\\_eng.shtml](http://www.eval-net.org/conference_next_eng.shtml)

fund social projects have begun to include evaluation in their grant program cycles. Business organizations that carry out charitable programs conduct internal evaluations. Local charitable foundations and foundations of local communities also evaluate their programs.

For the most part, only foreign donors required evaluation services; local organizations are only just beginning to consider the use of evaluation as an effective management tool. But the introduction of the system of managing for results in governmental structures creates the basis for a growing demand by local agencies and departments.

Today we can state unequivocally that there are qualified professional evaluators in the region, though their number and the number of specialized consulting organizations remains small. The market for evaluation services is undeveloped and the number of qualified evaluators (on the average across the region) still exceeds the demand for external program evaluation. The CIS has an important opportunity to capitalize on two of the region's unique features to expand the use of evaluation, namely the use of Russian as a working language and the ease of travel afforded by visa-free regimes between many CIS countries. This is why we consider regional specialists to be an important resource for use in countries beyond the evaluators' own country of residence.

Though in some countries, such as Azerbaijan, where local specialists do not yet actively promote themselves as evaluators, the demand for evaluation services and training exceeds the existing supply, in most countries in the region the correlation of demand and supply remains relatively equal.

### **Future Prospects**

An actively working, growing and developing International Program Evaluation Network will remain a critical factor in the development of evaluation in the region.

Several factors illustrate the vitality and sustainability of the network. It holds conferences annually, publishes a newsletter four times a year, and supports a websites and an email listserv. It supports the creation of national and regional communities of evaluators. The Board of Trustees is made up of sustainable organizations and minimum fixed payments from participating organizations guarantee the Network's financial sustainability. UNICEF's presence on the Board contributes to IPEN sustainability as well as its reputation.

In the near future, the region's principal evaluation clients will still be foreign donor organizations. Local evaluation capacity development will continue to depend on their policy of involving local specialists into tenders for evaluation. The pace of growth in the use of evaluation however, may well depend on how successfully local specialists promote their evaluation services and whether they will act collaboratively.

Some countries may experience growth of their government's interest in evaluation in general and in evaluation training for government staff in particular. Countries where evaluation developed more slowly than in the whole region may at least experience increased interest in evaluation just because "their neighbors have it."

In the next few years, institutions of higher education in the region can be expected to include evaluation modules in relevant degree programs.

The following factors could promote the development of evaluation in the region:

- Specialized introductory and informational programs on the use and importance of evaluation
- Evaluation training programs and schools at the national level
- Local organizations that can become leaders and coordinators of the evaluation development;
- Creation of evaluation associations and/or networks

One of the clearest needs is for developing and publishing available handbooks, methodological recommendations, and other literature on evaluation in Russian and the other languages of the region.

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## 5. Authors Vitae

**ADRIEN, Marie-Hélène** has been working since 1988 as an international development evaluator for the Canadian consulting firm Universalia ([www.universalia.com](http://www.universalia.com)) of which she became the CEO in 2002. Over the course of her career she has conducted over 100 evaluations in more than 36 countries, particularly in West Africa, and has since specialized in Institutional and Organizational Assessment. Dr. Adrien has published several guides on this topic including: *Enhancing Organizational Performance; A Toolbox for Self-Assessment* for conducting organizational assessments with IDRC (1999) and *Organizational Assessment* with the IDB (2002). She served on the Board of the Quebec Programme Evaluation Society from 1996–1999, on the Board of the Canadian Evaluation Society from 1998–2001, and has been elected President of the Board of the International Development Evaluation Association (IDEAS) in 2005. From 2000 to 2004 she was a faculty member of the McGill International Executive Institute and since 2003 has been a faculty member for the International Programme Development Evaluation Training (IPDET).

**BALAKIREV, Vladimir** is a Partner in Process Consulting Company (Moscow) and has worked as an organization development consultant since 1991. He is an experienced trainer and facilitator and hold master's degrees in special education and psychology. Mr. Balakirev is a specialist in corporate ethics and has managed several projects aimed at developing and implementing corporate ethical codes in major Russian companies. Currently his specialization is program evaluation and he has conducted several dozen program and project evaluations in recent years. Mr. Balakirev is a member of the Board of Trustees of the International Program Evaluation Network.

**BICKEL, Samuel** is Senior Advisor in the Evaluation Office of UNICEF New York Headquarters. His principal responsibilities include assisting global evaluations in thematic areas, linking evaluation with UNICEF's Medium Term Strategic Plan, and strengthening evaluation capacity. Previously he held UNICEF assignments in Niger (M&E Officer), Colombia (Regional M&E Officer), and Panama (Regional Planning Officer). He has extensive work experience in Africa, Latin America, and the Caribbean.

**BOROVYKH, Alexander** has been involved in NGO development in Russia since 1993. He has provided and managed training and consulting services in institutional development and capacity building to NGOs and directed the training and marketing activities of an independent Moscow-based NGO, the Center for NGO Support (now the Institute for Public Development). He has worked with NGOs in Russia, Ukraine, Belarus, Armenia, Georgia, Kazakhstan, Uzbekistan, Tajikistan, and Azerbaijan.

Mr. Borovykh was one of the first professional evaluators in Russia. From 1997 to 2005 he carried out evaluations for USAID Moscow, DFID, UNHCR, Ford Foundation, Eurasia Foundation, Global Ecological Fund, Soros Foundation, IREX, etc. From 2003 to 2004 he conducted educational courses on evaluation for Armenian and Uzbek specialists, and initiated and implemented the first Russian educational course on evaluation for the Moscow City administration.

Mr. Borovykh is one of the founders of the International Program Evaluation Network (IPEN) and a member of the IPEN Board of Directors.

**CONNER, Ross** directs the Center for Community Health Research and is a professor, School of Social Ecology, at the University of California, Irvine, USA. He is President of the International Organization for Cooperation in Evaluation and a past president of the American Evaluation Association. His work focuses on community health promotion/disease prevention programs and their evaluation. He is currently collaborating with and studying two such

programs: cancer control with Korean and Chinese communities and HIV prevention with Latino men. He is conducting an assessment of California's largest community-initiated health promotion program, the Communities First initiative of The California Endowment. Mr. Conner is the author or co-author of nine books and numerous papers on various community-health and evaluation topics. He has worked with many organizations and foundations on national, regional and international projects. Most recently, he assisted the Eurasia and Horizonty Foundations with evaluation training for the South Caucasus countries of Georgia, Armenia and Azerbaijan.

**FRANTS, Inessa** is the Director and Founder of NGO "Institute for Development Cooperation" (idc). As a consultant, Ms. Frants conducts research in civil society development and provides organizational and institutional support to the NGO sector. She performs needs assessments; designs, organizes and conducts training programs for NGOs working in the arenas of ecology, women's issues and gender, youth, human rights, rural, cultural and farmers' NGOS, and CBOS.

She is Chief editor of three popular scientific magazines (*Spectrum of Development*, *OrganiZAtion*, and *Capacity Building*). As an independent evaluator, Ms. Frants has conducted about 30 different evaluations of projects and programs, worked out the manual for state officials bodies, conducted training programs and one conference.

She has been an IPEN member since 2004 and a member of the American Evaluation Association since 2005.

**GRESHNOVA, Ekaterina** has a background in economic journalism with two different news agencies and has been involved in NGO development activities since 1993. She has provided and managed training and consulting services in institutional development, public relations, and networking to NGOs and has been involved in direct PR and information dissemination activities. She is a co-founder and the Executive Director of the Center for NGO Support (now the Institute for Public Development). For more than eleven years she has worked with NGOs in Russia, Armenia, Croatia, Georgia, Ukraine, Kazakhstan, Kyrgyzstan, Tajikistan and Uzbekistan; consulted with dozens of NGOs and grassroots organizations of many different kinds; and lead workshops.

From 1998 to 2001 she played a key role as the Monitoring and Evaluation Specialist in the NGOSS (NGO Sector Support) Program funded by USAID.

Ms. Greshnova was one of the first professional evaluators in Russia. From 1997 to 2005 Ms. Greshnova carried out evaluations for USAID Moscow, DFID, World Bank Institute, Ford Foundation, Eurasia Foundation, Global Ecological Foundation, Soros Foundation, IREX, etc. In 2004 she conducted an educational course in evaluation for the members of the Uzbekistan evaluators' network, and initiated and implemented the first Russian educational course in evaluation for the Moscow City administration.

Ms. Greshnova is one of the founders of the International Program Evaluation Network (IPEN) and a member of the IPEN Board of Directors.

**KONOVALOVA Elena** has worked in various development-related fields and for different local and international organizations specializing in democratic development in former USSR countries for the past seven years she. During the past four years she has become extensively involved in projects for the development of civil society in the region, with a special focus on monitoring and programme evaluation. From 2001 to 2005 she worked for the Siberian Civic Initiatives Support Center (SCISC), Russia, as a monitoring and evaluation specialist in which capacity she supervised and conducted evaluations both for SCISC (for internal use) and for other donors (as an external evaluator).



Ms. Konovalova has been a member of the Editorial Board of the IPEN Newsletter since 2002 and a member of the IPEN Board of Trustees from 2003 to 2005. In 2005 she was appointed an IPEN coordinator.

**KUSHNER, Saville** is Regional Monitoring and Evaluation Officer for UNICEF (Latin America and the Caribbean). Prior to joining UNICEF he worked at British universities as a theorist and practitioner of programme evaluation. For some years he was a member of a transatlantic group developing democratic and case-based approaches to evaluation. With colleagues, he applied these approaches to fulfilling evaluation contracts for government and other agencies in Great Britain and overseas.

**KUZMIN, Alexey** is President of Process Consulting Company (Moscow) and a lecturer at the Moscow School of Social and Economic Sciences (MSSES). He has been working as a management and organization development consultant since 1987 and has specialized in program and project evaluation since the mid-90s. He has conducted over 100 evaluations of projects and programs in Russia, CIS and Eastern Europe. He earned master's degrees in engineering and psychology and a PhD degree in program evaluation and organization development.

Dr. Kuzmin is the Chairman of the International Program Evaluation Network Board of Trustees and of the American Evaluation Association's International Committee.

**PALYVODA, Lyubov** is Founder and President of Counterpart Creative Center, a Ukrainian charity foundation and an official branch of Counterpart International, Inc. in Ukraine. She has thirteen years of experience working with NGOs in Newly Independent State countries in two capacities: first, as coordinator of training and grant programs for USAID projects in Ukraine, Moldova and Belarus (1993–1996), and, second, as the director of a Ukrainian service center for NGOs (1996–2002). She works as an independent consultant conducting program and organizational evaluations. She also consults on institutional capacity building, strategic and administrative management of organizations, and issues connected to charity, philanthropy and foundations.

Ms. Palyvoda has been a candidate for a PhD in Public Administration in the Graduate Department of Public Administration at Rutgers, The State University of New Jersey in Newark, NJ (USA). Her doctoral research focuses on studying the roles of Ukrainian charity organizations and foundations in delivering public services and is expected to be completed in April, 2006.

**QUESNEL, Jean Serge** is the Director of the Evaluation Office of the United Nations Children Fund (UNICEF). He led the Task Group that drafted the Norms and Standards for Evaluation within the United Nations System, which was approved in 2005 by the United Nations Evaluation Group. He was Director General of the Performance Review Branch at the Canadian International Development Agency. He served then as Chairman of the Expert Group on Evaluation and drafted the Principles of Evaluation that were adopted by the Development Assistance Committee (DAC) of the Organization for Economic Cooperation and Development (OECD). He was Director of the Evaluation Office of the Inter-American Development Bank and was the founding chair of the Evaluation Cooperation Group that fosters the harmonization of evaluation approaches amongst multilateral banks. He has taught evaluation at the University of Quebec, the University of Costa Rica, the European Center of Management Studies, Fordham University and the University of Ottawa. He facilitated in the creation of the Masters in Evaluation at the University of Costa Rica. He has been active in the Canadian Evaluation Society and the Central American Evaluation Association and played a supportive role in the formation of ReLAC and IOCE. He is the first official member of IDEAS.

**SEGONE, Marco** has worked in Bangladesh, Pakistan, Thailand, Uganda and Albania in integrated development projects. In 1996 he joined UNICEF to work for the Regional UNICEF Office for Latin America and the Caribbean. From 1999 to 2001 he worked as M&E Officer for UNICEF Niger, where he founded and for two years coordinated the Niger M&E Network. From 2001 to 2004 he was the UNICEF M&E Officer for Brazil, where he was one of the founders and coordinators of the Brazilian Evaluation Network. In 2003 he was elected Vice-President of IOCE and was one of the founders of the Latin America and the Caribbean Network for Monitoring, Evaluation and Systematization (RELAC). Since 2005 he has served as the Regional M&E Advisor in the UNICEF Regional Office for Central and Eastern Europe and the Commonwealth of Independent States (CEE/CIS). He represents UNICEF on the Board of Trustees of the International Programme Evaluation Network (IPEN).

# **ANNEX 1: Internet-Based Discussion Groups Relevant to Evaluation**

Internet-based Discussion Groups Relevant to Evaluation are virtual networks, i.e., electronic networks or discussion listservs, that people from all over the world can use to write electronic messages (e-mail) for discussions and exchange of opinions, ideas and experiences about topics and issues of common interest. This is a practical, economic, and effective way to stay up-to-date with what is going on in other organizations and countries. Academics, officers of national and international organizations, independent experts, and other people interested in related issues become members of these networks. A person does not need to be an expert in computers or in the topics discussed to join one of the international networks on evaluation. You can be a passive member, that is, you receive messages but are not obliged to reply, and you only need access to e-mail. You don't have to pay any subscription fee to become a member of one of the following Internet-based Discussion Groups Relevant to Evaluation.

## ***1-1. Major Internet-Based Discussion Groups Relevant to Development Evaluation***

### **A. Evaltalk: American Evaluation Association**

<http://www.bama.ua.edu/archives/evaltalk.html>

An open, unmoderated list for general discussion of evaluation and associated issues sponsored by the American Evaluation Association. EVALTALK was established to provide a vehicle for open discussions concerning evaluation issues. Although sponsored by the American Evaluation Association (AEA), the list is open for use by anyone. To subscribe to EVALTALK, send e-mail to <listserv@ua1vm.ua.edu>. The body of the message should read: SUBSCRIBE EVALTALK <Firstname> <Lastname>.

### **B. XC-EVAL: Cross-cultural and international evaluations**

<http://home.wmis.net/~russon/icce/>

XC-EVAL is a network of evaluators and researchers interested in developing country and cross-cultural issues sponsored by The Association of International and Cross-Cultural Evaluators.

**Objectives:** The main purpose of this network is knowledge and information sharing. They aim to provide a forum to facilitate and stimulate debate, discussion and problem solving. They also wish to provide a tool, especially for Third World members, to access information on core areas of interest that they might otherwise find difficult to obtain. At the same time, the network will enable developed country members to contact people in the field working on their areas of interest, provide a window on the problems being faced, and encourage participation in finding solutions.

**Core Areas of Interest:** Umbrella topics are evaluation and research issues with a developing country or cross-cultural dimension. The network provides a forum for broadcasting conference and training opportunity announcements, as well as requirements for consultancy services in these areas.

**Types of Participants:** This is an inclusive network, open to anyone who is interested and has access to e-mail services. It has no institutional affiliation and all members are members in their own personal right, rather than as members or employees of any institution or organization. Membership is growing rapidly and the composition may change over time.

Currently, about three-quarters of the network's members are working in the Third World in an evaluation or research capacity. Institutionally, the membership is roughly equally divided between United Nations organizations, especially UNICEF, non-governmental organizations, universities, and research institutes.

To subscribe, go to <http://home.wmis.net/~russon/icce> -or- e-mail <XCeval-subscribe@topica.com>.

### **C. IPEN**

The International Program Evaluation Network was the first professional evaluation community in the Commonwealth of Independent States. It was established in 2000 by three Russian, one Ukrainian, and one Georgian organizations. Now, IPEN includes over 150 members from 13 countries. IPEN was created as an informal community of people working in the field of evaluation or interested in the subject of evaluation. IPEN's Mission is to promote professional development of evaluation specialists and develop the evaluation institute in the former USSR.

IPEN conducts annual international conferences and issues a quarterly electronic newsletter. Membership in IPEN is open to individuals. One can join IPEN online at <[www.eval-net.org](http://www.eval-net.org)>. The working language is Russian.

## ***1-2. Other Internet – Based Discussion Groups Relevant to Development Evaluation***

### **(1) ARLIST-L**

<http://www.scu.edu.au/schools/gcm/ar/arr/arlist.html>

Forum for the Theory and Practice of Action Research, a multidisciplinary electronic mailing list. To subscribe, e-mail [listproc@scu.edu.au](mailto:listproc@scu.edu.au) with the message: SUBSCRIBE ARLIST <Firstname> <Lastname>. Sponsored by Bob Dick of Southern Cross University, Australia.

### **(2) Empowerment Evaluation**

<http://www.eval.org/TIGs/empower.html>

To subscribe, e-mail [majordomo@lists.stanford.edu](mailto:majordomo@lists.stanford.edu) with the message: SUBSCRIBE EMPOWERMENT EVALUTION97@lists.stanford.edu (username@hostname). Sponsored by the American Evaluation Association.

### **(3) EVALCHAT**

<http://www.evaluation.org.uk/>

To join the list, send a message to: [Evalchat-request@uwe.ac.uk](mailto:Evalchat-request@uwe.ac.uk) With Evalchat-request in the Subject. The message should read only Subscribe evalchat [your e-mail address]. Sponsored by the U.K. Evaluation Society.

### **(4) EVALNET**

<http://www.iadb.org/ove/Default.aspx?Action=WUCHtmlAndDocuments@EvalNet>

EvalNet serves as a forum for practitioners and academics interested in evaluation of development projects in Latin America and the Caribbean. Registration is online. Sponsored by the Office of Evaluation and Oversight (OVE) of the Inter-American Development Bank (IDB).

### **(5) EVALUER**

<http://fr.groups.yahoo.com/group/evaluer/>

To subscribe to this listserve, e-mail [evaluer-subscribe@yahoogroupes.fr](mailto:evaluer-subscribe@yahoogroupes.fr).

**(6) GOVTEVAL <**

[http://www.eval.org/ListsLinks/ElectronicLists/govteval\\_list.htm](http://www.eval.org/ListsLinks/ElectronicLists/govteval_list.htm)

An unmoderated global electronic discussion group open to anyone involved or interested in issues related to public sector program evaluation. To subscribe, e-mail [majordomo@nasionet.net](mailto:majordomo@nasionet.net) with the message: SUBSCRIBE GOVTEVAL [your e-mail address]. Sponsored by the American Evaluation Association.

**(7) PREVAL**

<http://www.preval.org/pagina.php?pagina=109&idioma=8>

The NETWORK gathers more than 600 professionals from Latin America and the Caribbean, North America and Europe. Subscribe online or send a message to [preval3@desco.org.pe](mailto:preval3@desco.org.pe) including the subscriber's e-mail address and name. Also available in Spanish.

**(8) ReBraMA (Rede Brasileira de Monitoramento & Avaliacao)**

<http://www.avaliabrasil.org.br/>

The network maintains a bilingual website (English and Portuguese) and a discussion list ([ReBraMA-subscribe@yahogrupos.com.br](mailto:ReBraMA-subscribe@yahogrupos.com.br)).

**(9) ReLAC (Red de seguimiento, evaluación y sistematización en América Latina y el Caribe)**

To subscribe, please send an email to [relac-subscribe@gruposyahoo.com.ar](mailto:relac-subscribe@gruposyahoo.com.ar) with your name, surname and email address. Set up in September 2003 by the International Organization for Cooperation in Evaluation (IOCE), in cooperation with the M&E networks of Brazil, Central America, Colombia and Peru, and with the support of UNICEF and PREVAL.

## ANNEX 2: Internet Websites Relevant to Evaluation

### UN AGENCIES

#### **Food and Agriculture Organization (FAO)**

<http://www.fao.org/pbe/pbee/en/about/index.html>

The FAO Evaluation Service website includes Policies and Procedures, a collection of tools and methodological guidance for project and programme evaluation. Evaluation summaries and reports can be accessed through their Documents and Reports database.

*Also available in French and Spanish.*

#### **International Fund for Agricultural Development (IFAD)**

<http://www.ifad.org/evaluation/index.htm>

The Evaluation, Learning and Impact webpage includes the Evaluation Knowledge System, a database of evaluation reports including a detailed search function. The site also includes a Process and Methodology section that includes technical guidance on IFAD's evaluation approach.

#### **International Labour Organization (ILO)**

<http://www.ilo.org/public/english/bureau/program/eval/>

The Evaluation webpage includes the LABORDOC database. The site also provides full reports of thematic evaluations.

*Also available in French and Spanish.*

#### **Joint UN Programme on HIV/AIDS (UNAIDS)**

<http://www.unaids.org/EN/in+focus/monitoringevaluation.asp>

The Monitoring & Evaluation section provides access to their M&E Library as well as their Technical Resource Network, established to identify M&E practitioners in primarily developing countries and to strengthen their capacity while seeking to provide them with employment opportunities.

#### **United Nations Capital Development Fund (UNCDF)**

<http://www.uncdf.org/english/evaluations/>

While UNCDF does not have a section specifically for evaluation, this site includes a complete list of their full evaluation reports to date.

#### **United Nations Development Programme (UNDP)**

<http://stone.undp.org/undpweb/eo/cedab/eotextform.cfm>

The Central Evaluation Database contains summaries of evaluation reports. The Evaluation Plan Database provides information about the agency's planned and ongoing evaluations. The Methodology section includes links to various publications on monitoring and evaluation, country-level impact assessment, results-based management, and more. The Publications and Reports section provides full documents for many different types of evaluations.

#### **United Nations Children's Fund (UNICEF)**

<http://www.unicef.org/evaluation/index.html>

UNICEF Evaluation Office site provides access to evaluation policy, evaluation methods and tools, and good practices.

### **United Nations Educational, Scientific and Cultural Organization (UNESCO)**

<http://www.unesco.org/ios/>

The Internal Oversight Service website has links to their full evaluation reports (up to 2001) and a range of methodological guidance under Evaluation Tools.

### **United Nations High Commissioner for Refugees (UNHCR)**

<http://www.unhcr.org/cgi-bin/texis/vtx/research>

The Evaluation and Policy Analysis Unit website provides access to all full text UNHCR evaluation reports since 1994.

### **United Nations Industrial Development Organization Evaluation Services (UNIDO)**

<http://www.unido.org/data/ida.htmls>

The Industrial Development Abstracts Database (IDA) contains indexed abstracts of UNIDO documents which can be ordered online. In addition, this site lists evaluation reports classified by region and theme.

### **United Nations Population Plan (UNFPA)**

<http://www.unfpa.org/monitoring/index.htm>

The Monitoring and Evaluation Resources website includes full versions of their evaluation reports of UNFPA-supported projects and programmes. This site also includes the Programme Manager's Monitoring and Evaluation Toolkit, a collection of tools that provide hands-on information on basic M&E concepts and approaches.

### **World Health Organization (WHO)**

<http://www.who.int/library/database/index.en.shtml>

This site provides access to WHOLIS, the WHO library database that indexes full versions of all WHO publications from 1948 onwards and articles from WHO-produced journals and technical documents from 1985 to the present. *Also available in French and Spanish.*

## **INTER-AGENCY WORKING GROUPS**

### **Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP)**

<http://www.alnap.org/index.html>

ALNAP is a network working to improve learning and accountability in the international humanitarian system. Representatives are drawn from a mix of policy, operations, evaluation and monitoring sections of organisations involved in humanitarian action. Consequently it represents a unique structure with considerable potential for developing and introducing new thinking and approaches within the sector. The network brings together 43 full members including bilateral and multilateral donor organizations; UN agencies and departments; NGOs and umbrella organisations; the international Red Cross and Red Crescent movement; and selected consultants, academics and research institutes. The network's Secretariat is housed within the Overseas Development Institute. The Network's Evaluative Reports Database on evaluations of humanitarian action is fully searchable, with key sections and summary information. The Useful Resources database has fully searchable bibliographic listings, documents and links to relevant web sites. The Publications section offers access to studies and background papers, ALNAP annual reports and details of ALNAP books.

### **Development Assistance Committee (DAC)**

[http://www.oecd.org/department/0,2688,en\\_2649\\_33721\\_1\\_1\\_1\\_1\\_1,00.html](http://www.oecd.org/department/0,2688,en_2649_33721_1_1_1_1_1,00.html)

The DAC is the principal body through which the Organisation for Economic Co-operation and Development (OECD) deals with issues related to cooperation with developing countries. The Network on Development Evaluation is a subsidiary body of the Development Assistance

Committee (DAC) that brings together representatives from thirty bilateral and multilateral development agencies. Here you can find information on the Network's publications, documents and guidance, the work of network members, upcoming evaluation events, and evaluation community news and job opportunities. DAC work on aid evaluation is carried out primarily by the Working Party on Aid Evaluation. The DAC Evaluation Abstracts Database contains evaluation abstracts that various international development organizations have agreed to make available to the general public. *Also available in French.*

#### **The DAC Evaluation Resource Centre (DEReC)**

[http://www.oecd.org/site/0,2865,en\\_21571361\\_34047972\\_1\\_1\\_1\\_1\\_1,00.html](http://www.oecd.org/site/0,2865,en_21571361_34047972_1_1_1_1_1,00.html)

DEReC is an online resource centre managed by the DAC Network on Development Evaluation. Launched in November 2005, DEReC contains development evaluation reports and guidelines published by the Network and its 30 bilateral and multilateral members. DEReC is designed as a one stop shop for use by Network members, NGOs, civil society and other development organisations, researchers, academics and the wider evaluation community to find and access key evaluation publications and reports.

How to use DEReC:

The purpose of the resource centre is to make evaluation publications and reports more accessible and to enable users to cross-search for relevant evaluation material in three different ways:

- Search by Network member responsible for the publication (left hand navigation bar).
- Search by Sector focus of the evaluation (what's this?)
- Search by Country of focus of the evaluation

Users can also search for publications and reports using the keyword search available in the top right hand corner. Evaluation materials are listed chronologically and abstracts are also included.

#### **United Nations Evaluation Group (UNEG)**

<http://www.uneval.org/index.cfm?fuseaction=UNEG>

The UN Evaluation Group (UNEG) was established in January 1984 (originally under the name of the Inter-Agency Working Group on Evaluation). Its objective is to provide a forum for the discussion of evaluation issues within the UN System and to promote simplification and harmonization of evaluation reporting practices between the UNDP and executing agencies. UNDP chairs UNEG and provides the Secretariat facilities.

### **OTHER MULTILATERAL AGENCIES**

#### **Asian Development Bank (ADB)**

<http://www.adb.org/Evaluation/default.asp>

The Evaluation section includes a database of full text reports since 1995, and Methods, a section that includes performance reporting guidelines and a performance management handbook.

#### **Inter-American Development Bank (IDB)**

<http://www.iadb.org/ove/>

The Office of Evaluation and Oversight provides access to reports on thematic and country evaluations conducted by the bank, as well as abstracts of the bank's evaluations. *Also available in Spanish.*



### **The World Bank Group**

Operations and Evaluation Department

<http://www.worldbank.org/oed/>

This comprehensive web site provides evaluation and monitoring tools, methodologies, practices, lessons and information to enhance the quality of World Bank operations.

- The IFC Operations Evaluation Group site provides access to some of their studies, findings, and top lessons via their Publications section. The Group also provides executive summaries and abstracts from its Lessons Learned Series.
- The Operations Evaluations Department publishes a variety of full text document series, sorted by type or available through their online database.
- The PovertyNet website provides in-depth information on poverty measurement, monitoring, analysis, and on poverty reduction strategies for researchers and practitioners. The Impact Evaluation section provides access to a database of evaluations. The PovertyNet Newsletter is published monthly and previous issues are available online.
- The WBI Evaluation Group carries out evaluations of all training activities. It publishes evaluation reports and evaluation briefs.

## **DONOR AGENCIES**

### **Australian Agency for International Development (AusAID)**

<http://www.ausaid.gov.au/about/pia/managing.cfm>

The Evaluation and Quality Assurance site includes access to the AusAID's Lessons Database (containing documents that are of direct relevance to project and program quality). Also available are evaluation reports dating back to 1996.

### **Canadian International Development Agency (CIDA)**

[http://www.acdi-cida.gc.ca/cida\\_ind.nsf/vall/BB785355F3F431A585256C33006042D3?OpenDocument](http://www.acdi-cida.gc.ca/cida_ind.nsf/vall/BB785355F3F431A585256C33006042D3?OpenDocument)

This Evaluation website offers access to its lengthy manual *How to Perform Evaluations* as well as other evaluation and results-based management guides. Past issues of CIDA's *Performance Newsletter* are available. *Also available in French.*

### **Danish International Development Agency (DANIDA)**

<http://www.um.dk/en/menu/DevelopmentPolicy/Evaluations/>

The Evaluation of Development section lists DANIDA's evaluation guidelines, evaluation programme for 2005–2006, and reports on evaluations undertaken since 1994.

### **Department for International Development (DFID)**

<http://www2.dfid.gov.uk/aboutdfid/performance/default.asp>

The Evaluation & Reporting page lists evaluation reports and summaries as full-text reports or to order. The Performance Assessment Resource Centre (PARC), established by DFID, provides online knowledge-sharing and learning tools on performance assessment and evaluation.

### **Department for International Development Cooperation (Finnida)**

<http://global.finland.fi/evaluations/>

The Evaluation website includes guidelines for programme design, monitoring and evaluation and frameworks for navigating gender and navigating culture. Abstracts of evaluations of country programmes or sectoral programmes supported by Finnida are available online, dating from 1994.

**Federal Ministry for Economic Cooperation and Development (BMZ) \*German only**

<http://www.bmz.de/de/erfolg/index.html>

The website provides access to evaluation instruments and evaluations of topics, sectors, and projects as well as examples of country evaluations.

**Japan International Cooperation Agency (JICA)**

<http://www.jica.go.jp/english/evaluation/index.html>

Evaluation and Post-Project Monitoring website provides information on the history of its project evaluation activities, its evaluation topics and future plans, and project follow-up and results. Online publications include evaluation bulletins and evaluation reports.

**Swedish International Development Agency (Sida)**

<http://www.sida.se/Sida/jsp/polopoly.jsp?d=2269>

The Evaluation section has full-text reports under the Sida Evaluations series and the Sida Studies in Evaluation. The Newsletter, which provides summaries of evaluations and methodological studies, has issues archived from 1997.

**U.S. Agency for International Development (USAID)**

<http://www.dec.org/partners/eval.cfm>

Abstracts of their evaluation publications are available through a searchable database. Also included is an extensive listing of various series from the Center for Development Information and Evaluation (CDIE) database of publications.

<b>EVALUATION ASSOCIATIONS AND INSTITUTIONS</b>
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**African Evaluation Association (AfrEA)**

<http://www.afrea.org/>

AfrEA was founded in 1999 as an umbrella association for African Evaluators from every development-oriented discipline. As of June 2002, AfrEA brought together 17 national networks of evaluators. Highlights of this site include access to its African Evaluation Guidelines and its database of evaluators with African evaluation expertise.

**American Evaluation Association (AEA)**

<http://www.eval.org/>

The Meetings and Events section includes up-to-date information on upcoming events. The Training in Evaluation section provides links to ongoing degree programs and professional development programs. Publications allows access to association-related publications and documents, including Evaluation Standards developed by the Joint Committee on Standards for Education Evaluation, which serve increasingly as an important reference for standards on programme evaluation in general.

**Australasian Evaluation Society (AES)**

<http://www.aes.asn.au/>

Their publications sections include the *Evaluation Journal of Australasia* and *Guidelines for the Ethical Conduct of Evaluations* and may be ordered by contacting the webmaster at [aes@aes.asn.au](mailto:aes@aes.asn.au). Latest issues of E-news, their online newsletter, are available as well as archived issues.

**Canadian Evaluation Society (CES)**

<http://www.evaluationcanada.ca/>

Online publications include position papers on ethics, international cooperation and certification; the CES Newsletter; the CES Annual Report; and abstracts of the *Canadian Journal of Program Evaluation*. Also available in French.

### **European Evaluation Society (EES)**

<http://www.europeanevaluation.org/>

The site provides information about the structure, membership, and activities of the European Evaluation Society. You can also read their newsletter, see upcoming evaluation events, and link to professional networks and other evaluation sites.

### **Evaluation Francophonie**

<http://evaluation.francophonie.org/index.php>

The website includes six sections: Réseaux and Organisations with links to professional evaluation networks, organizations and online evaluation resources; Manifestations or events of interest to evaluation professionals with a priority to events intended for French-speaking participants; Formations or training opportunities in programme/policy evaluation; Opportunités in the evaluation profession; and Documentation or selected references and links to documents in French and also other languages, that are targeted to evaluators and evaluation sponsors (evaluation terminology and methodology, standards, advocacy for evaluation, online reports databases, etc.). Sponsored by l'Agence intergouvernementale de la Francophonie, this website supports the development of evaluation within the francophone world.

### **International Development Evaluation Association (IDEAS)**

<http://www.ideas-int.org/>

IDEAS is a global network of development practitioners and evaluators committed to capacity building, networking, applying innovative methodological approaches, and sharing knowledge, especially in developing countries and countries in transition. IDEAS serves as an important platform for advocating development evaluation as an essential aspect of transparency and good governance. IDEAS was initiated by UNDP and the World Bank.

### **International Organization for Cooperation in Evaluation (IOCE)**

<http://www.ioce.net>

Loose coalition of regional and national evaluation organizations from around the world that is dedicated to building leadership and capacity in developing countries, fostering the cross-fertilization of evaluation theory and practice around the world, and assisting the evaluation profession to take a more global approach to contributing to the identification and solution of world problems. *Also available in French and Spanish.*

### **International Program Evaluation Network (IPEN) [Russia & Newly Independent States]**

<http://ipen21.org/ipen/>

The International Program Evaluation Network was the first professional evaluation community in the Commonwealth of Independent States. It was established in 2000 by three Russian, one Ukrainian, and one Georgian organizations. Now, IPEN includes over 150 members from 13 countries. IPEN was created as an informal community of people working in the field of evaluation or interested in the subject of evaluation. IPEN's Mission is to promote professional development of evaluation specialists and develop the evaluation institute in the former USSR.

IPEN conducts annual international conferences and issues a quarterly electronic newsletter. Membership in IPEN is open to individuals. One can join IPEN online at [www.eval-net.org](http://www.eval-net.org). The working language is Russian.

### **Société française de l'Evaluation (SFE) \*Only available in French.**

<http://www.sfe.asso.fr/>

Find out how you can become a member. Join the discussion groups hosted by SFE to exchange your evaluation experiences and ideas.

**Spanish Evaluation Association (SEE)** *\*Only available in Spanish.*

<http://www.sociedadevaluacion.org/>

The Spanish Evaluation Association founded in 2001 promotes evaluation of national public policies as a means of improving efficiency and effectiveness of public interventions. The webpage of the SEE includes a list of activities and training events on evaluation of public policies. It also contains a site with links to institutions and associations involved in evaluation in different regions of the world.

**Sri Lanka Evaluation Association (SLEVA)**

<http://www.nsf.ac.lk/sleva/>

Among other things, this site includes a link to a draft of the National Evaluation Policy for Sri Lanka. Also included is information on past conferences.

**Swiss Evaluation Association (SEVAL)**

<http://www.seval.ch/en/evaluator/index.cfm>

Their evaluation standards are available online in German and French. Publications include the SEVAL-Bulletin and the journal LeGes - Gesetzgebung & Evaluation (in German and French). The interactive database of evaluators allows you to post your profile or search for evaluators, commissioners of evaluations, or research partners.

**UK Evaluation Society (UKES)**

<http://www.evaluation.org.uk/>

The UKES builds bridges between various groups and between the different evaluation communities providing a forum to consider differences and similarities in the problems they face. Highlights of this site include The Evaluator (UKES Newsletter), links to journals, and information on national and international evaluation events.

**Other National and Regional Evaluation Networks with Web Sites**

Brazilian Evaluation Network [www.avaliabrasil.org.br](http://www.avaliabrasil.org.br)

Danish Evaluation Society <http://www.danskevalueringsselskab.dk>

Dutch Evaluation Society <http://www.videnet.nl/>

Finnish Evaluation Society <http://www.finnishevaluationsociety.net/>

German Evaluation Society <http://www.degeval.de/>

Israeli Association for Program Evaluation <http://www.iape.org.il>

Italian Evaluation Society <http://www.valutazioneitaliana.it/>

Japan Evaluation Society [http://www.idcj.or.jp/jes/index\\_english.htm](http://www.idcj.or.jp/jes/index_english.htm)

Latin American and Caribbean Programme for Strengthening the Regional Capacity for Evaluation of Rural Poverty Alleviation Projects (PREVAL) <http://www.preval.org/>

Malaysian Evaluation Society <http://www.mes.org.my>

Niger Network of Monitoring and Evaluation (ReNSE) [www.pnud.ne/reense/](http://www.pnud.ne/reense/)

Polish Evaluation Society <http://www.pte.org.pl/obszary/enginfor.htm>

Quebec Society for Program Evaluation <http://www.sqep.ca>

South African Evaluation Network (SAENet) [www.afrea.org/webs/southafrica/](http://www.afrea.org/webs/southafrica/)

Swedish Evaluation Society <http://www.svuf.nu>

Uganda Evaluation Association (UEA) [www.ueas.org](http://www.ueas.org)

Wallonian Society for Evaluation (Belgium) [www.prospeval.org](http://www.prospeval.org)

**EVALUATION CLEARINGHOUSES**

**EUFORIC - Europe's Forum on International Cooperation**

<http://www.euforic.org/>

The site provides online access to dossiers, briefings, country specific and thematic information on Europe's international development cooperation policies and activities. Euforic

hosts several multi-actor forums including the Evaluation Forum, a cooperative venture of Euforic, the IOB Policy and Operations Evaluation Department of the Netherlands Ministry of Foreign Affairs and the Dutch Royal Tropical Institute (KIT).

#### **Education Resources Information Center (ERIC)**

<http://www.eric.ed.gov/>

This site provides information on educational assessment and resources to encourage responsible test use. Highlights include access to the ERIC/AE Full Text Internet Library and the Practical Assessment, Research & Evaluation online journal.

#### **MandE News**

<http://www.mande.co.uk/>

A news service for Non-Governmental Organisations (NGOs) designed to be accessible by e-mail (minimal graphics), MandE News focuses on developments in M&E methods relevant to development projects with social development objectives. Included in the open forum are sections for M&E vacancies and consultancy opportunities.

#### **Online Evaluation Resource Library**

<http://oerl.sri.com/>

OERL provides a large collection of plans, reports and instruments from past and current project evaluations in several areas; guidelines on how to improve evaluation practice using the web resources and a forum for stimulating ongoing dialogue in the evaluation community. Of particular interest are the Quality Criteria for Project Evaluations (on design, technical quality and utility) and Quality Criteria for Reports.

#### **PARC – Performance Assessment Resource Centre**

<http://www.parcinfo.org/>

This site provides a news service, a lexicon of commonly used evaluation terminologies, and annotated listings of search engines to find online evaluation guidelines and reports. The E-learning section is devoted to knowledge sharing and improving learning across the world of international development evaluation and the publications section offers various PARC documents to download, including their newsletter.

#### **ReliefWeb**

<http://www.reliefweb.int/rw/dbc.nsf/doc100?OpenForm>

The ReliefWeb Training Database is searchable by agency name, keyword, course date and country. Links are provided to other humanitarian training databases as well as to funding resources.

#### **Resources for Methods in Evaluation and Social Research**

<http://gsociology.icaap.org/methods/>

Compiled by Gene Shackman, Ph.D., this site lists free resources for methods in evaluation and social research. The focus is on how to do evaluation research and the methods used, e.g. surveys, focus groups, sampling, and interviews.

### **EXTERNAL EVALUATION DATABASES**

#### **United Nations Agencies Food and Agricultural Organization (FAO)**

<http://www.fao.org/pbe/pbee/en/docrep/index.html>

The Documents and Reports section allows you to perform categorised searches using a wide variety of themes or types of evaluation. *Also available in French and Spanish.*

**International Fund for Agricultural Development (IFAD)**

[http://www.ifad.org/list\\_eval.asp](http://www.ifad.org/list_eval.asp)

The Evaluation Knowledge System allows you to search for reports by region, country, evaluation type, document type, year and theme. The reports are available as full text documents, executive summaries, abstracts, or lessons learned.

**International Labour Organization (ILO)**

<http://labordoc.ilo.org/>

Labordoc contains references to a wide range of print and electronic publications, including journal articles, from countries around the world, on all aspects of work and sustainable livelihoods, and the work-related aspects of economic and social development and human rights.

**United Nations Capital Development Fund (UNCDF)**

<http://www.uncdf.org/english/evaluations/>

While UNCDF does not have a section specifically for evaluation, this site includes a complete, sortable list of their full-text evaluation reports to date.

**United Nations Children's Fund (UNICEF)**

<http://www.unicef.org/evaldatabase/index.html>

This database contains abstracts and full text reports of evaluations, studies and surveys related to UNICEF programs. Reports can be sorted by country, by region, by theme or by date.

**United Nations Development Programme (UNDP)**

The Central Evaluation Database (CEDAB)

<http://stone.undp.org/undpweb/eo/cedab/eotextform.cfm>

This database contains summaries of evaluation reports, and the Evaluation Plan Database provides information about the agency's planned and ongoing evaluations.

**United Nations Educational, Scientific and Cultural Organization (UNESCO)**

[http://www.unesco.org/ios/eng/ios\\_intermed5evnreports.htm](http://www.unesco.org/ios/eng/ios_intermed5evnreports.htm)

The Internal Oversight Service has links to their evaluation reports (up to 2001).

**United Nations Humanitarian and Crisis Response (UNHCR)**

<http://www.unhcr.org/cgi-bin/texis/vtx/research?id=3b850c744>

The Evaluation and Policy Analysis Unit includes all full text UNHCR evaluation reports since 1994 and a search engine for UNHCR's Research/Evaluation documents

**United Nations Industrial Development Organization Evaluation Services (UNIDO)**

<http://www.unido.org/data/ida.html>

The Industrial Development Abstracts Database (IDA) contains indexed abstracts of UNIDO documents which can be ordered online. In addition, this site lists evaluation reports classified by region and theme.

**United Nations Population Plan (UNFPA)**

<http://www.unfpa.org/monitoring/reports.htm>

The Monitoring and Evaluation Resources section includes full text Evaluation Reports and Findings of UNFPA-supported projects and programmes.

## RESEARCH INSTITUTIONS

### **International Development Research Centre (IDRC)**

The Evaluation ([http://web.idrc.ca/ev.php?URL\\_ID=26266&URL\\_DO=DO\\_TOPIC&reload=1058890909](http://web.idrc.ca/ev.php?URL_ID=26266&URL_DO=DO_TOPIC&reload=1058890909) ) website contains IDRC's evaluation reports, electronic resources and links related to each of IDRC's 3 programming areas and the corporate level. The IDRC Library (<http://www.idrc.ca/library/> ) provides public access to development information via two databases:

the BIBLIO database (<http://idrinfo.idrc.ca/scripts/minisa.dll/144/LIBRARY?DIRECTSEARCH> ) provides information on IDRC's collection of research materials;

the IDRIS (<http://idris.idrc.ca/app/Search> ) on IDRC-funded development research activities. *Some sections also available in French and Spanish.*

### **UNICEF Innocenti Research Centre (IRC)**

<http://www.unicef-irc.org/>

The Centre offers access to a number of internal bibliographic resources and databases, as well as links to a number of external databases, on-line resources and organizations of interest to those involved in promoting the rights of children and women. TransMONEE is a public-use database of socio-economic indicators for Central and Eastern Europe and the Commonwealth of Independent States (CEE/CIS/Baltics).

## ANNEX 3: Evaluation Training and Reference Resources Available Online<sup>79</sup>

### DONOR GUIDELINES

**OECD/DAC:** Criteria for Evaluating Development Assistance  
[http://www.oecd.org/document/22/0,2340,en\\_2649\\_34435\\_2086550\\_1\\_1\\_1\\_1,00.html](http://www.oecd.org/document/22/0,2340,en_2649_34435_2086550_1_1_1_1,00.html)

**OECD/DAC** Review of the Principles for evaluation of Development Assistance  
<http://www.oecd.org/dataoecd/63/50/2065863.pdf>

**OECD** Improving Evaluation Practices: Best Practice Guidelines for Evaluation  
<http://www.oecd.org/dataoecd/56/17/35060864.pdf>

**OECD/DAC** Effective Practices in Conducting a Joint Multi-Donor Evaluation  
<http://www.oecd.org/dataoecd/41/61/35340484.pdf>

**USAID** A Sourcebook on Results-Oriented Grants and Cooperative Agreements  
[www.usaid.gov/pubs/sourcebook/usgov/](http://www.usaid.gov/pubs/sourcebook/usgov/)

**World Bank** Monitoring & Evaluation for Poverty Reduction Strategies  
[http://www.worldbank.org/oed/arde/2004/main\\_report.html](http://www.worldbank.org/oed/arde/2004/main_report.html)

**USAID:** Evaluation Publications: Highlights  
USAID Graduation: Sharpening the policy on when and how to end assistance  
<http://www.dec.org/usaidtheval/>

### MONITORING AND EVALUATION METHODS AND TOOLS

**UNDP:** Handbook on Monitoring and Evaluation for Results  
[stone.undp.org/undpweb/eo/evalnet/docstore3/yellowbook/](http://stone.undp.org/undpweb/eo/evalnet/docstore3/yellowbook/)

**USAID , CDIE** Performance Monitoring and Evaluation Tips  
<http://www.dec.org/usaidtheval/004>

**Gateway to Development Information:** Methods, Tools and Manuals  
<http://nt1.ids.ac.uk/eldis/hot/pm3.htm>

**USAID** Evaluation Publications: Performance Monitoring and Evaluation Tips  
These include:

- Conducting a Participatory Evaluation
- Conducting Key Informant Interviews
- Preparing an Evaluation Scope of Work
- Using Direct Observation Techniques
- Using Rapid Appraisal Methods
- Preparing a Performance Monitoring Plan
- Establishing Performance Targets
- Conducting Focus Group Interviews
- Guidelines for Indicator and Data Quality
- Monitoring the Policy Reform Process
- Measuring Institutional Capacity

<http://www.dec.org/usaidtheval/>

<sup>79</sup> This list of resources is available on the IDEAS website, and is regularly updated.  
<http://www.ideas-int.org/Documents.aspx>



**World Bank** Training Evaluation Toolkit  
<http://www.worldbank.org/wbi/>

**SIDA** Ownership in Focus: Discussion Paper for a Planned Evaluation  
<http://www.sida.org/Sida/jsp/polopoly.jsp?d=1265&a=11090>

**World Bank**, Impact Evaluation  
The site disseminated information and resources for those working to assess and improve the effectiveness of programmes aimed at reducing poverty.  
<http://www.worldbank.org.poverty/impact/index.htm>

**UNPF** (United Nations Population Fund) Monitoring & Evaluation Toolkit for Programme Managers.  
<http://www.unfpa.org/monitoring/toolkit.htm>

**DFID** Tools for Development Section 5.3 Sep. 2002  
<http://www.dfid.gov.uk/pubs/files/toolsfordevelopment.pdf>

**UNDP** Programming Manual Jan 2003  
<http://www.undp.org/bdp/pm/chapters/progm4.pdf>

**IFAD** A Guide for Project M&E: Managing for impact in Rural Development  
<http://www.ifad.org/evaluation/guide/>

**UNHCR** Project Planning in UNHCR: Practical Guide Mar 2001  
[http://www.the-ecentre.net/resources/e\\_library/doc/Project%20Planning%20in%20UNHCR.pdf](http://www.the-ecentre.net/resources/e_library/doc/Project%20Planning%20in%20UNHCR.pdf)

**RELEX** ECHO Manual Project Cycle Management Oct. 2003  
[http://europa.eu.int/comm/echo/pdf\\_files/partnership/pcm\\_echo\\_en.pdf](http://europa.eu.int/comm/echo/pdf_files/partnership/pcm_echo_en.pdf)

**IFAD** Linking Project Design, Annual Planning and M&E (between 2000-2002)  
<http://www.ifad.org/evaluation/guide/3/3.htm>

**USAID**: CDIE Performance Monitoring and Evaluation Tips

- Measuring Institutional Capacity
- Monitoring the Policy Reform Process
- Building a Results Framework
- Guidelines for Indicator and Data Quality
- Conducting Focus Group Interviews
- Conducting Customer Service Assessments
- Establishing Performance Targets
- Preparing a Performance Monitoring Plan
- Selecting Performance Indicators
- Using Rapid Appraisal Methods
- Using Direct Observation Techniques
- Preparing an Evaluation Scope of Work
- Conducting Key Informant Interviews
- Conducting a Participatory Evaluation

<http://www.dec.org/usaidtheval>

**UNDP**: Results-oriented Monitoring and Evaluation: A Handbook for Programme Managers  
<http://www.undp.org/eo/documents/mae-int.htm>

## LOGICAL FRAMEWORK

**CIDA** The Logical Framework: Making it Results-Oriented Dec 2002  
[http://www.acdi-cida.gc.ca/cida\\_ind.nsf/0/c36ebd571b6fa02985256c620066cd6f?OpenDocument](http://www.acdi-cida.gc.ca/cida_ind.nsf/0/c36ebd571b6fa02985256c620066cd6f?OpenDocument)

**EuropeAid** Aid Delivery Methods: Project Approach "The Logical Framework Approach" Mar 2004  
[http://europa.eu.int/comm/europeaid/qsm/project\\_en.htm#2.%20Logical%20Framework%20A%20pproach](http://europa.eu.int/comm/europeaid/qsm/project_en.htm#2.%20Logical%20Framework%20A%20pproach)

**EuropeAid** Standard Call for Proposal Documents "Annex C:The Logical Framework" 2003  
[http://europa.eu.int/comm/europeaid/tender/gestion/pg/e03\\_en.htm](http://europa.eu.int/comm/europeaid/tender/gestion/pg/e03_en.htm)

**Danida** Logical Framework Approach: A Flexible Tool for Participatory Development 1996  
<http://amg.um.dk/en/menu/TechnicalGuidelines/LogicalFrameworkApproach/>

**Swiss Agency for Development and Cooperation** Setting It Up: Definition Logical Planning Framework (no date)  
<http://web.mit.edu/urbanupgrading/upgrading/issues-tools/tools/Log-Plan-Framework.html>

**SIDA** The Logical Framework Approach 2004  
<http://www.sida.se/Sida/jsp/polopoly.jsp?d=1265&a=16274>

## INDICATORS AND MEASUREMENT

**UNDP** Selecting Key Results Indicators  
[http://stone.undp.org/undpweb/eo/evalnet/docstore1/index\\_final/methodology/documents/indicators.PDF](http://stone.undp.org/undpweb/eo/evalnet/docstore1/index_final/methodology/documents/indicators.PDF)

**OECD/DAC** Development Indicators  
The core set of indicators developed by OECD/DAC to monitor development performance and strategies.  
<http://www.oecd.org/dac/Indicators>

**World Bank OED** Performance Monitoring Indicators: A handbook for task managers  
<http://www.worldbank.org/html/oed/evaluation/>

**IMF** Financial Soundness Indicators  
<http://imf.org/external/np/sta/fsi/eng/fsi.htm>

**UN** Indicators for Monitoring the Millennium Development Goals  
[http://www.developmentgoals.org/mdgun/MDG\\_metadata\\_08-01-03\\_UN.htm](http://www.developmentgoals.org/mdgun/MDG_metadata_08-01-03_UN.htm)

**World Bank** Ghana Core Welfare Indicators  
<http://www.worldbank.org/afr/stats/pdf/ghcoreinds.pdf>

**World Bank** Rural Development Indicators Handbook  
[http://www.wds.worldbank.org/servlet/WDS\\_lbank\\_Servlet?pcont=details&eid=000094946\\_01061604041624](http://www.wds.worldbank.org/servlet/WDS_lbank_Servlet?pcont=details&eid=000094946_01061604041624)

**WHO** Guide to Indicators for Monitoring and Evaluating National HIV/AIDS Prevention Programmes for Young People (A)  
<http://www.who.int/hiv/pub/me/youngpeople/en/index.html>

**USAID**: CDIE Performance Monitoring and Evaluation Tips

- Guidelines for Indicator and Data Quality
- Selecting Performance Indicators

<http://www.dec.org/usaidtheval>

## PARTICIPATORY DEVELOPMENT

**KRG (Knowledge Resource Group)**: Lessons learned about partnerships involving business, government and civil society.  
<http://www.civicus.org/kg/html>

**IAF/UNDP/World Bank:** Partnerships for Poverty Reduction (Latin America & Caribbean)  
[http://www.worldbank.org/ppr/english/ppr\\_eng.html](http://www.worldbank.org/ppr/english/ppr_eng.html)

**OECD/DAC:** Strengthen Partnerships and Improve Aid Effectiveness  
<http://www.oecd.org/dac/htm/devpart.htm>

**USAID:** Partnering for Results: Assessing the Impact of Inter-Sectoral Partnering  
<http://www.info.usaid.gov/pubs/isp/>

**USAID:** New Partnerships Initiative(NPI) Resource Guide  
<http://www.usaid.gov/pubs/np/npiresrc.htm>

**USAID:** Participatory Development  
[http://www.usaid.gov/about/part\\_devel/docs.html](http://www.usaid.gov/about/part_devel/docs.html)

**USAID:** Evaluation Publications: CDIE Guides  
Designing and Managing partnerships between US and Host-country entities  
[http://www.dec.org/usaidd\\_eval/](http://www.dec.org/usaidd_eval/)

## POVERTY

**World Bank:** Evaluating the Impact of Projects on Poverty: a Handbook  
<http://www.worldbank.org/evaluation/toolkits/>

**World Bank:** Monitoring and Evaluation for Poverty Reduction Strategies  
<http://www.worldbank.org/evaluation/toolkits/>

**Evaluating the Poverty Impact of Projects:** A Handbook for practitioners...  
<http://www.pnud.ne/pnudfr/ueco/Biblioth%E8que/BM01.pdf>

## GENDER

**World Bank:** Evaluating Gender and Development at the World Bank  
<http://www.worldbank.org/evaluation/lessons/>

**UNDP:** Gender in Development  
Guidance Note on Gender Mainstreaming  
<http://www.UNDP.org/gender/policies/guidance.html#appendix1>

**UNDP/BDP:** Tracking Gender Mainstreaming in MDGD Activities  
<http://magnet.UNDP.org/Docs/Gender/Testgned.htm>

**USAID:** Evaluation Publications: Highlights

- Aftermath: Women and Women's organisations in Postconflict Societies
- More, but not yet better: USAID's programs and policies to improve girls' education

[http://www.dec.org/usaidd\\_eval/](http://www.dec.org/usaidd_eval/)

**UNDP:** Gender Mainstreaming in Practice: a Handbook  
[http://www.undp.org/gender/docs/RBEC\\_GM\\_manual.pdf](http://www.undp.org/gender/docs/RBEC_GM_manual.pdf)

## DEMOCRACY AND GOVERNANCE

**DFID:** Strategies for Achieving the International Development Targets: Making Government Work for Poor People  
<http://www.dfid.gov.uk>

**OECD:** Public Management and Governance  
<http://www.oecd.org/puma>

**SIDA:** The Evaluability of Democracy and Human Rights Projects  
(El Salvador, Guatemala, Nicaragua and South Africa)  
<http://www.sida.org/Sida/jsp/Crosslink.jsp?d=520>

**UNDP:** Evaluation of the Governance Programme for Latin America and the Caribbean  
<http://intra.UNDP.org/eo/publications/publications.html>

**USAID:** Evaluation Publications: Highlights  
Spreading Power to the Periphery: An assessment of Democratic Local Governance  
<http://www.dec.org/usaidtheval/>

**UNDP:** Handbook of Democracy and Governance Program Indicators  
<http://www.pnud.net/research/Biblioth%20que/USAID04.pdf>

**USAID:** Evaluation Publications: Program and Operation Assessment Reports

- Linking Democracy and Development
- Assisting Legislatures in Developing Countries: a Synthesis of Findings

<http://www.dec.org/usaidtheval/>

## CONFLICT, EMERGENCIES, DISASTER

**USAID:** Evaluation Publications: Highlights  
Aftermath: Women and Women's organizations in Postconflict Societies  
<http://www.dec.org/usaidtheval/>

**USAID:** Evaluation Publications: Rebuilding Societies Emerging from Conflict

- Rebuilding Post-war Rwanda
- Mozambique's transition from war to peace: Lessons Learned
- Fostering a Farewell to Arms: Preliminary lessons learned in the demobilization and reintegration of combatants
- Early warning systems of political disasters
- The truth about truth commissions
- Evaluation of the Impact of the Centro DEMOS Program
- From bullets to ballots
- Managing Conflict: lessons from South Africa's Peace Committees

<http://www.dec.org/usaidtheval/>

## ENVIRONMENT, AGRICULTURE

**USAID:** CDIE Publication Series

- Bioprospecting and Biodiversity Conservation
- Farm Forestry: Cultivating trees as crops
- Tropical Reforestation and Carbon Sequestration
- Forest Stewardship Contracts: Trees for Land Access
- Ecotourism and Biodiversity Conservation
- Environmental Trusts and Endowments
- Stemming the loss of Biological Diversity: An assessment of USAID Support for Protected Areas Management

<http://www.dec.org/usaidtheval/>

**IFAD** Linking Project Design, Annual Planning and M&E (between 2000-2002)  
<http://www.ifad.org/evaluation/guide/3/3.htm>

**OECD/DAC:** Environmental Indicators  
[http://www.oecd.org/departement/0,2688,en\\_2649\\_34441\\_1\\_1\\_1\\_1\\_1,00.html](http://www.oecd.org/departement/0,2688,en_2649_34441_1_1_1_1_1,00.html)

**UNDP:** Handbook and Guidelines for environmental management  
<http://www.undp.org/seed/guide/handbook/>

**GWP** (Global Water Partnership) Catalyzing Change: A Handbook for Developing Integrated Water Resource Management  
<http://www.gwpforum.org/gwp/library/Handbook.pdf>

**IFAD** A Guide for Project M&E: Managing for impact in Rural Development  
<http://www.ifad.org/evaluation/guide/>

<b>HIV/AIDS</b>
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**UNDP:** HIV/AIDS Employers' Handbook on HIV/AIDS  
[http://www.undp.org/surf-panama/docs/EmployersHandbookonHIV-AIDS\(eng\).pdf](http://www.undp.org/surf-panama/docs/EmployersHandbookonHIV-AIDS(eng).pdf)

## **ANNEX 4-1: United Nations Evaluation Group (UNEG): Standards for Evaluation in the UN System**

# **United Nations Evaluation Group (UNEG)**

## **Standards for Evaluation in the UN System**

**Towards a UN system better serving the peoples of the world; overcoming weaknesses and building on strengths from a strong evidence base**

**29 April 2005**

## Standards for Evaluation in the UN System

### Preamble

The United Nations Evaluation Group (UNEG), as a group of professional practitioners, undertook to define norms and standards that aim at contributing to the professionalization of the evaluation function and at providing guidance to evaluation offices in preparing their evaluation policies or other aspects of their operations. This initiative was undertaken in part in response to General Assembly resolution A/RES/59/250<sup>80</sup> of December 2004, which encouraged UNEG to make further progress in a system-wide collaboration on evaluation, in particular the harmonization and simplification of methodologies, norms, standards and cycles of evaluation.

These standards build upon the Norms for Evaluation for the UN system. They are drawn from best practice of UNEG members<sup>81</sup>. They are intended to guide the establishment of the institutional framework, management of the evaluation function, conduct and use of evaluations. They are also a reference for the competencies of evaluation practitioners and work ethics, and are intended to be applied as appropriate within each organization. UNEG will periodically update, elaborate and expand the coverage of these standards in the service of the UN system organizations<sup>82</sup>.

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<sup>80</sup> Document A/C.2/59/L.63 of 17 December 2004, paragraph 69.

<sup>81</sup> In addition to evaluation policies and guidelines existing within the various organizations of the United Nations system, the standards have also drawn from the following sources: OECD/DAC evaluation principles; national standards of OECD countries; evaluation policies of the international financial institutions; evaluation policies of the European Union; standards of evaluation associations; evaluation guidance developed by ALNAP for humanitarian action.

<sup>82</sup> UN organizations refer hereinafter to all organizations, funds and programmes as well as specialized agencies of the UN system.



## Standards for Evaluation in the UN System

### 1. Institutional Framework and Management of the Evaluation Function

#### Institutional Framework

Standard 1.1: United Nations organizations should have an adequate institutional framework for the effective management of their evaluation function.

1. A comprehensive institutional framework for the management of the evaluation function and conduct of evaluations is crucial to ensure an effective evaluation process.

2. Such an institutional framework should address the following requirements:

- Provide institutional and high-level management understanding of and support for the evaluation function's key role in contributing to the effectiveness of the organization.
- Ensure that evaluation is part of the organization's governance and management functions. Evaluation makes an essential contribution to managing for results.
- Promote a culture that values evaluation as a basis for learning.
- Facilitate an independent and impartial evaluation process by ensuring that the evaluation function is independent of other management functions. The Head of evaluation should report directly to the Governing Body of the organization or the Head of the organization.
- Ensure adequate financial and human resources for evaluation in order to allow efficient and effective delivery of services by a competent evaluation function and enable evaluation capacity strengthening.
- Encourage partnerships and cooperation on evaluation within the UN system, as well as with other relevant institutions.

Standard 1.2: UN organizations should develop an evaluation policy and regularly update it, taking into account the Norms and Standards for Evaluation in the UN system.

3. The evaluation policy should be approved by the Governing Bodies of the organizations and/or Head of the organization, and should be in line with the applicable UNEG Norms for Evaluation, and with organizational corporate goals and strategies. The evaluation policy should include:

- clear explanation of the concept and role of evaluation within the organization;

- clear definition of the roles and responsibilities of the evaluation professionals, senior management and programme managers;
- an emphasis on the need for adherence to the organization's evaluation guidelines;
- explanation of how evaluations are prioritized and planned;
- description of how evaluations are organized, managed and budgeted;
- an emphasis on the requirements for the follow-up of evaluations;
- clear statement on disclosure and dissemination.

Standard 1.3: UN organizations should ensure that evaluation plans of evaluation activities are submitted to their Governing Bodies and/or Heads of organizations for review and/or approval.

4. The Governing Bodies and/or the Head of the organization should receive not only the evaluation plan, but also a progress report on the implementation of both the evaluation plan as well as the recommendations emanating from the evaluations.

Standard 1.4: UN organizations should ensure appropriate evaluation follow-up mechanisms and have an explicit disclosure policy.

5. Appropriate evaluation follow-up mechanisms should exist within the organization, ensuring that evaluation recommendations are properly utilized and implemented in a timely fashion and that evaluation findings are linked to future activities.

6. A disclosure policy should ensure the transparent dissemination of evaluation results, including making reports broadly available to the Governing Bodies and the public, except in those cases where the reasonable protection and confidentiality of some stakeholders is required.

## Management of the Evaluation Function

Standard 1.5: The Head of evaluation has a lead role in ensuring that the evaluation function is fully operational and that evaluation work is conducted according to the highest professional standards.

7. Within the comprehensive institutional framework, the management of the evaluation function, entrusted to the Head of evaluation, should ensure that:

- an evaluation policy is developed and regularly updated;
- the budget for evaluations is managed in an efficient manner;
- an evaluation plan of evaluation activities is developed as part of the organization's planning and budgeting cycle, on an annual or biannual basis. The plan should prioritize those areas most in need of evaluation, and specify adequate resources for the planning, conduct and follow-up of evaluations;
- adequate evaluation methodologies are adopted, developed and updated frequently;
- the evaluations are conducted according to defined quality standards, in a timely manner, in order to serve as a useful tool for the intended stakeholders/users;
- reporting to high-level management is timely and relevant to their needs, thereby supporting an informed management and policy decision-making process;
- regular progress reports are compiled on the implementation of the evaluation plan and/or the implementation of the recommendations emanating from the evaluations already carried out, to be submitted to the Governing Bodies and/or Heads of organizations;
- lessons from evaluations are distilled and disseminated as appropriate.

Standard 1.6: The Head of evaluation is responsible for ensuring the preparation of evaluation guidelines.

8. Evaluation guidelines should be prepared and include the following:

- evaluation methodologies that should reflect the highest professional standards;
- evaluation processes, ensuring that evaluations are conducted in an objective, impartial, open and participatory manner, based on empirically verified evidence that is valid and reliable, with results being made available;
- ethics, ensuring that evaluations are carried out with due respect and regard to those being evaluated.

Standard 1.7: The Head of evaluation should ensure that the evaluation function is dynamic, adapting to new developments and changing needs both within and outside the organization.

9. In particular the management of the evaluation function should include:
- raising awareness and/or building evaluation capacity;
  - facilitation and management of evaluation networks;
  - design and implementation of evaluation methodologies and systems;
  - ensuring the maintenance of institutional memory of evaluations through user-friendly mechanisms;
  - promoting the compilation of lessons in a systematic manner.

## 2. Competencies and Ethics

1. All those engaged in designing, conducting and managing evaluation activities should aspire to conduct high quality and ethical work guided by professional standards and ethical and moral principles.

### Competencies

Standard 2.1: Persons engaged in designing, conducting and managing evaluation activities should possess core evaluation competencies.

2. Evaluation competencies refer to the qualifications, skills, experience and attributes required by those employed within the evaluation function to carry out their duties as stipulated and to ensure the credibility of the process.

3. Competencies are required for all those engaged in designing, conducting and managing evaluation activities, managing evaluators, conducting training and capacity development and designing and implementing evaluation methodologies and systems.

4. Some skills are particularly useful for persons conducting evaluations as “evaluators”, while others are needed for persons who manage evaluations as “evaluation managers”. The term “evaluators” used below encompasses both roles.

5. Evaluators should declare any conflict of interest to clients before embarking on an evaluation project, and at any point where such conflict occurs. This includes conflict of interest on the part of either the evaluator or the stakeholder.

6. Evaluators should accurately represent their level of skills and knowledge. Similarly, evaluators should practice within the limits of their professional training and competence, and should decline to conduct evaluations that fall substantially outside those limits.

Standard 2.2: Evaluators should have relevant educational background, qualification and training in evaluation.

7. Evaluators should preferably have an advanced university degree or equivalent background in social sciences or other relevant disciplines, with specialized training in areas such as evaluation, project management, social statistics, advanced statistical research and analysis.

8. Evaluators should continually seek to maintain and improve their competencies in order to provide the highest level of performance in their evaluations. This continuing professional development might include formal seminars and workshops, self-study, evaluations of one's own practice, and working with other evaluators to learn from their skills and expertise.

Standard 2.3: Evaluators should have professional work experience relevant to evaluation.

9. Evaluators should also have relevant professional experience in:

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

Standard 2.4: Evaluators need to have specific technical knowledge of, and be familiar with, the methodology or approach that will be needed for the specific evaluation to be undertaken, as well as certain managerial and personal skills.

10. Specialized experience and/or methodological/technical knowledge, including some specific data collection and analytical skills, may be particularly useful in the following areas:

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

11. The evaluator, whose responsibilities include the management of evaluation, needs specific managerial skills:

- management of evaluation process;
- planning, setting standards and monitoring work;
- management of human and financial resources;
- team leadership;
- strategic and global thinking;
- foresight and problem solving.

12. The evaluator also needs certain personal skills that are particularly useful in evaluation:

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

## **Ethics**

Standard 2.5: Evaluators should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relationships with all stakeholders.
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13. In line with the UN Universal Declaration of Human Rights and other human rights conventions, evaluators should operate in accordance with international values.

14. Evaluators should be aware of differences in culture, local customs, religious beliefs and practices, personal interaction and gender roles, disability, age and ethnicity, and be mindful of the potential implications of these differences when planning, carrying out and reporting on evaluations.

15. Evaluators must ensure the honesty and integrity of the entire evaluation process. Evaluators also have an overriding responsibility to ensure that evaluation activities are independent, impartial and accurate.

Standard 2.6: Evaluators should ensure that their contacts with individuals are characterized by respect.

16. Evaluators should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation.

17. Knowing that evaluation might often negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.

Standard 2.7: Evaluators should protect the anonymity and confidentiality of individual informants.

18. Evaluators should provide maximum notice, minimize demands on time, and respect people's right to privacy.

19. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. They should also inform participants about the scope and limits of confidentiality.

20. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.

21. Evaluators have a responsibility to note issues and findings that may not relate directly to the Terms of Reference. They should consult with other relevant oversight entities when there is any doubt about if and how issues, such as evidence of wrongdoing, should be reported.

Standard 2.8: Evaluators are responsible for their performance and their product(s).

22. Evaluators are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.

23. Evaluators should be responsible for the completion of the evaluation within a reasonably planned time, acknowledging unprecedented delays resulting from factors beyond the evaluator's control.

### 3. Conducting Evaluations

#### Design

Standard 3.1: The evaluation should be designed to ensure timely, valid and reliable information that will be relevant for the subject being assessed.

1. The conduct of evaluations follows the cyclical planning at various levels, which is comprised of different stages: planning, design, implementation and follow-up.

Standard 3.2: The Terms of Reference should provide the purpose and describe the process and the product of the evaluation.

2. The design of an evaluation should be described as precisely as possible in the Terms of Reference, which should include the following elements:

- context for the evaluation;
- purpose of the evaluation;
- scope (outlining what is covered and what is not covered by the evaluation);
- evaluation criteria (inter alia relevance, efficiency, effectiveness, impact, sustainability);
- key evaluation questions;
- methodology – approach for data collection and analysis and involvement of stakeholders;
- workplan, organization and budget;
- products and reporting;
- use of evaluation results, including responsibilities for such use.

Standard 3.3: The purpose and context of the evaluation should be clearly stated, providing a specific justification for undertaking the evaluation at a particular point in time.

3. The purpose of the evaluation must be clearly and accurately defined bearing in mind the main information needs of the intended users of the evaluation. The purpose discusses why the evaluation is being done, what triggered it and how it will be used. The purpose also relates to the timing of the evaluation at various junctions in the management cycle. This adds to the clarity of the evaluation and should provide the broad orientation, which is then further elaborated in the objectives and scope of the evaluation.



Standard 3.4: The subject to be evaluated should be clearly described.

4. The subject to be evaluated should be described in terms of what it aims to achieve, how the designers thought that it would address the problem they had identified, implementation modalities, and any intentional, or unintentional, change in implementation.

5. Other elements include the importance or parameters of the subject to be evaluated including its cost and its relative weight with respect, for example, to the organization's overall activities. At the very least, the description should include the number of participants/people reached by the undertaking.

Standard 3.5: Evaluation objectives should be realistic and achievable, in light of the information that can be collected in the context of the undertaking. The scope of the evaluation also needs to be clearly defined.

6. The objectives of the evaluation should follow from the purpose of the evaluation. They should be clear and agreed upon by all stakeholders involved.

7. Scope determines the boundaries of the evaluation, tailoring the objectives and evaluation criteria to the given situation. It should also make the coverage of the evaluation explicit (time period, phase in implementation, geographical area and the dimensions of stakeholder involvement being examined). The limits of the evaluation should also be acknowledged within the scope.

8. Evaluations may also be oriented by evaluation questions. These add more detail to the objectives and contribute to defining the scope.

9. The objectives and scope of the evaluation are critical references to determine the evaluation methodology and required resources.

Standard 3.6: The evaluation design should clearly spell out the evaluation criteria against which the subject to be evaluated will be assessed.

10. The most commonly applied evaluation criteria are the following: relevance, efficiency, effectiveness, impact, value-for-money, client satisfaction and sustainability. Criteria for humanitarian response should also include: coverage, coordination, coherence, connectedness and protection. Not all criteria are applicable to every evaluation.

Standard 3.7: Evaluation methodologies should be sufficiently rigorous to assess the subject of evaluation and ensure a complete, fair and unbiased assessment.

11. The evaluation methodologies to be used for data collection, analysis and involvement of stakeholders should be appropriate to the subject to be evaluated, to ensure that the information collected is valid, reliable and sufficient to meet the evaluation objectives, and that the assessment is complete, fair and unbiased.

12. Evaluation methods depend on the information sought, and the type of data being analysed. The data should come from a variety of sources to ensure its accuracy, validity and reliability, and that all affected people/stakeholders are considered. Methodology should explicitly address issues of gender and under-represented groups.

13. The limitations of the chosen evaluation methods should also be acknowledged.

Standard 3.8: An evaluation should assess cost effectiveness, to the extent feasible.

14. Using a range of cost analysis approaches, from the elaborate cost-effectiveness and cost-benefit analysis, to cost-efficiency analysis, to a quick cost comparison, an evaluation should, to the extent possible, pursue the following broad questions:

- How do actual costs compare to other similar benchmarks?
- What is the cheapest or most efficient way to get the expected results?
- What are the cost implications of scaling up or down?
- What are the costs of replicating the subject being evaluated in a different environment?
- Is the subject being evaluated worth doing? Do economic benefits outweigh the costs?
- How do costs affect the sustainability of the results?

15. Cost analysis in evaluation builds on financial information, but may also involve calculating “economic costs” such as human resources, labour-in-kind, opportunity costs, etc.

16. The scope of cost analysis, i.e. whether cost comparison is made concerning impacts, outcomes or outputs, will depend on the purpose of the evaluation and the evaluation questions posed. Cost analysis must be explicit in terms of the different perspectives from which costs are analysed (donors, a single organization, primary stakeholders) and the limitations – the complexity of the subject (multiple programme objectives, partners, financial systems), the availability of data and the time and resources invested.

17. Cost analysis is not always feasible. Where no cost analysis is included in an evaluation, some rationale for this exclusion should be included in the objectives or methodology section.

18. It is expected that evaluators point out areas of obvious inefficient use of resources.

Standard 3.9: The evaluation design should, when relevant, include considerations as to what extent the UN system’s commitment to the human rights-

based approach has been incorporated in the design of the undertaking to be evaluated.

19. UN organizations are guided by the United Nations Charter, and have a responsibility and mission to assist Member States to meet their obligations towards the realization of the human rights of those who live within their jurisdiction. Human rights treaties, mechanisms and instruments provide UN entities with a guiding frame of reference and a legal foundation for ethical and moral principles, and should guide evaluation work. Consideration should also be given to gender issues and hard-to-reach and vulnerable groups.

20. The evaluation design might in addition include some process of ethical review of the initial design of the undertaking to be evaluated, including:

- the balance of cost and benefits to participants including potential negative impact;
- the ethics of who is included and excluded in the evaluation and how this is done;
- handling of privacy and confidentiality;
- practices of obtaining informed consent;
- feedback to participants;
- mechanisms for shaping and monitoring the behaviour and practice of evaluators and data collectors.

## Process

Standard 3.10: The relationship between the evaluator and the commissioner(s) of an evaluation must, from the outset, be characterized by mutual respect and trust.

21. The responsibilities of the parties who agree to conduct an evaluation (specifying what, how, by whom, and when what is to be done) should be set forth in a written agreement in order to obligate the contracting parties to fulfil all the agreed upon conditions, or if not, to renegotiate the agreement. Agreements, such as Terms of Reference, should be established at least in the following areas: financing, time frame, persons involved, reports to be produced or published, content, methodology, and procedures to be followed. Such an agreement reduces the likelihood that misunderstandings will arise between the contracting parties and makes it easier to resolve them if they do arise. Providing an inception report at the start of the evaluation is a useful way of formalizing such an agreement and ensuring proper interpretation of the Terms of Reference.

22. Evaluators should consult with the commissioner(s) of the evaluation on contractual decisions such as confidentiality, privacy, communication, and ownership of findings and reports.

Standard 3.11: Stakeholders should be consulted in the planning, design, conduct and follow-up of evaluations.

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

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

Standard 3.12: A peer review, or reference group, composed of external experts may be particularly useful.

25. Depending on the scope and complexity of the evaluation, it may be useful to establish a peer review or reference group composed of experts in the technical topics covered by the evaluation. This group would provide substantive guidance to the evaluation process (e.g. provide inputs on the Terms of Reference and provide quality control of the draft report).

### **Selection of Team**

Standard 3.13: Evaluations should be conducted by well-qualified evaluation teams.

26. The number of evaluators in a given team depends on the size of the evaluation. Multi-faceted evaluations need to be undertaken by multi-disciplinary teams.

27. Evaluators should be selected on the basis of competence, and by means of a transparent process.

28. The members selected must bring different types of expertise and experience to the team. If possible, at least one member of the team should be experienced in the sector or technical areas addressed by the evaluation, or have a sound knowledge of the subject to be evaluated. At least one other should preferably be an evaluation specialist and be experienced in using the specific evaluation methodologies that will be employed for that evaluation. The evaluation team should also possess a broad knowledge and understanding of the major economic and social development issues and problems in the country(ies) where the evaluation is taking place or in similar countries in the region. Background or familiarity with emergency situations may also be required, both for the conduct of the exercise itself, and for understanding the particular context of the evaluation.

Standard 3.14: The composition of evaluation teams should be gender balanced, geographically diverse and include professionals from the countries or regions concerned.

29. Qualified, competent and experienced professional firms or individuals from concerned countries should be involved, whenever possible, in the conduct of evaluations, in order, *inter alia*, to ensure that national/local knowledge and information is adequately taken into account in evaluations and to support evaluation capacity building in developing countries. The conduct of evaluations may also be out-sourced to national private sector and civil society organizations. Joint evaluations with governments or other stakeholders should equally be encouraged.

30. Members of the evaluation team should also familiarize themselves with the cultural and social values and characteristics of the recipients and intended beneficiaries. In this way, they will be better equipped to understand and respect local customs, beliefs and practices throughout the evaluation work.

### **Implementation**

Standard 3.15: Evaluations should be conducted in a professional and ethical manner.

31. Evaluations should be carried out in a participatory and ethical manner and the welfare of the stakeholders should be given due respect and consideration (human rights, dignity and fairness). Evaluations must be gender and culturally sensitive and respect the confidentiality, protection of source and dignity of those interviewed.

32. Evaluation procedures should be conducted in a realistic, diplomatic, cost-conscious and cost-effective manner.

33. Evaluations must be accurate and well-documented and deploy transparent methods that provide valid and reliable information. Evaluation team members should have an opportunity to disassociate themselves from particular judgments and recommendations. Any unresolved differences of opinion within the team should be acknowledged in the report.

34. Evaluations should be conducted in a complete and balanced manner so that the different perspectives are addressed and analysed. Key findings must be substantiated through triangulation. Any conflict of interest should be addressed openly and honestly so that it does not undermine the evaluation outcome.

35. Evaluators should discuss, in a contextually appropriate way, those values, assumptions, theories, methods, results, and analyses that significantly affect the interpretation of the evaluative findings. These statements apply to all aspects of the evaluation, from its initial conceptualization to the eventual use of findings.

36. The rights and well-being of individuals should not be affected negatively in planning and carrying out an evaluation. This needs to be communicated to all persons involved in an evaluation, and its foreseeable consequences for the evaluation discussed.

## Reporting

Standard 3.16: The final evaluation report should be logically structured, containing evidence-based findings, conclusions, lessons and recommendations, and should be free of information that is not relevant to the overall analysis. The report should be presented in a way that makes the information accessible and comprehensible.

37. A reader of an evaluation report must be able to understand:

- the purpose of the evaluation;
- exactly what was evaluated;
- how the evaluation was designed and conducted;
- what evidence was found;
- what conclusions were drawn;
- what recommendations were made;
- what lessons were distilled.

38. If evaluators identify fraud, misconduct, abuse of power and rights violation, they should confidentially refer the matter to the appropriate UN authorities to investigate such matters. Evaluations should not substitute, or be used for, decision-making in individual human resources matters.

39. Evaluators should allow all relevant stakeholders to have access to appropriate evaluative information, and should actively disseminate that information to stakeholders if possible. Communications to a given stakeholder should always include all important results that may bear on the interests of that stakeholder. In all cases, evaluators should strive to present results as clearly and simply as possible so that clients and other stakeholders can easily understand the evaluation process and results.

## Follow-up

Standard 3.17: Evaluation requires an explicit response by the governing authorities and management addressed by its recommendations.

40. As per the Norms, this may take the form of a management response, action plan and/or agreement clearly stating responsibilities and accountabilities.

41. Follow-up on the implementation of the evaluation recommendations that have been accepted by management and/or the Governing Bodies should be systematically carried out.

42. Periodic reporting on the status of the implementation of the evaluation recommendations should also be conducted. This report should be presented to the Governing Bodies and/or the Head of the organization.

## 4. Evaluation Reports

Standard 4.1: The title page and opening pages should provide key basic information.

1. The following information should be easily accessible in the first few pages of the report:

- name of the subject (i.e. activity, programme, policy etc.) being evaluated;
- date;
- table of contents, including annexes;
- name and organization(s) of the evaluators;
- name and address of the organization(s) that commissioned the evaluation.

Standard 4.2: The evaluation report should contain an Executive Summary.

2. An Executive Summary should provide a synopsis of the substantive elements of the evaluation report. To facilitate higher readership, the Executive Summary should be short, two to three pages, and should “stand alone”. The level of information should provide the uninitiated reader with a clear understanding of what was found and recommended and what has been learned from the evaluation.

3. The Executive Summary should include:

- a brief description of the subject being evaluated;
- the context, present situation, and description of the subject vis-à-vis other related matters;
- the purpose of the evaluation;
- the objectives of the evaluation;
- the intended audience of the report;
- a short description of methodology, including rationale for choice of methodology, data sources used, data collection and analysis methods used, and major limitations;
- the most important findings and conclusions;
- main recommendations.

Standard 4.3: The subject being evaluated should be clearly described, including the logic model and/or the expected results chain and intended impact, its implementation strategy and key assumptions.

4. The evaluation report should clearly describe what the purpose of the subject being evaluated is and how the designers thought it would address the identified problem. Additional important elements include: the importance, scope and scale of the subject being evaluated; a description of the recipients / intended beneficiaries and stakeholders; and budget figures.

5. The description of the subject being evaluated should be as short as possible while ensuring that all pertinent information is provided. If additional details are deemed necessary, a description including the logic model can be provided in an annex.

Standard 4.4: The role and contributions of the UN organizations and other stakeholders to the subject being evaluated should be clearly described.

6. The report should describe who is involved, their roles and their contributions to the subject being evaluated, including financial resources, in-kind contributions, technical assistance, participation, staff time, training, leadership, advocacy, lobbying, and any contributions from primary stakeholders, such as communities. An attempt should be made to clarify what partners contributed to which outcome.

7. Users will want to compare this with who was involved in the evaluation to assess how different points of view were included.

Standard 4.5: The purpose and context of the evaluation should be described.

8. The purpose should discuss why the evaluation is being done, how it will be used and what decisions will be taken after the evaluation is complete. The context should be described in order to provide an understanding of the setting in which the evaluation took place.

Standard 4.6: The evaluation report should provide an explanation of the evaluation criteria that were used by the evaluators.

9. Not all criteria are applicable to every evaluation. The rationale for not using a particular criterion should be explained in the report, as should any limitations in applying the evaluation criteria. Performance standards or benchmarks used in the evaluation should also be described.

10. It is important to make the basis of value judgments transparent.

Standard 4.7: The evaluation report should provide a clear explanation of the evaluation objectives as well as the scope of the evaluation.

11. The original objectives of the evaluation should be described, as well as any changes made to the evaluation design.



12. The scope of the evaluation should be described, making the coverage of the evaluation explicit. The limits of the evaluation should also be acknowledged.

13. The original evaluation questions should be explained, as well as those that were added during the evaluation. These are critical references against which the content of the report ought to be compared to.

14. The objectives and scope of the evaluation are also critical references to judge whether the methodology selected and resources allocated were adequate.

Standard 4.8: The evaluation report should indicate the extent to which gender issues and relevant human rights considerations were incorporated where applicable.

15. The evaluation report should include a description of, *inter alia*:

- how gender issues were implemented as a cross-cutting theme in programming, and if the subject being evaluated gave sufficient attention to promote gender equality and gender-sensitivity;
- whether the subject being evaluated paid attention to effects on marginalized, vulnerable and hard-to-reach groups;
- whether the subject being evaluated was informed by human rights treaties and instruments;
- to what extent the subject being evaluated identified the relevant human rights claims and obligations;
- how gaps were identified in the capacity of rights-holders to claim their rights, and of duty-bearers to fulfil their obligations, including an analysis of gender and marginalized and vulnerable groups, and how the design and implementation of the subject being evaluated addressed these gaps;
- how the subject being evaluated monitored and viewed results within this rights framework.

Standard 4.9: The applied evaluation methodology should be described in a transparent way, including any limitations to the methodology.

16. A comprehensive, but not excessive, description of the critical aspects of methodology should be contained in the evaluation report to allow the user(s) of the evaluation to come to their own conclusions about the quality of the data.

Any description of the methodology should include:

- data sources;
- description of data collection methods and analysis (including level of precision required for quantitative methods, value scales or coding used for qualitative analysis);

- description of sampling (area and population to be represented, rationale for selection, mechanics of selection, numbers selected out of potential subjects, limitations to sample);
- reference indicators and benchmarks, where relevant (previous indicators, national statistics, etc.);
- evaluation team, including the involvement of individual team members;
- the evaluation plan;
- key limitations.

The annexes should include the following:

- more detail on any of the above;
- data collection instruments (surveys, checklists, etc.);
- system for ensuring data quality through monitoring of data collection and oversight;
- a more detailed discussion of limitations as needed.

Standard 4.10: The evaluation should give a complete description of stakeholders' participation.

17. The level of participation of stakeholders in the evaluation should be described, including the rationale for selecting that particular level. While not all evaluations can be participatory to the same degree, it is important that consideration is given to participation of stakeholders, as such participation is increasingly recognized as a critical factor in the use of conclusions, recommendations and lessons. A human rights-based approach to programming adds emphasis to the participation of primary stakeholders. In many cases, this clearly points to the involvement of people and communities. Also, including certain groups of stakeholders may be necessary for a complete and fair assessment.

Standard 4.11: The evaluation report should include a discussion of the extent to which the evaluation design included ethical safeguards where appropriate.

18. The report should have a good description of ethical considerations, including the rationale behind the evaluation design and the mechanisms to protect participants where appropriate. This includes protection of the confidentiality, dignity, rights and welfare of human subjects, including children, and respect for the values of the beneficiary communities.

Standard 4.12: In presenting the findings, inputs, outputs, and outcomes / impacts should be measured to the extent possible (or an appropriate rationale given as to why not).

19. Findings regarding inputs for the completion of activities or process achievements should be distinguished clearly from outputs, outcomes and impact.

20. Outcomes and impacts should include any unintended effects, whether beneficial or harmful. Additionally, any multiplier or downstream effects of the subject being evaluated should be included. To the extent possible, each of these should be measured either quantitatively or qualitatively. In using such measurements, benchmarks should be referred to.

21. The report should make a logical distinction in the findings, showing the progression from implementation to results with an appropriate measurement and analysis of the results chain, or a rationale as to why an analysis of results was not provided.

22. Data does not need to be presented in full; only data that supports a finding needs to be given, and full data can be put in an annex. Additionally, reports should not segregate findings by data source.

23. Findings should cover all of the evaluation objectives and use the data collected.

Standard 4.13: Analysis should include appropriate discussion of the relative contributions of stakeholders to results.

24. Results attributed to the subject being evaluated should be related back to the contributions of different stakeholders. There should be a sense of proportionality between the relative contributions of each, and the results observed. This is an integral element of accountability to partners, donors and primary stakeholders.

25. If such an analysis is not included in the report, the reason why it was not done should be clearly indicated. For instance, if an evaluation is done early in the management cycle, results or any link to a stakeholder's contribution may not be found.

Standard 4.14: Reasons for accomplishments and difficulties of the subject being evaluated, especially constraining and enabling factors, should be identified to the extent possible.

26. An evaluation report should go beyond a mere description of implementation and outcomes and include an analysis, based on the findings, of the underlying causes, constraints, strengths on which to build on, and opportunities. External factors contributing to the accomplishments and difficulties should be identified and analysed to the extent possible, including the social, political or environmental situation.

27. An explanation of context contributes to the utility and accuracy of the evaluation. An understanding of which external factors contributed to the success or failure of a subject being evaluated helps determine how such factors will affect the future of the subject being evaluated, or whether it could be replicated elsewhere.

Standard 4.15: Conclusions need to be substantiated by findings consistent with data collected and methodology, and represent insights into identification and/or solutions of important problems or issues.

28. Conclusions should add value to the findings. The logic behind conclusions and the correlation to actual findings should be clear.

29. Conclusions must focus on issues of significance to the subject being evaluated, determined by the evaluation objectives and the key evaluation questions. Simple conclusions that are already well known and obvious are not useful, and should be avoided.

30. Conclusions regarding attribution of results, which are most often tentative, require clear detailing of what is known and what can plausibly be assumed in order to make the logic from findings to conclusions more transparent, and thereby increase the credibility of the conclusions.

Standard 4.16: Recommendations should be firmly based on evidence and analysis, be relevant and realistic, with priorities for action made clear.

31. For accuracy and credibility, recommendations should be the logical implications of the findings and conclusions. Recommendations should also be relevant to the subject being evaluated, the Terms of Reference and the objectives of the evaluation, and should be formulated in a clear and concise manner. Additionally, recommendations should be prioritized to the extent possible.

32. Recommendations should state responsibilities and the time frame for their implementation, to the extent possible.

Standard 4.17: Lessons, when presented, should be generalized beyond the immediate subject being evaluated to indicate what wider relevance they might have.

33. Not all evaluations generate lessons. Lessons should only be drawn if they represent contributions to general knowledge. They should be well supported by the findings and conclusions of the evaluation. They may refine or add to commonly accepted lessons, but should not be merely a repetition of common knowledge.

34. A good evaluation report has correctly identified lessons that stem 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.

Standard 4.18: Annexes should be complete and relevant.

35. Additional supplementary information to the evaluation that should be included in annexes includes:

- list of persons interviewed (if confidentiality allows) and sites visited;
- data collection instruments (copies of questionnaires, surveys, etc.);
- the original Terms of Reference for the evaluation;
- list of abbreviations.

36. The annexes increase the usability and the credibility of the report.

## **ANNEX 4-2: United Nations Evaluation Group (UNEG): Norms for Evaluation in the UN System**

# **United Nations Evaluation Group (UNEG)**

## **Norms for Evaluation in the UN System**

**Towards a UN system better serving the peoples of the world; overcoming weaknesses and building on strengths from a strong evidence base**

**29 April 2005**

## Norms for Evaluation in the UN System

### Preamble

The United Nations system consists of various entities with diverse mandates and governing structures that aim to engender principles such as global governance, consensus building, peace and security, justice and international law, non-discrimination and gender equity, sustained socio-economic development, sustainable development, fair trade, humanitarian action and crime prevention. Above all, the UN system is collectively committed to furthering the Millennium Declaration.

The regulations that govern the evaluation of United Nations activities were promulgated on 19 April 2000 in the Secretary General's bulletin<sup>83</sup>. Similar regulations and policies have been issued in recent years in several UN system organizations. The United Nations Evaluation Group (UNEG), as a group of professional practitioners, undertook to define norms that aim at contributing to the professionalization of the evaluation function and at providing guidance to evaluation offices in preparing their evaluation policies or other aspects of their operations. This initiative was undertaken in part in response to General Assembly resolution A/RES/59/250<sup>84</sup> of December 2004, which encouraged UNEG to make further progress in a system-wide collaboration on evaluation, in particular the harmonization and simplification of methodologies, norms, standards and cycles of evaluation.

Resolutions of the General Assembly and governing bodies of UN organizations imply particular characteristics for the evaluation function within the United Nations system. Evaluation processes are to be inclusive, involving governments and other stakeholders. Evaluation activities require transparent approaches, reflecting inter-governmental collaboration. In addition, the General Assembly has requested that the UN system conducts evaluations in a way that fosters evaluation capacity building in member countries, to the extent that this is possible.

The norms seek to facilitate system-wide collaboration on evaluation by ensuring that evaluation entities within the UN follow agreed-upon basic principles. They provide a reference for strengthening, professionalizing and improving the quality of evaluation in all entities of the United Nations system, including funds, programmes and specialized agencies. The norms are consistent with other main sources<sup>85</sup> and reflect the singularity of the United Nations system, characterized by its focus on people and respect for their rights, the importance of international values and principles, universality and neutrality, its multiple stakeholders, its needs for global governance, its multidisciplinary, and its complex accountability system. Last but not least, there is the challenge of international cooperation embedded in the Millennium Declaration and Development Goals.

To fulfil their mission of contributing to the greater effectiveness and the greater good of the world's peoples, evaluation units within the UN system will strive for excellence and relevance by following the norms as outlined in this document.

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<sup>83</sup> Document ST/SGB/2000/8 of 19 April 2000.

<sup>84</sup> Document A/C.2/59/L.63 of 17 December 2004, paragraph 69.

<sup>85</sup> These sources include, *inter alia*, the evaluation policies and guidelines existing within the various organizations of the United Nations system; OECD/DAC evaluation principles; national standards of OECD countries; evaluation policies of the international financial institutions; evaluation policies of the European Union; standards of evaluation associations; evaluation guidance developed by ALNAP for humanitarian action.

## Norms for Evaluation in the UN System

### 0 Introduction

- 0.1 The present document outlines the norms that are the guiding principles for evaluating the results achieved by the UN system, the performance of the organizations, the governing of the evaluation function within each entity of the UN system, and the value-added use of the evaluation function.
- 0.2 Complementary to these norms, a set of standards has been drawn from good practice of UNEG members. These will be revised from time to time and are intended to be applied as appropriate within each organization.

### 1 N1 - Definition

- 1.1 Purposes of evaluation include understanding why and the extent to which intended and unintended results are achieved, and their impact on stakeholders. Evaluation is an important source of evidence of the achievement of results and institutional performance. Evaluation is also an important contributor to building knowledge and to organizational learning. Evaluation is an important agent of change and plays a critical and credible role in supporting accountability.
- 1.2 An evaluation is an assessment, as systematic and impartial as possible, of an activity, project, programme, strategy, policy, topic, theme, sector, operational area, institutional performance, etc<sup>86</sup>. It focuses on expected and achieved accomplishments, examining the results chain, processes, contextual factors and causality, in order to understand achievements or the lack thereof. It aims at determining the relevance, impact, effectiveness, efficiency and sustainability of the interventions and contributions of the organizations of the UN system. An evaluation should provide evidence-based information that is credible, reliable and useful, enabling the timely incorporation of findings, recommendations and lessons into the decision-making processes of the organizations of the UN system and its members.<sup>87</sup>
- 1.3 Evaluation feeds into management and decision making processes, and makes an essential contribution to managing for results. Evaluation informs the planning, programming, budgeting, implementation and reporting cycle. It aims at improving the institutional relevance and the achievement of results, optimizing the use of resources, providing client satisfaction and maximizing the impact of the contribution of the UN system.
- 1.4 There are other forms of assessment being conducted in the UN system. They vary in purpose and level of analysis, and may overlap to some extent. Evaluation is to be differentiated from the following:

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<sup>86</sup> Hereinafter referred to as an “undertaking”.

<sup>87</sup> This definition draws on Regulation 7.1 of Article VII of ST/SGB/2000/8 and from the widely accepted Principles for Evaluation of the Development Assistance Committee of the Organization for Economic Cooperation and Development (OECD DAC).



- a) Appraisal: a critical assessment of the potential value of an undertaking before a decision is made to implement it.
  - b) Monitoring: management's continuous examination of progress achieved during the implementation of an undertaking to track compliance with the plan and to take necessary decisions to improve performance.
  - c) Review: the periodic or *ad hoc* often rapid assessments of the performance of an undertaking, that do not apply the due process of evaluation. Reviews tend to emphasize operational issues.
  - d) Inspection: a general examination that seeks to identify vulnerable areas and malfunctions and to propose corrective action.
  - e) Investigation: a specific examination of a claim of wrongdoing and provision of evidence for eventual prosecution or disciplinary measures.
  - f) Audit: an assessment of the adequacy of management controls to ensure the economical and efficient use of resources; the safeguarding of assets; the reliability of financial and other information; the compliance with regulations, rules and established policies; the effectiveness of risk management; and the adequacy of organizational structures, systems and processes.
  - g) Research: a systematic examination designed to develop or contribute to knowledge.
  - h) Internal management consulting: consulting services to help managers to implement changes that address organizational and managerial challenges and improve internal work processes.
- 1.5 Evaluation is not a decision-making process per se, but rather serves as an input to provide decision-makers with knowledge and evidence about performance and good practices. Although evaluation is used to assess undertakings, it should provide value-added for decision-oriented processes to assist in the improvement of present and future activities, projects, programmes, strategies and policies. Thus evaluation contributes to institutional policy-making, development effectiveness and organizational effectiveness.
- 1.6 There are many types of evaluations, such as those internally or externally-led, those adopting a summative or formative approach, those aimed at determining the attribution of an organization's own action or those performed jointly to assess collaborative efforts. An evaluation can be conducted in an ex-post fashion, at the end of phase, mid-point, at the terminal moment or real-time. The evaluation approach and method must be adapted to the nature of the undertaking to ensure due process and to facilitate stakeholder participation in order to support an informed decision-making process.
- 1.7 Evaluation is therefore about *Are we doing the right thing?* It examines the rationale, the justification of the undertaking, makes a reality check and looks at the satisfaction of intended beneficiaries. Evaluation is also about *Are we doing it right?* It assesses the effectiveness of achieving expected results. It examines the efficiency of the use of inputs to yield results. Finally, evaluation asks *Are*

*there better ways of achieving the results?* Evaluation looks at alternative ways, good practices and lessons learned.

## **2 N2 – Responsibility for Evaluation**

- 2.1 The Governing Bodies and/or the Heads of organizations in the UN system are responsible for fostering an enabling environment for evaluation and ensuring that the role and function of evaluation are clearly stated, reflecting the principles of the UNEG Norms for Evaluation, taking into account the specificities of each organization's requirements.
- 2.2 The governance structures of evaluation vary. In some cases it rests with the Governing Bodies in others with the Head of the organization. Responsibility for evaluation should be specified in an evaluation policy.
- 2.3 The Governing Bodies and/or the Heads of organizations are also responsible for ensuring that adequate resources are allocated to enable the evaluation function to operate effectively and with due independence.
- 2.4 The Governing Bodies and/or Heads of organizations and of the evaluation functions are responsible for ensuring that evaluations are conducted in an impartial and independent fashion. They are also responsible for ensuring that evaluators have the freedom to conduct their work without repercussions for career development.
- 2.5 The Governing Bodies and/or Heads of organizations are responsible for appointing a professionally competent Head of the evaluation, who in turn is responsible for ensuring that the function is staffed by professionals competent in the conduct of evaluation.
- 2.6 The Governing Bodies and/or Heads of organizations and of the evaluation functions are responsible for ensuring that evaluation contributes to decision making and management. They should ensure that a system is in place for explicit planning for evaluation and for systematic consideration of the findings, conclusions and recommendations contained in evaluations. They should ensure appropriate follow-up measures including an action plan, or equivalent appropriate tools, with clear accountability for the implementation of the approved recommendations.
- 2.7 The Governing Bodies and/or Heads of organizations and of the evaluation functions are responsible for ensuring that there is a repository of evaluations and a mechanism for distilling and disseminating lessons to improve organizational learning and systemic improvement. They should also make evaluation findings available to stakeholders and other organizations of the UN system as well as to the public.

## **3 N3 – Policy**

- 3.1 Each organization should develop an explicit policy statement on evaluation. The policy should provide a clear explanation of the concept, role and use of evaluation within the organization, including the institutional framework and

definition of roles and responsibilities; an explanation of how the evaluation function and evaluations are planned, managed and budgeted; and a clear statement on disclosure and dissemination.

#### **4 N4 - Intentionality**

- 4.1 Proper application of the evaluation function implies that there is a clear intent to use evaluation findings. In the context of limited resources, the planning and selection of evaluation work has to be carefully done. Evaluations must be chosen and undertaken in a timely manner so that they can and do inform decision-making with relevant and timely information. Planning for evaluation must be an explicit part of planning and budgeting of the evaluation function and/or the organization as a whole. Annual or multi-year evaluation work programmes should be made public.
- 4.2 The evaluation plan can be the result of a cyclical or purposive selection of evaluation topics. The purpose, nature and scope of evaluation must be clear to evaluators and stakeholders. The plan for conducting each evaluation must ensure due process to ascertain the timely completion of the mandate, and consideration of the most cost-effective way to obtain and analyse the necessary information.

#### **5 N5 – Impartiality**

- 5.1 Impartiality is the absence of bias in due process, methodological rigour, consideration and presentation of achievements and challenges. It also implies that the views of all stakeholders are taken into account. In the event that interested parties have different views, these are to be reflected in the evaluation analysis and reporting.
- 5.2 Impartiality increases the credibility of evaluation and reduces the bias in the data gathering, analysis, findings, conclusions and recommendations. Impartiality provides legitimacy to evaluation and reduces the potential for conflict of interest.
- 5.3 The requirement for impartiality exists at all stages of the evaluation process, including the planning of evaluation, the formulation of mandate and scope, the selection of evaluation teams, the conduct of the evaluation and the formulation of findings and recommendations.

#### **6 N6 – Independence**

- 6.1 The evaluation function has to be located independently from the other management functions so that it is free from undue influence and that unbiased and transparent reporting is ensured. It needs to have full discretion in submitting directly its reports for consideration at the appropriate level of decision-making pertaining to the subject of evaluation.
- 6.2 The Head of evaluation must have the independence to supervise and report on evaluations as well as to track follow-up of management's response resulting

from

evaluation.

- 6.3 To avoid conflict of interest and undue pressure, evaluators need to be independent, implying that members of an evaluation team must not have been directly responsible for the policy-setting, design, or overall management of the subject of evaluation, nor expect to be in the near future.
- 6.4 Evaluators must have no vested interest and have the full freedom to conduct impartially their evaluative work, without potential negative effects on their career development. They must be able to express their opinion in a free manner.
- 6.5 The independence of the evaluation function should not impinge the access that evaluators have to information on the subject of evaluation.

## **7 N7 – Evaluability**

- 7.1 During the planning stage of an undertaking, evaluation functions can contribute to the process by improving the ability to evaluate the undertaking and by building an evaluation approach into the plan. To safeguard independence this should be performed in an advisory capacity only.
- 7.2 Before undertaking a major evaluation requiring a significant investment of resources, it may be useful to conduct an evaluability exercise. This would consist of verifying if there is clarity in the intent of the subject to be evaluated, sufficient measurable indicators, assessable reliable information sources and no major factor hindering an impartial evaluation process.

## **8 N8 – Quality of Evaluation**

- 8.1 Each evaluation should employ design, planning and implementation processes that are inherently quality oriented, covering appropriate methodologies for data-collection, analysis and interpretation.
- 8.2 Evaluation reports must present in a complete and balanced way the evidence, findings, conclusions and recommendations. They must be brief and to the point and easy to understand. They must explain the methodology followed, highlight the methodological limitations of the evaluation, key concerns and evidenced-based findings, dissident views and consequent conclusions, recommendations and lessons. They must have an executive summary that encapsulates the essence of the information contained in the report, and facilitate dissemination and distillation of lessons.

## **9 N9 - Competencies for Evaluation**

- 9.1 Each organization of the UN system should have formal job descriptions and selection criteria that state the basic professional requirements necessary for an evaluator and evaluation manager.

- 9.2 The Head of the evaluation function must have proven competencies in the management of an evaluation function and in the conduct of evaluation studies.
- 9.3 Evaluators must have the basic skill set for conducting evaluation studies and managing externally hired evaluators.

## **10 N10 –Transparency and Consultation**

- 10.1 Transparency and consultation with the major stakeholders are essential features in all stages of the evaluation process. This improves the credibility and quality of the evaluation. It can facilitate consensus building and ownership of the findings, conclusions and recommendations.
- 10.2 Evaluation Terms of Reference and reports should be available to major stakeholders and be public documents. Documentation on evaluations in easily consultable and readable form should also contribute to both transparency and legitimacy.

## **11 N11 – Evaluation Ethics**

- 11.1 Evaluators must have personal and professional integrity.
- 11.2 Evaluators must respect the right of institutions and individuals to provide information in confidence and ensure that sensitive data cannot be traced to its source. Evaluators must take care that those involved in evaluations have a chance to examine the statements attributed to them.
- 11.3 Evaluators must be sensitive to beliefs, manners and customs of the social and cultural environments in which they work.
- 11.4 In light of the United Nations Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender inequality.
- 11.5 Evaluations sometimes uncover evidence of wrongdoing. Such cases must be reported discreetly to the appropriate investigative body. Also, the evaluators are not expected to evaluate the personal performance of individuals and must balance an evaluation of management functions with due consideration for this principle.

## **12 N12 - Follow-up to Evaluation**

- 12.1 Evaluation requires an explicit response by the governing authorities and management addressed by its recommendations. This may take the form of a management response, action plan and/or agreement clearly stating responsibilities and accountabilities.
- 12.2 There should be a systematic follow-up on the implementation of the evaluation recommendations that have been accepted by management and/or the Governing Bodies.

- 12.3 11.3 There should be a periodic report on the status of the implementation of the evaluation recommendations. This report should be presented to the Governing Bodies and/or the Head of the organization.

### **13 N13 – Contribution to Knowledge Building**

- 13.1 Evaluation contributes to knowledge building and organizational improvement. Evaluations should be conducted and evaluation findings and recommendations presented in a manner that is easily understood by target audiences.
- 13.2 Evaluation findings and lessons drawn from evaluations should be accessible to target audiences in a user-friendly way. A repository of evaluation could be used to distil lessons that contribute to peer learning and the development of structured briefing material for the training of staff. This should be done in a way that facilitates the sharing of learning among stakeholders, including the organizations of the UN system, through a clear dissemination policy and contribution to knowledge networks.

# ANNEX 5: What goes into a Terms of Reference (ToR); UNICEF Evaluation Technical Notes, Issue No.2 (rev.), December 2003

## UNICEF EVALUATION TECHNICAL NOTES

Issue No.2 (rev.)

December 2003

### What goes into a Terms of Reference (ToR)

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

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

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

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

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

#### ToRs are important:

##### For all stakeholders

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

##### For the evaluation or assessment/survey team

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

##### For managers of M/E activities

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

#### WHAT GOES INTO A PROGRAMME EVALUATION TOR?

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

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

##### Title

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

##### Background

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

##### Purpose of the evaluation

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

### Scope and focus

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

What is being evaluated?

### Existing information sources

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

### Evaluation process and methods

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

How?

### Stakeholder participation

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

### Accountabilities

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

<sup>1</sup> For more on these criteria, see "Linking evaluation criteria with evaluation questions."

<sup>2</sup> For more on cost analysis, see Module 6, part 2.

<sup>3</sup> For more on managing ethical considerations and protection of M/E participants, see "Ethical issues for field study – dealing with people" and "Children participating in research and M&E – Ethics and your responsibility as a manager"



#### Evaluation team composition

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

By whom?

#### Procedures and logistics

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

With what means?

#### Products

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

In what form?

#### Resource requirements

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