HANDBOOK

HOW TO DESIGN AND CONDUCT A COUNTRY PROGRAMME EVALUATION AT UNFPA

Preparatory

Design

Field

Reporting

Dissemination and follow up

Evaluation Phases

| Title | Handbook: How to Design and Conduct a Country Programme Evaluation at UNFPA |
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FOREWORD

Bringing the quality of evaluation at UNFPA on par with internationally recognized standards remains a challenge. In particular, many country programme evaluations are still characterized by insufficiently substantiated findings and fall short of responding to the request of the community of donors for greater accountability and transparency.

The *Handbook on how to Design and Conduct a Country Programme Evaluation at UNFPA* has been designed as a guide to help evaluation managers and evaluators apply methodological rigor to evaluation practices in decentralized units. It also shifts the focus of evaluations from activities and outputs to the results of country programmes, which are of particular interest for the partners of UNFPA.

Taking stock of best practices among UN organizations, the handbook has been tailor-made for the assessment of interventions falling specifically within the mandate areas of UNFPA. It provides practical guidance to independent evaluators for the assessment of UNFPA country programmes and helps evaluation managers get a comprehensive grasp of the evaluation process, methods and techniques. The handbook thus aims at the production of evaluation reports that can be used in confidence while contributing to the harmonization of evaluation practices organization-wide. It also serves the purpose of reinforcing accountability and transparency.

However, the handbook cannot, on its own, foster professional standards of quality in evaluation throughout the organization. This important goal can only be achieved if it is embraced by all. Building a culture of evaluation implies in particular, that evaluation becomes a corner-stone of the UNFPA results-based management system.

To this aim, the foundation must be laid for the establishment of an effective results-oriented monitoring system to support – and complement – the evaluation function. Currently, evaluations at UNFPA are still constrained by the scarcity and limited usefulness of monitoring data. If interventions are not properly monitored, it may not be possible to subsequently evaluate them in a satisfactory manner.

The *Handbook on How to Design and Conduct a Country Programme Evaluation at UNFPA* is the product of a joint effort of the Evaluation Branch at the Division for Oversight Services in collaboration with two external methodology experts. The process of writing this handbook also benefitted from the active collaboration of colleagues in country and regional offices. During a pilot phase, the draft methodology was tested in Bolivia and Cameroon where the Evaluation Branch conducted the country programme evaluations in close collaboration with the country offices.

It is our hope, within the Evaluation Branch, that this handbook will lead to good quality reports. They are indispensable tools to inform programming and decision-making with a view to ensuring that interventions are effective and respond to the needs of the beneficiaries.

Louis Charpentier
Chief, Evaluation Branch – DOS

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INTRODUCTION

The United Nations Population Fund (UNFPA) is an international development agency that promotes the right of every woman, man and child to enjoy a life of health and equal opportunity. UNFPA supports countries in using population data for policies and programmes to reduce poverty and to ensure that every pregnancy is wanted, every birth is safe, every young person is free of HIV, and every girl and woman is treated with dignity and respect.

UNFPA is a subsidiary organ of the United Nations General Assembly. It plays a unique role within the United Nations system: to address population and development issues, with an emphasis on reproductive health and gender equality, within the context of the International Conference on Population and Development (ICPD) Programme of Action and the Millennium Development Goals (MDG), in particular MDG 5.[1]

In 2009, UNFPA provided support to 155 developing countries, areas and territories: 45 in sub-Saharan Africa, 14 in the Arab States, 20 in Eastern Europe and Central Asia, 40 in Latin America and the Caribbean, and 36 in Asia and the Pacific.

The constant improvement of evaluations practices is essential for UNFPA. In addition to contributing to the greater accountability and transparency of the organization, good quality evaluation reports also respond to the need to learn lessons from past interventions. For these purposes, the Evaluation Branch at the Division for Oversight Services produced a fully-fledged methodology tailor-made for country programme evaluations (CPE) at UNFPA.

The *Handbook for the Design and Conduct of Country Programme Evaluation at UNFPA* was developed by the evaluation branch in collaboration with two selected experienced evaluation methodology experts[2].

The handbook was developed in a participatory manner which entailed, in particular, rounds of discussion among the Evaluation Branch staff and external experts. The methodology was tested in two pilot country programme evaluations designed and conducted by the Evaluation Branch in close cooperation with the country offices in Bolivia and Cameroon. The handbook also benefitted from substantive input from colleagues in those country offices as well as from independent national and international evaluators and experts who implemented the methodology during those two "pilot CPEs."

Structure and contents of the handbook

The handbook is structured in three parts. It also contains an overview of the entire evaluation process and a specific *Note for the attention of the evaluation manager*.

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[1] See the Statement by the Executive Director to the Executive Board, February 2012 http://unfpa.org/public/home/news/pid/9946 and a presentation on UNFPA Internal Audit and Oversight and the Business Plan http://www.unfpa.org/public/home/exbrd/pid/8683

[2] The ***Handbook for the Design and Conduct of Country Programme Evaluation at UNFPA*** is the result of a collective work – **Louis Charpentie**r (Chief, Evaluation Branch), **Alexandra Chambel** (Evaluation Adviser), **Hicham Daoudi** (Evaluation Adviser) – in collaboration with two international consultants – **Jordi del Bas** (leading expert on evaluation methodology) and **Rafael Eguiguren** (expert on data collection methods) – and with the support of **Valeria Carou-Jones** (Evaluation Specialist) and **Olivia Roberts** (Evaluation Analyst).

The overview presents the evaluation process step by step. It is intended for those readers interested in obtaining an understanding of the key stages in the conduct of a CPE. It also includes a presentation of the tools, resources and templates to be used throughout the process. A special emphasis is placed on the evaluation matrix as a central tool for the design and conduct of a CPE.

Designing the Evaluation This first part sets forth the methodological, procedural and information requirements of the design phase. It provides the evaluation manager and evaluators with practical explanations on all the issues to be addressed in the design of a country programme evaluation.

Conducting the Evaluation This second part deals with practical aspects of field work -- from the arrival of the evaluation team in the country to the presentation of preliminary findings and recommendations to the country office. It provides the evaluators with guidance on methods for collecting and analysing data. As a complement to the CPE, the evaluators will also find a specific section on how to conduct an assessment of the country office monitoring and evaluation (M&E) system in the specific UNFPA set-up.

Figure 1   The structure of the handbook
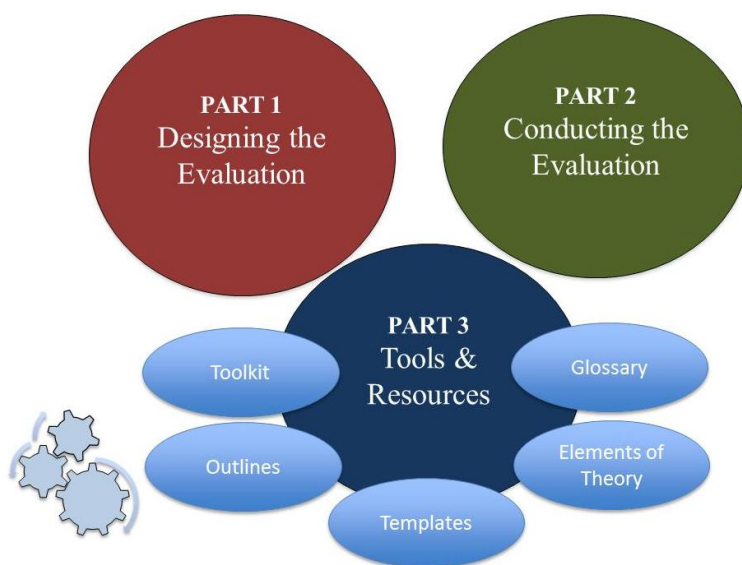
Tools and Resources - this third part is divided in five sections:

The **Toolkit** equips the evaluators with a set of evaluation tools for both the design phase and the data collection and analysis stages. The evaluators will find tools for: (i) structuring information, (ii) data collection, (iii) data analysis and (iv) assessing the M&E system.

The *Outlines* section guides the evaluation manager and the evaluators through the structure of the design and final reports.

Fifteen ready-to-use **Templates** (e.g., ToR, stakeholder map, CPE agenda, interview logbook, management response etc.) are also available with a view to facilitating the work of the evaluation manager and evaluators throughout the different phases of the evaluation process.

The **Elements of theory** section proposes to readers who want to know more detailed explanations on evaluation concepts, approaches and techniques.

Finally, a **Glossary** presents the definitions of the main methodological terms.

How to navigate the handbook

The handbook offers step-by-step practical guidance to the evaluators throughout the different stages of the evaluation process. It also provides the evaluation manager with the information required to be able to supervise the evaluation process and ensure the quality of deliverables.

Evaluators and evaluation managers who are *not well versed in evaluation methodologie*s (terminology, methods, tools and processes), have little evaluation practice (notably in conducting data collection and analysis, and drafting of reports) and are not yet familiar with the UNFPA programming and operational framework , should read the entire handbook in the chronological order

of the evaluation process. Those, on the contrary, who are well *acquainted with evaluation concepts and the CPE process* may want to go directly to Part 3 which provides tools, templates as well as guidance on how to structure the design and final reports.

Table 1   How to navigate the handbook depending on the profile of the reader

The reader is the **evaluation manager**
➔ Read the entire handbook in a sequential way, i.e., Overview, Part 1, Part 2 and tools and resources in Part 3 whenever indicated.
➔ S/he can omit sections 1.1.5 if already well acquainted with the UNFPA framework
➔ S/he should pay particular attention to the *Detailed outlines for the reports*, in Part 3.
The reader is the team leader
➔ S/he should be familiar with the entire handbook so s/he can direct the evaluation team members to relevant specific sections and/or tools for their respective tasks.
➔ S/he should pay particular attention to the *Detailed outlines for the reports*, in Part 3.
➔ S/he should pay particular attention to sections 2.1 *Starting the field mission* and 2.3.2 *Presenting preliminary results*, since s/he will play a key leading role at these two stages of the evaluation process.
The reader is not familiar with UNFPA and has no extensive experience in evaluation
➔ Read the entire handbook in a sequential way, i.e., Overview, Part 1, Part 2 and tools and resources in Part 3 whenever indicated.
The reader is already familiar with the UNFPA framework
➔ S/he can omit sections 1.1.5
The reader has previous experience in UNFPA country programme evaluations
➔ S/he can omit the overview and the section 1.1 *Understanding the framework of the CPE*.
The reader has previous experience in evaluation
➔ S/he should nonetheless read sections 1.2 *Drafting and selecting the evaluation questions*, 1.3 *Selecting a sample of stakeholders* and 1.4 *Planning data collection and analysis*. **Note**: *section 2.2.1 "How to conduct interviews: practical tips"* is also highly recommended since it provides evaluators with suggestions on how to deal with data collection problems.
The reader is the evaluator assessing the country office monitoring and evaluation system
➔S/he should read section 2.3.3 *A particular case: Assessing the country office M&E system* as well as tools 15, 16, and 17.

The evaluators should gain an in-depth knowledge of several crucial topics as a prerequisite to designing and conducting a country programme evaluations.

Table 2   Evaluation topics of particular importance

The topics and their location in the handbook	
Topics	**Where to find them in the handbook**
The evaluation matrix	Overview; 1.2.2; tool 1
Stakeholders sample selection	Section 1.3, 2.1, and tools 1, 3, 4, 7 and 10.
Drafting agendas	
Ensuring that the evaluation is evidence-based, logical and coherent	Section 1.4, 2.3.1 and tool 14

| How to draft the design and the final reports | Detailed outlines for the reports, in Part 3 |

The reader will find **pointers** throughout the text. These pointers have three functions: (i) summarising key features; (ii) assisting the reader to find relevant information; and (iii) providing practical tips and advice. There are four types of pointers:

	Name of the quoted document
	$\Rightarrow$ [reference of the document]

	What is the use of […]

This pointer is meant to inform the reader on the practical application of a specific concept or document for the evaluation (design or implementation)

	Go to […]

Go-to pointers refer to other parts of the handbook where the reader will find complementary information.

➜ *Tip and reminders*
Include practical suggestions, advice and/or warnings.

OVERVIEW

The Evaluation process

A country programme evaluation unfolds in five phases: preparatory phase, design phase, field phase, reporting phase, and dissemination and follow-up phase.

Figure 2   The phases of a country programme evaluation
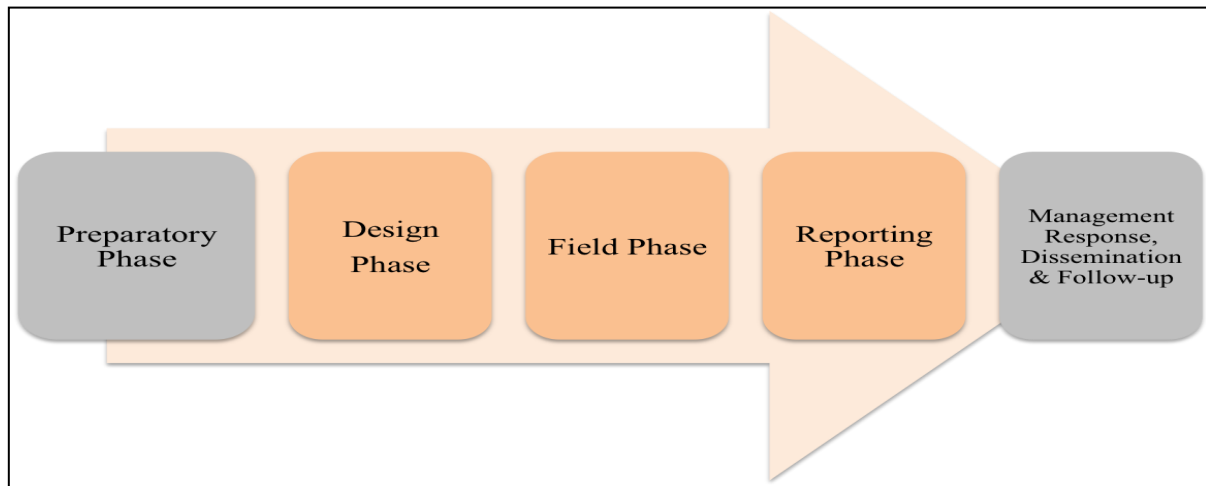
The **preparatory phase** comprises the following tasks:

- Drafting the terms of reference. The terms of reference should address the following issues:
  - **Why** should we undertake the evaluation?
  - **What** are the objectives of the evaluation?
  - **What** should be evaluated?
- Gathering background information and documentation on both the country context and the UNFPA country programme;
- Selecting and recruiting external consultants to form the evaluation team;
- Constituting the evaluation reference group.[3]

The **design phase** describes the process of structuring the evaluation. It also includes the planning for the subsequent conduct of the field work: methodological framework, data collection and analysis strategy.

The **design phase** should provide answers to the following key questions:

- **How** will the evaluation be conducted? On which criteria will it be based? What will be the methodological approach and related tools?
- **When** will each stage of the evaluation take place?

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[3] It is strongly advised to the evaluation manager to constitute a reference group. An evaluation reference group is usually composed of country office senior managers, a representative of the regional office management (e.g, the M&E regional adviser), and representatives of national counterparts. They may also include representatives of the academia and of civil society organisations.

- What are the specific responsibilities of the evaluation manager? **Which member of the evaluation team** will be responsible for each task? (organisation, work process and work plan)

At design phase, the evaluation team must gain an in-depth understanding of both the country context and the UNFPA country programme. The evaluators must draft the evaluation questions, choose the most appropriate methods for data collection and analysis, and select a sample of stakeholders to interview in view of the data collection and analysis stages. These tasks should be performed in close cooperation with the UNFPA country office personnel particularly with a view to refining the evaluation questions, consolidating the stakeholders mapping, drafting the preliminary agenda of interviewees and identifying additional documentation.

The evaluation manager and evaluators must dedicate much attention to the design phase since any *flaw will be very difficult to mitigate during the data collection and analysis stages*.

The main output of the design phase is the **design report**.

☞	Section *Detailed outlines for the reports* in Part 3 of the handbook presents the structure of the design report and provides guidance on how to draft it.

The **field phase** consists of a three to four week mission in the country in order to complete the data collection and proceed with the analysis. Evaluators will collect data through individual interviews, group discussions, focus groups, and by way of consulting further documentation. The evaluators will then analyse the assembled data and shall produce a first set of preliminary findings and recommendations. At the end of the field mission, a debriefing meeting will allow for the validation of findings and the discussion of preliminary recommendations with the country office and key partners.

The **reporting phase** refers to the process of drafting the evaluation report. After its submission, the draft final evaluation report undergoes a quality assessment (EQA) by the evaluation manager. The reporting phase also includes the review process consisting in: (i) the provision of comments by the reference group; (ii) the evaluators producing the *final* report, taking into account the comments of the reference group.

The reporting phase ends with the evaluation quality assessment (EQA) of the final report. The EQA process foresees: (a) a quality assessment by the evaluation manager; (b) a quality assessment by the regional monitoring and evaluation adviser (c) a final quality assessment conducted by the Evaluation Branch at DOS.

☞	Template 15 in Part 3 of the handbook features the EQA grid. NB: the EQA template must be attached to the Terms of Reference.

During the **dissemination and follow-up** phase, the main recommendations of the final evaluation report are circulated to the relevant units (country and regional offices, divisions at headquarters) which are, in turn, invited to submit a response. The evaluation manager consolidates all responses in a final management response document.

☞	Template 14 in Part 3 of the handbook presents the format of the management response.

The Programme Division ensures that evaluation findings are integrated into strategic policy and planning (DP/FPA/2009/4, IV, 14, b and c) and is responsible for monitoring and overseeing the implementation of the recommendations. The Evaluation Branch at DOS ensures that all CPE reports

and respective evaluation quality assessment grids are available on the UNFPA evaluation webpage (see Evaluation Database at http://web2.unfpa.org/public/about/oversight/evaluations/)

The evaluation report is made available to the UNFPA Executive Board and is widely distributed within and outside of the organization (hence the importance of the executive summary and abstract as communication stand-alone products of the evaluation). The country office is also responsible for placing: the evaluation report, its abstract, the evaluation quality assessment and the management response on the CO website.

Figure 3   Summary of the main aspects to cover in each phase of the evaluation

Preparatory Phase
- *Initial documentary research and ToR drafting*
- *Desk review*
- *Stakeholder mapping*

Design Phase
- *Setting the methodology framework: evaluation criteria, evaluation questions, selection of methods and tools*
- *Development of a detailed evaluation plan*
- *Drafting of a design report*

Field Phase
- *Three-week mission for the data collection and analysis with a view to formulating preliminary findings and recommendations*
- *Debriefing meeting on the preliminary findings and recommendations with a view to obtaining comments from the CO and key partners*

Reporting Phase
- *Production of the draft final evaluation report*
- *CO evaluation manager performs the EQA of the draft final report*
- *Review process based on comments from the reference group*
- *Drafting of the final evaluation report*
- *Evaluation Branch performs the final EQA*

Management Response, Dissemination and Follow-Up
- *The report is distributed to stakeholders in the country and at UNFPA headquarters*
- *The country office, the regional office and relevant HQ services provide responses to the recommendations of the evaluation report within a management response*
- *The final CPE report is made available to the UNFPA Executive Board along with the new CPD*
- *The report, the final evaluation quality assessment grid and the management response are published on the UNFPA evaluation webpage as well as on the CO website*
- *Follow up of progress of the implementation of recommendations one year later*

Main actors and their respective roles and responsibilities in the conduct of decentralized CPEs

Actors	Roles and Responsibilities	Time line - Year of Programme cycle

Evaluation manager	• Include evaluation activity in the PAD
	• Launches the evaluation
	  - Drafts the ToR
	  - Establishes the evaluation reference group
	  - Prepares initial documentation
	  - Prepares list of atlas projects by CPAP output and Strategic Plan outcome
	  - Prepares stakeholders mapping
	• Selects and recruits the evaluation team
	• Supervises the work of the evaluation team and provides guidance throughout the entire exercise
	• Provides comments on the design report and inputs to the evaluation matrix
	• Manages the logistics for the field mission
	• Provides comments on the draft final evaluation report
	• Conducts the evaluation quality assessment on the draft final evaluation report (EQA)
	• Approves the final evaluation report and finalizes the EQA
	• Submits the evaluation recommendations to the relevant services for the management response
	• Supervises the editing, layout and printing process of the report
	• Ensures the dissemination and outreach processes of the evaluation
		• Y1
		• Y3
		
		• Y3
		• Y3/4
		
		• Y3/4
		• Y3/4
		• Y3/4
		• Y3/4
		
		• Y3/4
		• Y3/4
		
		• Y4
		• Y4/5

Evaluation team	• Carries out the evaluation based on parts 1, 2 and 3 of the handbook • Produces the design report • Produces the evaluation report	• Y3/4 • Y3/4 • Y3/4
Evaluation Reference Group (ERG)	• Provides input to the ToR • Contributes to the selection of evaluation questions • Provides comments on the design report • Provides comments on the draft final evaluation report	• Y3/4 • Y3/4 • Y3/4 • Y3/4
Regional Office (RO M&E adviser)	• Supports the country office upon request • Monitors progress of implementation of evaluations in the region, especially the mandatory ones • Fills the EQA grid and discusses it with the CO	• Continuous • Continuous • Continuous
Programme Division	• Provide process evaluation guidelines • Monitor and report on preparation and implementation of management responses • Uses results and recommendations of CPEs. • Review CPD to check use of evaluation results. • Provide to the Executive Committee EC synthesis of evaluation findings	• Continuous • Continuous • Continuous • Continuous • Continuous
Technical Division	• Provide technical support to implementation of evaluation, as requested	• Continuous
Evaluation Branch at DOS	• Provides methodological support to decentralized units • Provides methodological guidance to decentralized evaluations in particular CPEs • Conducts CPEs in close collaboration with COs and with the support of regional offices • Conducts the final assessment of the quality of evaluation reports • Reports to the UNFPA Executive Board on the quality of decentralized evaluations • Manages the evaluation database • Reports the results and main lessons learned of evaluations to the UNFPA Executive Board	• Continuous • Continuous • Continuous • Continuous • Continuous • Continuous • Continuous

Tools and templates to be used throughout the process

Each phase of the evaluation process entails a set of specific tasks for evaluators. With a view to accompanying the evaluation manager and facilitating the work of the evaluation team, the handbook provides a number of readily usable tools, resources and templates. The table below links the main tasks for each phase of the evaluation process with the related tools, resources and templates.

Table 3   Tools, resources and templates available throughout the evaluation process

CPE Phases & tasks	Tools & Resources	Templates
Preparatory Phase		
Drafting the ToRs	Non applicable (NA)	Template 1
	Tool 1 (T1) – The evaluation matrix	Template 4
Desk review	T9 - Checklist for the documents to be provided by the evaluation manager to the evaluation team	*(Included in T9)*
Stakeholder mapping	T4 – Stakeholders mapping table	Template 3
Design Phase		
Understanding the UNFPA strategic response	T2 - Effects diagram	NA
Understanding the UNFPA programmatic response	T3 - List of Atlas projects by CPAP output and Strategic Plan outcome	Template 2
Drafting and selecting evaluation questions	T1 – The evaluation matrix	Template 4
	T5 - The corporate alignment matrix	*(Included in T4)*
	T6 - The evaluation questions selection matrix	*(Included in T6)*
Drafting the CPE agenda and individual agendas	T7 - The CPE agenda	Template 5
	T10 - Checklist of issues to be considered when drafting the agenda for interviews	*(Included in T10)*
	T4 – Stakeholders mapping table	Template 3
	T3 - List of Atlas projects by CPAP output and Strategic Plan outcome	Template 2
Choosing data collection methods	T8 - Checklist for preparatory tasks prior to data collection	*(Included in T8)*
	T9 - Checklist for the documents to be provided by the evaluation manager to the evaluation team	*(Included in T9)*
	T11 - Principles to develop interview guides	NA
	T13 - Interview logbook	Template 6
Choosing data analysis methods	T14 - Preliminary findings summary table	*(Included in T14)*
Field Phase		
Conducting data collection	T1 – The evaluation matrix	Template 4
	T8 - Checklist for preparatory tasks prior to data collection	*(Included in T8)*
	T10 Checklist: considerations when drafting the agenda of interviews	*(Included in T10)*
	T11 – Advice on how to develop interview guides	NA
	T12 - Checklist for sequencing interviews	NA
	T13 - Interview logbook	Template 6
Conducting data analysis	T1 – The evaluation matrix	Template 4
	T14 - Preliminary findings summary table	*(Included in T14)*
Conducting the assessment of the country office M&E system	T15 - M&E system assessment grid	Template 10
	T16 -CPAP indicators quality assessment grid	Template 9
	T17 - Action plan for improvement of the M&E system	Template 11
Reporting Phase		
Drafting the design report and the final report	T1 – The evaluation matrix	Template 4
	Part 3 – How to structure and draft the design report	Template 7 &13
	Part 3 – How to structure and draft the final report	Template 12
	Evaluation Quality Assessment (EQA) Grid	Template 15
Dissemination and follow up		
Management Response	NA	Template 14

Some of the tools and templates are indispensable to the conduct of good quality evaluations. The evaluation manager must ensure that they are duly used by the evaluators.

☞	See the cover page of the Toolkit and Templates sections in Part 3 for an overview of the compulsory tools.

The evaluation matrix plays a role at all stages of the evaluation process. As such, it deserves particular attention from the evaluation manager who should know how to develop and use it. Both the evaluation manager and the evaluation team should get an in-depth understanding of this tool (its purpose and how to use it) prior to reading Part 1 of the handbook.

The evaluation matrix in a nutshell

The evaluation matrix is an essential tool which displays the core elements of the evaluation: (a) *what* will be evaluated (evaluation criteria, evaluation questions and related issues to be examined – *"what to check"*); (b) *how* to evaluate (data sources and collection methods).

The evaluation manager must ensure that the evaluation matrix is annexed to the design and final reports.

☞	Tool 1 in Part 3, explains *what the evaluation matrix is, why it must be used, how and at what stages of the evaluation process.* This tool also provides guidance (and examples) on how evaluators should complete the evaluation matrix.

➲	Why should evaluators use an evaluation matrix?

- o It is a communication tool to inform (in a snapshot) the relevant stakeholders on the core aspects of the evaluation
- o It is the reference document for developing the agenda (data collection and analysis stages) and for preparing the structure of interviews, group discussions and focus groups
- o It is a useful tool to check the feasibility of the evaluation questions
- o It is a control tool to verify the extent to which evaluation questions have been answered and to check whether enough evidence has been collected

Who should draft the evaluation matrix?

The main responsibility for drawing up the evaluation matrix lies with the evaluation team under the supervision of the evaluation team leader. This process also involves the evaluation manager, the UNFPA regional office M&E adviser, and the members of the reference group since they should all be consulted, in particular for the selection of the evaluation questions.

Refining the evaluation matrix
The evaluation matrix will be drafted at design phase and must be included in the design report. However, it may be necessary to revise the matrix at the beginning of the field phase.[4]

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[4] This situation is described in more detail in section 2.1 *Starting the field mission*, in Part 2 of the handbook.

NOTE TO THE EVALUATION MANAGER

What is your role as the evaluation manager of a CPE?

The role of the evaluation manager in the design and conduct of a country programme evaluation is paramount. He or she is the person who will be managing the whole process from the beginning to the end on behalf of the country office.

The evaluation manager will ensure consistency throughout the evaluation process, from drafting the terms of reference to the dissemination of the report, the preparation of the management response and the follow-up of recommendations.

The evaluation manager will also be the contact person for all administrative and organizational issues and will coordinate the activity of the different actors involved in the CPE (evaluation team and reference group).

S/he will also organize and supervise the different phases of the evaluation process and ensure the quality of all deliverables submitted by the evaluation team.

Why should you use the handbook?

Although the handbook is primarily meant for evaluators -- i.e., the national and international experts (consultants) who will be responsible for implementing the evaluation exercise, it provides the evaluation manager with a comprehensive grasp of evaluation methods and techniques which are necessary for his supervisory work.

The handbook will also help the evaluation manager establish the "rules of communication and reporting" with the evaluation team: what are the key issues the evaluation manager needs to pay particular attention to; what are the key tasks of the evaluators and what are the deliverables expected from them.

Finally, the evaluation manager will find in the handbook all the information required in order to perform his backstopping and quality assurance role throughout the evaluation process.

	For more details on the evaluation process, the evaluation manager may consult the ⇒ Programme Division, Evaluation Process Guidelines: Guidance for Evaluation Managers on How to commission and manage evaluation

What are your tasks at each phase of the evaluation process?

1.   During the *preparatory phase,* the main tasks of the evaluation manager are:

   1.1 Drafting the terms of reference

The **terms of reference** (ToR) shall abide by the UNEG guidelines on drawing up ToR[5] and must include a description of both the overall and the specific objectives of the CPE. They must be annexed to the contract of the consultants.

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[5] http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=608

☞	See Template 1 – The ToR

The ToR spell out the objectives of the country programme evaluation.

The **overall objectives** of a CPE are to render account on the performance (accountability) of the country programme and draw lessons from past and current cooperation in order to improve future programming (learning).

The **specific objectives** will be:

1. To provide an independent evaluation of the progress, or lack thereof, towards the expected outcomes envisaged in the UNFPA programming documents. Where appropriate, the evaluation also highlights unexpected results (positive or negative) and missed opportunities;
2. To provide an analysis of how UNFPA has positioned itself to add value in response to national needs and changes in the national development context;
3. To present key findings, formulate conclusions, and provide a set of clear and forward-looking options leading to strategic and actionable recommendations for the next programming cycle.

	As a complement to the CPE, the ToR shall include an assessment of the monitoring and evaluation (M&E) system of the country programme. However, this assessment will be conditioned by the resources and time available for the exercise.

The ToR will also contain information on the scope, background and context of the evaluation. The scope will determine the geographical reach and the time span covered by the exercise.

The evaluation manager must be well acquainted with the definition of each evaluation criterion. In particular, s/he must clearly distinguish such notions as: efficiency vs. to effectiveness; responsiveness vs. relevance.

In the terms of reference, the evaluation manager should include a first set of evaluation questions based on issues identified by the country office and the reference group. Hence the evaluation manager needs to be well aware of how to draft evaluation questions. Part 1 of the Handbook includes a section with examples of evaluation questions.

☞	1.2.1 *Evaluation criteria and examples of related evaluation questions*. See also Tool 1 – The evaluation matrix and the glossary in part 3.5 of this Handbook

    1.2 <u>Selecting and recruiting the evaluation team</u>. The evaluation manager shall be familiar with the Ethical Code of Conduct for UNEG/UNFPA evaluations and guarantee that the evaluation team meets all the requirements relating to independence and prevention of conflicts of interest. The evaluation manager will ensure a multidisciplinary composition of the team with both thematic and evaluation skills.

	The evaluation manager shall be familiar with the norms and standards for evaluation in the UN system ⇒ http://www.unevaluation.org/unegstandards ⇒ http://www.unevaluation.org/ethicalguidelines ⇒ http://www.unevaluation.org/unegcodeofconduct

1.3 <u>Establishing the Reference Group</u> and indicating its role in quality assurance

1.4 <u>Preparing initial documentation</u>

📄	The evaluation manager shall provide the CPD, the CPAP, the AWPs, SPRs, COARs, and evaluations to the team of evaluators. See Tool 9 – Checklist for the documents to be provided by the country office to the evaluation team.

1.5 <u>Preparing list of Atlas projects</u> by CPAP output and Strategic Plan outcome

☞	Tool 3 List of Atlas projects by CPAP output and Strategic Plan outcome presents a wide range of data not readily retrievable since it is generally scattered throughout a number of AWPs.

1.6 <u>Preparing a stakeholders map</u>. The handbook presents the rationale for selecting a sample of stakeholders and not a sample of projects.

☞	Steps in the process of selecting the sample and the role of the evaluator manager in each stage are presented in section 1.3 Selecting a sample of stakeholders The stakeholders mapping table (tool 4) in *Tools for structuring information* provides an inventory of the implementing agencies, other partners and beneficiaries classified by Strategic Plan outcomes, CPAP outputs and Atlas projects.

2.   In the ***design phase***, the role of the evaluation manager consists in providing quality assurance on the design report and making sure that the team uses the tools for the design (available in Part 3) as well as the outline of the design report (presented in Part 3.2).

☞	See also Tool 1 – The evaluation matrix.

3.   With regard to the ***field mission,*** the evaluation manager will take care of the logistics and in particular of the agenda. The evaluation manager will play a prominent role given her/his easier access to the contact details of stakeholders identified for interviews.

☞	See section 1.4 *Planning data collection and analysis* for more details on the preparation of the CPE agenda. 1.5.2 *Resource requirements and logistical support.* See also Tool 7 – The CPE agenda.

The evaluation manager shall also facilitate the organization of the debriefing meeting for the presentation by the evaluation team of the preliminary results and recommendations of the evaluation.

4.   During the ***reporting phase*** the evaluation manager will make sure that the evaluation team uses the outlines for the structure of the report included in Part 3.2 of this handbook. The evaluation manager will conduct a quality assessment (EQA) of the draft evaluation report and discuss its results with the evaluation team. The EQA grid as well as the comments of the reference group on the draft final report will be used to obtain a good quality final report. The EQA grid and scoring will be revised according to the quality of the final version of the report.

☞	See Template 15 – Evaluation Quality Assessment Grid and Explanatory Note.

5. During the *dissemination and follow-up phase*, the evaluation manager coordinates contributions to the management response from relevant units, including the country office, the regional office as well as divisions from the headquarters. He/she also promotes the use of the evaluation recommendations to inform all relevant decision-making instances.

The evaluation manager monitors the status of the management response and proactively promotes the implementation of the actions planned.

☞	Template 14 – Management response

The report is distributed to stakeholders in the country and in the headquarters. The evaluation report is made available to the UNFPA Executive Board by the time of approving a new country programme document. The report will be published, along with the EQA grid and the management response, on both: (ii) the country office web site and (ii) on the evaluation database (http://web2.unfpa.org/public/about/oversight/evaluations/)

	For more details on the management response process consult ⇒ Programme Division, Evaluation Process Guidelines: Guidance for Evaluation Managers on How to Commission and Manage Evaluation

PART 1

DESIGNING THE EVALUATION

PART 1 – DESIGNING THE EVALUATION

1.1 Understanding the framework of the Country Programme Evaluation

1.1.1. Country Programme Evaluations and the UNFPA evaluation framework

Country programme evaluations are inserted in the UNFPA *evaluation framework*. This framework sets out the mandate for the evaluation, as well as the main objectives of the CPE. The evaluators should be familiar with the CPE mandate and goals.

According to the UNFPA evaluation policy regulatory framework, end-of-cycle country programme evaluations are mandatory and their findings should be used to inform subsequent programming cycles. For this purpose, they need to be completed by the end of the penultimate year of the programme cycle.

Article 18 of the UNFPA evaluation policy states that "*UNFPA seeks to strengthen evaluation in order to strengthen accountability for results and ensure that evaluation results are used by the management to inform decision-making and contribute to more effective programming*". This overall approach to evaluation also applies to CPE.

The spirit and essence of CPE is also reasserted in a decision adopted by the UNFPA Executive Board at its annual session 2010 in Geneva (DP/2010/34). In this Decision the Executive Board:

"*Emphasises that building lessons learned into future policies, programmes and operations is essential, and stresses the importance of implementing the (evaluation) system to ensure a systematic response to and follow-up of decentralised evaluation recommendations and to disseminate lessons learned*". In the same decision, the Executive Board: "*Welcomes the priority of UNFPA to conduct end-of cycle country programme evaluations in the current biennium during the penultimate year of the country programme, and, in that regard, looks forward to seeing end-of-cycle country programme evaluations and budgeted country programme evaluation plans being presented together with the country programme documents from the annual session 2011 of the Executive Board*"

Therefore, not only is the CPE final report expected to inform the next programming cycle, it is also to be presented to the Executive Board together with the country programme document (CPD) outlining the next five-year cycle. However, there are two preconditions for CPE reports to inform the next country programme in a useful and meaningful manner:

- The report must be of good quality -- i.e., clearly structured, well written, and providing evidence-based findings, valid conclusions and useful recommendations;

- The CPE must be performed in a manner that guarantees the independence of the evaluators' judgments and the impartiality of their conclusions; especially when considering that CPE reports are presented to the UNFPA Executive Board.

Evaluators should be acquainted and comply with the *norms and standards of the United Nations Evaluation Group (UNEG)* when designing and conducting the CPE. The evaluation team should also adhere to the ethical guidelines for evaluators and the Code of Conduct also established by UNEG.

	Standards for Evaluation in the UN System ⇒ http://www.unevaluation.org/unegstandards ⇒ http://www.unevaluation.org/ethicalguidelines ⇒ http://www.unevaluation.org/unegcodeofconduct

1.1.2   The objectives of the evaluation

The *overall objectives* of a CPE are: (i) to fulfil the accountability and learning functions of evaluation and (ii) to provide inputs into the design of the next programming cycle.

Its *specific objectives* are related to: (i) assessing the relevance and performance of the UNFPA on-going programme (i.e., an independent assessment of the progress of the programme towards the expected outputs and outcomes set forth in the results framework) and (ii) reviewing the country office (CO) positioning within the developing community and national partners in order to respond to national needs while adding value to the country development results.

1.1.3   The object of the evaluation

The object of a country programme evaluation comprises three components:

1) The analysis of UNFPA focus areas

The evaluators assess the relevance of the UNFPA country programme as well as progress in the achievement of outputs and outcomes set in the three interrelated focus areas -- population and development, reproductive health and rights and gender equality -- *against what was planned* in the country programme action plan (CPAP).

2) The analysis of UNFPA strategic positioning in the country

The evaluators assess the alignment of the country programme with the UNFPA Strategic Plan and with the UN Development Assistance Framework (UNDAF), including the UNFPA contribution to the UN country team (UNCT) coordination mechanisms.

The evaluators also assess the capacity of the CO to respond to the country needs and challenges, as well as the added value of UNFPA vis-à-vis the development community (government, civil society, NGOs, other development partners).

The above components 1 and 2 are usually referred to as the "CPE components." They are analysed in Chapters 4 (core focus areas) and 5 (strategic positioning) of the final report. It is important to note that whereas the analysis of the focus areas tends to consist of an "individual exercise"[6] (every expert will assess the focus area corresponding to her/his field of expertise), all evaluation team members will collect data and contribute to the analysis of the strategic positioning.

☞	For more detailed information on how to plan for the analysis of the CPE components see sections 1.1.5 *Understanding the UNFPA response,* 1.2.1 *Evaluation criteria* and 1.2.2 *Remarks on evaluation questions*.

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[6] However evaluators must coordinate their individual contributions since the three core areas of focus of the UNFPA - reproductive health, gender and population and development - are highly interrelated.

Figure 4   The three CPE components
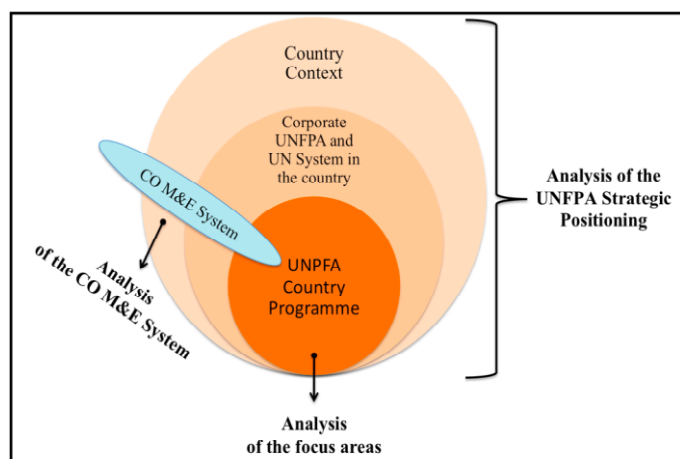
3) The analysis of the country programme M&E system

The assessment of the M&E system should be performed as a complement to the CPE and, therefore, deserves a specific section in the final report. Indeed, an effective M&E system is indispensable to the measurement of progress (or lack thereof) in the achievement of the results of the country programme. It is also essential as it provides useful and valuable information for evaluation. Chapter 6 of the final report will feature the analysis of the country programme M&E system. [7]

1.1.4   Understanding the country context

The country context must be analysed at two different levels: the wider country context and the country challenges in terms of: reproductive health, gender equality and population and development.

1) **First level**: Evaluators must familiarise themselves with the development, socio-economic and political situation of the country. To this end, the **evaluation manager** must ensure that the following documents are provided to and reviewed by the evaluators:

- The global and country-specific **Human Development Reports** produced by the United Nations Development Programme (UNDP). These reports contain Human Development Index trends and data related to population and development, reproductive health and gender such as life expectancy, the gender inequality index or the statistical annex on demographic trends. UNDP thematic reports may also touch upon population issues such as migration, reproductive health rights, etc.

- The country national development strategy is usually contained in the **National Development Plan**. This document is usually available in the Internet site of the Ministry of Planning.

- The **Poverty Reduction Strategy Paper** (PRSP) or national planning documents describe the country macroeconomic, structural and social policies and programmes over a three-year or longer period of time with a view to promoting broad-based growth and reducing poverty. These papers are updated every three years through annual progress reports.

- The United Nations **Country Common Assessment** (CCA) includes the demographic, socio-economic and political features of the country. It often contains a section on the status of the Millennium Development Goals (MDGs) in the country.

- The **United Nations Development Assistance Framework** (UNDAF) contains the priority areas for assistance and provides an indication of the main development challenges as perceived by the partner government.

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[7] The assessment of the country office M&E systems is addressed in detail in section 2.3.3 of the Handbook.

Box 1　　The link between the CCA and the UNDAF
The CCA is an independent assessment - carried out by the UN system - of the development situation and critical issues faced by a particular country. The process of preparing the CCA is led by the UNCT. It is a joint work involving national authorities and, increasingly, the civil society, other development partners and the private sector. Once the CCA is finalized, the UNCT, in close cooperation with the host government and other key partners, drafts the UNDAF which can be seen as the "UN business plan" at the country level. The UNDAF identifies common objectives, strategies for development assistance and a timeframe for follow-up activities shared by all resident UN agencies.

2) **Second level**: Evaluators must understand the country challenges and the corresponding national strategies in terms of population and development, reproductive health and gender equality. Documents providing information in this regard are:

- The UNFPA **Country Programme Document** (CPD) and the **Country Programme Action Plan** (CPAP) feature sections on situation analysis and lessons learnt; they describe the country's main challenges in the three UNFPA focus areas.

- Reports on the country progress towards the achievement of the **Millennium Development Goals** (MDG), in particular towards MDG 5.

- Reports on the country progress towards the fulfilment of the commitments adopted in the framework of the **International Conference on Population and Development** (ICPD).

- **Technical studies** and reports on the three focus areas produced **at regional level.** These reports offer both a regional perspective of the challenges affecting the country. They also contain country-specific sections on each country. Regional reports are usually produced by regional-based organisations both outside and within the UN system, e.g., the Asia-Pacific Population Journal of the Economic and Social Commission for Asia and the Pacific (ESCAP) and regional assessments conducted by UNFPA.

Table 4   Resources on country challenges in the three focus areas

Information source	Description	Where to find it
UNPFA (global)	Publications and reports containing regional assessments including regional and country data in the three core focus areas	https://www.unfpa.org/public/home/publications
The Population Council (global)	The Population and Development Review. The Council conducts research in three areas: HIV and AIDS; poverty, gender, and youth; and reproductive health.	http://www.popcouncil.org/publications/pdr.asp (another access: http://onlinelibrary.wiley.com/journal/10.1111/(ISSN)1728-4457/issues)
World Health Organization (WHO)	This organization provides useful information regarding health issues. The information is classified into regions, countries or topics. Under the gender topic are documents about women and rights, gender equality and women's health etc.	http://www.who.int/topics/gender/en/ and http://www.who.int/topics/reproductive_health/en/
Pan American Health Organization (PAHO)	Context information by country on reproductive health aspects.	http://new.paho.org/
Population Reference Bureau (PRB)	This site provides research information about population, health and the environment. Some of its core themes include reproductive health and fertility and gender. The information can be browsed by topic or by region/country.	http://www.prb.org
MEASURE DHS Demographic and health surveys	Data on population, HIV and nutrition through different surveys on different countries. It provides information to plan, monitor and improve population, health and nutrition programmes. Gender is one of the topics.	http://www.measuredhs.com/
Women Watch (UN System)	Vast wealth of information and resources on gender equality and empowerment of women by world regions.	http://www.un.org/womenwatch/directory/regions_and_countries_20.htm
Asia Society (regional)	Regional overview region; covers topics such as gender, public health, HIV/ADIS, human rights. Topics also presented by country.	http://asiasociety.org/policy-politics
Committee on the Elimination of Discrimination against Women (CEDAW)	The country report section of the site contains the most recent reports submitted under article 18 of the Convention on the Elimination of All Forms of Discrimination against Women, to the Division for the Advancement of Women.	http://www.un.org/womenwatch/daw/cedaw
Social Commission for Asia and the Pacific (ESCAP)	Asia-Pacific Population Journal includes articles on specific countries on population and development issues.	http://www.un.org/Depts/escap/pop/journal.htm
African Development Bank Group (AfDB)	Gender profiles by country	http://www.afdb.org/en/documents/project-operations/country-gender-profiles/gender/
Latin American and Caribbean Committee for the Defence of Women's Rights (CLADEM)	This is a feminist network that works to contribute towards the full enforcement of women's rights in LA and the Caribbean, using the law as a means of change. They have written a full report about sexual and reproductive rights in LA.	http://www.cladem.org/images/stories/publications/Cairo_-Avances_ingls.pdf
Pan American Health Organization (PAHO)	Context information by country on reproductive health aspects.	http://new.paho.org/

➲   Why should you analyse the country context?

o The country context, and in particular the country's state of development in the three programmatic areas, will constitute the main benchmark against which the analysis of the strategic positioning will be made. The country context will be especially important when analysing the *responsiveness* criteria under the strategic positioning component of the evaluation.

o The country context will also be used when assessing the relevance criterion in each programmatic area.

o The country context will be the starting point for drawing up Chapter 2 of the design and the final reports.

1.1.5   Understanding the UNFPA response

1.1.5.1   The UNFPA strategic response

The evaluators must gain a clear understanding of the overall UNFPA corporate context in which the country programme is designed and implemented. This context is defined by the UNFPA corporate strategy (global level) and the United Nations programming framework (country level).

The UNFPA corporate strategy is set out in the **UNFPA Strategic Plan**. Paragraph 5 of this document establishes that "*The plan will provide the overall direction for guiding UNFPA support to programme countries to achieve their nationally-owned development objectives over the next four years in the three interrelated focus areas of population and development, reproductive health and rights and gender equality.*"[8]

🗐	UNFPA Strategic Plan ⇒http://www.unfpa.org/public/site/global/lang/en/pid/4631

The country programme should be aligned and comply with the principles and approaches promoted in the Strategic Plan. Therefore, the Strategic Plan needs to be reviewed and closely studied by evaluators during the design phase.

➲   Why should you examine the Strategic Plan?

o At the design phase, the Strategic Plan will be used to identify evaluation questions.

o UNFPA corporate requirements included in the Strategic Plan cover a wide range of issues. Some of these issues are linked to: (i) the analysis of the focus areas, (ii) the review of the strategic positioning and (iii) the assessment of the country office M&E system.

☞	Go to section 1.2.1.2 *Evaluation criteria (for strategic alignment)* and Tool 5 *The corporate alignment matrix* for more details on the uses of the Strategic Plan in CPE.

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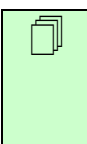
[8] See UNFPA Strategic Plan 2008-2011: Accelerating progress and national ownership of the ICPD Programme of Action.

⮕ Why should you analyse the UNDAF?

At country level, the CO strategy is embedded in the **United National Development Assistance Framework (UNDAF)** which sets out the joint strategy for all UN agencies.

The evaluation team must gain a clear understanding of how the UNFPA country programme fits into the UNDAF (as main "UN programme document"). Studying the UNDAF in detail is necessary in the design phase.

o The UNDAF will be used as a reference when assessing the appropriateness of the objectives, a key aspect of the relevance criterion used in the analysis by focus areas (section 1.2.1)

o The UNDAF will be used as a reference when assessing the systemic dimension of the strategic alignment criterion applied in the analysis of the strategic positioning (section 1.2.1).

o The UNDAF will also be the starting point for drawing up Chapter 3.1 of the design and the final reports.

	The United Nations Development Group (UNDG) site features UNDAF by country in alphabetical order: United National Development Assistance Framework (UNDAF) ⇒http://www.undg.org/index.cfm?P=234&f=A

The Strategic Plan and the UNDAF present the broader expected effects of the country programme. The outputs of the Country Programme Action Plan (CPAP) are linked to the outcomes of the Strategic Plan; the outcomes of the CPAP are, in turn, linked to the outcomes of the UNDAF.
The Strategic Plan establishes that country offices should choose at least one UNFPA Strategic Plan outcome and determine the focus of the UNFPA contribution through clearly formulated outputs.[9] Indeed, a country programme is not linked to all outcomes of the Strategic Plan but only to selected outcomes which, in turn, become an integral part of the country programme in support of the UNDAF.[10]

At the design phase, evaluators should have a clear understanding of the main outputs and outcomes of the country programme and how these relate to the outcomes of both the UNDAF and the Strategic Plan. These output-outcome relationships can be illustrated by way of an **effects diagram**. This diagram is a tree-type representation illustrating the correspondence and contribution links between the CPAP, the Strategic Plan, the UNDAF and the Millennium Development Goals (MDG).

☞	Part 3, Toolkit, Tool 2 explains the uses of effects diagrams, how to draw them up, analyses their pros and cons and provides one practical example.

1.1.5.2 *The UNFPA programmatic response*

The UNFPA programmatic response is presented in the Country Programme Document (CPD) and in the two instruments that guide the implementation of the country programme: the Country Programme Action Plan (CPAP) and the Annual Work Plans (AWPs).

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[9] See paragraph 103 of the UNFPA Strategic Plan 2008-2011.
[10] See paragraph 127 of the UNFPA Strategic Plan 2008-2011.

🗐	The **evaluation manager** shall provide the CPD, the CPAP and the AWPs to the team of evaluators.

The rationale of the country programme is to satisfy needs, solve problems and tackle gender, population and development and reproductive health challenges. Such problems and challenges correspond to joint priorities of the partner government and the UNFPA country office as established in the joint country response provided by the United Nations in the Country (UNCT).

☞	In you want to know more about the components of the intervention logic: needs, inputs, activities, outputs and outcomes see Part 3, *3.4 Elements of Theory, 3.4.1 Intervention Logic*

➲	Why should you analyse the CPD, CPAP and the AWPs?

Each evaluator should also examine in detail all **Annual Work Plans (AWPs)** associated with the focus areas s/he is responsible for. AWPs operationalize the CPAP whereas the CPD and the CPAP set forth what should be produced and achieved. AWPs[11] describe the activities to be carried out during a specific year and the inputs to be provided for the achievement of a programme output/s outlined in the CPD and in the CPAP.

Box 2   **Similarities and differences between the CPD and the CPAP**
The CPD and the CPAP bear some resemblance to each other, yet they are documents of different natures. The CPD provides the main programmatic framework and the CPAP takes it one step forward by way of presenting objectives and strategies in more detail. The CPAP also reflects the views of government counterparts. Both the CPD and the CPAP contain a description of outcomes and outputs, but not of activities. Activities and associated inputs are detailed in the AWPs. However, while the CPD is a UNFPA internal document drafted by the CO – in line with the UNDAF - and approved by UNFPA Executive Board, the CPAP is not an internal document. The CPAP stems from the CPD and is jointly developed, agreed and signed between the partner Government and the UNFPA CO. They both contain the programme strategy for a given period in the country, yet their result frameworks may differ. The main reason for this is that CPD and CPAP are drafted at different points in time. As a result, the CPAP may include outputs that were not foreseen when the CPD was drafted.

Evaluators will find the following information in AWPs:

- A description of activities for each country programme output to be implemented by December of the same year;
- The name of the implementing partners;
- The description of the country programme outputs (as described in the CPD and in the CPAP) as well as output indicators and annual targets to be achieved;
- The time frame for undertaking the planned activities;
- The inputs to be provided for each activity, including the budget source.

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[11] To obtain a comprehensive overview of the planned activities, the evaluation team must study all AWPs corresponding to the period under evaluation.

Evaluators should be aware that different situations can be encountered when they analyse the AWPs:

- Whereas each *output* in the CPAP should at least have one associated AWP, one AWP may contribute to more than one output.[12] Evaluators may thus encounter either AWPs associated to a single output and/or AWPs linked to more than one output.
- When several *implementing partners* work on a single output, the country office may sign one AWP with multiple implementing partners or choose to sign a separate AWP with each implementing partner. Consequently, evaluators may find, for example, three AWPs for the same year with each one of them signed with a different implementing partner.
- UNFPA Policies and Procedures Guidelines for the implementation of country programmes strongly recommend that when an implementing partner is involved in the achievement of several outputs, a separate AWP should be prepared for each output.[13]

In order to get an overview of all the activities that have *really* been implemented in the period under evaluation, evaluators should complement the review of AWPs with the study of **Atlas** data on budgeted activities and actual expenditure. Indeed, all the activities that have been carried out during the period may not necessarily be included in AWPs while all will be registered in Atlas. After the signing of the AWP, new activities are often added and/or adjustments take place in response to specific demands from the counterparts. These new activities - or the cancellation of previously planned activities - are often not reflected in the AWPs, yet they can be inferred from Atlas budget and expenditure records.

Evaluators will find this information in the Excel spreadsheet called "List of Atlas projects by CPAP output and Strategic Plan outcome", which will be compiled and provided by the country offices under the guidance of the **evaluation manager**. This spreadsheet contains a great deal of information and can also be used for other purposes.[14]

☞ | Part 3, Toolkit, tool 3 *List of Atlas projects by CPAP output and Strategic Plan outcome* presents a wide range of data not readily retrievable since it is generally scattered throughout a number of AWPs.

It is important to note that some UNFPA activities may be not included in Annual Work Plans due to the following reasons:

(i) the funds to carry them out were committed and assigned after the signature of the AWP;

(ii) they consist of "soft activities", that is: actions not related to any AWP in particular, yet important to achieve CPAP outputs. Soft activities are usually performed by UNFPA CO senior management and programme officers.

Box 3	Soft activities

UNFPA support includes activities related to AWPs as well as "non-project activities" or "soft activities" such as advocacy, policy dialogue, national consultations, and institutional mediation.

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[12] When this happens the AWP contains the description of all the outputs it contributes to.

[13] The rationale of this recommendation lies in the fact that when activities are transcribed in Atlas, the financial information is recorded per output, *not by implementing partner*.

[14] The spreadsheet can be used: for the selection of the sample of stakeholders; when assessing the efficiency criterion; in interviews (when evaluators want to know exactly what activities an executing agency has been involved in).

➲   Why should you analyse the Standard Progress Reports (SPR) and Country Office Annual
        Reports (COAR)?

Two additional documents will help evaluators gain a more comprehensive overview of the country
programme intervention logic: **Standard Progress Reports (SPR)** and **Country Office Annual
Reports (COAR).** Standard Progress Reports are produced on a yearly basis; they review (by focus
area) the completion of activities and how these have contributed to achieving the CPAP outputs and
outcomes. Annual SPR also contain an expenditure report. The COARs, on the other hand, are
mainly used to report to headquarters on progress towards expected outputs and outcomes. They can
help evaluators clarifying the logic of intervention at the level of outcomes (links with the Strategic
Plan).

🗐   The **evaluation manager** at the CO will provide the evaluators with the SPRs and COARs.
Box 4   The central focus of a CPE
The **central focus of Country Programme Evaluations** - their "centre of gravity" - is the **outputs and how these contribute to the achievement of the outcomes**. CPEs are, indeed, not to be conducted as project-level evaluations. Activities should be assessed only to the extent they account for the level of achievements observed. Gathering data on *actual outputs* and comparing them to what was expected (*planned outputs*) is also a core aspect of evaluations.[15]

➲   Why should you analyse the programmatic response?

o   It will be used as the basis for the identification of needs, inputs, activities, outputs and outcomes,
     which are key elements that evaluators should identify in order to formulate evaluation questions.
o   Data on activities and inputs will be used when assessing the efficiency criterion in the analysis of
     each focus areas (see section 1.2.1)
o   The information collected and reviewed by evaluators when getting acquainted with the UNFPA
     programmatic response will also be used for drawing up Chapters 3.2 of the design and the final
     evaluation reports.

The documents used throughout the UNFPA programming process -- CCA, UNDAF, UNFPA
Strategic Plan, CPD, CPAP, and AWPs – are presented in figure 5 below (example: CPE Cameroon)

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[15] See the Glossary at the end of part 3 for further considerations between on *planned* and *actual* outputs.

Figure 5 **Overview of the UNFPA response – programming flow (example for Cameroon)**
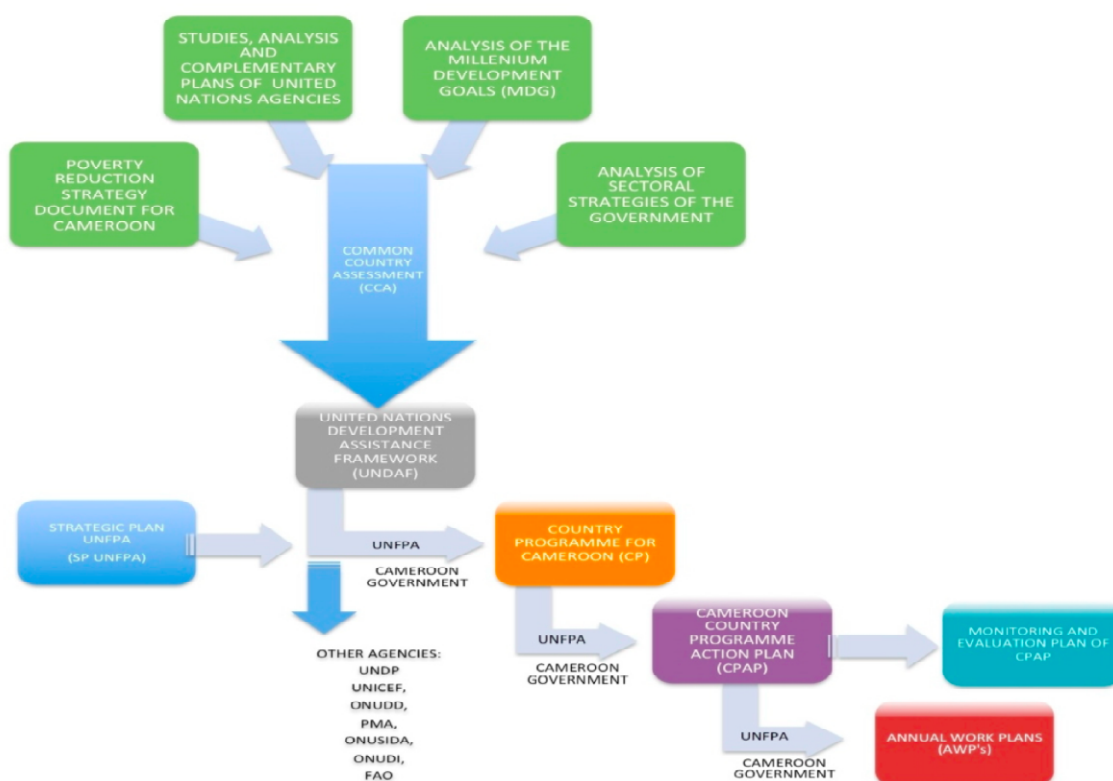
At design phase, the **evaluation manager** should provide the team with information on the CO *M&E system.* This usually encompasses: the M&E plan attached to the CPAP, the CPAP results framework, and the CPAP M&E framework. At this stage the evaluator in charge of the M&E component should read these documents to gain a better understanding of the CO M&E system.

	CPAP results framework, CPAP M&E framework and CPAP M&E plan.
	⇒ Will be provided to the evaluators by the **evaluation manager** at the CO.

1.1.5.3   The financial structure of the country programme

Atlas is the main source of data regarding the financial structure of the programme. At design phase, evaluators should get an understanding of how financial resources have been distributed and spent by focus areas. In particular, evaluators must assess:

1) The overall budget, expenditures and their evolution over time. This entails identifying how much funds were budgeted and spent on the programme on a yearly basis for the period under evaluation.

2) The breakdown of budget and expenditures should also be done by focus area: how much funds were budgeted and spent by year and by focus area during the period under analysis. Funds for the management of the CO should also be included to provide an overview of the overall programme financial envelope.

3) Yearly budget and expenditure by origin of the funds and by year. The basic breakdown by origin should distinguish between regular resources and other resources (external). Also the non-regular resources should be further broken down by origin of resource (e.g., by donor).

4) An overview of Atlas projects by year, specifying the budget and expenditures allocated to each Atlas project.

➡ Why should you analyse the country programme financial structure?

o It will be used as a main source of raw data to assess the efficiency criterion applied in the analysis of each focus areas (see section 1.2.1)

o The assembled data will also be used for drawing up Chapter 3.2.2 of the design report and Chapter 3.2.3 of the final report.

1.2   Drafting and selecting the evaluation questions

Evaluation questions are at centre of the evaluation. A substantial part of a CPE is about answering evaluation questions in a credible and evidence-based manner. The process of formulating and selecting evaluation questions is one of the most important tasks of the design phase.

Evaluation questions are associated with evaluation criteria.[16] The first part of this section (1.2.1 Evaluation criteria) introduces the evaluation criteria applied in a country programme evaluation. The second part of the section (1.2.2 *Remarks on evaluation questions*) guides the **evaluation manager** and evaluators throughout the process of formulating and selecting evaluation questions and translating them in terms of data requirements. This last stage of the process is reflected in the evaluation matrix.

➡ *Tip: this section includes a considerable amount of methodological terms. It is advisable for readers to use the Glossary in Part 3 while reading this section. The Glossary presents a summary of definitions as well a series of tips to avoid confusion and misinterpretations.*

1.2.1   Evaluation criteria and examples of related evaluation questions

The evaluation has *two components*: (i) the analysis of the focus areas, (ii) the analysis of the strategic positioning and is *complemented by* (iii) the assessment of the CO M&E system. Evaluation criteria are applied to the two CPE components.[17]

➡ What is the purpose of evaluation criteria?

o Evaluation criteria define the broad aspects of the country programme that will be assessed in the analysis of the focus areas and in the analysis of the strategic positioning.

o They constitute the framework used to formulate the evaluation questions.

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[16] Evaluation questions narrow down the wide range of aspects covered by evaluation criteria and focus the evaluation exercise on a series of key points.

[17] The assessment of the CO M&E system follows a slightly different rationale. See section 2.3.3 for details.

Figure 6   The evaluation criteria in a country programme evaluation
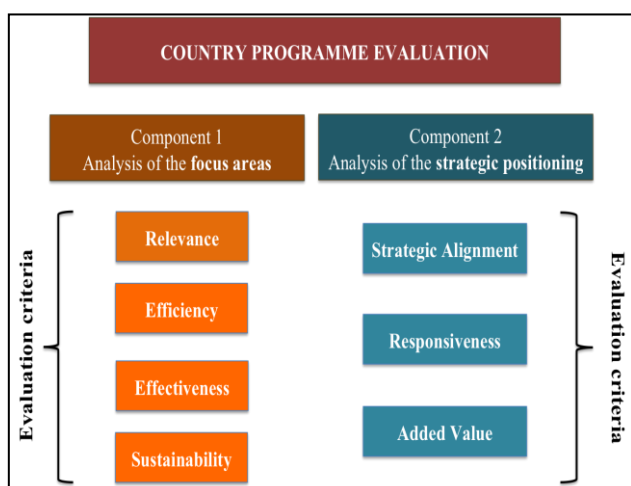
Evaluation criteria correspond to various ways of looking at a programme.

Component 1: The analysis of the focus areas will be conducted according to four criteria: *relevance*, *efficiency*, *effectiveness* and *sustainability*.

Component 2: The three criteria applied to the analysis of the strategic positioning will be: *strategic alignment*, *responsiveness*, and *added value.*

1.2.1.1 The analysis of the UNFPA core focus areas

Evaluators will analyse relevance, efficiency, effectiveness and sustainability for reproductive health, for population and development and for gender equality.[18]

The evaluation criteria encompass a rather broad perspective from which evaluators look at the intervention (the country programme). Therefore, the **evaluation questions** and the **"what to check" column** in the evaluation matrix will be used to zoom in on specific aspects and features of the evaluation criteria.

The evaluation criteria and their main features are as follows:[19]

Relevance

The extent to which the objectives of a development intervention are adapted to national needs (e.g., needs of the population, in particular vulnerable groups) and are aligned with government priorities as well as policies and strategies of UNFPA.

Box 5	Examples of evaluation questions on relevance

- *To what extent is UNFPA support to Cameroon aligned to the objectives in the Growth and Employment Strategy Paper 2010-20 (DSCE) and "Vision – 2035" and responding to the national priorities? Is the strategy appropriate vis-à-vis the needs as expressed in the DSCE and "Vision 2035" documents?*

- *To what extent is the UNFPA support in the field of reproductive health (i) adapted to the needs of the population (ii) and in line with the priorities set by the international and national policy frameworks? Do planned interventions adequately reflect the goals stated in the CPAP?*

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[18] Although the analysis of the four criteria will be by focus area, the results of the analysis may be presented by criteria. For more details on this option see in *How to structure and draft the final report,* in Part 3.

[19] The definitions used here are a combination of the terms in the "Glossary of Key Terms in Evaluation and Results Based Management. OECD. 2002" available in http://www.oecd.org/dataoecd/29/21/2754804.pdf; and the definitions contained in Volume 1 of the "Evaluation Methods for the European Union External Assistance", available in http://ec.europa.eu/europeaid/evaluation/methodology/examples/guide1_en.pdf.

☞	If you want to know more see Part 3, *3.4 Elements of Theory: 3.4.2 Evaluation criteria for the analysis of the focus areas*

Effectiveness

The generic definition of effectiveness is*: the extent to which the objectives of the intervention have been reached.* The specific definition that will be used in the CPE is: *the degree of achievement of the outputs and the extent to which outputs have contributed to the achievement of the CPAP outcomes*

Effectiveness looks at whether the actual effects correspond to the planned ones (in the CPAP). In other words effectiveness measures the extent to which intended effects have or not been achieved. There are three levels of effects: outputs, outcomes and impact. Evaluators will focus only on outputs and outcomes. Indeed, the timespan covered by the CPE (five-year programmes) does not allow for an assessment of impact.

☞	If you want to know more see Part 3, 3.4 *Elements of Theory,* 3.4.1 *Intervention Logic*

Box 6	**Examples of evaluation questions on effectiveness**

- *To what extent were the expected outputs of the CPAP achieved or are likely to be achieved?*
- *To what extent are population data (demographic statistics, census data, etc.) taken into account in poverty reduction strategies, policies, plans and programmes?*
- *To what extent has the country programme contributed to improving the quality and affordability of SRH services provided, particularly for the management of delivery and of its complications, including the surgical repair of obstetrical fistulae?*
- *To what extent have the interventions in gender contributed to (i) raising awareness on gender based violence and (ii) positioning this theme on the national agenda?*
- *To what extent were the targeted groups of beneficiaries reached by UNFPA support?*

☞	If you want to know more see Part 3, 3.4 *Elements of Theory: 3.4.2 Evaluation criteria for the analysis of the focus areas*

Efficiency

A measure of how resources/inputs (funds, expertise, time, etc.) are converted into results. Another definition is *the extent to which outputs and/or outcomes are achieved with the appropriate amount of resources/inputs (funds, expertise, time, administrative costs, etc.).*

Box 7	**Examples of evaluation questions on efficiency**

- *How appropriately and adequately are the available resources (funds and staff) used to carry out activities?*
- *To what extent did the intervention mechanisms (financing instruments, administrative regulatory framework, staff, timing and procedures) foster or hinder the achievement of the programme outputs?*
- *To what extent were UNFPA resources focused on a limited set of core activities likely to produce significant results?*

| ☞ | If you want to know more see Part 3, 3.4 *Elements of Theory,* 3.4.2 *Evaluation criteria for the analysis of the focus areas* |

Sustainability

| *The continuation of benefits from a development intervention after its termination. The continued resilience to risk of the benefits from a development intervention in the long term.* |

Whereas the three criteria above are expressed in terms of a relation between two or more elements of the results chain (correspondence between *needs* and objectives, inputs and outputs, etc.), sustainability is essentially a quality feature of the effects: the extent to which benefits endure.

Box 8	**Examples of evaluation questions on sustainability**
• *To what extent has UNFPA been able to support its partners and the beneficiaries in developing capacities and establishing mechanisms to ensure ownership and the durability of effects?*   • *To what extent were interventions designed in a manner that ensured continued resilience to risks?*   • *To what extent were activities designed in a manner that ensured a reasonable handover to local partners?*   • *To what extent has national capacity been developed so that UNFPA may realistically plan progressive disengagement?*

| ☞ | If you want to know more see Part 3, 3.4 *Elements of Theory,* 3.4.2 *Evaluation criteria for the analysis of the focus areas* |

1.2.1.2 The analysis of the strategic positioning

The strategic positioning of CO has both an internal and an external dimension.

The ***internal dimension*** refers to the CO alignment with the UNFPA and the wider UN strategic frameworks; the ***external dimension*** ("responsiveness" and "added value") designates the CO position among the country development partners in view of responding to country needs.

Figure 7   **Evaluation criteria for strategic positioning**
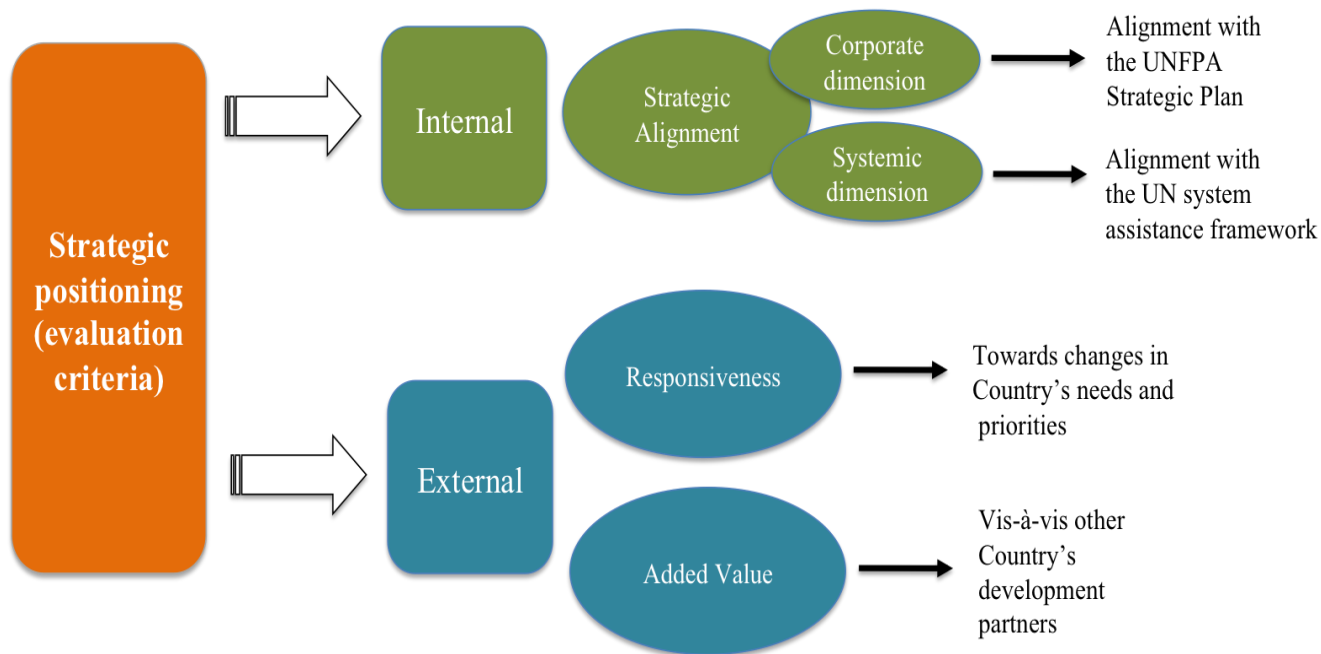
Strategic alignment

> *The strategic alignment criterion has two dimensions.*
>
> *The **corporate dimension** looks at the extent to which the country programme is aligned with the UNFPA Strategic Plan.*
>
> *The **systemic dimension** looks at the extent to which the UNFPA country programme is aligned with the UN strategy (UNDAF) in the country.*

1) The corporate dimension: to what extent is the country programme aligned with UNFPA Strategic Plan?

Figure 8 illustrates the corporate framework:

     (i)   how the country programme fits into it, and
     (ii)   the mechanisms for alignment. The figure conveys a clear message: every country programme should be aligned with the UNFPA Strategic Plan.

Figure 8   The UNFPA corporate framework for strengthening alignment and coherence
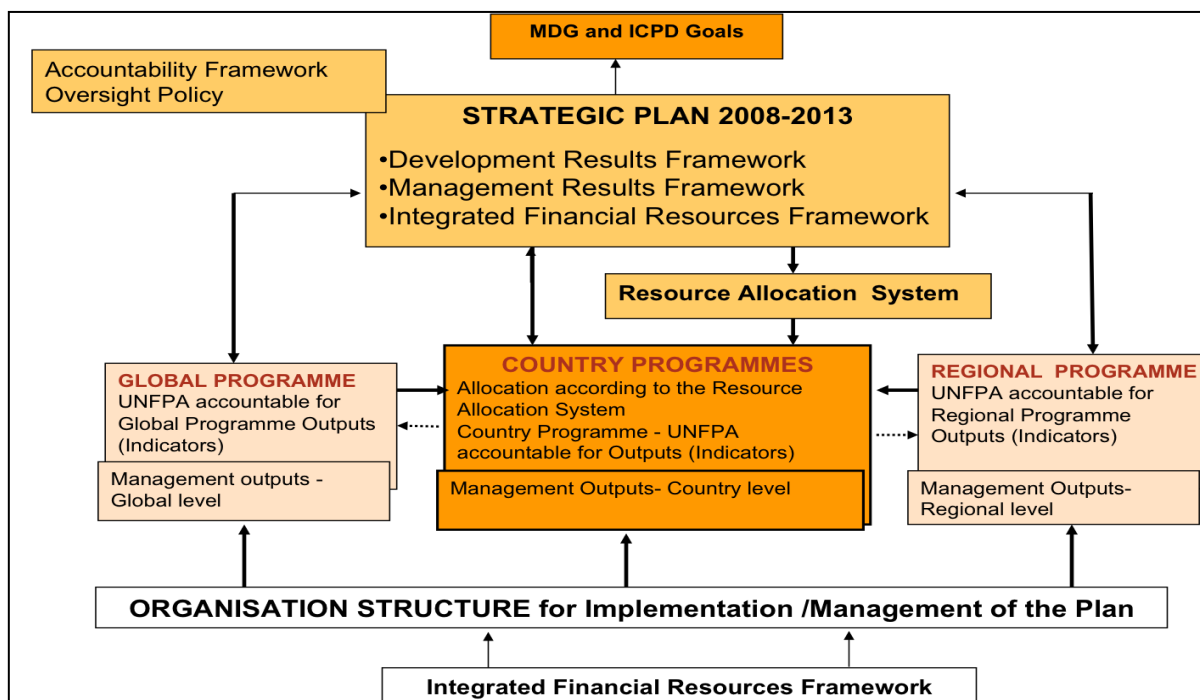
It must be emphasised that the corporate dimension does not only refer to the extent to which country programme *documents* (CPD and CPAP) are aligned with the Strategic Plan; it refers also to the alignment of the *actual implementation* of the country programme.

The UNFPA corporate mandate as presented in the Strategic Plan contains a *broad range* of issues that should be examined. The corporate alignment matrix (Tool 5) and table 5 below provide guidance for the selection of issues that should be analysed by the evaluators.

☞	Part 3, Toolkit, tool 5 in *Tools for structuring information* is intended to assist evaluators in identifying the corporate issues – established in the Strategic Plan

Table 5 below pre-identifies a set of ten issues from the Strategic Plan 2008-2013[20] that should be analysed under the corporate dimension of the strategic alignment criterion. The evaluators will note (see column 2 of the Table below) that a number of issues also need to be examined while assessing the country programme focus areas.

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[20] The Strategic Plan initially covered the period 2008-2011 and was subsequently extended until 2013. A Midterm Review (MTR) of the Strategic Plan was conducted in mid-2011.

Table 5   Corporate mandate aspects that should be assessed and the criteria under which they could be assessed

Corporate mandate / Strategic Plan issues	Focus areas	Strategic positioning
Core Issues		
Promotion of the International Conference on Population and Development (ICPD) Agenda.	Population & development - Relevance or Effectiveness	
Development of national capacity		Strategic alignment (Corporate dimension)
Crosscutting and horizontal issues		
Special attention to the most vulnerable, disadvantaged, marginalized and excluded population groups.		Strategic alignment (Corporate dimension)
Mainstreaming young people's concerns		Strategic alignment (Corporate dimension)
Gender equality and women's empowerment	Gender equality – Relevance or Effectiveness	
South – South cooperation		Strategic alignment (Corporate dimension)
Other broader issues		
Guiding principles (National ownership, national leadership and national capacity development)		Strategic alignment (Corporate dimension)
Internal capacity	All three focus areas - Effectiveness and/or efficiency	
Development of partnerships	All three focus areas - Effectiveness	
Humanitarian assistance[21]	All the focus areas – Relevance and effectiveness	Added value

The evaluators should choose under which evaluation component (analysis of focus areas *or* strategic positioning) they will analyse each Strategic Plan issue listed above. The options chosen and the reasons why should be explained in section *4.1 Evaluation criteria and evaluation questions* of the design report.

When adjusting the distribution of the Strategic Plan issues (see table 5), evaluators should follow the following steps (figure 9 illustrates this sequence):

(i)   Select the key strategic issues of the UNFPA Strategic Plan that should be considered under the corporate dimension of the **strategic alignment** criterion.

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[21] "Humanitarian assistance" is an additional issue that was included in the table since it is given much emphasis in the Midterm Review of the Strategic Plan.

(ii)   The issues evaluators choose not to consider under the strategic alignment criterion should then be assigned to other evaluation criteria: either under *responsiveness* and/or *added value* (strategic positioning) or under the four criteria for the three focus areas (*relevance, effectiveness, efficiency, sustainability).*

(iii)   Formulate these worth-examining issues as evaluation questions and /or as aspects to analyse under the "what to check column" of the evaluation matrix.

Figure 9   The analysis of key corporate issues: from the Strategic Plan to the evaluation matrix
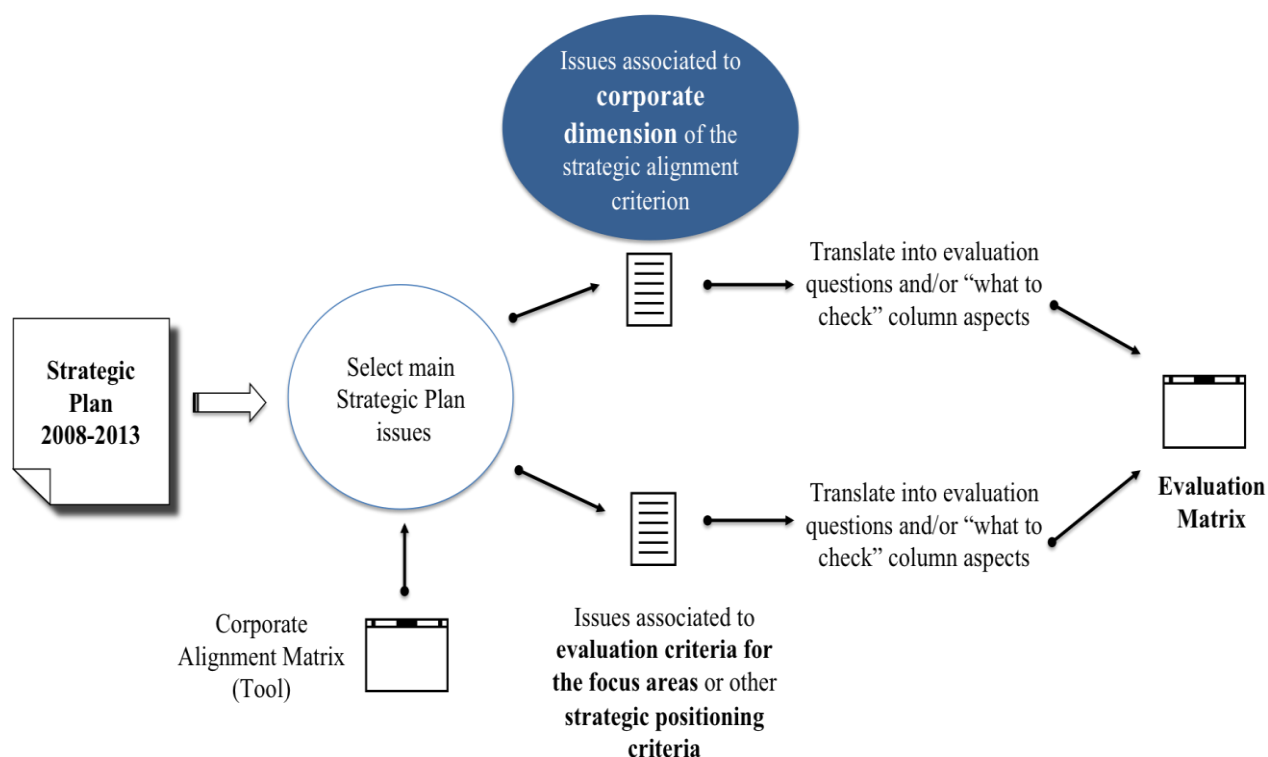
Box 9	Examples of evaluation questions on the corporate dimension of the strategic alignment criterion

- *To what extent has the CO positioned ICPD goals and issues within governmental processes at the national and local levels?*
- *To what extent have soft-aid activities contributed to the achievement of ICPD goals, notably through better engagement on policy dialogue and advocacy?*
- *To what extent has the CO prioritised intervention strategies targeted at most vulnerable, disadvantaged, marginalised and excluded population groups, in line with the stipulations of the Strategic Plan?*
- *To what extent has South-South cooperation been mainstreamed in the country programme through the enhanced use of capacities and as a means to share best practices among countries of the South? If so, is this cooperation modality reflected in the results framework by means of specific indicators?*
- *To what extent is the CO abiding by the corporate principles of national ownership, national leadership and national capacity development? Are these principles effectively applied during the planning and implementation phases?*

This list is not exhaustive and evaluators may consider other evaluation questions.

☞	If you want to know more see Part 3, 3.4 *Elements of Theory,* 3.4.3 *Evaluation Questions*

2) The systemic dimension: How is the UNFPA CO aligned with the UN strategic framework?
The assessment of this sub-criterion requires time and resources that should not be underestimated[22] and depends on whether resources allocated to the CPE are sufficient or not. In this sense a *comprehensive* **assessment of the systemic dimension is optional**.

Indeed this assessment is not limited to a mere comparative approach - that is, checking whether the country programme (CPD and CPAP) is aligned with the UNDAF. The systemic dimension should be assessed on the basis on the *actual implementation* of the programme.

The evaluators shall:

- Check whether the CPD/CPAP are in line with the UNDAF;

- Check whether the UNDAF reflects the interests, priorities and mandate of UNFPA;

- Check the degree of coordination between UNFPA and other UN agencies.

Coordination is a crucial aspect that evaluators should assess. Indeed, mandate areas in some UN agencies sometimes overlap. For instance, while antenatal care belongs to the UNFPA mandate, postnatal care is part of the mandates of both UNICEF and UNFPA. Evaluators should check whether such overlaps exist and whether they result in duplication of activities.[23] Once duplications and their consequences have been identified, evaluators should check whether they have - or not – been resolved and how.

Evaluators will dedicate attention to the coordination mechanisms (or lack thereof) between UNFPA and the agencies whose mandates are closely related to UNFPA focus areas -- i.e., UNICEF, UN Women, WHO, UNAIDS and UNDP.

Box 10	**Examples of evaluation questions on the systemic dimension of strategic alignment**

- *To what extent is the country programme, as currently implemented, in line with the UNDAF? Is there any mismatch?*

- *To what extent does the UNDAF fully reflect the interests, priorities and mandate of UNFPA in the country? Have any UNDAF outputs or outcomes which clearly belong to the UNFPA mandate not been attributed to UNFPA?*

- *To what extent is the UNFPA CO coordinating with other UN agencies in the country, particularly in the event of potential overlaps?*

Whereas the strategic alignment criterion is linked to the CO alignment with the UNFPA strategic plan and the UNDAF, responsiveness and added value refer to the CO position among the country development partners in view of responding to the country needs.

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[22] It implies, at least, having meetings with the Resident Coordinator, the UN Country Team, several UN agencies and national government counterparts.
[23] This refers to activities of similar or equivalent nature carried out by UNFPA as well as by other UN agencies for the same final beneficiary communities, civil service organizations or government institutions.

Responsiveness

The ability of the CO to respond to: (i) changes and/or additional requests from national counterparts, and (ii) shifts caused by external factors in an evolving country context.

This criterion assesses the ability of the country office to respond to:

(i) Changes in population and development needs and priorities in national strategies, or to shifts caused by major event (e.g., natural disasters, conflicts etc.).

(ii) Specific requests from the partner country counterparts.

Evaluators will assess:

- The speed and timeliness of the response (response capacity);

- Whether the scale of the response was adequate in relation to the magnitude of the demand (quality of the response);

- The balance between short-term responsiveness and long-term development objectives embedded in UNFPA corporate mandate (quality of the response).

Under this third aspect, the evaluators should look at whether responding to short-term demands has implied any deviation from UNFPA strategic mid- to long-term objectives. Evaluators should analyse whether the CO managed to strike a balance, and if not, assess what the implications are in terms of use of resources and coherence of the overall country programme.

Box 11 Examples of evaluation questions on the responsiveness criterion

- *To what extent has the CO been able to respond to changes in national needs and priorities or to shifts caused by crisis or major political changes?*

- *What was the quality of the response?* (Note that: the "what to check column" in the evaluation matrix could then include the specific quality aspects to be checked by evaluators -- e.g., timeliness and appropriateness of the response, and the balance struck between short and long-term objectives).

- *To what extent has the CO been able to respond to specific/ad-hoc/urgent requests of partner country counterparts? What was the quality of the response?*

Added value

The extent to which the UNFPA country programme adds benefit to the results from other development actors' interventions only.

This criterion assesses the added value of UNFPA within the country development framework.[24] Under this criterion, evaluators will check whether there are any visible benefits specifically resulting from the UNFPA country programme and they will assess their magnitude.

Generally, the UNFPA added value in the country will be a direct consequence of its **comparative strengths**. Comparative strengths refer to what UNFPA does particularly and distinctively well as compared to other development partners in the country. The UNFPA CO can demonstrate comparative strengths, for example, as: a policy dialogue facilitator, a generator of knowledge (by means of introducing new concepts and/or sharing experience and good practices), as a technical advising body, or as a driving force for national capacity development.

When assessing this criterion, evaluators should give special attention to the comparative strengths of the UNFPA CO in relation to other UN agencies working in similar areas -- i.e., UNICEF, UN Women, WHO and UNDP.

Evaluators should differentiate between:
- Country-specific comparative strengths: those directly associated with specific features, abilities and capacity of the country office;
- Comparative strengths resulting from generic corporate features of UNFPA (those characteristics of UNFPA as an agency, irrespective of the country).

Similarly, the evaluators may distinguish between:
- The added value brought by the implementation of specific projects (e.g., technical skills and expertise, conceptual frameworks and methods, introduced by consultants funded under UNFPA interventions, etc.);
- The added value generated through soft-aid activities carried out either by the CO, or the regional and sub-regional offices.

Box 12   Examples of evaluation questions on the added value criterion
- *What are the main UNFPA comparative strengths in the country – particularly in comparison to other UN agencies? Are they a result of UNFPA corporate features or are they explained by the specific features of the CO?*   - *To what extent would the results observed within the three focus areas have been achieved without UNFPA support?*   - *What is the main UNFPA added value in the country context as perceived by national stakeholders?* (Note that: the "what to check column" in the evaluation matrix could then include issues such as: in case the added value is not tangible or widely recognized, find out the reasons why; and examine the explanatory factors behind a good degree of added value).

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[24] This framework is composed of all the agencies and organizations that work on reproductive health, gender and population and development in the country: the government, donors, civil society organizations, national and international NGOs, other UN agencies, etc.

1.2.2 Remarks on evaluation questions

Evaluation questions are meant to translate the broad information demands as expressed in the terms of reference into a set of clearly delineated issues.

Evaluation questions focus the evaluators' work on a limited number of key points, thus allowing for more targeted data collection, a more in-depth analysis and, ultimately, a more useful report.

➲ What is the purpose of evaluation questions?

o They are at the core of the evaluation exercise: the entire data collection and analysis process is aimed at answering evaluation questions.

o They will be used to determine the type and sources of data as well as the data collection methods that will be applied during the evaluation.

o The presentation of the analysis of the focus areas and the strategic positioning will be organised and presented according to the selected evaluation questions.

o They are the main entry in the evaluation matrix.

Table 6 establishes the link between evaluation criteria, evaluation questions and related information sources.

Table 6   Main documentary sources for the formulation of evaluation questions

For evaluation questions related to the focus areas	
Item for which information is required	Document
Needs (relevance)	CPD, CPAP, CCA, UNDAF (at a broader level), National Development Strategy
Inputs (efficiency)	AWP, Atlas
Activities (efficiency)	AWP, SPR
Planned outputs (efficiency and effectiveness)	CPD, CPAP, SPR, COAR, previous evaluations
Planned outcomes (effectiveness, sustainability and efficiency)	CPD, CPAP, COAR, previous evaluations
Evaluation criteria for the analysis of the strategic positioning	
Item for which information is required	Document
Strategic alignment (corporate dimension)	UNFPA Strategic Plan
Strategic alignment (systemic dimension)	CCA, UNDAF, Resident Coordinator Annual Report (RCAR)
Responsiveness	Previous evaluation reports (CPE, outcome evaluations, thematic evaluations)
Added value	

Step 1: Select the evaluation questions

In section 1.2.1, the evaluators are presented with examples of evaluation questions for each criterion that needs to be examined within the framework of a CPE.

Once a preliminary list has been established, the evaluators (in agreement with the Reference Group) should select a limited number of evaluation questions on the basis of (i) their potential usefulness and (ii) their feasibility (i.e., it possible to answer them).

Priority questions can be defined as highly useful questions which can be answered (they are "feasible"). Note that the evaluators should first identify the most useful questions and then assess whether they are feasible or not. If a question is not particularly useful there will be no need to assess whether it is feasible (such a question will not be considered a priority question).

☞	Go to Part 3, 3.1 toolkit, tool 6 in *Tools for structuring information* provides an example of how an evaluation questions' selection matrix could be used when selecting priority questions.

Box 13	**How many evaluation questions should be selected?**
Choosing an appropriate number of evaluation questions is crucial. Too many questions may render the evaluation unmanageable; too few may not allow the evaluation to fulfil its accountability and learning objectives. There is no pre-determined standard number of evaluation questions for CPE. However, in a well-designed CPE, there *should be at least one question for each criterion*. In finalizing the list of questions, evaluators and **evaluation managers** must be aware of the fact that a CPE is often characterized by limited availability of data; they also need to consolidate the list of questions against the time (necessarily limited) for collection and analysis.	

Step 2: Translate the selected evaluation questions into data requirements

Once the evaluations questions have been selected, evaluators must insert them within the evaluation matrix (under their respective evaluation criteria). Evaluators should then determine, for each question:

   (i)   what should exactly be checked (type of data required);
   (ii)   what are the data sources and;
   (iii)   the data collection methods.

These three aspects correspond to the last three columns of the evaluation matrix: *what to check*, *data sources*, and *data collection methods*.

☞	Go to Part 3, Toolkit, tool 1 provides guidance and examples on how to complete the evaluation matrix.

Figure 10 illustrates the entire process described in sections 1.2.1 and 1.2.2. This process starts with defining the evaluation criteria and ends with determining data requirements.

Figure 10   Narrowing down the focus: from evaluation criteria to data requirements
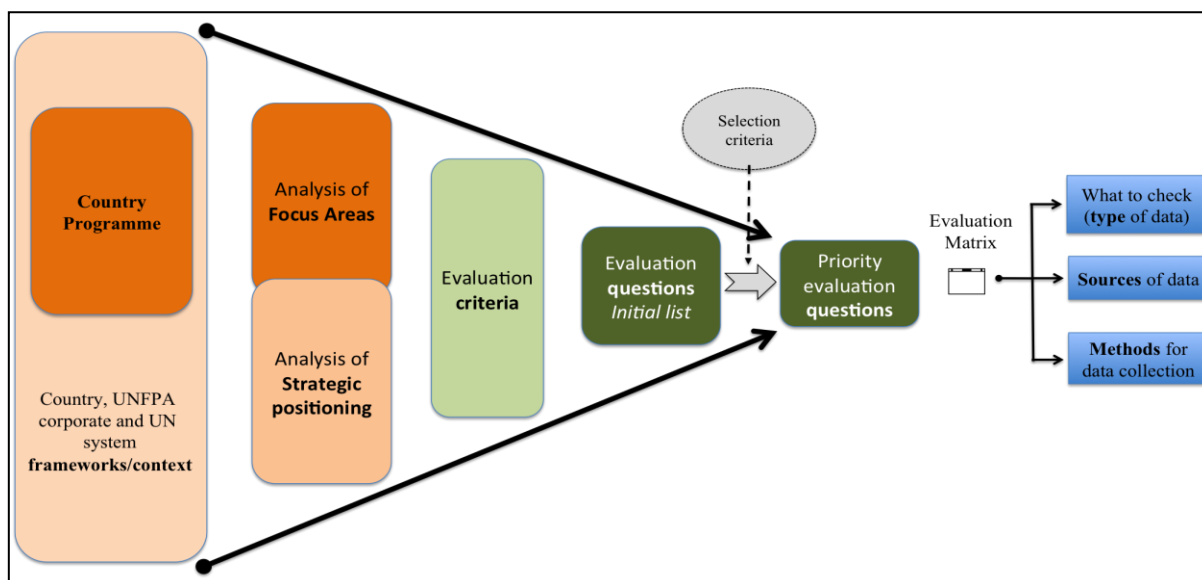
☞	If you want to know more see Part 3, 3.4 *Elements of Theory,* 3.4.3 *Evaluation Questions*

1.3   Selecting a sample of stakeholders

The UNFPA country programme involves/affects a wide range of stakeholders. They include: execution agencies, implementing partners, other organizations involved in implementation, direct and indirect beneficiary groups and donors, ministries and administrative entities, academia, civil society organisations, etc.

The evaluators must first select a number of interventions which shall constitute the focus of their analysis. This selection will, in turn, lead to the identification of the sample of stakeholders needed for the data collection stage.

However, in the UNFPA programming framework, selecting a sample of projects presents a series of challenges:

- At UNFPA, *project* is a financial concept used to designate *Atlas projects,* not interventions in the traditional sense of the term.

- The UNFPA programming framework is results-based: the focus is placed on outputs and outcomes, not on projects.

As a result, for the evaluators, the element to be considered for the sampling will not be the *project* but the *stakeholder* and, in particular, the **stakeholder/output** relationship.

By the end of the design phase the evaluation team should have selected a sample of stakeholders to meet during the data collection and analysis phase. This, in turn, requires that evaluators draw up the **agenda for the evaluation**.

☞	Go to Part 3, 3.1 toolkit, tool 7 for brief guidance on how to fill out the suggested format for the CPE agenda (the overall agenda for the entire evaluation) and be familiar with minimum requirements.

The process for the preparation of the agenda for the entire evaluation encompasses the following main steps:

Step 1 *Stakeholder mapping*[25]

"Mapping" consists of identifying the whole range of stakeholders directly or indirectly involved in and/or affected by the country programme. This task often takes place in the preparatory phase and is carried out by the **evaluation manager**.

☞	Go to Part 3, Toolkit, tool 3 *List of Atlas projects by CPAP output and Strategic Plan outcome* in *Tools for structuring information* may be a useful instrument when selecting the sample.

☞	The stakeholders mapping table (tool 4) in *Tools for structuring information* provides an inventory of the implementing agencies, other partners and beneficiaries classified by Strategic Plan outcomes, CPAP outputs and Atlas projects.

Step 2 *Selection criteria for the stakeholder sample*

The evaluators must select a sample of stakeholders. To do so, they should use the criteria listed in Table 7 below. The evaluators should not aim at obtaining a statistically representative sample, but rather an *illustrative sample*.

Table 7   Stakeholder selection criteria

Brief description of the criteria
The sample should include stakeholders involved in seemingly good performing and poor performing interventions of the country programme.
The sample should include all type of stakeholders for each given output / outcome i.e. implementing partners, execution agencies, other partners, direct and indirect beneficiaries, and donors.
For each output/outcome the sample should include both stakeholders associated to on-going activities and with activities (AWPs) that have already been completed.
The sample should include both stakeholders related to parts of the programme implemented in the country capital and parts implemented in the rest of the country.
The sample should include both stakeholders associated with financially large and financially modest AWP
The sample should include both stakeholders associated to regular actions and pilot interventions.
The sample should include both stakeholders involved with the National Execution Modality and with the Direct Execution Modality.
The sample should include stakeholders associated with soft-aid activities carried out by the country office.
The sample should include stakeholders associated to regional interventions.
The sample should include – whenever relevant – stakeholders that have been involved with interagency projects

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[25] Prior to developing the stakeholders mapping table, evaluators should have read the main programming documents to gain an understating of the main stakeholders involved.

Step 3 *Fill out the "data sources" column in the evaluation matrix.*

The evaluation matrix allows the evaluators to establish a correspondence between the information requirements and the selected stakeholders.

Step 4 *The evaluation team produces a first draft agenda and sends it to the **evaluation manager** for input from the country office.*

Step 5 *The evaluators revise and provide feedback on the additions made by the **evaluation manager** and finalize the CPE agenda.*

1.4   Planning data collection and analysis

1.4.1   Drafting the overall and individual agendas of the evaluation

As shown in Tool 7, the agenda has seven columns:

Date	Act. / Institution	People to meet	Location	Link with CP	Selection criteria	Justification

At this stage the evaluation team should be able to fill in the columns: *activity/institution*; *link with country programme (CP);[26] selection criteria* and *justification* for all stakeholders identified and selected as a result of the three previous steps.

Note that: It is crucial to include two to three days for initial teamwork and meetings with the ***evaluation manager*** *and managerial and technical personnel at the country office at the start of the field mission. Another two to three days for preparing and presenting preliminary findings to the country office at the end of the mission must also be foreseen.*

The evaluation team should then send this first draft of the CPE agenda to the **evaluation manager**, who should provide inputs (see *Note to the **evaluation manager***). The **evaluation manager** should play an active role in this process and work very closely with the evaluation team so that evaluators are informed swiftly on the number and interviews and the names and position of the people suggested for the meetings.

➔ ***Tip:*** *when evaluators send the draft CPE agenda to the **evaluation manager**, they could already include in "people to meet" some indications on the profile and sub-groups of people they wish to meet (within that particular institution) so as to provide the country office with comments.*

☞	See Part 3, 3.1 toolkit, *tools for data collection*, tool 10

Developing ***individual agendas*** is a crucial activity that should not be underestimated as it involves a significant amount of time and effort. Arranging the meetings will not only require contacting stakeholders but also recurrent back-and-forth communication loops until the final agenda is finalised.

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[26] This column provides information on the AWP and CPAP output the selected stakeholders is related with.

Figure 11   From the CPE overall agenda to individual agendas
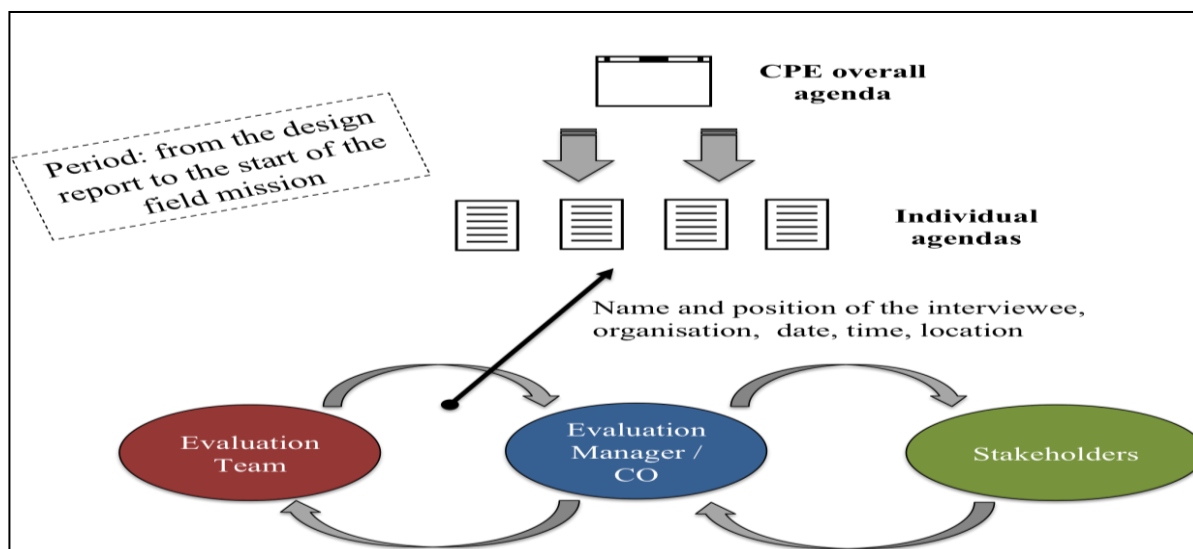
Developing individual agendas will be a joint effort between the **evaluation manager**/CO and the evaluation team. However, the **evaluation manager** and staff at the CO will play a more prominent role given their easier access to the contact details of stakeholders identified for interviews.

Box 14   Some tips for evaluators when developing the individual agendas

➔ Use the checklist in tool 10 when working on the individual agendas. It will help you to make the choice of *whom* to interview and *when* in each stakeholder institution.

➔ It is very advisable that the "location" column in the agenda includes brief explanations on the best way to get to the place of the interview as well as the telephone number of the contact person/person to be interviewed.

➔ Do not develop your individual agenda in isolation. Coordinate closely with your teammates:

  o Among the interviews you are planning, there may be interviewees who can answer questions that affect not only your area, but areas other evaluators are working on. Always keep teammates informed of your plan to interview a person of her/his interest and ask them for recommended questions.

  o It could happen that different teammates have thought of interviewing the same person. Unless different interviews are justified for technical reasons, the approach should be coordinated. In this case, it should be decided which evaluator is in the best position to conduct that particular interview.

  o It could also happen that, due to time limitations, an evaluator has to "give up" a particular region of the country that could provide him/her complementary information for the programmatic area s/he is in charge of. However, it may be that one of the other evaluators has planned to visit that particular area. S/he could obtain that information if provided with the appropriate questions in advance.

1.4.2 Methods for data collection

The objective of an evaluation is to produce a rigorous analysis and operational recommendations. The data collection methods and their proper application, as well as the choice of techniques and methods for data analysis will determine the usefulness of the evaluation results.

The main factors that determine the most appropriate methods for data collection are:

- The evaluation questions with the corresponding "what to check" and data sources in the evaluation matrix;

- The budget available for the evaluation;

- The time available for data collection;

- The availability of data and the type of data available (quantitative or qualitative, primary or secondary).

Country programme evaluations are characterized by limited availability of data as well as by collection and analysis periods that will not normally exceed three weeks.

In those circumstances, the most common methods for data collection are:

- Documentary review;

- Individual interviews;

- Group discussions;

- Focus groups.

The time span and budget generally allocated to CPEs do not allow for the use of data collection methods such as surveys. Instead, the evaluation team should consider such methods as: case studies, expert panels, obtaining data from management information systems.

☞ | Go to Part 3, 3.1 toolkit, Tool 8 includes a checklist for preparatory tasks prior to data collection.

1.4.2.1 Documentary review

The documentary review is useful in view of:

- understanding the country context and UNFPA country programme

- identifying the sample of stakeholders (section 1.3);

- collecting qualitative and quantitative secondary data;

- identifying specific interview questions;

- completing the evaluation matrix;

- validating and crosschecking preliminary findings (see triangulation in 1.4.2).

There are a wide range of documents containing data and information that can be used in the process of answering evaluation questions. The most common are: programming documents; previous evaluation reports; project documents such as progress and monitoring reports, technical studies and technical reports; statistical digests and reports, etc.

Besides the documentation provided by the **evaluation manager**, evaluators will also collect and review additional documentation throughout the field phase.

| ☞ | Go to Part 3, Toolkit, tool 9 is a checklist for the documents to be provided by the **evaluation manager** /country office to the evaluation team**.** |

Secondary data obtained through documentary review will complement primary data (obtained through interviews and focus groups) in order to conduct triangulation, that is: to verify and crosscheck the validity of preliminary findings (see section 1.4.2 for more details)

1.4.2.2 Interviews: Individual interviews, group discussions, and focus groups

During the design phase, the evaluation team has to decide on the type of interviews to be conducted. Types of interviews are linked to both the evaluation questions and the nature of stakeholders to be interviewed.

In a UNFPA CPE, a great deal of the **evaluators' access to high value information depends on interviews.**

| ☞ | Go to Part 3, 3.1 toolkit, Tool 11 presents a number of guiding principles to develop interview guides. |

Part 2 (*Conducting the evaluation*) and part 3.1 (Toolkit) of the Handbook focuses on the practical aspects of organising, preparing, conducting, coding and interpreting information obtained through interviews.

| ☞ | See Part 3, 3.1 toolkit, 3.1.2, *Tools for data collection,* tool 13-bis: *Practical Tips to conduct Interviews and Focus Groups* |

A - Structured, semi-structured and unstructured interviews

An interview is a data collection tool used to:
- Confirm or check facts learnt from the documentation or from other interviews;
- Collect new data to complement the documentary review;
- Collect opinions, perceptions and analysis from a reasonable number of varied stakeholders.

A *structured interview* is based upon a standardized set of questions following a pre-determined order. Structured interviews do not leave space for improvisation. They allow for comparability, ensure neutrality, and the information obtained can be more easily processed.

A *semi-structured interview* is based on an interview guide listing the main topics to be treated and their ideal order. Unlike the structured interview, questions remain open and the interviewer does not necessarily follow the predetermined order. It allows for improvisation while keeping track of the main subjects to be dealt with.

An *unstructured or open-ended interview* consists of an informal conversation on a topic(s). It does not require predefined questions. It provides flexibility to the interviewer on how to lead the conversation. It allows for empathy and mutual understanding with a view to facilitating the exchange of information. Unstructured interviews are used in situations where the evaluator wants to explore

the opinion of interviewees in a fully open-ended manner. Within the context of UNFPA CPE, unstructured interviews may prove useful in situations such as unplanned meetings and/or meetings taking place with end beneficiaries of the programme (notably vulnerable groups: refugees, adolescents/children, gender-violence victims, etc.)

Box 15	Which type of interview should you select: structured, semi-structured or unstructured?
These three types are not mutually exclusive. Evaluators may use them all in the course of the evaluation exercise. However, **semi-structured interviews are recommended for UNFPA CPE** since they provide a good balance between rigor and flexibility which are both necessary given the nature of themes under evaluation and related variety of stakeholders.	

→ *Tip*: *The team leader must ensure that all evaluators have the same understanding of the set of interview questions (in the case of structured and semi-structured interviews) in order to ensure homogeneity and to enable comparison between the information obtained by the different interviewers.*

☞	Part 3, Toolkit, the interview logbook - tool 13 (and template 6) is a tool for semi-structured interviews.

B - Focus groups

As opposed to individual interviews, a focus group is a form of group interviewing method which is particularly recommended when the evaluators need to capture the stakeholders' opinions and perceptions.

In a focus group, interactions between stakeholders allow participants to comment on each other's opinions, to bring up new topics inspired by the interventions of others, and to contradict or support others. This makes focus groups a useful instrument for the confirmation of information on preliminary findings or hypotheses stemming from the documentary review and individual interviews.

A focus group requires a certain degree of homogeneity among participants. However, the level of homogeneity will depend on the specific objective sought by the evaluators. The focus group allows interviews to go beyond commonly expressed views and opinions, and makes it possible to capture a wealth of details and nuances.

Careful preparation and conduct of the focus groups is necessary to obtain valuable results.

☞	See Part 3, 3.1 toolkit, 3.1.2, *Tools for data collection,* tool 13-bis: *Practical Tips to conduct Interviews and Focus Groups*

Figure 12 below gives general tips to help evaluators choose individual interviews and focus groups.

Figure 12　　　**Choosing between individual interviews and focus groups**
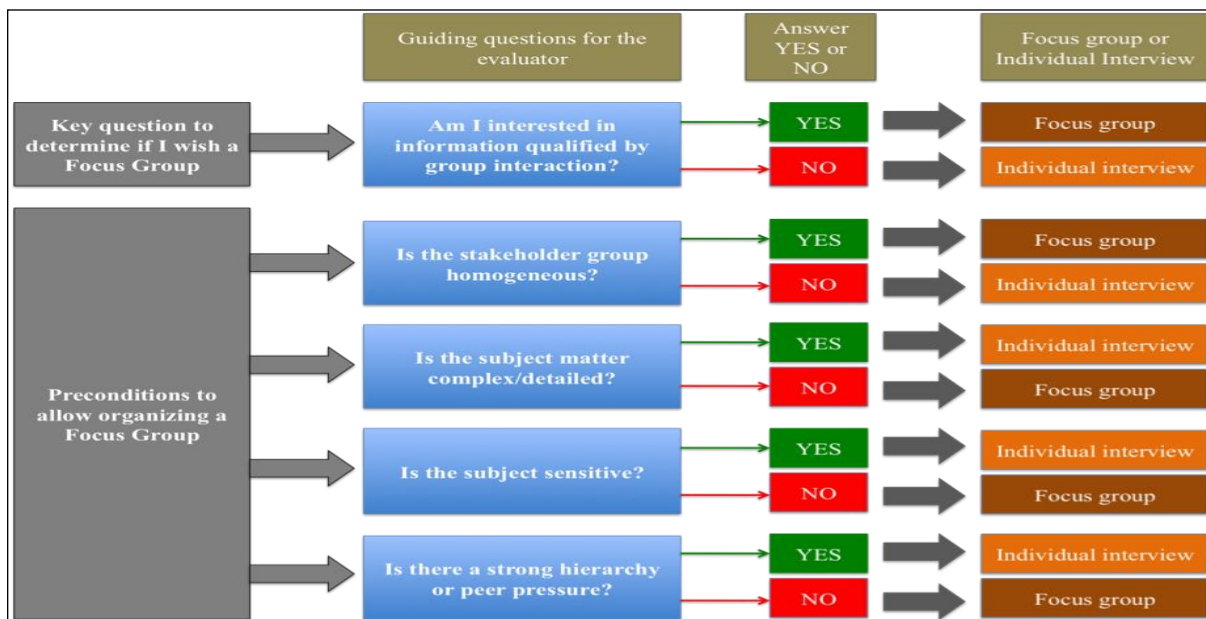
1.4.3　　　Methods for data analysis

In the design phase evaluators must **select the methods** for analysing data.

By data analysis, we refer to the process of assessing the evaluative information gathered by means of the documentary review, interviews and focus groups.

Analytical work is performed throughout the evaluation exercise. Indeed, evaluators should start analysing partial data as it becomes available. Data analysis consists of both individual and joint work within the evaluation team. However, this process culminates at the reporting phase when evaluators draft the findings and proceed with the formulation of conclusions and related recommendations.

Due to the poor availability of quantitative data in most country offices (due, in particular to ineffective results oriented monitoring and reporting system), the type of data collected in a CPE will be mostly **primary qualitative data**. Short timelines and limited financial resources allocated to CPEs also generally exclude the possibility of resorting to sophisticated methods for data analysis (such as cost-benefit analysis, cost-effectiveness analysis and econometric based models like regression analysis). However, evaluators should consider applying quantitative methods for data analysis when the CO Monitoring & Evaluation system is in place and when national statistical data are readily available.

When analysing primary qualitative data, evaluators must use triangulation and validation techniques, as well as evidence-based approaches.

The focus of the data analysis process in a CPE is the *identification of evidence*.

Indeed, findings, conclusions and recommendations to be presented in the final evaluation report must be evidence-based. Evidence may be based on opinions and perceptions, and on hard data (values of the indicators in the CPAP). Such evidence should be used to validate the answers to the evaluation questions.

Tool 14 features a table to allow evaluators to link preliminary findings (by evaluation question) with the evidence that supports such findings as well as with the sources of the evidence. In this sense, the table "summarizes" the results of the data analysis process. At design phase the evaluation team should decide whether to use this tool or elaborate another one. In any event, the **evaluation manager** must ensure that (in Chapter 4 of the design report - *evaluation methodology and approach*), the evaluators present the techniques that will be used to ensure that the results of the data analysis are credible and evidence-based.

☞	Go to Part 3, Toolkit, tool 14 presents the *preliminary findings summary table*, which summarizes the results of the data analysis process. This tool may be used in the preparation of the presentation of preliminary findings and recommendations to the country office.

In order to reinforce the credibility and validity of the findings, judgments and conclusions obtained on the basis of primary qualitative data, evaluators should use **triangulation techniques**.

Triangulation implies double or triple checking the results of the data analysis by way of cross-comparing the information obtained via each data collection method (desk study, individual interviews, discussion groups, focus groups). Evaluators should also cross-compare the results obtained through different data sources -- i.e., compare results obtained from interviews with government staff with those obtained from beneficiaries or from statistical data (e.g., evolution of reproductive health indicators).

Whenever substantial discrepancies appear when comparing the information obtained from different collection methods (for a given evaluation question), evaluators should try to find out the reason why. In the event this is not possible, preliminary findings should be disregarded.

During the design phase, the evaluation team should also agree on **validation mechanisms.** The design report should present them in the methodology chapter. These mechanisms are arrangements that enable the verification and validation of hypothesis and preliminary findings.

The most common validation techniques in CPE are:

- *Internal team-based revisions*: convening a series of internal team meetings during the data collection and analysis phases to share and discuss preliminary findings/conclusions, hypotheses and evidence among evaluation team members. In UNFPA programmes, focus areas are highly interrelated by nature, which means evaluators will collect evidence not only on the areas they are responsible for but also on other colleagues' areas. Sharing and discussing the validity of preliminary findings and their supporting evidence for each focus area constitutes a validation process. The most important team-based revision is the one that will take place prior to the presentation of the preliminary findings to the country office.

- *Presenting and discussing preliminary findings with the country office and the Reference Group.* This presentation should ideally take place in a workshop. Preliminary findings and recommendations should be presented and then discussed and reviewed by evaluators subsequent to the presentation.

- *Focus groups* can also be used as a validation technique. When conducted near the end of the field phase, focus groups make it possible to present preliminary findings to a relevant audience that may validate them or cast doubts on their validity.

To check the validity and robustness of the findings evaluators should not wait until the field phase. This control must also be performed throughout the process. In this manner, evaluators can assess

whether to keep on working on specific hypotheses (lines of argument) or disregard them when there are indications that they are weak (contradictory findings or lack of evidence).

➔ ***Tip:*** Part 3 of the Handbook *Conducting the evaluation* provides tips on how to approach data collection and analysis in the field phase.

1.4.4   Limitations and ways to mitigate them

At design phase, the evaluators must assess the following aspects:

- The *availability of data and information* is often constrained by the lack of a *results oriented monitoring and reporting system in CO*[27] and/or poor national statistical data.

  ➔ ***Tip:*** *Due to the poor availability of quantitative data in most country offices (e.g., ineffective results oriented monitoring and reporting system), the type of data collected in a CPE will be mostly **primary qualitative data**.* Furthermore the short timelines and limited financial resources dedicated to the CPE generally exclude the possibility to resort to sophisticated methods for data analysis (such as cost-benefit analysis, cost-effectiveness analysis and econometric based models such as regression analysis.

- The *quantity and quality of the data produced by monitoring and evaluation as well as results-based management systems* -- i.e., the existence (or lack thereof) of baselines, targets, and current values for key indicators of output and outcomes. Missing data on indicators will hinder the ability of evaluators to answer evaluation questions.

- The *access to sources of information* (both documentary sources and stakeholders). Some of the factors behind such restrictions may be: organizational restructuring processes – either at the CO or in national counterpart institutions - are factors which adversely affect institutional memory and makes it difficult to obtain accurate and representative data for the period under evaluation. High staff turnover among civil servants; changes in government (after elections) also make the identification of key informants (in view of interviews) a difficult and time consuming process.

- The *timing of the evaluation*. This has implications with regard to the observation of actual effects -- e.g., it may be too early to observe the effects generated by some of the outputs of the programme. This is particularly relevant to the nature of interventions implemented by UNFPA which imply in many cases changes of behaviour, culture and mentality that require time to see effects.

Once limitations have been identified, the assessment should conclude with a clear description of mitigating measures.

Some examples of **mitigation approaches** are:

- **Triangulation techniques:** Evaluators must check whether given information is confirmed across data sources and collection methods used (e.g., interviews with beneficiaries, progress reports, a group discussion with national counterparts).

- **Validation techniques** (as mentioned in the previous section).

- **Ad-hoc proxies:** to offset the lack of current values for indicators.

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[27] In the event that the CO M&E system is in place and when national statistical data are readily available, evaluators should consider applying quantitative methods for data analysis

1.5   Organizing the work

1.5.1   Team responsibilities and distribution of tasks

The allocation of responsibilities and distribution of workload should comprise, at least, two aspects: (i) allocation of responsibility by area of work; (ii) allocation of responsibility by sections of the final evaluation report.

1) Allocation of responsibilities by area of work

Each evaluator shall:

   (a) lead the evaluation work on evaluation questions associated with her/his area of expertise;

   (b) provide input when relevant on other experts' focus areas;[28]

   (c) gather information on strategic positioning evaluation questions and,

   (d) be responsible for any or all of the strategic positioning evaluation questions.[29] Decisions on what type of input experts should provide to others should be made during the design phase.

2) Allocation of responsibilities by sections of the final evaluation report

It is also advised to decide, before the start of data collection, which evaluator will be responsible for each section of the final report. This will allow team members to plan their workload well in advance and will prompt coordination among team members. Although there might be adjustments at a later stage of the evaluation process, it is recommended that evaluators agree on a distribution of tasks at the design phase.

It is advised to draft a two-column table showing who will be in charge of which part of which section(s) of the final report and who should provide inputs to the sections under the responsibility of other evaluators.

Sections of the final evaluation report (including annexes)	Responsible person	Inputs / support required from

When assigning tasks and responsibilities, it is important to ensure that workload and timeline estimates are consistent with each team members' allocations in terms of days.

1.5.2   Resource requirements and logistical support

Evaluators should identify all resources required to carry out the evaluation and the nature of the support expected from the **evaluation manager** and country office. Aspects to be considered include:

- Support to **organize the agenda of interviews,** group discussions and focus groups (once evaluators have selected the sample of stakeholders to be interviewed).

- Means of **transportation** (in the capital and to travel to other regions), travelling permits and authorizations.

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[28] E.g., gender and monitoring issues are often to be assessed across the programme, hence involving all the evaluators.

[29] The team leader or any other designated evaluator will be the lead responsible for the strategic positioning chapter.

- **Meeting facilities.** This includes (i) room facilities for team meetings, to be provided by the UNFPA country office; and (ii) a first estimation of logistical arrangements needed for the focus groups. Evaluators must inform the **evaluation manager** as soon as possible so that preliminary arrangements and contact with national counterparts may take place well in advance.

- **Equipment** such as overhead projector, printer, etc.

- Whenever appropriate, **interpreters** for international consultants and for national consultants in multi-lingual countries.

At this stage the **evaluation manager** should also ensure that evaluators are familiar with safety and security issues as well as with financial arrangements and procedures regarding payment and reimbursement of transport costs.

1.5.3   Work plan

The team should agree on, and draw up a work plan. This plan should reflect the timelines (as per Terms of Reference) and provide the sequence of main activities and milestones from the end of the delivery of the design report to the submission of the final evaluation report.

The Gantt chart below shows an example of the main elements to be included in the work plan:

Main Activities Field Mission	Week										
	Month 1			Month 2				Month 3			
	3º	4ª	5ª	1ª	2ª	3ª	4ª	1ª	2ª	3ª	4ª
Delivery of the design report	▓										
Approval of the design report		▓									
Completion of the agenda for in-country meetings and interviews		●									
Preparation of the interviews and adjustments in the agenda		▓	▓								
In-depth study of AWP, previous evaluations, etc (secondary sources)	▓	▓	▓								
Data collection				▓	▓	▓					
Data analysis, triangulation (teamwork)						▓					
Presentation preliminary results to CO						□					
Delivery of 1st draft evaluation report									Δ		
Comments from the CO										▓	
Delivery of final evaluation report											O

Legend and milestones:

●	Monday 24, agendas for field visits completed	□	Friday 21, workshop presenting preliminary evaluation results
Δ	Monday 8, delivery of the first draft evaluation report	O	Friday 30, delivery of the final evaluation report

PART 2

CONDUCTING THE EVALUATION

PART 2 – CONDUCTING THE EVALUATION

The field consists of a three to four week mission in order to complete the data collection and proceed with the analysis. Evaluators will collect additional data through field visits.

Part 2 of the handbook is structured as follows:

> **2.1 Starting the field phase**, usually covering the first two or three days of the phase

> **2.2 Collecting and ensuring the validity of data** refers to the core part of the field phase (field visits, including the conduct of interviews and focus groups)

> **2.3 Analysing data**

> **2.4 Presenting preliminary results**, usually covering the last two or three days of the field phase. Preliminary findings and recommendations are presented to the CO and main stakeholders during a plenary debriefing session.

Part 2 of the handbook must be used in conjunction with **Part 3** which contains the tools which the evaluators must use throughout the evaluation process.

2.1   Starting the field phase

During the two to three first days at the country office premises, the evaluators shall meet with relevant CO staff with a view to validating the evaluation matrix. They shall also make final arrangements regarding agendas, logistics and security matters.

Figure 13   Main tasks at the start of the field phase
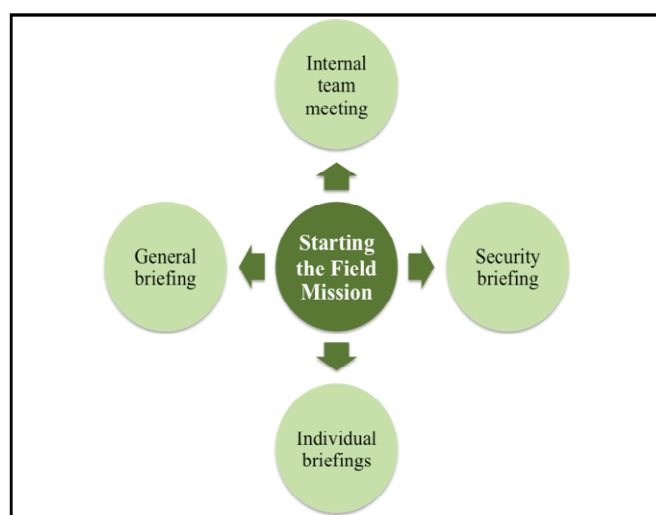
The evaluation team must carry out four main tasks:

- Security briefing

- Internal evaluation team meeting

- General briefing with the country office

- Individual briefings with the CO programme officers by mandate area: overview of each mandate area of the country programme, finalisation of evaluators' individual agendas and related logistics matters.

Security briefing
The CO should organize this briefing before the evaluators travel to the field. Evaluators must be fully acquainted with all security issues and procedures prior to travelling in the field.

Evaluation team meeting

In this meeting the team members should deal with initial aspects of the mission. Table 8 presents some suggestions for the agenda.

Table 8   Evaluation team meeting

Overview
The team leader should chair the meeting and go through the following issues: o   Brief review of the main objectives and goals of the evaluation exercise; o   Enquire about any aspect of the field phase that is unclear to any of the members; o   Provide an overview of the main steps of the field phase; o   Provide an overview of what is expected from each member of the evaluation team; o   Agree on internal rules regarding internal communication during the field visits, communication with the **evaluation manager** and other CO staff; o   The team leader should inform the team on the expected product of the field phase: debriefing to CO and main stakeholders on preliminary findings and recommendations. ➔ *Tip: Before the start of data collection, it should be decided which evaluator will be responsible for each section of the final report. This will allow team members to plan their respective work. This should also encourage coordination between team members.*
Methodological aspects
The team leader should ensure that all evaluators are fully familiar with the methodological framework and approach, in particular: o   How to use the evaluation matrix and its role in the evaluation exercise; o   Definition of each evaluation criterion; o   How to ensure that preliminary findings are supported by and can be traced back to evidence.
Arrangements about sharing information of common interest
o   The team should discuss how to proceed when the data to be collected are relevant for various team members; o   Once common data sources are identified ensure that information needs of each concerned team member are reflected within interview guides and/or interview logbooks.
Agendas and logistics
o   Identify within the overall agenda the activities and meetings involving all team members; o   Identify within the individual agendas which meetings still have to be arranged; o   Identify any overlap in agendas, that is instances when two team members have a meeting with the same person and make arrangements accordingly; o   Logistics: review travel itineraries and arrangements (transportation, travelling permits, etc.) and ensure efficient use of transportation means (e.g. team members travelling to the same region should share the same means of transport).
Aspects to be addressed in the general briefing with the country office
The team should review the agenda of the general briefing with the country office – usually scheduled for the next day.

General briefing with the country office
Prior to the start of the field phase, the team leader should discuss with the **evaluation manager** a date and agenda for the general briefing meeting.

On the second day of the field phase, a general briefing should be held with the country office to present the objectives, the process and the deliverables of the evaluation. The aim of the meeting is to reach a common understanding on the contents of the evaluation matrix and agree upon the overall agenda of the field phase.

The briefing meeting should involve:

- All members of the evaluation team.
- The relevant country office staff: senior management, heads of the programmatic areas, heads of finance and administration, the M&E focal point/officer, the **evaluation manager**, programme officers, and technical and administrative support staff;
- Representative(s) of the relevant UNFPA regional office.
- Members of the evaluation reference group other than UNFPA staff.[30]

Table 9 suggests an outline for the briefing meeting.

Table 9   Suggested outline for the general briefing meeting at the start of the field phase

Evaluation team
Presentation of the evaluation team members and the distributions of tasks and responsibilities
Presentation of the scope and objectives of the evaluation
Presentation of the methodology for CPEs, including detailed review of the evaluation matrix
Presentation by the evaluation team of planned field visits and necessary support from the CO
Country office
Briefing from the CO on the general context (including political aspects) of the programme
Presentation of CO expectations on the evaluation exercise
Presentations of the programme portfolio by mandate area
Presentation of the main challenges faced by the country programme
Main issues regarding the agenda and logistics
Joint discussion
Based on discussion between main stakeholders (CO and Reference Group), adjust and refine the **evaluation matrix**. This may involve, for example, the inclusion of new evaluation questions, reformulation or removal of existing evaluation questions, and adjustments in the *what to check*, data sources and data collection methods columns of the matrix. (see below)
Agree on the **parameters against which the assessment will be made** (see below)
Validate the overall CPE agenda

➔ *Tip: it is advisable to discuss issues such as refinement of the evaluation matrix and the parameters of the assessment with the senior management prior to the general briefing meeting. Such discussion could be held in the meeting with the senior management, which takes place usually on the first day of the mission (see Part 3, Tool 7 – The CPE agenda).*

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[30] For example: government bodies (Ministries, Agencies), academia, civil society organizations, other UN agencies, etc.

Adjusting and refining the evaluation matrix
The evaluation matrix is the backbone of the CPE. Since it summarises the core aspects of the exercise (what will be evaluated and how), it should be validated by the **evaluation manager** and the reference group. This, in turn, will increase ownership of the evaluation process and ensure optimal use of its results by all parties.

The team leader must ensure that, prior to the briefing meeting, the CO and reference group have already had opportunities to provide inputs and comments on evaluation matrix included in the design report.

Reaching an agreement on the parameters against which the assessment will be made
When the evaluators are faced with a poor CPAP results framework -- i.e., when indicators are not adequately defined, targets are either absent or unrealistic and/or baselines are missing – there is a need for designing an alternative reference framework for the assessment of the country programme.

This implies the setting of *ad-hoc proxy indicators* that should be used as a reference to establish the degree of progress and success of the country programme, alternative sources of information (and, whenever possible, attempts to establish credible baselines).

The use of this alternative reference framework should be clearly explained and accounted for in the final report.

Figure 14   Adjusting and refining the evaluation matrix
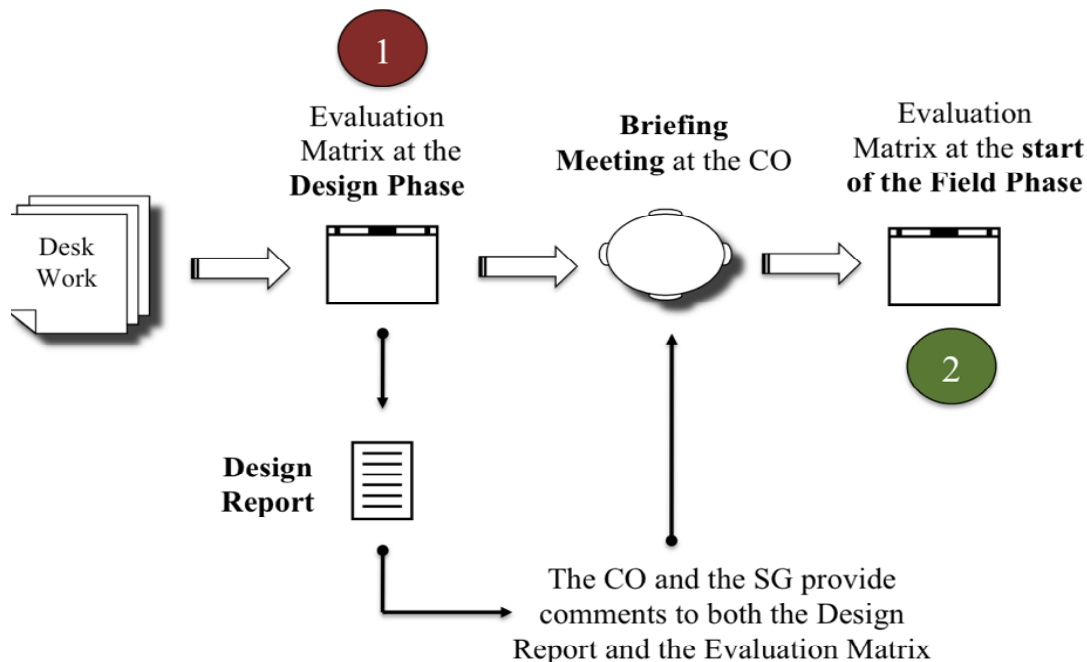
The evaluation reference group should be encouraged to provide comments on the evaluation matrix before the joint discussion.

The evaluation team should avoid that a lack of information identified at this early stage leads to the exclusion of key evaluation questions. In such cases, it is advisable to keep the evaluation question(s) and look for alternative sources of information. Similarly, the evaluation team should avoid being directed to evaluation question(s) prioritised merely on the basis of the information available.

The evaluation matrix should be agreed upon by the time the evaluation team starts the field visits.

→ *Reminder: although the evaluation matrix should incorporate inputs from the evaluation reference group, it remains the responsibility of the evaluation team which retains the final decision on its content.*

Individual briefings with the CO programme officers: Individual agendas, logistics and programme overview

Each evaluator should hold an individual interview with the programme officer(s) in charge of the programmatic area s/he is assessing. These meetings should cover the following aspects:

Table 10   Aspects to be covered in individual interviews with programme officers

Aspects related to the individual agendas
Individual agendas should be organized prior to the beginning of the field phase. However, some key aspects need to be reviewed with the relevant CO programme officer: o   Timing of interviews; o   Practical arrangements regarding field visits (should additional field visits be organized?); o   Rationale for each interview and link(s) with related information needs (should additional stakeholders be consulted?).
Detailed overview of the programme and its context
It is very important that the evaluation team meets the relevant programme officers before undertaking field visits and meeting other stakeholders. Programme officers can provide valuable information regarding the context information which does not appear in the CPAP, AWPs, COARs or SPRs. This is especially useful in order to highlight potential gaps between "what is in the CPAP" and "what is implemented."
Specific questions related to the evaluation
Programme officers are also stakeholders in the UNFPA country programme as they are involved in its implementation (as such, they also appear in the data sources column of the evaluation matrix). In order to ensure efficient use of time, the evaluators should also take advantage of this first meeting to obtain information to start filling the information matrix.
The programme officer's expectations for the evaluation
This first meeting should also be an opportunity for the programme officer to express his/her expectations and concerns regarding the evaluation exercise.

→ *Tip: At this point in time, evaluators should use the checklist provided in tool 8.*

☞	Part 3, Toolkit, tool 8 *Checklist for preparatory tasks prior to data collection* provides a list of the key steps and tasks evaluators should have gone through prior to start collecting the data.

2.2 Collecting and ensuring the validity of data

The value of the information and data collected in the field requires a rigorous preparation of interviews and focus groups.

Methods for collecting data are selected at design phase. Optimizing the time of the field phase requires early planning (interviewees must be informed well in advance) and practical arrangements (logistics). However, at the start of the field phase, evaluators have access to more detailed information; as a result the approach for data collection can be adjusted.

☞	Methodological explanations on data collection can be found in section *1.4.2 Methods for data collection*. Go to Part 3, 3.1 toolkit, 3.1.2, *Tools for data collection* -- contains all tools for data collection. It is strongly suggested to review tools 8, 10, 11 and 12. It is also recommended to refer to tool 13

Part 3 of the Handbook, presents a set of practical tips that can help the evaluator in the field, with a special emphasis on what constitutes the main instruments for data collection: the interviews and the focus groups.

☞	Go to Part 3, 3.1 toolkit, 3.1.2, *Tools for data collection,* tool 13-bis: *Practical Tips to conduct Interviews and Focus Groups*

Throughout the data collection process, evaluators must ensure the validity of the data and information collected. To this aim, one of the most commonly used techniques is **triangulation**.

Figure 15 **Triangulating data sources and data collection methods**
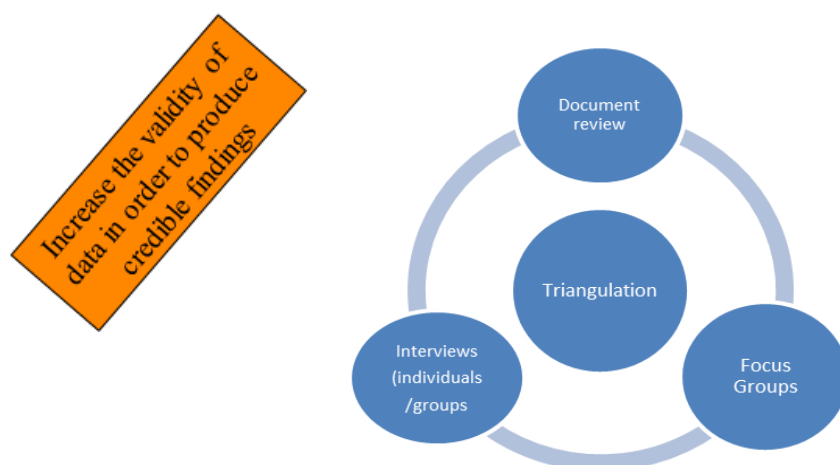
Evaluators should systematically double or triple check the data and information obtained through different **data collection methods** (study of documentation, individual interviews, discussion groups, focus groups). Similarly, evaluators should cross-compare the data and information obtained from different **sources of data --** e.g., compare the data obtained through interviews with government staff with those obtained from beneficiaries.

Whenever discrepancies appear when comparing the data obtained from different methods and/or sources, evaluators should proceed as follows:

1) Look for further data and/or information with a view to validating/invalidating the data/information collected;
2) In the case the evaluator cannot decide between contradictory data/information stemming from two equally reliable sources, it is advisable to display the data/information from both sources, while highlighting subsequent limitations in their use for the purpose of the evaluation.

2.3 Analysing data

The data analysis is conducted in three stages of increasing importance: (i) all along the data collection process – both at design phase (documentary review) and during the field phase; (ii) when preparing the presentation of the preliminary findings and recommendations to the country office and the Reference Group at the debriefing meeting which concludes the field phase; (iii) the bulk of the analysis takes place during the reporting phase, in view of producing the draft final report.

☞	See Part 3, 3.2 Detailed outlines for the reports, 3.2.2 How to structure and draft the final evaluation report

Data analysis rests upon (i) the individual work performed by each evaluator and (ii) the joint analysis carried out collectively by the evaluation team under the supervision of the team leader. The joint analysis consists in submitting the individual preliminary findings of each evaluator to collective validation mechanisms. In this regard, the role of each evaluator is dual: analysing data for the area(s) s/he is in charge of as well as providing input to the analysis conducted by other evaluators in a collaborative manner.

Since UNFPA mandate areas are highly interrelated, the data and information gathered by each evaluator for his/her mandate area(s) can also be of use for other mandate areas under the responsibility of other team members. For this reason, it is very important that each evaluator knows very well all the evaluation questions (as listed in the evaluation matrix) beyond the ones s/he is more directly concerned with.

In short, each evaluator should:

- gather data and collect information which can be relevant both for his/her mandate area(s) and for those of other team members;
- conduct an in-depth analysis of the data related to the mandate area(s) s/he is in charge of;
- provide input for the analysis conducted by other evaluators.

2.3.1   What is data analysis in practice?

Country programme evaluations are not descriptive studies consisting in collecting and presenting data. On the contrary, evaluations entail an in-depth analysis which leads to the expression of value judgements on the programme/interventions in relation to the objectives set out in the CPAP. In this context, **data analysis** corresponds to the process by which the evaluators examine the information gathered during the design and field phases with a view to identifying causality links and/or the contribution of UNFPA interventions to changes observed in the national development context.

The data analysis process starts at field phase and continues during the reporting phase. A first level of data analysis shall lead to the formulation of preliminary findings, with a view to proposing a set of provisional recommendations to be discussed during the debriefing presentation to the country office at the end of the field phase. During the reporting phase, the evaluators will proceed with a second level of analysis consisting in confirming/infirming the preliminary findings. Once the findings are validated, they shall constitute the basis for the expression of judgments on the programme/interventions in the form of conclusions.

2.3.2   Basic principles for analysing data

Findings must systematically be supported by evidence; findings which are not convincingly supported by evidence should be disregarded. Subjective appreciations, impressions or intuitive judgements should be systematically excluded from an evaluation report.

> ➲ **In the CPE, evaluators should be able to systematically trace findings back to evidence. Based on the findings, conclusions should express the evaluators' unbiased and substantiated judgements on the programme/interventions.**

A significant part of the work carried out by evaluators during the field phase consists in filtering out data that is not relevant for answering evaluation questions, and identifying and processing data and information that may qualify as evidence for potential findings.

Figure 16, presents the data analysis process: from collecting data to answering evaluation questions / criteria by means of judgments based on findings, which in turn are based on evidence.

Figure 16   How to analyse data: from collecting data to answering evaluation questions
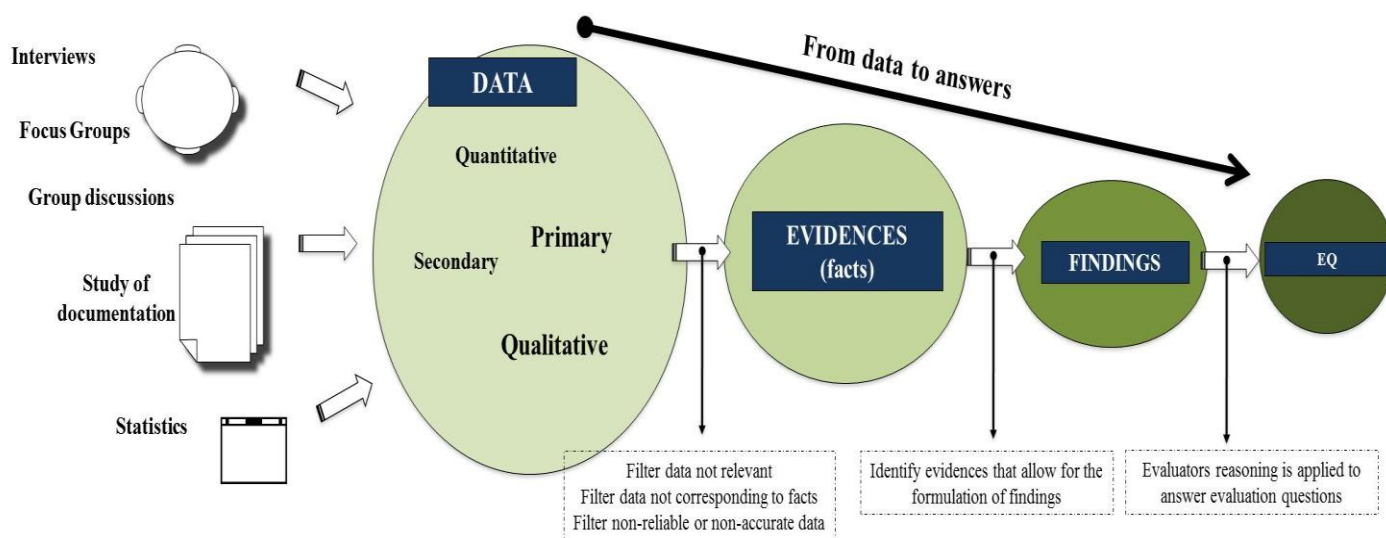
2.3.3   Recurrent obstacles and difficulties when conducting data analysis

The following boxes present the most recurrent obstacles and difficulties encountered by evaluators when analysing data. Each box features three entries: the area of analysis where the obstacle might occur, a description of the obstacle, and suggestions on how to overcome it.

When the definition of "needs" is unclear
Obstacle: needs are understood differently by the Government and final beneficiaries Needs may be those put forward by the government or those as perceived by the final beneficiaries; they may not necessarily coincide. Government priorities are clearly set forth in national level policies and plans, but how can evaluators identify the overall needs of the population, without having to interview a large section of the population?
Suggested way forward: one option is to use the qualitative and quantitative data provided in **Demographic Health Surveys (DHS)** as proxies for the needs of the population. This option is recommended when the data and analysis provided in DHS coincides, at least partly, with the country programme time span. Evaluators should compare the situation and trends described in the DHS with the priorities and strategies set forth by the CO in the CPAP.

When the CPAP results framework is ill-designed
Obstacle: outputs are formulated as outcomes. Sometimes evaluators may find that CPAP outputs are formulated as outcomes while outcomes are formulated as development results (i.e. impact). If evaluators assess the actual achievement of outputs as they are formulated (in terms of outcomes) the assessment of the *effectiveness* of the programme will inevitably conclude that it is unsatisfactory. Evaluators will also have to conclude that outputs have been largely underachieved, since in reality they correspond to outcomes which, by essence, are beyond the control of UNFPA.
Suggested way forward: Evaluators must have pointed at the conceptual flaws in the CPAP and its results framework (i.e. inconsistencies in the levels of the chain of effects of the programme) as early as the beginning of the design phase, when reconstructing the

intervention logic of the programme. Therefore, for the data analysis, the evaluators must use as the reference document for the assessment of the country programme the revised results framework as proposed by the evaluation team and <u>agreed upon by the reference group at design phase</u>.

When the CPAP results framework is not up-to-date
Obstacle: changes in the CPAP have not led to corresponding adaptation of the results framework (e.g. following the country programme mid-term review).   In case of changes in the CPAP, if the results framework is not updated, evaluators are faced with the risk of assessing the programme against outputs that no longer exist or that should have been modified. They may also omit outputs which should have been included in a revised results framework.
Suggested way forward: Evaluators must have pointed at the need for an updated version of the CPAP results framework as early as the beginning of the design phase, when reconstructing the intervention logic of the programme. Therefore, for the data analysis, the evaluators must use as the reference document for the assessment of the country programme the revised results framework as proposed by the evaluation team and <u>agreed upon by the reference group at design phase</u>.

When an issue cuts across several evaluation criteria
Obstacle: issues such as: development of national capacity; national ownership; special attention to the most vulnerable, disadvantaged, marginalized and excluded population groups; or the development of partnerships can be looked at from different angles -- i.e. evaluation criteria.   For example, the *development of national capacity* may be dealt with both when assessing the sustainability of UNFPA interventions and under the strategic alignment criterion (corporate dimension).   • Should evaluators choose only one criterion under which development of national capacity should appear?   • Or conversely, should it appear under all concerned criteria?
Suggested way forward: this decision on how to proceed is for the team leader, in consultation with the rest of the team. Any of the two aforementioned options would be valid. If the team opts for analysing the issue under a single criterion, the team leader must ensure that this analysis also informs the answers to other evaluation questions (when relevant) so that no valuable information is lost.

2.3.4   From data to evidences

Throughout the field phase, the evaluators must examine the data collected with a view to:

- Dismissing data and/or information the reliability of which seems to be weak -- e.g., statistics the source of which is not identified, or statements made by interviewees on past events that cannot be double checked.
- Disregarding data and/or information that do not pass the triangulation test (see below);
- Rejecting data and/or information which are not relevant for answering the evaluation questions.

The data resulting from this filtering process can be used in confidence by the evaluators as evidences to substantiate their findings.

2.3.5   From evidences to findings

At this stage, the evaluators will fill in the *"what to check"* column of the evaluation matrix, using the set of evidences previously identified. The elements listed in the *"what to check"* column will become the findings the evaluators must use so as to answer the evaluation questions.

☞	Go to Part 3, 3.1 Toolkit, tool 1 *evaluation matrix*, provides guidance (what, when and how to use it) and examples on how to complete the evaluation matrix.

Box 16   Evidences do not amount to findings
A key role for evaluators when presenting evidence is to provide for a reasoned interpretation of what has happened and why, and not just provide facts on what has happened. A finding such as "the final beneficiaries do not apply the knowledge transferred by the interventions funded by UNFPA", backed by evidence such as "this is the case in all the sample beneficiary institutions covered by the evaluation (75% of the total)" is a clear indication that there are problems in effectiveness. However evaluators should go further and provide a logical interpretation of what has happened and why, supported by evidence.

2.3.6   Validating the findings

Once a set of preliminary findings has been consolidated, the evaluation team must proceed with their validation. The validation process unfolds as follows: (i) within the evaluation team: cross-examination by all evaluators of their respective findings; (ii) with the CO: presentation and discussion of preliminary findings during an end of field phase debriefing workshop (see section 2.4 below).

The cross-examination of findings within the evaluation team requires at least two internal team meetings during which preliminary findings and evidence are discussed among the evaluation team. The team leader, in consultation with the evaluators, must schedule internal validation meetings at the beginning of the field phase. If time and logistics permit, it is recommended that an internal validation meeting be convened halfway through the field phase in order to: (i) determine how much evidence has been gathered so far; (ii) check on progress in the establishment of findings; (iii) test preliminary findings. The second validation meeting must take place before the debriefing workshop with the CO and the members of the reference group. Other internal validation meetings can be arranged on an *ad hoc* basis.

The table below provides suggestions with a view to structuring the internal validation meeting preparing for the debriefing workshop with CO staff and members of the reference group.

Table 11   Conducting the internal validation meeting preceding the debriefing workshop

Preparatory work
Every evaluation team member should prepare a preliminary findings summary table describing the preliminary findings and recommendations, the evidence that the findings are based upon, and the sources of the evidence (see Tool 14 in Part 3 of the handbook) ➔*Tip: do not underestimate this task, it is highly time-consuming: evaluation team members should be given one (at least) to two full days to carry out this exercise. This should be reflected in the CPE agenda (see tool 7)*
Duration
At least one full day should be allocated to the internal team discussion.
Roles and responsibilities
The team leader must act as a facilitator. A member of the team should be tasked with compiling the agreed preliminary findings and recommendations in a PowerPoint slide presentation.
Agenda / steps in the sequence of the session
1. Individual presentations
Individual presentations may be organized by area/unit of analysis. For example: (1) gender quality; (2) population and development; (3) reproductive health; (4) strategic positioning – strategic alignment / corporate dimension; (5) strategic positioning – strategic alignment / systemic dimension; (6) strategic positioning – responsiveness; (7) strategic positioning – added value, and (8) assessment of M&E system. Evaluators should present findings, judgments (answers to evaluation questions) and preliminary recommendations for the areas of analysis they are responsible for, according to the agreed sequence and using the preliminary findings summary table or a similar tool.
2.a Validation
After each individual presentation, there should be a joint assessment of: (i) the quality of supporting evidences; (ii) the rigor of the reasoning; (iii) the resulting overall validity of findings.
2.b Complementary inputs
During the individual presentations, the other evaluators should, whenever relevant, provide the presenter with complementary evidence and/or findings they have gathered.
3. Consolidation
Agree upon and consolidate findings, formulate preliminary answers to the evaluation questions and preliminary recommendations.
4. Identify issues to be discussed with the CO
During the internal meeting, the evaluation team should identify and select specific issues or aspects that should be discussed with the country office. Such aspects could include controversial findings and the feasibility of some preliminary recommendations.
Output
A PowerPoint presentation of the preliminary findings and recommendations: (i) by programmatic area; (ii) on the CO strategic positioning and (iii) the country office M&E system (if assessed as part of the CPE; see section on optional M&E assessment).

2.3.7   From findings to answers to evaluation questions

At times, the answer to an evaluation question can be derived directly from a single finding. However, in most cases, answers to evaluation questions result from a combination of findings.

Examples:

- The evaluation question on sustainability "*Were activities and outputs designed taking into account a handover to local partners?*" could be answered simply on the basis of **one finding:** "handover to local partners was not incorporated in the design of any of the interventions"

- An evaluation question on efficiency such as "*To what extent were activities managed in a manner to ensure the delivery of high quality outputs?*" will require a reasoned line of argument building upon a **combination of findings**. In this case the answer to the evaluation question should be based on such findings as: *provision of equipment and medicines was timely* (this finding is "positive")*; the training sessions were delivered late, thus affecting the overall quality of the outputs* (this finding is "negative")*; district staff were not acquainted with the use of the new equipment in time for service delivery* (this finding is "negative").

The steps depicted in figure 16 will often not be as clear-cut as in the examples above, and the difference between an evidence and a finding will be tenuous at times. This, however, should not be seen as a problem. What is important is that evaluators support answers to evaluation questions with evidence, and that they are confident about the logical sequence that links evidence to findings, and ultimately to the answer to an evaluation question. In this perspective, it is highly advisable that evaluators use the *Preliminary findings summary table* (Tool 14).

| ☞ | Tool 14 in *Tools for data analysis* presents the preliminary findings summary table, a matrix that links, for each evaluation question, preliminary findings with their supporting evidence and, ultimately, with the main sources of evidence. |

➔ *Tip: do not confuse evidences with quantitative data. Evidences may be based on quantitative data such as the percentage of skilled birth attendance at delivery, but also on qualitative data such as opinions and perceptions.*

2.4 Presenting preliminary results

The preliminary results of the CPE must be presented to the country office and the reference group during a debriefing workshop on the last day of the field phase. The evaluators will use a PowerPoint presentation synthesising the results of the final internal validation meeting.

The following table presents an outline for the presentation.

Table 12   Outline of the PowerPoint presentation for the debriefing workshop

Suggested length	Description of each part / section of the PowerPoint presentation
One slide	Objectives of the debriefing workshop -- i.e. share and validate the findings of the evaluation and discuss the feasibility of the preliminary recommendations.
One slide	The objectives of the country programme evaluation.
One to three slides	Description of the CPE methodology: process, scope, evaluation criteria and evaluation questions, sampling methods for the selection of stakeholders.
One to two slides	Conduct of the field phase: field visits undertaken; number of stakeholders met by type of institution / geographical distribution.
14 to 16 slides: 1 to 2 per mandate area; 1 to 2 for each element of the strategic positioning (and 1 to 2 for M&E system if assessed)	Present **preliminary findings** for each of the following: (1) Reproductive health; (2) population and development; (3) gender quality; (4) strategic positioning – strategic alignment / corporate dimension; (5) strategic positioning – strategic alignment / systemic dimension; (6) strategic positioning – responsiveness; (7) strategic positioning – added value, and (8) assessment of M&E system (if assessed).
Slides for 10 to 15 recommendations	**Preliminary recommendations**. Usually there is one slide devoted to recommendations under each programmatic area, one or two slides for strategic positioning and one slide for preliminary recommendations associated to the assessment of the M&E system (if assessed).
Two to three slides	Presentation of the next phases: reporting phase (including the quality assessment of the final report) and dissemination / follow-up phase (including the management response).

Participants to the workshops should ideally include:

- All the members of the evaluation team;
- Country office staff: senior management, heads of the programmatic areas, heads of finance and administration, the M&E focal point / officer, programme officers, and technical and administrative support staff;
- The members of the Reference Group;
- Representatives of the relevant UNFPA regional office.

The sequence of the workshop will follow the PowerPoint structure, with a question/answer session after the presentation of each section (as defined in the above table).

➔ *Tip: it is preferable that every evaluation team member presents the areas of analysis s/he is responsible for. Avoid the situation in which the team leader delivers the entire presentation.*

During the discussion with CO staff and reference group members, evaluators should pay special attention to problems regarding data accuracy and information gaps.

It is advisable that the team of evaluators convene in a **wrap-up meeting** after the debriefing workshop. This meeting, led by the team leader, should cover, at least, the following items:

- Reactions of the participants in the debriefing workshop. In particular, discuss the weaknesses identified by CO staff and/or reference group members in the preliminary findings and recommendations. Decide how to address comments made -- e.g. disregard the finding, reformulate the finding or recommendation, etc.

- Allocate the drafting of chapters and sections of the final report among evaluation team members. This should also include responsibilities with regard to the annexes.

- Agree on the deadlines and obtain firm commitment from all regarding: (i) deliverables by each evaluator, (ii) consolidation by team leader, (iii) submission of the draft final report to the **evaluation manager** for distribution to the CO and members of the reference group; (iv) receiving comments from the reference group; (v) revising and drafting the final version of the evaluation report.

Assessing the country office monitoring and evaluation system

Optional guide
Presents the approach for a complementary assessment of the monitoring and evaluation system of the country office

2.5   Assessing the country office monitoring and evaluation system

This section offers some theoretical background on what are the main features of a fully-operational monitoring and evaluation (M&E) system. It also provides guidance to the evaluators throughout the process of assessing the M&E system.

Box 17   Why should a CPE include an assessment of the country office M&E system?
An effective M&E system is both a cornerstone and a precondition for fulfilling UNFPA corporate strategy towards: - strengthening results-based management,   - putting in place a culture of measurement of results,   - using evidence of results to inform decision-making,   - improving measurability to ensure accountability of results, and   - strengthening national M&E systems.[31]   Yet, a number of assessments have shown that the M&E system currently in place in country offices is weak, is largely focused on the budget expenditures and is mostly activity-oriented.

The evaluation team member responsible for the assessment of the M&E system shall:

- Provide a snapshot of the type of M&E system in place including a brief description of the features of the system;

- Assess the quality of the M&E system and its features (tool 15); in particular, the quality of the CPAP indicators (Tool 16); as the backbone for result-oriented monitoring;

- Assess UNFPA support to capacity building and/or strengthening of the national M&E systems and management for results;

- Provide a series of practical and actionable recommendations on how to improve the M&E system in the country office.

Box 18   Purpose for the inclusion of this component in a CPE:
Contribute to a corporate-level analysis of the situation of M&E systems in UNFPA as a whole, and most importantly, to contribute to the improvement of such systems.

2.5.1 Assessing the country office monitoring and evaluation system as compared to other CPE components

The methodology to collect and analyse data presented in this handbook applies to the three CPE components: analysis of programmatic areas, analysis of strategic positioning, and assessment of the country office M&E system. However, the M&E component presents a number of distinct features, such as:

1. The assessment of the CO M&E system is not based upon a number of specific evaluation questions and related evaluation criteria. For this reason, the **evaluation manager** and the

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[31] See paragraphs 19, 27, 32, 87, 88 and 199 of the Strategic Plan 2008-2011; paragraph 40 of the Midterm Review of the UNFPA Strategic Plan 2008-2013; and paragraphs 1,2,5, 6 (principles 3 and 4), 17 and 18 of the UNFPA Results Based Management Policy 2010.

evaluators will not use the evaluation matrix. Instead, the assessment of the M&E system will be conducted against a quality framework included in tools 15 and 16.

2. For the data collection and analysis methods, the evaluators will resort mostly to group discussions and will analyse very specific programming and implementation documents.

3. As illustrated by the crosscutting shape of the blue ellipse in the figure below, the assessment of the CO M&E system is **transversal** to the country programme, the system framework of UNFPA, and the country context.

Figure 17 The three CPE components
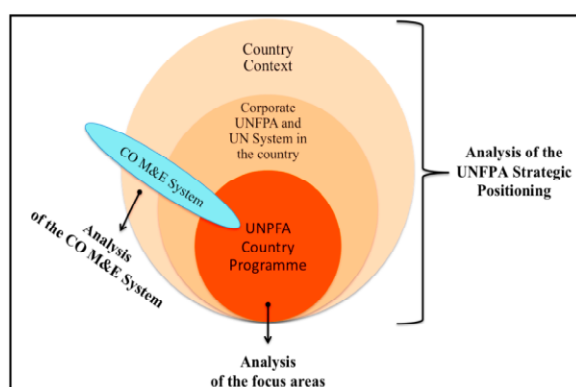
The M&E system aims at measuring progress towards inputs, activities, outputs and outcomes as planned in the country programme. The monitoring and evaluation of outputs and outcomes is also directly associated with the country programme contribution to the UNDAF. Finally, the M&E system also encompasses the monitoring of risks and assumptions which directly relate to the country context.

2.5.2 The components of a monitoring and evaluation system

A country office M&E system has four components: monitoring of inputs and activities; monitoring of outputs and outcomes; monitoring of risks and assumptions; and evaluation. Although the monitoring and the evaluation functions are closely related within the country office system, they are of a different nature and should be assessed separately.

Figure 18 The components of the M&E system
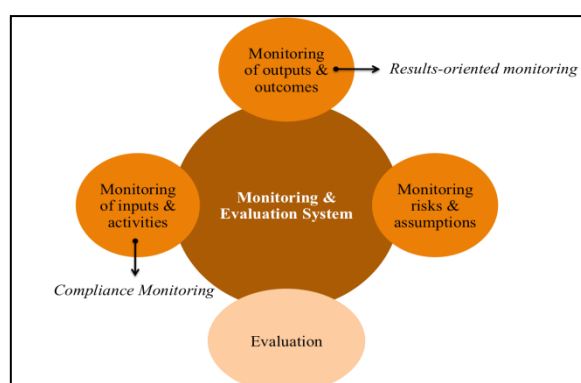
The **monitoring of inputs and activities** refers to the day-to-day monitoring tasks carried out by programme officers at CO, in particular: budgets and expenditure follow-up; supervision of activities implementation. Actions undertaken under this component correspond to *compliance monitoring*, i.e., monitoring tasks performed by all UNFPA staff as an integral part of their job description.

The **monitoring of outputs and outcomes is** closely associated to results-oriented monitoring, which, in turn, is an essential part of results-based management. The assessment of the CO M&E system will place special emphasis on this component in view of its high strategic relevance within the UNFPA corporate framework.[32]

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[32] See paragraphs 27, 87, and 88 of the UNFPA Strategic Plan and UNFPA Results Based Management Policy, 2010.

The **monitoring of risks and assumptions** is another important level to be covered. Following the current Strategic Plan, the improvement of risks management is one of the elements to take into account to strengthen results based management.[33]

The **evaluation** component corresponds to the evaluation function within the country office and encompasses the process of planning, conducting and using the results of evaluation exercises.

2.5.3 Data collection methods and sources of data

For the assessment of the CO M&E system, the main data collection methods will consist in: documentation review, semi-structured interviews and group discussions.

Documentation review
Monitoring inputs and activities
Reference documents when assessing the monitoring of inputs and activities will mostly consist of the templates and forms included in the UNFPA Policies and Procedures Manual (2004, and December 2010).[34] The most relevant documents to assess the quality of the monitoring of activities are Field Visit Monitoring Reports (FVMR) and Annual Work Plan Monitoring Tools (AWMP). Data sources related to the monitoring of inputs include financial reporting templates which can be found in Atlas

Monitoring outputs and outcomes
The main reference documents required to assess the monitoring of outputs and outcomes are summarised in the following table.

Table 13   Main documents related to outputs and outcomes monitoring

Document	What it is / where can you find it
CPAP results and resources framework	It contains the country programme outputs and outcomes listed by programmatic area with associated indicators. It is an annex to the CPAP.
M&E plan	It includes the CPAP M&E framework. At times it also contains the CPAP M&E calendar for the programming cycle with the roles and functions of the different actors (i.e., implementing partners, UNFPA staff, UNFPA headquarters, CPAP national coordination authority).
CPAP M&E framework[35]	This document, based on the CPAP results and resources framework, includes the sources of verification for each indicator. It also allow for reporting on achievements against baselines and targets both by indicator and by year. It is included in the M&E plan. ➔ *Tip: this is the reference document when applying Tool 16 to assess the quality of indicators.*
CPAP M&E calendar	It presents the main M&E activities, events and milestones by year throughout the programming cycle. It is generally included in the M&E plan.

Monitoring risks and assumptions
There are no standard templates for the monitoring of risks and assumptions. Evaluators should enquire whether there are any documentary sources such as a risk management matrix, a risk management plan or a risk management strategy currently in used within the country office. Minutes of Senior Management Team / Country Management Team meetings may include considerations on strategic issues related to risks and assumptions.

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[33] See paragraph 87 of the UNFPA Strategic Plan.

[34] See Country Programme Monitoring and Evaluation in the Manual.

[35] It is also referred to as CPAP planning and tracking tool.

Evaluation
The main sources of documentation to assess the quality of the evaluation function will be the evaluation reports, the evaluation plan (if such a plan exists) and the CPAP M&E calendar, which should include, at minima, the evaluations to be conducted throughout the programming period.
➔ *Tip: do not rely excessively on the study of documentation when assessing and country office M&E system. Indeed, most of the data and information on some key features of the M&E system such as information management systems, human resources, operational indicators, cannot be readily found within documents. Instead, the evaluators should devote much time to interviewing the relevant actors.*

Interviews and group discussions
The **evaluation manager** should provide assistance to the evaluator to identify the stakeholders to be interviewed. They are: (i) UNFPA staff directly and indirectly involved with the M&E system; (ii) those benefiting from the support by the country office in view of building and/or strengthening the national monitoring and evaluation system:

- Country office focal point / M&E officer
- Country office programme officers
- Regional office monitoring and evaluation adviser
- The national authority in charge of the monitoring CPAP progress
- Implementing partners
- Counterparts benefiting from capacity development related activities funded by UNFPA (e.g., training sessions or technical assistance on monitoring and/or evaluation).

Group discussions with the country office programme officers
One of the core aspects to analyse within the assessment of the country office M&E system is the quality of the CPAP indicators.

This analysis looks at how well indicators are formulated and how operational and useful they are in reality. Programme officers are a key source of information and should be invited by the evaluators to participate in group discussions. Such working sessions will be useful to gather evidence on the quality of indicators as well as to gather information on other aspects of the M&E system in place in the country office and how it works in practice.

It is advisable to organise separate group discussions for each programmatic area since discussing indicators imply a certain level of technicalities which is specific to each area (SRH, Population and development, gender equality/women empowerment). The country office M&E officer or focal point should attend each session.

During the discussion, the evaluator should take the group through the CPAP M&E framework indicators (for the specific programmatic area) and jointly assess the quality of each indicator against the criteria as presented in the CPAP indicators quality assessment grid (tool 16). The M&E evaluator will use the results of the discussion as an input to fill in the quality assessment grid.[36]

In the course of the discussion, the M&E evaluator should avoid being "too technical" since the programme officers might not have sufficient background on M&E terminology.
In order to avoid using M&E jargon, the Table 14 presents options for conducting the group discussions.

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[36] There will be other inputs such as the opinions of other members of the evaluation team and the appraisal of the M&E evaluator on the basis of her/his expertise.

Table 14   Suggestions to avoid the use of jargon when conducting group discussions

Technical question	Instead the evaluator should ask…
Is the indicator clearly formulated?	What does this indicator mean? Does it mean the same to all of you?
➔ *Tip: take the indicator and ask programme officers about aspects of the indicator as currently formulated. If they do not agree on what it means (i.e. if there are different interpretations or if some participant/s do not understand exactly what the indicator means) it is an indication that the indicator may not be clearly formulated.*	
Is the indicator relevant enough?	Is the indicator directly related to the output / outcome? Does it give you information on the degree of achievement of the output/outcome?
➔ *Tip: an indicator could be relevant at the time of its formulation yet lose its relevance due to changes in the programme or in the context. Ask programme officers if the indicator gives them useful information today (not at the time of its formulation).*	
Is the indicator specific enough?	Does the indicator provide you with precise and concise information on the degree of achievement of the output/outcome?
➔ *Tip: the opposite of a specific indicator is and indicator which provides information beyond the output/outcome it is meant to measure. Check with the programme officers if the indicator also provides information on other outputs or outcomes; if this is the case, then the indicator is not specific enough.*	
To what extent is the indicator operational?	Could you use this indicator today to measure the extent to which the output/outcomes have been achieved?
➔ *Tip: there are five elements that make an indicator operational (see tool 16). If you want to know quickly whether the indicator is, overall, operational, ask the programme officers whether it can be measured. Measurability is the precondition for an indicator to be operational.*	
Are there means of verification associated to the indicator?	Where / what do you look at to know the value of the indicator at a given point in time?
➔ *Tip: Once identified, do not forget to ask the programme officers whether they do have access to that source/s of information.. If they do not have access to it/tem, then the means of verification are "theoretical means" and the indicator will not be operational.*	

➔ ***Tip****: it is recommended that the evaluator in charge of the M&E system invites other evaluation team members to group discussions related to the programmatic area they are in charge of within the country programme evaluation. Their in-depth knowledge of the topic (gender, population and development, reproductive health) will be a useful contribution to the discussion and will help the M&E evaluator to understand technical aspects related to the indicators that s/he may otherwise omit.*

2.5.4 Data analysis

The evaluator in charge of the assessment of the country office M&E system should focus his/her analysis on: (i) the quality of the system, (ii) the quality of the indicators and (iii) the country office support to the national M&E systems. In addition, s/he should provide a series of practical and actionable recommendations on how to improve the country office M&E system.

1) To assess the degree of development and quality of the country office M&E system - and its four components (see above), the evaluator may use the M&E system assessment grid (tool 15).

This tool guides the evaluator through the main features of the system to be assessed. The answers to the questions proposed in tool 15 should allow the evaluator to present a snapshot of: (i) the type of M&E system in place in the country office; (ii) the degree of development of the four components of the system, including their quality and their main weaknesses.

☞	Tool 15 *M&E system assessment grid* guides the evaluator through the different aspects to be analysed when assessing the CO M&E system. The tool incorporates a scoring system and a narrative column to gather the main findings.

➔ *Reminder: when organising your schedule, note that the most important component of the M&E system to be assessed is* the monitoring of outputs and outcomes, *i.e., the* results-oriented monitoring *part of the system*. Meanwhile the evaluator should only check whether *there are major problems and room for improvement for the monitoring of inputs and activities (compliance monitoring) (overall, monitoring of inputs and activities is well developed in UNFPA country offices).*

2) To assess the quality of the indicators in the CPAP M&E framework, the evaluator may use the *CPAP indicators quality assessment grid* presented in tool 16.

☞	Tool 16 includes the *CPAP indicators quality assessment grid*, an instrument enabling the assessment of the quality of output and outcomes indicators against a set of eight criteria and sub-criteria.

This tool is designed to carry out an in-depth and detailed assessment of output and outcomes indicators. The evaluator may simplify it and adapt it according to the specific context of the CPE, or even choose to use any other tool s/he might deem more relevant and a better fit for the purpose. However, s/he must not exclude the *analysis of the quality* of output and outcomes indicators, as they are the backbone for evidence-based result-oriented monitoring.

Box 19	Why is it important to assess the quality of the indicators?

Indicators play a crucial role in the UNFPA framework:

(1) Measuring the degree of achievement of outputs and outcomes *on the basis of evidence* is a corporate requirement. Indeed, the Strategic Plan stipulates that *UNFPA-supported programmes must produce a demonstrable change and have an impact within the environment in which they operate.*[37] The UNFPA Results Based Management Policy requires that staff "*gather and analyze credible information on performance through credibly measuring results*" in order to, "(*assess) the contribution and influence made by the programmes and management activities to the observed results*", and "(*confirm) the validity of the results measured, providing sufficient evidence*".[38] The policy also requires UNFPA staff to "(*gather) evidence and information on key outputs, outcomes and goals, and [to] assess this information against the defined targets.*"[39]

(2) Indicators are the necessary starting point to establish accountability to donors and government counterparts as well as to jointly assess with them the quality and effectiveness of UNFPA support.

(3) Beyond corporate requirements, the use of operational indicators is crucial to enable a country office to analyse – on the basis of evidence – "what works" and "what does not work."

Overall, without indicators there is no results-based management, nor the possibility to have an objective debate on the degree of achievement of outputs and outcomes.

3) To assess UNFPA support to build and/or strengthen the national M&E systems and the capacity of the national partner to manage for results.

UNFPA corporate requirements go beyond the in-house application of results-based management and the implementation of in-house monitoring system(s). The Strategic Plan also seeks that "*UNFPA plays a central role in strengthening national monitoring systems to help Governments to keep track of progress on ICPD implementation.*" The Strategic Plan explicitly calls *"for the strengthening of national systems, accountability, harmonization and management for results."*[40] The M&E system assessment grid (tool 15) addresses a number of these issues.

There are two ways in which a country office can contribute to strengthening the national M&E system. The country office can support specific capacity development actions such as training sessions or technical assistance (through the recruitment of external consultants). The country office can also involve relevant national counterparts[41] in the implementation and follow up of the CPAP M&E framework. The evaluators' assessment should focus mainly on the latter since the transferring capacity to national counterparts on result-oriented monitoring and management for results inevitably poses the question of the quality and effectiveness of the M&E system in place in the country office and notably its ability to go beyond input and activities and measure the achievement of outputs/outcomes.

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[37] See paragraph 88 of the UNFPA Strategic Plan 2008-2013.

[38] See paragraph 6 (Guiding principles) of the UNFPA Results Based Management Policy, 2010.

[39] See paragraph 17 (Monitored implementation) of the Policy.

[40] See paragraphs 32 and 199 of the UNFPA Strategic Plan 2008-2013.

[41] These will generally include: (i) the Ministry of Planning or a similar institution appointed as national coordination body for the implementation of the CPAP; (ii) and at a lower level, it will include the implementing partners responsible for producing the intended outputs.

4) Provide a series of practical and actionable recommendations on how to improve the country office M&E system.

The scoring system (+, -,○) in the M&E assessment grid allows for a rapid identification of the features and aspects of the M&E system that need improvement. However, the assessment of the country office M&E system should not be limited to the identification of weaknesses. The evaluator must a go a step further and propose actions for improvement.

The M&E evaluator will present these actions in the plenary debriefing at the end of the field work. Once his/her recommendations for the improvement of the M&E system have been validated, the team leader shall include the recommendations in the final report. The M&E recommendations can also lead to a specific action plan to provide more detailed guidance to the CO.

Choosing to draw up an M&E action plan depends on two factors:

- On the number of M&E specific recommendations: if the recommendations are many it will be difficult to include them all in the final report.

- On the interest shown by the CO senior management, the time and resources available to drawing up an action plan. If there is an interest in the country office, then drawing up the action plan presents three advantages:
  1. it increases the likelihood that the CO takes the necessary steps to improve the quality of the M&E system;
  2. it makes it possible for evaluators in the subsequent CPE to assess progress on the improvement of the system in a more structured, systematised and detailed manner;
  3. it allows UNFPA headquarters to have an overview of the progress made towards the fulfilment of corporate M&E requirements, as well as the actions that could be taken at headquarters level to enable such improvements.

☞	See Tool 17 *Action Plan for the improvement of the M&E system* for an optional format to be used when drawing up a detail action plan for the implementation of the recommendations associated with the assessment of the CO M&E system.

The **validation and triangulation mechanisms** presented in section 1.4.3 Methods for data analysis of the handbook is also applicable to this component.

It is important that the M&E system is discussed within the team. The members of the team in charge of assessing programmatic areas are experts in their respective fields, and the M&E evaluator should make use of such expertise when assessing and validating the quality of the CPAP indicators. Similarly, evaluation team members will collect findings and evidence on the M&E system when assessing the efficiency and effectiveness criteria under the programmatic areas they are assessing. These findings and evidence should be communicated to the M&E evaluator.

If time and logistics allows, this exchange should ideally take place in the form of an internal group discussion. Some considerations are:

- The working session should ideally take place halfway through the field phase. This would increase the chances of evaluators having been in touch with functioning (or non-operational) aspects of the country office M&E system and therefore would allow the M&E evaluator to contrast preliminary findings with those of her/his colleagues.

- The M&E evaluator should enquire and discuss with her/his colleagues on the quality of the M&E system (see tool 15), and on the quality of indicators in their area of expertise. Evaluators should discuss the repercussions of inoperative features of the system, and possible short and medium-term solutions to overcome current flaws.
- Evaluators should also discuss the quality of the UNFPA support to build up and/or strengthen the national M&E system.

The **presentation of preliminary findings** in the PowerPoint presentation for the plenary debriefing can be organised in a number of ways:

- By strengths and weaknesses: using the *quality / status* column of the M&E system assessment grid (tool 15) and select features with the most prominent positive ("+") and poor ("-") scores.
- By component of the M&E system:
  - monitoring of inputs and activities;
  - monitoring of outputs and outcomes;
  - monitoring of risks and assumptions;
  - evaluation
- By features of the system: using the *features of the M&E system column* included in the M&E system assessment grid (tool 15).

Preliminary recommendations shall focus on aspects to be improved to overcome current flaws as well as on good practices requiring further attention or support. The feasibility and prioritization of the recommendations should be validated at the general debriefing workshop.

The results of the validation will lead to:

    a. the inclusion by the team leader of the recommendations on M&E in the final report and/or

    b. the drafting by the M&E evaluator of an action plan for the improvement of the country office M&E system.

☞ For an example of an assessment of a country office monitoring and evaluation system, see Bolivia Country Programme Evaluation, volume 2 - Assessment of the Bolivia country office monitoring and evaluation system

English Version -
http://www.unfpa.org/webdav/site/global/shared/documents/Evaluation_branch/Bolivia_country_programme_evaluation_partial/Volumen%202%20%20Bolivia%20CPE.pdf

Spanish Version –
http://www.unfpa.org/webdav/site/global/shared/documents/Evaluation_branch/4.%20Volumen%202%20_Bolivia%20final.pdf

PART 3

TOOLS & RESOURCES

TOOLKIT
A set of evaluation tools that evaluators can use in the design and field phases

TOOLKIT

PART 3 – TOOLS & RESOURCES

3.1 TOOLKIT

This section offers practical solutions and guidelines in the form of tools, checklists and practical tips with the objective of supporting evaluators in designing and conducting the country programme evaluation.

The toolkit is organised in four **categories of tools**:
1) Tools for structuring information
2) Tools for data collection
3) Tools for data analysis
4) Tools for assessing the country office's M&E system

There are two types of tools: **optional or obligatory**. The latter are compulsorily required in a CPE and their templates must be filled in and presented either in the design report and/or in the final report. The evaluation team will decide the use of the optional tools on the basis of the specific requirements of the evaluation.

Some tools may be designed and/or used only in the design or field phase, whereas others may be used in both. In fact, some of the tools will be drawn up during the design phase but applied while conducting the evaluation, that is, during the data collection and analysis phase.

	The plum-coloured box designates that the tool is drawn up and/or used during the **design** phase
	Dark green colour designates that the tool is drawn up and/or used during the **field** phase
	The tool is drawn up in the design phase and used in both or only in the field phase

Table 15   Summary of tools included in the toolkit

Tool	Category and name of the tool	Design Phase	Field Phase
Tools for structuring information			
Tool 1	The evaluation matrix	Obligatory	Obligatory
Tool 2	The effects diagram	Optional	
Tool 3	List of Atlas projects by CPAP output and Strategic Plan outcome	Obligatory	Optional
Tool 4	Stakeholders' mapping table	Obligatory	Optional
Tool 5	The corporate alignment matrix	Optional	
Tool 6	Evaluation questions' selection matrix	Optional	
Tool 7	The CPE agenda	Obligatory	Obligatory
Tools for data collection			
Tool 8	Checklist for preparatory tasks prior to data collection	Optional	
Tool 9	Checklist for the documents to be provided by the country office to the evaluation team	Obligatory	
Tool 10	Checklist of considerations when drafting the agenda of interviews	Optional	Optional
Tool 11	Guiding principles to develop interview guides	Optional	Optional
Tool 12	Checklist for sequencing interviews		Optional
Tool 13	Interview logbook	Optional	Optional
Tool 13 bis	Additional Tool – Practical tips to conduct interviews and focus groups	Optional	Optional
Tools for data analysis			
Tool 14	Preliminary findings summary table		Optional
Tools for assessing the country office M&E system			
Tool 15	M&E system assessment grid		Optional
Tool 16	Country programme action plan indicators quality assessment grid		Optional
Tool 17	Action plan for the improvement of the M&E system		Optional

3.1.1   Tools for structuring information

This set of tools is intended to help evaluators in the process
of structuring and organising raw information and preliminary aspects to be
addressed during the design phase. Once developed, some of these tools will
also be used during the field phase.

What is the evaluation matrix?

The evaluation matrix summarises the core aspects of the evaluation exercise by specifying what will be evaluated and how.

When to use it and why?

In the *design phase*, the matrix refines the focus of the evaluation. It reflects the process that starts with the definition of the evaluation criteria and ends with determining data requirements in terms of the sources and collection methods used to respond to the evaluation questions. The matrix specifies: the evaluation questions for each programmatic area and strategic positioning criteria; the particular issues that will be checked under each question; the "data sources" (where to look for information) that will be used to answer the questions; and the data collection methods that will be applied to retrieve the data. In short, it is a tool to help evaluators determine what type of information will be needed to answer the evaluation questions and how it will be collected. The evaluation matrix must be included in the design report as an annex.

In the *field phase*, while conducting data collection and analysis, the matrix will be used as a reference framework to check that all evaluation questions are being answered. At the end of the field phase evaluators will use the matrix to verify that enough evidence has been collected to answer all the evaluation questions. The evaluation matrix must be included in the final report as an annex.

The evaluation matrix drawn up in the design phase and included in the design report might not be the same as the one included in the final report as there may be adjustments during the field phase (see "*Adjusting and refining the evaluation matrix*" in section 2.1 of the Handbook).

How to use the evaluation matrix?

The matrix is structured into two sections that correspond to the two components of the evaluation: the analysis of the focus areas and the analysis of the strategic positioning. For the first component, the rows correspond to the three focus areas: reproductive health, gender equality and population and development. The matrix has four columns: evaluation questions; what to check; data sources and data collection methods. These are explained below.

Evaluation questions
This column will include the priority evaluation questions, that is, the questions resulting from the selection process.
What to check
This column is an interface between the evaluation question and the data sources. It narrows the evaluation question further by specifying what evaluators should focus upon and what they should check precisely when attempting to answer the question.
Data sources
This column specifies the documents and informants that will provide the data and information that the evaluators will analyse in order to answer the questions. The use of the stakeholders mapping table (Tool 4) is a good starting point to identify and pre-select key informants.
Data collection methods
This column indicates the techniques that will be used to collect data from the sources. The methods usually used in a CPE are the study of documentation, individual interviews, group discussions and focus groups. The next section, *Tools for data collection*, describes and analyses the features, advantages and disadvantages of these methods.

The evaluation matrix is organised on the basis of the evaluation criteria.[42] This layout allows for structuring the matrix in a meaningful manner by **combining cells** whenever evaluation questions, what to check, data sources or data collection methods are the same for two or more focus areas. It also incorporates a certain degree of flexibility that CPE require, given that CPE in different countries will often call for different ways of organising the information contained in the matrix. For example:

- In a particular country, evaluators may find it suitable to ask the same evaluation questions on sustainability for the three focus areas. In such cases the current layout allows for combining cells so that evaluation questions under sustainability are shared among the three focus areas.

- Even if the evaluation questions under sustainability are the same for the three focus areas, the specific issues to check for each focus area (the 'what to check' column) may be different. The layout of the matrix allows for evaluation questions to be merged while differentiating between the "what to check" column by focus area.

- Even if questions are different for each focus area, the data sources, and especially data collection methods, may be the same. The layout allows for cells to be merged when this happens.

- In some countries it may be suitable to answer the effectiveness and sustainability criteria together. The matrix layout allows that by combining the headings of both criteria in one single heading.

The standard template for the evaluation matrix can be found in Part 3 of the Handbook. The following page presents an illustrative example of how to fill in the matrix. It also contains some possible options in terms of merging cells. These examples are not exhaustive as there are many more possible combinations than the ones presented below. Similarly, note that evaluation matrices will often be much larger[43] than in the example, which is intended for illustrative purposes only. The aim of this example is to show the internal logic of the matrix (between columns; and between columns and rows) rather than presenting a fully comprehensive evaluation matrix.

Evaluators and the **evaluation manager** should note that the assessment of the **country office M&E system** will not be conducted using the evaluation criteria and therefore there are no questions related to this component in the evaluation matrix. The assessment of the country office M&E system will instead be made against the set of aspects included in the M&E system assessment grid, presented in tool 15.

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[42] An alternative would be to organize it by putting the three programmatic areas as the central headings of the matrix; but this would not make it possible to combine cells.
[43] They will include more evaluation questions, more "what to check aspects", more data sources and more data collection methods.

CRITERIA	EVALUATION QUESTIONS	WHAT TO CHECK	DATA SOURCES	DATA COLLECTION METHODS
COMPONENT 1: ANALYSIS BY FOCUS AREAS				
RELEVANCE				
Reproductive Health	To what extent are the objectives of the reproductive health focus area of the 2008-2012 CPAP adapted to the needs of the population?	Check whether reproductive health services for refugee populations are incorporated in UNFPA supported/funded activities, plans, and programmes; and the geographical consistency of the programme vis-à-vis the needs and problems of the target groups.	Target beneficiary groups. Local health authorities' staff Annual Work Plans Contingency plan for the refugees in the Northern Region. National Family Health Survey	Study of relevant documentation
	To what extent are the objectives of the reproductive health focus area component in line with the priorities of the national policies and programmes?	Check whether UNFPA programme is in line with the national reproductive health strategy and programmes; and especially, whether the current UNFPA strategy in terms of family planning is appropriate vis-à-vis the new national reproductive health strategy.	Target beneficiary groups. Local health authorities' staff National Health Policy and Reproductive Health Strategy 2005-2015 Personnel at the Ministry of Public Health Laws and by-laws Sector programme documents	Comparative analysis of programming documents Comparative analysis National Family Health Survey – country programme objectives
Gender Equality	To what extent are the intervention strategies of the gender equality focus area of the 2008-2012 CPAP adapted to the country's ethnic and cultural diversity?	Check whether gender equality objectives and approaches of the current CPAP take account of regional diversity in terms of ethnicity and culture. Check whether UNFPA country programme objectives correspond to need according to the National Family Health Survey.	Target beneficiary groups. Local authority personnel. National Family Health Survey Ministry of indigenous communities Sector programme documents Annual Work Plans	Semi-structured interviews
	To what extent are the objectives of the gender equality focus area component in line with the priorities of the national and international policy frameworks?	Check whether the objectives of International Conference on Women, CEDAW, UNDAF and the Strategic Plan of UNFPA are reflected in UNFPA programming documents.	ICPD and CEDAW progress reports UN agencies locally involved in reproductive health issues (UNFPA, WHO, UN Women, UNDP). National Health Policy and Health Sector Strategy 2005-2015 Personnel at the Ministry of Public Health and Ministry of Gender Laws and by-laws	Group discussions with final beneficiaries
Population & Development	To what extent are the objectives of the CPAP aligned to the objectives in the Growth and Employment Strategy Paper documents and responding to the national priorities?	Check to what extent the priority areas of the Growth and Employment Strategy Paper have been included in CPAP objectives and interventions.	Growth and Employment Strategy Paper National Development Strategy Annual Work Plans Personnel at the Ministry of Planning and Development and at the Ministry of Social Affairs Civil society organizations Laws and by-laws	Study of relevant documentation Comparative analysis between policy and programming documents
	To which extent CPAP planned interventions are appropriately designed to reach the goals of the National Development Plan in terms of better service provision to citizens through evidence-based planning of policies?	Check the balance between policy-level and project-level initiatives. Check whether the three pilot interventions in the CPAP have been appropriately designed for scale-up and replication.		Semi-structured interviews Group discussions with civil society organisations
EFFECTIVENESS				
Reproductive	To what extent were the excepted outputs of	Check degree of completion of outputs planned in the	CPAP M&E Framework indicators	

CRITERIA	EVALUATION QUESTIONS	WHAT TO CHECK	DATA SOURCES	DATA COLLECTION METHODS
COMPONENT 1: ANALYSIS BY FOCUS AREAS				
Health	the CPAP achieved (both in terms of quantity and quality)? To what extent were the targeted groups of beneficiaries reached by UNFPA support?	CPAP against indicators. Check whether there is evidence that completed outputs are contributed to planned outcomes. Check especially whether there have been significant changes in marginalised populations i.e. poor women in both rural and urban settings, women affected by HIV/AIDS, young girls.	CPAP M&E Plan progress reports National Statistics Bureau figures Demographic Health Survey data for 2010 Personnel at the Ministry of Health at central, provincial at district levels. Progress reports of the Ministry of Health Beneficiary groups / communities UNDAF progress reports / mid-term review Implementing partners Quarterly and annual implementation progress reports UNICEF annual reports and evaluations UNFPA country office staff Country Office Annual Reports Previous evaluations	Study of documentation Comparative analyses of the value of CPAP indicators (targets versus actual values)
Gender Equality	Are these beneficiaries taking advantage of benefits from the intervention supported? Have there been any unintended effects, positive or negative, direct or indirect?	Check degree of completion of outputs planned in the CPAP against indicators. Check especially the degree of geographical and demographic coverage of gender activities i.e. whether all provinces and health districts targeted by the interventions have effectively and equally benefitted from the interventions. Check whether the fact that UNFPA is the only agency operating in the Southern region has led to any intended displacement effects e.g. other agencies deciding not to intervene in the area.	CPAP M&E Framework indicators CPAP M&E Plan progress reports National Statistics Bureau figures Beneficiary groups / communities Implementing partners Quarterly and annual implementation progress reports. United Nations Development Fund for Women (UNIFEM) reports and evaluations UNFPA country office staff Country Office Annual Reports Previous evaluations	Semi-structured interviews
Population & Development		Check degree of completion of outputs planned in the CPAP against indicators. Check whether the achievement of the outputs at national level is followed by an effective use at provincial level.	CPAP M&E Framework indicators CPAP M&E Plan progress reports Implementing partners Quarterly and annual implementation progress reports. Personnel at the Ministry of Planning and Development at central and provincial levels. UNFPA country office staff Country Office Annual Reports Previous evaluations	Group discussions to asses the quality of the outputs
EFFICIENCY				
Reproductive Health Gender Equality	To what extent did the intervention mechanisms (financing instruments, administrative regulatory framework, staff, timing and procedures) foster or hinder the achievement of the programme outputs?	Check whether administrative and financial procedures allow for smooth, accountable and responsive management of financial and human resources. Check whether there have been deviations to the planned budgets in all areas, and whether workflows	Atlas records Country office information management systems Annual Work Plans Country Office Standard Progress Reports	Study of documentation

CRITERIA	EVALUATION QUESTIONS	WHAT TO CHECK	DATA SOURCES	DATA COLLECTION METHODS
COMPONENT 1: ANALYSIS BY FOCUS AREAS				
Population & Development	To what extent were activities managed in a manner to ensure the delivery of quality outputs?	have been smooth or whether there have been bottlenecks. Analyse repercussions on activities and outputs. Check in particular the role and contribution of soft-activities in producing the outputs. Check deviations from planned activities (newly added activities, cancelled activities) and their consequences on the quantity and quality of the outputs.	(SPR) Implementing partner quarterly and annual progress reports Donors (providing funding to UNFPA country office) Implementing partners Beneficiary groups/communities UNFPA country office staff	Comparative analyses of planned and actual expenditure and activities Semi-structured interviews
SUSTAINABILITY				
Reproductive Health	To what extent are the benefits likely to continue beyond program termination?	Check in particular to what extent the government and implementing partners have the financial means for continued support in maintenance of facilities, procurement of medicines and conducting follow-through refresher training sessions. Assess whether UNFPA has taken any mitigating steps and whether there might be problems in this regard.	Beneficiary groups / communities Line ministries' personnel Provincial and local authorities Implementing partners UNFPA country office staff	Study of documentation Semi-structured interviews
Gender Equality	Were the activities and outputs designed taking into account a handover to local partners? Do interventions in the focus area incorporate exit strategies?	Check if the current changes in the legislative framework for gender (Gender Act) will have any implications in terms of sustainability, and assess what UNFPA is doing to offset potential adverse consequences in this regard. Assess in particular whether factors ensuring ownership were factored in the design of interventions in the context of the country's vast ethnic diversity.	CPAP Annual Work Plans Previous evaluations	Group discussions with target beneficiaries and local authorities
Population & Development	To which extent has the UNFPA been able to support its partners and the beneficiaries in developing capacities that ensure the durability of outputs, and eventually outcomes?	Check what measures and coping strategies have been taken to minimise the adverse effects of the country's traditional high staff turnover in the Ministry of Planning and Development and provincial authorities.		
COMPONENT 2: ANALYSIS OF THE STRATEGIC POSITIONING				
STRATEGIC ALIGNMENT				
Corporate dimension	To what extent is the implementation of the country programme aligned with UNFPA Strategic Plan dimensions? (And in particular with special attention to disadvantaged and vulnerable groups and the promotion of south-south cooperation?	Check whether the country office prioritised intervention strategies targeted at the most *vulnerable, disadvantages*, marginalised and excluded population groups in line with the stipulations of the UNFPA Strategic Plan? If not, why? Check whether support of south-south cooperation is done in a rather ad-hoc manner or through the enhanced use of local capacities and as a means to share best practices. Also check whether south-south cooperation related indicators are included in the CPAP results' framework	CPAP CPD UNFPA Strategic Plan All the information collected when assessing the effectiveness criterion Ministry of External Relations	Study of documentation Semi-structured interviews

CRITERIA	EVALUATION QUESTIONS	WHAT TO CHECK	DATA SOURCES	DATA COLLECTION METHODS
COMPONENT 1: ANALYSIS BY FOCUS AREAS				
		or any other management tool.		
Systemic dimension[44]	To what extent is the country programme, as currently implemented, in line with the UNDAF? Are there any mismatches? If so, what measures have been adopted to reverse the situation? To what extent is the UNFPA CO coordinating with other UN agencies in the country, particularly in the event of potential overlaps?	Check whether the CPAP is in line with the UNDAF and also whether UNDAF fully reflect the interests, priorities and mandate of the UNFPA in the country If any aspects have not been included, find out the reasons why. Check what are the main coordination mechanisms and their quality. In the event of inadequate coordination mechanisms, check the implications for UNFPA strategic positioning.	UNDAF, UNDAF mid-term review CPD, CPAP AWP Resident Coordinator Resident Coordinator Annual Report UN organisations: UNICEF, UN Women, WHO, UNAIDS and UNDP. Donors Line Ministries	Study of documentation Semi-structured interviews Focus group with representatives of UNICEF, UN Women, WHO, UNAIDS and UNDP.
RESPONSIVENESS				
	To what extent has the CO been able to respond to changes in national needs and priorities or to shifts caused by crisis or major political changes and to specific ad-hoc urgent requests of partner country counterparts? What was the quality of the response? Has the response capacity of the country office experienced any repercussions in terms of major deviations in planned resource allocations and in terms of maintaining the coherence of the country programme as set forth in the then CPAP?	Check in particular the speed and timeliness of the response. Check whether the scale of the response was adequate in relation to the magnitude of the demands. Check especially the balance between short-term responsiveness and long-term development objectives embedded in UNFPA corporate mandate: has responsiveness implied deviations to the UNFPA mandate? Check the degree of flexibility in redirecting funds and adapting objectives and interventions in light of urgent requests.	Beneficiary groups/communities Senior management in line ministries and national government counterparts Implementing partners Donors Other UN organisations	Semi-structured interview Focus group
ADDED VALUE				
	What is the added value of UNFPA in the development partners' country context as perceived by national stakeholders? What are the main UNFPA comparative strengths in the country – particularly in comparison to other UN agencies? Are they a result of UNFPA corporate features or are they explained by the specific features of the CO? Has UNFPA had any intended substitution or displacement effects at national, provincial or local level? If so, what is the magnitude of such effect and what are their repercussions?	In case the added value is not tangible or recognized, find out the reasons why. In case there is a tangible added value, examine the main UNFPA comparative strengths in the country – particularly in comparison to other United Nations organisations, and find out whether they are due to UNFPA corporate features or are explained by specific aptitudes of the country office. Check whether there is evidence of possible substitution or displacements effects on the private sector, civil society organisations, academia, specific government bodies and other development partners in the country, including other United Nations organisations.	Beneficiary groups/communities Senior management in line ministries and national government counterparts Implementing partners Donors Other United Nations organisations	Semi-structured interview Focus group

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[44] Optional, depending on whether there are enough resources (man-days) to undertake this assessment.

Optional

What is the effects diagram?

An effects diagram is a tree diagram that provides an overview of the causal links and contribution relationships between the outputs and outcomes of the CPAP, the outcomes of the Strategic Plan, the outcomes of the UNDAF, and the Millennium Development Goals (MDG). Drawing an effects diagram is not compulsory in a CPE; it is an optional tool that, in a snapshot, facilitates the understanding of the logic of effects. Additionally, it may help evaluators understand whether the outputs of the CPAP are coherent with the outcomes of the UNFPA Strategic Plan and aligned with the objectives of the UNDAF in the country. The diagram depicts the higher-level effects framework that the country programme is inserted in and illustrates how the country programme is linked to its broader strategic framework.

It is worth noting that the effects diagram provides a partial view of the overall country programme intervention logic, as it focuses on the chain of effects i.e. the relationship between outcomes at different levels as well as the contribution of outputs to outcomes. It does not illustrate the intervention logic at the level of inputs and activities or the links between activities and outputs.

When to use it?

During the design phase when examining and understanding the UNFPA strategic response.

Why use the effects diagram?

- It allows clear visualisation of the strategic framework at the effects level.

- It is useful in evaluations in which analysing the strategic alignment is a priority.

Strategic alignment has two dimensions, the **corporate** dimension, which relates to the alignment of the country programme to the Strategic Plan, and the **systemic** dimension, which looks at alignment between the country programme and the UNDAF.

The corporate dimension usually addresses the alignment with the principles and corporate directives set out in the Strategic Plan, and covers a wide range of areas. It can also include examining the extent to which the country programme outcomes are aligned to the Strategic Plan, which, by definition, they should be linked to.

Constructing the effects diagram is a time-consuming exercise. Therefore evaluators should consider carefully what would be the added value and the actual use of the effects diagram before starting the process of producing one.

How to construct the effects diagram?

The construction of the effects diagram for a country programme evaluation involves four steps:

1) Consultation of documents

Country programming and strategy documents are reviewed to establish how the country programme contributes and is linked to the UNDAF, to the 13 UNFPA Strategic Plan outcomes, and to the eight Millennium Development Goals (MDG). The main documents to be reviewed are the CPAP, the UNDAF, and the UNFPA Strategic Plan.

2) Creation of linkages

Linkages are then drafted between CPAP, UNDAF, and the Strategic Plan for the three mandate areas of reproductive health, population and development and gender. These are based on how the reviewed documents portray the UNFPA country programme outputs contribution to UNDAF and UNFPA corporate outcomes. The linkages are presented in the form of a text box diagram, subdivided by

document (CPAP, UNDAF, Strategic Plan) and grouped by mandate area. It is intended that the country programme outputs link to a selection, but not all, of the 13 Strategic Plan outcomes. A link to the relevant MDG through UNDAF should also be included.

3) Corroboration with Annual Work Plans (AWPs)

It is important to verify the linkages that have been drafted through analysis of how the country office has linked its programming to the UNDAF and Strategic Plan respectively. This is possible through reference to AWPs. These are coded using a unique eight-character identifier, which includes a reference to Strategic Plan outcomes e.g. AWP code CMR5G11A links to Strategic Plan outcome 1 for Gender (refer to page 46 in the Atlas User Guide on Programme Management). Through identifying all Strategic Plan outcomes contained in the AWP codes for the period of analysis, it is possible to verify in what respect the country office has articulated how its programming would contribute to the UNFPA Strategic Plan.

4) Finalization of the effects diagram

Following the corroboration of linkages through reference to AWP codes, the linkages between documents as represented by the effects diagram can be finalized. It is recommended that all UNFPA Strategic Plan outcomes remain in the diagram even if they lack linkages. By making those Strategic Plan outcomes with established linkages evident, it is possible to see which Strategic Plan outcomes the country programme does not appear to link with. See example of an Effects Diagram for Cameroon in figure below:
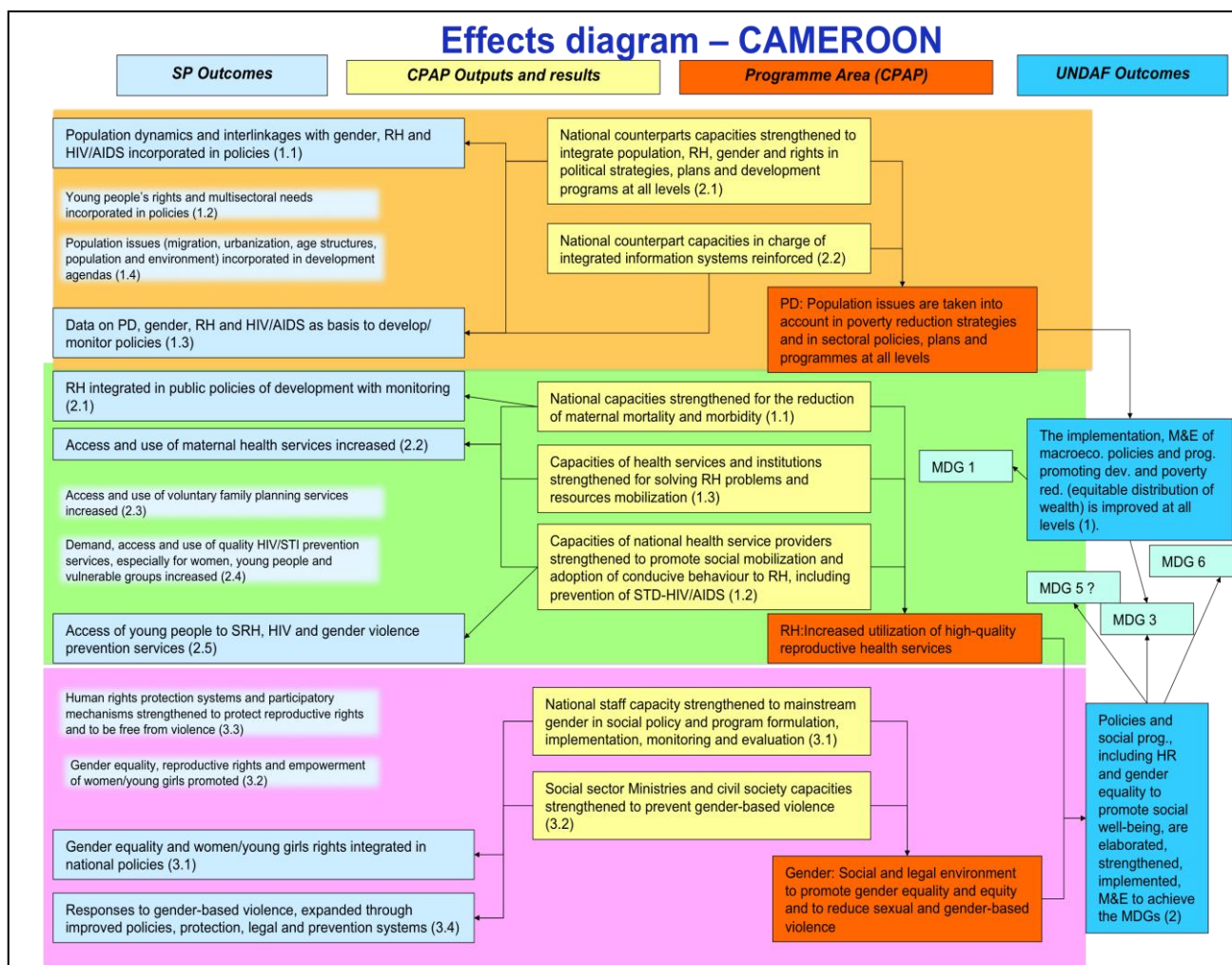
What is it?
The spreadsheet of Atlas projects links expenditure (inputs) – the lowest level of the intervention logic– with the outcomes of the UNFPA Strategic Plan - one of the highest levels of effects. It also establishes a link between CPAP outputs, activities and inputs (budget and expenditure) while providing information on implementing and executing agencies, type of funding and the origin of the funds.

The **evaluation manager** / country office staff will compile the information contained in this spreadsheet. This tool is obligatory in the design phase and it has to be attached to the design report.

What is it used for, when and how?
What makes the spreadsheet particularly useful is that it presents data that is not immediately retrievable, as the data is generally scattered throughout AWPs. The spreadsheet has three main uses:

1) It can be used, in the study of the UNFPA programmatic response, to complement the review of the AWP when evaluators want to obtain a clear picture of the activities that have been implemented during the period. For this purpose evaluators should compare the AWP budget, the Atlas budget and expense columns in the table:

- If, for a given activity, there is an AWP budget but not an Atlas budget, this indicates that a planned activity has been cancelled.
- Conversely, whenever there is an Atlas budget but not an AWP budget (the cell is empty) it means that an activity has been added to the programme that was not envisaged in the original AWP.
- An AWP budget amount that is higher than the Atlas budget indicates that inputs associated to that planned activity have been reduced.
- Conversely, whenever the Atlas budget is higher than the AWP budget, it means that inputs associated to that planned activity were revised upwards.

2) The spreadsheet can also be used when assessing the efficiency criterion in the analysis of the focus areas. For that purpose, evaluators should use the implementation rate column, which is the ratio between the expense and the Atlas budget columns. This ratio reveals whether actual expenditure was higher than planned expenditure in Atlas and indicates the extent to which resources have been provided in a timely manner or if there have been delays. When compared to the AWP budget column this also indicates whether there have been cost overruns and deviations to the budget as set out in the AWP.

3) The table can also be used as a tool to assist in the selection of the sample of stakeholders to be interviewed during the data collection and analysis phase of the evaluation. This spreadsheet expands the information included in the stakeholders mapping table by providing information on additional variables such as:

- Geographical locations: This column can be used by evaluators to ensure that the sample includes stakeholders related to aspects of the programme implemented in both the capital of the country and the rest of the country. It can also be used when drafting the tentative agenda for the interviews, given that geographical locations are a key aspect to take into account when assessing the feasibility of the agenda.

- Activities (by output and stakeholder), activity description and cluster: These three additional columns may be used by evaluators to identify stakeholders associated with activities of a particular nature e.g. advocacy, capacity building or procurement of goods.

- Financial information and the implementation rate: The last four columns of the spreadsheet may be used by evaluators: (i) to identify stakeholders associated with both large and small AWP; (ii) to identify activities for which the expenditure rate is particularly low - an indication of potential problems in performance; and (iii) to identify stakeholders who may be related to activities that have been cancelled or activities that have been added to the initial AWP.

4) The table can also be used in the data collection phase during an interview to identify what activities the interviewee/s has/have been involved in. In such cases, evaluators can use the search function in the Excel spreadsheet to find an institution and see which activities that institution is or has been involved in. This will, however, be applicable to executing agencies only and whenever the evaluator knows the Atlas code for this implementing agency.

The figure below illustrates, for a CPE in Cameroon, the outlook of the "List of Atlas projects by CPAP output and Strategic Plan outcome" table once it has been filled out.

Mapping all the stakeholders involved in the country programme is a requirement of the CPE. The use of this tool is obligatory in the design phase and it has to be attached to the design report.

What is it?
The stakeholders mapping table presents a full inventory of the implementing agencies, other partners and beneficiaries classified by Strategic Plan outcomes, CPAP output and Atlas project. Its structure is based on data as provided in Atlas.

When to use it?
The table will be used in the design phase: when selecting the sample of stakeholder to be interviewed during the field phase; when developing the CPE agenda; and as a supporting tool when filling out the "data sources column" of the evaluation matrix.

Why use it?
Firstly, for transparency purposes: the table offers a picture of the range of stakeholders that are related to the country programme being evaluated. Therefore, it enables any third party to assess the appropriateness of the size of the chosen illustrative sample as well as the possibility of pointing out whether there have been any oversights in terms of selecting key stakeholders.

Secondly, the table is a tool that facilitates several processes that will take place during the design phase:

- It facilitates the process of choosing a sample of stakeholders from whom to collect information.

- The table links stakeholders with outputs in a context where the unit of analysis in the country programme evaluation is the relationship of *stakeholder/output* (see section 1.3 of the Handbook).

- The table also facilitates the process of completing the "data sources" column of the evaluation matrix.

How to use it?
The table is divided in three main sections, one per focus area. Stakeholders are clustered in four main categories: donors, implementing agencies, other partners and beneficiaries. For each focus area stakeholders are grouped by Strategic Plan outcome / CPAP output / Atlas project.

The extract of Template 3 provided below shows a generic format, although there are many possible options for a particular group of stakeholders to appear. For example, it may be that there is only one Atlas project for a Strategic Plan outcome/CPAP output pair. In the table below this will appear as only one yellow entry for that particular pair of Strategic Plan outcome/CPAP output. Similarly, there could be more than one CPAP output per Strategic Plan outcome, which in the table below would appear as more than one lavender coloured row under that particular Strategic Plan outcome.

The white cells will feature the name of the stakeholders. The first row in the extract of Template 3 below includes a fictional example of how these cells would be filled out.

Donors	Implementing Agencies	Other partners	Beneficiaries
GENDER EQUALITY			
Strategic Plan outcome: Gender equality and women/young girls rights integrated in national policies (3.1)			
CPAP Output: National staff capacity strengthened to mainstream gender in social policy and program formulation, implementation, monitoring and evaluation (3.1)			
CMR5G11A - Integration of gender issues			
Catalonian Agency for Development Aid (ACCD)	Ministry for the promotion of women and family (MPWF)	Ministry of Health, Ministry for the promotion of youth, National Health Institute and Ministry of Justice	Women associations at provincial, district and village level in the Northern province.
Atlas Project *(code and name)*			
(…)	(…)	(…)	(…)
…			
POPULATION & DEVELOPMENT			
Strategic Plan outcome: *(descriptions as per CPAP)*			
CPAP Output: *(descriptions as per CPAP)*			
Atlas Project *(code and name)*			
(…)	(…)	(…)	(…)
Atlas Project *(code and name)*			
(…)	(…)	(…)	(…)
…			
POPULATION & DEVELOPMENT			
Strategic Plan outcome: *(descriptions as per CPAP)*			
CPAP Output: *(descriptions as per CPAP)*			
Atlas Project *(code and name)*			
(…)	(…)	(…)	(…)
Atlas Project *(code and name)*			
(…)	(…)	(…)	(…)

Data on implementing partners and other partners is contained in Atlas and AWPs. Details about donors can be retrieved from Atlas. The identification of beneficiaries, however, is the most problematic column. Beneficiaries may at times be identified from the text contained in AWPs. However, not all AWPs present a narrative section and are often presented in a schematic table format. Support from country office programme officers should therefore be sought in order to fill out the beneficiary column. The image below shows an example of a stakeholders mapping table where beneficiaries are yet to be determined.

Tool 5 - The corporate alignment matrix

Optional
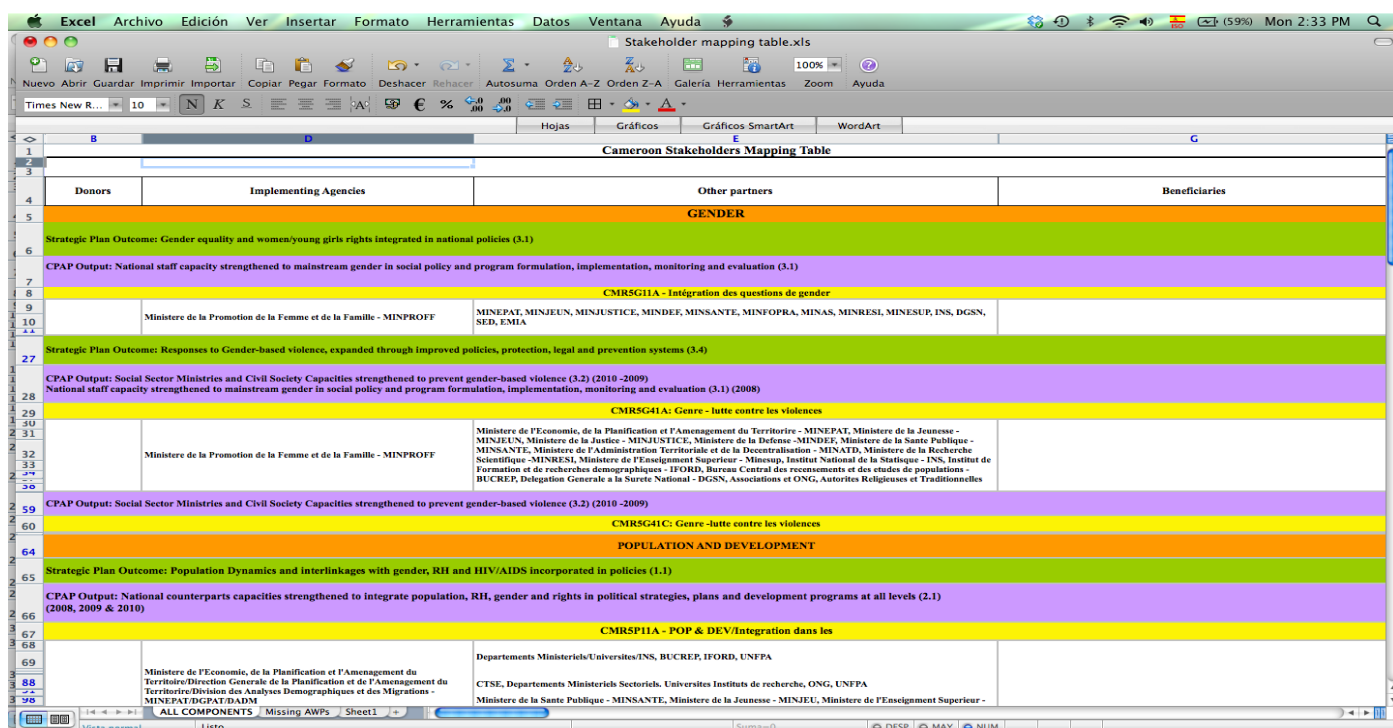
What is it?

It is a matrix that assists evaluators in identifying and selecting the corporate mandate issues set forth in the Strategic Plan that should be checked either under the corporate dimension of the strategic alignment criterion, under other strategic positioning criteria (responsiveness, added value), and/or under the evaluation criteria applied to the three UNFPA focus areas.

When to use it?

It can be used at two moments of the design phase. During the design phase evaluators should become acquainted with the UNFPA strategic response through reading the UNFPA Strategic Plan in detail. The matrix can serve as a guiding reference at this stage as it already identifies specific strategic / corporate mandate issues and points out the precise paragraphs they are mentioned in. The matrix can also be used at the time of identifying and selecting evaluation questions under any of the evaluation criteria, particularly for the evaluation questions under the corporate dimension of the strategic alignment criterion.

Why use it?

The Strategic Plan plays a key role in country programmes. As stated in the Plan: "it sets the strategic direction and provides the overall framework for guiding UNFPA support to programme countries to achieve their nationally-owned development objectives in the three interrelated focus areas of population and development, reproductive health and rights and gender equality". Moreover, "it is the centrepiece for organizational programming, management and accountability for 2008-2013".

Whereas the use of tool 5 is optional, identifying and selecting Strategic Plan issues to be assessed when conducting the evaluation is obligatory in a CPE. Evaluators should look at whether the country office's programming, management and accountability activities comply, in practice, with the strategic direction principles set out in the Strategic Plan and, whenever deviations occur, analyse the reasons why and their repercussions. The matrix facilitates compliance with this requirement.

How to use it?

The matrix contains a list of pre-identified corporate mandate / strategic issues that would be useful to consider. The last column, "what could be checked", is intended to be used as a reference to formulate evaluation questions to be included in the evaluation matrix. The decision on which issues should go under the corporate dimension of the strategic alignment criterion and the ones that should be under other evaluation criteria is a decision for evaluators to make. Table 5 in section 1.2.1 includes a suggested distribution.[45]

The Midterm Review of the Strategic Plan 2008-2013 (MTR) [46] was conducted in mid-2011. This review contains several considerations on the corporate mandate / strategic issues pre-identified in the corporate alignment matrix. These considerations are included in *Italics* blue font in the matrix.

It is worth noting that the matrix, as well as table 5, is based on the UNFPA Strategic Plan 2008-2013 and therefore will have to be updated alongside the publication of subsequent Strategic Plans beyond 2013.

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[45] This distribution is based on the lessons learnt during when piloting the methodology in the CPE in Bolivia and Cameroon in June and July 2011 respectively.

[46] The original time span of the Strategic Plan was 2008-2011, but Executive Board decision 2009/16 extended the Plan's timeframe to 2013.

Strategic Plan - Issue	Source	Description	What could be checked?
CORE ISSUES During 2008-2011, the focus for UNFPA and its development partners needs to be on **accelerating progress to meet the unmet ICPD benchmarks in countries** and concomitantly on **development of national capacity** (paragraph 11 of the Strategic Plan) *MTR: Page 12 of the MTR and the Revised Results Framework (annex) include the goal of achieving universal access to SRH, promote reproductive rights, reduce maternal mortality, and to accelerate progress on the ICPD agenda and MDG 5.*			
Promotion of the International Conference on Population and Development **(ICPD) Agenda**.	Paragraphs: 10, **11**, 14, 16, 25, 26, 40, **43**, 82, 83, 95	There is an explicit corporate requirement to promote the ICPD Agenda and position it at the country level. This requirement has implications in terms of how country offices should build partnerships; and in terms of how they should approach emergency preparedness, humanitarian crisis response and transition and recovery processes at the national level.	The extent to which the country office is promoting and positioning ICPD issues in the national agenda, policies and programmes as well as whether this is being a major focus of soft aid activities (policy dialogue and advocacy), given that paragraph 43 establishes that "*UNFPA will strengthen its efforts working with Governments and development partners to position the ICPD goals and issues within the global intergovernmental process and at the national and local levels <u>through better engagement in policy dialogue, evidence-based advocacy</u> and by actively supporting <u>data collection</u>, <u>analysis</u> and <u>use</u> in development planning, implementation and monitoring.*"
Development of national capacity *MTR: the importance of this issue is enhanced in the MTR. The term "national capacity" is mentioned in 17 of the 18 outputs of the Revised Results Framework (RRF).*	Paragraphs: 11, 22, 23, 26, 34, 78, 79, **80**, 82, 84	Development of national capacity is the other focus of the Strategic Plan. Paragraph 80 states "Capacity development will be the central thrust of the Fund's work at the country level and will be supported with regional and global technical and programmatic resources" UNFPA is formulating its policy in line with the UNDG position statement and a comprehensive technical guidance on capacity assessments, strategies, and impact measurement of the UNFPA role in capacity development. The guidance will be operationalized in the course of the strategic plan, 2008-2011 and will address the specific roles of the Fund in capacity development and the methodology for measuring the impact of capacity development strategies.	The paragraphs mentioned in the second column establish the corporate requirements on how national capacity development should be approached. In this regard, some possible issues evaluators could pay attention to are (this is not an exhaustive list): Are civil society organizations counted in when supporting national systems and institutional development? Are advocacy and policy dialogue (soft activities) contributing to increase the capacities of countries for policy analysis and development, and building the capacity of Governments, civil society and other partners to advocate for ICPD agenda? Is the country office building capacity to implement a rights-based approach in programming and policies at country level? Does the way in which the country office carries out capacity development comply with the definition of capacity development for UNFPA (paragraph78)? The Strategic Plan, also stipulates that "*UNFPA core contribution to capacity-building <u>at national level will be through the transfer of knowledge and skills to individuals, development of national institutions, and support to national policies and strategies</u>*". Is this happening i.e. is the knowledge really transferred to individuals and institutions? And is this knowledge retained? (The Strategic Plan also states that the "UNFPA will also build the institutional capacity to develop, motivate and <u>retain</u> skilled human resources).
Crosscutting and horizontal issues			
Special attention to the most **vulnerable**, **disadvantaged**, **marginalized** and **excluded** population	Paragraphs: **34**, 39, **41**, 49, 50, 52, 54, 63, 64, 66, 67, 72, 73 and 76. *(See mention in*	This is one of the three crosscutting concerns.	Given the corporate importance UNFPA attaches to focusing on the most vulnerable groups, evaluators should check whether this is the case in the country. If it were not the case, evaluators should analyse the reasons why, and above all, assess whether this is justifiable or not. It could be that the country office does not focus in the most vulnerable groups due to the country context,

groups.	*paragraph 54 below)*		or because of division of labour arrangements with other agencies or donors. In any case, the reasons for non-alignment in this aspect should be analysed.
Mainstreaming young people's concerns *In MTR referred to as "Mainstreaming needs of young people (including adolescents)*	Paragraph 39 *MTR Paragraph 54*	This is one of the three crosscutting concerns stressed in the Strategic Plan. The importance of the focus on young people, particularly young women is also stressed throughout the Plan in paragraphs: 42, 47, and 49, 56, 57, 63,64, 65 and 75. *The MTR states that UNFPA will strengthen its work with governments and other partners to advocate for increasing health, education and livelihood investments for young people (including adolescents), and for seizing demographic windows of opportunity, while also addressing the critical issues of SRH services, HIV prevention and gender equality. Special attention will be given to promote the rights of young people including their rights to participate at all levels of policy development, implementation and monitoring. UNFPA will focus on the most vulnerable and marginalized groups, in particular adolescent girls. Due to the multispectral nature of issues related to young people, coordination with other partners is crucial.*	The Strategic Plan sets out that special attention will be given to promote the rights of young people to participate at all levels of policy development, implementation and monitoring. Is this happening? Do outputs and activities in the AWP reflect this corporate priority? To what extent has work with the government to advocate for increasing health, education and livelihood investments for young people including adolescents been prioritised? Is the country office focusing on the most vulnerable and marginalised groups, in particular adolescent girls?
Gender equality and women's empowerment *In MTR referred to as "human rights and gender equality"*	Paragraph 35 *MTR Paragraph 55*	This is another crosscutting issue. It is not mentioned as such in the Strategic Plan, but it is presented as an area to be strengthened in all three focus areas: *UNFPA operations at all levels are guided by the importance of ensuring gender equality and women's empowerment. UNFPA will strengthen gender equality programming <u>across all three goals of the strategic plan</u> and will work to ensure that girls and women are able to benefit equally and fully and have access to the opportunities and resources made available through UNFPA-supported interventions.* *The MTR states that human rights and gender equality will continue to be mainstreamed across UNFPA operations using a culturally sensitive approach, with a focus on the poorest and most excluded groups. This includes using a human rights and gender-equality lens in developing plans, policies, laws, and programmes; and also ensuring that women, young people and other vulnerable groups are informed of their rights and empowered to make decisions regarding their sexual reproductive health and life options.*	To what extent are gender equality and women's empowerment taken into account by the country office when designing and implementing country programme activities - together with the partner government? To what extent has the country office used a culturally sensitive approach when doing so? To what extent and how has the country office used a human rights and gender-equality lens in the development of plans, policies, laws, and programmes? To what extent and how has the country ensured that women, young people and other vulnerable groups are informed of their rights and empowered to make decisions regarding their *sexual reproductive health* and life options?
South – South cooperation	Paragraph 36 and also 22, 81, 90, 128 and 130.	The Strategic Plan sets forth that the UNFPA, in line with General Assembly resolution 60/212 and other resolutions relevant to south-south cooperation, will continue to provide support to deepen, intensify and enhance south-south cooperation, including through triangular cooperation. *The MTR states that UNFPA will strengthen its support for south-south cooperation to facilitate the exchange of knowledge and lessons learned and to build capacity for accelerating the implementation of ICPD Programme of Action and the MDGs.*	Are country-level activities mainstreaming modalities to support south-south cooperation through the enhanced use of local capacities and as a means to share best practices? Is the country office promoting south-south cooperation? And is the country office monitoring its inputs in this regard by means of an appropriate indicator in the results framework? To what extent are south-south cooperation supported activities facilitating the effective exchange of knowledge and lessons learned? To what extent and how have the supported south-south cooperation activities contributed to build capacity for accelerating the implementation of ICPD Programme of Action and the MDGs?

Other broader issues			
Guiding Principles	Paragraph 32 *(Not mentioned in MTR)*	UNFPA is fully committed to the principles of **national ownership**, **national leadership** and **national capacity development** and these form the fundamental basis of the Fund's Strategic Plan and, indeed, of all <u>UNFPA operational activities and programming.</u>	Is the country office respecting these principles? Are there any signs of weaknesses in this regard? And if so, how is this affecting the country office's strategic positioning in the country?
Internal Capacity	Paragraphs 27, 28, 93 and 130. *(Not mentioned in MTR)*	The Strategic Plan points at the fact that "*Placing national capacity development at the centre of the UNFPA strategic direction entails enhanced efforts to build internal capacity among UNFPA staff to respond to the changing development environment and greater expectations by Governments*". Aspects regarding the country office's internal capacity may arise when assessing efficiency aspects of the programme. When doing this assessment it is important to take into account the corporate requirements regarding what is expected of the capacity of country offices. The Plan also stresses the fact that UNFPA must strengthen country offices and increase the amount of funds directed to county programmes.	Does the country office have adequate in-house capacity? If this is not the case, does the office or UNFPA allocate resources to reverse the situation through in-house capacity building programmes? UNFPA at corporate level is committed to further strengthen results-based management in planning, quality assurance, monitoring and evaluation to enhance accountability: is the country office taking steps in this regard? The Strategic Plan also stipulates that attention will be paid to attracting and retaining the best available professionals and technical support personnel who meet staff competency requirements and that UNFPA will provide learning, career, and professional growth opportunities. Is this happening at country office level? Is the country office adequately funded so that it can fulfil its human resource strategy according to corporate requirements?
Development of partnerships *In MTR referred to as "Inclusive partnerships and national ownership*	Paragraphs 26, 83, 90 and 95 *MTR Paragraph 56*	The Strategic Plan also determines some requirements on the type of partnerships that should be prioritised and the areas e.g. partnerships to mobilize support and complementary resources for the ICPD agenda; partnerships with other United Nations partner organisations, and international, regional and national institutions and non-governmental organizations in the context of the ICPD agenda; leverage support for Governments by brokering bilateral and multilateral partnerships with parliamentary groups, civil society organizations, religious and faith-based groups, intergovernmental organizations, United Nations partner organisations, academia and research partners, the media, as well as non-traditional partners, including the private sector. *The MTR states that UNFPA work across each of the outcome areas will remain based on principles of inclusive partnerships and support to national ownership. Governments will remain the key partners for UNFPA even as the organization builds new strategic collaborations with* non-governmental organizations*, including faith-based organizations, academic institutions and the private sector (balanced by the need to avoid a proliferation of partnerships, as noted above).*	Is the country office working on developing partnerships according to the requirements of the Strategic Plan? To what extent is the country office aligned to the principles of inclusive partnerships and support to national ownership? Has the country office managed to strike a balance between keeping the government as a main partner while building new strategic collaborations with other partners?
Humanitarian assistance (Newly added in MTR)	*MTR Paragraph 57*	*UNFPA will continue to support the integration of the ICPD Programme of Action into emergency preparedness, humanitarian response and transition and recovery processes. The UNFPA comparative advantage in humanitarian settings is in reproductive health and addressing gender-based violence.*	To what extent and how has the country office supported the integration of the ICPD Programme of Action into emergency preparedness, humanitarian response and transition and recovery processes? Has the country office proved to have a comparative advantage in humanitarian settings in the areas of reproductive health and addressing *gender-based violence*?

What is it and why using it?

This tool consists of a matrix that classifies and ranks questions according to their feasibility and the degree of usefulness of their answers. The main added value of the matrix is that it allows visualisation of the selection of evaluation questions in a clear manner.

		Feasibility		
		High	Medium	Low
Usefulness	High	A	B	C
	Medium	D	E	F
	Low	G	H	I

Where, for example, A designates highly feasible and highly useful questions, B designates highly useful questions with a medium-degree of feasibility, and C designates highly useful questions with a low degree of feasibility.

	Priority questions
	Questions to be further analysed
	Questions not to be considered

When to use it?

The use of this tool is optional. Its main purpose is to facilitate discussion with stakeholders during the process of selecting priority evaluation questions. The matrix will be particularly useful when the number of initial evaluation questions to choose from is relatively large.

How to use it?

The classification of the questions (the three colours) in the table above is a suggestion. Stakeholders involved in the selection process may opt for other alternatives e.g. the "C" type may be changed to a priority question (orange colour) or the "E" type changed to a question not to be considered (blue colour). The main steps when applying the tool are:

Step 1   Agree on the classification of the cells (assign *colours* to cells A to I)
Step 2   Number the evaluation questions.
Step 3   Assign a degree of usefulness and a degree of feasibility to every question.
Step 4   Insert the question into the table.
Step 5   *Questions to be further analysed* should be examined in detail to see whether they could be moved to a higher rank if they were reformulated.
Step 6   Ensure that priority questions (cells A and B) include questions that cover all evaluation criteria, if not, formulate new questions.
Step 8   Conduct an iterative process[47] until the team reaches a consensus on the final priority evaluation questions.

The following table illustrates a hypothetical example for an initial list of 40 evaluation questions. Q stands for question and the number is the number of the question in the initial list.

		Feasibility		
		High	Medium	Low
Usef.	High	Q2, Q3, Q8, Q10, Q24, Q26, Q31, Q35, Q39, Q40	Q1, Q4, Q7, Q9, Q16, Q19, Q18, Q36, Q37, Q38	Q5, Q14, Q25, Q34
	Medium	Q23, Q22, Q27	Q13, Q12, Q32	Q17, Q20, Q33
	Low	Q6, Q11, Q28	Q15, Q30	Q21, Q29

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[47] Such an iterative process would consist of reformulating some questions so that they may move to higher-level cells, removing others and adding new questions.

Tool 7 – The CPE Agenda

Obligatory	Obligatory

An agenda covering the field phase should be developed for every CPE. The format below is a suggestion, and the evaluation team is free to adapt and adjust this format as required. However, developing and finalising an agenda and including it as an annex to the design report is obligatory for a CPE.

What is it?
It is a double entry table presenting the main activities to be carried out by the evaluation team during the field phase as well as an aggregate overview of all stakeholders that will be consulted when conducting the evaluation.

When to use it?
The CPE agenda will be used at three points throughout the evaluation: in the design phase, between the design and the field phases (field phase preparation) and during the actual field phase.

Why use it?
For three reasons:

- In the design phase it will be used to provide an overview of the schedule and itinerary of the evaluation team and a tentative summary of all stakeholders that will be consulted. It therefore provides transparency i.e. informs relevant stakeholders of the coverage of the CPE, what will be done and who will be meet, when and where. Moreover, the agenda is also intended to inform the country office and the CPE Reference Group in advance on their required availability for briefing and debriefing sessions with the evaluation team.

- Between the design and the field phase, the agenda will be the starting point for drawing up the individual agendas for every evaluation team member and inform logistics arrangements.

- In the field phase the CPE team leader and the country office will use the agenda to have an overview of the main milestones of the data collection and analysis phase.

About the structure

The agenda has seven columns, which correspond to types of information to be provided for each activity or, more often, institution. **Activities** correspond mainly to joint evaluation team activities and briefing and debriefing sessions with country office staff and the Reference Group. Information on logistics will also be included as activities in the agenda e.g. travel from the capital to regions/provinces, specifying, if possible, the means of transport and the travelling time. The term **institution** designates meetings with stakeholder institutions as part of the data collection work.[48]

It may not be possible to fill some of the sections of the agenda at the time of presenting it in the design report; they will be filled at a later stage, as information becomes available. The table below provides descriptions of what should be included in each column:

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[48] This may include individual structured and semi-structured interviews, group discussions and focus groups.

Date
At this stage the schedule will be mostly tentative. However, in the particular case of teamwork sessions and the briefing sessions with country office staff, it would be advisable to agree on a specific time.

Activity / Institution
The name of the activity e.g. evaluation team working sessions; the general debriefing session; presentations of the country office portfolio by focus area; bilateral meetings between evaluation team members and focus areas' programme officers, etc. *The name/brief description of the logistical arrangement e.g. travel by plane to the Northern Province; car trip from town A to town B.* *The name of the institution/stakeholder to meet e.g. Ministry of Health, Department of Family Planning; the UN Resident Coordinator and members of United Nations Country Team, etc..*

People to meet
The name and position of the persons to meet. It is usually difficult to have all this information at the time of completing the CPE agenda, but information should be entered whenever possible. If the name of the person/s were not known at this stage, her/his/their position would suffice e.g. director of the Department of Family Planning and technical officers; head of the village and members of the village council; members of the village's women's association; director of the district health bureau.

Location
The name of the place where the meeting will take place. If the name of the exact place is not known, at least the district and/ or province/region should be mentioned so that the evaluation team and the country office can assess the overall feasibility of the agenda given the available time.

Link with the country programme
The AWP code and/or the CPAP output that the stakeholder is related to e.g. CMR5R21A, Output 3 of Reproductive Health. *Yet, in some cases the selected stakeholder will not be associated with any specific AWP and / or output. This is the case for stakeholders interviewed exclusively for the purpose of assessing strategic positioning evaluation criteria, or for actors related exclusively to country offices' soft-aid actions. In such cases the terms "framework / context stakeholder", and "soft-aid activities" may be used.*

Selection criteria
Table 7 in section 1.3 "Selecting a sample of stakeholders" presents a series of ten criteria that should be applied when selecting the sample of stakeholders to be met during the field visit.[49] This column should refer to the specific selection criterion (or criteria) that has been applied to choose that particular stakeholder e.g. involvement in activities (AWP) that have already been completed (criterion nº 3); involvement in pilot actions (criterion nº 6); involvement in actions related to soft-aid activities carried out by the country office (criterion nº 9).

Justification
A brief explanation of the main reason why the institution and/or the person/s to be met with have been chosen e.g. this technical officer was chosen instead of the director of the department because she has been working in the institution for over ten years and has the institutional memory while the director has been only recently appointed. Often, the reason for the justification will simply be the fact that the institution/person to be met complies with the selection criteria e.g. the institution is an example of a stakeholder involved in pilot actions.

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[49] As mentioned in section 1.3 these ten criteria are *minimal requirements* that should be taken into account by evaluators in order to avoid bias towards stakeholders associated with specific parts of the programme. Criteria though should not be restricted to these ten: the team may add other criteria they deem appropriate

This is an illustrative, partially fictionalised version for Bolivia of how a CPE agenda may look like at the time of attaching it to the design report. The example focuses on the first and last part of the field visit, which are both of crucial importance (see Part 2 of the Handbook).

Date	Activity / Institution	People to meet	Location	Link with the CP	Selection criteria	Justification
WEEK 1						
Day 1	9:00 – 13:00 Evaluation team meeting	Evaluation team internal meeting	Country Office (CO)	NA[50]	NA	Preparation of the briefing session; review of individual agendas; methodology refresher.
	14:00 – 16:00 Meeting with CO senior management	Resident Representative, (RR), Deputy RR, Heads of focus areas.	Country Office	NA	NA	Presentation of the evaluation team; preliminary discussions; approach to the plenary debriefing session.
Day 2	9:00 – 11:00 Portfolio presentation by focus area	Heads and technical officers of each focus area	Country Office	NA	NA	Brief the evaluation team on the actual portfolio being implemented.
	11:30 – 13:00 Meeting with Ministry of Foreign Affairs	Mr Carlos Saenz, Head of the planning division, project managers	Ministry of Foreign Affairs	CPAP coordinator on the government side	NA	Main government counterpart in the implementation of the CPAP.
	15:00 – 17:00 General briefing session (plenary)	All CO staff and Reference group members	Country Office	NA	NA	Presentation of the CPE; validation of the Evaluation Matrix, the Intervention logic and the overall agenda.
Day 3	9:00 – 10:00 Ministry of Health	Mr Pedro Sano, Minister of Health	Ministry of Health	Outputs 2 and 3 of RH and all associated AWP	Criteria 2, 4 and 7	Main beneficiary institution; implementing partner for National Execution interventions.
	10:30 – 11:30 Ministry of Health, Family Planning Department	Ms Valeria Nogales, Head of Family Planning, project coordinators	Ministry of Health	BOL4R11A; BOL4R23B, BOL4R14A and output 1 of RH.	Criteria 2, 4 and 7	Implementing partner and beneficiary of capacity building activities.
	12:30 – 13:30 Ministry of Planning, M&E division	Mr Leonardo Ramos, Head of M&E division, technical officers	Ministry of Planning	CPAP's M&E Plan	Part of the "assessment of M&E systems" component of the CPE	Key role in M&E systems; provision of data on indicators; intended beneficiary for M&E capacity-building activities
	...	…	…	…	…	….
Day 4	7:00 – 12:00 Travel by plane La Paz – Sucre and by car Sucre - Tarabuco					Evaluator in charge of Population and Development, and Team Leader.
	8:00 – 11:00 Travel by plane to Potosí					Evaluator in charge of Reproductive Health and Gender Equality
	14:00 – 16:00 Meeting with San Carlos Community (Potosí)	Primary Health Centre staff and users	San Carlos (Potosí)	BOL4R11A, output 1 of RH	Criteria 3 and 4	Interviews and group discussion with final beneficiaries.
	14:00 – 17:00	Staff of the Research	Sucre	BOL4P22A, output 2 of	Criteria 1, 2 and 4	Selected mainly as an example of

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[50] Stands for non-applicable.

Date	Activity / Institution	People to meet	Location	Link with the CP	Selection criteria	Justification
	University of Sucre	Department		P&D		a particularly well performing intervention with a new innovative approach.
...						
WEEK 2						
...						
WEEK 3						
...						
Day N-3	9:00 – 12:00 Focus Group on strategic positioning	To be determined (tbd)	Ministry of Foreign Affairs (tentative)	CP external Framework	UNFPA development partners e.g. Government, civil society, Academia	Focus group to gather opinions and validate partial findings on strategic positioning criteria (added value and responsiveness)
	Afternoon (time tbd) European Commission Delegation	Mr Pierre Brel, Head of Operations, Task Managers	EC Delegation (La Paz)	BOL4R18A, output 2 of RH; BOL4P15B, output 1 of P&D; etc.	Criterion 2 (donor)	One of the main current donors in terms of the scale of funding.
	Afternoon (time tbd) UNICEF	Ms Anne Pieper, Resident Representative; Programme Officers	UN ICEF premises	UN system framework	Criterion 2 (UN agencies)	Assessment of the systemic dimension of the strategic alignment criterion: complementarity and coordination issues; and responsiveness.
Day N-2	Data analysis (individual work)	NA	Country Office	NA	NA	Evaluator team members work individually in data analysis and preparation of their individual findings to the team the next day
Day N-1	Preparation of the presentation of preliminary results (teamwork)	NA	Country Office	NA	NA	Internal team meeting. Internal presentation of preliminary results by each evaluator and preparation of a joint presentation.
Day N[51]	Morning: Debriefing session and plenary discussion	All CO staff and members of the Reference Group (RG) members	Country Office	NA	NA	Presentation of the CPE preliminary findings and recommendations; open discussions (workshop) with CO staff and RG members.
	Afternoon: evaluation team internal wrap up meeting (Country Office)					Analysis of the outcome of the workshop; distribution of tasks; next steps, etc.

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[51] Where "N" designated the last day of the field phase.

3.1.2   Tools for data collection

Optional

This checklist provides key steps that evaluators should follow during the design phase and before collection of the data begins. Even though the team leader will usually coordinate common aspects of the preparation and field visit, it is the responsibility of every evaluator to consider each of the following steps before starting data collection visits. In some cases, it will not be possible to accomplish all of these tasks before the start of data collection, or some will need to be refined during the process of collecting the data.

CHECKLIST - Preparatory tasks before data collection	
ITEMS	STATUS
A. Evaluation Framework	
1. Identify main inputs activities, outputs and outcomes and their logical sequence for the focus area you will have to assess.	
2. Review personally, and with the team leader, the objectives and scope of the evaluation as well as the main evaluation questions you will have to work on.	
3. Ensure that your evaluation questions cover all the required criteria and that you are clear on the "what to check" column for each question.	
4. Identify what crosscutting and common areas you will have to contribute to e.g. gender mainstreaming, vulnerable groups, youth; capacity development and partnerships; strategic alignment	
5. Identify what questions depend both on your programmatic area and on other areas. Identify what inputs you will need from your colleagues and on what aspects.	
6. Make sure you have identified the sample of stakeholders to interview in order to answer the evaluation questions you are responsible for.	
7. Ensure you are clear on the data collection sources and methods: where and how to collect information to answer the identified questions e.g. analysis of existing data/documents, interviews, focus groups - what documentation you require, location and type of interviews needed, where and the sample.	
B. Documentation	
1. Draft checklists for document collection: review which key documents you have and which documents are missing.	
2. Who may have the documents you are missing?	
3. Check what missing documents you can obtain before starting interviews.	
C. Stakeholders	
1. Conduct preliminary stakeholder mapping and analysis.	
2. Who should you see in the visit?	
3. Where are they located, will you need to travel to different areas, and how long will it take you?	
4. Can you contact directly those stakeholders or does it need to be done formally by the country office?	
5. How much notice do these stakeholders need for a meeting?	
6. Is the sample of interview coverage balanced?	
7. Are any of these stakeholders useful for somebody else in my team? What are the coordination needs?	
D. Interviews or/and focus groups	
1. Decide which interviews will be individual or group interviews, and which ones will be focus groups.	
2. Decide which interviews will be structured, semi-structured, or open.	
3. Draft the interview guides needed for different kinds of stakeholders.	
4. Double check that no key question within the programmatic area has been left out.	
5. Decide on the use of focus group discussions; define objectives, a restricted set of issues that need validation; identify the target participants.	
6. Coordinate with the team leader on the need to include additional issues/questions needed for the final report.	
E. Individual agenda	
Organize the individual agenda after approval from the team leader and in consultation with the country office and local stakeholders (based on key documents, evaluation questions and number of stakeholders).	
F. Anticipate logistic issues	
Is there a need for translator, local transport, facilities for focus group or other meetings, etc.?	
And after everything has been carefully planned… be ready for changes!	

Tool 9 – Checklist for the documents to be provided by the country office to the evaluation team

Obligatory

Evaluation managers should note that the use of this tool in the design phase is obligatory.

DOCUMENTS	STATUS	COMMENTS
1. Programming Documents		
1.1. Common Country Assessment		
1.2. Current UNDAF		
1.3. Current CPD and CPAP		
1.4. (a) Results and Resources Framework (b) Planning and Tracking Tools (c) Monitoring and Evaluation calendars		
1.5. Relevant national policy documents for each focus area (PD, RH - including national Roadmap to Reduce Maternal Mortality Rates - and Gender Equality)		
2. Annual Work Plans [for the period under evaluation]		
2.1. AWP Population & Development		
2.2. AWP Reproductive Health		
2.3. AWP Gender Equality		
Also: Annual Standard Progress Report for each AWP; Country Office Annual Reports [for the period under evaluation]		
3. List of Atlas projects		
4. Evaluation/ Reviews Reports [for the period under evaluation] [52]		
4.1. Previous Country Programme Evaluations		
4.2. Mid-term review of the current cycle		
4.3. Evaluation reports **by focus area:** Population and Development; Reproductive Health; Gender Equality		
5. Surveys and Studies		
5.1. Baseline and end line survey reports for current CPAP		
5.2. Other studies in Population and Development		
5.3. Other studies in Reproductive Health		
5.4. Other studies in Gender Equality		
6. Monitoring		
5.1. Field monitoring visits reports in all three Components (P&D; RH; GE)		
7. Partners		
7.2. IPs: Reports assessing technical capacity of implementing partners		
7.3. United Nations Country Team: Documentation regarding joint programmes Documentation regarding joint working groups, corresponding meeting agendas and minutes		
7.4. *Other donors*: Documentation on donor coordination mechanisms: - List of donor coordination groups in which UNFPA participates - Corresponding meeting agendas and minutes - Co-financing agreements and amendments		

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[52] List here each evaluation report for the period under evaluation. For each report indicate: the title, the author and date of completion. All evaluation reports must include ToRs. If no evaluations were undertaken, please state.

Optional Optional

Once the sample of stakeholders has been selected, evaluators should decide whom to interview and when for each stakeholder institution or beneficiary group. This checklist introduces seven aspects that need to be considered when making this choice:

	Description of the issue to take into account	Check
	Who should I meet in the interview?	√
1	To make a preliminary decision on whom you should ideally meet in order to understand and evaluate the programme, it is crucial to be familiar with the outputs and activities that the stakeholder has been involved with. The decision on whom to meet will be based on a number of factors: (i) what evaluation questions is the stakeholder associated with in the evaluation matrix? (ii) what outputs / outcomes is the stakeholder associated with? (iii) is it an implementing partner, a supporting partner, a beneficiary institution/community,[53] or an institution providing key context or information on strategic positioning aspects? Depending on the answers to these three questions, evaluators may want to meet senior management, mid-level managers, technical staff, heads of villages, pregnant women in a particular community, regular member of a youth association, etc.	
	Where are they located, will I need to travel to different areas, how long will it take me?	√
2	This is a question that affects logistics and time allocation. The degree of centralization or decentralization of the programme, and the homogeneity of the programme and the beneficiaries, will affect the need to travel. Make sure that you have approximate information on the real distances between places.	
	Can I contact directly the stakeholders or does it need to be done formally by the country office?	
3	The team leader will establish certain minimum coordination rules and will give evaluators the green light to contact directly the persons to be interviewed once this issue has been discussed with the country office. Depending on the nature of the stakeholders, there will be certain protocol to be followed in terms of formality procedures. Some interviews will need to be prepared through the involvement of the country office or central or local government institutions.	
4	**Decide on a balanced sample of interviewees within each stakeholder institution / group.**	
	Make sure that the views of all relevant people in the stakeholder institution / group are covered by the interviews in order to avoid biases. This consideration will, at times, only be possible once the evaluator has started conducting data collection in the country and this issue, therefore demands a certain degree of flexibility i.e. the possibility of meeting people that were not initially included in the agenda.	
5	**Can I answer every question for which I identified that particular stakeholder using the selected group of interviewees?**	
	Compare the choice of interviewees with the "data sources" column of the evaluation matrix and check that every information need can be addressed. Additionally, see if some questions can be answered or complemented by study of documentation. In some occasions a component of the programme can be understood by observing how a key activity is implemented. Check if a key activity is being implemented during your visit.	
6	**Do I have too many interviews aimed at answering the same question?**	
	Multiplication of interviews is justified as long as it serves the purpose of triangulation and crosschecking of information. However, if an excessive number of interviews address one question whereas others remain unaddressed, you should reconsider the balance among the data collection tools available for the evaluation (e.g. interviews, focus groups, documentary review, etc.)	
7	**Do I ensure the consultation of final beneficiaries?**	
	Programme managers and implementing agencies can give you very useful secondary information to understand how programmes are implemented. However, when assessing outputs, it is essential to meet final beneficiaries of UNFPA interventions in order to understand their perspective or/and validate your preliminary findings.	

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[53] We may distinguish between direct beneficiaries, organizations directly receiving UNFPA support, and ultimate beneficiaries, citizens who benefit from a better quality, quantity and/or access to supported services.

Tool 11 – Guiding principles to develop interview guides

| Optional | Optional |

The **interview guide** is a simple page or two pages containing the main objectives and sequence of an interview. The evaluator, in coordination with her/his teammates and team leader, needs to design her/his interview guides (one per cluster of stakeholders) before the field visit. The exact content of the interview guides will depend[54] on the evaluation questions and on the type of stakeholders to be interviewed. Creating an interview guide is not overly complicated once the evaluator thoroughly understands the evaluation questions. The evaluator should pay special attention to the following aspects when designing interview guides:

1. Write objectives for the interview, not specific questions. Depending on the interviewee's attitude, context of the interview or previous responses, you may prefer to ask about the same concept in different ways or with alternative formulations. For this reason, it is not advisable to write specific questions in the interview guide, but just the objectives that must be covered by the evaluator. For example, an interview guide would include an objective such as "Understand coordination with counterparts" rather than pre-establish concrete questions such as "How is your relationship with UNAIDS?" Establishing objectives provides the kind of flexibility that allows greater adaptation to different interviewees with different characteristics and information. It also allows the flexibility to adjust to the natural flow of an interview in which new information is likely to have been added and will need to be followed up on. In this same example, the objective "Understand coordination with counterparts" may result in asking a number of questions such as "Who are the main organizations working in this particular field?", "Have they been established in the country for a long time?", "What is your interest in working with them?", "How often do you meet?" The main advantage of predetermining the objective and not the questions is that if, for example, the interviewee has told you in a previous part of the interview that "Since last year GTZ is one of the main implementers of this kind of programme in the rural areas" we can follow up by asking "Are you working with GTZ in the rural areas?", a question that could not have been predetermined. Conversely, some questions will naturally become irrelevant in the course of the interview. In conclusion, the main objectives of the interview are predetermined in the interview guide to ensure consistency and prevent the omission of any major points, but the decision on emphasising specific questions depends on the flow of the conversation and any new information that appears in the course of the interview.

2. Separate stakeholders by categories or clusters. The evaluator needs to cluster the different stakeholders in different homogeneous groups. Creating distinct clusters of stakeholders will create a better position to answer different kinds of questions. This initial separation should be enough to give a general sense of what information objectives are more appropriate to each cluster, and constitute the basis for organizing each of the interview guides – one per cluster.

Typical clusters you will find in almost every field visit for data collection are the following:
- Implementers of the programme;
- UN agencies and other main donors;
- Political decision makers;
- Direct beneficiaries of the country programme;
- Ultimate beneficiaries of the country programme;
- Organizations that are not implementing the programme but are key players in the sector.

Within each of these clusters there will usually be many different organizations and persons. The evaluator will have to determine who specifically to interview depending on the evaluation questions,

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[54] Each different mission requires different interview guides, and each different group of stakeholders requires interview guides with different emphasis; thus, it is not possible to offer a predetermined template that suits every mission.

programme profile, time, resources, etc. Additionally, even though within each of these clusters there are different actors with different features, this first breakdown is sufficient to draft the information objectives that should be included in each of your interview guides.

3. Draft different interview guides for different groups of stakeholders. Interview guides are not prescriptive: they do not include detailed questions, just objectives of the interview so that evaluators can retain greater flexibility to adapt the guides to the specific nuances of each specific interviewee. As previously mentioned, different categories of stakeholders possess different kinds of information. Accordingly, your interviews should emphasize different objectives depending on the stakeholder cluster. For example, when you meet with beneficiaries of a service that has been created or supported by UNFPA, how important such new service is for them (*relevance*), whether they have real access to that service and to what extent (*effectiveness*), how it has affected their lives and the community as a whole (*impact*), etc. should be emphasised in the interview. However, when you interview an implementing agency, the objective should be trying to understand the rationale behind the programme (*design*) or the pace of implementation of activities and how to solve any given difficulties (*efficiency*). The most effective and natural way of approaching the drafting of interview guides is to cluster the stakeholders depending on their role vis-à-vis the programme (e.g. implementers, beneficiaries, other donors, etc.) and then draft one interview guide per cluster. Within each cluster it is useful to keep the same interview guide to facilitate comparability and retrieval of data in the report-writing phase.

4. Number of objectives/questions. It is not possible to predetermine the number of objectives and sub-questions that an interview guide should contain. Indeed, depending on the evaluation questions, you may want to spend more time and maybe conduct several interviews with key stakeholders for a given question, whereas for other questions 30 minutes may be enough. With a key stakeholder you may be attempting to address five or seven different information objectives, whereas with other stakeholders you may want to address only one. It should also be noted that some information objectives may be covered by one straight question that is easily addressed, whereas other information objectives may require a large number of different sub-questions to ensure that it is properly addressed.

Having said this, some general guidelines apply regarding the ideal number of objectives and questions:

- In general terms, interviews should neither be shorter than 30 or 40 minutes (see below the need to establish rapport, etc.) nor longer than two or three hours for comprehensive interviews. More time can be used in exceptional circumstances, particularly debriefings. The evaluator needs to draft the information objectives of her/his interview guideline taking into account these time frameworks. In some occasions, multiple interviews rather than one long interview may be pertinent.

- Regardless of the number of objectives, the evaluator needs to always be prepared for the interviewee to only be available for a short period of time. Even if the interview guide is designed for one or two hours, a reflection before the meeting about what objective or question is the most crucial with this particular stakeholder is a good way to guarantee that the main points will be addressed. This prioritisation will depend on elements such as the position of the interviewee and the information already collected from others interviewees.

- It is easier to hold longer interviews with actors that are directly involved in implementation of the programme than with external actors. However, external actors and beneficiaries bring information and opinions that are of special value to UNFPA.

- The evaluator should take into account that the time being used for an interview is taken from other regular activities that the interviewees are implementing. It is a good practice for the

evaluator to be proactive in using as little time as possible from the interviewee and prolong interviews only if it is justified.

5. Sequencing. Certain general sequencing is advisable so as to ensure a good conversational flow in the interview. In this regard, it should be noted that time should be allowed for aspects that are not necessarily directed to obtain information per se, but to show the necessary respect and to establish a human connection. Regarding respect, it is an essential good practice to inform the interviewee of the objective of the interview until it is satisfactorily understood. In terms of human connection, it is important to remember that an evaluator is after all a stranger for the interviewee and that they may not be entirely comfortable answering detailed questions related to their work if they are implementers or about their life if they are beneficiaries.

The following checklist provides a framework for the evaluator to sequence her/his interview guides. Some questions will be less relevant in certain contexts, for example, an explanation about the role of an evaluator is not necessary for UNFPA staff, but it is very necessary for beneficiaries who may not be familiar with the purpose of the visit or what an evaluation is. In such scenarios, it is not fair for the interviewee not to be given a proper introduction which also increases the likelihood of distortions in the information obtained through the interview. There are five stages when sequencing interviews:

1. Human connection
• Spend a few minutes to understand how the interviewee is today. Is the interview convenient or problematic in any way? Is s/he really busy and we should make the interview shorter than agreed?   • Explain briefly something about yourself, where do you come from, other interviews you are doing that also frame this present interview, etc.   • Thank the interviewee for the time dedicated to this interview.
2. Inform the interviewee of the objective and context of the interview
• Clarify briefly the work for the evaluation.   • Confirm the time available for the interview.   • Inform of confidentiality of the information collected.   • Explain what the objective of the interview (context) is. This not only shows respect, but is also useful for the evaluator, as it helps the interview answer in a more relevant manner.
3. Opening general questions: refining our understanding of the interviewee's role
• Before addressing the objectives of the interview guide, the evaluator needs to ensure that s/he understands the role of the interviewee vis-à-vis the organization, the programme, etc., so as to adjust the questions and address them in the most effective way.
4. Core interview: objectives of the interview guide transformed into questions
• Follow the objectives of the interview guide, transforming them into questions adapted to the natural language and context of the interviewee.   • Even if the interview is structured in the evaluator's guide, it should "feel" like a conversation: the evaluator should react to responses with follow up questions, requests for clarification, etc. Even though the evaluator should not express opinions during interviews, it may be useful to express surprise about results that seem contradictory, etc., to invite deeper reactions or explanations of the interviewee.
5. Ending the interview
• If some aspect of the interview was unclear, confirm with interviewee before finishing. Confirm that nothing that the interviewee considers important has been missed: "Have I missed any important point?"   • Finish the interview, confirming any mutual follow-up obligations that have been agreed, e.g. if documents need to be sent and by when, if the evaluator needs to provide any feedback, etc.   • Mention when the report will be issued and who will receive it   • If relevant, ask the interviewee for suggestions/facilitation about what other key persons, referred to during the meeting, that you could also interview.   • Thank the interviewee again for the time dedicated to this interview.

Tool 13 – Interview logbook

Optional Optional

Tracking findings and conclusions back to evidence is essential for a CPE to ensure that results are evidence-based (as opposed to impression based) and therefore credible. The interview logbook is one of the instruments that can assist evaluators in complying with this requirement. The template for an interview logbook included in this handbook (Template 6) is a suggestion; evaluators may use the suggested format, adjust it, or disregard it and produce a completely new template. However, in this latter case, the alternative format, instrument or method should enable them to track findings and conclusions back to evidence.

What it is?

The interview logbook is a written record of the main aspects of a semi-structured interview i.e. basic data, objectives and issues to be covered, the actual notes taken during the interview, a summary of the conclusions, and the subsequent steps to be taken.

When to use it?

The interview logbook (or similar alternative tool) should be decided during the design phase, mentioned in the design report as a data collection tool, and included it as an annex. In the field phase the interview logbook will be used to collect data in semi-structured interviews and group discussions as well as a main reference source of information when analysing data.

Why use it?

The main purpose of the interview logbook is as a registration mechanism for all the semi-structured interviews and group discussions conducted by the team during the data collection and analysis phase.[55] In particular, the logbook has the following functions:

- It allows evaluators to have a codified, systematized written registry of all the interviews conducted, enabling them to go back to interview records and review and follow-up on them whenever required.

- Interview logbooks also make exchanges between evaluation team members much easier: they facilitate sharing information; verifying facts, data and findings; and exchanging pieces of information they may require.

This will be especially important when evaluators collect data for other members of the team in areas that are not their main area of responsibility but for which the interviewer collects information for other members of the team. This will happen often for the three UNFA focus areas, as they are highly interrelated by nature, as well as in the assessment of the strategic positioning evaluation criteria.

- The *interview code* entry in the *interview data section* links the interview – as a source of evidence – with the preliminary findings summary table (Tool 14) whenever the source of evidence backing a preliminary finding can be clearly identified in a given interview/set of interviews.

- The *interview data* of the logbook will be used to assemble all interviews and group discussions conducted and compile them in the final report's annex presenting the *List of interviews conducted or list of people met / consulted.*

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[55] The logbook could also be used in structured interviews. The only thing that would change is that the "key issues" section would include a specific list of the questions to be asked during the interview, and the "content" section would present the notes taken by the evaluator for each one of the questions.

- Last but not least, the interview logbook enables evaluators to be better prepared for the interviews as it prompts them to work on the background and key issues to be addressed in advance of the meeting.

How to use it?
As shown in Template 6, the interview logbook comprises of two parts: interview data and interview content.

INTERVIEW DATA

Name (s) of the interviewee (s): *Mr Carlos Saenz*	Position: *Director of the Planning Department*	Institution/organisation: *Ministry of Planning*
Interview date: *12/11/2011*	Output / AWP / Atlas Project: *BOL4P22A, Output 1 of P&D*	Stakeholder type: *Direct beneficiary Institution*
Interviewer: *John Goodman*	Area of analysis: *Population & Development*	**Interview code** *09JG*

Name(s) of the interviewee(s): name and surname of the interviewee (or interviewees in the event the interview is held with more than one person or corresponds to a group discussion).

Position: the job that the interviewee (s) holds in the present organisation.

Institution/organisation: the name of the institution (including the department/division) in which the interviewee holds her/his position.

Interview date: the date of the interview (date/month/year).

Output/AWP/Atlas project: the purpose of this entry is to link the interviewee with the action/s of the country programme s/he has been involved with. Whenever possible the evaluator will provide output, AWP and Atlas project data. If any of these items is not clear or unknown, the evaluator should identify at least one of them (preferably the output). It is advisable to complete this entry before the interview so that the evaluator is acquainted in advance with the type of activities and expected outputs to be discussed with the interviewee. This will make it much easier to frame the interview.

Stakeholder type: this is a brief reference to identify which type of stakeholder the interviewee is i.e. whether s/he is a direct/indirect beneficiary, or an intermediary beneficiary, an implementing partner, a UNFPA donor, a UN agency, or a stakeholder associated with the broader framework in which the UNFPA operated e.g. a country's development partner.

Interviewer: the name or names of the evaluation team member(s) conducting the interview.

Area of analysis: the name of the focus area that the interview is mainly associated with i.e. reproductive health, gender equality or population and development. Another possibility is that the interviewee is associated with one or more areas and with the analysis of strategic positioning. It is up to the evaluator to judge what area(s) should be included in this data entry.

Interview code: the interview code has two elements; the interview number and the initials of the lead evaluator conducting the interview, for example the ninth interview conducted by an evaluator named John Goodman would be coded 09JG. The interview numbers should follow a consecutive order that goes from one to the number of the last interview performed by that evaluator.

INTERVIEW CONTENT

Background & key issues

Background
This part could include, for example, a succinct description of the main tasks, roles and responsibilities of the interviewed institution and its relation to the country programme[56] e.g. (i) *the Planning Department has been supported by UNFPA for the last ten years; UNFPA is one of the few agencies in the country supporting this Department*; (ii) and/or a justification for this interview e.g. *this institution is key to assess output 2, as the strengthening of the planning function in population and development issues takes place in this department*; (iii) and/or mention any other previous interviews that this interview may be related to e.g. *in interview JG12 it was mentioned that this Department produces an annual report containing data which could be useful to compare against CPAP indicators.*

Key issues
A brief list of the objectives and/or topics to be dealt with in the interview e.g. *(1) find out whether capacity building activities were relevant; (2) are they using the knowledge transferred by the training programme (ask for examples)?; (3) check staff turnover in participants to capacity building activities; (4) check whether there have been delays and implications; (5) check sustainability aspects (are benefits sustainable? need for follow-through activities? exit strategy?, etc.*

Content
This part will be the most extensive section of the logbook and it will contain the notes taken by the evaluator during the interview e.g. "*they have not participated in the design of the training modules, which they find are not appropriate to their needs at times e.g. the last training on modelling techniques was not relevant as the trainer used methods that cannot be applied in the country due to the current lack of (...); USAID uses an approach that is apparently more effective (...); despite of problems with training programme there is good perception of UNFPA support: additional funding was promptly provided upon request for installation of highly needed information management systems which are currently functioning and used for data analysis (...)*

Main conclusions
This part will be usually completed after the interview and implies that evaluators should re-read the interview at least once after it has conducted. Conclusions should be written down in a concise form e.g. *(1) problems with the relevance and effectiveness due to (...); (2) high likelihood of sustainability problems; (3) UNFPA perceived as very responsive partner; (4)...*

Next steps
This is a brief list of actions that should follow the interview (if any). For example: (1) *check if relevance and effectiveness problems are also issues at the National Bureau of Statistics; (2) arrange an interview with USAID to find out about their apparently successful approach; (3) Mr Saenz will send me their annual report by email by end of this week; etc.*

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[56] The evaluator may have obtained this information by means of the portfolio presentations made by the country office at the start of the field phase and/or by reading programming and progress report documents.

ADDITIONAL TOOL:

PRACTICAL TIPS TO CONDUCT INTERVIEWS AND FOCUS GROUPS

Tool 13 bis A - How to conduct interviews: practical tips

Optional   Optional

Interviewing requires not only methodological rigour and analytical skills, but also interpersonal skills.

- *What we think we should know… and fail to ask*

Some evaluators are reluctant to ask certain questions which could make them appear as insufficiently informed, thus not credible enough.

➔*Tip: In case of doubt, always ask. It is important to be prepared through background reading before the interviews to avoid unnecessary questions. However if further clarity is needed, it is important to ask the interviewee. Example: seek clarification if the interviewee uses acronyms or internal concepts out of habit without realizing the evaluator is not familiar with them.*

- *What we think we know… and fail to ask.*

It is common when approaching a new environment to look for similarities with a situation/context encountered in a previous evaluation. However assumptions based on such similarities are often misleading and should therefore be carefully checked.

Furthermore, common terms -- such as "participation", "province" or "indicator", may relate to varying concepts according to countries and/or organisations.

➔ *Tip: Ask the interviewee "What do you mean by Indicator?", "What do you mean by Participation?", etc.*

- *What interviewees think we know, and neglect to explain*

Interviewees may discuss only what s/he thinks useful, and omit to mention key issues which they assume we know already. When the interviewer shows a good understanding of a given situation, s/he provides a disincentive for interviewees to express their own views.

➔*Tip: the evaluator should present himself as "new" to the issue being discussed in order to obtain a maximum of information from the interviewee.*

- *Jargon as a threat to good communication*

The use of jargon can be a barrier during interviews. When the interviewee speaks of "capacity building", "empowering women" or "using a holistic approach", s/he does not explain what those concepts concretely refer to. Similarly, evaluators should avoid jargon to ensure effective communication.

➔ *Tip: Every time jargon is used, the evaluator needs to ask "what do you mean by…". For example, "what do you mean by capacity building?".*

How to make evaluation jargon understandable by all

The evaluators should as much as possible avoid technical jargon. See examples below:

- Don't say: *"What **indicators** do you use to measure progress?"* Say: *"When you tell me that people are satisfied, what makes you think they are? What elements can back your impressions?"*
- Don't say: *"This is the **activity**, but what is the **result**?"* Say: *"I understand you have put a lot of effort*

> *in this training workshop. Would you say it has been a success? Why? How do you know that people trained have actually learned from it? How do you know they are using what they learned in their jobs? " etc.*
> - Don't say*: "This is the **result**, but is there wider **effect**?"* Say: *"I understand that many nurses have learned how to do their job better, but has the overall situation improved in the hospital? If so, do you think the nurses have contributed to this improvement? How? "*
> - Don't say*: "This is the situation now, but I cannot understand if it means any progress unless I have **baseline data**"* Say: *"You tell me that people feel more confident about going to the hospital now. Why in your view were they less confident two years ago?"*

- *Judging too early*

It is important that evaluators should not classify the information immediately after the interview, but keep it open for reassessment.

In the course of the field visits, evaluators meet with various stakeholders. Each stakeholder has his/her own perspective on the intervention(s) being assessed. As a result, all information must be considered partial or one-sided, and are subject to revision in the light of further information gathered through interviews and/or other means of triangulation.

➔ *Tip: Evaluators should conduct each interview as if it were the first. Final judgement on the validity of information obtained through an interview will only result from rigorous triangulation.*

- *Ensuring all evaluation questions are covered*

Each evaluator should inform the rest of the evaluation team on the progress in gathering information with a view to answering the evaluation questions. The team should ensure through regular updates that information gaps are satisfactorily taken care of. In particular, the evaluation team should bear in mind that accumulation a wealth of information does not mean that they have gathered the information which is both necessary and sufficient to answer the evaluation questions.

➔*Tip: Take a look at the evaluation questions and interview notes every one or two days to check if there are any gaps. Once gaps are identified, a reflection should follow on who is the next interviewee in the agenda who can help address the gap, and ensure that relevant questions are included in the interview guide for that interviewee.*

- *How to strike the right balance between structure and flexibility in an interview?*

The evaluator must structure his/her interviews based on clearly set objectives (see tool 11 – Guiding principles to develop interview guides). However this structure should remain flexible enough to provide the interviewee with the assurance that s/he can express him/herself freely and, thus, provide the evaluator with quality information.

➔*Tip: The evaluator must have a clear idea of what are the objectives of a given interview. However, s/he must adjust to the way the interviewee expresses him/herself. The evaluator must ensure that all the discussion items are covered while respecting the natural stream of communication. This approach is respectful and creates an environment more conducive to sharing information. It allows the interviewee to provide the evaluator with information that the evaluator could not have obtained otherwise.*

☞ | See Tool 11 - Guiding principles to develop interview guides

- *The importance of creating a good atmosphere for the interview*

A successful interview starts with establishing a good contact between interviewer and interviewee. This requires some time yet it is necessary to create a favourable atmosphere. The interviewee's first

impression of the evaluator is crucial indeed since it may affect the unfolding of the interview and the interviewee's openness in answering questions.

➡*Tip: When introducing themselves, the evaluators should thank the interviewee for the time dedicated to the evaluation. They must recall the objectives of the interview and stress its importance within the overall data collection process.*

➡*Tip: When the interviewee is directly related to the performance of the programme, evaluators should reassure him/her that on the purpose of the evaluation: not an assessment of his/her individual achievements, but rather an analysis of what has worked / what has not with a view to improving the programme in the future.*

- *Do not forget the gender issues*

When preparing the interviews evaluators must ensure that gender issues are systematically addressed. The difficulty consist in moving beyond the general discourse on gender equality and obtain from the interviewee information on tangible and concrete actions which may reflect a real mainstreaming of equality issues in the intervention(s) being assessed (e.g.; the evaluators should enquire about : budget allocations, design approaches, inclusion of gender-sensitive indicators, etc.).

📑	It is beyond the scope of this manual to offer a comprehensive methodology on how to integrate gender issues in evaluation and interviews. Some resources that are useful as a reference for an evaluator to acquire a better understanding of gender mainstreaming are the following: *- Integrating Human Rights and Gender Equality in Evaluation -- Towards UNEG Guidance* *http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=980-* *Focusing on gender (UNFPA)* *http://www.unfpa.org/publications/detail.cfm?ID=299&filterListType* *-Toolkit on mainstreaming gender equality in EC development cooperation (EC)* *http://www.iiav.nl/epublications/2004/toolkit_on_mainstreaming_gender_equality.pdf* *-Gender Evaluation Methodology (APC women)* *http://www.apcwomen.org/gemkit/en/gem_tool/index.htm*

- *Dress code*

It is impossible to define a dress code that would be appropriate for every situation. However, evaluators should be aware of the signs sent to the interviewees by their way of dressing.

➡*Tip: Elements that can be seen as offensive in the country/context/culture should be identified before the start of the field phase (uncovered shoulders for women, short sleeves for men in some cultures, etc.). Evaluators should inquire from the country office about the most appropriate attire before field visits.*

Typical pitfalls that can be avoided with planning: preventing surprises

A number of situations can seriously affect the conduct – hence the usefulness of interviews. Some of these situations can be easily prevented by carefully planning the interviews.

- *Limiting attendance at an interview to key staff*

Except for cases when focus groups are more appropriate, the evaluator will often decide that is important to interview stakeholders individually or in small homogeneous groups (group interview) so as to ensure confidentiality and to allow the expression of free/uncensored opinions. Even if the

evaluator has requested individual interviews, it is not infrequent to find out at the last minute that a third party has unilaterally decided to accompany the evaluator. Whatever the reasons invoked (hospitality, protocol, interest in the matter being discussed, etc.), evaluators should be careful to prevent any possibility and/or intention to influence the course and/or outcome of the interview.

The following box includes a series of tips to avoid this situation.

Steps to ensure that a third party will not attend an interview
Stress the need for interviews to be conducted in an independent manner
Alert the evaluation manager at the start of the field phase on the need for interviews to be conducted without any interference from other stakeholders. Check that this requirement is well understood and agreed upon by all at the country office (Representative and programme officers in particular). This should be stressed again when organizing interviews with Government staff.
Check in advance whether interpreters will be needed
The evaluation team should check if interpreters are needed and hire them according to needs. Not having an interpreter may entail that another stakeholder will have to perform the interpretation, hence a risk (i) that the interviewee will not express him/herself freely and/or (ii) that the "interpreter" will not faithfully/accurately convey the views of the interviewee.
Key advice
a) Explain to the third party that the privacy of the conversation is necessary for the expression of unbiased views by the interviewee. For example: "if I ask the new doctor how good was his training, and he replies – Excellent, I, as an evaluator, will not be able to distinguish whether this is a real assessment on his part or a mere courtesy reply".
b) Explain to CO staff and other stakeholders that a debriefing will take place at the end of the field phase, during which information stemming from interviews (as well as other sources) will be shared transparently with them.
c) In case the third party insists on attending the interview out of courtesy, politely decline and indicate that you do not need further assistance. If the third party claims that the interview is a great opportunity for him/her to understand [the object of the interview], propose as an alternative solution that a specific debriefing for him/her can take place at a later stage.
If the previous approach does not work
The evaluator should look for an alternative manner to formally accommodate the third party's request while preserving optimal conditions for the interview. For instance: if trainers and trainees have been called together for an hour interview, the evaluator should suggest to organize two separate 30-minute group interviews.
If no solution can be found
If evaluators have not obtained the necessary conditions for conducting interviews according to professional standards, they should mention this in the evaluation report as a serious limitation to their data collection work. Evaluators must assess the validity of the obtained information against the context in which interviews were conducted.

☞   For explanations on how to choose between individual interviews, group interviews and focus groups, see part "*Interviews: individual interviews, group discussions, and focus groups*" in section 1.4.2.2 of the Handbook.

- *How to keep protocol to a minimum during field visits*

During the field visits, it is often useful (if not indispensable) for the evaluation team to be accompanied by dedicated staff from relevant institutions (CO, Ministries at central or local level, interpreters, etc.). These staff may help introduce the evaluation team to the stakeholders. However, a too large group of accompanying persons may result in turning what should be a technical level meeting useful for the evaluation into a ceremonial/political event, voiding the field visit of its substance.

➔ *Tip: Evaluators must request to be accompanied only by the most essential person/s on their field visits. This request must be done at the very start of the field phase. Evaluators should stress that they wish to avoid too much protocol.*

- *Field visit bias: when stakeholders tend to show only "the good things" to evaluators*

Some stakeholders may consider the evaluation exercise as an opportunity to communicate on the positive results of the interventions being assessed. As a result, they may selectively orientate the evaluators to those sites where positive results are visible.

	Ways of ensuring that field visits cover a representative sample of UNFPA areas of interventions
1	Ask explicitly to visit sites where interventions show good results and sites where the programme is facing difficulties.
2	It may be necessary to explain why the evaluator needs to see both areas in which the programme is successful (to learn the reasons, replicate and show to others) and in which the programme is facing problems (to learn and correct). This will help the stakeholders better understand the information needs of the evaluators.
3	At times, stakeholders think an evaluation is being undertaken because "they have done something wrong." The evaluation manager must clarify that a country programme evaluation follows a standard approach and is not targeted at particular situations/contexts.

- *Ensuring the representativeness of the sample of stakeholders*

The evaluators should pay particular attention to representativeness when building their sample of stakeholders to interview.

➔ *Tip: Evaluators should organize a specific meeting with the evaluation manager and CO programme officers to ensure the representativeness of the sample of stakeholders.*

☞	For the process of stakeholder sampling see section 1.3 "Selecting a sample of stakeholders" and in particular the table showing "stakeholder selection criteria". All in Part 1 of the Handbook (Designing the evaluation).

- *Ensuring that final beneficiaries are consulted*

Decision makers and managers tend to be well represented in the evaluation agenda. Evaluators must also meet and interview final beneficiaries (note that interviewing children requires specific techniques). The evaluators must however bear in mind that the information collected through interviews of final beneficiaries is often limited to their immediate perception of the benefits (or lack thereof) they draw from the programme/intervention. Such information is thus more useful for illustrating specific findings (in particular regarding relevance) rather than building an in-depth analysis of the performance and sustainability prospects of the programme/intervention.

➔*Tip: When final beneficiaries are children, it is important for the evaluator to explain concepts in an appropriate language and to let them ask questions that may not be directly related to the evaluation.*

➔*Tip The team leader must brief the evaluators on the purpose (and limitations) of interviewing final beneficiaries. The evaluation manager must ensure that a significant sample of final beneficiaries is included in the agenda*

- *Ensure reasonable time is allocated for each interview*

As already mentioned, building a representative sample of stakeholders is crucial for the success of the data collection process. Indeed, it allows for an optimal use of the limited time allocated to the

field phase (three weeks). The duration of an interview may vary, however, when scheduling interviews, the evaluators must ensure that they have set aside sufficient time for all points/themes/issues to be addressed.

➔ *Tip: The evaluators should foresee a certain level of flexibility in their tentative schedule for interviews so as to: (i) ensure that the time required to travel from one interview to the next is sufficient and (ii) to accommodate for the need for extra time with some interviewees.*

- **What is the best location to hold an interview?**

The location for an interview can affect the quality and quantity of the information collected by the evaluator.

➔*Tip: Generally speaking it is advisable to see the interviewees in their own environment. Meeting the interviewee in her/his environment may make him/her feel more comfortable. This can also provide the evaluator with additional information – e.g. looking at the construction, location, difficulty of access, basic services, etc., provides the evaluator with an opportunity to get a grasp of the context of the intervention.*

How to cope with particularly difficult interviews

Previous sections have placed the emphasis on the need for a good planning and preparation of interviews. However, unforeseen events may arise which may affect the course of the interviews.

- **When a key interview is cut short**

The interviewee arrives and states that s/he has a short amount of time. Evaluators must make the most of the time available.

➔ *Tip: when preparing the interview guide, always evaluators should always identify the most crucial questions. Those are the questions evaluators need to ask in the event the interview is unexpectedly shortened. To identify this set of "priority questions", the evaluators must first rule out those questions that can be answered by other interviewees. Then, the evaluators must sort the remaining questions by priority order.*

- **When the interviewee gives a speech and leaves**

If the interviewee tends to turn the discussion into a monologue, the evaluators should insist as much as possible in raising the themes/topics identified in their interview guides.

- **When interviewees are defensive or, evasive**

Evaluators may be faced with an interviewee who seems reluctant to provide them with straightforward and detailed answers, thus refusing to share information. Sometimes the interviewee has difficulties discussing an issue s/he finds particularly sensitive or difficult to express.

➔*Tip: Evaluators should try to reassure the interviewee. In particular, they should adopt a constructive attitude and demonstrate that they do not have any preconceived ideas regarding the programme/intervention under evaluation. They should also explain how the information provided by the interviewee will be used afterwards. They should in particular stress the confidentiality attached to this exercise. Another way of encouraging the interviewee to express himself/herself is to stop taking notes and simply listen, as in an informal conversation.*

Tips to collect and code information

Different tools (e.g. tape-recorder, notebook) may be used by evaluators to record information during the interviews.

- **The use of a tape-recorder is not advisable**

Tape-recorders are generally considered invasive by interviewees; they are perceived as a means to produce a permanent record of the conversation, as opposed to notes, and will inevitably affect the quality of the interview. In any case, the use of a tape-recorder is conditional to the agreement of the interviewee.

- **Coding information**

Throughout the field phase, evaluators will collect a wealth of information. In order to retrieve and share (within the team) the information needed both for the end of field phase debriefing meeting and the drafting of the evaluation report, evaluators must adopt a homogenous coding system. The team leader must ensure that such a coding system is adopted by all team members right from the start of the field phase. The coding system selected by the team will help structure the data/information collected by each evaluator.

➔ *Tip: Coding systems may be based on the evaluation criteria (e.g. information related to Relevance; information related to Sustainability; etc.) or on key evaluation themes/issues (e.g. information related to a Government controversial issue; information related to gender mainstreaming in different components; etc.)*

The general guidelines and practical tips offered for individual interviews are also valid for focus groups. In the present section, the reader will find guidance and practical tips on aspects pertaining to the organization and conduct of a focus group.

Selection: characteristics of the focus group

Focus groups should be characterized by:
- Participants who are similar in one or more ways with regard to the issue discussed;
- Size. Ideally 5-12 participants (to keep the group manageable);
- Absence of hierarchical relations. Avoid groups in which hierarchical or other relations impede open expression of opinions;
- Moderators. The discussion is facilitated by skilled moderators who guide the participants along a set of clearly defined topics.

Developing interview guides: particularities of the focus group

☞	See Tool 11 - Guiding principles to develop interview guides See Tool 12 – Checklist for sequencing interviews

In the table below, the evaluators will find a number of practical considerations they need to address when organizing a focus group.

Sequencing: particularities of focus groups

Stages in sequencing interviews / focus groups	Particular aspects for focus groups
Introduction – Building a rapport with the interviewee(s)	This stage starts with a brief introduction of all participants in the focus group. The opening of a focus group discussion is a critical moment. The evaluator must create an open/stimulating atmosphere so that all participants feel comfortable and can express themselves freely. The evaluator needs to set a positive tone by speaking to all members of the group in the same respectful manner.
Inform the interviewee(s) of the objective and context of the interview	Evaluators must explain the objectives of the focus group and establish the ground rules for the discussion. If the evaluators wish to use a tape-record, they must obtain the agreement of the participants.
Opening questions: refining our understanding of the role/function of the interviewee(s)	For focus groups, these opening questions should be raised when participants are invited to introduce themselves.
Core interview: the objectives set out in the interview guide are turned into questions	This stage typically includes four or five objectives which the evaluators need to formulate as questions and sub-questions. The formulation of questions needs to be carefully prepared so that all participants understand them unequivocally. • *Do*: Listen to all opinions expressed. Also observe who intervenes and who does not; try to gently include everyone in the discussion; contain those participants who try to dominate the debate; summarize opinions of

Stages in sequencing interviews / focus groups	Particular aspects for focus groups
	participants who do not express themselves in a concise manner. • *Don't*: agree or disagree with opinions expressed; give personal opinions; cut off answers; let some people dominate the discussion.
Wrap up	Apart from the wrap-up points detailed in the individual interviews section ("have we missed anything?", etc.), it is advisable to add two additional wrap up questions: o Ask participants to reflect on the entire discussion and then offer them the possibility to refine their positions and/or opinions; o The evaluator should present a summary of the discussion and the main points debated. S/he should seek agreement of the participants ("Is this an adequate summary of the discussion?")

Basic principles to moderate/conduct a focus group

Conducting a focus group should involve: the interviewer, a moderator and a note-taker. The moderator should pay particular attention to the following points (see table below).

Checklist for focus groups	Check
Preparation and design	
Is a focus group necessary / useful?	
Are the topics under study clearly identified before the setting up of the focus group?	
Should some reference documentation be made available to participants?	
Is the facilitator well acquainted with techniques on group interaction?	
Are participants informed of the objectives and the topics to be discussed prior to the focus group?	
Reporting	
Does the reporting clearly distinguish factual information from opinions?	
Does the reporting accurately describe the diversity of points of view and opinions expressed by the various stakeholders?	

Focus groups are treated as individual interviews, i.e. they form part of a global collection of data that is assessed and presented in the evaluation report. At the time of writing the note of the focus group discussion, the evaluator should not include a specific analysis or recommendations directed to that focus group.

☞   Go to Part 3, 3.3 Templates, template 8 – *Note of the results of focus group*

3.1.3 Tools for data analysis

Tool 14 – Preliminary findings summary table

What is it?
It is a matrix that links preliminary findings by evaluation question with the evidence that supports such findings. It also lists the main sources of the evidence, which allows findings to be tracked back to evidence. The table also includes preliminary recommendations.

When to use it and why?
The table makes it possible to comply with the CPE requirement that all findings (and ultimately conclusions) should be able to be traced back to evidence. The table has two main uses at two different points in time:

- Evaluators may use it individually to synthesize and summarise the core findings of the evaluation exercise as they are conducting the data analysis. In this regard it is an individual tool to assist each evaluator in organising and structuring their findings on the basis of evidence.
- The evaluation team will use it as a tool to agree on the main preliminary findings and recommendations that will be presented to the country office at the end of the field phase.

How is it structured?
There are four columns and two rows for each evaluation question:

Evaluation questions are taken from the evaluation matrix.

Main preliminary findings are concise answers (or part of the answer) to the evaluation questions.

Brief description of the evidence contains a succinct explanation on what are the main evidence/ facts supporting the preliminary finding.

The term *"main sources"* refers to the main sources of the evidence, which in most of cases will be associated with documents, individual interviews, and/or to the results of focus groups. When the source is a document or a website, evaluators can simply include the name of the document/web address and, if possible, the number of the page. When the source corresponds to an interview, group discussion or focus group, evaluators should insert the interview code.[57]

Preliminary recommendations are based on the initial findings for that particular evaluation question.

How to use it?
There will be usually five tables: one for each of the three programmatic areas (gender equality, population and development, and reproductive health), one for strategic positioning (including the three criteria), and one for the assessment of the M&E system. Each evaluator should complete the table according to the area of analysis s/he is responsible for.

Prior to the presentation of preliminary findings to the country office, the evaluation team will hold an internal meeting in which the preliminary finding tables will be discussed.

In this meeting, evaluators will discuss the credibility of the finding on the basis of the evidence and will agree on a set of preliminary findings and recommendations to be presented to the country office. The team does not need to present the table to the country office, as it is an internal tool. Yet during the presentation, the evaluators may make use of the preliminary findings summary table to justify the findings whenever there are queries from the country office on their validity and robustness.

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[57] See the green-shaded box in Tool 13, the interview logbook.

Template layout for programmatic areas and strategic positioning:

(Name of the area of findings e.g. programmatic area or strategic positioning)			
Evaluation Question	Main Preliminary Findings	Brief description of the evidence	Main sources
EQ1			
Preliminary recommendations			
EQ2			
Preliminary recommendations			
EQ3			
Preliminary recommendations			
(…)			

Example for programmatic areas:

POPULATION & DEVELOPMENT			
Evaluation Question	Main Preliminary Findings	Brief description of the evidence	Main sources
EQ2: To what extent were the excepted outputs of the CPAP achieved? (*What to check*: Output 2, strengthened technical capacities of the national staff in charge of integrated management information systems in the field of population and development)	Technical assistance and capacity building provided by UNFPA is resulting in improved management information systems (MIS) in the field of population and development.	Integrated MIS functioning at the Ministry of Planning (MoP).	Interviews 5RE, 8RE, 12RE; MoP Annual Report; MIS Operational Manual.
		Employment Strategy and Education Strategy incorporates demographic data provided by the MoP's MIS.	Interviews 9RE, 16JB, 7RE; Employment Strategy pages 35, 67, 89, and Education Strategy pages 25, 48, 79 and 124.
Preliminary recommendations	None		

Example for strategic positioning:

STRATEGIC POSITIONING - Responsiveness			
Evaluation Question	Main Preliminary Findings	Brief description of the evidence	Main sources
EQ17: To what extent has the country office been able to respond to changes in national needs, including national priorities, or to shifts caused by crisis or major political changes? What was the quality of the response?	Rapid reaction to emergency situations	Distribution of 5,000 kits within a week after northern region floods; presence in eastern region cholera outbreak less than two weeks after government request	17KA, 21KA, 19RE; EC's evaluation report on Northern Floods; 12/04 Letter of Ministry of Health to UNFPA
	Flexibility and adaptability in response capacity	Practically all development partners in the country explicitly appreciate the flexibility and adaptability of UNFPA in responding to evolving national needs	Note of the results of focus group; 17KA, 21KA, 23KA, 24KA; PPT presentation from UNCT
Preliminary recommendations	None		

The only exception is the table for the assessment of the M&E systems, which has only three columns because there are no specific evaluation questions associated with this CPE component.

Template layout for the assessment of the M&E system:

ASSESSMENT OF THE M&E SYSTEM		
Main Preliminary Findings	Brief description of the evidence	Main sources
Preliminary recommendations		
Preliminary recommendations		
Preliminary recommendations		
(…)		

Example for the assessment of the M&E system:

ASSESSMENT OF THE M&E SYSTEM		
Main Preliminary Findings	Brief description of the evidence	Main sources
There is no information system for monitoring the outputs and outcomes of the country programme. Monitoring information is generated for activities, but it is not systematized.	No information collected on current values of output and outcome indicators; the M&E Framework not operative.	M&E Framework as of December 2011; M&E Plan.
Preliminary recommendations	Start the process of designing an information management system associated with the M&E Framework indicators e.g. define the type of information to collect, who should collect it, how often, the data sources, and the collection methods; conduct a preliminary study of the possible computer/software platforms on which to base the information system.	

3.1.3   Tools for assessing the country office M&E system

Tool 15 – M&E system assessment grid

Optional

What is it and when to use it?

The M&E assessment grid is a tool designed to assist evaluators in the process of analysing the country office M&E system. It provides the main framework against which evaluators will make the assessment of the four components of the M&E system. The results of the grid are used as inputs to Chapter 6 of the final report "Transversal aspects: Monitoring & Evaluation System" and to the action plan for the improvement of the M&E system (tool 17).

The assessment grid has been designed as an internal tool for the evaluators' use only and should <u>not</u> be regarded as the output of a performance audit on the M&E system. However, it could be included in the final report as an annex if the country office requests it.

Why use it?

The grid acts as a type of evaluation matrix for the M&E component of the CPE as it summarises the core aspects that should be assessed. It is also a tool used to record the main results of the assessment.

Once it is completed, the evaluator in charge of assessing the M&E system can use it to fill in the preliminary findings summary table, and it can also act as a resource for the presentation of the preliminary findings in the plenary debriefing. The grid contains a simple visual scoring system that allows an immediate identification of aspects requiring improvements.

The grid also allows for progress on the improvements of the CO M&E system to be tracked over time. The country office management, and eventually, evaluators of future CPEs can compare the results with previous quality/status scores in order to assess whether progress has been made, and if that is not the case, find out the reasons why and provide practical suggestions or take actions to reverse the situation.

At an aggregated level, adding the results of the quality/status scores for all CPE and comparing their evolution over time, can give UNFPA corporate management a cumulative overview of the quality of their M&E systems as well as of the deviations between the current situation and the M&E requirements set forth in the UNFPA Strategic Plan. Furthermore, comparing quality/status over time will give an indication on the extent to which the recommendations included in Action Plans are adopted and on whether they are relevant, useful and effective.

How to use it?

Evaluators should read the questions for each feature of the M&E system, answer them and assign a 'score' to the answer (see below).

The grid has four columns:

Features of the M&E system: This column lists the main elements of an M&E system that should be checked during the evaluation. These features cover the essential components that an operative and complete M&E system should have. It should be noted that the *MIS* and *resource* elements are applicable both to the monitoring of inputs and activities (*compliance monitoring*) and to the monitoring of outputs and outcomes (*results-oriented monitoring*). It should be noted that the first feature, "Type and nature of the M&E", is not merely descriptive. It also implies a judgment on the objective to have country office M&E systems that are both activity and results-based and that should be jointly managed with government counterparts, or ideally, led by them.

What to check: This column guides the evaluator on the aspects that should be analysed for each one of the features. These aspects are formulated as questions. A positive answer to the question is a first indication that the aspect is in place and functioning. Conversely, a negative answer is an indicator of the poor status of that aspect of the feature.

➡️*Tip: the "what to check" column of the grid can also be used to identify the key stakeholders (associated with the M&E system) to meet during the field phase.*

Quality/status: This row provides a visual snapshot of the condition of the M&E system at the time of the evaluation. Evaluators should judge every aspect contained in the 'what to check' column and assign one of three possible scores:

+	The answer to the question is positive. The feature/aspect is on track. There is no need for particular improvements.
○	The answer to the question is mainly positive but with reservations. The aspect/feature works or, where it does not work, it does not have major negative implications; yet there is room for improvement.
-	The answer to the questions is negative. The aspect/feature is not functioning/operational, or it operates poorly and its implications are clearly negative. There is considerable room for improvement.

Answers: In this column evaluators should include a brief narrative answer to the "what to check" questions; and whenever possible, a concise explanation on the implications of such negative answers. These negative answers will be the starting point to identify preliminary suggestions on how to improve the status of that particular feature.

Feature of the M&E system	What to check	Quality / status	Answer
Type and nature of the M&E system			
Type	Is the system activity-based, results-based or both?	○	System based on monitoring inputs and activities (compliance monitoring). Results-based monitoring does not exist. Recently (2011) monitoring tools have included the monitoring of sub-outputs at the level of the AWP; but there is no monitoring of products at the aggregate level (at the level of the M&E Framework).
Nature	Is the system led by UNFPA, jointly managed with government counterparts, or led by them?	-	Government partners do not intervene in monitoring the CPAP; there are no annual reviews or joint M&E Framework review exercises. Executive partners intervene in monitoring, but only at the level of inputs and activities.
Management Information System (MIS)			
Design and structure	Is there an MIS associated to the M&E system?	-	There is no information system for monitoring the outputs and outcomes of the country programme. Monitoring information is generated for activities, but it is not systematized.
	Is the MIS design formalized in a written document e.g. an operating manual?	-	There is no reference document associated with the information management processes related to monitoring the CPAP with respect to monitoring inputs and activities.
Data collection	Does the system define who should collect what information?	○	Defined in Box E-1 (role of different local participants in taking decisions and using monitoring and evaluation tools) of the M&E system. However, the information management processes that derive from the box are not operational for some actors (Government Coordinating Bodies; Director of Programme Component).
	Is the frequency of data collection well defined and appropriate?	○	Frequency of data collection with regard to activities and inputs defined and implemented via the Annual Work Plan Monitoring Tool (AWPMT). However, frequency is irregular (not always quarterly) and there is no data collection on outputs.
	Is the level of information depth/analysis appropriate vis-à-vis the country office and government information and management needs?	-	Level of detail not adequate given that (i) there is no input from Government with regard to the information needs generated by the CPAP M&E system; (ii) the mechanisms that should enable sharing the information generated are not operational.
Information flows	Does the system define who should report to whom?	○	Only partially with respect to activities and inputs. The sequence of information flows is not explicitly set out in any document.
	Does the information get to the right persons timely and efficiently?	○	Partially. No information is received (because it is not generated) at the level of outputs and outcomes of the country programme; and at the level of inputs and activities it is received but not always with the desired frequency because sometimes the AWPMT is submitted at more-than-three month intervals (every six months or annually in some cases).
	Are there appropriate templates to report the information?	○	The forms used to report information with regard to inputs, activities and outputs at the level of the AWP (not at the aggregate level) are adequate and have recently been significantly improved. There are no forms for reporting on outputs at the aggregate level.
	Does the system provide feedback to local counterparts?	○	There is no evidence-based feedback with regard to government partners within the framework of the M&E system of the CPAP. Feedback is given to implementing partners on the basis of the AWPMT.
Resources			

Feature of the M&E system	What to check	Quality / status	Answer
Financial resources	Is there a budget available at the UNFPA country office for monitoring purposes?	-	There is no separate budget for M&E in the programme. The M&E items are associated with the AWPs (for DEX or NEX execution) and only include expenditure associated with compliance monitoring. There is no budget for results-based monitoring.
	Do relevant counterparts have budget allocations to implement the system?	-	Government partners, especially the VIPFE as the National Coordinating Body of the CPAP, suffer from a lack of resources – both human and financial – to assume their roles within the system. Not all sectorial partners (Ministries) have specific budget allocations for monitoring the part of the system they should be monitoring (outcomes).
Human resources	Is there a person in charge of the entire system within the country office?	O	The country office has an M&E focal point; a position filled by a Programme Assistant who can dedicate 10% of his time to focal point functions. There is no full-time M&E officer.
	Are monitoring responsibilities clearly allocated to each staff?	-	There is no clear, formal allocation of M&E responsibilities. The job description of the M&E focal point does not include a description of his tasks as an M&E focal point. Apart from compliance monitoring tasks, technical staff in the country office does not have clear M&E functions/roles allocated.
	Does the staff have the appropriate capacity to implement M&E tasks?	-	Existing capacity is insufficient to implement a results-based monitoring and management system in accordance with the prerogatives of the Strategic Plan. The provisions of the Plan (paragraphs 87 and 88) with regard to continuous training and learning and increasing the capacity of UNFPA are not being implemented. There are no major problems with regard to compliance monitoring; however, staffs are not being trained in the use of M&E tools, and this is affecting the quality and optimal use of these tools.
	Does the system capitalize on local capacity to collect relevant information?	O	There are structural weaknesses with regard to the collection of information in the country in general, and this makes it difficult to make use of such capacities. Having said that, the fact that the CPAP M&E system does not actively involve Government partners makes it difficult to make the best use of existing capacity (however limited this may be). On the other hand, the new format of the AWPMT is a significant step forward, although there is no explicit strategy for building local capacity.
	Does the system build local capacity to collect and use relevant information?	O	It does so at the level of inputs (budgetary monitoring) and activities but not at the level of programme outputs and outcomes; and it does so indirectly by involving implementing partners in drawing up reports. There is no capacity building for government partners.
Indicators			
Feasibility of the objectives	Are the outputs and outcomes – associated to the indicators- attainable?	-	Several of the outputs contained in the Results Framework and the M&E Framework are formulated in terms of outcomes of the country programme and not outputs attributable to UNFPA.
Quality of the indicators	Are indicators clearly formulated for the most part?	+	88% of indicators analysed in the revised M&E Framework are clearly formulated
	Are indicators relevant for the most part?	+	78% of indicators analysed in the revised M&E Framework are relevant.
	Are indicators specific for the most part?	+	89% of indicators analysed in the revised M&E Framework are relevant.
	Are indicators operational for the most part?	-	Practically none of the M&E Framework indicators are operational; that is, none can be used in practice to measure the level of achievement of outputs and outcomes of the country programme.
The role of evaluations in the system			
Integration into the system	Are evaluations, well planned and selected so as to respond to the needs of the country office &		Evaluations do not follow an organized, planned process. The Office has adopted a reactive rather

Feature of the M&E system	What to check	Quality / status	Answer
	UNFPA?	-	than a proactive attitude to the few evaluations conducted to date. There have been no evaluations of either the outputs or the outcomes of the country programme. The only exception has been the mid-term review (MTR) of the CPAP, which has directly contributed to the office's strategic/diagnostic institutional review process.
	Are evaluations findings properly channelled into management and decision processes?	-	Only in the case of the MTR. The fact that there is no structured planning process with regard to evaluations means that the results of these evaluations are not incorporated into decision-making processes. The two internal evaluations within thematic axes– both mid-terms – were carried out with delays, and this affected the possibility of using the results of these evaluations.
	Are the results of evaluations used to update the CPAP results framework?	-	Only in the case of the MTR and only to a certain degree. There was a review of the Results Framework and the M&E Framework but it only affected indicators (programme outputs and outcomes were not reformulated). Moreover, this review was not binding (the frameworks were not officially revised); it was an internal exercise.
Alignment	Are evaluations designed and its findings shared with relevant national stakeholders?	○	National partners take part in the evaluations related to the country programme (MTR and this Country Programme Evaluation): they provide inputs to the terms of reference and the results of the evaluation are shared with them – a reference group was established for this evaluation. This having been said, the role of some key partners (VIPFE, for example) in the design of the evaluations remains minimal.
Monitoring of risks and assumptions [58]			
Assumptions	Has the country office correctly identified the main assumptions affecting the country programme?	+	The country office regularly monitors assumptions through the functions of the Resident Representative and the advocacy activities carried out by the country office management team. Analysis of risks takes place, at the internal level, in monthly management meetings.
	Is the country office able to obtain accurate and timely information on changes in those assumptions?	+	Yes; thanks to the good relationship with Government partners and other development agencies in the country, and the current good positioning of the country office in the country at an institutional level.
Risks	Has the country office correctly identified the main risks affecting the country programme?	+	Risk monitoring also takes places through the functions of the Resident Representative and advocacy activities carried out by the country office management team. Risk analysis takes place, at the internal level, in monthly management meetings.
	Is the country office able to obtain accurate and timely information on changes in those risks?	+	Yes; thanks to good relationships with Government partners and other development agencies in the country, and the current good positioning of the country office in the country at an institutional level.
Formalization	Is the monitoring of risks and assumptions formalized and recorded in written form?	-	There is no tool / document formalising monitoring of external factors that affect / could affect the country programme. This impedes (i) a structured management and monitoring of these factors; (ii) sharing and transferring information in a systematic fashion; and (iii) objective external evaluations of the level of quality and monitoring of external factors.

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[58] Assumptions are aspects needed for the satisfactory implementation of the programme, and risks key aspects that may put in danger its satisfactory implementation. Both stay outside the direct control of UNFPA.

What is it and when to use it?

The evaluator in charge of the assessment of the country office M&E system should focus the analysis on three items: the quality of the system, the quality of the indicators and the country office support to the national M&E systems. The indicator quality assessment grid is a tool designed to assist evaluators analysing the second item: the quality of the CPAP output and outcome indicators.

The main reference document that evaluators should use to fill out the grid is the CPAP Results Framework. Evaluators should also refer to the CPAP M&E Framework[59] and the M&E Plan when filling the quality criteria (see table 19 in section 2.3.3: Main documents related to outputs and outcomes monitoring).

The quality assessment grid has been designed as an internal tool for the evaluators' use only and should not be regarded as an instrument for a performance audit on the quality of the indicators. The tool is designed for the evaluator's internal use. However, it could be included in the final report as an annex if the country office requests so.

Evaluators can adapt the format of the grid by adding new criteria if they deem it relevant. Removing criteria is not advisable, as it would hinder comparisons over time. The use of the grid is optional but it is mandatory to address the quality of the indicators when assessing the *monitoring of output and outcomes* component of the country office M&E system.

Why use it?

The rationale behind the tool is to provide a structured and systemised format for analysing the quality of indicators as well as to assess whether they are operational.[60]

The results of the analysis performed in the indicator quality assessment grid have several uses:

- The results of the grid will be used as inputs to Chapter 6 of the final report "Monitoring & Evaluation System" and to the Action Plan for the improvement of the M&E system (tool 17).

- The grid should also assist evaluators in producing relevant, practical and useful recommendations for improving indicators in the Action Plan (tool 17).

- The grid allows for tracking progress on the improvements of the quality of indicators over time. Country office management, and eventually evaluators in future CPEs, can compare the results of the grid with previous ones in order to assess whether progress has been made, and if not, find out the reasons why and provide practical suggestions/take action to solve the problem.

- At an aggregated level, adding the results of the indicator assessment grid for all CPEs and comparing their evolution over time can give UNFPA corporate management a cumulative overview of the quality of their M&E systems as well as of the deviations between the current situation and the M&E requirements set forth in the UNFPA Strategic Plan.

- Comparing the score table over time will give an indication of the extent to which the recommendations included in Action Plans are adopted and whether they are relevant, useful and effective. Comparing the cumulative score table over time will give an indication on the extent to

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[59] It is also referred to as CPAP Planning & Tracking Tool.
[60] See section 2.3.3, *Box 27: Why is important to assess the quality of the indicators?*

which the recommendations included in Action Plans are adopted and on whether they are relevant, useful and effective.

How to use it?

The tool has two main parts: the grid and the cumulative score table, the two tables below. Note that these two tables have been split for illustrative purposes and that in the *indicator quality assessment grid* (tool 16, an Excel spreadsheet) both tables are in the same document.

The *grid* has two sections: the first one (white) describes the basic information contained in the CPAP i.e. the formulation of outputs, outcomes, their associated indicators, and baselines and targets for each indicator. The second section (grey) contains the quality criteria applied to assess the indicators.

Grid

| | CPAP Description | | | QUALITY ASSESSMENT CRITERIA | | | | | | | |
| | | | | | | | Operational | | | | |
	Indicator	Baseline	Target	Clear	Relevant	Specific	Baseline available	End line available	Target available	Means of verification	Values collected and reported
POPULATION & DEVELOPMENT											
Outcome											
Output 1											
…											
REPRODUCTIVE HEALTH											
Outcome											
Output 1											
…											
GENDER EQUALITY											
Outcome											
Output 1											
…											

Evaluators can easily complete the CPAP description section by using the information contained in the CPAP and in the CPAP M&E Plan (usually attached to the CPAP).

➔ *Tip: This section of the grid can be filled out during the design phase, as it does not require the evaluator to have begun the field phase. It is highly advisable to do so because it will provide the evaluator with a first overview of the indicators' weaknesses and strengths. This may be a good starting point to begin the preparation of the specific issues to be addressed in the M&E interviews once in the country.*

There are many **quality criteria** that indicators may be assessed against. The grid does not cover all of them but instead focuses on four: clear, relevant, specific as well and operational, which is broken down in a series of five additional criteria. Criteria and sub-criteria can be divided in two groups:

- Those associated to an *appropriate formulation*: clear, relevant and specific (green colour in the definitions table below).
- Those associated with the indicator being *operational*: baseline available, end line available, target available, means of verification available, and values being collected and reported (blue colour in the definitions table below).

Whether an indicator is clear, relevant and specific is associated with the way in which the indicator has been formulated and defines the quality of the design of the indicator. These criteria are referred to as '*killing'* criteria because if these pre-requirements are not met (e.g. an indicator that has been formulated in an ambiguous way, is not relevant, or not specific) then the indicator will not be useful.

On the other hand, a clear, relevant and specific indicator that is not operational ends up being a useless but well-designed indicator. The operational criterion refers to the functionality of the indicator, that is, whether it can be effectively used and applied for its purpose: measuring the degree of achievement of output and outcomes. Whether an indicator is operational depends, in turn, on a series of aspects: an available baseline, an available end line (current values), specified targets, means

for verification, and indicators values being collected and reported. An indicator cannot be fully operational unless it presents all these features simultaneously.

The following table presents brief definitions for all the indicators used in the grid:

Definitions:

Clear
Definition: *an indicator is clear when it is understandable and contains the key information.* **Particular aspects:** *an indicator is understandable* when is non-ambiguous, its formulation does not lead to confusion and cannot be misinterpreted. *Formulated as an indicator* means formulated as a qualitative or quantitative variable enabling the measurement of achievements and formulated in terms of inputs, outputs and outcomes. *Key information* refers to core aspects such as the geographical coverage and the target population the indicator is associated with.

Relevant
Definition: *an indicator is relevant when it is appropriate to the output/outcome that intends to measure.* In other words, it is relevant when it is directly related to and provides information on the achievement of the output/outcome that it is intended to measure. **Particular aspects**: it is difficult to find indicators that are not relevant at all. This would mean no connection between the indicator and the output/outcome it intends to measure.

Specific
Definition: *an indicator is specific in relation to the output/outcome that it intends to measure when it provides precise, concise, and distinct information about the degree of achievement of that output/outcome. The opposite of a specific indicator is a broad indicator that measures the output/outcome that is intended to measure as well as other outputs or outcomes at the same time.* **Particular aspects:** as with relevance, specificity is a matter of degree. It is not easy to find indicators that are not specific at all i.e. so generic that they do not serve the purpose of measuring - at least to some extent – the output/outcome they are associated with. Generally, indicators will be specific, reasonably specific or not specific enough.

Operational
Definition: *an operational indicator is an indicator that can be practically and readily used; it is an indicator that is fit for proper functioning. An indicator is not operational when it lacks any of the five elements below.* **Particular aspects:** a pre-condition for an indicator to be operational is that it should be measurable. An indicator that is not measurable cannot be operational because it cannot have a baseline, an end line, any means of verification, it will not allow determining targets, and it will be impossible to collect and report on its values. Checking first if the indictor is measurable can give you a first signal of whether it will operational or not.

Baseline available
Definition: *a baseline corresponds to the initial values of the indicator, or the starting point. When there is no baseline, indicators cannot measure progress or degree of achievement because there is no reference point for comparison. The only exception being a 'zero baseline', that is, when the initial value of the indicator is zero.*

End line available
Definition: *The end line of an indicator designates the value of that indicator at the end of the period being measured, or in our case, at the time of the evaluation.* **Particular aspects**: the degree of achievement at a given point in time takes place by comparing the value of the indicator at that point (end line) with the target value, having taken into account the starting point (baseline). Without an end line it is not possible to measure progress or the degree of achievement of outputs and outcomes. Note that CPAP M&E Frameworks usually include an *achievements* column for each indicator. This column has to be filled every year, which means that in the UNFPA context, end lines may have to be available not only at the end of the programme but also yearly.

Target available
Definition: *a target is the expected value of the indicator at a given point in time, usually the end of the country programme. When there is no target, the indicator no longer supports judgments because the actual value (end line) cannot be compared to the expected value (target).*

Means of verification available
Definition: *means of verification are the sources of the data / information that provide the actual values of the indicator at a given point(s) in time.* They tell us where we should look to find out the values of the indicator. **Particular aspects**: availability of the means of verification refers to whether or not they are accessible – the country office has access to them directly or indirectly.

Values collected and reported
Definition: *this criterion looks at whether the values of the indicator (end lines values) are being collected and made readily accessible for its users. It looks at whether the data for the current values of the indicator is*

> *readily available for the country office at the time of assessing the degree of achievement of outputs/outcomes. If values are not collected and reported then indicators cannot inform decision-making.*

How to fill in the assessment grid?

As previously mentioned, the first section of grid is merely descriptive (CPAP description) and evaluators need to only fill in the cells with the data available in the CPAP Results Framework and in the M&E Framework. The second part of the grid, the quality assessment criteria part, requires a judgment to be made by the evaluators. Evaluators should fill in the cells with "1", "0" o "NA" (non applicable).

A "1" designates a positive answer and "0" a negative answer to the questions: is the indicator relevant (enough)? Is the indicator specific (enough)? Is there a baseline available? Is there an end line available? [61] Is there a target available for the indicator? Are there means for verification available for the indicator? And, are the indicator values collected and reported?

When "1" and when "0"?

> Evaluators should bear in mind that the objective of the grid is to have an overview of the quality of the indicators, identify weaknesses and suggest improvements. The table is not intended for an in-depth and detailed analysis of the indicators. In this regard a "0" indicates that there are problems, weaknesses or flaws with the criterion, whereas a "1" indicates that aspect of the indicator is reasonably good and is acceptable. It is thus advisable that the evaluator does not enter into too much detail of the quality aspects associated to each criterion when choosing between a "1" and a "0". For example, when assessing if targets are available, the evaluator may find out that targets are available but they are not realistic at all. The way to proceed would be to score "1" because targets are available and keep that qualitative aspect (unrealistic target) as a potential qualitative finding. If, by the time the grid is completed, the evaluator realises that available but unrealistic targets are a recurrent issue, s/he should register that as a finding that may be presented in the final debriefing and included in Chapter 6 of the final report.

The non-applicable (NA) score is generally used in two cases:

- When the evaluator considers that there is not enough information to make the judgment.
- When indicators are formulated in a very confusing way (unclear) making it virtually impossible to assess if they are relevant and/or specific.

In the template, "1" and "0" are automatically summed and presented in the cumulative score table, which presents the totals both in absolute number and in percentage. The table below presents an example of a completed cumulative score table. [62]

Cumulative score table

| | | QUALITY ASSESSMENT CRITERIA | | | | | | | |
| | | | | | Operational | | | | |
		Clear formulation	**Relevant**	**Specific**	Baseline available	End line available	Target available	Means of verification	Values collected and reported
#	# of yes (1)	37	29	33	13	7	13	10	9
	# of no (0)	5	8	4	29	35	29	32	33
	Total	42	37	37	42	42	42	42	42
%	# of yes (1)	88%	78%	89%	31%	17%	31%	24%	21%
	# of no (0)	12%	22%	11%	69%	83%	69%	76%	79%
	Total	100%	100%	100%	100%	100%	100%	100%	100%

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[61] Another way to put this question would be: are current values for the indicator available?

[62] The difference between the totals (42 and 37) is due to five "non applicable" in *relevant* and *specific*.

What is it and why use it?

The action plan is a document that presents all the recommendations associated with the assessment of the M&E system in detail. The plan has three main benefits:

- It increases the likelihood that the country takes the necessary steps to improve the quality of the M&E system;
- It makes it possible for evaluators in future CPEs to assess progress on the improvement of the system in a more structured, systematised and detailed manner; and
- It allows UNFPA headquarters to have an overview of progress made towards the fulfilment of corporate M&E requirements, as well as of actions that could be taken at the headquarters level to enable such improvements.

The core objective of the plan is to lay the foundations for building up and/or strengthening the results-oriented monitoring component of country office M&E systems. Of the four components of country office M&E systems, this is the one that requires the most significant improvements, given both its strategic relevance and the current poor quality and operational status of result-oriented monitoring systems.

When to use it?

The plan should be drawn up when the number of recommendations for the M&E system is too large to include them all in detail in the final report, and most importantly, when the senior management and the M&E focal point/officer express willingness for having such plan.

How to use it?

The plan has two main sections: a description of the actions for improvement organised by priority level and a form facilitating the follow-up of the actions.

The actions, which describe what should be done in order to make tangible improvements in the system, are divided in three categories:

Type of action	Description
Priority 1	**Crucial and urgent aspects** (requiring immediate implementation). This type corresponds to crucial aspects that require immediate implementation because they constitute quintessential elements for building up or strengthening the system, and particularly, the results-based monitoring component of the system. Priority 1 actions are usually preconditions for the remaining actions to be able to be implemented (especially priority 2 actions).
Priority 2	**Crucial aspects to be implemented in the short -term** These types of actions encompass aspects that, although crucial, have a slightly lesser importance than priority 1 actions. They can be implemented in the short-term either because they are inserted in processes that will take place in the near future or because they imply processes or tasks that can be carried out quickly.
Priority 3	**Important aspects that are not urgent** This type of actions includes elements that, despite being important, cannot be considered crucial or urgent because building a results-oriented monitoring system does not depend directly on such actions.

The Action Plan focuses on the results-oriented monitoring part of the system; however, it will not always incorporate all the elements that are required to implement a fully-fledged results-oriented

system, especially when the baseline for such a system in the country office is rather low. It would be unreasonable to expect a fully functioning result-oriented system to be designed and implemented in a five-year time span in such cases. It is for this reason that the plan focuses exclusively on the most crucial and important aspects.

The plan should be drawn up on the basis of the actions recommended for each priority category. The sequence is presented below, where the text corresponding to illustrative examples is designated in *italics*:

<div align="center">

Priority 1 actions
(Crucial and urgent aspects requiring immediate implementation)

</div>

Action 1.1	This box should contain a brief formulation of the action (recommendation) *e.g. formalize the mandate and attribution of responsibilities on results-based monitoring.*

The remaining narrative text under the summary box will describe the action in detail. For example:

The country office should immediately proceed to formalize the results-oriented monitoring function. For that purpose, the following tasks are suggested:

a) Insert the M&E officer position in the organizational structure of the office.
It is highly recommended for this position to link directly to senior management. The person responsible for M&E should ideally report to the Resident Representative and, her/his position should not be lower than programme officer.

b) Adjust the terms of reference / job description of the current staff so that they incorporate the results-oriented monitoring roles and functions. These should include tasks associated with retrieving output and outcome data, tasks associated with annual revisions of the values of output indicators in the CPAP's M&E Framework; and tasks related to operating and maintaining the information management system linked to results-oriented monitoring.

It is worth mentioning that within each priority area, actions should be presented on the basis of their relative importance. Therefore action 1.1 should be relatively more crucial and urgent than action 1.2.

Action 1.2	Brief formulation of the action (recommendation)

…

<div align="center">

Priority 2 actions
(Crucial aspects to be implemented in the short –term)

</div>

Action 2.1	*Improve the quality of the forthcoming CPAP Results and Resources Framework and CPAP M&E Framework by means of incorporating quality assurance mechanisms when designing and formulating them.*

In order to improve the quality of the next CPAP Results and Resources and M&E Frameworks, the country office should:
a) Ensure the use of ex-ante quality assurance tools. In order to do so the country office could request methodological support from the regional office and/or from headquarters. Such support could encompass either the provision of methodological tools or feedback (technical assistance) on the frameworks once they have been drawn up. Another option would be to hire national consultants specialised in the design of M&E systems. These consultants would provide advice during the design of the aforementioned frameworks.

b) Ensure that the design and formulation of outcomes, outputs and their indicators is an inclusive process, that is:

- *A process that counts on the participation of all the relevant technical staff in the country office, who should provide, above all, inputs on the formulation of outputs and their associated indicators.*
- *A process that factors in the inputs of governmental counterparts when designing and formulating outcomes and outcome indicators, and implementing partners when designing and formulating outputs and output indicators.*

Action 2.2	Brief formulation of the action (recommendation)

…

Priority 3 actions
(Important aspects that are not urgent)

Action 3.1	*Promote the establishment of a CPAP joint revision mechanism with the Government*

The Department for Public Investment and External Funding (VIPFE) at the Ministry of Planning should lead the joint review of the CPAP. However, this is not happening due to lack of human resources, technical capacity and inadequate financial allocations to conduct monitoring activities.

In this context, it would be advisable for UNFPA to take the initiative of setting up an annual portfolio review meeting with the VIPFE. This review, apart from financial issues (amounts committed and paid out), should also undertake joint analyses of the achievements using M&E Framework indicators as a reference. For this to happen, the country office should formalize the mandate and attribution of responsibilities on results-based monitoring (action 1.1 above) and improve the quality of the M&E Framework (action 2.1)

Action 3.2	Brief formulation of the action (recommendation)

…

The **follow up form** of the action plan for the improvement of the M&E system could have the following format:

Action	Description of the action	Who is responsible	Completion date	Current status	Comments on deviations
Action 1.1	*Brief description of the action to be carried out as formulated in the body of the Action Plan for improvement.*	*Name of the person responsible for leading the action.*	*Deadline by which the action should have been completed.*	*Date of the entry and brief description of the status of the action by that date.*	*To be completed when the degree of progress is not satisfactory or when the actions go beyond the completion date.*
Action 1.2					
…					
Action 2.1					
…					
Action 3.1					
…					

PART 3

TOOLS & RESOURCES

DETAILED OUTLINES FOR THE REPORTS

Specific step-by-step guidance on how to produce the design and final evaluation reports and includes the suggested structure and respective contents

DETAILED OUTLINES FOR THE REPORTS

3.2 DETAILED OUTLINES FOR THE REPORTS

3.2.1 How to structure and draft the design report

This part of the CPE methodology guides the evaluation team through the process of drafting the design report. It provides the table of contents for the report as well as brief descriptions of the issues to be covered in each chapter. Design reports should follow the sequence and naming of the chapters as shown below. The various sections under each chapter should also be specified in the report; however, the evaluation team is free to add sections and/or sub-sections as deemed relevant given the particular context of the evaluation. Template 7 in Part 3 presents the overall structure of the report, and includes the format of the pages that precede and follow the table of contents.

☞	See template 7 for a complete layout of a design report

As shown in template 7 the design report begins with the cover page and is immediately followed with a map of the country and the name and positions of the evaluation team. The table of contents should follow in the third page.

Table of contents

The table of contents should optimally fit on one page. The table below shows the generic layout of a table of contents, which should also include a list of the **annexes**.

Section	Title	Suggested length
CHAPTER 1:	**Introduction**	
1.1	Purpose and objectives of the Country Programme Evaluation	
1.2	Scope of the evaluation	
1.3	Purpose of the design report	1-2 pages max
CHAPTER 2:	**Country context**	
2.1	Development challenges and national strategies	4-6 pages max
2.2	The role of external assistance	
CHAPTER 3:	**UNFPA strategic response and programme**	
3.1	UNFPA strategic response	
3.2	UNFPA response through the country programme	
3.2.1	The country programme	5-7 pages max
3.2.2	The country programme financial structure	
CHAPTER 4:	**Evaluation methodology and approach**	
4.1	Evaluation criteria and evaluation questions	
4.2	Methods for data collection and analysis	7-10 pages max
4.3	Selection of the sample of stakeholders	
4.4	Evaluability assessment, limitations and risks	
CHAPTER 5:	**Evaluation process**	
5.1	Process overview	
5.2	Team composition and distribution of tasks	
5.3	Resource requirements and logistic support	3-5 pages max
5.4	Work plan	
		20-30 pages max

ANNEXES
Annex 1   Terms of Reference
Annex 2   Evaluation matrix

The following page should present **abbreviations and acronyms**, the **list of tables** and the **list of figures**:

Abbreviations

A list of the abbreviations and acronyms used throughout the report should be provided. For example:

UNFPA   United Nations Population Fund

List of tables

This is a list of all the tables presented throughout the document. Tables should be numbered and include the titles as in the example below:

Table 4   Focus and programme areas of support for the last two cycles
Table 5   Evolution of the total budget and expenditure during period evaluated

List of figures

This is a list of all the figures presented throughout the document. Figures should be numbered and include the titles as in the example below:

Figure 3   The evaluation process
Figure 4   Time sequence of the relevant programmatic documents during period

Key facts table

This table immediately follows the pages with abbreviations, tables and figures and precedes the Introduction chapter. It is usually a one-page table summarising key factual country data. The items covered in the table are: main geographical data figures, data on population, government, social indicators, and progress towards the Millennium Development Goals. The main data sources to complete the table may vary from country to country, but in general are: National Institute of Statistics, Millennium Development Goals (MDG) progress reports, Human Development Report statistics and UN programmatic documents for the country (CCA, UNDAF, CPD). See section 1.1.4 in Part 1 for a more comprehensive list of sources. The following page presents an example of a Key facts table for Cameroon. This table was used in the Country Programme Evaluation conducted by the Evaluation Branch and published in February 2012.[63]

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[63] http://www.unfpa.org/public/home/about/Evaluation/EBIER/CPE

Key facts table: Cameroon *(example)*

Land	
Geographical location	Western Africa (2)
Land area	475,440 sq km (2)
Terrain	Diverse with coastline, mountainous and forested areas (2)
People	
Population	19,711,291 (2011 est.) (2)
Urban population	58% (2)
Population Growth Rate	2.1% (2)
Government	
Government	Republic; constitution adopted 1972 (2)
Key political events	Independence from colonial powers in 1960/61[64]
Seats held by women in national parliament, percentage	13.9 (2010, Inter-Parliamentary Union) (3)
Economy	
GDP per capita 2008 PPP US$	2219 (2010) (1)
GDP Growth rate	2.8% (2010) (2)
Main industries	Oil, forestry, food agriculture [65]
Social indicators	
Human Development Index Rank	131[66]
Unemployment	4.4% [67]
Life expectancy at birth	51.5 years (2010) (2)
Under-5 mortality (per 1000 live births)	131 (2008) (1)
Maternal mortality (deaths of women per 100,000 live births)	600 (2008) (1)
Health expenditure (% of GDP)	1.3 (2007) (1)
Births attended by skilled health personnel, percentage	63 (2006, UNICEF) (3)
Adolescent fertility rate (births per 1000 women aged 15-19)	127.5 (2008) (1)
Condom use to overall contraceptive use among currently married women 15-49 years old, percentage	22.3 (2006, UNICEF) (3)
Contraceptive prevalence rate	13% [68]
Unmet need for family planning (% of women in a relationship unable to access)	44% [69]
People living with HIV, 15-49 years old, percentage	5.3 (2009 est. Source World Factbook CIA)
Adult literacy (% aged 15 and above)	67.9 (both sexes) (2010) (3)
Total net enrolment ratio in primary education, both sexes	88.3 (2008, UNESCO)
Millennium Development Goals (MDGs): Progress by Goal [70]	
1 - Eradicate Extreme Poverty and Hunger	Insufficient information
2 - Achieve Universal Primary Education	Very likely to be achieved, on track
3 - Promote Gender Equality and Empower Women	Off track
4 - Reduce Child Mortality	Off track
5 - Improve Maternal Health	Off track
6 - Combat HIV/AIDS, Malaria and other Diseases	Possible to achieve if some changes are made
7 - Ensure Environmental Sustainability	Insufficient information
8 - Develop a Global Partnership for Development	Insufficient information

References

(1) Human Development Indicators, UNDP; http://hdrstats.undp.org/en/countries/profiles/CMR.html, accessed 1 April 2011

(2) CIA World Factbook, 2011 https://www.cia.gov/library/publications/the-world-factbook/geos/cm.html accessed 1 April 2011

(3) UN Data http://data.un.org/Data.aspx?d=MDG&f=seriesRowID%3a589 accessed 1 April 2011

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[64] MDG Progress Report 2003

[65] ibid

[66] http://hdrstats.undp.org/en/countries/profiles/CMR.html

[67] Mid-term review of UNDAF 2010

[68] Country Programme Document 2007

[69] ibid

[70] http://www.mdgmonitor.org/country_progress.cfm?c=CMR&cd=120

CHAPTER 1: Introduction

The information provided in this chapter should be very concise. The three sections should optimally fit on one page or two pages as a maximum.

1.1   Purpose and objectives of the country programme evaluation

This should be a brief description of the overall purpose of country programme evaluations (CPE) and a concise presentation of the specific objectives of the CPE in the country covered by the report.

This section should also mention whether the exercise corresponds to a CPE commissioned by DOS or by the country office.

The information to complete this section can be found in the Terms of Reference of the evaluation.

1.2   Scope of the evaluation

The scope is a short and straightforward description on what is being assessed, that is, the object of the evaluation and the geographical and time scale scope of the exercise.

☞	See sections 1.1.2 and 1.1.3 in Part 1 of the Handbook for further reference.

1.3   Purpose of the desk report

This contains one to two succinct paragraphs on what is the aim of the design report and its role in the design phase.

☞	Refer to the *Overview* for further guidance on the design report's purpose.

CHAPTER 2: Country context

This chapter should comprise between four and six pages as a maximum, including tables and figures. Most of the information included here will be also contained in the final evaluation report.

2.1   Development challenges and national strategies

This section should address three aspects: the wider country context; the country's situation and challenges in terms of reproductive health, gender equality and population and development; and the country's progress towards the achievement of the Millennium Development Goals (MDG) and progress towards meeting International Conference on Population and Development (ICPD) benchmarks.

The part on the wider country context should, at least, provide an overview of basic country features e.g. geographical location, cultural traits, demography, languages, political and institutional situation, natural resources, socio-economic situation, poverty and inequality, etc.

Data figures provided in this section should be properly referenced in footnotes throughout the text.

☞ | Section 1.1.4 *Understanding the country context*, includes a comprehensive list of documents and sources of information that may be used when drafting this section.

2.2   The role of external assistance

The purpose of this section is to provide a clear visual snapshot of the scale of external assistance in the country, its evolution over time, and identify the main players and their relative importance in terms of Official Development Assistance (ODA). This information should be optimally presented using tables and graphics (pie charts, histograms, etc.)

The section should, at least, include data on ODA amounts by development partner and ODA receipts by thematic sector and year during the period being evaluated. Numerical figures should be provided both in absolute values and percentages. The proportion of ODA in the country's economy should also be mentioned, either as a percentage of the Gross Domestic Product or as a proportion of the National Budget.

The evolution of ODA in the country over the last few years should be commented upon. If information is available, ODA trends and future prospects should also be mentioned.

CHAPTER 3: UNFPA strategic response and programme

This chapter sets the framework against which the strategic positioning criteria will be assessed during the field phase. Most of the information included here will also be contained in the final evaluation report, although the equivalent chapter in the final report may incorporate adjustments made on the basis of additional data gathered during the data collection and analysis in the country. The chapter should optimally have between five and seven pages.

3.1   UNFPA strategic response

This main purpose of this section is to present an overview of the corporate and UN system contexts in which the country programme is inserted.

This section should explain the UNFPA corporate framework as well the UN system framework in the country, giving special attention to the programmatic flow process that starts with key global corporate and national documents and ends with the formulation of the country programme and its associated documents (CPAP, AWP). Names and brief definitions of the main programmatic documents should be provided and their interrelations briefly explained (MDG reports, the national poverty reduction strategy, national development strategies and plans, CCA, UNDAF, UNFPA Strategic Plan, CPD, CPAP, AWP).

☞ | See *The UNFPA programmatic response* in section 1.1.5 of the Handbook and figure 5 in Part 1 (Overview of the UNFPA response – programming flow) for explanations on the aspects to be covered in this section.

The section should briefly describe the higher-level effects' framework that the country programme contributes to. This framework is made of the links between the outputs and outcomes of the CPAP with the outcomes of the Strategic Plan, the outcomes of the UNDAF, and the Millennium Development Goals (MDG).

The effects diagram could help evaluators explain this framework in a visual and clear manner; yet it is not a compulsory tool, and evaluators should decide on the benefits of developing and using this tool.[71]

3.2 UNFPA response through the country programme

3.2.1 The country programme

This section describes the main elements of the country programme as set forth in programming documents.

☞	See *The UNFPA programmatic response* in section 1.1.5.2 for considerations on the main elements of the country programme.

The section should spell out, at least:

- The outcomes and the outputs of the country programme and how the latter are expected to contribute to the achievement of the former, that is, elucidate the intervention strategy.

- The main activities UNFPA will focus upon, both in terms of areas of action (e.g. obstetric and neonatal care, fistula prevention) and type of activities (e.g. training, advocacy, provision of goods and / or equipment).

- The main groups targeted by the programme (e.g. young people, women of child-bearing age).

- The geographical coverage of the programme.

- To which UNDAF outcomes and outputs the country programme contributes.

- The links between the current and previous country programme, placing special attention on identifying whether the current strategies are new, or a continuation or expansion of work started in the previous cycle.

The programmatic evolution of the country programmes may be illustrated by means of a table comparing the outcomes (and/or outputs) of the current programme with those of the previous one.

Focus Areas	Outcomes Previous Cycle	Outcomes Current Cycle
Population and Development		
Reproductive Health and Rights		
Gender Equality		

3.2.2 The country programme financial structure

The objective of this section is to provide a snapshot of the financial structure of the programme: budget and expenditure by year, focus area, and by origin of the funds. It should be a short section with succinct explanations complemented by the use of tables and graphs.

☞	See *The financial structure of the country programme* in section 1.1.5.3 of the Handbook.

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[71] See Tool 1 in Part 3 of the Handbook: the effects diagram can be a useful tool in certain CPE but evaluators should also take into account that developing it may be time-consuming.

The tables and graphs below are illustrative examples; evaluators are free to use any other table and graph formats. Likewise, it is the choice of the evaluators whether to use only graphs, only tables or combine both.

This section, at least, should contain data on three dimensions:

(1) The overall budget, the expenditure and their evolution over time.
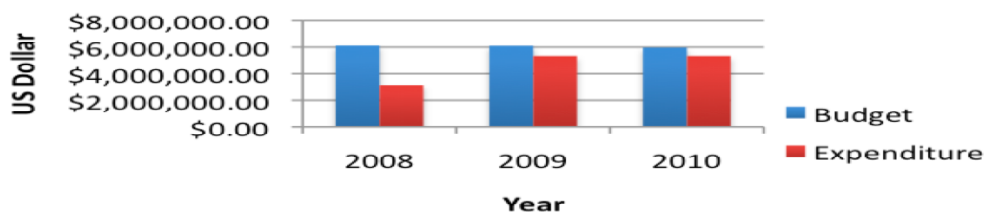
(2) The breakdown of budget and expenditure by focus area and by year.

It is recommended to combine numerical tables with graphs so they complement each other: tables provide more detailed information but are less visually clear whereas graphs are less detailed in terms of data but more effective in providing the snapshot.

Period: 2008-2010					
	P&D	RH	Gender	Management	Total ($million)
Budget	$2,406	$9,762	$1,205	$4,807	$18,182
Expense	$1,828	$6,135	$1,008	$4,888	$13,859
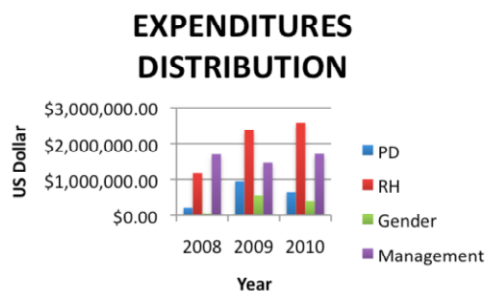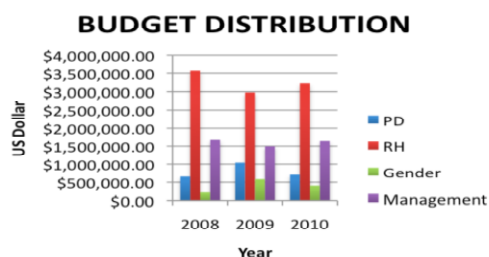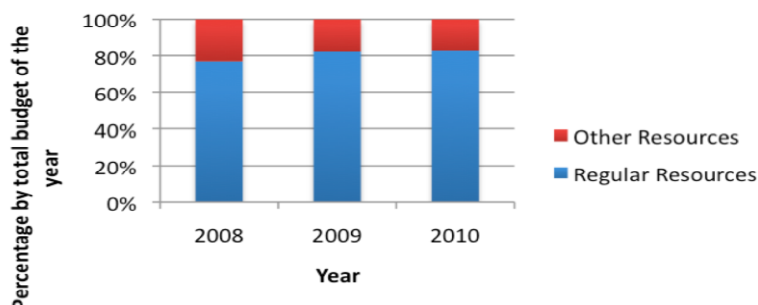
(3) The yearly budget and expenditure by origin of the funds.

This section could be complemented with a breakdown of Atlas projects by year, specifying the budget and expenditure attributable to each Atlas project. If this option were chosen, it would be advisable to include the list as an annex to the design report.

Table of Atlas projects (2008 – 2010)

	Project ID	Project Title	2008		2009		2010	
			Budget	Expenditure	Budget	Expenditure	Budget	Expenditure
REGULAR RESOURCES	CMR5A11A	Support to the 5th Country Programme	910,000.00	938,581.61	792,000.00	820,892.38	895,090.00	997,832.99
	CMR5A11B	Support to Programme Coordination	20,860.00	22,083.34	0.00	2,961.51		
	CMR5G11A	Gender Mainstreaming in policies			88,494.00	81,407.36	213,176.00	211,434.18
	CMR5G41A	Reduction of Gender Based Violence	215,665.00	65,162.62	282,763.64	364,439.14	194,443.00	178,595.86
	CMR5G41C	Reduction of Gender Based Violence			211,310.00	99,809.31	0.00	7,750.66
	CMRM0809	CMR BSB Management	740,738.00	742,160.26	704,115.00	649,473.51	745,057.00	714,206.64
	CMR5P11A	Strengthening of national capacities to integrate the issues of POP/DEV in development planning policies.	65,878.00	4,128.99	172,748.00	154,380.34	247,918.47	208,847.37
	CMR5P31A	Strengthening of technical capacities of national counterpart staff in charge of integrating management information systems in the area of population and development.	206,850.00	130,358.75	333,388.00	268,858.31	119,692.00	116,864.62
	CMR5P31B	Data base on Population and Development			527,830.00	524,105.23	339,467.00	334,437.36
	CMR5P32A	Strengthening of technical capacities of national counterpart staff in charge of integrating management information systems in the area of population and development.	385,000.00	85,743.11	7,572.00	735.93	0.00	–446.03
	CMR5R101	Humanitarian Response	200,000.00	23,217.60				
	CMR5R11A	National Capacity to reduce maternal morbidity and mortality.			259,361.00	390,120.36	442,870.00	408,441.46
	CMR5R21A	Strengthening of technical capacities of health care clinics, ministries and community networks to manage the healthcare system, to respond to humanities crisis, humanitarian response and resources mobilization.			670,022.00	541,229.76	682,641.00	632,853.00
	CMR5R21B	EXTENSION DE LA LUTTE CONTRE L			123,866.53	13,914.87		

CHAPTER 4: Evaluation methodology and approach

This is the most important chapter of the design report because it contains the main essence of the design phase and fulfils the main purpose of the report: defines the evaluation framework; presents an outline of the methodological strategy; and specifies the main elements and tools to be used in the field phase regarding data collection and analysis. The importance of the chapter will be reflected in its size relative to the entire report. It is suggested that this chapter should cover between seven and ten pages maximum.

In general, methodological considerations in this section will follow those in the Part 1 of the Handbook. However, whenever evaluation teams consider it opportune and as long as it is justified, evaluators may adapt and refine the approaches in light of the particularities of the country. When such deviations to the methodology occur, evaluators should explain them at the beginning of the chapter.

4.1 Evaluation criteria and evaluation questions

Evaluations questions are at the core of the CPE. The final evaluation report will be structured on the basis of the evaluation questions for each evaluation criteria. This section should present the evaluation questions in a very clear manner. It would advisable to start the section with a table containing the evaluation questions by evaluation criteria.[72]

The next step after having presented the evaluation questions is to explain the process that led to the selection of those particular questions. This involves touching upon several aspects in the text:

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[72] This may be done by means of drawing up a table out of the two first columns of the evaluation matrix.

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- Briefly introduce the evaluation criteria.
  The seven criteria in the methodology are compulsory. However, the systemic dimension of the strategic alignment criterion under the analysis of the strategic positioning might or might not be included depending on whether the resources available for the evaluation are sufficient. Evaluators are free to incorporate additional sub-criteria if deemed necessary. If so, the rationale and reasons why should be explained here.

- Explain how priority evaluation questions were selected, that is, explain the methodological sequence for the formulation and selection of the questions and the considerations and tools that were used to make the selection (if any). Explanations on the sequence should also mention who[73] was involved in the process, at which stages, and their roles in selecting the questions.

- Explain which corporate mandate issues set forth in the Strategic Plan have been identified and selected and which of them will be analysed under the corporate dimension of the strategic alignment criterion, under other strategic positioning criteria (responsiveness, added value), and/or under the evaluation criteria applied to the three UNFPA focus areas.

☞	See Tool 5, The corporate alignment matrix and table 5 in section 1.2.1.2 for a more detailed explanation on how to comply with this last bullet point.

Whenever possible, it would be advisable to include the evaluation matrix in the main body of the design report. If the matrix is too large it should be presented as an annex.

☞	See section 1.2 for a detailed overview on how to select evaluation questions and complete the evaluation matrix.

4.2 Methods for data collection and analysis

This section should present the result of the decisions made by evaluators when addressing the evaluation issues described in section 1.4 of the methodology.

☞	See sections 1.4.2 *Methods for data collection* and 1.4.3 *Methods for data analysis* for a complete review of the issues to be addressed to complete this section of the design report.

Evaluators should specify the data collection and data analysis methods that will be used when conducting the actual evaluation as well as the reasons why such methods have been chosen and not others.

This section should also present the specific tools and templates that will be used in data collection and analysis. These templates and tools could coincide with the ones included in Part 3 of the Handbook. However, unless tools are indicated as obligatory, evaluators are free to choose and use the tools as they are presented, adapt and adjust them as deemed relevant, or use sets of tools other than those in the Handbook. This section must include a brief explanation on the reasons why the selected tools have been selected as well as how and when they will be used.

The main tools and templates to be used in the data collection and analysis should be included in an annex to the design report.

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[73] For example: evaluation team members, country office staff, staff at UNFPA headquarters, national counterparts and other organizations participating in the Reference Group for the evaluation.

4.3 Selection of the sample of stakeholders

This section should cover four aspects:

- An explanation of the methodological approach followed for the selection of a sample of stakeholders to meet during the data collection and analysis phase. This includes a brief description of all the steps involved.
- A brief description of the specific tools that were used in the selection process.
- It should also spell out the rationale and/or criteria to select the sample of stakeholders.
- And lastly, this section should include the selected sample of stakeholders.

It is also highly recommended to include the stakeholder mapping table as an annex to the report for transparency purposes i.e. so that reader of the design report may compare the sample with the whole population of stakeholders the team had to choose from.

The list of stakeholders to be interviewed during the data collection and analysis phase could be physically included in the main body of the text or in an annex to the design report. The list should specify stakeholder institutions:

- o by name;
- o classified by group headings e.g. central government counterparts, local/regional government counterparts, local communities, implementing agencies, donors, civil society organisations;
- o and by geographical location.

☞ See section 1.3 for details on the approach, steps, tools, and criteria for stakeholder selection.

4.4 Evaluability assessment, limitations and risks

In this section the team will expound data gaps, drawbacks affecting data quantity and quality, and describe the factors that restrict access to key sources of information.

This section should conclude with a description of the measures that will be taken to mitigate such limitations and, in case they cannot be mitigated, the text should contain a brief explanation on the extent to which this could affect the validity and credibility of the evaluation results.

☞ See section 1.4.4 for more details on how to approach the issues to be covered in this section.

CHAPTER 5: Evaluation process

This chapter should optimally cover three pages, and up to a maximum of five pages. The information provided should be very concise and presented in a table whenever possible.

5.1 Process overview

This section should present a brief overview of the entire CPE process so that the reader can have a general picture of the exercise from beginning to end as well as a clear idea on the position of the design phase and the design report within the sequence. The objective is to inform the reader on what has already been done and what are the next steps in the evaluation at the time of the design report.

☞ | The *Overview* describes the four phases of the evaluation.

It would be advisable to include a table featuring the main activities carried out in each of the five phases of the evaluation as well as the main expected outputs, the timelines and the names of the actors responsible for each output/activities i.e. the evaluation team, the country office, UNFPA headquarters, etc.

5.2 Team composition and distribution of tasks

This section should start with a presentation of the members of the team and their responsibilities by area of work. It would be highly advisable to also include responsibilities in terms of sections of the final evaluation report i.e. who will be responsible for each part of the final report. This includes responsibility for the production of the annexes.

☞ | See section 1.5.1 in Part 1 for further reference.

5.3 Resource requirements and logistic support

This section should include a brief summary of all the requirements identified during the design phase i.e. support in organising the agenda of interviews, means of transport, meeting facilities, equipment, interpreters, etc.

☞ | See section 1.5.2 for a review of the issues that should be addressed in the design phase in terms of resource requirements and logistics.

5.4 Work plan

This section should also be very succinct. A Gantt chart with main activities against a timeline detailed by weeks should suffice. The purpose of this section is to present the work plan from the time of writing the design report onwards, covering the field phase and the reporting phase. The plan should therefore begin with the delivery of the desk report (first activity in the work plan) and finish with the delivery of the final evaluation report.

☞ | Section 1.5.3 in Part 1 includes an example.

3.2.2 How to structure and draft the final evaluation report

This section guides the evaluation team throughout the process of drawing up the final report. It provides the table of contents and introduces the issues that should be covered in each chapter, putting special emphasis on practical considerations and tips. The final report should follow the sequence and titles of the chapters shown below. The only exception is Chapter 4, the analysis of the programmatic areas, which can be organised in several ways that are explained below. The evaluation team should follow the structure of chapters presented in the table of contents (see below). However, they may add subsections if they are deemed relevant given the particular context of the evaluation.

Regardless of the choices made by the evaluation team in terms of structure, what is most important is that the report is in line with the Evaluation Quality Assessment (EQA) criterion on structure and clarity of reporting.

→ *Tip: The final report will be assessed against a set of quality criteria featured in the Evaluation Quality Assessment (EQA) grid. The evaluation team should have the criteria of the grid in mind while writing the report and use it as internal checklist mechanism before delivering the final draft and the final report. Most of the boxes presenting quality aspects below have been drawn up on the basis of EQA criteria.*

☞	See template 15, Evaluation Quality Assessment Grid and explanatory note for a list of quality issues against which the final report will be assessed.

Box 20	Quality aspects of the structure and clarity of reporting
The report has to be user-friendly, comprehensive, logically structured and drafted in accordance with international standards.	

- The report has to clearly describe the evaluation, how it was conducted, its findings, their analysis, the conclusions and the ensuing recommendations.

- The structure of the report has to be *logical* and the report should be *comprehensive*

- The information provided throughout the text should be *easily understandable*.

Template 12 in part 3 of the Handbook presents the overall structure of the report, and includes the format of the pages that precede and come after the table of contents.

☞	See template 12 for a complete layout of a final report

As shown in template 12 the evaluation report begins with a cover page and is immediately followed with a map of the country and the name and positions of the evaluation team. The third page should be used for the acknowledgements.

Acknowledgements
This preliminary section should fit on one page and should briefly mention the main persons and organisations that have supported and facilitated the evaluation exercise, as well as the reasons why the evaluation team is especially grateful to them. It should not be an inventory list repeating the names of the all the people that have been involved in the evaluation; such a list will be included in the annex *People met/ consulted.*

The range of institutions that could be mentioned may include, but not be restricted to: UNFPA country office, UNFPA regional offices, Government institutions, beneficiaries, non-governmental organisations and other civil society organisations, implementing partners, other UN agencies, and other development partners (e.g. donors).

UNFPA headquarters may also be mentioned whenever relevant, that is, when they played a role in secondary data collection and administrative support.

In the acknowledgements, names of people and their positions may also be mentioned and particularly, the reasons for the team's gratitude towards them i.e. the areas in which they have supported the evaluation, for example providing they views and / or knowledge of the country context, providing logistical support, organising of focus groups, making evaluative information available, etc.

Table of contents

The table of contents should ideally fit on one page. The table below shows the generic layout of a table of contents. Chapter 4 in this table is organised by focus area but there are other ways of presenting this chapter. Whichever way the chapter is structured should be reflected in the table of contents. The table of contents should also present a list of all the annexes.

Section	Title	Suggested length
EXECUTIVE SUMMARY		*3-4 pages max*
CHAPTER 1:	**Introduction**	
1.1	Purpose and objectives or the Country Programme Evaluation	
1.2	Scope of the evaluation	*5-7 pages max*
1.3	Methodology and process	
CHAPTER 2:	**Country context**	
2.1	Development challenges and national strategies	
2.2	The role of external assistance	5-7 pages max
CHAPTER 3:	**UN / UNFPA response and programme strategies**	
3.1	UN and UNFPA response	
3.2	UNFPA response through the country programme	
3.2.1	Brief description of UNFPA previous cycle strategy, goals and achievements	5-7 pages max
3.2.2	Current UNFPA country programme	
3.2.3	The financial structure of the programme	
CHAPTER 4:	**Analysis of the programmatic areas**	
4.1	Reproductive Health	
4.1.1	Relevance	
4.1.2	Effectiveness	
4.1.3	Efficiency	
4.1.4	Sustainability	
4.2	Population and Development	
4.2.1	Relevance	
4.2.2	Effectiveness	25-35 pages max
4.2.3	Efficiency	
4.2.4	Sustainability	
4.3	Gender Equality	
4.3.1	Relevance	
4.3.2	Effectiveness	
4.3.3	Efficiency	
4.3.4	Sustainability	
CHAPTER 5:	**Strategic positioning**	
5.1	Corporate strategic alignment	
5.2	Systemic strategic alignment	5-10 pages max
5.3	Responsiveness	
5.4	Added value	
CHAPTER 6:	**Assessment of the Monitoring & Evaluation system**	
6.1	The Country Office Monitoring and Evaluation (M&E) system	4- 8 pages max
6.2	Support to national partners' capacity in terms of M&E systems	
CHAPTER 7	**Conclusions and recommendations**	
7.1	Main conclusions	
7.1.1	Strategic level	
7.1.2	Programmatic level	
7.1.3	Transversal aspects	
7.2	Main recommendations	10– 15 pages max
7.2.1	Strategic level	
7.2.2	Programmatic level	
7.2.3	Transversal aspects	
(Total number of pages)		62 – 92 pages

ANNEXES
Annex 1   Terms of Reference
Annex 2   List of persons / institutions met
Annex 3   List of documents consulted
Annex 4   The evaluation matrix
(…)

→ *Tip: the Evaluation Quality Assessment criterion on the structure and clarity of reporting sets out that the minimum requirements for Annexes which are: the Terms of Reference; the list of people consulted / interviewed and the methodological instruments used. Do not forget to add the templates of the methodological tools used when conducting data collection and analysis.*

Abbreviations and list of tables and figures

Immediately after the table of contents the report should feature a list of all the acronyms that are referred to throughout the text.

→ *Tip: the Evaluation Quality Assessment criterion on the structure and clarity of reporting sets forth a checklist of minimum content and sequence required for the structure. The list of acronyms is one of these minimum quality requirements. Do not forget to include it.*

The list of tables and the list of figures should indicate the number of the table/figure, the title and the number of the page where the table/figure is located.

Whenever deemed appropriate evaluators may replace the list of *figures* with two separates lists, one for *graphs* and another for *diagrams* thus making a distinction between these two types. The most common types of graphs are line graphs, bar graphs, scatter plots and pie charts. They are usually used to portray financial aspects such as expenditure and budget allocations over time, or to depict the evolution of variables associated to the three programmatic areas, such as birth rates, maternal mortality rates, gender indicators, etc. Diagrams include drawings usually associated with processes and flows. The effects diagram, the key documents timelines, the stages of the evaluation process are examples.

Structure of the country programme evaluation report

Between the abbreviations and the list of tables and figures and the key facts table there should be a summary box presenting the structure of the report to the reader in a concise and user-friendly manner. The box should describe in a succinct fashion the main elements contained in each chapter as well as a brief outline of the main annexes. The ideal length is displayed in the example below but this section should not exceed more than half a page in length.

Box 21	Example of a summary box for the structure of a CPE report (Cameroon)

Structure of the Cameroon Country Programme Evaluation Report:

The present report comprises an executive summary (a stand alone document), seven chapters, and twelve annexes.

The **introduction** provides the background to the evaluation, objectives and scope, the methodology used including limitations encountered and the evaluation process. The **second chapter** describes Cameroon and the development challenges faced by the country in the three UNFPA mandate areas as identified in national strategic documents produced by the Cameroon Government. The **third chapter** refers to the response of the UN system and then leads on to the specific response of UNFPA through its country programme to the national challenges faced by Cameroon in reproductive health, population and development and gender equality including gender-based violence; the **fourth chapter** presents the findings of the evaluation for each of the 3 focus areas; **chapter five** discusses UNFPA's positioning in Cameroon (the fourth and the fifth chapters are structured on the basis of the evaluation questions); **chapter six** encompasses an assessment of the monitoring and evaluation system of the Country Office as well as the support to national partners in their M&E system and capacity. Conclusions and recommendations follow in **chapter seven**.

Finally, **annexes 3 and 4** present documentation reviewed and the evaluation team's consultations in Cameroon (interviews conducted during July 2011); **annexes 10, 11** and **12** present the results of a Focus Group discussion on the Media in Cameroon, the UNFPA Communications & Media analysis and an analysis of UNFPA's Communications Strategy.

The key facts table
This is a one-page table summarising key factual country data. The table was already included in the design report. The tables in the design and final report will usually coincide, unless some of the data entries have to be adjusted in light of new documentation and secondary data obtained during the field phase.

☞	See section 3.2.1 *How to structure and draft the design report* in Part 3 for a brief description of the main items to be included in the table. This section includes a practical example.

EXECUTIVE SUMMARY

The executive summary is a crucial part of the report. Most readers will start reading the report from the executive summary and then refer to the parts of the report they may be more interested in on the basis of what they have read in the summary. High-level senior management will tend to focus on the executive summary.

The executive summary should provide an overview of the CPE, be written as a **stand-alone document** and clearly present the main results of the evaluation. Optimally, it should have a length of three to four pages maximum and should cover the following five topics:
- The purpose of the CPE as well as the target audience.
- The objectives of the evaluation (overall and specific) and a brief description of the country programme (the intervention being evaluated).
- The methodology used to conduct the evaluation.
- Main conclusions.
- Recommendations.

'Written as a stand-alone document' means, in practice, that the executive summary should be a resource on its own; in other words, it should allow readers to understand any of the statements written in the summary without having to refer to other parts of the report. The main challenge of writing a good executive summary is to keep it brief whilst ensuring sufficient detail.

➔ *Tip: the contents in chapters 1, 2 and 3 of the final report are very similar to chapters 1 to 5 of the design report. In this regard, it is advisable that the evaluation team uses the design report as a starting reference point when drawing up the first three chapters of the final report, updating and adjusting them as deemed relevant on the basis of new information and changes occurred during the field phase. Bear in mind though that the design report is an internal document and the final report is an independent document: use the design report as a tool when drawing up the final report but do not refer the reader of the final report to the design report.*

CHAPTER 1: INTRODUCTION

The information provided in this chapter should be concise. The three sections should optimally fit in five to seven pages. The contents of the introduction chapter will very often coincide with chapters 1, 4 and 5 of the design report (see above tip).

1.1 Purpose and objectives of the country programme evaluation

This section should present a brief description of the overall purpose of country programme evaluation (CPE) and a concise presentation of the specific objectives of the CPE in the country covered by the report.

The section should also mention whether the exercise corresponds to a CPE commissioned by the Evaluation Branch at DOS or by the country office.

The information to fill in this section can be found in the Terms of Reference of the evaluation.

1.2 Scope of the evaluation

The scope should consist of a short and straightforward description on what is being assessed, that is, the object of the evaluation and the geographical scope and time scale of the exercise.

☞	Take Chapter 1.2 of the design report as a starting point, or see sections 1.1.2 and 1.1.3 in Part 1 of the Handbook for a deeper insight on what to include in this section.

1.3 Methodology and process

This section should, at least, cover three items: methodology, limitations encountered, and a brief outline of the overall evaluation process. These three items could be presented as sub-sections of section 1.3 (1.3.1, 1.3.2 etc.) or simply mentioned under 1.3.

Methodology
This item should describe the evaluation framework in which the CPE has taken place i.e. the methodological strategy as well as the main approaches, methods and tools used when collecting and analysing data. The following aspects should be covered:

- *Evaluation criteria*: specify the evaluation criteria used for the analysis of the focus areas and for the analysis of the strategic positioning.

- *Evaluation questions*: the detailed evaluation questions will be included in the evaluation matrix, which should be included as an annex to the final report. In the methodology section evaluators should mention whether initial evaluation questions (design phase) have been adjusted during the in-country data collection phase and explain the reasons for such adjustments.

- *Methods for data collection and for data analysis*: describe the methods used and the tools applied. The templates for the tools should be included in the annexes. In this section it is particularly important to describe the methods applied to ensure the credibility, robustness and validity of the findings, judgments and conclusions e.g. triangulation and validation techniques, as well as evidence-based approaches.

- *Selection of the sample of stakeholders*: specify the selection criteria and provide details on the type of stakeholders and number of people interviewed. This could be reflected by means of a summary table:

Institutions	Number of people interviewed
UNFPA	25
Central government	37
Regional government	78
Final beneficiaries	82
…	…

➔ *Tip: take sections 4.1, 4.2 and 4.3 of the design report as a starting point to compile this section of the final report*

Limitations encountered
This item should describe data gaps, drawbacks affecting data quantity and quality, and report the factors that have restricted access to key sources of information. It should also include the measures

that have been taken to mitigate such limitations and, in case they could not be mitigated, explain the extent to which this has affected the validity and credibility of the evaluation results.

➔ *Tip: to develop this item take section 4.4 "Evaluability assessment, limitations and risks" of the design report as a starting point and adjust it and update it in light of the real problems and limitations encountered in the field phase.*

Evaluation process
The aim of this item is three-fold: (1) to provide the reader with a clear snapshot of the entire CPE process so that s/he can have a general picture of the whole exercise; (2) explain what has been done and who was involved in the phases of the evaluation that have already taken place (preparatory phase, design phase, field phase: data collection and analysis, and reporting phase); and (iii) briefly outline what are the next steps and who will be involved in them (i.e. quality assessment / review of the report, dissemination and follow-up).

➔ *Tip: take section 5.1 "Process overview" of the design report as a starting point and adjust by describing what has happened so far in each one of the evaluation phases up to the drafting of the final report.*

Box 22	Quality aspects to consider for the justification of the design and of the methodological approach

- The methodology used for the evaluation has to be clearly described and the rationale for the methodological choice justified.

- Key processes and elements such as the methods and tools that will be used for data collection, triangulation techniques, and details of participatory consultation with stakeholders should be discussed in sufficient detail in the report. Make sure that triangulation is applied throughout the evaluation.

- Constraints and limitations (including limitations applying to interpretations and extrapolations; robustness of data sources, etc.) should be made explicit and discussed in detail in the report.

➔ *Reminder: Although the core substance of the analysis is in Chapters 4-6, the introduction chapter is important as it presents key quality elements. The EQA, under the structure and clarity of reporting criteria, features a checklist of minimum content and sequence required that has "methodology including approach and limitations" as one of the issues that will be checked.*

CHAPTER 2: Country context

Most of the information to be included in this chapter was already included in Chapter 2 of the design report.

➔ *Tip: take Chapter 2 of the design report as a starting point and update it / adjust it in light of new documentation and information collected during the field phase.*

2.1   Development challenges and national strategies

This section considers the wider country context as well as the country's situation and challenges in terms of reproductive health, gender equality and population and development.

The part on the wider country context should, at least, provide an overview of basic country features e.g. geographical location, cultural traits, demography, languages, political and institutional situation,

natural resources, socio-economic situation, poverty and inequality, etc. The progress made by the country towards meeting the International Conference on Population and Development benchmarks should be included here (in the next section).

➔ **Reminder***: data figures - plenty of which will be provided in this section - should be properly referenced in footnotes throughout the text.*

☞	Take Chapter 2.1 of the design report as a starting point, or alternatively see section 1.1.4 *Understanding the country context* of the Handbook. The information used in chapter 2.1 of the design report should be here complemented or superseded by more updated data collected during the field missions.

This section should feature a concise snapshot of the country's progress towards the achievement of the Millennium Development Goals (MDG). This brief outlook could be provided by means of a simple table (e.g. *progress towards the MDG*) featuring two columns: one describing the goals and another one summarising achievements to date.

➔ **Tip***: information of progress towards the MDG can be easily found in MDG Progress Reports. The United National Development Group's website, http://www.undg.org/ provides direct access to National MDG reports. Check also UNDP websites as they are often involved either with the drafting or with the funding of MDG progress reports*

2.2 The role of external assistance

Unless new data on external assistance is identified and collected during the field phase, this section will coincide with section 2.2 of the design report.

As mentioned in the design report, the purpose of this section is to provide a clear visual snapshot of what is the scale of external assistance in the country, its evolution over time, and identify the main players and their relative importance in terms of Official Development Assistance (ODA).

➔ **Tip***: make use of tables and graphs (pie charts, histograms, etc.) to present data in this section. The section is more about figures than about narrative.*

The section should include data on ODA amounts by development partner and ODA receipts by thematic sector and year during the period being evaluated. Numerical figures should be provided both in absolute values and percentages. The weight of ODA in the country's economy should also be mentioned, either as a percentage of the Gross Domestic Product or of the National Budget.

The evolution of ODA in the country over the last few years should be briefly commented upon. If information is available, ODA trends and future prospects should also be mentioned.

➔ **Reminder***: the EQA, under the structure and clarity of reporting criteria, features a checklist of minimum content and sequence required that has "context" as one of the issues that will be checked.*

CHAPTER 3: UNDAF/ UNFPA response and programme strategies

The information presented in this chapter coincides with Chapter 3 of the design report. This chapter sets the framework against which the strategic positioning in Chapter 5 is assessed. In particular, the information in this chapter will be referred to when assessing the corporate and the systemic dimensions of the strategic alignment criterion.

➔ ***Tip****: as in Chapter 2, use Chapter 3 of the design report as a starting point and update it / adjust it in light of new information collected during the field phase.*

Given that the majority of the information included in this chapter is based in programmatic documents, there will be little adjustment unless programmatic documents have been revised after the start of the country programme.

➔ ***Tip****: check whether there has been a mid-term review of the country programme and whether the CPAP has been revised, which would imply adjustments in section 3.2.2 below as compared to section 3.2.1 of the design report. Also check whether the financial structure of the programme has experienced any changes or whether there have been any updates in the financial data since the submission of the design report: both things would imply adjustments in section 3.2.3 of the final report as compared to section 3.2.2 of the design report.*

3.1 United Nations and UNFPA response

The objective of this section is to offer an overview of the UNFPA corporate framework and the United Nations system framework that the country programme is inserted in.

Narrative text should briefly explain the UNFPA corporate framework as well the United Nations system framework in the country, giving special attention to the programmatic flow process that starts with key global corporate and national documents and ends with the formulation of the country programme and its associated documents (CPAP, AWP). Names and brief definitions of the main programmatic documents should be provided and their interrelations briefly explained (MDG reports, the national poverty reduction strategy, national development strategies and plans, CCA, UNDAF, UNFPA Strategic Plan, CPD, CPAP, AWP).

> ☞   See *The UNFPA strategic response* in section 1.1.5 of the Handbook and figure 2 in Part 1 (Overview of the UNFPA response – programming flow) for explanations on the aspects to be covered in this section.

The higher-level effects' framework the country programme is set to contribute to should be briefly described. This framework is made of the links between the outputs and outcomes of the CPAP with the outcomes of the Strategic Plan, the outcomes of the UNDAF, and the Millennium Development Goals (MDG).

An effects diagram (tool 2) could be inserted here even if it was not included in the design report, as it can assist evaluators in providing a visual explanation of the framework.

If evaluators deem it appropriate, this section could be broken down into additional sub-sections e.g. section 3.1.1 explaining the overall programming flow depicted in the aforementioned figure 5 and 3.1.2 UNFPA intervention logic, explaining the effects diagram.

3.2 UNFPA response through the country programme

3.2.1   Brief description of UNFPA previous cycle strategy, goals and achievements

In the design report, the outline of the previous programmatic cycle was provided in a rather brief manner and involved a succinct comparison with the current cycle. In the final report, however, considerations on the previous programme should be expanded to provide a more detailed description of the evolution of the country office strategy that will become the framework against which part of the relevance criterion will be assessed.

This section should ideally cover one page and summarise the strategy, main objectives and focus of the previous country programme, the achievements and main challenges.

➔ *Tip*: *the sources of information to complete this sub-section are the current CPD, which generally includes considerations of previous achievements, the CPAP of the previous programme and the CPE final report in the event it was conducted.*

3.2.2 Current UNFPA country programme

This section will coincide with section 3.2.1 *The country programme* of the design report for the most part, and just like the former, should include a description of the main elements of the country programme as set forth in programming documents.

☞	See *The UNFPA programmatic response* in section 1.1.5.2 of the Handbook for an overview of the main elements of the country programme.

The section should present, at least:

- The outcomes and outputs of the country programme and how the latter are expected to contribute to the achievement of the former, that is, elucidate the intervention strategy;

- The main activities UNFPA is focusing on, both in terms of areas of action (e.g. obstetric and neonatal care, fistula prevention) and type of activities (e.g. training, advocacy, provision of goods and / or equipment);

- The main groups targeted by the programme (e.g. young people, women of child-bearing age);

- The geographical coverage of the programme;

- What are the UNDAF outcomes and outputs that the country programme contributes to;

- The links between the current country programme and the previous one, giving special attention to identifying whether the current strategies are new, or a continuation or expansion of work started in the previous cycle.

The programmatic evolution of the country programmes may be illustrated by means of table comparing the outcomes (and/or outputs) of the current programme with those of the previous one.

Focus areas	Outcomes previous cycle	Outcomes current cycle
Population and Development		
Reproductive Health and Rights		
Gender Equality		

3.2.3. The financial structure of the programme

This sub-section will be an update of section *3.2.2 The country programme financial structure* of the design report if financial data has changed since then. If that is not the case, it will be identical.

The snapshot of the financial structure of the programme provided in this section (budget and expenditure by years, focus area, and by origin of the funds) may be used as an input when assessing the efficiency criterion, and to some extent, when assessing the relevance criterion.

> ☞   See chapter 3.2.2 of the design report or *The financial structure of the country programme* in section 1.1.5.3 of the Handbook for a refresher on the elements to be included in this section.

This sub-section should, at least, contain data on three aspects:

- The overall budget, the expenditure and their evolution over time;

- The breakdown of budget and expenditure by focus area and by year.
  It is recommended to combine numerical tables with graphs so they complement each other. Tables provide more detailed information but are less visually effective whereas graphs are less detailed in terms of data but provide a clearer snapshot;

- The yearly budget and expenditure by origin of funds.

This section should also include the breakdown of Atlas projects by year, specifying the budget and expenditure attributable to each Atlas project. The list should be attached as an annex to the final report.

CHAPTER 4: Analysis of the programmatic areas

Chapter 4 presents the analysis of the programmatic areas, which is the first of the three components of the CPE. The other two components, the analysis of the strategic positioning and the assessment of the country office M&E system, are included in Chapters 5 and 6 respectively. Chapter 4 can be organised in several ways. The most usual options are:

A. By programmatic area,[74] that is, putting the programmatic areas as section headings and the four evaluation criteria as sub-headings. For example:
>   *4.1 Reproductive Health*
>   *4.1.1 Relevance*
>   *4.1.2 Effectiveness*
>   *4.1.3 Efficiency*
>   *4.1.4 Sustainability*

B. By evaluation criteria, that is, putting the evaluation criteria as headings and the programmatic areas as sub-headings. For example:
>   *4.1 Relevance*
>   *4.1.1 Reproductive Health*
>   *4.1.2 Population and Development*
>   *4.1.3 Gender Equality*

C. By means of combinations between the previous two options. This possibility encompasses a wide array of alternatives. For example:
>   *4.1 Relevance*
>   *4.1.1 Reproductive Health*
>   *4.1.2 Population and Development*
>   *4.1.3 Gender Equality*
>   *4.2 Effectiveness*
>   *4.2.1 Reproductive Health and Gender Equality*
>   *4.2.2 Population and Development*
>   *4.3 Efficiency*
>   *4.4 Sustainability*

---

[74] This is the option chosen in this part of the Handbook, but evaluators are free to choose any other option.

In this last example, the narrative text under efficiency and sustainability would address the two criteria for the country programme as a whole, that is, without breaking down the analysis by programmatic area.

The choice for the layout of this section will usually be in line with the structure followed when presenting the preliminary findings and recommendations to the country office,[75] which in turn will be associated, at least partly, with the way in which evaluation questions have been formulated and structured in the evaluation matrix. It is important to ensure that the layout is appropriate.

> ☞ See section 2.3.2 *Presenting preliminary results* in Part 2 of the Handbook and Tool 1 The evaluation matrix to identify the factors behind the choice in the layout.

Irrespective of the layout choice, chapter 4 should comply with the following requirements:

(1) The text should contain the results of the data analysis process carried out during the field phase on the programmatic areas: the text should reflect answers to the evaluation questions written on the basis of findings (based in turn in evidence) and reasoned judgements.

(2) Answers to the evaluation questions, and thus findings, should be based on evidence. Main evidence backing findings and judgments should be referred to in the text.

(3) In the narrative text or in the footnotes, there should be no mention of informants (names of interviewees) consulted when collecting data.
The Ethical Code of Conduct for UNEG/UNFPA Evaluations[76] clearly establishes that evaluators "should protect the anonymity and confidentiality of individual informants (…) evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source".

➔ *Tip: when evaluators deem it is necessary to mention the name of the informant it may well be an indication that the process of analysing data is not yet complete. Analysis cannot be based on the opinion of a single person, which is a single data entry that corresponds to a single data source and a single method for data collection (interview). Remember that data has to be crosschecked (triangulation). Moreover, the analysis to be included in the final report is not the analysis made by informants but the analysis made by the evaluator: an interpretation of what has happened according to a logical line of argument based on evidence.*

(4) The main body of the text should clearly present the evaluation questions being answered. For example, following the example contained in Tool 1 (the evaluation matrix) and the layout by programmatic area, the analytical text corresponding to the assessment of relevance of the population and development area would be presented as follows:

4.2 Population and Development

4.2.1 Relevance

> *Evaluation question: To what extent are the objectives of the CPAP aligned to the objectives in the Growth and Employment Strategy Paper documents and responding to the national priorities?*

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[75] See section 3.2 *Presenting preliminary results* in Part 3 (Conducting the evaluation).

[76] The Code is included in the last part of template 1, The Terms of Reference of the evaluation.

Explanatory text providing an answer to the question on the basis of findings based on evidence and reasoned judgments of the evaluator.

(…)

> *Evaluation question: To which extent CPAP planned interventions are appropriately design to reach the goals of the National Development Plan in terms of better service provision to citizens through evidence-based planning of policies?*

Explanatory text providing an answer to the question on the basis of findings based on evidence and reasoned judgments of the evaluator.

(…)

The following two boxes summarise quality aspects that evaluators should bear in mind when they draft the analysis. It is worth noting that whereas some of these aspects are considered at the time of writing, others should have been considered from the start of the evaluation, that is, in the design phase.

Box 23   Quality aspects to consider about the findings
• Findings should stem from rigorous data analysis: a finding that is not supported by evidence in the form of data (qualitative or quantitative) is not valid. Anecdotal information does not qualify as a finding.
• Findings should be substantiated by evidence: there should be a clear pathway from data to findings, so that all findings are evidence-based.
• Whenever there are biases in findings, this should be stated and discussed in the report.
• Findings should be presented in a clear manner, that is, they should be understandable, coherent and follow a logical line of argument

Findings should be supported by evidence and this should be shown in the text. The *preliminary findings summary table* used during the field phase could be of use at this stage as it offers an inventory of the main evidence associated to findings by evaluation question. The table could be used to select evidence related to key findings and include it in the text.

> ☞ Tool 14 Preliminary findings summary table, can also help at the time of writing chapter 4 of the final report, as it offers an inventory of evidence organized by findings and by evaluation question.

Box 24   Quality aspects to consider when presenting the analysis
• Interpretations of findings, which are inherent in the evaluator's judgments, will often be based on assumptions. Such assumptions should be carefully described. Similarly, extrapolations should be well explained and limitations in both interpretations and extrapolations should be noted and briefly discussed in the text.
• Contextual factors that have an influence on the results presented in the analysis should also be identified, and their particular influence explained in detail.
• Cause and effect links between an intervention and its end results (including unintended results) should be explained.
• The analysis in Chapter 4 should respond to all evaluation questions. There should be no omissions in evaluation questions or in evaluation criteria. In the event that a specific evaluation question cannot be answered or a given evaluation criteria cannot be assessed, evaluators should

| Box 24 | Quality aspects to consider when presenting the analysis |

acknowledge that and explain the reason why in the text.

- The analysis should also feature explanations of the cause-effect links between the country programme intervention and its outputs and outcomes, including unintended effects.

CHAPTER 5: Strategic positioning

This chapter present the analysis of the second CPE component, the analysis of the UNFPA country office strategic positioning in the country.

Chapter 5 is organised by evaluation criteria. Strategic positioning is assessed on the basis of three criteria: strategic alignment, responsiveness and added value. Since strategic alignment has two dimensions, the corporate and the systemic dimension, the chapter is to be broken down in four sections:

5.1 Corporate strategic alignment
5.2 Systemic strategic alignment
5.3 Responsiveness
5.4 Added value

The way of presenting each section is exactly the same as in Chapter 4: the main body of the text should clearly present the evaluation questions that are being answered. For example, using the examples of evaluation questions contained in Tool 1 (the evaluation matrix), the analytical text corresponding to the assessment of responsiveness should be presented like this:

5.3 Responsiveness

To what extent has the country office been able to respond to changes in national needs and priorities, to shifts caused by crisis or major political changes, and to specific ad-hoc urgent requests of partner country counterparts? What was the quality of the response?

Explanatory text providing an answer to the question on the basis of findings based on evidence and reasoned judgments of the evaluator.
(…)

Has the response capacity of the country office had any repercussions in terms of major deviations in planned resource allocations and in terms of maintaining the coherence of the country programme as set forth in the CPAP?

Explanatory text providing an answer to the question on the basis of findings based on evidence and reasoned judgments of the evaluator.
(…)

The corporate strategic alignment subsection will be further broken down due to the fact this criterion encompasses the analysis of alignment against a series of core issues set forth in the Strategic Plan. Table 5 in Part 1 of the Handbook presents the corporate mandate aspects and suggests the criteria under which they could be assessed. In this table, the corporate / Strategic Plan issues suggested for analysis under the corporate strategic alignment criterion are:

- Development of national capacity;
- Attention to the most vulnerable, disadvantaged, marginalized and excluded populations;
- Mainstreaming young people's concerns
- South – South cooperation

- Guiding principles:[77] national ownership and national leadership.

Let us assume, for simplification purposes, that the evaluation team has decided to include attention to the most vulnerable and South-South cooperation as aspects to be analysed under the corporate strategic alignment criterion.

5.1 Corporate strategic alignment

Is the implementation of the country programme aligned with UNFPA Strategic Plan dimensions? (In particular with special attention to disadvantaged and vulnerable groups and the promotion of South-South cooperation?)

Attention to the most vulnerable
Explanatory text providing an answer to the question on the basis of findings based on evidence and reasoned judgements of the evaluator.
(…)

South-South cooperation
Explanatory text providing an answer to the question on the basis of findings based on evidence and reasoned judgements of the evaluator.
(…)

> ☞ See table 5 *Corporate mandate aspects that should be assessed and the criteria under which they could be assessed* in *The analysis of the strategic positioning*, in section 1.2.1.2 of the Handbook. See also Tool 5 The corporate alignment matrix for a more detailed description of the corporate mandate issues set forth in the Strategic Plan that should be checked in CPE.

The four general requirements for Chapter 4 are fully applicable to Chapter 5 as well:

- The text in this chapter should contain the results of the data analysis process carried out during the field phase on the strategic positioning, that is, the answers to evaluation questions written on the basis of findings (based in turn in evidence) and reasoned judgements.

> ☞ The preliminary findings summary table (tool 14) can also be of help when writing Chapter 5 as it offers an inventory of evidence organized by findings and by evaluation questions related to strategic positioning.

- Answers to the evaluation questions, and thus findings, should be based on evidence. Main evidence backing findings and judgments should be referred to in the text.

- In the narrative text or in the footnotes, there should be no mention to informants (names of interviewees) consulted when collecting data.

- The main body of the text should clearly present the evaluation questions being answered (this is the reason the text should be presented following the sequence explained above)

Quality aspects presented in box 29 about findings and quality aspects in box 30 on how to present the analysis are also applicable in Chapter 5.

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[77] National capacity development is also a guiding principle. The reason we do not include them is that already included in the first corporate issue "Development of national capacity".

CHAPTER 6: Assessment of the monitoring and evaluation (M&E) system

Chapter 6 presents the analysis of the country office M&E system as a **complement to the evaluation**. This assessment **is optional** and dependents on the interest and resources available to conduct the evaluation.

The assessment of the M&E system will have two sections:

CHAPTER 6: Assessment of the monitoring and evaluation (M&E) system

6.1 The country office M&E system

6.2 Support to national partners' capacity in terms of M&E systems

Section 6.1, which will be more extensive than 6.2, will include the most of the analysis. The internal layout of sub-section 6.1 can be organised in several ways. The chosen structure will generally follow the one previously chosen when presenting the preliminary findings and recommendations of the M&E component to the country office[78]. There are, at least, three ways of structuring section 6.1:

- By component of the M&E system, that is, monitoring of inputs and activities; monitoring of outputs and outcomes; monitoring of risks and assumptions; and evaluation.

- By strengths and weaknesses, that is, using as a reference the quality / status column of the M&E system assessment grid (tool 15) and selecting features with the most prominent positive ("+") and poor ("-") scores.

- By features of the system, that is, on the basis of the features of the system included in the M&E system assessment grid (tool 15) e.g. type and nature of the M&E system, information management system (IMS), resources, indicators, etc.

→ *Tip: We recommend organising the presentation of the analysis in sub-section 6.1 on the basis of the components of the M&E system and then, under each component, the evaluator may examine features, weaknesses and strengths and s/he deems more appropriate and opportune:*

6.1 The country office M&E system
Monitoring of inputs and activities
Monitoring of outputs and outcomes (results-oriented monitoring)
Monitoring of assumptions and risks
Integration of evaluations into the M&E system

Each item should contain explanatory text analysing findings based on evidence as well as reasoned judgments made by the evaluator.

The four general requirements set for chapters 4 and 5 are applicable to chapter 6 as well, with some adaptations:

- The text in chapter 6 should contain the results of the data analysis for the M&E system carried out during the field phase and should be based on findings (based in turn in evidence) and on reasoned judgments.

☞ The preliminary findings summary table (tool 14) can also be of help when writing Chapter 6 as it offers an inventory of evidence associated to the assessment of the M&E system.

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[78] See section 2.3.2 of the Handbook "Presenting preliminary results".

> Similarly, the M&E system assessment grid (tool 15) is a good starting point to identify the main aspects to be addressed in this chapter.

- Findings should be based on evidence, and main evidence backing findings should be referred to in the text.

- In the narrative text or in the footnotes, there should be no mention to informants (names of interviewees) consulted when collecting data.

Quality aspects presented in box 31 about findings and quality aspects in box 32 on how to present the analysis are also applicable in Chapter 6.

CHAPTER 7: Conclusions and recommendations

This chapter is crucial for several reasons. It embodies the overall result of the evaluation because it summarises the main conclusions and recommendations of the CPE. Conclusions and recommendations will be included in the executive summary, a stand-alone section of the final report that will be accessed by most readers. Moreover, recommendations, which should be linked to and flow logically from conclusions, constitute the set of actionable proposals that will be used as inputs for the next programming cycle, one of the main objectives of the CPE.

The basic layout of this section is:

7.1 Main conclusions
7.2 Main recommendations

Conclusions

Conclusions should be organised by clusters. What clusters and how many will depend on the particularities of each evaluation and it is a decision to be made by the evaluation team. A three-cluster sequence is suggested as it has proven very useful when piloting the CPE methodology; however the decision remains with the evaluation team. The three clusters are strategic level, programmatic level and transversal aspects:

- The strategic level cluster usually includes strategic positioning issues, organizational issues of strategic relevance and other aspects that may have repercussions and implications on the country office strategic response in the country e.g. structural problems with sustainability.

- The programmatic level cluster features conclusions associated with the three programmatic areas i.e. reproductive health, gender equality and population and development.

- The transversal aspects cluster presents conclusions associated to the items included in chapter 6, that is, conclusions linked to the assessment of the M&E system and to any other crosscutting issue contained in that chapter.

➔ *Tip: CPE may generate conclusions associated with issues of corporate interest, that is, issues that may be relevant for the UNFPA headquarters or for regional offices e.g. issues related to the timing of CPE, to structural methodological constraints, or to programming processes (CPD/CPAP, UNDAF, etc.). Evaluators can include conclusions on these issues either under the strategic level or under the transversal aspects clusters.*

Conclusions should be presented as follows:

- They must be numbered consecutively and the numbering should not restart with each cluster i.e. the first conclusion under the transversal aspects cluster should not be numbered as conclusion one even if it is the first conclusion in the cluster; it should be number consecutively on the basis of the previous conclusion.

- They must be organised and presented in order of priority: the most important conclusions should come first.

- They should be briefly summarised in a box in bold letters and immediately explained in further detail in one to three paragraphs. For example:

7.1 Main Conclusions

7.1.2 Strategic Level
(…)

> **Conclusion 4: UNFPA has demonstrated added value in its three focus areas, but its partners and beneficiaries do not always correctly perceive this added value.**

*UNFPA has demonstrated real added value in its three focus areas. Its recognized technical expertise has allowed UNFPA to act as a **facilitator**, playing an effective intermediary role between donors and the national counterpart, particularly in the reproductive health component.*

*The country office also adds value in engaging actively and effectively in **policy dialogue**, and particularly in **placing sensitive themes on the national agenda**. In some cases, UNFPA's added value lies in the fact that it is **the only development partner to intervene**; this is particularly true for the issue of the reparation of obstetric fistulae or in the support to the organization of the Census. Although UNFPA's added value should not to be confused with its financial and material support, this confusion is often made by its partners and beneficiaries, which often consider that UNFPA's added.*

The following box summarises the quality aspects that evaluators should bear in mind when formulating conclusions. These aspects will determine the degree of validity of the conclusions.

Box 25	Quality aspects to consider on the validity of the conclusions
• Conclusions should be based on credible findings. In this regard it is very important that statements in a given conclusion are easily linkable to judgments, findings and evidence contained in the analysis in chapters 4 to 6.
• Conclusions must be assertive and convey evaluators' unbiased judgment of the intervention. In this regard, evaluators – particularly the team leader, as the person responsible for the report - should ensure that judgments are not influenced by preconceptions or assumptions that are not clearly discussed and explained in the text.

➔ *Tip: Giving due consideration to the formulation of conclusions and recommendations and. ensuring their quality is of utmost importance. They will be the first part of the report that most of the readers will direct their attention to and they feature the second highest weight-multiplying factor in the Evaluation Quality Assessment (EQA) grid used to assess the overall quality of the report.[79]*

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[79] Template 15 presents the Evaluation Quality Assessment Grid (EQA) and an explanatory note on how it is filled out.

One particular aspect that evaluators should pay attention to is to avoid formulating conclusions, especially in the main body of conclusions contained in the summary boxes, by re-phrasing statements corresponding to findings and judgments (answers to evaluation questions) presented in chapters 4 to 6. The explanations under the summary box may eventually contain references to main findings, evidence and answers to evaluation questions, but the essence of the conclusion must address a higher level of analysis.

➔ **Reminder**: *remember that conclusions take the answers to the evaluation questions one step further (or one level higher) onto an aggregated level of analysis: they are concluding reasoned evidence-based judgments on the three programmatic areas, on the strategic positioning and on the M&E systems.*

Box 26   What is the main difference between a finding and a conclusion?
The main difference is that they correspond to two different levels of analysis: conclusions are at a higher level of analysis than findings. Findings are associated with answering evaluation questions[80] whereas conclusions are associated with the overall assessment of the country programme and the framework in which it is inserted. Another difference is that findings do not necessarily imply a judgment whereas conclusions always imply making a judgment. What findings and conclusions have in common is that they are both a result, a consequence, of the analysis carried out during the evaluation.

Recommendations

The sequence for presenting recommendations should follow the same clusters chosen for the conclusions. The way of presenting them is similar to the one followed for conclusions: a summary box featuring a brief formulation of the recommendation in bold letters, followed by a more detailed explanation of the main elements of the recommendation and how it could be implemented.

Recommendations should also be presented in a priority order. In addition, they should specify their level of priority. The priority rank goes from 1 to 3, where 1 is the highest priority and 3 is the lowest. Every recommendation should also specify the target audience it is directed to.

➔**Reminder:** *recommendations are usually associated with problems, weaknesses and areas where there is ample room for improvement. However, recommendations can also be associated with particularly positive aspects and address, for example, the need for scaling up or replicating successful practices and approaches, or suggestions on maintaining support in areas in which the country office was not fully aware of its tangible added value.*

The following example illustrates how to present a high-priority strategic-level recommendation targeted at the country office:

7.2 Main recommendations

7.2.1 Strategic level
(…)

Recommendation 2: Create conditions for sustainable effects: elaborate and integrate an exit strategy at both programming and implementation levels and develop a capacity development strategy for the entire programming cycle	*Priority 1*	*Country office*

---

[80] Findings are statements based on empirical evidence that allow answering evaluation questions or parts/aspects of evaluation questions

UNFPA in consultation with its partners should include an exit strategy both in the CPAP and in AWPs that creates conditions for sustainability of benefits and limits the substitution effect of stepping in for the government in a number of areas, which creates dependency. In addition, efforts should be put in place to develop capacities of strategic partners or to share knowledge (such as: delivering trainings, workshops, providing long and short-term technical assistance, positioning national and/or international expert) within an overall Capacity Development Strategy for a 5 year time period which will complement the CPAP and would be a conditio sine qua non to obtain long-lasting effects.

In this particular example the recommendation was targeted at the country office. Other usual audiences for recommendations in CPE are UNFPA headquarters and regional offices. Recommendations could also be targeted at two different groups simultaneously; this will occur when implementing the recommendation requires actions to be taken by more than one group e.g. allocation of more financial allocations to specific areas –programmatic or not - will require action from both the country office and UNFPA headquarters.

The following is an example of a recommendation directed to UNFPA headquarters:

Recommendation 18: Prioritize the development of mechanisms and control tools associated with results-oriented monitoring frameworks	*Priority 1*	*UNFPA headquarters*

It is strongly suggested that UNFPA headquarters should prioritize in an urgent manner the development of guidelines and tools (to be included in the Policies and Procedures Manual) for the development of capacities in results-oriented monitoring. In this respect, the most urgent need would be the development of a quality guide for the development and approval of results monitoring frameworks in the country programmes based on a results-based monitoring approach.

The results frameworks for country programmes should systematically undergo a quality control by the regional office.

Above all, recommendations should be clear and useful, which in turn means they should be practical and feasible. The following box summarises quality aspects evaluators should bear in mind when formulating useful recommendations.

Box 27	Quality aspects on the clarity and usefulness of recommendations

- Recommendations should flow from conclusions i.e. there should be a logical flow from conclusions to recommendations. The order followed when presenting recommendations should be consistent with the order of prioritization of the conclusions.

➔ *Tip: to ensure that all recommendations are logically linked to conclusions, draw up a two-column table; put recommendations in the first column and the conclusions they are associated with in the second column. Then compare the conclusions in the second column and all the conclusions in section 7.1 and only conclusions that appear in the table are conclusions that need a recommendation.*

- Recommendations must be strategic, targeted and operationally feasible. They should be sufficiently detailed and enable the reader to understand what should be done to take the actions required to implement it.

➔ *Tip: avoid generic recommendations and make sure they are context-specific i.e. make sure they take into account the limitations of the context in which they will be implemented. Remember that recommendations, to be actionable, should also take account of UNFPA rules and procedures. Very innovative and well-formulated recommendations which may collide with or be hindered by UNFPA rules and procedures during implementation are useless.*

- Recommendations should incorporate the views of the target groups that will have to take action to implement them. Make sure that recommendations incorporate views whilst remaining impartial.

➔ *Tip: explain in the methodological section in chapter 1 what has been done (consultation processes) to ensure that the views of those having to implement recommendations have been incorporated in e.g. the presentation / validation workshop with the country office and the Reference Group at the end of the field phase. Do not forget to explain how you managed to ensure that such consultation processes did not affect your impartiality when drafting the recommendations.*

- Recommendation should be presented in priority order.

PART 3

TOOLS & RESOURCES

TEMPLATES

A set of ready-to-use templates that can be used throughout the different phases of the evaluation process

TEMPLATES

3.3 TEMPLATES

This section presents a series of ready-to-use templates associated either with tools presented in the Toolkit, or with key documents that are referred to throughout the text.

Table 16   **List of templates**

Template	Name	Preparatory Phase	Design Phase	Field Phase	Reporting Phase
Template 1	The Terms of Reference of the evaluation	Obligatory			
Template 2	List of Atlas projects by CPAP output and Strategic Plan outcome		Optional	Optional	
Template 3	The stakeholders map		Optional	Optional	
Template 4	The evaluation matrix		Obligatory	Obligatory	
Template 5	The CPE agenda		Obligatory	Obligatory	
Template 6	Interview logbook		Optional	Optional	
Template 7	The structure of the design report		Obligatory		
Template 8	Note of the results of focus group			Optional	
Template 9	CPAP indicators quality assessment grid			Optional	
Template10	The M&E system assessment grid			Optional	
Template 11	Action Plan for the improvement of the M&E system			Optional	
Template 12	The structure of the final report			Obligatory	Obligatory
Template 13	Abstract of the evaluation report				Obligatory
Template 14	Management response				Obligatory
Template 15	Evaluation Quality Assessment grid and explanatory note				Obligatory

The Terms of Reference lay out the objectives and scope of the evaluation, the methodology to be used, the composition of the evaluation team, the planned deliverables and timeframe, as well as its intended use. The Terms of Reference also serve as a basis for the job descriptions of each of the recruited evaluation team members.

> *The ToR are written by the* **evaluation manager** *before starting the evaluation*

Although context specific, the Terms of Reference should follow the following structure:

Introduction

Explains the subject being evaluated in the context of the UNFPA strategic mandate, and the Executive Board decisions. Presents a short description of the purpose of the evaluation.

Context

Presents the subject within the national context; outlines the UNFPA role and programmatic activities in terms of its strategic priorities and specific areas of work in the country

Objectives and scope of the evaluation

States the objectives of the evaluation and its timeframe. Indicate the subjects/ issues that will be addressed by the evaluation. Details the time period of activities evaluated.

Evaluation questions

Introduces the initial evaluation questions addressing the evaluation criteria: relevance, effectiveness, efficiency, and sustainability as well as strategic alignment, responsiveness and added value. The final evaluation questions and the evaluation matrix will be finalized by the evaluation team in the design report.

Methodology and approach

Describes the evaluation's intended approach and methodology, including the use of desk review, data collection and analysis methods.

Evaluation process

Outlines the phases and steps of the evaluation: preparation; design; field; reporting and management response; dissemination and follow up.

Expected outputs

Lists the planned outputs of the evaluation, namely:
- The design report (maximum 70 pages);
- The debriefing presentation at the end of the field phase;
- The evaluation report (maximum 50 pages plus annexes)

Work plan

A table is used to indicate the specific activities and milestones of the evaluation and their respective target dates for each of the evaluation's phases including the design report, draft and final evaluation reports, as well as the planned submission date of the report.

Composition of the evaluation team

Indicate the composition and qualifications of the evaluation team members.

It is expected that the core evaluation team will be constituted of at least three members:
- Team leader, with overall responsibility for providing guidance and leadership, and in coordinating the draft and final report;
- Two team specialists (international or national), who will provide the expertise in the core subject area/s of the evaluation, and be responsible for drafting key parts of the report (for example: on reproductive health, gender and on population and development issues);
- Other members as appropriate.

The team leader should have solid understanding of evaluation methodologies, and/or a proven expertise of research in social science relevant for the evaluation, in particular national monitoring & evaluation systems. Demonstrated capacity for strategic thinking and policy advice are essential. Familiarity with UNFPA or United Nations operations will be advantage.
All team members should have in-depth knowledge of UNFPA programmatic areas and issues and challenges in the country.

All must be committed to respecting deadlines of delivery outputs within the agreed time-frame. Must be able to work in a multidisciplinary team and multicultural environment. All should be knowledgeable of issues pertaining to gender equality.

Management and conduct of the evaluation

Indicates the roles and responsibilities of the evaluation manager, and the evaluation team members as well as of the reference group. Provides a brief outline of the quality assurance process.

The evaluation manager will support the team in designing the evaluation; will provide ongoing feedback for quality assurance during the preparation of the design report and the final report.

The evaluation audience

Indicates the intended audience for the CPE and its use, including responsibilities for such use.

The primary users of the evaluation are the decision-makers within UNFPA and the Executive Board. Government counterparts in programme countries, and other development partners are also seen as part of the audience of the reports.

Bibliography and resources

Initial list of documents and websites to be consulted by the evaluation team

Annexes

Ethical Code of Conduct for UNEG/UNFPA Evaluations
List of Atlas projects for the period under evaluation
Information on main stakeholders by areas of intervention
Short outlines of the design and final evaluation reports
Evaluation Quality Assessment template
Management response template

Ethical Code of Conduct for UNEG/UNFPA Evaluations

Evaluations of UNFPA-supported activities need to be independent, impartial and rigorous. Each evaluation should clearly contribute to learning and accountability. Hence evaluators must have personal and professional integrity and be guided by propriety in the conduct of their business.

Evaluation team /Evaluators:

1. 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/programming, design, or overall management of the subject of evaluation, nor expect to be in the near future.
   Evaluators must have no vested interests 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.

2. Should protect the anonymity and **confidentiality of individual informants**. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are **not expected to evaluate individuals**, and must balance an evaluation of management functions with this general principle.

3. Evaluations sometimes uncover suspicion of wrongdoing. Such cases must be reported discreetly to the appropriate investigative body.

4. Should be **sensitive to beliefs, manners and customs** and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and **address issues of discrimination and gender equality**. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might 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.

5. Are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, evidence based findings, conclusions and recommendations.

For details on the ethics and independence in evaluation, please see UNEG Ethical Guidelines and Norms for Evaluation in the UN System
http://www.unevaluation.org/search/index.jsp?q=UNEG+Ethical+Guidelines
http://www.unevaluation.org/papersandpubs/documentdetail.jsp?doc_id=21

Template 2 – **List of Atlas projects by CPAP output and Strategic Plan outcome**

| Year N | | Year N+1 | | Year N+2 | |

Fund Type	IA Group	Implementing Agency	Activity Description	Geographic Location	Atlas Budget	Expense	Implementation Rate
REGIONAL PROJECTS							
			Activity 01				
			…				
			Activity 01				
			…				
			Activity 01				
			…				
GENDER EQUALITY							
Strategic Plan outcome:							
CPAP output:							
Annual Work Plan *(code and name)*							
			Activity 01				
			…				
			Activity 01				
			…				
			Activity 01				
			…				
POPULATION AND DEVELOPMENT							
Strategic Plan outcome:							
CPAP output:							
Annual Work Plan *(code and name)*							
			Activity 01				
			…				
			Activity 01				
			…				
			Activity 01				
			…				
REPRODUCTIVE HEALTH							
Strategic Plan outcome:							
CPAP output:							
Annual Work Plan *(code and name)*							
			Activity 01				
			…				
			Activity 01				
			…				
			Activity 01				
			…				
ADMINISTRATION							

Template 3 – **The stakeholders map**

Donors	Implementing Agencies	Other partners	Beneficiaries
GENDER EQUALITY			
Strategic Plan outcome: *(descriptions as per CPAP)*			
CPAP Output: *(descriptions as per CPAP)*			
Atlas Project *(code and name)*			
…			
Strategic Plan outcome: *(descriptions as per CPAP)*			
CPAP Output: *(descriptions as per CPAP)*			
Atlas Project *(code and name)*			
…			
POPULATION & DEVELOPMENT			
Strategic Plan outcome: *(descriptions as per CPAP)*			
CPAP Output: *(descriptions as per CPAP)*			
Atlas Project *(code and name)*			
…			
Strategic Plan outcome: *(descriptions as per CPAP)*			
CPAP Output: *(descriptions as per CPAP)*			
Atlas Project *(code and name)*			
…			
REPRODUCTIVE HEALTH			
Strategic Plan outcome: *(descriptions as per CPAP)*			
CPAP Output: *(descriptions as per CPAP)*			
Atlas Project *(code and name)*			
…			
Strategic Plan outcome: *(descriptions as per CPAP)*			
CPAP Output: *(descriptions as per CPAP)*			
Atlas Project *(code and name)*			
…			

Template 4 – **The evaluation matrix**

FOCUS AREA	EVALUATION QUESTIONS	WHAT TO CHECK	DATA SOURCES	DATA COLLECTION METHODS
COMPONENT 1: ANALYSIS BY FOCUS AREAS				
RELEVANCE				
Reproductive Health				
Gender Equality				
Population & Development				
EFFECTIVENESS				
Reproductive Health				
Gender Equality				
Population & Development				
EFFICIENCY				
Reproductive Health				
Gender Equality				
Population & Development				
SUSTAINABILITY				
Reproductive Health				
Gender Equality				
Population & Development				
COMPONENT 2: ANALYSIS OF THE STRATEGIC POSITIONING				
STRATEGIC ALIGNMENT				
Corporate dimension				
Systemic dimension				
RESPONSIVENESS				
ADDED VALUE				

Date	Activity / Institution	People to meet	Location	Link with the CP	Selection criteria	Justification
WEEK 1						
WEEK 2						
WEEK 3						
WEEK 4 (if applicable)						

Template 6 – **Interview logbook**

INTEVIEW DATA

Name (s) of the interviewee (s):	Position:	Institution/organisation:
Interview date:	Output / AWP / Atlas Project:	Stakeholder type:
Interviewer:	Area of analysis:	**Interview Code**

INTERVIEW CONTENT

Background & key issues

Contents

Main conclusions

Next steps

Cover page

UNFPA COUNTRY PROGRAMME EVALUATION: *NAME OF THE COUNTRY*
Period covered by the evaluation (2008-2011)
DESIGN REPORT
Date (February 15, 2011)

Second page

Country map *(half page)*
Table *(half page)*
Evaluation team
Titles / position in the team · Names

Third page

Table of contents

Section	Title	Suggested length
CHAPTER 1:	**Introduction**	
1.1	Purpose and objectives of the Country Programme Evaluation	
1.2	Scope of the evaluation	
1.3	Purpose of the design report	1-2 pages max
CHAPTER 2:	**Country context**	
2.1	Development challenges and national strategies	4-6 pages max
2.2	The role of external assistance	
CHAPTER 3:	**UNFPA strategic response and programme**	
3.1	UNFPA strategic response	
3.2	UNFPA response through the country programme	
3.2.1	The country programme	5 – 7 pages max
3.2.2	The country programme financial structure	
CHAPTER 4:	**Evaluation methodology and approach**	
4.1	Evaluation criteria and evaluation questions	
4.2	Methods for data collection and analysis	7-10 pages max
4.3	Selection of the sample of stakeholders	
4.4	Evaluability assessment, limitations and risks	
CHAPTER 5:	**Evaluation process**	
5.1	Process overview	
5.2	Team composition and distribution of tasks	
5.3	Resource requirements and logistic support	3-5 pages max
5.4	Work plan	
		20-30 pages max

ANNEXES
Annex 1   Terms of Reference
…

Following page
Abbreviations and Acronyms
List of tables
List of figures

Following page
The key facts table

Template 8 – **Note of the results of focus group**

1. Objective of the focus group

2. Methodology

3. List of participants (name, institution)

4. Report on the topics discussed

Topic discussed *(formulated as a question)*
Summary of the discussion

Topic discussed *(formulated as a question)*
Summary of the discussion

Topic discussed *(formulated as a question)*
Summary of the discussion

Template 9 – CPAP Indicators Quality Assessment Grid

		CPAP DESCRIPTION			QUALITY ASSESSMENT CRITERIA							
					Clear formulation	Relevant	Specific	Operational				
		INDICA TOR	Baseli ne	Targ et				Baseline Available	Endline available	Target Available	Means of Verification	Values collected and reported
POPULATION AND DEVELOPMENT												
Outcome	*(Formulati on)*											
	…											
Output 1	*(Formulati on)*											
	…											
Output 2	*(Formulati on)*											
	…											
…	…	…										
REPRODUCTIVE HEALTH												
Outcome	*(Formulati on)*											
	…											
Output 1	*(Formulati on)*											
	…											
Output 2	*(Formulati on)*											
	…											
…	…	…										
GENDER												
Outcome	*(Formulati on)*											
	…											
Output 1	*(Formulati on)*											

		…								
Output 2	*(Formulation)*									
…	…	…								

			QUALITY ASSESSMENT CRITERIA							
		Clear formulation	**Relevant**	**Specific**	**Operational**					
					Baseline Available	Endline available	Target Available	Means of Verification	Values collected and reported	
#	# of yes (1)	0	0	0	0	0	0	0	0	
	# of no (0)	0	0	0	0	0	0	0	0	
	Total	0	0	0	0	0	0	0	0	

		Clear formulation	Relevant	Specific	Baseline Available	Endline available	Target Available	Means of Verification	Values collected and reported
%	% of yes (1)	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
	% of no (0)	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
	Total	**#DIV/0!**	**#DIV/0!**	**#DIV/0!**	**#DIV/0!**	**#DIV/0!**	**#DIV/0!**	**#DIV/0!**	**#DIV/0!**

Template 10 – The M&E System Assessment Grid

Feature of the M&E system	What to check	Quality / status	Answer
Type and nature of the M&E system		N.A.	
Type	Is the system activity-based, results-based or both?		
Nature	Is the system led by UNFPA, jointly managed with government counterparts, or led by them?		
Information management system (IMS)			
Design and structure	Is there an IMS associated to the M&E system?		
Design and structure	Is the IMS design formalized in a written document e.g. an operational manual?		
Data collection	Does the system define who should collect what information?		
Data collection	Is the frequency of data collection well defined and appropriate?		
Data collection	Is the level of information depth/anaysis appropriate vis-à-vis the CO and government info and management needs?		
Information flows	Does the system define who should report to whom?		
Information flows	Does the information get to the right persons in a timely manner and efficiently?		
Information flows	Are there appropriate templates to report the information?		
Information flows	Does the system provide feedback to local counterparts?		
Resources			
Financial resources	Is there a budget available at the UNFPA CO for monitoring purposes?		
Financial resources	Do relevant counterparts have budget allocations to implement the system?		
Human resources	Is there a person in charge of the entire system within the CO?		
Human resources	Are monitoring responsibilities clearly allocated to each staff?		
Human resources	Does the staff have the appropriate capacity to implement M&E tasks?		
Human resources	Does the system capitalize on local capacity to collect relevant information?		
Human resources	Does the system build local capacity to collect and use relevant information?		
Indicators			
Feasibility of the objectives	Are the outputs and outcomes – associated with the indicators- attainable?		
Quality of the indicators	Are indicators clearly formulated for the most part?		
Quality of the indicators	Are indicators relevant for the most part?		
Quality of the indicators	Are indicators specific for the most part?		
Quality of the indicators	Are indicators operational for the most part?		
The role of evaluations in the system			
Integration into the system	Are evaluations well planned and selected so as to respond to the needs of the CO & UNFPA?		
Integration into the system	Are evaluations findings properly channelled into management and decision processses?		
Integration into the system	Are the results of evaluations used to update the CPAP results framework?		
Alignment	Are evaluations designed and its findings shared with relevant national stakeholders?		
Monitoring of risks and assumptions [81]			
Assumptions	Has the CO correctly identified the main assumptions affecting the country programme?		
Assumptions	Is the CO able to obtain accurate and timely information on changes in those assumptions?		
Risks	Has the CO correctly identified the main risks affecting the country programme?		
Risks	Is the CO able to obtain accurate and timely information on changes in those risks?		
Formalization	Is the monitoring of risks and assumptions formalized and recorded in written form?		

[81] Assumptions are aspects needed for the satisfactory implementation of the programme, and risks key aspects that may put in danger its satisfactory implementation. Both stay outside the direct control of UNFPA.

Template 11 – **Action Plan for the improvement of the M&E system**

Priority 1 actions
(Crucial aspects requiring immediate implementation)

Action 1.1	*Brief formulation of the action (recommendation)*

Detailed explanations

Action …	*Brief formulation of the action (recommendation)*

Detailed explanations

Priority 2 actions
(Crucial aspects to be implemented in the short –term)

Action 2.1	*Brief formulation of the action (recommendation)*

Detailed explanations

Action …	*Brief formulation of the action (recommendation)*

Detailed explanations

Priority 3 actions
(Important aspects that are not urgent)

Action 3.1	*Brief formulation of the action (recommendation)*

Detailed explanations

Action …	*Brief formulation of the action (recommendation)*

Detailed explanations

Follow up form of the action plan for the improvement of the M&E system could have the following format:

Action	Description of the action	Who is responsible	Completion date	Current status	Comments on deviations
Action 1.1					
…					
Action 2.1					
…					
Action 3.1					
…					

Cover page

UNFPA COUNTRY PROGRAMME EVALUATION: *NAME OF THE COUNTRY*   *Period covered by the evaluation (2008-2011)*   *FINAL EVALUATION REPORT*   *Date (November 22, 2011)*

Second page

Country map *(half page)*

Table *(half page)*

Evaluation Team	
Titles / position in the team	Names

Third page

 Acknowledgements

Fourth page

Table of contents

Section	Title	Suggested length
EXECUTIVE SUMMARY		*3-4 pages max*
CHAPTER 1:	**Introduction**	
1.1	Purpose and objectives of the Country Programme Evaluation	
1.2	Scope of the evaluation	*5-7 pages max*
1.3	Methodology and process	
CHAPTER 2:	**Country context**	
2.1	Development challenges and national strategies	
2.2	Advancement towards the Millennium Development Goals (MDG)	8-10 pages
2.3	The role of external assistance	
CHAPTER 3:	**UN / UNFPA response and programme strategies**	
3.1	UN and UNFPA response	
3.2	UNFPA response through the country programme	
3.2.1	Brief description of UNFPA previous cycle strategy, goals and achievements	5-7 pages
3.2.2	Current UNFPA country programme	
3.2.3	The financial structure of the programme	
CHAPTER 4:	**Analysis of the programmatic areas**	
4.1	Reproductive Health	
4.1.1	Relevance	
4.1.2	Effectiveness	
4.1.3	Efficiency	
4.1.4	Sustainability	
4.2	Population and Development	
4.2.1	Relevance	
4.2.2	Effectiveness	
4.2.3	Efficiency	
4.2.4	Sustainability	
4.3	Gender Equality	
4.3.1	Relevance	

4.3.2	Effectiveness	
4.3.3	Efficiency	
4.3.4	Sustainability	
CHAPTER 5:	**Strategic positioning**	
5.1	Corporate strategic alignment	
5.2	Systemic strategic alignment	
5.3	Responsiveness	
5.4	Added value	
CHAPTER 6:	**Transversal aspects: Monitoring & Evaluation system**	
6.1	The country office monitoring and evaluation (M&E) system	5-10 pages
6.2	Support to national partners' capacity in terms of M&E systems	
CHAPTER 7	**Conclusions and recommendations**	
7.1	Main conclusions	
7.1.1	Strategic level	
7.1.2	Programmatic level	
7.1.3	Transversal aspects	
7.2	Main recommendations	
7.2.1	Strategic level	
7.2.2	Programmatic level	
7.2.3	Transversal aspects	
(Total number of pages)		

ANNEXES
Annex 1   Terms of Reference
Annex 2   List of persons / institutions met
Annex 3   List of documents consulted
Annex 4   The evaluation matrix
(…)

Fifth page
Abbreviation and acronyms
List of tables
List of figures

Fifth page
Key facts table

Sixth page
Structure of the country programme evaluation report

Seventh page
Key facts table: *(name of the country)*

DOS Evaluation Branch
Country Programme Evaluation ……… (from-to)
Abstract

Subject of the Evaluation

Purpose of the Evaluation

Methodology

> *Note: Short explanation of the evaluation process and methodological approach.*

Main Conclusions

> *Note: Summary of the main conclusions.*
> *Conclusions should derive from findings and should explicit independent judgments; conclusions are the evaluation team's responsibility. Conclusions should be assembled by homogeneous "clusters" (groups). Setting out the conclusions according to the evaluation criteria is not required.*

Main Recommendations

> *Note: Summary of the main recommendations.*
> *Recommendations should derive from conclusions; Recommendations may be organized by clusters, e.g.: strategic recommendations, recommendations associated with the country programme, recommendations associated with cross-cutting issues. Within each cluster, recommendations should be ranked by priority level, should be operational, with a time horizon, with alternative options indicating the pros and cons and addressed to the relevant services.*

Template 14 – **Management response**

UNFPA Management response	**Country Programme Evaluations** *(from-to): ………(name of the country)*

Note: The following management response lists the recommendations as they appear in the evaluation report. Please refer to the report for more details on each recommendation. Recommendations may be organized by clusters, e.g.: strategic recommendations, recommendations associated with the country programme, recommendations associated with cross-cutting issues. Within each cluster, recommendations should be ranked by priority levels (from 1 to 3).

Instructions for completing the management response:
1. Boxes in white to be completed upon receiving the present request
2. Boxes in grey to be completed one year later.

Cluster 1: Strategic recommendations

Recommendation #	**To ………. *(e.g Executive Director's Office*)**	**Priority Level ….*(from 1 to 3)***

Management response - *Please provide your response to the above recommendation. Where recommendations (or parts of) are not accepted, please provide detailed justification. Where accepted, please indicate key actions for implementation*:…… ……….. …………………………………………….. ....

Key action(s)	**Deadline**	**Responsible unit(s)**	**Annual implementation status updates**	
			Status (ongoing or completed)	**Comments**

Recommendation #	**To ……….*(e.g. Country office*)**	**Priority level …..**

Management response - *Please provide your response to the above recommendation. Where recommendations (or parts of) are not accepted, please provide detailed justification. Where accepted, please indicate key actions for implementation*:…… ……… …………………………………………….. ....

Key action(s)	Deadline	Responsible unit(s)	Annual implementation status updates	
			Status (ongoing or completed)	Comments

Cluster 2: Recommendations associated with the programme

Recommendation #	To ………..	Priority level …..

Management response - *Please provide your response to the above recommendation. Where recommendations (or parts of) are not accepted, please provide detailed justification. Where accepted, please indicate key actions for implementation*:……
………..………
……………..………………………………...
....…....................................

Key action(s)	Deadline	Responsible unit(s)	Annual implementation status updates	
			Status (ongoing or completed)	Comments

Clusters 3: Recommendations associated with cross-cutting issues

Recommendation #	To …………	Priority level …..

Management response - *Please provide your response to the above recommendation. Where recommendations (or parts of) are not accepted, please provide detailed justification. Where accepted, please indicate key actions for implementation*:…….
………..
………………………………...
....

Key action(s)	Deadline	Responsible unit(s)	Annual implementation status updates	
			Status (ongoing or completed)	Comments

Overall Assessment: Note that the overall assessment must address, as a minimum, the following issues: *scope of the evaluation; methodological design; findings and analysis; credibility of data; recommendations; conclusion; executive summary.*

Quality Assessment criteria	Assessment Levels			
	Very Good	**Good**	**Poor**	**Unsatisfactory**
1. Structure and Clarity of Reporting *To ensure report is user-friendly, comprehensive, logically structured and drafted in accordance with international standards.* Checklist of minimum content and sequence required for structure: • i) Acronyms; ii) Exec Summary; iii) Introduction; iv) Methodology including Approach and Limitations; v) Context; vi) Findings/Analysis; vii) Conclusions; viii) Recommendations; ix) Transferable Lessons Learned (where applicable) • Minimum requirements for Annexes: ToRs; Bibliography List of interviewees; Methodological instruments used.	*Please insert <u>assessment level</u> followed by your main <u>comments</u>.*			
2. Completeness and concision of the executive summary *To provide an overview of the evaluation, written as a stand-alone section and presenting main results of the evaluation.* Structure (paragraph equates to half page max): • i) Purpose, including intended audience(s); ii) Objectives and Brief description of intervention (1 para); iii) Methodology (1 para); iv) Main Conclusions (1 para); v) Recommendations (1 para). Maximum length 3-4 page				
3. Justification of the design and of the methodological approach *To provide a clear explanation of the following elements/tools* Minimum content and sequence: • Explanation of methodological choice, including constraints and limitations; • Techniques and tools for data collection provided in a detailed manner; • Triangulation systematically applied throughout the evaluation; • Details of participatory stakeholders' consultation process are provided. • Whenever relevant, specific attention to cross-cutting issues (vulnerable groups, youth, gender equality) in the design of the evaluation				

4. Reliability of Data *To clarify data collection processes and data quality* • Sources of qualitative and quantitative data have been identified; • Credibility of primary (e.g. interviews and focus groups) and secondary (e.g. reports) data established and limitations made explicit;	
5. Soundness of the analysis and credibility of the findings *To ensure sound analysis and credible findings* Findings • Findings stem from rigorous data analysis; • Findings are substantiated by evidence; • Findings are presented in a clear manner Analysis • Interpretations are based on carefully described assumptions; • Contextual factors are identified. • Cause and effect links between an intervention and its end results (including unintended results) are explained.	
6. Validity of the conclusions *To assess the validity of conclusions* • Conclusions are based on credible findings; • Conclusions must convey evaluators' unbiased judgment of the intervention.	
7. Usefulness of the recommendations *To assess the usefulness and clarity of recommendations* • Recommendations flow logically from conclusions; • Recommendations must be strategic, targeted and operationally-feasible; • Recommendations must take into account stakeholders' consultations whilst remaining impartial; • Recommendations should be presented in priority order	
8. Meeting Needs *To ensure that Evaluation Report responds to requirements (scope & evaluation questions/issues/DAC criteria) stated in the ToR (ToR must be annexed to the report).* *In the event that the ToR do not conform with commonly agreed quality standards, assess if evaluators have highlighted the deficiencies with the ToR.*	

Quality assessment criteria (and Multiplying factor *)	Assessment Levels (*)			
	Unsatisfactory	**Poor**	**Good**	**Very good**
5. Findings and analysis (50)				
6. Conclusions (12)				
7. Recommendations (12)				
8. Meeting needs (12)				
3. Design and methodology (5)				
4. Reliability of data (5)				
1. Structure and clarity of reporting (2)				
2. Executive summary (2)				
TOTAL				

(*) Insert the multiplying factor associated with the criteria in the corresponding column e.g. - if "Finding and Analysis" has been assessed as "good", please enter the number 50 into the "Good" column. The Assessment level scoring the higher number of points will determine the overall quality of the Report
OVERALL QUALITY OF REPORT: [Insert overall Assessment Level based on highest score above – see Explanatory Note for further guidance

Explanatory Note for further guidance

1.   Explanations regarding the Quality Assessment criteria

1. Structure and Clarity of Reporting
Does the report clearly describe the evaluation, how it was conducted, the findings of the evaluation, and their analysis and subsequent recommendations?
Is the structure *logical*? Is the report *comprehensive*?
Can the information provided be *easily understood*?
2. Completeness and concision of the executive summary
Does it read as a stand-alone section, and is a *useful* resource in its own right?
Is it brief yet *sufficiently detailed*, presenting the main results of the evaluation, and including *key elements* such as methodology and conclusions and recommendations?
3. Justification of the design and of the methodological approach
Is the *methodology* used for the evaluation clearly described and is the rationale for the methodological choice justified?
Have cross-cutting issues (vulnerable groups, youth and gender equality) been paid specific attention (when relevant) in the design of the evaluation?
Are key processes (tools used, triangulation, consultation with stakeholders) discussed in sufficient detail? Are *constraints* and *limitations* made explicit (including limitations applying to interpretations and extrapolations; robustness of data sources, etc.) and discussed?
4. Reliability of Data
Are *sources* of data clearly stated for both primary and secondary data?
Is it clear why case studies were selected and what purpose they serve?
Are all relevant materials related to case studies, interviews (list of interviewees, questionnaires) etc. annexed to the report?
Are the limitations, and methods to address them, discussed?
What other *data gaps* are there and how have these been addressed?
6. Validity of the conclusions
Do the conclusions amount to a reasonable *judgment* of the findings and are their links to evidence made clear?
Are there any limitations and are these made clear?
Do they present an *unbiased* judgment by the evaluators of the intervention or have they been influenced by preconceptions or assumptions that have not been discussed?
7. Usefulness of the recommendations
Is there a *logical flow* from the conclusions to recommendations?
Are they strategic and clearly presented in a priority order which is consistent with the *prioritization* of conclusions? Are they *useful* – sufficiently detailed, targeted and likely to be implemented and lead to *further action*?
How have the recommendations *incorporated* stakeholders' views and has this affected their *impartiality*?
8. Meeting Needs
Does the report adequately address the information needs and responds to the *requirements stated in the ToRs?*
In particular does the report respond to the evaluation questions, issues or criteria identified in ToR?

2.   Explanations regarding scoring and weighing

a.   Why and how to score the quality of evaluation reports?

The scoring of EQAs serves two main purposes:
- to express an objective judgment both on the overall quality of an evaluation report as well as on each evaluation criterion used in the quality assessment (synchronic approach) ;
- to assess the progress (or lack thereof) over time, either in the overall quality of UNFPA funded evaluation reports or for each specific quality criterion (diachronic approach).

As indicated in the EQA grid, the scoring scale comprises four levels: (1) unsatisfactory, (2) poor, (3) good, (4) very good.

b.   Why and how to weigh the different criteria of the EQA grid?

Each EQA criterion has been associated with a weight (or a multiplying factor) which is underlined to, and illustrates its relative importance as regards the overall quality of the report. As you will see

(Table below) the **criterion 5 (Findings and analysis)** is the most prominent of all 8 criteria as a good analysis and credible findings are considered the backbone of a good quality report.

In fact, a report containing sound analysis and credible findings is useful even if the conclusions and recommendations are poorly formulated, as sound analysis and credible findings provide the reader with accurate information on the evaluated programme as well as potentially useful "lessons learned."

In contrast, conclusions that appear convincing or recommendations that seem well-articulated cannot and should not be used when they are not grounded in sound analysis and related robust findings.

As a result: fulfillment of *criterion 5 is indispensable to the production of a good quality report,* and, for this reason, *it is associated with a weight accounting for <u>half of the total quality score</u>.*

c. The detailed weighing scale for EQA criteria

Quality assessment criteria	Multiplying factor
5. Findings and analysis	50
6. Conclusions	12
7. Recommendations	12
8. Meeting needs	12
3. Design and methodology	5
4. Reliability of data	5
1. Structure and clarity of reporting	2
2. Executive summary	2
TOTAL	**100**

d. Guidance on how to compile the scoring grid

Insert the multiplying factor associated with the criteria in the corresponding column e.g. - if "Finding and Analysis" has been assessed as "good", please enter the number 50 into the "Good" column. The Assessment level scoring the higher number of points will determine the overall quality of the Report

Quality assessment criteria (and Multiplying factor *)	Assessment Levels (*)			
	Unsatisfactory	**Poor**	**Good**	**Very good**
5. Findings and analysis (50)			50	
6. Conclusions (12)		12		
7. Recommendations (12)		12		
8. Meeting needs (12	12			
3. Design and methodology (5)	5			
4. Reliability of data (5)			5	
1. Structure and clarity of reporting (2)			2	
2. Executive summary (2)	2			
TOTAL	19	24	**57**	

Therefore, in this example, as the highest score is 57 in the Good column, the <u>overall Assessment Level is Good.</u>

PART 3

TOOLS & RESOURCES

ELEMENTS OF THEORY
*Further explanation on evaluation concepts, approaches and techniques*

ELEMENTS OF THEORY

3.4 ELEMENTS OF THEORY

3.4.1   Intervention logic

The rationale behind the country programme can be described in terms of its **intervention logic**. The logic of intervention of describes, by means of hypothetical cause-effect linkages, how the programme is expected to attain its objectives. In the design phase, evaluators should study and examine in detail the logic of intervention for each focus area. The main elements of an intervention logic in the UNFPA context are illustrated in figure 19.

Figure 19   The components of the intervention logic
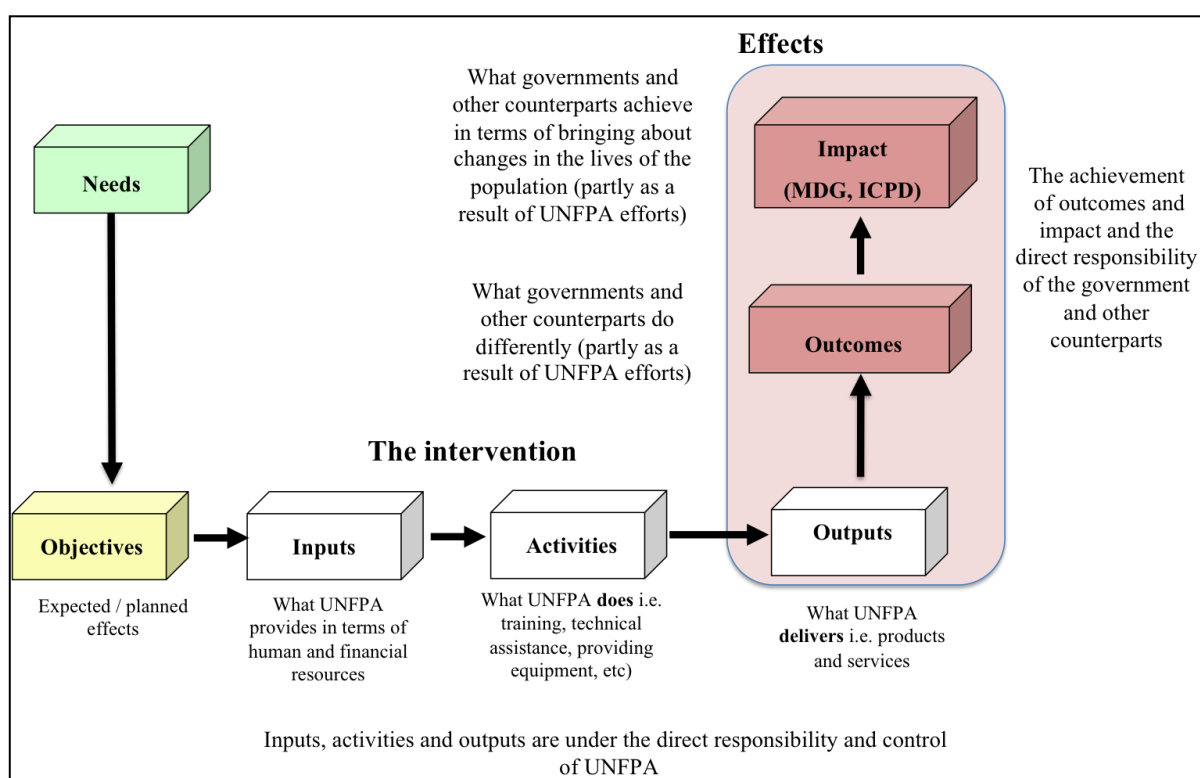
Needs corresponds to the demands, problems or challenges to be addressed by the UNFPA funded interventions. Evaluators may find information on the initial needs in the country programme document and the country programme action plan. The CCA and the UNDAF also contain information on the main country priorities and needs, but their scope goes beyond UNFPA focus areas. Information on real needs may often not be available in documents and will have to be retrieved during the field phase.

Inputs are the financial, human and material resources made available by UNFPA to carry out activities. The evaluators will find information on inputs in the Annual Work Plans (AWPs) and in Atlas.[82]

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[82] Atlas is the integrated management information system used by the UNFPA.

Activities are actions carried out or work performed, by means of which inputs are mobilized to produce specific outputs. In UNFPA country programmes, activities may consist in: training sessions, provision of technical assistance, procurement of equipment and medicines, support for consultation and government planning processes, etc. AWPs should provide information on the planned activities.

Outputs correspond to the deliverables, i.e., the products and services that result directly from interventions funded by UNFPA. As such, outputs are fully attributable to the country office interventions. The description of the expected country office outputs can be found in the CPAP and in AWPs.[83]

Box 28	Effects presented at the output level correspond to outcomes
Evaluators should be aware of the fact that outputs (in the CPAP) are often formulated in a manner that is akin to outcomes, the achievement of which is outside the control and responsibility of the country office.	

Outcomes are short-term and medium-term effects stemming from UNFPA programme outputs combined with interventions from other development actors. Outcomes are also affected by external factors which are outside the control of the country office (national socio-economic and political context, climatic events, etc.). They correspond to tangible improvements compared to the baseline situation of target beneficiaries. They imply an improvement in the quality of life of beneficiaries and/or the extent to which beneficiaries do things differently (in a better way). The description of the expected outcomes can be found in the CPAP.

Impact corresponds to higher-level effects usually described in terms of progress towards the achievement of the Millennium Development Goals (MDG) or progress towards the fulfilment of the commitments adopted in the International Conference on Population and Development (ICPD).

Box 29	Why does the CPE not cover impact?
The CPE does not cover *impact* for two reasons. Firstly, because the time span required for the implementation of a programme to contribute to such high-level effects is beyond a five-year cycle. Secondly, the aforementioned high-level effects are the consequence of many contributions by a vast range of development actors. Therefore, impact could only be assessed within the framework of multi-donors evaluations.	

3.4.2 Evaluation criteria for the analysis of the focus areas

RELEVANCE

In figure 20, relevance would be the correspondence between the *needs* and the *objectives* boxes. In a CPE evaluators will usually be assessing relevance in a ***dynamic*** manner: they will verify the continuous correspondence between the programme objectives and evolving needs. It is important that evaluators define the point in time that relevance is assessed given that *needs* may change as times elapses. In any case, evaluators should place special emphasis on assessing the *present relevance* of the programme, in other words, comparing the objectives of the programme with the present *needs* (at the time of the evaluation).

There is a wide range of aspects and features of relevance that evaluators need to look at:

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[83] It is easier to use the CPAP because it includes all outputs in a single document. AWPs include information on the output/s they (the AWPs) contribute to.

- Relevance towards the needs of final beneficiaries must be assessed in a distinct or separate manner since their needs may not be reflected in the national government priorities. Moreover, evaluators may want to distinguish between beneficiaries at different levels. For example, evaluators may want to assess the relevance of the programme towards (i) the needs of pregnant women living in communities, (ii) the needs of their village representatives, and (iii) the needs as perceived by staff working at district-level primary health centres. Indeed perceptions of what the needs are may not be the same for different beneficiary groups.

- Relevance of the programme's objectives towards the priorities of the Government.

- This criterion may also include assessing the consistency of the programme with international agendas, policies and plans.

Other aspects that may be examined under the relevance criterion are:

- Whether geographical strategies and the distribution of interventions across the country are consistent with the needs of the UNFPA main corporate target group, i.e. the most vulnerable and disadvantaged. If not, find out whether there is a legitimate reason for this.

- Whether the programme takes account of regional disparities; underserved and marginalised groups and also whether it takes account of imbalances (in access to services for example) rooted in ethnic and cultural factors.

- Check the balance between policy-level and project-level initiatives, and the balance between interventions at the central level (capital city) and local level.

EFFECTIVENESS

The minimum set of aspects that evaluators should look at when assessing effectiveness includes: (1) the degree of achievement of outputs and outcomes, (2) the breadth and depth of outputs and outcomes, and (3) unintended effects.

1) The degree of achievement of outputs (and if possible, the contribution of outputs to outcomes), which involves a two-step process:

- Assess the degree of achievement of the outputs as set out in the CPAP
- Analyse and explain how actual outputs have contributed to the achievement of the outcomes, that is, the degree of contribution of the outputs to the outcomes. This aspect involves: (i) examining whether there has been a (positive) contribution, (ii) and then, whenever possible, assess the extent of such contribution[84].

2) Breadth and depth of outputs (and if possible, outcomes), which includes several topics:

- Check to what extent UNFPA support has effectively reached the intended beneficiary target groups. This implies examining to what extent target beneficiaries are taking advantage of the benefits provided by UNFPA interventions and assess whether there have been any significant and tangible changes for them as a consequence of the interventions.

- An aspect of particular importance is to assess the factors behind *access and use*: check whether all planned beneficiaries have actually taken advantage of UNFPA support. If that is not the case,

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[84] The depth of the analysis of this 'extent' will depend on the availability of data on indicators of output and outcome.

examine why. If beneficiaries have access to services, examine whether they are using them/benefiting from them as formulated in planned outputs and outcomes. It is also important to look at the different degrees of access and use within beneficiary groups. For example, when assessing an outcome such as "increased utilization of high-quality reproductive health services" evaluators should examine whether the increase in utilization benefited all intended groups equally or some more than others, and find out the reasons why.

- Check whether intervention benefits have been localised/concentrated or widely spread across regions. Also assess whether benefits have reached some government levels (local, central) more than others and examine the implications.

- Analyse how the types and quality of UNFPA partnerships with other development partners, including other United Nations agencies, has contributed to maximise the breadth and depth of the outcomes. Assess whether and how these partnerships have translated into a higher or lower degree of effectiveness.

3) Check whether there have been any unintended effects.

The analysis of effectiveness should not be limited to identifying effects that correspond to those foreseen in the formulation of the CPAP. When identifying and assessing actual outcomes and outputs, it is very important to identify unintended effects - positive or negative, direct or indirect - and attempt to find out why they were generated and with what consequences.

EFFICIENCY

Efficiency is the relationship between (i) inputs – expressed as costs - and outputs, or (ii) between inputs and outcomes, depending on the scope of the definition.

For efficiency, evaluators should consider the relationship between what has been achieved and the costs of achieving it. Evaluators should look at the process that generates the outputs: inputs (costs) → activities → outputs. The scope of the efficiency criterion is centred on the relation between inputs and outputs.

1) Assessing how inputs are converted into activities consists in analysing how appropriately and adequately available resources (funds and staff) are being managed and used to carry out activities. The main issues to be covered here are:

- Assess the financial structure of the programme in terms of the resource allocation, that is, how resources have been allocated by (i) focus area, (ii) by priority within each focus area, and (iii) by type of implementation modality (provision of equipment and commodities, training, technical assistance, etc.) and examine whether this distribution has been conducive to producing good quality outputs. This includes looking at whether there has been a concentration or a dispersion of funds and the extent to which this has affected the quality of the activities, and ultimately, the quality of the outputs, the outreach of the outcomes and the optimisation of the overheads;

- Check whether resources have been provided in a timely manner or if there have been delays, the reasons why and the implications of such delays;

- Check whether there have been cost overruns and deviations to the planned budget, the reasons why and possible repercussions;

- Check whether workflows have been smooth or whether there have been bottlenecks in any areas;

- Check whether the number of staff and their capacity has been adequate to ensure smooth implementation and monitoring of inputs and activities.

→ **Reminder:** *the central focus of the evaluation is on outputs and how these contribute to the achievement of the outcomes. CPE are neither project-level evaluations nor performance audits of country offices. Evaluators should delve into the analysis of organisational aspects only when these are main factors behind the good or poor quality of the outputs.*

2) Assessing how activities are converted into outputs consists in analysing the extent to which activities are being managed to ensure the delivery of outputs. Main issues to be addressed are:

- Analyse deviations between annual work plans and actual implementation:

  o Check whether any planned activities have been cancelled, the reasons why and its implications in terms of producing good quality outputs;

  o Check whether there have been any newly added activities, the reasons why and its implications in terms of producing good quality outputs;

  o Check whether any of the planned activities have been reformulated or (partially) redesigned, the reasons why and its implications for producing outputs of good quality;

- Check how well activities have been managed and supervised - by both implementing partners and the country office - to ensure the delivery of outputs.

- Check the role and contribution of soft-activities in producing the outputs.

SUSTAINABILITY

Sustainability can only be assessed if the effects of the intervention have been generated, and usually, on the condition they have been generated for a reasonable period of time. Given that the time span covered by CPEs range from three to four years of implementation, sustainability will often be assessed in a prospective manner[85] i.e. evaluators will analyse **prospects for sustainability** (of the country programme's effects) rather than actual sustainability. However, there will be cases in which evaluators will be able to look into the actual sustainability of specific interventions when these have come to an end prior to the CPE.

The main broad question to be answered here is "*to what extent are the benefits of the country programme likely to continue beyond the programme completion?*" An answer to this question should incorporate an analysis of such factors as: political decisions, economic and financial aspects, environmental factors, national ownership and national capacity.

Evaluators should, at least, look into the following two aspects when assessing sustainability:

1) Check whether the programme design incorporates sustainability factors.

This involves examining the extent to which factors affecting sustainability have been incorporated from the beginning, in the design of the country programme, that is, in its activities and its outputs. Evaluators should:

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[85] See the last set of tables in the Glossary in Part 3 for consideration on the retrospective and prospective analysis of evaluation criteria.

- Check whether risks and assumptions were identified at the design phase of the programme e.g. the potential consequences of political developments, changes in legislative frameworks, institutional restructuring processes, etc. ;

- Assess whether factors ensuring ownership were factored into the design of interventions;

- Check whether country programme interventions foresaw handover or exit strategies[86] and assess the consequences of the approach taken with regard to sustainability.

2) Assess whether national capacity development considerations are being taken into account.

The extent to which the benefits generated by UNFPA interventions will continue after funding has ceased is highly associated with the capacity of the national counterparts. Assessing how UNFPA has contributed to build such capacity is not only a core aspect of the UNFPA corporate strategy – as set forth in the Strategic Plan – but also a very important dimension to be analysed under the sustainability criterion. Evaluators should:

- Assess the extent to which the country office has supported its partners and beneficiaries in developing their institutional and individual capacity to ensure the durability of outputs and outcomes;

- Check what measures and coping strategies have been taken to minimize the effects of external factors affecting national capacity (such as high staff turnover in beneficiary institutions or the existence of a "brain drain" phenomenon in the country);

- Check to what extent the government and the implementing partners have planned sufficient financial resources for continued support whenever this is required e.g. maintenance of facilities, procurement of medicines, conducting refresher training sessions. In the event of shortcomings in this regard, assess whether UNFPA has taken any mitigating measures / strategies;

- Analyse the in-house capacity of the UNFPA country office in areas in which the organisation is supposed to transfer expertise to the national counterparts e.g. planning systems and methodologies, results-based management approaches, monitoring and evaluation systems.

3.4.3 Evaluation questions

The evaluation questions are used to refine the focus of the evaluation. They are at the core of the CPE exercise. Answers to the evaluation questions will constitute the main body of analysis in the evaluation report and will provide the main inputs that the evaluation will offer for the next programming cycle.

While evaluation criteria encompass a wide range of aspects and features, the evaluation questions are used to focus on specific aspects. Evaluators shall use the evaluation questions to further narrow the evaluation criteria, enabling them to focus the evaluation work on a limited number of key points. Establishing a set of evaluation questions will allow for a more targeted data collection process, a more concentrated and in-depth analysis and eventually, a more focused and useful evaluation report.

Formulating evaluation questions is a crucial step in **determining with more precision what evaluators should check** when conducting the data collection and analysis phase. The evaluation questions function as the reference point to specify the type of data that should be collected, its sources, and, in turn, what methods should be used by the evaluators to collect the data.

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[86] An exit strategy is a set of measures and arrangements aimed at minimizing the consequences on the completion of interventions once funding is discontinued.

Evaluation questions will also play a key role in the final evaluation report as the presentation of the analysis of the focus areas and the strategic positioning will be organised and presented by evaluation questions under each evaluation criteria.

Figure 20   **Evaluation questions for the focus areas**
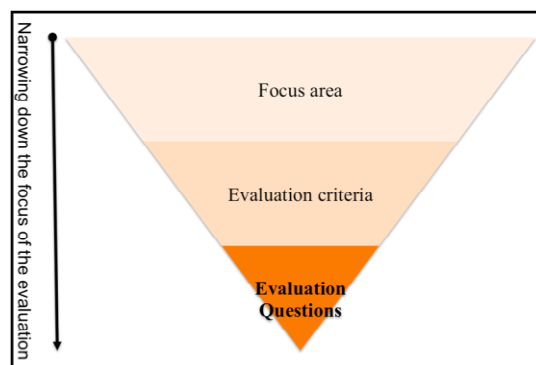
Evaluation questions must be **formulated for each focus area and evaluation criteria**. For example: evaluators must formulate questions associated with the effectiveness of the reproductive health focus area and questions relative to the sustainability of population and development effects, etc. Whenever evaluation questions for two or more focus areas coincide, they may be grouped together. However evaluators should be very careful when grouping questions since there is a risk of formulating questions that are too generic and will result in answers which are less useful for the next programming cycle.

For the analysis of **the strategic positioning**, separate evaluation questions will be formulated in relation to each evaluation criterion – corporate and systemic alignment, responsiveness and added value. In the particular case of the strategic alignment criterion, evaluators should formulate different questions for the corporate and for the systemic dimensions as they address different issues.
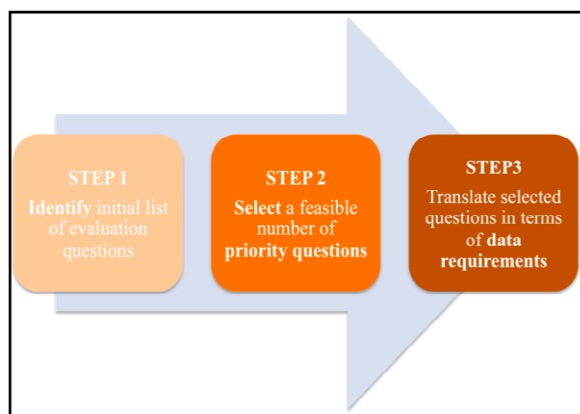

Note: Types of evaluation questions:

- **Descriptive:** they relate to "what has happened", without implying any judgment or analysis of how or why it happened e.g. *What measures have been introduced to mitigate any undesirable negative effects in the area of gender equality*?

- **Causal:** they are associated with the cause-effect relationships between the effects and the intervention, or between elements of the interventions e.g. inputs and activities or inputs and outputs: *through which mechanisms have UNFPA funded interventions contributed to enhance the capacity of national service providers to promote behaviour change for improved reproductive health*?

- **Normative:** they ask whether the effect is satisfactory or not and thus imply a judgment e.g. "*Has the technical capacity of national counterpart staff in charge of integrated management information systems in the area of population and development been strengthened as planned*?" This question could also end with "*Has the (...) been strengthened to a satisfactory extent*?" or formulated as "*to what extent has the objective of strengthening the technical capacity* (…) *been achieved*?" Answering the question implies establishing a benchmark separating what would be "to a good extent" from "to a poor or unsatisfactory extent" in order to make a judgment. Using objective benchmarks – as opposed to subjective ones - and indicators will enable evaluators to make objective and evidence-based judgments/ assessments.

In practice, evaluation questions are often a combination of these types of questions, that is, they may have both a descriptive and a causal element e.g. "*In the event of unintended effects, what were those effects and what measures were adopted to mitigate negative consequences?*" Or combine a causal and a normative element at the same time e.g. "*to what extent has the utilization of high-quality reproductive health services increased and how did UNFPA contribute to that*?

In the design phase evaluators should not only identify and select evaluation questions but also use them **as a means to determine the data requirements**. Evaluation questions will help (i) determine *what type data* (i.e. quantitative, qualitative, primary, secondary) will evaluators look for during the data and analysis phase; (ii) identify the *sources* of these data; and (iii) determine, on the basis of the type of data needed, the most suitable methods for *collecting* it.

Figure 21   **The three steps from evaluation questions to data requirements**

Step 1 - Identify evaluation questions
An initial list of evaluation questions should be drawn up for the focus areas as well as for the strategic positioning. For the focus areas, this step implies that evaluators have previously identified what are the needs, objectives, inputs, activities, outputs and outcomes as well as their logical cause-effect relationship sequence.

In the terms of reference of the evaluation, the evaluation manager should include a first list of evaluation questions based on issues identified by the country office, and by the Reference Group where present. The evaluation team should review them and add or replace questions as appropriate. Additions and withdrawals should be justified in the design report.

The main documentary sources that evaluators can draw upon when producing the initial list of evaluation questions are:
- The analysis of the country programming documents (CPD, CPAP, AWPs) as well as framework documents related to strategic positioning e.g. UNFPA Strategic Plan, UNDAF, National Development Strategy, previous evaluations.
- The analysis of progress reports such as the SPR and the COAR.

Evaluators should first identify the most useful questions and then assess whether they are feasible or not.

Figure 22   The process of selecting the evaluation questions
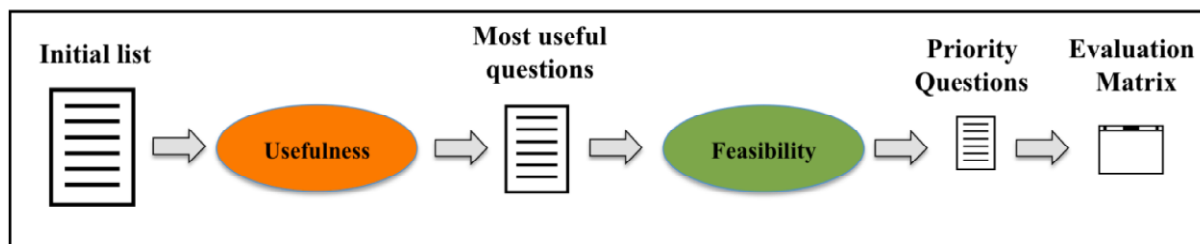
To assess **the potential usefulness of the questions**, evaluators should:

- Check *who* will use the answer and *what* the answer will be used for. Questions put forward by either the country office or by national counterparts addressing issues related to the next programming cycle are particularly useful in the context of a CPE. Questions providing feedback on strategic issues of relevance to headquarters should also be considered e.g. issues the Evaluation Branch at DOS might need information about to report to the Executive Board;

- Check whether the question deals with an issue that is *particularly urgent or important* to address. This includes questions related, for example, to controversial aspects, to the identification of best practices, or to the effects of pilot interventions.

Even when it is clear that the usefulness of the answers will be high, evaluators should make sure that there are no redundancies or overlaps. In this regard evaluators should check:

- Whether the answer to the question is already known. This particularly applies to questions that have been added by the evaluators (prior to receiving feedback from the country office or the reference group);

- Whether there is any other assessment (evaluation, review, study), either ongoing or to be launched in the near future, likely to provide an answer to the question.

Evaluators should then assess the feasibility of answering the questions:
The way in which evaluation questions are formulated (their scope) has direct implications in terms of the data required to answer them in an objective and evidence-based manner. Data requirements will, in turn, determine time and resources. Choosing a feasible set of questions means selecting questions that may be realistically answered given the time and resources available for the evaluation.

There are several aspects that make evaluation questions more or less feasible. Evaluators should consider the following:

- The availability of data, which in turns will depend on whether the country office has functional internal monitoring and information management systems producing data on implementation aspects as well as on outputs and outcomes;

- The amount of data needed to answer the questions in a credible manner;

- Whether answering the question requires predominantly primary data or secondary data. Primary data is usually more expensive and time-consuming to gather than secondary data but is more up to date and free from previous interpretation;[87]

- Access to key informants whose availability may vary;

- Whether the intervention has produced tangible effects at the time of the CPE. Some questions on the degree of effectiveness, for example, may not be feasible if effects have not been generated;

- The complexity of the question: questions that inquire about intricate cause-effect relationships may be too cumbersome to assess given the time, availability of data, expertise and financial resources available for the evaluation;

➜*Tip: Checking the feasibility of the questions implies considering them in terms of resources. The evaluation matrix may be used as a supporting tool during this process[88]: evaluators could use the "what to check", the "data sources" and the "data collection methods" columns in the matrix to have an idea on how feasible it will be to answer the questions. Often, two or more questions may be associated with the same sources of data and/or use the same data collection methods. Using the evaluation matrix can help visualize these considerations.*

In order to facilitate discussions during the selection process it would advisable to classify the evaluation questions by high, medium and low feasibility. Combining the feasibility and potential usefulness classifications in a double entry table would help the selection process as it provides a quick snapshot of the distribution of the initial list of questions according to both characteristics.

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[87] Usually, primary sources provide the raw data and secondary sources help understand it.
[88] This does not mean that evaluators should complete the evaluation matrix at this stage, as the evaluation matrix will be filled out with the priority questions. It means instead that the format of the matrix can be regarded as a useful supporting tool to assess the feasibility of the questions in terms of data requirements.

☞ | Tool 6 in Tools for structuring information provides an example of how an evaluation questions' selection matrix could be used when selecting priority questions.

PART 3

TOOLS & RESOURCES

GLOSSARY

A digest of methodological terms, tips on how to use them and clarifications on methodological approaches

GLOSSARY
Definitions of main methodological terms

3.5 GLOSSARY: definitions of main methodological terms

DEFINITIONS Intervention logic	
Intervention logic	It is a reasoned description of how the programme is expected to attain its objectives. It uses hypothetical cause-effect linkages to show the chain of expected effects between inputs, activities, outputs, outcomes and ultimately, impact.
Needs	The demands, problems, or challenges to be addressed by the UNFPA funded interventions.
Objectives	Expected planned effects.
Inputs	The financial, human and material resources UNFPA makes available to carry out activities.
Activities	Actions taken or work performed through which inputs are mobilised to produce specific outputs. In UNFPA country programmes, activities may consist in: training sessions, provision of technical assistance, procurement of equipment and medicines, support for consultation and government planning processes, etc. AWPs should provide information on the planned activities. ➔ *Tip: the actual activities being implemented under a country programme go beyond those included in Annual Work Plans (AWPs) for two reasons: they also include soft-activities not specified in AWPs.*
Effects	Intended or unintended changes due directly or indirectly to an intervention. Effects correspond to the actual outputs, outcomes and impact.
Outputs	The deliverables (products and services) that result directly from interventions funded by UNFPA. The generation of outputs is under the full responsibility and control of the country office. Outputs are first-level immediate effects. ➔ *Tip: In the UNFPA context an output is not the result of a single AWP but the result of implementing several AWPs plus soft aid activities over the five-year period of a country programme. When we refer to outputs we mean outputs as they are formulated in the CPAP results framework.*
Outcomes	Short-term and medium-term effects stemming from UNFPA programme outputs aimed at achieving development results. Outcomes are generated by UNFPA outputs combined with other development actors' interventions and actions of the beneficiaries and government counterparts. ➔ *Tip: the main two differences between outputs and outcomes are (i) that outputs are the control of the country office whereas outcomes are not, as they also depend on actions done by others and on external factors outside the control of the country office; and (ii) that outcomes are effects at a higher level than outputs.*
Impact	Higher-level effects usually described in terms of progress towards the achievement of the Millennium Development Goals or progress towards the fulfilment of the commitments adopted in the International Conference on Population and Development. CPE do not encompass the assessment of impact.
Development results	Development results mean sustained improvement in the lives of people in developing countries e.g. more children educated, fewer infants dying, more families lifted out of poverty. In the UNFPA framework, development results are strategic objectives and intended high-level effects as defined in UNFPA strategic documents and determined by the country context and national development challenges. ➔ *Tip: impact is a generic word for development results. In the context of a CPE they can be regarded as equivalent terms.*

	DEFINITIONS **Evaluation criteria for the analysis of the focus areas**
Evaluation criteria	**Definition**: evaluation criteria are *perspectives* or *viewpoints* from which we look at what is being evaluated.
Relevance	**Definition**: the extent to which the objectives of a development intervention are consistent with beneficiaries' needs, country needs, government priorities, global priorities, and UNFPA policies and strategies. **Particular aspects**: differentiate the relevance of the objectives on the basis of whose needs are being assessed
Effectiveness	**Definition**: the degree of achievement of the outputs, the extent to which outputs have contributed to the achievement of the outcomes and, whenever possible, the degree of achievement of the outcomes. **Particular aspects**: the degree of achievement of outputs (and if possible, outcomes) and unintended effects. ➔ *Tip: at times evaluators will find that CPAP outputs are defined in terms of outcomes rather than in terms of outputs (deliverables under the control of the country office). This will make the assessment of effectiveness more difficult.*
Efficiency	**Definition**: a measure of how resources/inputs (funds, expertise, time, etc.) are converted to results. Another definition is the extent to which outputs and/or outcomes are achieved with the appropriate amount of resources/inputs (funds, expertise, time, administrative costs, etc.) **Particular aspects**: how inputs are converted to activities i.e. how appropriately and adequately available resources (funds and staff) are being managed and used to carry out activities, and how activities are being managed to convert them to (good quality) outputs. These two aspects include assessing how well UNFPA has organized itself in terms of personnel and programmatic resource allocations to ensure the delivery of outputs. ➔ *Tip: in efficiency we do not focus on whether outputs have been achieved and to what extent, as this is part of the effectiveness criterion. In efficiency we look at the relationship between outputs and the resources that have been employed to achieve them.*
Sustainability	**Definition**: the continuation of benefits from a development intervention after major development assistance has ended. **Particular aspects**: analysis of the factors that affect the degree of sustainability, e.g., political decisions, economic and financial aspects, environmental factors, national ownership and national capacity. Evaluators should check whether the programme's design incorporates sustainability factors (risks and assumptions, factors ensuring ownership, hand-over or exit strategies) and assess whether national capacity development considerations are being taken into account. ➔ *Tip: sustainability will often have to be assessed in a prospective manner (prospects for sustainability). However, when selecting the sample of stakeholders to be interviewed, evaluators should select some of those involved in interventions that came to an end prior to the CPE. This will give some valuable insights to the analysis of sustainability, as it will enable some analysis – albeit partial – of the factors behind actual/real sustainability.*

DEFINITIONS	
Evaluation criteria for the analysis of the strategic positioning	
Strategic alignment (Corporate dimension)	**Definition**: the extent to which the *actual implementation* of the country programme is aligned to the UNFPA corporate mandate as set out in the Strategic Plan. **Particular aspects**: development of national capacity; special attention to the most vulnerable, disadvantaged, marginalized and excluded population groups; mainstreaming young people's concerns; South – South cooperation; and Strategic Plan Guiding Principles (national ownership, national leadership and national capacity development). ➔ *Tip: do not confuse relevance in terms of country programme interventions being in line with UNFPA policies with the analysis of the corporate dimension of the strategic alignment criteria. Relevance is different as we may look, among other aspects, at the extent to which objectives set out in country programme documents (CPD and CPAP) are aligned to the Strategic Plan.*
Strategic alignment (Systemic dimension)	**Definition**: the extent to which the UNFPA country programme is aligned to the UN system in the country. **Particular aspects**: check whether the CPD/CPAP are in line with the UNDAF; check whether the UNDAF reflects the interests, priorities and mandate of UNFPA; check whether there are any UNDAF outcomes clearly belonging to the UNFPA mandate but not attributed to UNFPA; and assess the contribution of UNFPA to *coordination within the UN system.*
Responsiveness	**Definition:** The ability to respond to changes in national priorities and to additional requests from national counterparts, as well as to shifts caused by major external factors and the evolving country context. **Particular aspects:** check the quality of the response, that is, the speed and timeliness of the response; whether the scale of the response was adequate in relation to the magnitude of the demands; and the balance between short-term responses and long-term development objectives embedded in UNFPA corporate mandate. ➔ *Tip: do not confuse responsiveness with relevance. They both look at the UNFPA actions in relation to national counterparts' requirements and the national context, but responsiveness is about the operational capacity of the country office to respond to changes in the national context or ad-hoc requests, and the quality of the response. Relevance looks at to what extent the objectives of the programme are, and remain, adapted to evolving national priorities and needs (notion of dynamic relevance).*
Added value	**Definition**: The extent to which the UNFPA country programme adds benefits to what would have resulted from other development actors' interventions only. **Particular aspects**: Assess how national counterparts and other development actors perceive the performance of UNFPA in the country; identify the comparative strengths of UNFPA, differentiating between country-specific comparative strengths and those resulting from generic corporate features of UNFPA (characteristics of UNFPA as an agency, irrespective of the country).

The importance of the distinction between *actual* and *planned*
(This clarification is related to and complements section 1.2.1 *Evaluation criteria*)

An important part of any evaluation consists of comparing what was planned or expected with what happened in reality. In other words, comparing *actual* outputs, outcomes, activities, inputs with those planned at the start of the country programme.

Evaluators will find *planned* outputs, outcomes, activities and inputs in the programming documents (CPAP, CPD, Strategic Plan, UNDAF and in AWPs). The term "objectives" in programming documents is used to designate expected outcomes and expected outputs. On the other hand, the *actual* outputs and the actual outcomes (effects) can only be observed and assessed during the data collection and analysis phase, and not by simply looking at programming documents during the design phase.[89] Data collection is about retrieving information on *actual* outputs, outcomes, activities and inputs.

The focus of CPE is on outputs, not on activities

The degree of achievements of the outputs - and their contribution to the outcomes- is the main centre of gravity of country programme evaluations. Evaluators should be acquainted with activities and inputs yet only to a level of detail matching the scope of the evaluation. CPEs are not project-level evaluations and therefore do not entail using activity checklists to verify meticulously whether activities have been implemented or not. The study and examination of activities and inputs should be done bearing in mind that the focus of the exercise is on outputs and their contribution to the planned outcomes (provided outcomes have already been generated at the time of the CPE).

➔ *Tip: Analyse activities to the extent that they explain the quantity and quality of the outputs. Never lose the focus on outputs. Details on a particular training session conducted in one district or the number of kits provided by UNFPA in a particular community are not relevant.*

Should evaluators assess the degree of achievement of outcomes under the effectiveness criterion?
(This clarification complements the text on the effectiveness criterion in section 1.2.1.1)

The assessment of the degree of achievement of outcomes is beyond the scope of CPE. Evaluators will assess the degree of achievement of outputs and if possible, the contribution of the outputs to the planned outcomes.

Whenever it is possible to assess the contribution of the outputs to the planned outcomes, evaluators should try to find out how plausible is that the positive changes (outcomes) are a consequence, at least in part, of UNFPA efforts. Evaluators should not attempt to conduct attribution analysis;[90] they should explore whether there are indications that there has been such contribution.

Moreover, when assessing the contribution of the outputs to the planned outcomes, evaluators should also look at to what extent the quality and value of UNFPA partnerships (with other development partners, including other UN agencies) has contributed to the achievement of planned outcomes.

➔ *Reminder: remember that whereas outputs are the full responsibility of the country office and are under their control, outcomes are outside of the control of UNFPA. The mandate of country offices is to support governments and other direct counterparts in taking actions that ultimately have an impact on people. Achieving the outcomes will require partner country actions and decisions as well as support from other development partners.*

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[89] The only exception would be looking at past evaluations and end of project reports. However this implies looking at past secondary data and could only provide partial evidence of the overall picture for the actual outcomes.

[90] Attribution analysis would entail explaining which part of the achievement of the outcomes is directly attributable to UNFPA.

Retrospective and prospective analysis and the evaluation criteria
(This clarification complements text on sustainability criterion in section 1.2.1.1)

Some evaluation criteria allow only for backward-looking assessments (retrospective analysis) whereas others allow both backward and forward-looking assessments (prospective analysis). Evaluators may assess the extent to which effects have been sustainable – provided that the effects have been already generated – but also look at the prospects for sustainability i.e. the likelihood that the effects of UNFPA interventions continue once the funding comes to an end.

The same happens with effectiveness: evaluators may assess the extent to which objectives *have been* achieved or the extent to which objectives are *likely to be* achieved.

Relevance and efficiency only allow for retrospective assessments because future needs cannot be assessed and the actual/real costs incurred cannot be inferred beforehand.

In CPE evaluators are expected to conduct retrospective assessments for the most part i.e. analyse *what* has happened and the reasons *why* but prospective assessments are also an option. However, whenever evaluators choose to conduct prospective assessments they should explicitly indicate it in the methodological chapters of the design and final reports. Evaluators should also explain the reason why a prospective assessment has been chosen.

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