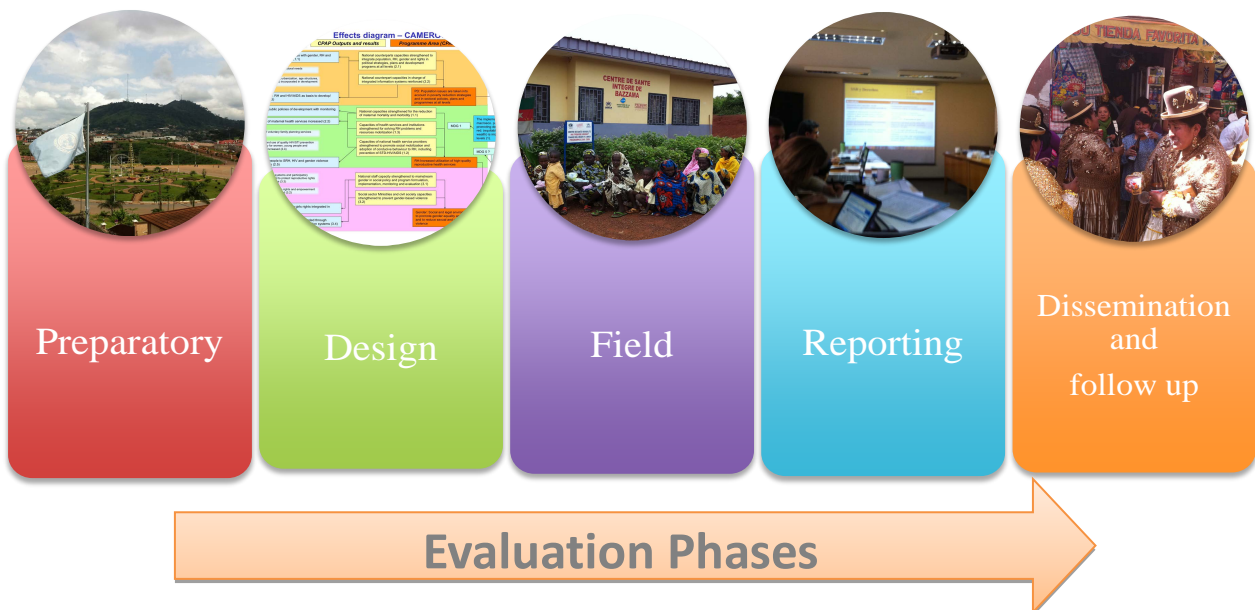


HANDBOOK

HOW TO DESIGN AND CONDUCT A COUNTRY PROGRAMME EVALUATION AT UNFPA



**Independent Evaluation Office
New York**

Title **Handbook: How to Design and Conduct a Country Programme Evaluation at UNFPA**
Date **October 2013. Revised Template 13, July 2016**

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The full document can be obtained from the UNFPA website at:

<http://www.unfpa.org/admin-resource/how-design-and-conduct-country-programme-evaluation-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 to the partners of UNFPA.

Taking stock of best practices among UN organizations, the Independent Evaluation Office (then Evaluation Branch at DOS) designed the Handbook as a tailor-made guide 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.

The UNFPA evaluation policy recognizes the importance of promoting a culture of evaluation that ensures the active use of evaluation findings and recommendations in policy development and in improving the functioning of the organization. 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 cornerstone of the UNFPA results-based management system.

The *Handbook on How to Design and Conduct a Country Programme Evaluation at UNFPA* is the product of the Independent Evaluation Office of UNFPA with the input from external methodology experts – Jordi del Bas, Rafael Eguiguren and Martin Steinmeyer. The Handbook also benefited from the active collaboration of colleagues in country and regional offices during a pilot phase when, in 2011, the draft methodology was tested with the conduct of independent country programme evaluations in Bolivia and Cameroon.

This 2013 version of the Handbook reflects the current UNFPA evaluation framework stemming from the adoption of a new evaluation policy in June 2013. It also takes stock of the lessons learned from the conduct of the independent country programme evaluation of Madagascar (2012) and Lebanon (2013), as well as the thematic evaluation of UNFPA support to maternal health (2012). It was also informed by the feedback provided by M&E officers and focal points during a series of knowledge sharing workshops.

It is our hope, within the Independent Evaluation Office, that this Handbook will contribute 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.

The Independent Evaluation Office Team
October 2013

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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.

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.

The revised UNFPA evaluation policy (2013) entrusts the Independent Evaluation Office with developing methodological guidance and tools as well as quality-assurance mechanisms. The purpose is to continuously improve and enhance the quality and credibility of evaluations at UNFPA, in line with the United Nations Evaluation Group Norms and Standards and international best practices¹. Within this framework, the Evaluation Office produced a fully-fledged methodology tailor-made for country programme evaluations at UNFPA.

The Handbook was developed in a participatory manner which entailed, in particular, workshops and rounds of discussion among the Evaluation Office staff and external experts. The methodology was tested in four pilot independent country programme evaluations designed and conducted by the Evaluation Office in close cooperation with the country offices in Bolivia (2011), Cameroon (2011) and Madagascar (2012) and Lebanon (2013). 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 “pilot CPEs.” It also benefitted from the feedback provided by M&E officers/ focal points during a knowledge sharing workshop which took place in Johannesburg (June 2012).² The methodology was also informed by lessons learned from the thematic evaluation of UNFPA support to maternal health.³

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*.

¹ Revised UNFPA Evaluation Policy, DP/FPA/2013/5. <http://www.unfpa.org/public/home/about/Evaluation/ExBoardReports>

² Knowledge sharing workshop for evaluation managers: how to design and conduct a CPE at UNFPA, June 25-29, 2012. <http://www.unfpa.org/public/home/about/Evaluation/KnowledgeSharing>

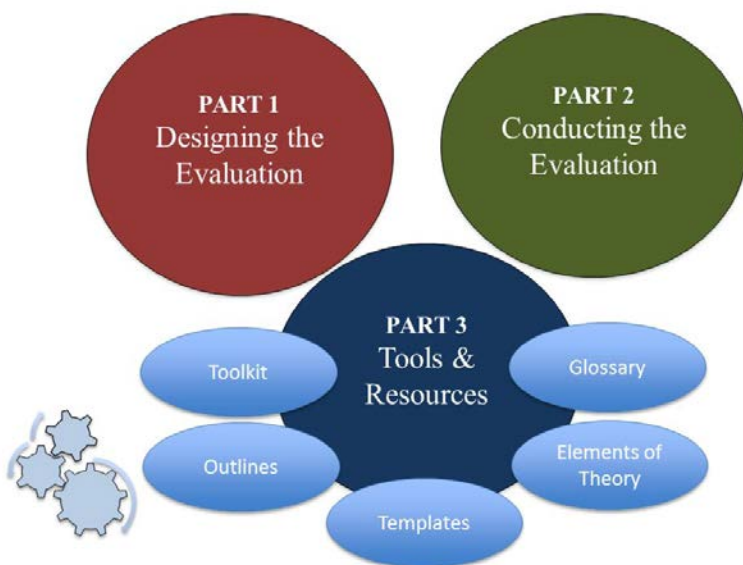
³ All evaluation reports are available at: <http://www.unfpa.org/public/home/about/Evaluation/EBIER>

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, analysis and reporting and the dissemination of evaluation results. It provides the evaluators with guidance on methods for collecting and analysing data, preparing the evaluation report and disseminating the results of the evaluation. This part also describes important aspects of quality assurance throughout the entire evaluation process. It highlights the main quality assurance milestones as well as the division of responsibilities between evaluators and the evaluation manager in this regard.

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 field and analysis stages. The evaluators will find tools for: (i) structuring information, (ii) data collection, and (iii) data analysis.

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

Evaluators and evaluation managers who are *not well versed in evaluation methodologies* (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
<ul style="list-style-type: none"> ➔ 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 <i>Detailed outlines for the reports</i>, in Part 3.
The reader is the team leader
<ul style="list-style-type: none"> ➔ 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 <i>Detailed outlines for the reports</i>, in Part 3.
The reader has previous experience in evaluation
<ul style="list-style-type: none"> ➔ S/he should nonetheless read sections 1.2 <i>Drafting and selecting the evaluation questions</i>, 1.3 <i>Selecting a sample of stakeholders</i> and 1.4 <i>Planning data collection and analysis</i>.



Table 2: Evaluation topics of particular importance

The topics and their location in the handbook	
Topics	Where to find them in the handbook
Drafting ToR	Template 1
Selection of consultants	Template 2
Drafting evaluation questions	Section 1.2.2
The evaluation matrix	Overview; 1.2.2; tool 1
Stakeholders sample selection	Sections 1.3, 2.1, and tools 1, 3, 4, 6, 7 and 10.
Drafting agendas	
Ensuring that the evaluation is evidence-based, logical and coherent	Sections 1.4, 2.3 and Tool 1 and Template 5 (Evaluation matrix)
How to draft the design and the final reports	Detailed outlines for the reports, in Part 3

Visual aids to navigate the Handbook

The handbook uses a set of visual aids so that the reader can navigate between different parts of the handbook, be alerted of particularly important topics, and can access additional information on certain topics which go beyond the scope of this handbook:

	[Refers to sections and chapters of the handbook where the reader can find more information on a particular topic]
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	[Provides references to external documents and sources on particular topics]
	[Presents information on practical issues related to the implementation of UNFPA country programme evaluations]

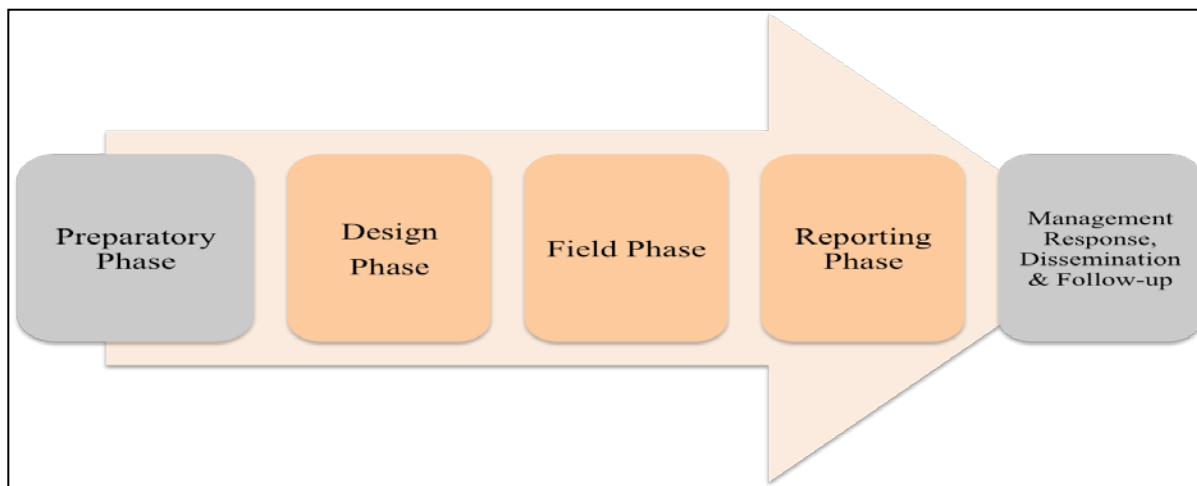
→ **Tip and reminders:** Include practical suggestions, advice and/or warnings.

OVERVIEW

The Evaluation process

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


Figure 2: The phases of a country programme evaluation



1. During the **preparatory phase**, the UNFPA country office M&E officer becomes the evaluation manager of the CPE. In the event that there is no M&E officer, then it is the responsibility of the representative, in consultation with the RO M&E adviser, to nominate an evaluation manager ensuring that this person is not involved in the implementation of the country programme interventions. The first tasks for the evaluation manager are to:
 - (i) Capture the specific elements of the country programme and to prepare the Terms of Reference (ToR) for the evaluation, in consultation with the regional office M&E Adviser.
 - (ii) Send the Terms of Reference to the Evaluation Office for approval.
 - (iii) With the support of the regional office M&E Adviser, the evaluation manager must also identify potential evaluators and submit them to the Evaluation Office for pre-qualification.
 - (iv) The evaluation manager compiles a preliminary list of background information and documentation on both the country context and the UNFPA country programme; these will be listed in an Annex of the ToR. This is necessary to provide the evaluators with an overview of the programme and broader country programme environment.
 - (v) It is also during the preparatory phase that a *reference group* must be constituted. The reference group will accompany the evaluation manager throughout the conduct of the evaluation.⁴

⁴ 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, including government. They may also include representatives of the academia and of civil society organisations.

- (vi) The evaluation manager also prepares a first stakeholders mapping of the main partners relevant for the CPE and the Atlas project list.
- (vii) The evaluation manager also prepares the Atlas project list.


 Section 3.3 'Templates' provides guidance on the drafting of ToR, a template for the pre-qualification of consultants, and a sample letter to invite stakeholders to become members of the reference group for the evaluation. Section 3.1 'Toolkits' provides guidance on preparing the stakeholders map and Atlas project list.

2. Once the external evaluators have been selected, the CPE enters its ***design phase***, dedicated to the structuring of the evaluation process. At this stage, the evaluators must gain an in-depth understanding of both the UNFPA country programme and the country context. They must select and adapt the evaluation questions and choose the most appropriate methods for data collection and analysis. Evaluators must also select a sample of stakeholders to interview during the field phase.

With the assistance of the evaluation manager, evaluators perform these tasks in close cooperation with the UNFPA country office personnel, particularly with a view to:

- (i) refining the evaluation questions;
- (ii) consolidating the stakeholders mapping; and
- (iii) identifying additional documentation.

Once the interviewees have been identified by the evaluators, the evaluation manager (together with the country office staff) shall set a preliminary agenda for the field phase. The results of the design phase are summarized in the *design report*.

 Detailed outlines for the reports are available in Part 3 of the Handbook.

3. The ***field phase*** consists of a three to four-week field mission in the programme country in order to complete the data collection and proceed with the analysis. Evaluators will collect data through individual interviews, group discussions, and focus groups, and by way of consulting additional documentation.


Towards the end of the field phase, the evaluators analyse the collected data and produce a set of preliminary findings, complemented by tentative conclusions and embryonic recommendations. These provisional evaluation results are presented to the evaluation reference group and the country office staff during a debriefing meeting to be scheduled at the end of the field phase.

Although the attempt to draw conclusions and recommendations at this stage (before the data and information collected have undergone a comprehensive analytical work) may appear as a challenge, this exercise finds its justification in (at least) the two following reasons:

- (i) there is a strong demand from the country office to be "reassured" that the evaluation will actually lead to the formulation of useful and realistic recommendations;
- (ii) the debriefing meeting often constitutes a unique opportunity for the evaluators to formulate and test some hypotheses which may guide their analysis.

In order to avoid any misunderstanding, the evaluators must however emphasize that their proposed elements of recommendations are only at a very initial stage and should, as such, be considered as working assumptions to be further confirmed or infirmed through the analysis.

4. During the **reporting phase**, evaluators draft the evaluation report. The draft final evaluation report shall undergo both a quality assessment and a review process. Firstly, the evaluation manager will perform a quality assessment of the draft final evaluation report, using the Evaluation Office EQA Grid. When considered of adequate quality, the draft report is shared with the reference group for comments (factual mistakes, omissions, misrepresentations, contextual factors) while respecting the independence of the evaluation team in expressing its judgement. Based upon the evaluation manager's EQA and the reference group's comments, the evaluators proceed with the production of the final evaluation report. The Reporting Phase closes with the three-stage evaluation quality assessment (EQA) of the final evaluation report. The EQA process involves: (a) a quality assessment of the final evaluation report by the CO evaluation manager; (b) a quality assessment by the regional monitoring and evaluation adviser; (c) a final independent quality assessment by the Evaluation Office.

 Template 13 in Part 3 of the Handbook features the EQA grid and explanatory note. NB: the EQA template must be attached to the terms of reference.

5. During the **management response, dissemination and follow-up phase**, the country and regional offices as well as relevant divisions at headquarters are informed of the main results of the CPE. The evaluation manager must ensure that the final evaluation report, accompanied by a management response listing all recommendations, is communicated to the relevant units and s/he shall invite them to submit a response.

The evaluation manager will then consolidate all responses in a final management response document. The UNFPA Programme Division (PD) is responsible for monitoring and overseeing the implementation of the recommendations. The PD also ensures that evaluation findings are integrated into strategic policy and planning.⁵

The Evaluation Office publishes all CPE reports and accompanying independent EQA grids in the UNFPA Evaluation Database.⁶ The UNFPA country office is responsible for posting the evaluation report, the evaluation quality assessment and the management response on the country office website.

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).


 Template 12 in Part 3 of the Handbook presents the format of the management response.

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

⁵ See Paragraph 26 of the revised UNFPA evaluation policy. Monitoring of management responses takes place through the Management Response Tracking System

⁶ See the Evaluation Database at <http://web2.unfpa.org/public/about/oversight/evaluations>

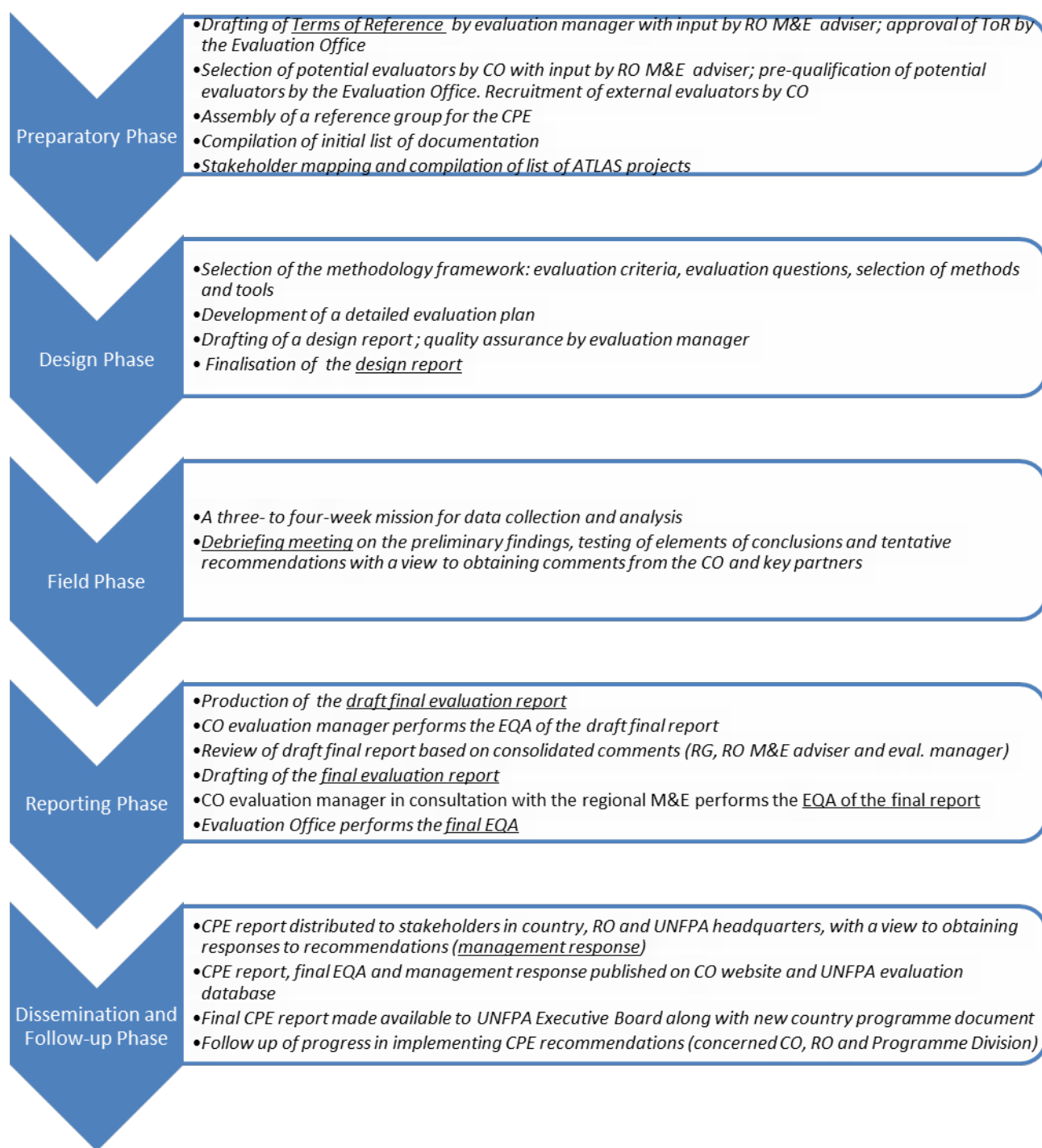


Table 3: Summary of responsibilities of the evaluation manager, evaluators, reference group, regional M&E adviser and Evaluation Office in the conduct of a CPE

Actors	Roles and Responsibilities
Evaluation manager	The manager of a country programme evaluation oversees the entire process of the evaluation, from its preparation to the dissemination of the final evaluation report. He/she: <ul style="list-style-type: none"> • Prepares the terms of reference of the evaluation (support from RO M&E adviser);

Actors	Roles and Responsibilities
	<ul style="list-style-type: none"> • Sends the terms of reference of the evaluation to the Evaluation Office for approval; • Constitutes the reference group; • Chairs the evaluation reference group • Manages the interaction between the team of evaluators and the reference group; serving as an interlocutor between both parties; • Launches the selection process for the team of evaluators, leading the selection of and preparing the contract for the consultants; in consultation with the regional office M&E adviser; • With the assistance of the RO M&E adviser, identifies potential candidates to conduct the evaluation, prepares the summary assessment table with the input of the RO M&E adviser and sends the table to the Evaluation Office for pre-qualification of consultants; • Sets up the initial meeting for the evaluation, and provides the team of evaluators with a first set of background documents and other materials; • Ensures the quality control of deliverables submitted by the evaluators throughout the evaluation process; • Assists the evaluators with logistical support in setting up the data collection arrangements -- e.g., for project visits, focus groups, interviews with key informants; • Prevents any attempts to compromise the independence of the team of evaluators during the evaluation process; • Produces the EQA for the final draft evaluation report and the final evaluation report in consultation with the regional office M&E adviser; • Approves the deliverables of the evaluators, including the final evaluation report; • Sends final report and EQA to Evaluation Office; • Ensures the dissemination of the final evaluation report and the main findings, conclusions and recommendations.
Evaluation team	<ul style="list-style-type: none"> • Conducts the CPE based on parts 1, 2 and 3 of the handbook; • Produces the design report; • Produces the evaluation report.
Evaluation Reference Group (ERG)	<ul style="list-style-type: none"> • Provides input to the ToR of the evaluation and to the selection of team of evaluators; • Contributes to the selection of evaluation questions; • Provides overall comments to the design report of the CPE, • Facilitates access of evaluation team to information sources (documents and interviewees) to support data collection; • Provides comments on the main deliverables of the evaluation, including the draft final report.
Regional M&E Adviser	<ul style="list-style-type: none"> • Provides support (backstopping) to evaluation manager at all stages of the evaluation; • Reviews and provides comments to the ToR for the evaluation; • Assists the CO evaluation manager in identifying potential candidates and reviews the summary assessment table prior to it being sent to the EO; • Undertakes the EQA of the final evaluation report; • Provides support to the dissemination of evaluation results.
Evaluation Office	<ul style="list-style-type: none"> • Approves ToR for the evaluation after the review and comments by the regional M&E adviser (to be included in the draft ToR sent to the EO); • Pre-qualifies consultants; • Undertakes final EQA of the evaluation report; • Publishes final report and EQA in the evaluation database.

Tools and templates to be used throughout the evaluation 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 4: Tools, resources and templates available throughout the evaluation process

CPE phases & tasks	Tools and resources	Templates
Preparatory phase		
Drafting the ToRs		Template 1
	Tool 1 (T1) – The evaluation matrix	Template 5
Pre-qualification of consultants		
Desk review	T8 - Checklist for the documents to be provided by the evaluation manager to the evaluation team	
Atlas projects	T3 List of Atlas projects	
Letter of invitation to participate in a reference group		Template 14
Stakeholder map	T4 – Stakeholders mapping table	Template 4
Design phase		
Understanding the UNFPA strategic response	T2 - Effects diagram	
Understanding the UNFPA programmatic response	T3 - List of Atlas projects by CPAP output and Strategic Plan outcome	Template 3
Drafting and selecting evaluation questions	Section 1.2 Drafting and selecting evaluation questions and T5	
	T1 – The evaluation matrix	Template 5
Drafting the CPE agenda and individual agendas	T6 - The CPE agenda	Template 6
	T9 - Checklist of issues to be considered when drafting the agenda for interviews	
	T4 – Stakeholders mapping table	Template 4
	T3 - List of Atlas projects by CPAP output and Strategic Plan outcome	Template 3
Choosing data collection methods	T7 - Checklist for preparatory tasks prior to the field phase	
	T8 - Checklist for the documents to be provided by the evaluation manager to the evaluation team	
	T10 - Guiding principles to develop interview guides	
	Interview logbook	Template 7
Choosing data analysis methods	Section 2.4	
Field phase		
Conducting data collection	T1 – The evaluation matrix	Template 5
	T7 - Checklist for preparatory tasks prior to the field phase	
	T9 Checklist of issues to consider when drafting the agenda for interviews	
	T10 – Guiding principles to develop interview guides	
	T11 - Checklist for sequencing interviews	
	T12 – How to conduct interviews: Interview logbook and practical tips	Template 7
	T13 – How to conduct focus groups: practical tips	
Conducting data analysis	T1 – The evaluation matrix	Template 4

	Section 2.4	
Reporting phase		
Drafting the design and the final reports	T1 – The evaluation matrix	Template 5
	Part 3 – How to structure and draft the design report	Template 8
	Part 3 – How to structure and draft the final report	Template 10
	Evaluation Quality Assessment (EQA) Grid	Template 13
Management response, dissemination and follow-up		
Management Response		Template 12


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.

The evaluation matrix in a nutshell

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 displays the core elements of the evaluation: (a) *what* will be evaluated (evaluation criteria, evaluation questions and related issues to be examined – “assumptions to be assessed”); (b) *how* to evaluate (sources of information and methods and tools for data collection). Evaluators must use the evaluation matrix as a:

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

 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.

Who should prepare 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.⁷ The evaluation manager must ensure that the evaluation matrix is annexed to the design and final reports.

⁷ This situation is described in more detail in section 2.1 *Starting the field phase*, 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 should be the country office M&E officer. In the event that there is no M&E officer, then it is the responsibility of the representative in consultation with the regional office M&E adviser to nominate an evaluation manager ensuring that this person is not involved in the implementation of the country programme interventions.

The evaluation manager will ensure consistency throughout the evaluation process, from drafting the terms of reference to the dissemination of the evaluation results, 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 activities 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 conducting the evaluation, 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; what quality standards must be applied, etc.

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.

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) are a key element for guiding the entire evaluation process. The ToR specify the objectives and scope of the evaluation and are used as a reference for the selection of consultants to carry out the evaluation. They must be annexed to the contract of the selected evaluators since they are an integral part of their legal agreement with UNFPA on the extent of services, the quality of deliverables, and the timeline for the evaluation. The ToR shall also indicate the number of days for each consultant and specify the budget for

the evaluation (it should range between 70,000-100,000 USD depending on the complexity of the programme).⁸

Box 1: Outline of Terms of Reference for UNFPA country programme evaluations

- Introduction (*explanation of evaluation mandate, rationale and purpose of CPE*)
- Context (*presentation of evaluation subject within national context*)
- Objectives and scope of the evaluation (*objectives of CPE and the timeframe covered*)⁹
- Evaluation questions (*pre-selection of evaluation questions to be covered by the CPE*)
- Methodology and approach (*describes intended approach and methodology*)
- Evaluation process (*outline of the evaluation phases and steps*)
- Expected outputs (*description of main deliverables of CPE*)
- Work plan (*detailling specific activities, milestones and dates, including planned submission date of final report*)
- Composition of the evaluation team (*make-up, size and required qualifications of evaluation team*)
- Management and conduct of the evaluation (*description of the roles and responsibilities of evaluation manager, reference group, evaluation team, and quality assurance process*)
- The evaluation audience (*intended users of the evaluation report, and their responsibilities for its use*)
- Bibliography and resources (*initial list of documents and information resources to be consulted by evaluation team*)
- Annexes



Template 1 provides details on the content of the individual chapters for the terms of reference for a CPE.

1.2 Selecting and recruiting the evaluation team.

During the preparatory phase, the evaluation manager must reflect on the composition of the team of evaluators. The team of evaluators for UNFPA country programme evaluations typically consists of one team leader and at least two additional team members. Teams must be multi-disciplinary, with both *thematic expertise* (e.g., sexual and reproductive health and rights, gender equality/ women empowerment, population dynamics, adolescent and youth, other relevant programmatic area) and *experience* and skills relating to *evaluation methodology*.

With regard to **evaluation methodology**, candidates for the evaluation team must demonstrate previous experience in carrying out ‘*theory-driven evaluations*’ and should be able to work with, and collect both quantitative and qualitative data and information. Evaluators’ data collection skills need to include document and statistical analysis as well as experience in conducting focus groups and key informant interviews.

The required thematic and methodological expertise can be provided by a combination of members of the evaluation team, - i.e., team members do not have to be all equally strong in each thematic area of expertise. The role of the **evaluation team leader** is preferably assigned to an expert with a strong evaluation methodological background. Note that the evaluation team leader does not necessarily have to possess expertise in sexual and reproductive health and rights, gender or population dynamics or any of the other

⁸ Integrated budget 2014-2017 <http://www.unfpa.org/public/home/exbrd/pid/12131>

⁹ The ToR shall abide by the UNEG guidelines on drawing up ToR⁹ and must include a description of both the overall and the specific objectives of the CPE, as well as the structure, staffing requirements and key deliverables. http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=608

Box 2: Responsibilities of the reference group throughout the UNFPA country programme evaluation

Preparatory Phase:

- Provides input to the terms of reference of the evaluation, including first selection of evaluation questions to be covered by CPE.
- Provides input for selection of team of evaluators.

Design Phase:

- Contributes to the final selection of the evaluation questions, and provides overall comments on the design report of the CPE.

Field Phase:

- Facilitates access of evaluation team to information sources (documents and interviewees) to support data collection.

Reporting Phase:

- Provides comments on the main deliverables of the evaluation, in particular the (draft) final report (to this aim timely distribution of documents by the evaluation manager is essential)

To constitute the reference group, the evaluation manager must identify the relevant organisations and individuals and prepare a note of invitation to join in. This note must explain the role played by the reference group and include the draft ToR and shall be sent by, or on behalf of the country office representative.



Template 14 – Letter of invitation to participate in a reference group.

1.4 Preparing initial documentation

The evaluation manager must prepare copies of the most relevant documents on the country programme and its context (global UNFPA Strategic Plan, the UNDAF, the country context in general). S/he must make those documents available to the evaluators as soon as the team has been selected. Indeed, in order to ensure an efficient launch of the evaluation, this documentation must be collected at the preparatory phase to ensure it is readily available at the beginning of the design phase.

Box 3: Documents to be compiled during preparatory phase of CPE

UNFPA country programme:

- Country programme document (CPD) and country programme action plan (CPAP)
- List of Atlas projects by CPAP output and Strategic Plan outcome (see below)
- Copies of annual work plans (AWPs) for the period covered by the CPE
- Standard progress reports (SPRs) and country office annual reports (COARS)

Strategic context of UNFPA country programme:

- Common Country Assessment (CCA) and United Nations Development Assistance Framework (UNDAF)
- UNFPA Strategic Plan(s) for the years covered by the CPE
- Relevant national policy documents for the different outcome areas of the UNFPA Strategic Plan


Wider country context relevant to PD, SRH and Gender:

- References to documentary sources for more information on demographic, social, political, economic context in programme country are listed in Table 7.

The Table below provides a list of documentary sources which evaluation managers and evaluators can use to access information relevant for UNFPA programmatic areas.

Table 5: Documentary sources to access information relevant for UNFPA programmatic areas

Information source	Where to find it
UNFPA (global)	https://www.unfpa.org/public/home/publications
The Population Council (global)	http://www.popcouncil.org/publications/pdr.asp (another access: http://onlinelibrary.wiley.com/journal/10.1111/(ISSN)1728-4457/issues)
World Health Organization (WHO)	http://www.who.int/topics/gender/en/ and http://www.who.int/topics/reproductive_health/en/
Pan American Health Organization (PAHO)	http://new.paho.org/
Population Reference Bureau (PRB)	http://www.prb.org
MEASURE DHS Demographic and health surveys	http://www.measuredhs.com/
Women Watch (UN System)	http://www.un.org/womenwatch/directory/regions_and_countries_20.htm
Asia Society (regional)	http://asiasociety.org/policy-politics
Committee on the Elimination of Discrimination against Women (CEDAW)	http://www.un.org/womenwatch/daw/cedaw
Social Commission for Asia and the Pacific (ESCAP)	http://www.un.org/Depts/escap/pop/journal.htm
African Development Bank Group (AfDB)	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)	http://www.cladem.org/images/stories/publications/Cairo - Avances_ingls.pdf
Pan American Health Organization (PAHO)	http://new.paho.org/
<i>For further details on the information sources please see table 7.</i>	

	See Tool 8 for a checklist of the documents to be provided by the evaluation manager to the evaluation team.
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1.5 Preparing list of Atlas projects

The evaluation manager, the reference group and the evaluators need to obtain an accurate picture of the activities implemented under the country programme as well as of their links with the outputs and outcomes of the country programme. To this end, the individual annual work plans (AWPs) list the activities undertaken by the country office to operationalize the country programme action plan (CPAP) on an annual basis.

However, the AWP often do not offer a sufficiently detailed and comprehensive overview of the portfolio of activities supported by UNFPA. To obtain a precise list of all activities planned and/or implemented during the period under evaluation, evaluators need to complement their review of AWP with a study of *Atlas data on budgeted activities and actual expenditure*.

For this purpose, during the preparatory phase of the CPE, the evaluation manager must compile Atlas budget and expenditure records for the period covered by the CPE. She/he must make this information available to the evaluators in Excel format. To this aim the evaluation manager is required to use the Excel template called "List of Atlas projects by CPAP output and Strategic Plan outcome" (Tool 3). When completed, this spread sheet offers detailed information which can also be used for other purposes.¹⁰

¹⁰ E.g., 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 implementing agencies have been involved in).

 **Tool 3- List of Atlas projects by CPAP output and Strategic Plan outcome:** This tool enables the evaluation manager to present a wide range of data otherwise not readily retrievable as it is spread throughout a number of AWP.

1.6 Preparing a stakeholders map

The evaluation manager and the evaluators need to have a comprehensive overview of the different stakeholders -- government, implementing partners, beneficiaries, civil society, donors, etc. -- who have either (i) been involved in the preparation and the implementation of the country programme, or (ii) have been directly or indirectly affected by its implementation. Identified stakeholders serve as important *sources of information* for the evaluators. They can provide both *quantitative data*, and *qualitative information* which evaluators shall use to analyse the contribution of UNFPA support to changes for each outcome of the country programme.


 See 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, and use the stakeholders mapping table (tool 4).

Table 6: The responsibilities of the evaluation manager at preparatory phase

Main Activities	Responsibility	
	Evaluation Manager	Evaluation Team
Development of Terms of Reference (ToR)	<ul style="list-style-type: none"> Determines required scope and methodological requirements of CPE Defines the staffing requirements for the evaluation Drafts first version of ToR in consultation with RO M&E adviser and circulates ToR to the reference group (see below) Finalises ToR based on feedback from the reference group Sends ToR for approval to the Evaluation Office 	Not yet recruited
Compilation of preliminary list of background documents and other materials	<ul style="list-style-type: none"> Prepares list of Atlas projects Compiles list of other documents and materials for CPE Prepares stakeholder map 	
Establishing the reference group for the evaluation	<ul style="list-style-type: none"> Identifies relevant services and qualified participants to take part in the reference group Prepares and sends invitation note to identified participants to join the reference group Circulates relevant documents to the reference group in a timely manner Calls meetings and leads the work of the reference group 	
Selecting the evaluation team	<ul style="list-style-type: none"> Identifies potential candidates to compose the evaluation team in consultation with RO M&E adviser. Prepares the summary assessment table with the input of the RO M&E adviser. Sends the summary assessment table to the Evaluation Office for pre-qualification of consultants. Undertakes the competitive selection process of consultants. Proceeds with the recruitment of consultants. 	

2. During the **design phase**, the role of the evaluation manager consists mainly in providing quality assurance on the design report and ensuring 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).
3. With regard to the **field phase**, the evaluation manager shall take care of the logistics and in particular of the agenda. The evaluation manager plays a prominent role given her/his easier access to stakeholders identified for interviews.



Section 1.4 *Planning data collection and analysis* for more details on the preparation of the CPE agenda and Section 1.5.2 *Resource requirements and logistical support*.
See also Tool 6 – 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 tentative recommendations of the evaluation.

4. During the **reporting phase** the evaluation manager will make sure that the evaluation team uses the outline for the structure of the report (as included in Part 3.2 of this handbook). The evaluation manager will also 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 serve as an important input for the delivery of a good quality final report.



Template 13 – Evaluation Quality Assessment Grid and Explanatory Note.

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



Template 12 – Management response

The evaluation manager ensures that the report is distributed to stakeholders in the programme country, as well as in the regional office and in headquarters. The evaluation report is made available to the UNFPA Executive Board in time for the approval of the new country programme document. She/he ensures that the report is published, along with the EQA grid and the management response, on the country office web site.

PART 1

DESIGNING THE EVALUATION

UNFPA Country Programme Evaluations are meant to ensure both the accountability of UNFPA to its donors, partners and other stakeholders and to facilitate learning with a view to improving the relevance and performance of its country programmes over time. This is reflected in the objectives of UNFPA country programme evaluations:

- The *overall objectives* of a CPE are:
 - (i) an enhanced accountability of UNFPA for the relevance and performance of its country programmes;
 - (ii) a broadened evidence-base for the design of the next programming cycle.
- *Specific objectives of CPEs*: Towards the achievement of these overall objectives, CPEs are meant to:
 - (i) provide an independent assessment of the progress of the programme towards the expected outputs and outcomes set forth in the results framework of the country programme;
 - (ii) provide an assessment of the country office (CO) positioning within the developing community and national partners, in view of its ability to respond to national needs while adding value to the country development results;
 - (iii) draw key lessons from past and current cooperation and provide a set of clear and forward-looking options leading to strategic and actionable recommendations for the next programming cycle.

UNFPA country programme evaluations will contribute to the accountability of UNFPA for results, facilitate organisational learning and support evidence-based programming only to the extent that they are of high quality. Their credibility and usability as a tool to improve UNFPA programming over time relies on the consistent validity of their findings and conclusions, and the usefulness of their recommendations.

A number of conditions are necessary to achieving good quality evaluations. These conditions are the responsibility of individual business units. These conditions refer, in particular, to:

- (i) *Timeliness*, both (i) ensuring that a critical mass of results have already materialized in the field and can contribute to data collection by the evaluators; and (ii) completing the exercise within a time-frame that allows an evaluation to meet the needs of the main users at the most appropriate time;
- (ii) *Evaluability*, which depends in particular on (i) the results framework soundness; and (ii) the existence of a results-oriented monitoring system;
- (iii) The existence of *skilled staff* to manage the evaluation; and
- (iv) The availability of adequate *financial resources and the selection of qualified consultants*.

1.1.3 The object of the evaluation

UNFPA country programme evaluations are intended to provide an independent assessment of the relevance and performance of UNFPA support in a specific programme country, over a period of either one or two programme cycles. At the centre of the scope of each CPE stands one specific country programme action plan (CPAP), together with the corresponding documents that UNFPA uses to operationalize its country programmes and to develop annual implementation strategies.

The performance of UNFPA in any given country is influenced by a variety of factors. Some of these pertain to the UNFPA country programme itself - i.e., its design, the resulting thematic scope and the implementation of

the programme by the country office. Contextual factors also play an important role in influencing the performance of UNFPA support:

- UNFPA generally works in partnership with the national government in programme countries. Country programmes are meant to be aligned with the governmental policies and implementation mechanisms in each country. Therefore, governmental policies, operations and implementation mechanisms have a strong influence on the activities of UNFPA.
- In most cases, UNFPA also works with a diversity of partners from the development community, both within and outside of the UN system. The implementation of a UNFPA country programme is influenced by the actions of these other partners.
- Finally, activities funded by UNFPA, the deliverables produced and the results achieved are also influenced by a wide range of economic, social and cultural factors, as well as other influences, for example the extent of social cohesion, education levels or nature of cultural norms in the programme country).

Country programme evaluations comprise two components:

1) The analysis of UNFPA programmatic areas

The evaluators assess the **relevance** of the UNFPA country programme including the capacity of the CO to respond to the country needs and challenges. The evaluators also assess progress in the achievement of outputs and outcomes against what was planned (**effectiveness**) in the country programme action plan (CPAP) as well as **efficiency** of interventions and **sustainability** of effects.

2) The analysis of UNFPA strategic positioning in the country

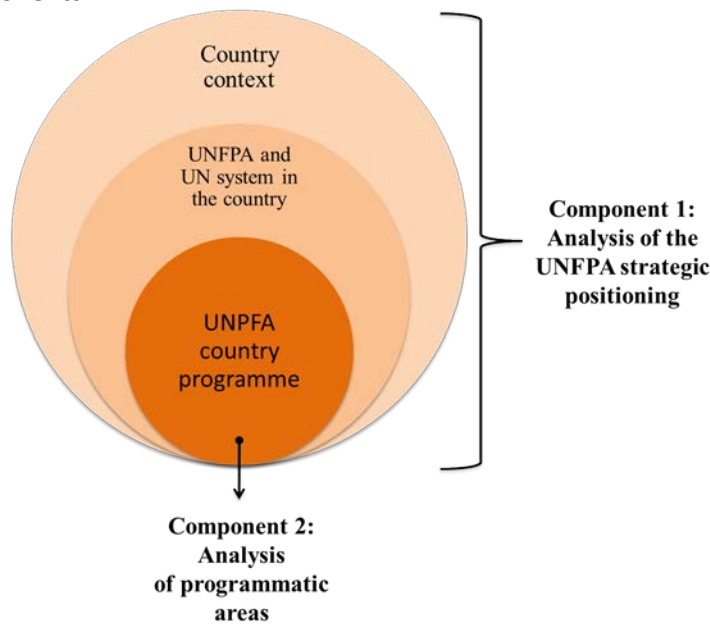
The evaluators assess the alignment with the UN Development Assistance Framework (UNDAF) with a view to assessing the UNFPA contribution to the UN country team (UNCT) **coordination** mechanisms.

The evaluators also assess the **added value** of UNFPA vis-à-vis the development community (government, civil society, NGOs, other development partners). UNFPA added value in the country is a direct consequence of its comparative strengths.



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 *The Evaluation criteria* and 1.2.2 *The evaluation questions*.

Figure 4: The two CPE components



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* within the specific programmatic areas supported by UNFPA.

1) First level: the wider country context:

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 on the internet site of the Ministry of Planning or equivalent.
- 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 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.

Box 4: 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: the country challenges:

Evaluators must understand the country challenges and the corresponding national strategies notably in terms of population dynamics, sexual and reproductive health, gender equality, adolescents and youth, etc. 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 programmatic areas of UNFPA.
- 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 produced **at regional level**. These reports offer both a regional perspective of the challenges affecting the country. They also contain country-specific sections. 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.


	<p><i>Why should you analyse the country context?</i></p> <ul style="list-style-type: none"> ○ The country context, and in particular the state of development in the programmatic areas, will constitute the main benchmark for assessing the relevance criterion, including <i>responsiveness</i>. ○ The analysis of the country context will be the starting point for drawing up Chapter 2 of the design and the final reports.
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Table 7: Resources on country challenges in UNFPA programmatic areas

Information source	Description	Where to find it
UNFPA (global)	Publications and reports containing regional assessments including regional and country data in the programmatic 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/AIDS, 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


1.1.5 Understanding the UNFPA response

1.1.5.1 The UNFPA Strategic Plan

All UNFPA interventions are guided by a global corporate strategy set out in the UNFPA Strategic Plan. Within paragraph 5 of the 2008-2011 Strategic Plan, it is established that “[t]he plan will provide the overall direction for guiding UNFPA support to programme countries to achieve their nationally-owned development objectives.”¹¹ Originally, the current Strategic Plan covered a four-year period (2008 – 2011), and was subsequently extended until 2013 (Executive Board decision 2009/16).

Originally, the Strategic Plan defined three broad programmatic areas: population and development, reproductive health and rights and gender equality. Following the Mid-Term Review of the Strategic Plan (2011), UNFPA adopted a set of seven interrelated outcomes which, in turn, support a single overarching goal: to achieve universal access to sexual and reproductive health, promote reproductive rights, reduce maternal mortality and accelerate progress on the ICPD agenda and MDG5.

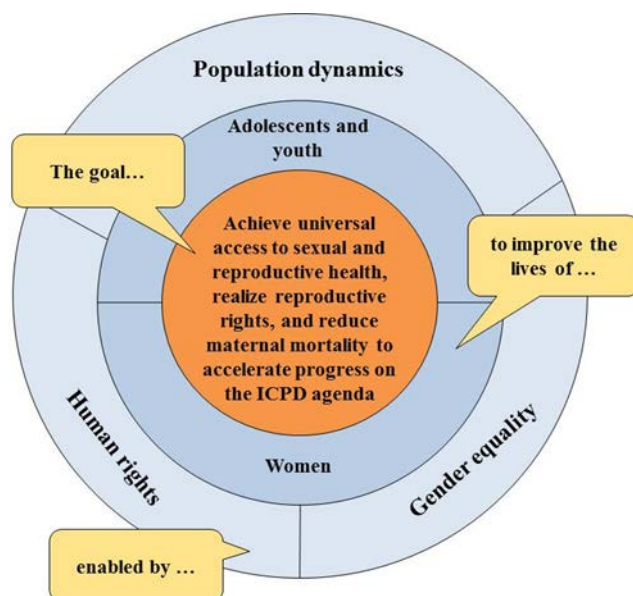
¹¹ See UNFPA Strategic Plan 2008-2011: Accelerating progress and national ownership of the ICPD Programme of Action.

	<p><u>UNFPA Strategic Plan:</u> ⇒ http://www.unfpa.org/public/site/global/lang/en/pid/4631</p> <p><u>Mid-term Review and Revised Development Results Framework and Management Results Framework of UNFPA Strategic Plan:</u> ⇒ http://www.unfpa.org/public/site/global/lang/en/pid/4631 (link to DP/FPA/2011/11: Report of the Executive Director: Mid-term Review of the UNFPA Strategic Plan, 2008 – 2013).</p>
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<p>UNFPA Strategic Plan 2008-2013</p> <ul style="list-style-type: none"> • Outcome 1: Population dynamics and its interlinkages with the needs of young people (including adolescents, SRH (including family planning), gender equality and poverty reduction addressed in national and sectoral development plans and strategies. • Outcome 2: Increased access to and utilization of quality maternal and newborn health services. • Outcome 3: Increased access to and utilization of quality family planning services for individuals and couples according to reproductive interventions. • Outcome 4: Increased access to and utilization of quality HIV- and STI-prevention services especially for young people (including adolescents) and other key populations at risk. • Outcome 5: Gender equality and reproductive rights advanced, particularly through advocacy and implementation of laws and policy. • Outcome 6: Improved access to SRH services and sexuality education for young people (including adolescents). • Outcome 7: Improved data availability and analysis resulting in evidence-based decision-making, and policy formulation around population dynamics, SRH (including family planning), and gender equality
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In 2011, the midterm review (MTR) of the 2008-2013 strategic plan (DP/FPA/2011/11) led to a significant refocusing of UNFPA support, with SRH and reproductive rights placed squarely at the centre of the work of the organization. This strategic direction – colloquially known as the “bullseye” – has been put forward in response to the changing external environment.

Figure 5: The “Bullseye” as the goal of UNFPA




The new Strategic Plan for the period 2014-2017¹² reaffirms the strategic direction represented by the “bullseye” and is organized under 4 outcomes:

- **Outcome 1:** Increased availability and use of integrated sexual and reproductive health services that are gender-responsive and meet human rights standards for quality of care and equity in access.
- **Outcome 2:** Increased priority on adolescents, especially on very young adolescent girls, in national development policies and programmes, particularly increased availability of comprehensive sexuality education and sexual and reproductive health services.
- **Outcome 3:** Advanced gender equality, women’s and girls’ empowerment, and reproductive rights, including for the most vulnerable and marginalized women, adolescents and youth.
- **Outcome 4:** Strengthened national policies and international development agendas through integration of evidence-based analysis on population dynamics and their links to sustainable development, sexual and reproductive health and reproductive rights, HIV and gender equality.

The outcomes are no longer strictly associated with the three previous programmatic areas. Instead, they are meant to form a coherent package of core areas to allow the organisation to better focus its support.


The SP 2014-2017 also presents a set of organizational changes to improve management effectiveness with a strengthened results framework, a new business model, and improvements to the funding arrangements.


The present Handbook shall apply to all decentralized CPE irrespective of the strategic plan under which the country programme was designed and implemented. In the event of a country programme falling under both strategic plans (2008-2013 – 2014-2017) it will be particularly import to take into account in the analysis the change of reference framework.

	<p><u>UNFPA Strategic Plan:</u> ⇒ http://www.unfpa.org/public/site/global/lang/en/pid/4631</p>
	<p><u>Mid-term Review and Revised Development Results Framework and Management Results Framework of UNFPA Strategic Plan:</u> ⇒ http://www.unfpa.org/public/site/global/lang/en/pid/4631 (link to DP/FPA/2011/11: Report of the Executive Director: Mid-term Review of the UNFPA Strategic Plan, 2008 – 2013.</p>

For each UNFPA programme country, priorities and approaches are derived from the outcome areas and programming principles set out in the global Strategic Plan.

UNFPA country offices must identify, within the global development results framework (SP 2008-2013) or integrated RF (SP 2013-2017), those outcome areas that best reflect the priorities as identified within the country United Nations Development Action Framework (UNDAF). The UNDAF is the UN-wide programming framework that presents the collective response of the UN Country Team (UNCT) to the national development priorities.

	<p>Why should you examine UNFPA Strategic Plan? 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 programmatic areas, and (ii) the review of the strategic positioning</p>
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	<p>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</p>
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¹² Adopted at the Executive Board second regular session (September 2013) <http://www.unfpa.org/public/home/exbrd/pid/12131>

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.

- ✓ 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 programmatic areas (section 1.2.1)
- ✓ The UNDAF will be used as a reference when assessing the strategic positioning (section 1.2.1).
- ✓ 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>

UNFPA 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.¹³ Indeed, a country programme is not linked to all outcomes of the Strategic Plan but only to selected relevant outcomes which, in turn, become an integral part of the country programme in support of the UNDAF.¹⁴

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 using 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 some examples.

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).

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

One recurrent finding of the independent country programme evaluations recently conducted by the UNFPA Evaluation Office¹⁵ is that UNFPA outputs tend to be formulated as ambitious development outcomes rather than as the direct and immediate results of UNFPA-financed interventions.

¹³ See paragraph 103 of the UNFPA Strategic Plan 2008-2011.

¹⁴ See paragraph 127 of the UNFPA Strategic Plan 2008-2011.

¹⁵ The evaluation reports are available at: <http://www.unfpa.org/public/home/about/Evaluation/EBIER/CPE>

Box 5: How to account for overly ambitious CPAP outputs when analysing the country programme intervention logic?

A problem common to the results frameworks of UNFPA country programmes is that **outputs are formulated at too high a level in the theory of change**, in a manner such that it is unlikely or impossible for UNFPA to achieve them through its work alone (i.e., without contributions from third party projects). In these instances, outputs often read more like development outcomes (or even development goals) since they describe societal changes that (might) occur in response to concrete UNFPA interventions, although they are neither directly nor exclusively linked to these interventions. This situation contradicts the expectation that outputs of country programmes should **directly result from UNFPA-supported interventions**.

If evaluators were to base the design of the CPE on these “high level” outputs and outcomes and were to assess the actual achievement of such outputs, they would likely conclude that the CPAP outputs have not been achieved and the country programme has performed poorly. In doing so, they **will miss other, more realistic and nuanced contributions** the programme may have made to improve development results.

Correcting for overly ambitious outputs in the design of UNFPA country programme evaluations

For this reason, the design of the methodology of the CPE should not be based on the “flawed version” of the intervention logic. Instead, evaluators need to *revise and reconstruct the intervention logic* to make it coherent and consistent, and to close potential gaps in the cause-and-effect logic of the country programme. In order to perform a fair assessment of the country programme, evaluators must:

- (i) Interview all programme officers and gather all necessary documentation to obtain an accurate overview of the actual interventions and expected outputs with respective indicators.
- (ii) The final reconstructed intervention logic should be discussed with, and validated by the evaluation reference group.
- (iii) The selection of evaluation questions, indicators and appropriate data collection methods must be performed on the basis of this new reconstructed and logically-consistent version of the intervention logic.
- (iv) The reconstructed programme intervention logic should be presented in the design report.
- (v) The programmatic flaws (i.e., inconsistencies in the levels of the chain of effects of the programme) identified by the evaluators must be presented as part of the findings and conclusions and should lead to a specific recommendation in the final evaluation report.



For more information 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*.

Box 6: 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 further by way of presenting objectives and strategies in more detail. 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 AWP (see below).

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 by the partner Government and the UNFPA CO.

Both CPD and CPAP contain the programme strategy for a given period of time, 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.

Each evaluator should also examine in detail all **annual work plans (AWPs)** associated with the programmatic areas s/he is responsible for. AWP operationalize the CPAP whereas the CPD and the CPAP set forth what should be produced and achieved. AWP 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. To obtain a comprehensive overview of the planned activities, the evaluation team must study all AWP corresponding to the period under evaluation.

A detailed review of the AWP will provide evaluators with the following information:

- 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.

Box 7: What to be aware of when working with Annual Work Plans

Evaluators need to be aware of a number of challenges associated with the analysis of a UNFPA country programme on the basis of annual work plans (AWPs):

- Whereas each *output* in the CPAP should have at least one associated AWP, de facto one AWP may contribute to more than one output.¹⁶ Evaluators may thus encounter either AWP associated to a single output and/or AWP linked to more than one output.
- When several *implementing partners* work on a specific 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 AWP for the same year, each one being signed with a different implementing partner.
- UNFPA Policies and Procedures Manual for the implementation of country programmes strongly recommends that when an implementing partner is involved in the achievement of several outputs, a separate AWP should be prepared for each output.¹⁷
- Not all activities carried out during a programming period are necessarily included in AWP. New activities are often added and/or adjustments take place in response to demands from counterparts after an AWP has been signed, yet often the AWP is not updated in light of such changes. Also, AWP do not list the *un-costed* “soft activities”, such as advocacy, policy dialogue, national consultations, and institutional mediation (see below).

It is important to note that some UNFPA activities may not be included in Annual Work Plans for 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.

¹⁶ When this happens the AWP contains the description of all the outputs it contributes to.

¹⁷ The rationale of this recommendation lies in the fact that when activities are transcribed into Atlas, the financial information is recorded per output, *not by implementing partner*.

Box 8: Soft activities

UNFPA support includes activities related to AWP as well as “non-project activities” or “soft activities” such as advocacy, policy dialogue, national consultations, and institutional mediation. It is important that evaluators identify those “soft activities”.

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 AWP 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 AWP while all will be registered in Atlas. For those new activities added in response to specific demands from the counterparts, or cancelled activities, while not reflected in the AWP, when costed, 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 to them by the **evaluation manager**. This spreadsheet contains a great deal of information and can also be used for other purposes.¹⁸



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 AWP.



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 provide a review of activities and how these have contributed to achieving the CPAP outputs and outcomes. Annual SPR also contain an expenditure report.
- The COARs 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 9: 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 not to be conducted as project-level evaluations. In CPEs, 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.¹⁹



Why should you analyse the programmatic response?

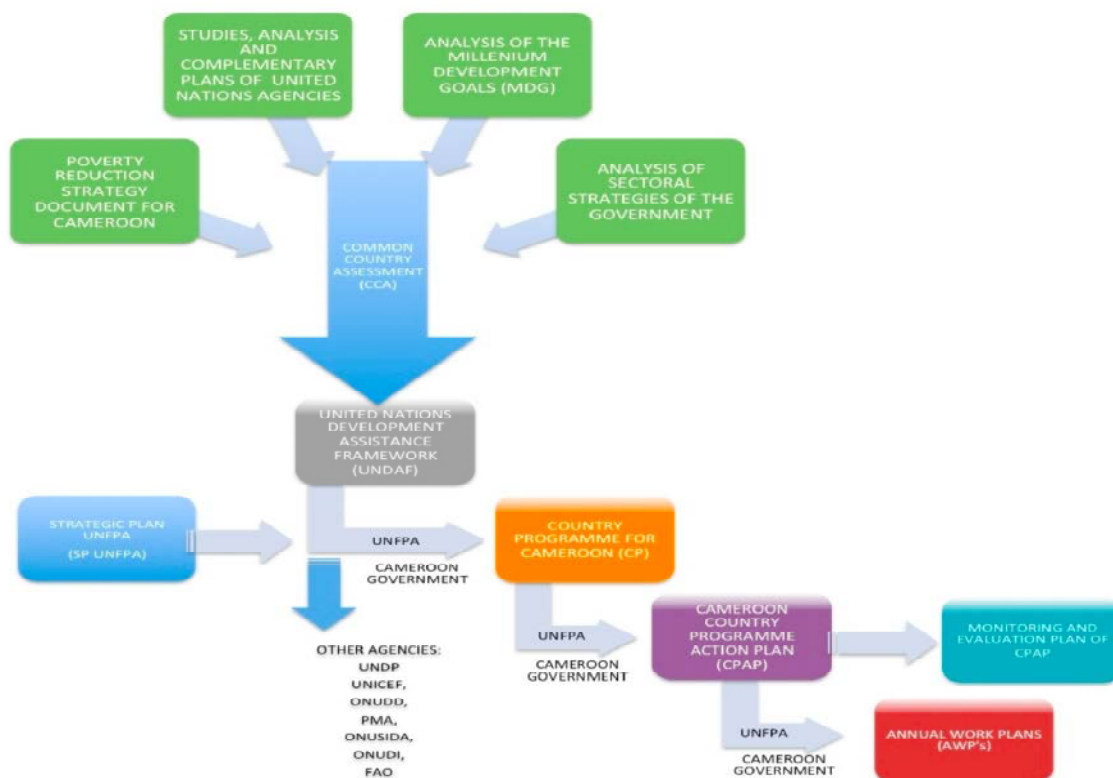
- ✓ It will be used as the basis for the identification of needs, inputs, activities, outputs and outcomes, which are key elements that evaluators should identify in order to formulate evaluation questions.
- ✓ Data on activities and inputs will be used when assessing the efficiency criterion.
- ✓ The information collected and reviewed by evaluators when getting acquainted with the UNFPA programmatic response will also be used for drafting the Chapters 3.2 in both the design and the final evaluation reports.

¹⁸ E.g., 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).

¹⁹ See the Glossary at the end of part 3 for further considerations between on *planned* and *actual* outputs.

The documents used throughout the UNFPA programming process -- CCA, UNDAF, UNFPA Strategic Plan, CPD, CPAP, and AWP's – are presented in figure 6 below.

Figure 6: Overview of the UNFPA response – programming flow²⁰




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 disbursed by programmatic area. 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 a yearly basis for the period under evaluation.
- 2) The breakdown of budget and expenditures should also be done by programmatic area: how much funds were budgeted and spent by year and by programmatic 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).

²⁰ Example of Cameroon CPE.

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

 Template 17: Basic graphs and tables in excel for CPE.

Why should you analyse the country programme financial structure?

- ✓ It will be used as a main source of raw data to assess the efficiency criterion applied in the analysis of each programmatic area (see section 1.2.1).
- ✓ 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.

Box 10: Atlas Codes

It is important to note that, as of November 2012,²¹ all new and existing projects in Atlas have been assigned new Atlas project type codes which correspond to the new Strategic Plan Development Results Framework outcomes.

The new Atlas project type codes are:

- U1- Population Dynamics
- U2 - Maternal and newborn health
- U3 - Family planning
- U4 - HIV and STI prevention services
- U5 - Gender equality and reproductive rights
- U6 - Young people’s sexual and reproductive health and sexuality education
- U7 - Data availability and analysis

Evaluators should clarify with the country office which AWP’s have been recoded to reflect these new codes, to ensure that they access all the relevant financial information for the period of the evaluation.

Nota bene: many tools and templates in the present Handbook refer to the 3 programme component - i.e., population and development, gender equality and sexual and reproductive health (e.g., the effects diagram (tool 2), checklist of documents (tool 8, etc.). The evaluators will have to adjust to the programmatic areas, related activities and attached Atlas codes in use within the country office.

1.1.6 Main constraints and methodological challenges for UNFPA country programme evaluations

Data availability, the structure of the UNFPA programme planning system as well as a number of other constraints constitute challenges for the design and conduct of a country programme evaluation at UNFPA. The evaluators need to be aware of the *most common constraints and challenges* so they can better anticipate them and develop strategies to mitigate them, or adopt alternative options with a view to minimizing their effect on the quality and credibility of CPEs.

Table 8: Challenges and constraints related to UNFPA country programme evaluations

Challenges and Constraints	Implications for CPEs
At UNFPA, the term project is a financial	The study of AWP’s, CPAPs and CPDs alone will not allow evaluators to

²¹ Policies and Procedures for Preparation and Management of Annual Work Plans (AWPs), Policies and Procedures Manual, November 2012.

<p>concept used to designate projects in Atlas²² rather than development projects in the traditional sense of the term. This means that Annual Work Plan (AWPs, the UNFPA equivalent of project documents) do not clearly stipulate and delineate their underlying intervention logic and theory of change linking activities to results.</p>	<p>fully understand the intervention logic and theory of change of a UNFPA country programme. Most significantly, the evaluators will not be able to readily understand how individual activities (presented in AWPs) were meant to contribute to the achievement of the different outputs and outcomes in the CPD and CPAP.</p> <p>Evaluators will therefore need to complement the desk study of these documents with interviews of UNFPA staff in country offices to be able to understand and reconstruct the intervention logic of the programme.</p>
<p>The outputs in CPDs and CPAPs often resemble development outcomes, in the sense that these are at too high a level (in terms of effects) in the (implicit) chain of effects to be directly connected to any set of UNFPA-supported activities. This adds to the challenge of appropriately understanding and reconstructing the intervention logic of UNFPA country programmes.</p>	<p>Evaluators need to “fill the gaps” in the stated hierarchy of effects in UNFPA programme documents. In cooperation with UNFPA managers and staff, evaluators have to try to logically link the higher level (societal) effects of UNFPA support and the concrete activities UNFPA has supported or intended to support. Filling the missing link will often consist in identifying the particular deliverables (e.g., a new curriculum) or assets (e.g., equipment, training materials) associated with UNFPA-supported activities; and describing the <i>desired changes in behaviour</i> that the provision of these assets was meant to trigger (e.g., adapting the content of trainings courses for health cadres based on the new curriculum; or using the new equipment for providing improved health services to patients).</p>
<p>In many country offices, the monitoring systems for UNFPA support are weak. Data is either not available, or does not appropriately document the entire logical chain between UNFPA supported activities, and thought-after societal changes. Frequently, baselines specific to the scope of UNFPA-supported activities are not available. It is therefore more challenging to determine the contributions of UNFPA-supported activities to societal changes.</p>	<p>UNFPA Country Programme Evaluations have to rely on the collection of primary qualitative and quantitative data to fill the gap in the UNFPA monitoring data.</p>
<p>The time and resource constraints in UNFPA CPEs do not allow the use of field surveys to collect representative data from UNFPA beneficiaries.</p>	<p>CPEs are based primarily on <i>secondary quantitative information</i>, using existing data-sets from national surveys and censuses, or from surveys that were carried out by members of the development community. Information on the health outcomes at community level can only be collected through interviews and focus groups. While these can provide useful illustrations of changes at the beneficiary level, and can examine the contributing causal mechanisms, this data is not statistically representative for the entire population of UNFPA beneficiaries.</p>

1.2 Drafting and selecting the evaluation questions

Evaluation questions are at the core of the methodology for UNFPA country programme evaluations: (i) they allow the delineation of the thematic scope of the evaluation and; (ii) they determine which data evaluators need to collect throughout the evaluation. Indeed, the goal of evaluators throughout the CPE is to provide substantiated answers to a selected number of evaluation questions in a credible and evidence-based manner. In turn, the answers to the evaluation questions (i.e., findings of the CPE) determine the conclusions and

²² Atlas is the financial and accounting database used by UNFPA

recommendations evaluators are able to formulate, as well as the lessons UNFPA can learn from the evaluation. The process of selecting evaluation questions is therefore one of the most important tasks of the design phase.

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

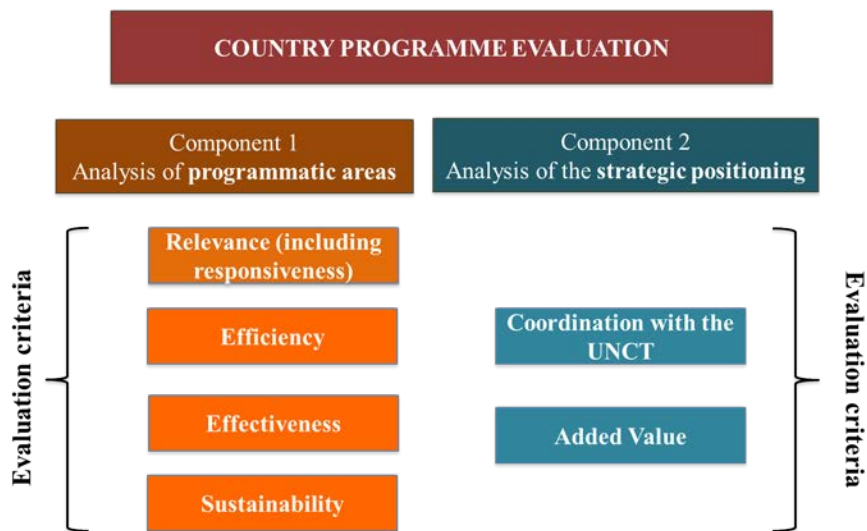
➔ **Tip:** this section includes a considerable amount of methodological terms. It is advisable for readers to use the Glossary in Part 3 while reading this section. The Glossary presents definitions of key terms and concepts, as well a series of tips to avoid confusion and misinterpretations.

1.2.1 The evaluation criteria

The evaluation has *two components*: (i) the analysis of the programmatic areas, (ii) the analysis of the strategic positioning. Evaluation criteria correspond to various ways of looking at a programme and:

- define the broad aspects of the country programme that will be assessed in the analysis of the programmatic areas and in the analysis of the strategic positioning;
- constitute the framework used to formulate the evaluation questions;
- while, in turn, narrow down the wide range of aspects covered by evaluation criteria and focus the evaluation exercise on a series of key points.

Figure 7: The evaluation criteria in a country programme evaluation



Component 1: The analysis of the programmatic areas will be conducted according to four criteria: *relevance (including responsiveness)*, *efficiency*, *effectiveness* and *sustainability*.

Component 2: The two criteria applied to the analysis of the strategic positioning will be: *coordination with the UNCT* and the *added value of UNFPA*.

1.2.1.1 The analysis of the UNFPA programmatic areas

Evaluators will analyse relevance, efficiency, effectiveness and sustainability for CP programmatic areas.

Evaluation criteria encompass a rather broad perspective of the intervention (the country programme), the **evaluation questions** (and the “**assumptions to be assessed**” column in the evaluation matrix) allow evaluators to “zoom in” on specific aspects and features of the evaluation criteria.

Relevance

The extent to which the objectives of the UNFPA country programme correspond to population needs at country level (in particular those of vulnerable groups), and were aligned throughout the programme period with government priorities and with strategies of UNFPA.

The criterion of **relevance** brings into focus the correspondence between the objectives and support strategies of the country programme on the one hand; and population needs, government priorities, and UNFPA global policies and strategies on the other hand. Evaluators need to consider:

- (a) the extent to which the UNFPA country office has correctly analysed and interpreted the on-going needs in the country;
- (b) whether and how the UNFPA support strategy has appropriately taken into account the priorities of the partner government;
- (c) whether the country programme is in line with the mandate and priorities of UNFPA as an organisation.

Relevance also includes an assessment of the responsiveness (dynamic relevance) in light of changes and /or additional requests from national counterparts, and shifts caused by external factors in an evolving country context (examples of visible changes: change of governmental orientation, humanitarian crisis).

Responsiveness (‘dynamic relevance’)

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 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.

Efficiency

The extent to which CPAP outputs and outcomes have been achieved with the appropriate amount of resources (funds, expertise, time, administrative costs, etc.).

The **efficiency** criterion captures how resources (funds, expertise, time, etc.) have been utilised by the country office and converted into results along the results chain. For instance, evaluators have to assess:

- (a) if UNFPA outputs were developed or produced at a reasonable cost, or over a reasonable time period;
- (b) the extent to which the country office took advantage of existing opportunities for synergies, or (c) how UNFPA-funded interventions compare to similar projects supported by other organisations on the basis of unit costs or other suitable efficiency-related benchmarks.

Effectiveness

The extent to which CPAP outputs have been achieved, and the extent to which these outputs have contributed to the achievement of the CPAP outcomes.

Assessing the **effectiveness** of UNFPA country programmes requires a comparison of the intended goals, outcomes and outputs with the actual achievements in terms of results.

For this purpose, the evaluators draw on their understanding of the intervention logic of the country programme, or the reconstructed intervention logic (see section 1.1.5.2). In line with the logic of the theory of change of country programmes, evaluators need to assess: (a) the extent to which the CPAP outputs have been achieved, and (b) the extent to which these outputs have *contributed* to the achievement of the CPAP outcomes.

Sustainability

The continuation of benefits from a UNFPA-financed intervention after its termination, linked, in particular, to their continued resilience to risks.

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.

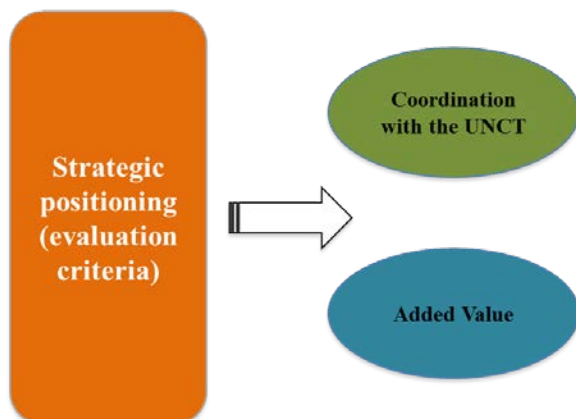
Sustainability relates to the likelihood that benefits from the country programme continue *after* UNFPA funding is terminated and the corresponding interventions are closed. Evaluators need to consider:

- (a) the actual flow of benefits after the interventions have ended;
- (b) the overall resilience of benefits to risks that could affect their continuation.

1.2.1.2 The analysis of the strategic positioning

The strategic positioning of refers to the coordination of the country office with the UNCT and the added value of the interventions of UNFPA.

Figure 8: Evaluation criteria for strategic positioning



Coordination with the UNCT

The extent to which UNFPA has been an active member of, and contributor to the existing coordination mechanisms of the United Nations Country Team.

Evaluators will dedicate attention to the contribution of the country office to the UNCT and assess how it has positioned itself vis-à-vis the UNCT. The criterion requires evaluators to assess the extent to which UNFPA has been an active member of, and contributor to, the existing coordination mechanisms of the UNCT. Aspects of this criterion include:

- (a) the record of participation of UNFPA representatives in UNCT coordination meetings (such as minutes of UNCT meetings);
- (b) the responsibilities assumed during these meetings;
- (c) contributions made.

Added value

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

This criterion assesses the added value of UNFPA within the country development framework.²³ 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.

²³ This framework is composed of all the agencies and organizations that work in the same programmatic areas as UNFPA in the country: the government, donors, civil society organizations, national and international NGOs, other UN agencies, etc.

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. For example, the UNFPA CO can demonstrate comparative strengths 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, etc.

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.

1.2.2 The 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. Evaluation questions are:

- At the core of the evaluation exercise: the entire data collection and analysis process is aimed at answering evaluation questions;
- Used to determine the type and sources of data as well as the data collection methods that will be applied during the evaluation;
- The main entry in the evaluation matrix.

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

Table 9: Main documentary sources for the formulation of evaluation questions

For evaluation questions related to programmatic areas	
Item for which information is required	Document
Needs (relevance and responsiveness)	CPD, CPAP, CCA, UNDAF (at a broader level), National Development Strategy. Previous evaluation reports (CPE, outcome evaluations, thematic evaluations).

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
Coordination with the UNCT	CCA, UNDAF, Resident Coordinator Annual Report (RCAR)
Added value	Previous evaluation reports (CPE, outcome evaluations, thematic evaluations)

Step 1: Select a set of evaluation questions

The evaluation manager (in agreement with the reference group) should select evaluation questions from a *list of standard questions* developed by UNFPA Independent Evaluation Office. These standard evaluation questions aim at translating the abstract analytical perspectives of evaluation criteria into the concrete language and conceptual components of UNFPA country programmes

While evaluation questions must be specific to the country programme, developing questions which meet good quality standards and correctly capture the main elements of UNFPA country programmes, requires considerable practice and experience. The evaluation quality assessment of CPEs undertaken by the Evaluation Office shows that evaluation managers and evaluators often struggle to focus the questions at the right programmatic level. This has resulted in CPE reports of unsatisfactory quality (either too detailed or too general) to yield useful findings and lessons for programming.²⁴

As a result, the Evaluation Office has decided to strike a balance between standardisation of evaluation questions and their adaptation for specific country programme evaluations by producing a list of standard evaluation questions. The evaluation manager shall select a set of evaluation questions from this list in a manner that covers the specific programmatic areas of the country programme under evaluation.

The questions proposed in the standard list are, indeed, designed to capture the programmatic level which is of interest to UNFPA. However, once selected, ***the evaluation manager will have to adapt each question to the specificities of the country programme under evaluation.***

Within the standard list (Table 10), the evaluation manager shall choose an appropriate number of evaluation questions. The Evaluation Office recommends that evaluators select 8 to 10 evaluation questions. Too many questions may render the evaluation unmanageable; too few may not allow the evaluation to fulfil its accountability and learning objectives.

In a well-designed CPE, there *should be at least one question for each evaluation criterion*. However, in preparing 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 bearing in mind the time (necessarily limited) for collection and analysis.

The table below provides evaluation questions for the two components of UNFPA country programme evaluations: (i) programmatic areas, and (ii) strategic positioning:

²⁴ See report on quality assessment of UNFPA decentralized evaluations (2012).
<http://www.unfpa.org/public/home/about/Evaluation/pid/9137>

- The first set of questions examines the *relevance* of UNFPA country programmes and the *efficiency* of resource use in its implementation. For each of these criteria, the evaluators will select one evaluation question to assess UNFPA performance across all the country programme outcomes.
- A second set of questions examine the *effectiveness* and *sustainability* of UNFPA support with regard to individual programmatic interventions of the country programme.
- Standard evaluation questions for Component 2 relate to the two additional evaluation criteria, namely UNCT coordination, and added-value. As was the case for the evaluation question(s) on relevance, the scope of each of these questions can cover several of the outcomes of the UNFPA CPAP, and the associated programmatic interventions.
- Finally, a number of questions cover cross-cutting issues (featuring prominently in the UNFPA Strategic Plan 2014-2017). These include mainstreaming of the needs of young people (including adolescents) in UNFPA programming; human rights and gender equality; the use of partnerships in the implementation of country programmes; and the related efforts to foster national ownership; humanitarian assistance; United Nations reform (including the “delivering as one” agenda); and South-South cooperation.

It should be noted that certain themes appear both in the list of programmatic interventions as well as among the cross-cutting issues -- e.g., ‘Gender Equality’ and the ‘Improvement of the situation of young people.’ The difference in scope of the two types of questions (programmatic interventions vs. cross-cutting issues) can be illustrated using the example of gender. The evaluation question for ‘gender equality’ as a country programme outcome asks for the contribution of UNFPA support to gender equality to the improvement of sexual and reproductive health. Its scope thus only touches on two country programme outcomes. On the other hand, the evaluation question on ‘gender equality’ as a cross-cutting issue examines the extent to which country offices have mainstreamed provisions to advance gender equality *across all country programme interventions*.

When selecting the set of evaluation questions, evaluators, the evaluation manager and the reference group need to choose how these themes should be treated in the particular CPE, based on the characteristics and the focus of the country programme under evaluation. In cases where a country programme treats these themes both as *outcomes* as well as *cross-cutting issues*, evaluators can decide to include both types of questions into the final set of evaluation questions.

Table 10: List of standard evaluation questions for CPE

Main Topic	Evaluation Questions	Issues to be covered	Evaluation Criteria				
			Relevance	Effectiveness	Efficiency	Sustainability	UNCT Coordination
Alignment with needs and priorities	<ul style="list-style-type: none"> ➤ To what extent is the UNFPA support in the field of <i>[reproductive health]</i> (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? ➤ To what extent have UNFPA-supported interventions contributed (or are likely to contribute) to a sustained increase in the use of demographic and socio-economic information and data in the evidence-based development and implementation of plans, programmes and policies to improve <i>[access to sexual and reproductive health (SRH) services, including in areas associated with SRH, such as gender equality, population dynamics and HIV/AIDS]</i>? ➤ To what extent has UNFPA ensured that the needs of young people (including adolescents) have been taken into account in the planning and implementation of all UNFPA-supported interventions under the country programme? 		X				
Responsiveness	<ul style="list-style-type: none"> ➤ 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? ➤ 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? 	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	X				
Use of resources to achieve results	<ul style="list-style-type: none"> ➤ To what extent has UNFPA made good use of its human, financial and technical resources, and has used an appropriate combination of tools and approaches to pursue the achievement of the outcomes defined in the UNFPA country programme? ➤ 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? 	This question examines how UNFPA has utilized the resources at its disposal to implement the country programme. In particular, evaluators need to consider: (i) the extent to which UNFPA has taken advantage of available organisational resources to pursue its objectives; and (ii) if resources can be linked to the advancement of the agenda of the country programme.			X		

Main Topic	Evaluation Questions	Issues to be covered	Evaluation Criteria					
			Relevance	Effectiveness	Efficiency	Sustainability	UNCT Coordination	Added Value
Policy Dialogue in UNFPA programmatic areas	<p>➤ To what extent has UNFPA support helped to ensure that <i>sexual and reproductive health (including family planning)</i>,* and the associated concerns for the needs of young people, gender equality, and relevant population dynamics are appropriately integrated into national development instruments and sector policy frameworks in the programme country?</p> <p><i>*This evaluation question must be adapted to the programmatic areas for the country programme under evaluation. Examples:</i></p> <p>- 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?</p>	<p>This question examines the contribution of UNFPA policy dialogue for comprehensively anchoring sexual and reproductive health in national policy frameworks.</p> <p>“Comprehensively” in this instance means that factors with the potential of contributing to the improvement of SRH -- e.g., issues in relation to gender equality, adequate recognition and response to population dynamics, and the rights of young people, are also addressed in UNFPA-supported policy reforms.</p>		X		X		
Achievement of the programmatic areas objectives	<p>➤ To what extent have interventions supported by UNFPA contributed to (or are likely to contribute to) a sustainably improved <i>access to and use of quality services in the field of reproductive health and family planning</i>,* in particular for [young people and other] vulnerable groups of the population?</p> <p><i>*This evaluation question must be adapted to the programmatic areas for the country programme under evaluation. Examples:</i></p> <p>-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?</p> <p>- To what extent are population data (demographic statistics, census data, etc.) taken into account in poverty reduction strategies, policies, plans and programmes?</p>	<p>The question examines the contributions of UNFPA support to improved access to quality SRH services (including family planning) in programme countries.</p> <p>The question can also be used to assess the UNFPA contribution to the SRH of young people. Alternatively, the evaluators can decide to treat the effect of UNFPA support on the sexual and reproductive health of young people in a separate question (see below).</p>		X		X		
	<p>➤ To what extent has UNFPA support helped to increase the access of young people (including adolescents) to quality SRH services and sexuality education?</p>	<p>This question highlights UNFPA support specifically intended to address the SRH-related needs of young people. Evaluators can choose to include it in their list of evaluation questions if they find that the country programme in question has focused particular attention on the situation of young people, and has done so in ways that cannot be fully assessed in the first SRH-related question.</p>		X		X		

Main Topic	Evaluation Questions	Issues to be covered	Evaluation Criteria					
			Relevance	Effectiveness	Efficiency	Sustainability	UNCT Coordination	Added Value
Contribution of HIV/AIDS support to improving SRH	<p>➤ To what extent has UNFPA support in the area of HIV / AIDS contributed to improvements in the sexual and reproductive health, in particular by: (i) helping to increase access to quality HIV- and STI prevention services for young people (including adolescents), (ii) and the prevention of mother child transmissions of HIV?</p>	<p>Evaluators can use this question to frame their assessment of the results of UNFPA HIV/Aids support.</p> <p>The formulation of the question reflects the move of sexual and reproductive health into the centre of the UNFPA mandate and strategy (see the revised UNFPA Strategic Plan), and emphasises the enabling role that HIV / Aids support is meant to play in this regard.</p> <p>In accordance with <i>Outcome 4</i> in the UNFPA Strategic Plan (2014-2017), issues to be covered by this question therefore include the effects of UNFPA support on reductions in the sexual transmission of HIV, in particular among young people and the prevention of mother-to-child transmission.</p>		X		X		
Contribution of gender equality support to SRH	<p>➤ To what extent has UNFPA support to advance gender equality and reproductive rights contributed to the improvement of sexual and reproductive health [in particular by helping to build the national capacity to implement laws and policies that advance reproductive rights and curtail harmful practices, including FGM/C]?</p>	<p>The question examines the contribution of UNFPA support to gender equality to improvements in sexual and reproductive health.</p> <p>The EQ offers evaluators the option to focus in particular on capacity building to “implement laws and policies that advance reproductive rights and curtail harmful practices” (in line with the focus of <i>Outcome 5</i> of the UNFPA Strategic Plan (2014-2017)). However, this focus might not be appropriate for all country programmes. In that case evaluators should use the EQ without the segment in brackets.</p>		X		X		

Main Topic	Evaluation Questions	Issues to be covered	Evaluation Criteria					
			Relevance	Effectiveness	Efficiency	Sustainability	UNCT Coordination	Added Value
Evidence-based planning and decision-making	<p>➤ To what extent have UNFPA-supported interventions contributed (or are likely to contribute) to a sustained increase in the use of demographic and socio-economic information and data in the evidence-based development and implementation of plans, programmes and policies to [improve access to sexual and reproductive health (SRH) services, including in areas associated with SRH, such as gender equality, population dynamics and HIV/AIDS]?*</p> <p><i>*This evaluation question must be adapted to the programmatic areas for the country programme under evaluation.</i></p>	Evaluators can use this question to assess the performance of UNFPA in strengthening/ increasing the use of evidence from different sources (external as well as internal) to inform decision-making in the development of plans, programmes and strategies, and policies of government partners.	X	X		X		
Sustainability of effects	<p>➤ 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?</p> <p>➤ To what extent have interventions supported by UNFPA contributed to (or are likely to contribute to) a sustainably [improved access to and use of quality services in the field of reproductive health and family planning],* in particular for [young people and other] vulnerable groups of the population?</p> <p><i>*This evaluation question must be adapted to the programmatic areas for the country programme under evaluation.</i></p>					X		
Mainstreaming needs of youth/ adolescents	<p>➤ To what extent has UNFPA ensured that the needs of young people (including adolescents) have been taken into account in the planning and implementation of all UNFPA-supported interventions under the country programme?</p>	This question covers the UNFPA response to the needs of young people in <i>all programmatic areas</i> . It provides evaluators with the opportunity to examine the broader patterns in the UNFPA support of young people throughout its entire country programme.		X		X		

Main Topic	Evaluation Questions	Issues to be covered	Evaluation Criteria					
			Relevance	Effectiveness	Efficiency	Sustainability	UNCT Coordination	Added Value
Human Rights and Gender Equality	<p>➤ To what extent has UNFPA successfully facilitated the mainstreaming of provisions to advance gender-equality in its country programme and the interventions funded during the programme period?</p>	<p>This question examines to what extent UNFPA has successfully ensured that its interventions in the different programmatic areas were developed and implemented in a way that has considered women’s and men’s needs, interests and experiences. The question also provides an opportunity for evaluators to assess the cause-and-effect relationships between UNFPA supported efforts to advance gender equality, and progress in the achievement of other objectives of UNFPA support.</p> <p>As opposed to the evaluation questions on Outcome 5 and Outcome 1 (see above), this question does not cover the effects of UNFPA policy dialogue or capacity building interventions on gender equality.</p>		X		X		
Partnerships and national ownership	<p>➤ To what extent has the country office successfully used the establishment and maintenance of different types of partnerships to ensure that UNFPA can make use of its comparative strengths in the achievement of the country programme outcomes across all programmatic areas?</p>	<p>This question gives evaluators the opportunity to examine how UNFPA has performed in the development and maintenance of strategic partnerships in the programme country.</p> <p>Partnerships with parliamentary associations, NGOs, research institutes and other types of organisations are an important component of the UNFPA Strategic Plan. This acknowledges that progress in sexual and reproductive health and the other outcome areas is dependent on changes in other areas that cannot be affected by UNFPA alone.</p> <p><i>Note:</i> Partnerships between UNFPA and partner governments are covered by the next evaluation question.</p>	X	X		X		
	<p>➤ To what extent have the partnerships established with ministries, agencies and other representatives of the partner government allowed the country office to make use of the comparative strengths of UNFPA, while, at the same time, safeguarding and promoting the national ownership of supported interventions, programmes and policies?</p>	<p>This question assesses the partnership between UNFPA and the partner government.</p> <p>The UNFPA Strategic Plan calls on country offices to establish partnerships with governments that respect the ownership of development</p>	X	X		X		

Main Topic	Evaluation Questions	Issues to be covered	Evaluation Criteria					
			Relevance	Effectiveness	Efficiency	Sustainability	UNCT Coordination	Added Value
		<p>effort, and allow UNFPA to make development contributions in accordance with its own organisational abilities and strengths.</p> <p>Answering this question requires evaluators to examine the quality and nature of the UNFPA-government relationship during programming, planning, implementation and follow-up / revisions of the original plan or programme.</p>						

Main Topic	Evaluation Questions	Issues to be covered	Evaluation Criteria					
			Relevance	Effectiveness	Efficiency	Sustainability	UNCT Coordination	Added Value
Humanitarian Assistance	<p>➤ To what extent has UNFPA contributed to an improved emergency preparedness in [programme country] in the area of maternal health / sexual and reproductive health?</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> See Tools and Resources, Section 3.4.3 on <i>Evaluation questions related to UNFPA support in humanitarian settings.</i> </div>	<p>This question is used to assess the UNFPA contribution to emergency / disaster preparedness, in particular in countries at high risk of humanitarian crises,²⁵ yet without significant on-going crises over the evaluation period.²⁶</p> <p>The question is meant to cover both: (i) the (improvements in) the capacity of the partner Government to react appropriately in the case of an emergency; (ii) as well as the capacity of the UNFPA country office itself to provide support in an adequate and relevant manner during emergencies. Issues that may be covered by this question include:</p> <ul style="list-style-type: none"> • The extent and results of contingency planning in countries at high risk of humanitarian crisis (e.g., prepositioning of emergency supplies, data collection for emergency preparedness). • Preparedness of UNFPA country office for emergencies / humanitarian situations, including: (a) staff awareness of UN reform (funding, humanitarian coordination, cluster system), disaster risk reduction, advocacy; (b) mapping of partners for emergency situations, signed implementation partnerships, long-term agreements for procurement (in emergencies), staffing priorities mapped (before crisis); (c) Capacity to participate in coordination in emergencies / humanitarian situations (e.g., through Inter-Agency Standing Committee - IASC). 		X		X		

²⁵ UNFPA (2012): *Humanitarian Response Strategy – ‘Second Generation’*,

²⁶ CPEs in countries with ongoing humanitarian crises should be evaluated on the basis of the main evaluation questions for the six evaluation criteria.


Main Topic	Evaluation Questions	Issues to be covered	Evaluation Criteria					
			Relevance	Effectiveness	Efficiency	Sustainability	UNCT Coordination	Added Value
South-south cooperation	<ul style="list-style-type: none"> ➤ To what extent has UNFPA successfully taken advantage of opportunities for South-South Cooperation across all of its programmatic areas to facilitate the exchange of knowledge and lessons learned and to build capacity in [programme country] with a view to progressing towards achieving the MDGs, and in particular MDG 5? 	<p>UNFPA has pledged to increasingly rely on organisational partners in other “southern” countries (countries that are themselves recipients of aid, such as Africa, Southern Asia, etc.) to help implement its country programmes, and to provide technical know-how and assistance.</p> <p>These intentions are captured in the term “south-south cooperation”. The Strategic Plan (2014-2017) sees potential for this approach in particular in middle-income countries. Therefore, this question allows evaluators to examine the progress UNFPA has made in this regard in programme countries.</p>		X		X		
UNCT Coordination Mechanisms	<ul style="list-style-type: none"> ➤ To what extent has the UNFPA country office contributed to the functioning and consolidation of UNCT coordination mechanisms? ➤ 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? 	<p>This question examines the quality of UNFPA participation in existing UNCT coordination mechanisms, as well as its extent.</p> <p>While the UNFPA country office alone cannot ensure the proper functioning of these mechanisms, coordination does require the regular participation of UNFPA staff at UNCT coordination meetings and their contributions during the drafting of the coordination framework (i.e., the UNDAF) itself, to give a few examples.</p>					X	
Added value	<ul style="list-style-type: none"> ➤ What are the main UNFPA comparative strengths in the country – particularly in comparison to other UN agencies? Are these strengths a result of UNFPA corporate features or are they specific to the CO features? ➤ To what extent would the results observed within the programmatic areas have been achieved without UNFPA support? ➤ What is the main UNFPA added value in the country context as perceived by national stakeholders? 							X

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**. Evaluators should then determine, for each question:

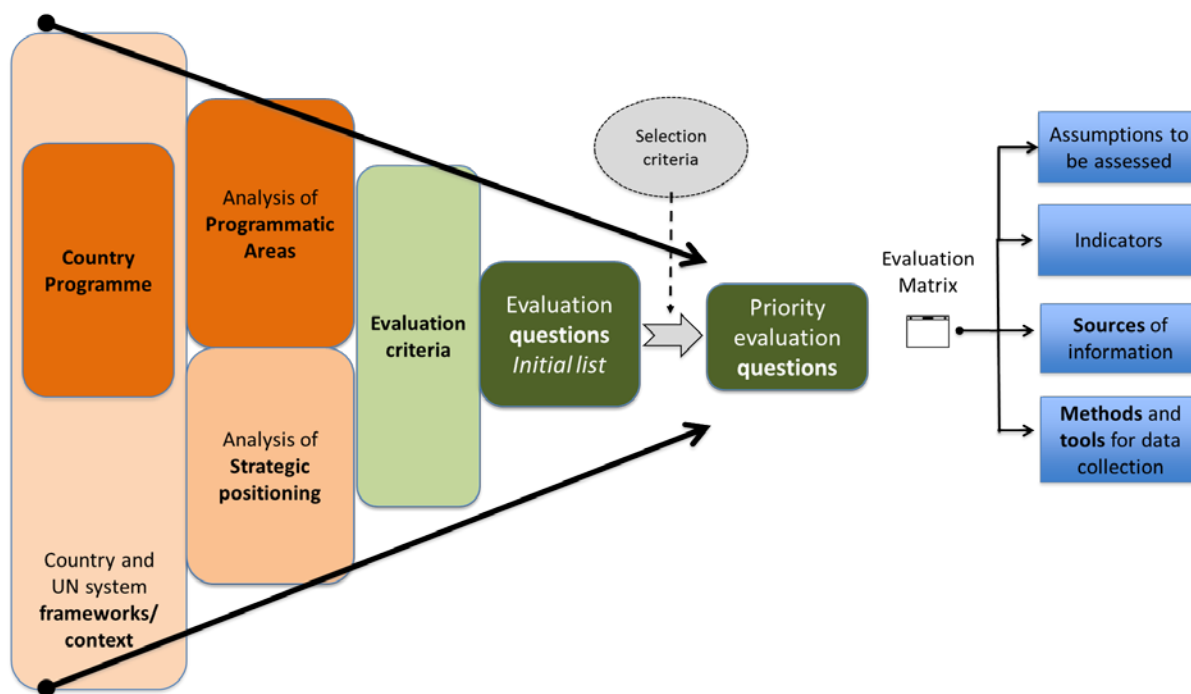
- (i) what are the assumptions to be assessed;
- (ii) what are the indicators;
- (iii) what are the sources of information;
- (iv) what are the methods and tools for data collection.


These aspects correspond to the columns of the evaluation matrix: *assumptions to be assessed*; indicators; *sources of information*; and *methods and tools for data collection*.

 Part 3, Toolkit, tool 1 provides guidance and examples on how to complete the evaluation matrix available in Template 5.

The Figure below 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 9: 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 for the data collection stage.

Indeed, the element to be considered for the sampling will not be the *project*²⁷ but rather 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 field phase. This, in turn, requires that evaluators draw up the **agenda for the evaluation**.


 Part 3, 3.1 toolkit, tool 6 for brief guidance on how to fill out the suggested format for the CPE agenda (the overall agenda for the entire evaluation).

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

Step 1 Stakeholder mapping²⁸

“Mapping” consists of identifying the whole range of stakeholders directly or indirectly involved in, and/or affected by the country programme. This task must take place during the preparatory phase and is carried out by the **evaluation manager**.

 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 the Table below. The evaluators should not aim at obtaining a statistically representative sample, but rather an *illustrative sample*.

Table 11: Stakeholder selection criteria

The stakeholder sample should include
<ul style="list-style-type: none"> Stakeholders involved in seemingly good performing and poor performing interventions of the country programme.
<ul style="list-style-type: none"> All type of stakeholders for each given output / outcome - i.e., implementing partners, execution agencies, other partners, direct and indirect beneficiaries, and donors.
<ul style="list-style-type: none"> For each output/outcome, stakeholders associated to on-going activities as well as with activities (AWPs) that have already been completed.
<ul style="list-style-type: none"> The sample should include both stakeholders related to parts of the programme implemented in the country capital and other parts implemented in other regions/ provinces/ districts.
<ul style="list-style-type: none"> The sample should include both stakeholders associated with financially large and financially modest AWP.
<ul style="list-style-type: none"> The sample should include both stakeholders associated to regular actions and pilot interventions.
<ul style="list-style-type: none"> Stakeholders involved with the national execution modality and with the direct execution modality.

²⁷ 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 (also see table 8).

²⁸ Prior to developing the stakeholders mapping table, evaluators should have read the main programming documents to gain an understating of the main stakeholders involved.

<ul style="list-style-type: none"> Stakeholders associated with soft-aid activities carried out by the country office.
<ul style="list-style-type: none"> Stakeholders associated to regional interventions.
<ul style="list-style-type: none"> Whenever relevant, stakeholders that have been involved with interagency projects.

Step 3 Fill out the “sources of information” 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 finalize the CPE agenda based upon the feedback from and additions made by the **evaluation manager**.

1.4 Planning data collection and analysis

1.4.1 Drafting the overall and individual agendas of the evaluation


As shown in Tool 6 the agenda has seven columns:

Date	Activity / 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)*; ²⁹ *selection criteria* and *justification* for all selected stakeholders identified and selected as a result of the three previous steps.

The evaluation team should then send this first draft of the CPE agenda to the **evaluation manager** for input (see *Note to the evaluation manager*). The **evaluation manager** should play an active role and work very closely with the evaluation team so that evaluators are informed swiftly on the number, as well as 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 clear/precise information.

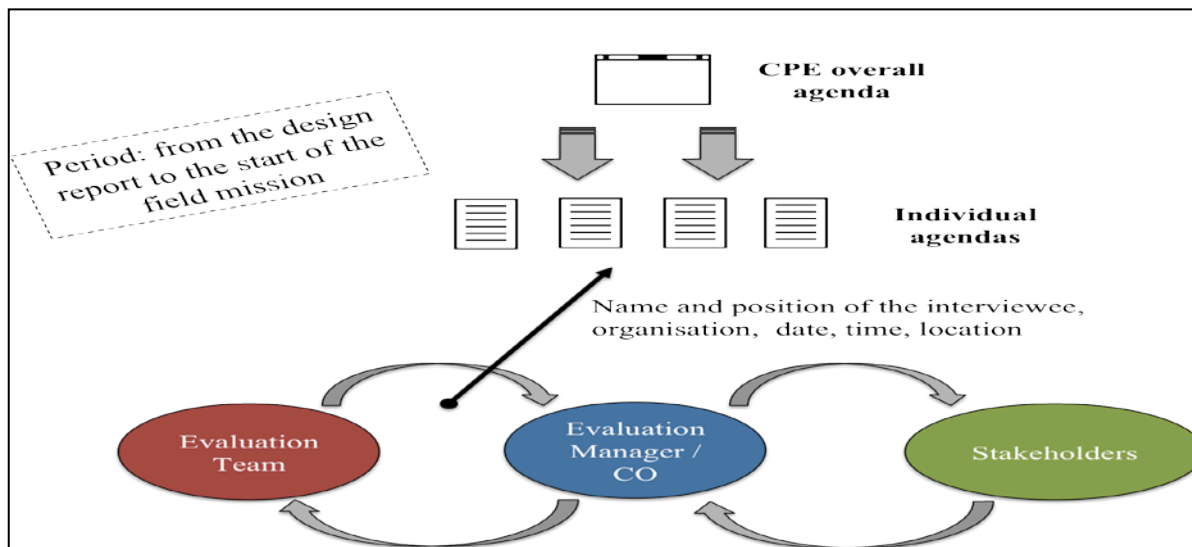
	Section 1.4.1, Tool 6 and Template 6 , Tool 9
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Developing **individual agendas** is a crucial activity that should not be underestimated as it requires a significant amount of time and effort. Arranging the meetings will not only require contacting stakeholders but also recurrent back-and-forth and communication loops until the final agenda is finalised.

²⁹ This column provides information on the AWP and CPAP output the selected stakeholder is related with.

Developing individual agendas will be the result of 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 knowledge of, and access to the contact details of stakeholders identified for interviews.

Figure 10: From the CPE overall agenda to individual agendas



Box 11: Some tips for evaluators when developing the individual agendas

- ➔ Use the checklist in tool 9 when preparing the individual agendas. It will help you to choose *who* to interview and *when* for each stakeholder.
- ➔ 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 and/or person to be interviewed (seek information from evaluation manager).
- ➔ Do not develop your individual agenda in isolation. Coordinate closely with your teammates:
 - 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.
 - 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.
 - 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 leading to 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 quality of the report and 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 “assumptions to be assessed” and sources of information 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).

The period available for data collection generally does not exceed three weeks. In this period, evaluators have to compile information from a *variety of sources and stakeholders*. Much of the information will not be centrally available, making data collection *time-intensive* as it will involve travel. Data availability may also be poor. Evaluators need to take these constraints into account in their selection of data collection approaches and instruments. In those circumstances, the most common methods for data collection are:

- Documentary review;
- Individual interviews;
- Group discussions;
- Focus groups.

Evaluators need to take into account **how much time is available to collect data** during the field phase.

- Data collection tools and approaches differ in the amount of time that is required to apply them.
- Document analysis and the compilation and analysis of secondary quantitative data are, in many ways, the most efficient approach to collate information on a broad range of topics and from a variety of sources.
- However, this type of secondary data and information will not be available for all the indicators at output and outcome levels which have been selected by the evaluators (for example, to record how individual interventions have been perceived by key stakeholders).
- Individual interviews and focus groups can help to fill this gap, but generally require more time (in particular for scheduling, organising and conducting the interviews).

Finally, different types of **data have different implications in terms of costs**. Again, document analysis and review – provided that documents are available – are among the most cost-efficient data collection approaches. The cost associated with interviews and focus groups is considerably higher (time, travel, etc.).

Is it possible to conduct surveys as part of a UNFPA country programme evaluation?

The time span and budget generally allocated to CPEs do not allow for the use of resource-intensive data collection methods such as surveys. In effect, surveys (for example, among beneficiaries of particular interventions) are too time-intensive and expensive and it typically is not possible to use them in the context of UNFPA CPEs. For this reason, evaluators need to make optimal use of the existing secondary quantitative information to describe and analyse the changes in health-related and other outcomes among UNFPA beneficiaries.

In most cases, and for most CPEs, evaluators will use a combination of document reviews, analysis of other quantitative secondary data, individual interviews with key informants and focus groups or other types of group discussion to collect data. Each approach has its unique strengths and weaknesses, and is subject to specific limitations with regard to the quality of the data it can generate. Therefore, evaluators need to combine them in a way that uses the comparative strengths of one approach to correct for the relative weaknesses of the others.



Part 3, 3.1 toolkit, Tool 7 field phase preparatory tasks checklist.

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 is a wide range of documents containing data and information; the most common are: programming documents; previous evaluation (good quality) 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** (Tool 8), evaluators will also collect and review additional documentation throughout the field phase.

Table 12: Information and data commonly collected for document review

Evaluation Question on...	Information to be collected in document review (and possible source documents)	Possible data limitations
Relevance	<ul style="list-style-type: none"> • Description and analysis of needs among beneficiaries (CCA, UNDAF, third-party needs assessments - e.g., Civil Society). • Demographic data on health, education, infrastructure, income, disaggregated at sub-national level (states, provinces, counties) (national Health Management Information System, census, Demographic and Health Surveys (DHS), national MDG reports) • Description of government priorities (national sector strategies, PRSPs). • UNFPA objectives (CPD, CPAP, UNDAF). 	<ul style="list-style-type: none"> • Not all demographic data disaggregated to the required sub-national levels • Analysis of needs in UNDAF and CCA remains general, does not identify the main drivers of poor health outcomes
Efficiency	<ul style="list-style-type: none"> • Inputs / resources used (AWP, Atlas) • Activities (AWPs, Standard Progress Reports, COAR for soft aid activities, such as policy dialogue). • Planned outputs (CPD, CPAP, COARs). • Actual (achieved) outputs (SPR, COAR, previous evaluations, third party reports). 	<ul style="list-style-type: none"> • Information scattered across many documents (e.g., AWP), • Difficult to compile overview from large number of individual documents (e.g., achieved outputs across AWP) • Not all documents available, - e.g., gaps in the AWP
Effectiveness	<ul style="list-style-type: none"> • <i>All information collected for 'efficiency' evaluation question.</i> • Planned CPAP outcomes (CPD, CPAP, COAR). • Actual achievements at the level of the CPAP outcomes (SPR, COAR, previous evaluations (including from partners), government / third party monitoring data (on health outcomes). • Information on changes in health outcomes in partner country (National census, SRH / maternal health surveys (e.g., Demographic and Health Surveys (DHS), HMIS data). • <i>Where available:</i> Reviews of the usefulness and use made of <i>UNFPA outputs</i> to achieve outcomes (third-party evaluations or other types of sector reviews, situation analyses). 	<ul style="list-style-type: none"> • UNFPA documentation does not report results at <i>outcome level</i>, but primarily at <i>activity</i> and <i>output</i> level. • Third-party data on changes of <i>health outcomes</i> (e.g., DHS) describe changes in the overall population, not necessarily among UNFPA beneficiaries
Sustainability	<ul style="list-style-type: none"> • <i>All information collected for 'effectiveness' evaluation question (to understand the theory of change of the programme).</i> • <i>When available:</i> Descriptions of risk factors for continued benefits from UNFPA support (e.g., UNFPA and third party reports on 	<ul style="list-style-type: none"> • Suitable reports often not available / not easily found • Reports can be considered as "sensitive", and shared only

Evaluation Question on...	Information to be collected in document review (and possible source documents)	Possible data limitations
	administrative capacities of UNFPA partner agencies).	hesitatingly with evaluators

	Part 3, Toolkit, tool 8 is a checklist for the documents to be provided by the evaluation manager to the evaluation team at the beginning of the design phase.
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In many cases, evaluators will find that information is scattered across several documents and that the documents themselves are hard to locate. While CPDs, CPAPs and information from ATLAS are accessible electronically, AWPAs are often either stored as paper copies, or only available electronically from the UNFPA country office. Therefore, evaluators need to dedicate sufficient time to locating and retrieving all documents needed at the beginning of the evaluation - i.e., the design and field phases.

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 2.2 for more details).

A gap in UNFPA country programme documentation is the lack of monitoring data on the uptake and utilization of assets, tools or other resources that UNFPA support helped to put in place. UNFPA monitoring systems in programme countries is primarily focused on activities and often collect data on the numbers of nurses, midwives or other personnel UNFPA helped to train; or on the numbers of health centres equipped or constructed with the help of UNFPA (i.e., the tangible deliverables of UNFPA support). However, monitoring does often not capture the extent to which these assets were subsequently utilized. This means that evaluators cannot expect to obtain much information on the professional development of UNFPA-supported personnel, or the utilization rates of UNFPA-supported health centres and clinics, etc. Consequently, it will be difficult to assess the benefits of UNFPA-supported interventions for the intended target group (such as patients in health centres) or other beneficiaries solely on the basis of information from document reviews.

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

Interviews with key informants in the UNFPA country office, government ministries and agencies, UNCT members and other development partners and civil society organisations usefully complement document reviews in country programme evaluations. Together with focus groups or other types of group interviews (see next section) they can provide evaluators with first-hand accounts of UNFPA-supported interventions and activities “in action”.

While document reviews help evaluators to learn about the formal structure of implementation and coordination mechanisms, or the official and formally stated objectives of UNFPA support, interviews often allow evaluators to:

- put this information into context;
- ask for interpretations of statements in the documents;
- solicit feedback on aspects of the performance of UNFPA that might not have been discussed in official reports.

In particular, interviews can help evaluators to collect information on the way and the *extent to which assets, human resources, or other direct deliverables associated with UNFPA support were utilized to improve health outcomes in programme countries*. This *utilization of assets and resources* is often difficult to assess based on written documentation alone, and requires supplementary interviews.

For instance, UNFPA commonly supports the acquisition of ambulances and other equipment for health centres, assists in the training of midwives, nurses or doctors or provides technical assistance to ministries and other government agencies. These assets and resources can help to improve the quality and accessibility of reproductive health services, but only if they are applied and properly utilized in the manner that was intended. For example, ambulances can only help to support the referral system in programme countries if they are properly maintained and are kept in working order. Trained nurses and midwives have to be deployed in areas where their services are needed, or have to be assigned to clinics with the required equipment to improve the quality of health services in order to make a difference.

Table 13: Information commonly collected in individual interviews

Evaluation Question on...	Information to be collected during individual interviews (and possible interviewees)	Possible data limitations
Relevance	<ul style="list-style-type: none"> Complementary information on appropriateness of needs orientation of UNFPA support; and coherence with government priorities (civil society organisations, line ministries). 	<ul style="list-style-type: none"> Reliability of information from any individual source is not guaranteed; Statements of interviewees may reflect preferences of their organisation or employer; Need to utilize multiple sources / interviewees (data triangulation) to ensure reliability of information; increase validity of findings; Frequent turnover of staff in government agencies, development organisations may limit the extent of institutional memory evaluators can access.
Efficiency	<ul style="list-style-type: none"> Complementary explanations on country programme / associated interventions, logical linkages, soft activities (policy dialogue), etc. (UNFPA country office, implementing partners, development partners). 	
Effectiveness	<ul style="list-style-type: none"> Complementary explanations on country programme / associated interventions, logical linkages, soft activities (policy dialogue), etc. (UNFPA country office). Information on uptake / utilization of assets, resources, tools provided with UNFPA support in different technical areas (line ministries, executive agencies and other government bodies, development partners / donors, civil society organisations). Interpretations of trends in health outcomes, other relevant indicators (development partners, civil society organisations, research organisations). Solicitation of additional documents / data on utilization assets and resources provided with UNFPA support and associated changes in health outcomes (line ministries, executive agencies and other government bodies, development partners / donors, civil society organisations). 	
Sustainability	<ul style="list-style-type: none"> Information on risk factors threatening the continuation of benefits from UNFPA support (line ministries, executive agencies, other government bodies, development partners, civil society). 	

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**.

However, interviews are subject to certain limitations regarding the *reliability of the information* collected - i.e., the extent to which statements and feedback solicited from interviewees provide an *accurate* picture of the situation.

Box 12: Reliability of data and information in evaluations

- In research and evaluation, the term *reliability* means "*repeatability*" or "*consistency*". Data collection approach is considered reliable if it produces the same result in repeated measurements of the same unchanged object or

condition.³⁰

- Interviews are subject to certain *threats to the reliability* of information they produce. Firstly, interviewees are likely to filter their observations on the basis of their pre-existing opinions. These preconceptions often reflect the values or goals of their environment (such as the organisations they belong to, or the communities they live in), or are affected by other privately held beliefs. In addition, even knowledgeable key informants can have false or incomplete information about the object of the interview. Finally, the evaluators who are conducting the evaluation can introduce bias into the interviews, by asking leading questions, or by recording answers only selectively, based on their own preconceptions about the topics at hand.

To control for the bias that any individual interviewee and also any single interviewer conducting the interview is likely to introduce into the data collection process, it is helpful to follow a few simple *rules when preparing and conducting interviews* for UNFPA country programme evaluations:

- 1) When selecting key informants for a particular set of questions, evaluators need to be sure to include interviewees that represent different institutional viewpoints on the topics at hand. For example, when collecting information on the relevance (needs orientation) of UNFPA support, evaluators should not only talk to representatives of the partner government, but should also include other types of stakeholders, such as partner donors, civil society organisations or research organisations.
- 2) Each evaluator needs to prepare his/her interviews by developing interview guides with a set of standard questions. He/she should share these guides with all members of the evaluation team and discuss with the team the significance of the individual interview questions before conducting any interviews. Although evaluators will not be able to strictly follow the sequence of questions in the interview guides, they should routinely refer back to the guide to ensure that they are covering the required topics and are asking all relevant questions.
- 3) Where possible, team members, should conduct interviews in pairs. This reduces the risk that any individual interviewer introduces his or her personal bias into the conversation. It also makes it easier to jointly reflect on the answers of the interviewee, and to identify possible misrepresentations or other biases of the key informant.



Tools 9-10-11-12.

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.

³⁰ Adapted from the Research Methods Knowledge Base; "Theory of Reliability"; www.socialresearchmethods.net

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.).

→ **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.*

Box 13: Which type of interview should you select: structured, semi-structured or unstructured?

These three types of interviews 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.



Tool 13 and template 7.

In addition to this handbook, there is also a wealth of information accessible on the internet on **the role of interviews in evaluations**, different types of interviews and different **interview techniques**:



- The *Research Method Knowledge Base* (<http://www.socialresearchmethods.net>) provides a useful introduction into interviews, the preparation process, interview techniques, etc. (<http://www.socialresearchmethods.net/kb/interview.php>).
- The *online Methodological Handbook of the EuropeAid / European Commission* (http://ec.europa.eu/europeaid/evaluation/methodology/index_en.htm) provides information on different types of interviews and their significance for theory-driven evaluation (the evaluation type of UNFPA country programme evaluations) (http://ec.europa.eu/europeaid/evaluation/methodology/examples/too_itw_res_en.pdf)
- The *field handbook of the World Health Organisations* (WHO) provides a checklist for conducting semi-structured interviews (http://www.who.int/hac/techguidance/tools/manuals/who_field_handbook/g6.pdf)

B - Focus groups

Group discussions allow evaluators to solicit information and feedback from more than one or two interviewees at a time. In this way, evaluators can gain insights not only of the opinions and beliefs of single individuals, but can observe how members of a group interact and how opinions on a particular topic differ. However, interviewing people in groups also presents a number of challenges:

- The group setting can inhibit the interviewees' ability to answer questions freely and in accordance with their own views.
- The dynamic between members of the group during the interview can also be influenced by their existing relationships outside of the group interviews, based on factors like relative power, economic influence, or social and cultural norms.
- If these influences are too strong, evaluators will find it very difficult to collect useful information during the course of the interview.

Focus groups are a specific type of group interview aiming at avoiding many of these shortcomings by *carefully selecting the individual participants* to protect their ability to freely express their opinions:

- The size of the group is limited to about eight to ten people.
- They are led by evaluators with experience in moderating focus groups or external skilled moderators to achieve the balanced and equal participation of all group members in the discussion.

In a focus group, interactions between stakeholders allow participants to:

- Comment on each other's opinions;
- Bring up new topics inspired by the interventions of others;
- Contradict or support others.

This makes focus groups a useful instrument for validating 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.

Box 14: Key characteristics of focus groups

- Focus groups are conducted with ***small groups of eight to ten participants selected on the basis of homogeneity*** (they share similarities) with regards to the most relevant characteristics for the topic at hand. When discussing questions of sexual health, for example, women should be interviewed separately from men. If possible, both men and women should be further divided into subgroups, for example based on their age, marital status, or other factors that are likely to influence their views on the topics being discussed.
- ***Participants of each focus group are carefully chosen*** to ensure they fulfil the previously defined selection criteria (see above). The selection also aims at ensuring that no participant is able to hold power for reward or sanctioning over any other members of the group. Steps should be taken to ensure that participants feel safe to discuss sensitive topics.
- ***Moderators of focus groups use carefully prepared interview guides*** to lead the group through a series of questions and topics. Sequencing of topics helps to promote a natural flow of the conversation, and must address the need of the group to become familiar and comfortable with the setting so that sensitive or difficult topics can be discussed. The use of the same guide in different focus group discussions (e.g., with men and women, both married and unmarried) ensures a degree of comparability of results among the subgroups.
- ***The moderator facilitates the exchange of opinions*** among the participants to achieve an even and equal participation of all members of the group.

In the context of UNFPA Country Programme Evaluations, focus groups can be particularly helpful for soliciting information from beneficiaries of UNFPA-supported interventions in communities (e.g., mothers, youth), health centres (e.g., nurses, midwives) and other sites. Focus groups can also be an efficient way to collect information from a small group of representatives from different civil society organisations, for example on the needs orientation (relevance) of UNFPA support, the quality and utilization of UNFPA-facilitated deliverables (effectiveness), and the risk factors for continued benefits from these deliverables (sustainability). Focus groups are typically less useful for obtaining information on issues related to the efficiency of UNFPA country programmes.

Table 14: Information commonly collected in focus groups and other group discussions

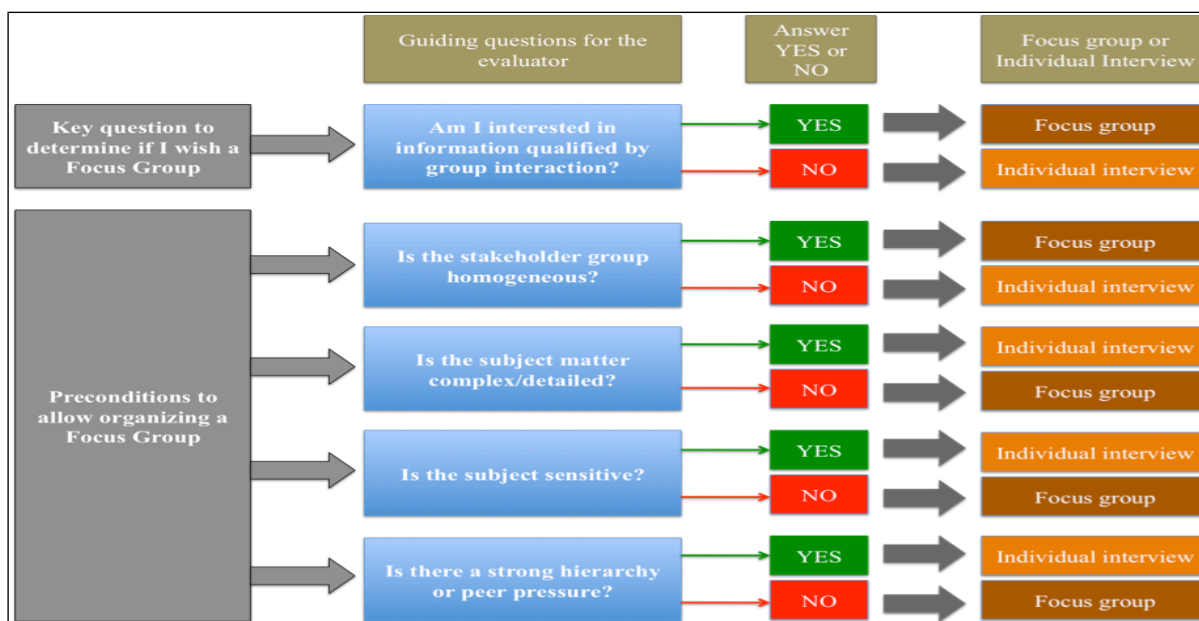
Evaluation Question on...	Information to be collected in focus groups / group discussions (and possible documents sources)	Possible data limitations
Relevance	<ul style="list-style-type: none"> Complementary information on appropriateness of needs orientation of UNFPA support; and coherence with government priorities (civil society organisations, beneficiaries). 	<ul style="list-style-type: none"> Preparing focus groups takes time and resources (see below). Insufficient preparation can lead to biased data, as groups might be 'hijacked' by people with particular interests. Although information is collected from a small group of respondents, the results are not <i>statistically representative</i> for the larger population from which the participants have been selected. Focus groups cannot generate quantitative information, such as percentage of respondents who hold certain views etc.
Effectiveness	<ul style="list-style-type: none"> Information on uptake / utilization of assets, resources, tools provided with UNFPA support in different technical areas (civil society organisations, beneficiaries). 	
Sustainability	<ul style="list-style-type: none"> Information on risk factors threatening the continuation of benefits from UNFPA support (civil society organisations, beneficiaries). 	

Evaluators should be aware of the fact that preparing for focus groups requires a considerable amount of time. The main tasks to prepare a series of focus group discussions are:

1. definition of the specific topic;
2. development of the moderators' guide;
3. selection and recruitment of participants to ensure homogeneity of each group;
4. securing a venue for the focus group, organising note-takers and other logistical requirements (such as refreshments).

With this in mind, evaluators should assess whether it will be more practicable and useful to conduct individual interviews or to organize focus groups.

Figure 11: Choosing individual interviews or focus groups





Tool 13: How to conduct a focus group: practical tips.

1.4.3 Methods for data analysis

At 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 documentary review, interviews and focus groups.

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

Considering the limited 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 consist mostly of **primary qualitative data**. Short timelines and limited financial resources allocated to CPEs 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 and 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*.

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.

Evaluators **must link preliminary findings** (by evaluation question) **with the evidence** that supports such findings as well as with the sources of the evidence. The **evaluation manager** must ensure that the evaluators present the techniques that will be used to ensure that the results of the data analysis are credible and evidence-based (in Chapter 4 of the design report - *evaluation methodology and approach*).



Part 3, Toolkit, Tool 1 and Template 5 Evaluation matrix.

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 means that evaluators must double or triple check 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 -- e.g., compare results obtained through 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 find out the reason why. In the event that this is not possible, preliminary findings should be disregarded.

During the design phase, the evaluation team should also agree on **validation mechanisms** and present them in the methodology chapter of the design report. 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 reviews:** convening a series of internal team meetings (during the field and analysis phases to share and discuss preliminary findings/conclusions, hypotheses and evidence. In UNFPA programmes, programmatic areas are highly interrelated, which means that an evaluator will collect evidence on the areas she/he are responsible for, but also on other evaluators' area(s) of expertise. Sharing and discussing the validity of preliminary findings and their supporting evidence for each programmatic area constitutes a validation process. The most important team-based review 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 during a workshop.
- **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 which may validate them or express reservations on their validity.

To check the validity and robustness of the findings, evaluators should not wait until the field phase. This control must be performed throughout the evaluation process. In this manner, evaluators can assess whether they should keep on working on specific hypotheses (lines of argument) or disregard them when there are indications that these 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* and/or poor national statistical data.
- The *quantity and quality of 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 - 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 (changes of behaviour, culture and mentality) which 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.

1.5 Organizing the work

1.5.1 Team responsibilities and distribution of tasks

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

1) Allocation of responsibilities by area of work

Each evaluator shall:

- lead the evaluation work on evaluation questions associated with her/his area of expertise;
- provide input when relevant on other evaluators’ programmatic areas;³¹
- gather information on strategic positioning evaluation questions;
- be responsible for some or all of the strategic positioning evaluation questions. Decisions on what type of input experts should provide to others must be made during the design phase.

2) Allocation of responsibilities for 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.

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.

³¹ E.g., gender and monitoring issues are often to be assessed across the programme, hence involving all the evaluators.

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.
- **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 contacts 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 expenses.

1.5.3 Work plan

The team should agree on, and draw up a work plan to be shared with the evaluation manager. 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				
	3 ^o	4 ^a	5 ^a	1 ^a	2 ^a	3 ^a	4 ^a	1 ^a	2 ^a	3 ^a	4 ^a	
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 first draft of evaluation report									Δ			
Comments from the CO												
Delivery of final evaluation report												○

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	○	Friday 30, delivery of the final evaluation report

PART 2

CONDUCTING THE EVALUATION

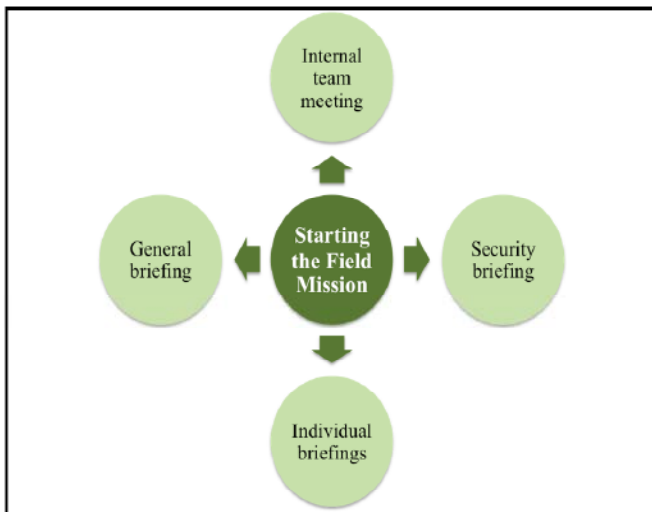
PART 2 – CONDUCTING THE EVALUATION

The field phase 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.

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 12: 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 programmatic area: overview of each programmatic area of the country programme, finalisation of evaluators’ individual agendas and related logistics matters.

Security briefing

The evaluation manager 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

During this meeting, the team members and the evaluation manager should deal with initial aspects of the mission. The table below presents some suggestions for the agenda.

Table 15: Evaluation team meeting

Overview
<p>The team leader should chair the meeting and go through the following issues:</p> <ul style="list-style-type: none"> ○ Brief review of the main objectives and goals of the evaluation exercise; ○ Enquire about any aspect of the field phase that is unclear to any of the evaluators; ○ Provide an overview of the main steps of the field phase; ○ Provide an overview of what is expected from each member of the evaluation team; ○ Agree on internal rules regarding internal communication during the field visits, communication with the evaluation manager and other CO staff; ○ 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 facilitate 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:

- How to use the evaluation matrix and its role in the evaluation exercise;
- Definition of each evaluation criterion;
- Selection of evaluation questions;
- How to ensure that preliminary findings are supported by, and can be traced back to evidence.

Arrangements about sharing information of common interest

- The team should discuss how to proceed when the data to be collected are relevant for various team members;
- Once common data sources are identified, ensure that information needs of each concerned evaluator are reflected within interview guides and/or interview logbooks.

Agendas and logistics

- Identify within the overall agenda, the activities and meetings involving all team members;
- Identify within the individual agendas which meetings still have to be arranged;
- Identify any overlap in agendas, - i.e., instances when two team members have a meeting with the same person and make arrangements accordingly;
- 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 content of the evaluation matrix and agree upon the overall agenda of the field phase.

The evaluation manager must ensure that the meeting is attended by:

- All members of the evaluation team.
- The relevant country office staff: senior management, heads of the programmatic areas, heads of finance and administration, 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.³²

The table below suggests an outline for the briefing meeting.

Table 16: Suggested outline for the general briefing meeting at the start of the field phase

³² For example: government bodies (Ministries, Agencies), academia, civil society organizations, other UN agencies, etc.

Evaluation team
The evaluation team members (and their respective responsibilities) are introduced to participants
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 regarding the CPE
Presentations of the programme portfolio by programmatic 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 deletion of existing evaluation questions, and related adjustments in the <i>assumptions to be assessed</i> ; sources of information; and methods and tools for data collection 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 6 – The CPE agenda).

Adjusting and refining the evaluation matrix

The evaluation matrix is the backbone of the CPE. Since it lists the evaluation questions, and summarises the core aspects of the exercise (what will be evaluated and how). The evaluation matrix 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 the evaluation matrix included in the design report.

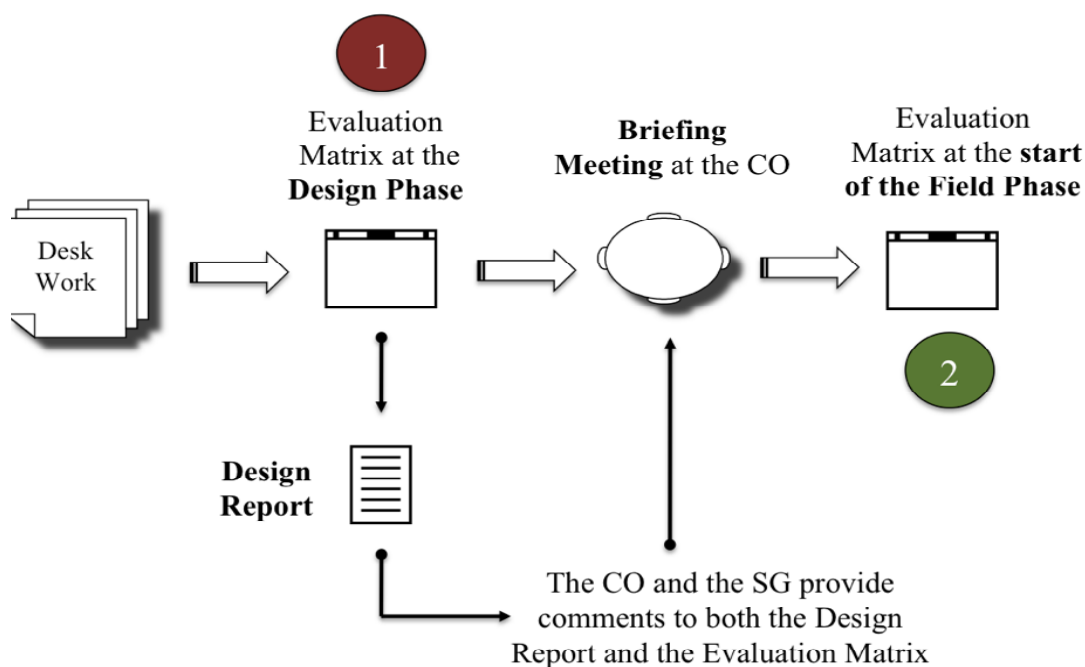
Reaching an agreement on the parameters against which the assessment will be made

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 13: Adjusting and refining the evaluation matrix



The evaluation manager should encourage the reference group to provide comments on the evaluation matrix before the joint discussion.

When receiving comments, 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.
- being directed to evaluation question(s) prioritised merely on the basis of the information available.

→ **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 assigned to. At this point in time, evaluators should use the checklist provided in tool 8. These meetings should cover the following aspects:

Table 17: Aspects to be covered during the 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: <ul style="list-style-type: none"> ○ Timing of interviews; ○ Practical arrangements regarding field visits (should additional field visits be organized?); ○ 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, AWP, 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 sources of information 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.

 Part 3, Toolkit, tool 7 *Checklist for preparatory tasks prior to the field phase* 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

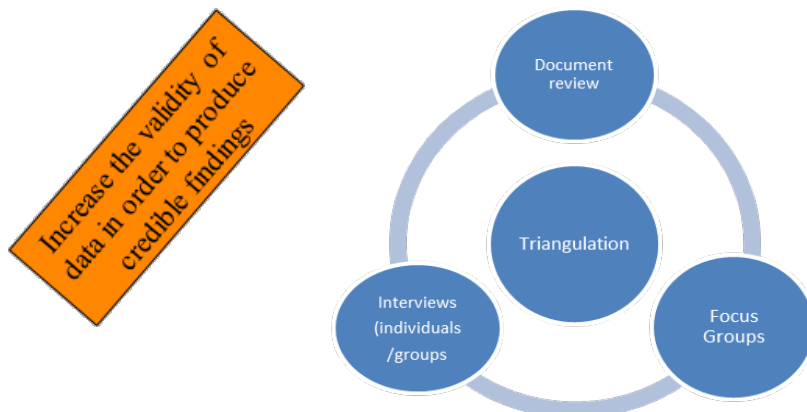
The value of the information and data collected in the field requires a rigorous preparation of interviews and focus groups.

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); to this end the active role of the evaluation manager is crucial. At the start of the field phase, evaluators have access to more detailed information and need to adjust the approach for data collection accordingly.

 Methodological explanations on data collection can be found in section 1.4.2 *Methods for data collection*. Part 3, *Tools for data collection* -- contains all tools for data collection.

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 14: 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 is faced with 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 The field phase: collection and analysis of data and information

After approval of the design report, the evaluation enters the field phase. Evaluators have to proceed with the strategy they devised for collecting information with a view to answering all evaluation questions.

Data collection for UNFPA country programme evaluations commonly has 6 stages:

- 1) The **preparation of data collection**, often still at the evaluators home base;
- 2) The **launch of the field phase** with the UNFPA country office during a first official briefing;
- 3) **A first round of interviews** with key informants (main partners and other stakeholders) of UNFPA-supported interventions in the capital of the programme country;
- 4) **Site visits of UNFPA-supported interventions**, often outside of the capital, including focus groups with UNFPA beneficiaries;
- 5) A **second round of interviews with key informants in the capital**, to close possible data gaps;
- 6) The **finalisation of data collection**, and an **official debriefing** at the UNFPA country office.

The table below provides more details on each of these stages - i.e., the main activities, the location, and the typical duration of each stage.

Table 18: Process for the field phase

Main Stages	Main Activities	Location	Duration
Preparation	<ul style="list-style-type: none"> • Preparation of evaluation matrix • Preliminary interview schedule • Development of interview guides / other materials for data collection 	Home base of evaluators	1 day
Launch	<ul style="list-style-type: none"> • UN Security briefing • Internal meeting of evaluation team • Launch of field phase with a general briefing of country office on scope and approach of CPE • Individual briefings with UNFPA country office programme officers by outcome area: overview of each outcome area of country programme; completing the collection of documents in UNFPA country office • Finalisation of evaluators' individual agendas and related logistics matters. 	Capital (UNFPA country office)	2 days
First round data collection	<ul style="list-style-type: none"> • Interviews with key informants among government, donors, civil society, research organisations in capital; collection of additional 	Capital (UNFPA country office,	5 days

– capital	<p>documentation were possible</p> <ul style="list-style-type: none"> On-going (preliminary) analysis of key documentation, to improve understanding of UNFPA country programme; and to better focus interviews with key partners Finalizing the selection of site visit locations / logistical preparation of site visits Preparation of focus groups; (a) during site visits (e.g., with beneficiaries); (b) with civil society organizations, upon return to capital (second round of data collection; see below) Internal team meeting prior to departure to site visits 	offices of main stakeholders)	
Site visits	<ul style="list-style-type: none"> Interviews with key informants at sub-national level / project sites (e.g., local authorities, NGOs, health centre staff, patients, etc.) Focus groups with beneficiaries (e.g., doctors, nurses, midwives, patients, communities, patients, youth etc.) Observations at project sites / utilization of provided assets and tools 	Field (sites of UNFPA-supported projects / interventions)	6 days
Complementary data collection – capital	<ul style="list-style-type: none"> Internal team meeting upon return from site visits; identification of data gaps (Evaluation matrix); determining best use of the remaining days. Focus groups with representatives of civil society organisations Complementary interviews with key informants (closing of data gaps) Complementary document reviews (closing of data gaps) 	Capital (UNFPA country office, offices of main stakeholders)	5 days
Finalisation and debriefing	<ul style="list-style-type: none"> Analytical team workshop (internal); preparation of debriefing of UNFPA country office Debriefing meeting with UNFPA country office staff; presentation of preliminary findings 	Capital (UNFPA Country Office)	2 days
Total			21 days

The following sections provide more details on four aspects of data collection for CPEs:

- The preparation of data collection through the set-up of the evaluation matrix;
- The utilisation of existing secondary information and data, in particular during the first and second round of data collection in the capital;
- The collection of primary information through interviews and focus groups in the capital and at project sites;
- The finalisation of data collection, and the debriefing of the UNFPA country office.

2.3.1 Preparing for the field phase: completing the evaluation matrix

One of the most important data collection tasks for evaluators throughout the field phase is to systematically record all information on a continuous basis. Throughout the field phase, document reviews, interviews, focus groups and observations during site visits generate a large amount of information. Therefore, evaluators need to continuously and systematically:

- i) connect/link all incoming information with the evaluation questions and their corresponding indicators;
- ii) assess the relevance and significance of the collected data;
- iii) over the course of the field and analysis phases of the evaluation – evaluators must identify the information that constitutes credible and compelling evidence to support the formulation of evidence-based answers to the evaluation questions.


The table below provides a summary of the main responsibilities of the evaluation manager and the evaluation team during the field phase.

Table 19: Summary of responsibilities of the evaluation manager and evaluators during the field phase

Main activities	Division of responsibilities	
	<i>Evaluation team</i>	<i>Evaluation manager</i>
Preparation of the field phase	<ul style="list-style-type: none"> • Completion of evaluation matrix. • Development of interview guides and other tools for data collection. • Liaison with evaluation manager to develop preliminary interview schedule • Review all available materials and documentation. • Prepare presentation and all other required materials for the launch meeting in UNFPA country office. 	<ul style="list-style-type: none"> • Inform partner government, other partners of impending country programme evaluation (in coordination with UNFPA country representative). • Undertake logistical preparation of field phase (accommodation, travel papers / permits for evaluators - if applicable). • Liaison with evaluators (team leader) to help develop preliminary interview schedule. • Set-up interviews for the first days of the field phase.
Launch of field phase	<ul style="list-style-type: none"> • First internal team briefing on the evaluation approach and scope. • Present purpose, scope and approach to country office managers and staff during launch meeting. • Hold individual follow-up meetings with country office managers and staff; secure available documents and solicit feedback on key informants / interviewees. • Compile all available documentation received from different staff members of country office. • Reach agreement on internal division of labour between team members (e.g., role of moderator or note-taker for focus groups; finalise individual agendas of team members. 	<ul style="list-style-type: none"> • Organise security briefing / other prerequisites for the safe stay and work of the evaluation team. • Set-up launch meeting and ensure participation of all relevant country office managers and staff. • Hold introductory bi-lateral meetings between evaluators and country office managers/staff. • Facilitate and support orientation of evaluators during first few days. • Follow-up on preliminary interview schedule / ensure completion of schedule for first week of data collection. • Provide assistance to evaluators for arranging interviews with key informants.
Interviews (capital city) – First round	<ul style="list-style-type: none"> • Conduct interviews with key informants (if possible in pairs). • Collect of documents from partner organisations / key informants. • Select sites for visits to UNFPA-supported facilities (typically outside of capital), in coordination with evaluation manager. • Begin preparation of focus groups at project sites (in coordination with evaluation manager; and UNFPA staff in the field). • Agree on division of labour among evaluators during site visits. • Internal team meeting towards end of first week of data collection (review of data and emerging findings). • Update of evaluation matrix on on-going basis. 	<ul style="list-style-type: none"> • Continued support of evaluation team for arranging interviews, solving logistical challenges (for work in capital and for field visits). • Where necessary: facilitate official introduction of evaluation team to UNFPA partner organisations (in particular for government partners). • Facilitate compilation of key documents for evaluators (follow-up with colleagues at country office; in partner organisations to obtain copies of key documents). • Assist in preparation of site visits, including preparation of focus groups (site and participant selection, arranging for translators etc.).
Site Visits	<ul style="list-style-type: none"> • Carry out and document interviews, focus groups; collect key documentation. • On-going review of information. • Update of evaluation matrix on on-going basis. 	<ul style="list-style-type: none"> • Logistical support of evaluation team during site visits. • Assist evaluation team in arranging follow-up interviews (and, if applicable, focus groups) with UNFPA partners for their return to capital.
Interviews and Group Interviews (capital city) – Second Round	<ul style="list-style-type: none"> • Hold second and last round of interviews in capital (to provide follow-up to first interviews and to enable clarification on issues raised during the field visits and/or complete information gaps). 	<ul style="list-style-type: none"> • On-going logistical support of evaluation team. • Preparation and invitation of participants to debriefing meeting for CPE.

Main activities	Division of responsibilities	
	<i>Evaluation team</i>	<i>Evaluation manager</i>
	<ul style="list-style-type: none"> • Collect any missing documentation. 	
Wrap-up of field phase	<ul style="list-style-type: none"> • Internal analytical team workshop: preliminary analysis of collected data and information; formulation of preliminary findings, first conclusions, tentative recommendations. • Preparation of materials for debriefing meeting with country office (PowerPoint presentation, accompanying hand-outs summarising key aspects of the presentation). • Provide evaluation manager with information about any outstanding issues (documentation she/he needs to collect and send to evaluators). 	<ul style="list-style-type: none"> • Ensure broad participation of UNFPA managers and staff at debriefing meeting. • Organise consolidation of feedback from country office managers and staff to evaluators in response to their presentation of preliminary findings, conclusions and recommendations. • Ensure safe departure of evaluators.

To ensure that the collection and recording of data and information is done systematically, **UNFPA requires all evaluators to set up and maintain an evaluation matrix (tool 1 and template 5)**. This is a convenient table format that helps evaluators to consolidate in a structured manner all collected information corresponding to each evaluation question. The table also makes it easier to identify data gaps in a timely manner, and to collect all outstanding information before the end of the field phase.

	Tool 1 and Template 5: Evaluation matrix.
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2.3.2 Making use of existing, secondary data and information

Evaluators need to make use of existing, secondary data and information as much as possible. As mentioned above, the opportunities and resources available for collecting primary data (through interviews or focus groups led by the evaluators themselves) are limited during a country programme evaluation. This is particularly the case for quantitative data on changes (e.g., in reproductive health outcomes) among UNFPA beneficiaries, since evaluators will not be able to carry out their own large-scale surveys.

Evaluators need to use their first internal team meeting at the start of the field phase to agree on and list the types of information they still need to collect from the UNFPA country office and UNFPA partners. This allows the team to use the official launch meeting, and the subsequent individual appointments with managers and staff of the country office, to highlight their data needs and to collect copies of the required documents.

If not already collected at the design phase, the evaluation team needs to quickly gain access to reliable macro-level data on key health outcomes related to reproductive and maternal health, as well as on the other programmatic areas of UNFPA. Results from censuses, data sets for national sexual and reproductive health surveys (e.g., DHS) or HMIS data might be available in the UNFPA country office. However, evaluators may also find it necessary to solicit information from those government agencies that had been responsible for collecting the data in the first place. Establishing the appropriate contacts, receiving the official authorization to collect the data and securing appointments with the appropriate government staff takes time and requires an active role from the evaluation manager. It is important to start this process early in the field phase of a CPE.



Data and reports from the MEASURE Demographic and Health Surveys (DHS) programme on health and population in most UNFPA programme countries **is available online at the MEASURE DHS website (<http://www.measuredhs.com>)**. This information is a key resource for evaluators working on UNFPA CPEs and should be gathered during the design phase.

Evaluators must be aware that secondary data from national surveys do not specifically describe the situation of UNFPA beneficiaries. Instead, the collected data is intended to represent the situation for the national population. Therefore evaluators have to determine how they can best use this information to identify the changes that have occurred at the level of the intended beneficiaries of UNFPA supported interventions:

- Survey results are often *disaggregated* by different criteria, such as age, geographic locations (states, provinces, counties, etc.), gender, rural vs. urban, education, etc. This can allow evaluators to gather data for those segments of the population within which UNFPA target groups are to be found.
- When the survey reports do not provide appropriately disaggregated data, evaluators can try to *extract data on specific demographic groups* from the original data set.

2.3.3 Collecting primary data and information



Readers interested in tools and methods available to collect primary data during UNFPA country programme evaluations should also consult the respective section in *Section 1.4 Planning data collection and analysis*). This section provides information on the significance, approach and limitations of different data collection methods and tools.

Evaluators will collect primary data during interviews with UNFPA staff and managers, governmental officials, development partners and other relevant organisations in the capital; as well as through the conduct of interviews, focus groups and observations at project sites.

2.3.3.1 Data collection in the UNFPA country office

Positive and productive working relationships with UNFPA staff in the country office are an enabling factor for evaluators to compile all necessary information. Evaluators have to rely on the knowledge and connections of UNFPA staff to obtain documents and information:

- Managers and staff have to explain the dynamic of the country programme and play an important role in providing key insights which cannot be obtained from reviewing documents.
- UNFPA country office also direct the evaluators to potential interviewees, and in many cases the evaluation manager will have to ensure that evaluators are formally introduced to the government agencies staff they need to meet with.

Evaluators cannot assume that all UNFPA staff members are well-informed about the rationale, objective and approach of UNFPA country programme evaluations. This type of exercise will likely be new for the majority of staff members in the country office. Therefore, at the start of the field phase, evaluators need to clearly explain the rationale and objective of the CPE, as well as *their own mandate and role as independent evaluators*. This will clarify expectations of the evaluation team on the one hand, and of the UNFPA country office on the other hand, and will facilitate the smooth implementation of the field phase.



Using the launch meeting and individual briefings to establish good working relationships with UNFPA

country office staff

The launch meeting and the subsequent first round of individual meetings with the managers and staff in the UNFPA country office have a number of important functions for the evaluators.

The launch meeting, typically held on the first or second day of the field phase (after the evaluators have held their first internal team meeting), allows the evaluators to introduce themselves, as well as the scope and approach of their assignment to the country office. Managers and staff have the chance to ask questions about the mandate of the evaluators. Evaluators also should present a list of the information they require, and the UNFPA country representative or assistant country representative can delegate specific tasks in relation to the retrieval of that information to specific staff members. This process should be closely monitored by the evaluation manager so that all information is gathered and communicated to the evaluators in a timely manner.

During the first round of individual meetings with UNFPA managers, thematic officers and other staff, the evaluators can follow-up on the issues agreed during the launch meeting. The team should plan to spend one to two hours with each relevant staff member. For each meeting, the main goals are:

- (i) to learn about the portfolio which each staff member oversees;*
- (ii) to collect all relevant documentation for that portfolio;*
- (iii) to cross-check and complete the list of key stakeholders for subsequent individual interviews. The evaluation manager should ensure that evaluators can collect the available documents on the spot; for those documents which are not available yet, evaluators should agree to collect them during the subsequent days. The evaluation manager should ensure that information will be made available in due time.*

During their first days in the UNFPA country office, the evaluators need **to complement the documentation on the UNFPA country programme** they received previously (during the preparatory phase and the design phase) from the evaluation manager. They must **continually organise and review all material** to improve their understanding of the country programme, the interventions, and UNFPA partners. This will help the evaluators to prepare the subsequent interviews with external stakeholders and partners of UNFPA (implementing partners, other government agencies, donors, NGOs, etc.).

Finally, the first days in the country office should be used to finalize the schedule of meetings and interviews with the external partners of UNFPA. This is the responsibility of the evaluation manager who must ensure that all other country office staff members provide full cooperation. She/he should also formally introduce the evaluators to the country office counterparts in the government as well as to other stakeholders.


2.3.3.2 Interviewing government and other national partners in the capital

Interviews with UNFPA counterparts among implementing partners, other government agencies, UN and other donor organisations, and civil society organisations are important data sources for CPEs. Discussions will provide one of the few opportunities to solicit external views on the scope, scale and approach of the UNFPA country programme and its overall performance.



Section 2.3 provides more information on the *role and significance of individual interviews* (and the other data collection tools and approaches) for UNFPA country programme evaluations. In particular, this section discusses *the comparative strengths and added value of individual interviews* in relation to other data collection approaches (focus groups, document reviews).


The suggested schedule for the field phase of a CPE foresees two periods to carry out individual interviews in the capital of the programme country - i.e., (a) in the first week of the field phase (before the team leaves the capital to visit selected field sites); (b) upon the return of the team to the capital.

 For an overview of the *typical timetable and process of the field phase*, see table 18.

The evaluators will conduct interviews with the stakeholders identified:

- in the *stakeholders mapping table*,
- in the *evaluation matrix*.

The topics for each interview with each stakeholder (or type of stakeholder) are delineated on the basis of the *evaluation matrix and interview guides*.

 The *stakeholders mapping table* has been introduced in the *Overview Section*, as part of the discussion of the preparatory phase. More information on the stakeholder map can also be found in the sections on evaluation tools in this handbook. In particular see Tool 4- *The stakeholders mapping table*.
For more *information on the evaluation matrix* in Tool 1.


The evaluation manager needs to start developing the timetable for the individual interviews before the start of the field phase. The evaluation team must update and finalize the interview schedule during their first days in the country office.

On the importance of excellent data management and timely processing of interview findings

The field phase of a UNFPA country programme evaluation is *typically busy and demanding*. Meetings will, in most cases, yield additional documents to be reviewed and analysed. Therefore, ensuring the on-going and timely management and recording of data from interviews is a prerequisite *to the development of credible, evidence-based findings, conclusions and recommendations*.

Evaluators should make *time every evening during the field phase* to review their notes, and to reflect on the events of the day:

- Each member of the evaluation team *needs to record* the information collected in the *Interview Logbook* (Tool 12).
- The evaluators have to ensure that the *preliminary summary findings table (Tool 1 and Template 5)* is *regularly updated*.

 *Tools to support the planning and implementation of individual interviews during a UNFPA Country Programme Evaluation*: Tool 10 – 11- 12 and Template 12.

2.3.3.3 The importance of site visits

A UNFPA country programme evaluation is the evaluation of a *strategy and of its implementation*. It is not an evaluation of individual UNFPA-supported interventions. This distinction is very important particularly in view of the CPE approach to site visits -- e.g., the collection of primary data and information at facilities, training centres or other establishments that have benefitted from UNFPA support.

In *project evaluations*, these site visits would be at the core of the evaluation, and would serve as one of the primary source of data, information and evidence that support the findings of the evaluators. In *country programme evaluations*, however, site visits are primarily used to put into perspective and into a specific, local context the previously collected data and information -- i.e., from the analysis of datasets, the study of reports and from interviews in the capital. In other words, site visits are primarily used *to provide illustrations of the emerging findings*, and to *help evaluators gain a deeper, more detailed understanding of contributing factors* from the programme and from the larger socio-economic context.

The selection of interventions and sites to visit

Evaluators need to select those sites for field visits that have the potential to illustrate and deepen the understanding of important strategic components of the UNFPA country programme and of its implementation. The evaluators, in cooperation with the evaluation manager, should *make a preliminary selection* of field visits that:

- Allow evaluators to *visit sites supported for each of the programmatic areas* of the country programme;
- Are likely to enable the evaluators to *observe the utilization of the main types of assets (facilities, equipment, etc.) and to interview beneficiaries*;
- Provide the *opportunity to interview the most important stakeholders of the country programme (other than beneficiaries) outside of the capital*. For example, if UNFPA has supported local authorities under its country programme, the selection of visit sites should allow evaluators to interview a selection of representatives from the different types of agencies involved.



Evaluators should consult Part 1 and the *evaluation matrix – Tool 1*, the *List of Atlas projects by CPAP output and Strategic Plan outcome (and the associated AWP)* - *Tool 3* and the *stakeholders mapping table - Tool 4*; to identify the main outcome areas, the main types of interventions for each of them, and the main types of stakeholder to be interviewed during the field visits.

The evaluators need to discuss the selection criteria for site visits with the evaluation manager as well as with the country office senior management and programme officers. In particular, they should explain in detail: (i) what role the site visits play in the CPE approach, (ii) and what expectations they have for the interviews and observations on site.

For the selection of field visits, evaluators are dependent on the knowledge of UNFPA staff about the programme and related operations at different sites. Involving them as partners in the selection process will increase the likelihood that relevant sites will be selected, and that observations and interviews at these sites can help to advance the evaluators' understanding of the country programme. *However the evaluators must ensure that they are not being directed to only the best-performing interventions.*

Preparing the logistics for the site visits

The logistical requirements for the site visits need to be discussed early on during the field phase. Once the evaluators have shared their expectations for the visits with UNFPA staff (i.e., initially during the launch meeting; and subsequently during the following individual meetings with country office staff), the evaluation manager needs to work with the relevant programme officers to discuss:

- (i) how much time is needed for travelling to and from the sites;
- (ii) how individual meetings and visits need to be timed to account for distance and road conditions between the sites;

- (iii) what accommodation is available, etc.

The evaluation manager and the evaluators should discuss a preliminary schedule for the time spent outside of the capital sufficiently in advance of the actual field visits to allow for changes or amendments of the schedule if/when necessary. Arranging logistics is an important responsibility of the evaluation manager.

2.3.3.4 Logistical aspects of organising focus groups

Focus groups are particularly difficult to prepare in the context of a UNFPA country programme evaluation. The evaluators have to select and convene a group of participants at a specific time and place, often without having had the chance to travel to the site before the focus group discussion.

The participants have to be carefully selected to adhere to previously defined criteria to ensure that they present the characteristics of the demographic group the evaluators want to solicit information from. This is also important since the make-up of the group significantly influences the dynamic of the discussion, and the willingness of individual participants to share private or sensitive information. Having the “wrong participants” in a focus group, in terms of their willingness to engage and/or compatibility with the selection criteria can significantly skew the results of the discussion, and can result in the collection of irrelevant or misleading information by the evaluators.

Preparing a focus group in the context of a CPE

Preparation for focus groups has to start early during the field phase. The evaluators should share their intention of carrying out focus group discussions with the evaluation manager and; mention it clearly during the launch meeting as well as in the subsequent follow-up meetings with UNFPA managers and staff.



For information on the *significance and approach for kick-off meetings and bilateral meetings* at the beginning of the field phase, *please see Section 2.1*

The evaluation manager is an important facilitator and intermediary for the evaluators. The evaluators rely on him/her to:

- (i) identify the potential partners whom the evaluators can rely on to select and invite participants -- e.g., community leaders;
- (ii) find suitable venues and support staff (e.g., translators) for the conduct of the focus groups.

The evaluation manager may have to delegate and monitor certain tasks related to the preparation of the focus groups to other members of the staff in the country office and/or sub-regional offices. However, to be able to fulfil this role as intermediary, the evaluation manager needs to have a good and accurate understanding of:

- (i) the nature of focus groups;
- (ii) their thematic scope for the particular CPE;
- (iii) the significance of the associated selection criteria for participants.

Evaluators need to carefully brief the evaluation manager on these aspects. They should provide a short description of the focus groups approach (see Box 14 for a list of main attributes), including:

- (i) the types of participants they intend to target;
- (ii) the main criteria for selection (citing both inclusion and exclusion criteria);

- (iii) the importance of the relative homogeneity of each individual group;
- (iv) the creation of a safe environment for open discussions, to ensure that no participant can unduly influencing others.

The evaluation manager should then **convey all information to the UNFPA partners** in the field (i.e., UNFPA staff in sub-regional offices; counterparts among implementing partners) and should encourage them to direct any questions or requests for clarifications to both herself/himself and the evaluation team leader (who should be copied on the exchange).

Finally, the evaluators should **review the proposed focus group arrangements together with the evaluation manager, before departure to the field**. Evaluators should check in particular that:

- (i) participants have been selected and screened in line with the discussed criteria;
- (ii) all requested group discussions could be organized;
- (iii) possible difficulties have been anticipated and dealt with - e.g., addressing the risk that community leaders participating in a focus group adversely affect the group discussion due to the imbalance of power between the group by organizing a separate individual interviews with leaders.

This is also the time the evaluators may use to introduce (small) changes to the focus group set-up, in response to new insights from desk research or interviews the evaluators may have already conducted.

➔	<p>Anticipating “no-shows”: the importance of over-recruitment for focus groups</p> <p><i>The evaluators need to encourage the evaluation manager and the organisers in the field to over-recruit for each of the focus groups by about 30 to 40 per cent. This will help to mitigate the possibility that a proportion of those invited to participate in a focus group do not attend (“no-shows”). To reach a target size of eight-ten participants, evaluators (or their partners) should invite between 10 to 14 candidates.</i></p>
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Managing the group discussion and its follow-up

Despite efforts to prepare focus groups, evaluators are likely to encounter some unexpected challenges when arriving on site, and during the conduct of group discussions. ‘No-shows’ are only one of the possible obstacles in this regard (see above). Some other common obstacles are:

- *In community settings, it is possible that a large group of 25 or more community members wish to participate in the focus group. However, with such a large group, it will be extremely difficult (even for a skilled focus group moderator) to manage the discussion and to achieve a balanced exchange allowing all participants to make relevant points and arguments.*
- *The composition of the group does not adhere to the previously agreed selection criteria. Although only young women might have been requested by the evaluators and invited for a particular focus group, evaluators might find a mixed group of men, older women and community leaders when they arrive on location. Also, other community members or even leaders might try to join the group, potentially disrupting the discussion and atmosphere that the moderator has worked to create.*

These events can be managed if the evaluators put in place certain contingencies in their management and division of labour for the focus groups:

- *Evaluators should always arrive at the site of the focus group in advance of the arranged starting time. Arriving sufficiently early will allow them to deal with inadequate facilities, and, if necessary, will give time to divide large or heterogeneous groups.*

- In addition to the moderator (and possibly a translator), each focus group should ideally be staffed with an additional member of the evaluation team, who can act as note-taker. Alternatively, he or she can also serve as back-up moderator for a second focus group, should a large or heterogeneous group of participants need to be divided into smaller groups. The second evaluator could also invite potential community leaders (who might want to join a particular focus group) for an individual interview.
- This also means that each moderator should be prepared to act as his or her own note-taker, or have the equipment to record the focus group discussion.

Quick brainstorming on the main points of the discussion after the focus group



Whenever possible, the moderator and any colleagues who assisted in carrying out a particular focus group (note takers, translators, co-moderators) should hold a brief (10-15 minute) brainstorming session to review the main points or arguments *immediately* after the group discussion has ended. The moderator should either record this team discussion, or should make brief notes. This summary will help greatly in the subsequent data analysis.

2.3.4 Finalising the focus group: preliminary analysis and debriefing

Evaluators should use the last week of the field phase (typically upon the return of the team from field locations) to conduct follow-up interviews with key informants in the UNFPA country office, and among government partners and the development community (see Section 2.3.3.2 on the two periods for interviews with UNFPA partners in the capital).

In addition, the team needs to set time aside for an internal analytical team workshop. This workshop will be particularly useful with a view to preparing the debriefing of the UNFPA country office. This workshop will also be an opportunity to provide important inputs for the subsequent analysis and reporting phase.

Debriefing the UNFPA country office: sharing preliminary findings, exploring conclusions, testing recommendations



The debriefing meetings with managers and staff of the UNFPA country office is **an important step in the process from data collection towards analysis and reporting**.

Firstly, it provides the evaluators with the **opportunity to identify the data and information** they have collected and to **present the preliminary findings**. The discussion with UNFPA staff can help them identify possible weaknesses or gaps in the collected evidence, and they can use these insights to adjust their findings.

Secondly, evaluators can use the debriefing to **introduce and discuss possible:**

- i) **conclusions that identify patterns or other systemic aspects across findings** from the different evaluation questions as well as
- ii) **corresponding recommendations** of actions UNFPA could take to improve or change these patterns.

The exchange with CO staff helps to identify gaps in the chain of reasoning behind the conclusions, which ultimately will help to enhance their validity and credibility. The exchange with UNFPA managers and staff can also help to develop more realistic, feasible and operational recommendations.

2.4 The analysis and reporting phase: developing evaluation findings, conclusions and recommendations

The evaluators must review the information they have collected, and filter, categorize and interpret it so that it can be used to develop findings. These findings will be the building blocks for formulating evidence-based answers to the evaluation questions. The answers to the evaluation questions will, in turn, form the basis for conclusions and recommendations.

The following sections describe the main steps of the analytical and reporting process of country programme evaluations in greater detail.

2.4.1 Consolidating the evaluation matrix

The evaluation matrix (tool 1) should be seen as a “living document” which evaluators must use throughout the data collection process with a view to structuring and recording all collected information.

Throughout the field phase, each member of the evaluation team will have (gradually) completed his or her individual copy of the evaluation matrix with the data and information collected during document reviews, interviews and focus groups. To ensure that information from all team members is entered into the final, consolidated evaluation matrix, the team can take the following steps:

- Under the guidance of the team leader, each team member enters information from her/his individual summary table (and other sources) into the consolidated evaluation matrix (tool 1) for the question she/he is responsible for.
- In addition, every individual team member briefly reviews the information for the other evaluation questions, and adds any relevant data from her own files (clearly indicating – in colour or ‘track changes’ – where data has been added and by whom).
- The team leader will review and finalize all information into one final consolidated evaluation matrix.
- The team leader shall send to the evaluation manager the table for a fact checking by the country office. The CO is expected to formulate comments on factual inaccuracies and omissions only, and provide supporting documentation.
- The table as commented upon by the CO is analysed by the whole team, to serve as the basis for future data analysis.

At the end of the field phase, and with the commencement of the review and analysis of all gathered information, the evaluators have to ensure that data and information for each evaluation question are properly consolidated. The final document needs to contain all data and information that the team collected for each evaluation question.

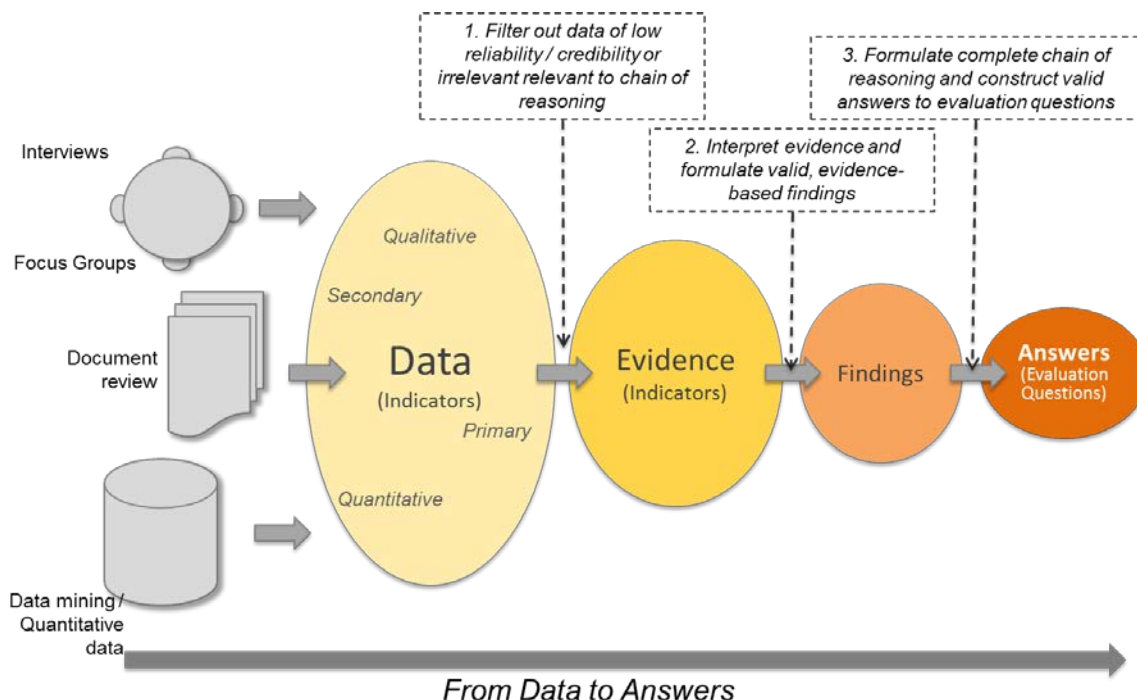
2.4.2 From data to findings: constructing the answers to evaluation questions

The consolidated evaluation matrix (tool 1), containing all information and data from interviews, focus groups, document reviews, is the starting point for the process of elaborating the answers to the evaluation questions. In short, this process consists of:

1. Evaluators need to **review all the data in the consolidated evaluation matrix** and decide what information is: (a) necessary and (b) of sufficient quality to inform each evaluation question indicators. Data that is found to be unnecessary or unreliable should be removed from the evaluation matrix.

2. The findings should logically flow from the information related to indicators.
3. Finally, evaluators need to **construct complete chains of reasoning: from evidence to findings to answers to the evaluation questions as shown in the figure below.**

Figure 15: From data collection to evidence-based answers to the evaluation questions



The quality of answers to evaluation questions is typically assessed on the basis of their *validity* -- i.e., the extent to which the answers are “well-grounded in logic, truth or fact”³³(i.e., evidence based answers).

Readers who are interested in learning more about the concept of *validity*, and its significance for evaluations can find more information in the online *Research Method Knowledge Base* (<http://www.socialresearchmethods.net>). The knowledge base provides a very good and clear *Introduction to Validity* (<http://www.socialresearchmethods.net/kb/introval.php>), explaining the concept as such, as well as different types of validity.

Each of the three analytical steps (figure 15) explained above represents unique challenges for evaluators to ensure that their answers to the evaluation questions can be accepted as ‘valid’.

The table below shows how the analytical work at each of these steps is linked to specific *threats to validity*.

Table 20: Overview of the most important ‘threats to validity’ during the analysis phase of UNFPA CPEs

³³ Adopted from WordNet at <http://wordnet.princeton.edu/>.

Analytical steps	Significance for validity of evaluation questions	Threats to validity
Filter out data of low reliability or irrelevant to chain of reasoning	Identifies the evidence to inform each indicator.	<ul style="list-style-type: none"> Collected information has low / no logical connection to indicator(s); and therefore cannot inform the indicators. Data is of low quality - e.g., contradictory or comes from only a few, potentially biased sources (e.g., from implementing partners only).
Interpret evidence and formulate evidence-based findings	Allows evaluators to formulate their <i>findings -- i.e., a reasoned assessment</i> of the UNFPA interventions.	<p><u>In addition to the above issues:</u></p> <ul style="list-style-type: none"> Evaluators do not discuss and resolve contradictions stemming from data and information. Evaluators do not have evidence to explain how UNFPA is logically connected to the observed changes (e.g., in the availability of midwives in health centres).
Formulate answers to evaluation questions based on complete chains of reasoning	Combines the findings into a coherent and comprehensive answers to the evaluation questions.	<p><u>In addition to the above issues:</u></p> <ul style="list-style-type: none"> Answers to evaluation questions may not logically flow from the findings. Evaluators omit or do not clearly refer to findings.

2.4.3 Formulating conclusions and recommendations

In addition to the evidence-based and valid answers to the evaluation questions, UNFPA country programme evaluations are *expected to draw conclusions* on the performance of the country programme. These conclusions typically cut across the individual themes or topics of the evaluation questions. Conclusions are the *basis for practical and concrete recommendations*.

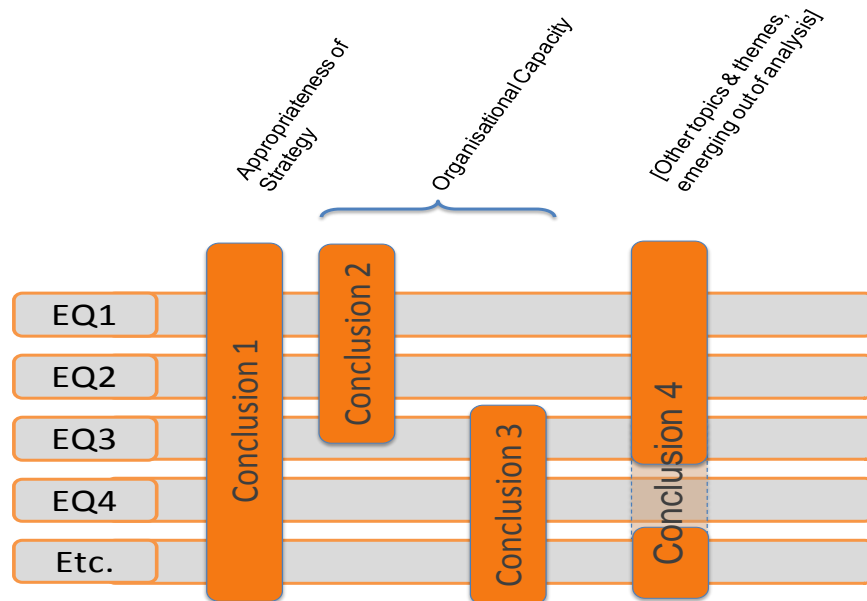
2.4.3.1 Developing conclusions

Conclusions are meant to point out the “factors of success and failure of the evaluated intervention” and do so by drawing on “data collection and analyses, woven together in a transparent chain of arguments.”³⁴

For UNFPA country programme evaluations, this means that conclusions have to logically flow from the findings (drawing on the data collected and analysed up to that point). It also means that conclusions are an opportunity for evaluators to identify ‘factors of success and failure’ which are transversal, and ‘systemic’ -- i.e., rooted in:

- (i) the planning process of UNFPA or of individual country offices;
- (ii) the status of organisational resources and the way they are used;
- (iii) organisational culture;
- (iv) implementation arrangements, etc.

³⁴ *Glossary of Key Terms in Evaluation and Results Based Management*, OECD / DAC Working Party on Aid Evaluation, 2002.

Figure 16: Conclusions on ‘systemic’ topics and themes

It is the evaluators’ responsibility to identify topics or themes for the conclusions during the course of the evaluation. The team, at the different stages of the evaluation, discusses and identifies:

- (i) common patterns in different thematic areas;
- (ii) possible common causes for weaknesses in the UNFPA programme;
- (iii) specific success or failure factors.

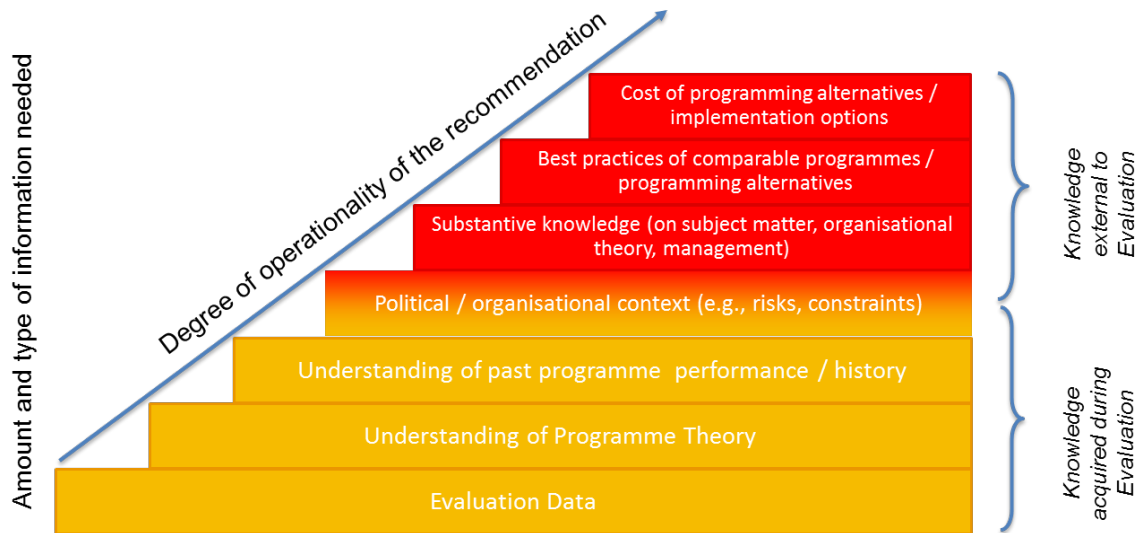
Over time, these individual issues will allow the team to identify overarching themes and topics for the conclusions – and subsequently for the recommendations (see Figure 16).

2.4.3.2 Developing actionable recommendations

The prospective users of the final evaluation report expect to receive concrete suggestions for taking UNFPA support forward in the next programming period. However, developing specific and actionable recommendations is often a challenge.

Although recommendations are meant to be based on the results of the evaluation, their formulation also requires information about UNFPA, the programmatic alternatives as well as the organisational context, all of which go beyond the knowledge evaluators have gained throughout the CPE process (see Figure 17 below). This is particularly true since recommendations are required to be specific and actionable, which in turn, requires a working knowledge of UNFPA programming and operations.

Figure 17: The degree of operability of recommendations and related information requirements



As shown in Figure 17, **global recommendations** can be based solely on the knowledge that the evaluators acquired throughout the evaluation process. The data and information they collected provide them with:

- I. a good understanding of the intervention logic of the programme;
- II. the past/ historical performance of the programme and its components;
- III. the applicable risks and constraints rooted within UNFPA, the country office, or its environment.

This information allows evaluators to recommend possible options for future support (such as the suggestion to invest more into one particular sub-sector -- e.g., maternal health, EmONC, etc.), albeit without going into the details of implementation.

More **specific, actionable recommendations** require additional knowledge about matters that are beyond the scope of a specific CPE:

- While evaluators will have learned about some aspects of the organisational and political context of the country programme, there are other elements which are unknown to them (as outsiders to the organisation and, possibly, to the programme country). It will thus be difficult for them to clearly assess the operational, political, social and economic risks and constraints for programming changes.
- Moreover, evaluators are not necessarily familiar with the latest developments in the field they are evaluating, or with specific “best practices” for the activities that need to be refined; this will limit their ability to propose specific changes.
- Finally, certain operational information, such as the costs of alternative programming options or associated human resource requirements are well outside the reach of evaluators.

Ensuring that country programme evaluations can yield concrete and actionable recommendations is an undertaking that starts before the analysis and reporting phase of CPEs. As early as the stage of selecting the evaluation team, attention must be paid to the ability of the evaluators to develop useful and operational recommendations, based on such elements as their academic background, their experience in evaluation, their knowledge of the region/country, their knowledge of UNFPA, etc.

Most importantly, the development of recommendations is a **participatory, cooperative task**. It requires an exchange of ideas between the evaluators and the managers and staff of UNFPA, who have more insights into the risks, constraints and opportunities associated with different programming options. In practice, this has the following implications for the work of the evaluators:

- Throughout the evaluation, and in particular during the field phase, evaluators should discuss practical options for programming alternatives with relevant stakeholders; first and foremost with UNFPA managers and staff, but also with the main implementing partners;
- Towards the end of the field phase, the evaluators should discuss the emerging concrete ideas for recommendations and review them for utility, feasibility and required conditions for success. Subsequently, the evaluators should also share and discuss the more developed (more concrete) draft recommendations with UNFPA managers and staff;
- Finally, the evaluators and the evaluation manager need to consider how best to utilise the feedback and comments from the reference group on the draft final report as an opportunity to refine their recommendations, and to make them more concrete and actionable. For this purpose, the evaluation manager should specifically encourage members of the reference group to consider the feasibility of the recommendations, and to make concrete suggestions for their refinement;

Once recommendations have been finalized, they should be clustered and prioritized as well as detailed in terms of time-frame and target audience. The link of recommendations to one or several conclusions should be clearly indicated.³⁵ The evaluation team should also acknowledge clearly where changes in the desired direction are already taking place in order to avoid misleading readers.

2.4.4 Delivering the final evaluation report

The final evaluation report is the main deliverable of the reporting and analysis phase and of the evaluation overall. At the core of the report is: (i) the presentation of the findings, formulated as answers to the evaluation questions, (ii) the conclusions deriving from findings and (iii) the recommendations. The supporting evidence is presented within the evaluation matrix (Tool 1 and Template 5) which must be annexed to the final report. The report also explains the purpose, objective, scope and methodology of the evaluation, and provides an overview of the country context, and the UNFPA country programme.

All final evaluation reports of UNFPA country programme evaluations follow a common outline, which is presented in the table below.

Table 21: The outline of the final evaluation report


Section	Title	Suggested length
EXECUTIVE SUMMARY		<i>3-4 pages max</i>
CHAPTER 1: Introduction		
1.1	Purpose and objectives of the Country Programme Evaluation	<i>5-7 pages max</i>
1.2	Scope of the evaluation	
1.3	Methodology and process	
CHAPTER 2: Country context		
2.1	Development challenges and national strategies	<i>5-6 pages max</i>
2.2	The role of external assistance	
CHAPTER 3: UN / UNFPA response and programme strategies		
3.1	UN and UNFPA response	<i>5-7 pages max</i>
3.2	UNFPA response through the country programme	
3.2.1	Brief description of UNFPA previous cycle strategy, goals and achievements	
3.2.2	Current UNFPA country programme	
3.2.3	The financial structure of the programme	
CHAPTER 4: Findings: answers to the evaluation questions		

³⁵ See example of recommendations in the CPE Madagascar located at: <http://www.unfpa.org/public/home/about/Evaluation/EBIER/CPE>

4.1	Answer to evaluation question 1	25-35 pages max
4.2	Answer to evaluation question 2	
4.3	Answer to evaluation question 3	
4.4	Answer to evaluation question X	
CHAPTER 5 Conclusions		
5.1	Strategic level	6 pages max
5.2	Programmatic level	
CHAPTER 6 Recommendations		
	Recommendation # 1, #2, #3	4-5 pages max
<i>(Total number of pages)</i>		50 – 70 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
- Annex 5 Methodological tools

 For more detailed information on **each of the sections and chapters in the outline of the final report of UNFPA CPEs**, and guidance on writing them, please see Section 3.2.2 of this handbook.

The Evaluation Office has developed an Evaluation Quality Assessment Grid which is used for the assessment of the quality of all final CPE reports. The grid, along with an explanatory note, is available in Part 3 Template 13. Evaluators are encouraged to use this grid as a check-list when drafting the final evaluation report. Evaluation managers must use this grid to assess the quality of the final report (at draft and final stages). The regional office M&E adviser shall also use this grid to perform his/her assessment.

Box 15: Overview of quality criteria for final evaluation reports

In summary, all final evaluation reports of UNFPA CPEs are assessed on the basis of the following criteria:

- **The clarity, logical structure and comprehensiveness of the report**, ensuring user-friendliness and ease of access to particular topics;
- **The completeness and concision of the executive summary**, which should be written as a stand-alone document, and present the main evaluation results;
- **The explanation and justification of the design and the methodological approach** used for the evaluation, including clear descriptions of techniques and tools for data collection as well as of constraints and limitations;
- **The reliability of the data**, based on the soundness of the data collection process, and the identification of types of sources used and the explanation of limitations;
- **The soundness of the analysis and credibility of findings**, including the explicit link of findings to evidence, the identification of assumptions made, consideration for contextual factors and clear investigation of robustness of cause-and-effect links between UNFPA interventions and reported results;
- **The validity of the conclusions**, i.e., the extent to which they have been derived from clearly identified findings;
- **The usefulness and clarity of the recommendations**, their logical flow from the conclusions and their feasibility;
- **The degree to which the evaluation has met the needs** identified in the ToR of the CPE.

 For the complete **Evaluation Quality Assessment Grid**, and the **associated explanatory note**, please see Part 3 Template 13.

2.4.5 Summary: Responsibilities of the evaluation manager and the evaluators during analysis and reporting

The table below summarizes the responsibilities of the evaluation team and the evaluation manager throughout the analysis and reporting phase.

Table 22: Summary of responsibilities of the evaluation manager and evaluators during analysis and reporting

Main activities	Responsibilities	
	<i>Evaluation team</i>	<i>Evaluation manager</i>
Consolidation of the evaluation matrix	<ul style="list-style-type: none"> • Compile information from all individual matrices into one consolidated evaluation matrix. 	<ul style="list-style-type: none"> • Assist evaluation team in collection of remaining information; liaise with UNFPA appropriate staff and contacts as required
Constructing answers to evaluation questions	<ul style="list-style-type: none"> • Review / filtering of data, analysis of evidence, development of evidence-based findings and answers to evaluation questions. 	<ul style="list-style-type: none"> • Respond to any substantive questions from evaluation team (e.g., on structure of UNFPA / country office; factual questions on country programme), or refer questions to specific staff in CO, or to the reference group.
Formulation of conclusions and recommendations	<ul style="list-style-type: none"> • Develop cross-cutting judgments on main factors for success or weaknesses of country programmes, on the basis of evaluation findings and answers to evaluation questions. • Develop concrete and operational recommendations (in consultation with UNFPA managers and staff). 	<ul style="list-style-type: none"> • Facilitate exchange of evaluators with relevant stakeholders (reference group, other internal and external parties) on utility, practicability, and feasibility of recommendations.
Writing final evaluation report (draft)	<ul style="list-style-type: none"> • Develop draft version of final evaluation report, in accordance with UNFPA outline, and quality criteria for CPE final reports. 	<ul style="list-style-type: none"> • Respond to substantive questions of evaluation team or refer them to reference group. • Ensure that the draft final evaluation report is provided in line with outline (table 21 and section 3.2.2) and in accordance with agreed deadline. • Check completeness of report, and basic quality (using the EQA grid), and forward to reference group for review.
Commenting and review of final evaluation report (draft)	N/A	<ul style="list-style-type: none"> • Solicit timely feedback from reference group and RO M&E adviser on draft final evaluation report. • Consolidate feedback from reference group with own feedback, and forward to evaluators • Agree on deadline for delivery of final version of evaluation report.
Writing of final evaluation report (final)	<ul style="list-style-type: none"> • Review comments from evaluation manager and reference group • Integrate relevant comments into evaluation report; produce final version of evaluation report. • Provide justification for comments from reference group and evaluation manager that were not integrated in evaluation report. 	<ul style="list-style-type: none"> • Clarify comments from reference group and other parties, where necessary • Ensure that final evaluation report (final version) is delivered according to agreed outline and deadlines. • Share report with RO M&E adviser and solicit his/her EQA. • After EQA, forward final evaluation report to reference group. • Prepare report for dissemination (see Section 2.5).

2.5 The management response, dissemination and follow-up phase: communicating the evaluation results

The dissemination of the final evaluation report and the discussion of the findings, conclusions and recommendations are important steps in the evaluation process. For stakeholders to take into account evaluation findings in future programming, they have to be informed of the key results of the CPE, and their implications for UNFPA support in the programme country. Moreover, they have to understand the rationale and the evidence base for the findings, and be able to translate the evaluation results into concrete and operational changes in the way programmes and activities are designed and implemented.

2.5.1 Options for the dissemination of evaluation findings, conclusions and recommendations

The dissemination of evaluation findings should be adapted to the specific circumstances of each evaluation. Dissemination is the responsibility of the country office and the staff member in charge of leading the dissemination process is the evaluation manager.

When developing the strategy for dissemination, the evaluation manager can choose from a range of different options:

- One common step is to hold a **stakeholder workshop** with implementing partners, donors, UNCT staff, staff from the UNFPA regional office and headquarters (where feasible), as well as other relevant stakeholders. The **stakeholder workshop** is hosted by the UNFPA country office, possibly in partnership with the partner government where appropriate. The evaluation team leader presents (PowerPoint presentation) the main findings, answers to the evaluation questions, conclusions and recommendations. The country office shall, in turn, present its response to the evaluation recommendations, and discuss the implications for UNFPA programming, taking stock of the evaluation results.
- In combination with the **stakeholder workshop**, the country office should **distribute the evaluation report (to those groups listed above) with an accompanying letter**. The UNFPA country representative can, in this cover letter, present the main results of the evaluation, discuss the response of the country office to the evaluation findings, and highlight the likely adjustment the country office will make in the upcoming new programming cycle.
- The country office may also **hold an additional (specific/separate) workshop with its implementing partners** to discuss concrete programming implications of the evaluation recommendations. Such a workshop format provides more opportunities for in-depth discussions of the operational implications of changes in programming, and can therefore facilitate and support the adoption of the recommendations in the country programme.

2.5.2 Division of labour between evaluation manager and evaluation team during the dissemination phase

As mentioned above, the main responsibility for the dissemination of the evaluation results rests with the evaluation manager. This notwithstanding, the evaluators can make important substantive contributions to help ensure the credibility of the dissemination process. The suggested division of tasks between the two parties is presented in the table below.

Table 23: Summary of responsibilities of the evaluation manager and evaluators during dissemination

Main activities	Responsibilities	
	<i>Evaluation team</i>	<i>Evaluation manager</i>
Design of dissemination strategy / approach	<ul style="list-style-type: none"> Respond to request for information from evaluation manager during design of strategy, and set-up of individual events. Prepare substantive inputs (PowerPoint) for stakeholder workshop/ workshops. 	<ul style="list-style-type: none"> Lead design of dissemination strategy and main events Discuss strategy and events with country office managers and staff Review the Powerpoint presentation to ensure it is clear and of suitable quality
Set-up of individual dissemination events		<ul style="list-style-type: none"> Logistical preparations Prepare invitation letter for participants; ensure it is sent timely by UNFPA country representative; follow-up Decide on scope of presentation of results; focus of discussions.
Hosting of dissemination events	<ul style="list-style-type: none"> Present main findings, conclusions and recommendations Respond to questions during discussions 	<ul style="list-style-type: none"> Co-host event with UNFPA country representative; lead discussions amongst participants based on knowledge of evaluation process Organize compilation of feedback from event; channel feedback to evaluators
Follow-up to dissemination of evaluation	As requested by evaluation manager	<ul style="list-style-type: none"> Organise dissemination workshop; planning session for operational planning Prepares management response and ensures it is finalized in due time Send final report to Evaluation Office for EQA After receiving the results of EO EQA communicates them to the evaluators. Initiate one-year follow-up on progress in the implementation of recommendations in coordination with RO M&E adviser (whose role is to systematically monitor and support country-level follow-up and to ensure the integration of evaluation findings in regional and country-level programming).

2.6 The importance of quality assurance throughout the evaluation process

Quality evaluation reports are a crucial element to enable UNFPA to be accountable for the support it provides to its beneficiaries, and to learn from its past actions to improve future programming. Ensuring that all elements of evaluation reports are of high quality is a process that applies to all stages of the evaluation. It begins with the development of the terms of reference for the evaluation, involves the selection of the evaluation team, and finally, spans throughout the entire evaluation process, from its design to the finalization of the evaluation report.

This chapter provides some guidance on the main quality assurance milestones throughout the implementation of a country programme evaluation. It discusses the main tools available to both evaluators and the evaluation managers to perform their quality assurance.

2.6.1 Key quality assurance milestones

Quality assurance occurs at different points throughout the implementation of a country programme evaluation. Each step to ensure quality builds on the previous steps with a view to strengthening the entire evaluation process and the ultimate end product (the final evaluation report). Omissions or gaps in the quality

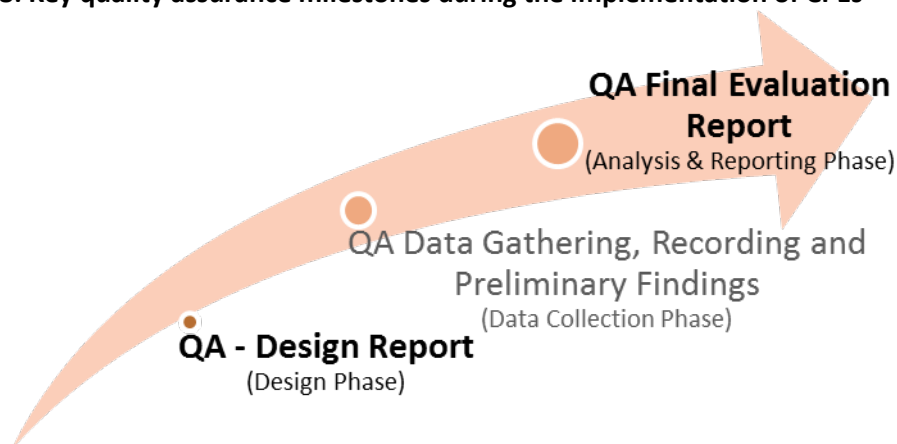
assurance process are difficult, at time impossible to correct at a later stage. Therefore, it is important to approach quality assurance of the evaluation process with a clear idea of the issues that need to be checked at each particular milestone and the criteria to be used to perform a quality check.

While quality assurance is specifically performed for each main deliverable of a country programme evaluation, it also occurs on a continuous basis, in particular during the field phase of the CPE:

- At the end of the design phase of the evaluation, **quality assurance focuses on the design report, as the main product of the design phase of CPEs**. The design report defines the scope of the evaluation (in the form of the list of evaluation questions and indicators), and lays out the specific methodology (evaluation matrix, approach and tools for data collection and analysis, etc.). Lapses in quality assurance at this stage have negative implications for the entire evaluation process and products.
- Although the field phase is not associated with a key deliverable, **quality assurance during this period of the evaluation is meant to ensure that evaluators gather data and information** from an appropriate and balanced selection of sources (both documents and interviewees), at the appropriate level of detail. **Quality assurance** also consists in checking that the **data and information are recorded** in a consistent manner by the different evaluators.
- At the end of the analysis and reporting phase, the object of the **quality assurance is the final evaluation report**. Quality depends, in particular, on the reliability of the evidence, the credibility of the evaluation findings, the validity of the conclusions, and the specificity and feasibility of the recommendations.

The **evaluation manager** is primarily responsible for quality assurance. However, the **leader of the evaluation team** has also a major role to play in ensuring the quality of the contributions of all members of the evaluation team to the main deliverables and in providing deliverables (design and final reports) which comply with the **quality assurance** criteria (ref.: EQA grid and explanatory note by UNFPA Evaluation Office – see template 13)

Figure 18: Key quality assurance milestones during the implementation of CPEs



The following sections provide more detail on quality assurance at these three points during the evaluation process.

2.6.1.1 Ensuring the quality of the evaluation design and methodology


The design report is meant to capture the evaluators’ interpretation of the terms of reference for the CPE, and is supposed to allow the evaluation team to translate the requirements of the ToR into a practical and feasible evaluation approach and work plan.

The evaluation manager must check whether the design report responds to the following three main requirements in a satisfactory manner:

- 1) **Have the evaluators correctly understood why UNFPA is doing this evaluation?**
Have they correctly interpreted the purpose and objectives of the evaluation?
- 2) **Have the evaluators correctly understood what is being evaluated?**
Does the report show that the evaluators have reviewed the entire country programme, and its components?
Have they analysed the intervention logic of the programme, including the presumed needs, and the intended response of UNFPA?
Have they reviewed what elements of the country context are important to consider in the evaluation?
Do the evaluation questions and related indicators adequately take into account the relevant aspects of the programme?
- 3) **Have the evaluators convincingly illustrated how they intend to carry out the evaluation?**
Does the design report present a convincing evaluation methodology and approach?
Have the evaluators proposed appropriate tools and information sources to collect the required information with a view to answering the evaluation questions?
Does the report identify the expected risks and constraints, and does it offer viable options to minimize their effects on the feasibility and quality of the evaluation?

To answer these questions, and, if necessary, make appropriate suggestions for improvement of the design report, the evaluation manager must consider the different chapters and elements of the design report that speak to each of the three broad assessment questions.

Section 3.2.1 provides the annotated outline for a CPE design report and explains in detail the purpose and expectations for each chapter. The evaluation team leader as well as the evaluation manager should compare the design report to this template throughout the quality assurance process.

 The annotated outline of design reports for country programme evaluations can be found in **Error! Reference source not found.** The template can be used by the evaluation team leader as a guide for drafting the design report, and by the evaluation manager to guide his/her assessment of design report during the quality assurance process.

The table below summarizes the main quality assurance questions to be answered at the end of the design phase, and relates them to the relevant sections of the design report. For each chapter, the table also proposes a few key issues to be assessed during the quality assurance process of the design phase.

Table 24: Summary of main quality assurance questions, associated design report elements and specific issues to check

Main quality assurance questions	Associated elements of the design report	Specific issues to check
Have evaluators	Chapter 1: Purpose	<ul style="list-style-type: none"> • Does the report correctly describe the intended purpose and objectives of the

understood <i>why</i> UNFPA is doing this evaluation?	and objectives of CPE; scope of the evaluation	evaluation? <ul style="list-style-type: none"> Does the scope selected for the evaluation correspond to the information needs as expressed in the terms of reference?
Does the design report correctly present <i>what</i> is being evaluated?	<u>Chapter 2:</u> Country context	<ul style="list-style-type: none"> Does the chapter offer a description of the country context which is focused on elements that are relevant for the UNFPA country programme? Are components of the country programme logically related with the country context?
	<u>Chapter 3:</u> UNFPA strategic response and programme <ul style="list-style-type: none"> Description of programme and intervention logic Effects diagram (not compulsory) 	<ul style="list-style-type: none"> Does the report describe the country programme comprehensively, without omitting important components? Do the evaluators propose an analysis of the country programme that goes beyond a description of its components -- e.g., does the report identify linkages between components? Does it identify gaps or weak areas in the intervention logic? Does the report take into account the cross-cutting issues covered by the country programme?
	<u>Chapter 4:</u> Evaluation questions; Indicators	<ul style="list-style-type: none"> Do the evaluation questions cover the main topics, themes and issues covered by the country programme (and identified in Chapter 3, see above)? Do the indicators contribute to focussing the standard evaluation questions while addressing the priorities / main topics, themes and issues covered by the country programme?
Does the report illustrate <i>how</i> CPE will be carried out?	<u>Chapter 4:</u> Evaluation questions, indicators	<ul style="list-style-type: none"> Will the collected data allow the evaluators to develop a valid (credible) answer to the evaluation question(s)?
	<u>Chapter 4:</u> Methods for data collection and analysis <ul style="list-style-type: none"> Evaluation matrix 	<ul style="list-style-type: none"> Does the report suggest appropriate tools for data collection and analysis that will allow evaluators to collect information / data for all the indicators identified in the report?
	<u>Chapter 4:</u> Evaluability assessment, limitations and risks	<ul style="list-style-type: none"> Has the report identified the most serious risks and constraints facing the evaluation? Have the evaluators proposed adequate responses to these risks?

2.6.1.2 Quality assurance during the field phase

Quality assurance during the field phase is an on-going process. Responsibility for quality assurance is exercised by both the team leader and the evaluation manager.

Throughout the field phase, the **team leader** needs to ensure that all members of his / her team correctly understand which types of information must be collected, and how this information should be recorded and archived. Specific tasks in this regard include:

- **Ensuring that all members of the evaluation team use the evaluation matrix for the formulation of appropriate interview guides and other data collection tools.** In some instances, the team leader may prepare all or most of the data collection tools herself/himself. Yet this might prove to be too labour intensive and impossible within the days allocated to the team leader within the CPE budget and work plan. In this case, the team leader shall provide guidance to individual team members for the development of the tools, and s/he will closely check and review them before they are being used.
- **Reviewing the selection of interviewees and other (documentary) sources of information with the team.** Bias in the selection of information sources can significantly affect both the quality and credibility of the evaluation. Therefore the team leader must ensure that the selection of interviewees and other sources of data/information have been performed in a balanced manner with a view to taking into account differing viewpoints and interests.

- **Ensuring that interview protocols and entries into the evaluation matrix reflect the required level of detail for the subsequent data analysis.** Different experts typically have different ways to document and record their findings. In order to support a joint analysis of all the data collected by the different members of the team, the information must be recorded in a uniform and consistent way by all evaluators. To this effect, it is the responsibility of the team leader to set up common rules for the recording of data. S/he must also review the notes of his / her teammates at different points in time to ensure that the notes provide a sufficient level of detail/precision necessary for writing a high quality report.

The **evaluation manager** plays a lesser role during the field phase compared to the evaluation team leader, yet his responsibilities in quality assurance remain significant. In particular:

- **Reviewing and checking the evaluators' selection of interviewees and other data sources.** The evaluation manager is responsible for supporting the evaluators in arranging interviews and accessing other data sources. The quality assurance role is part of this larger responsibility. The evaluation manager is expected to use his / her knowledge of the context as well as of the stakeholders of the country programme to ensure that all main interest groups and stakeholders are taken into account during data collection.
- **Assessing the validity of hypotheses (preliminary findings) presented at the end of the field phase.** The evaluation manager is tasked with assessing the validity of the preliminary findings and answers to the evaluation questions as presented by the evaluators during the debriefing session at the end of the field phase. S/he should point out weaknesses in the reasoning of the evaluators and point out those findings, conclusions or preliminary recommendations which do not appear to be sufficiently backed by evidence.

2.6.1.3 Quality assurance during reporting and analysis

The quality of the final evaluation report is assessed on the basis of the Evaluation Quality Assessment Grid of UNFPA Evaluation Office. The leader of the evaluation team is required to use this grid to assess the quality of all contributions to the final evaluation report during the analysis and reporting phase as well as to assess the quality of the draft final report prior to submitting it to the evaluation manager.

The quality assurance process then continues along the following steps:

- a) The evaluation manager performs an EQA of the draft final report and also sends the draft final report to the regional office (RO) M&E advisor for his/her quality assessment (using the Evaluation Office grid);
- b) Based on the results of the EQA performed by the RO M&E advisor and the comments from the evaluation manager and those of the evaluation reference group, the evaluators produce the final evaluation report;
- c) In collaboration with the RO M&E adviser, the evaluation manager performs the quality assessment (using the Evaluation Office grid) of the final evaluation report. He/she sends the final evaluation report together with his/her EQA to the Evaluation Office.
- d) The Evaluation Office performs a quality assessment of the final evaluation report, using the same EQA grid. The Evaluation Office EQA is published in the UNFPA evaluation database, along with the final evaluation report.



The **Evaluation Quality Assessment Grid** for the final evaluation report and an accompanying **Explanatory Note** can be found in Part 3 Template 13.

2.6.1.4 Division of labour for quality assurance

Table 25 summarizes the responsibilities of the team leader (evaluation team) and the evaluation manager for quality assurance at the different stages of the evaluation process.

Table 25: Summary of responsibilities of the team leader (evaluation team) and the evaluation manager

Main quality assurance milestones	Responsibilities	
	<i>Evaluation team leader</i>	<i>Evaluation manager</i>
Design report	<ul style="list-style-type: none"> • Check contributions from team members for adherence to quality criteria and Design Report Template 	<ul style="list-style-type: none"> • Comprehensive quality assurance of the draft Design Report, all chapters (see above)
Data collection	<ul style="list-style-type: none"> • Ensure that the team uses the evaluation matrix to produce appropriate interview guides and other data collection tools • Ensure balanced selection of interviewees and other information sources • Ensure that interview protocols are adequate; and that other records reflect the required level of detail. 	<ul style="list-style-type: none"> • Review and check selection of interviewees and information sources • Provide preliminary feedback on validity of hypotheses / preliminary answers to evaluation questions
Final evaluation report	<ul style="list-style-type: none"> • Ensure adequate quality of contributions from all team members • Draft evaluation report in accordance with Evaluation Quality Assessment Grid 	<ul style="list-style-type: none"> • Review quality of draft evaluation report against the Evaluation Quality Assessment Grid and Explanatory Note • Communicate report to RO M&E adviser for EQA. • Finalize EQA of final report • Transmit final report and EQA to the EO

PART 3

TOOLS and RESOURCES

TOOLKIT

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

PART 3 – TOOLS AND 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 three **categories of tools**:

- 1) Tools for **structuring information**³⁶
- 2) Tools for **data collection**

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 on the use of 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 26: 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	The Stakeholders' mapping table	Obligatory	Optional
Tool 5	Evaluation questions selection matrix	Optional	
Tool 6	The CPE agenda	Obligatory	Obligatory
Tools for data collection			
Tool 7	Field phase preparatory tasks checklist	Optional	
Tool 8	Checklist for the documents to be provided by the evaluation manager to the evaluation team	Obligatory	
Tool 9	Checklist of issues to be considered when drafting the agenda for interviews	Optional	Optional
Tool 10	Guiding principles to develop interview guides	Optional	Optional
Tool 11	Checklist for sequencing interviews		Optional
Tool 12	How to conduct interviews: Interview logbook and practical tips	Optional	Optional
Tool 13	How to conduct focus groups: practical tips	Optional	Optional

³⁶ 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.

3.1.1 Tools for structuring information

Tool 1 – The evaluation matrix

Obligatory

Obligatory

What is the evaluation matrix?

The evaluation matrix summarises the core aspects of the evaluation exercise: it specifies **what** will be evaluated and **how**.

When to use it and why?

At the *design phase*, the matrix delineates further 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 assumptions to be assessed under each question; the indicators, the “sources of information” (where to look for information) that will be used to answer the questions; and the methods and tools for data collection 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.

During the *field phase*, 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.

Nota bene: The evaluation matrix drawn up in the design phase and included in the design report may 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 has five columns: evaluation questions; assumptions to be assessed; indicators; sources of information and methods and tools for data collection. These are explained below.

Evaluation questions
Include the final evaluation questions.
Assumptions to be assessed
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.
Indicators
Includes those indicators to be used to inform the elements listed in the ‘assumptions to be assessed’ column.
Sources of information
This column specifies the documents and informants that will provide the data and information which 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.

Methods and tools for data collection

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.

Data and information gathered during the field phase

Evaluators must fill this section with all relevant data and information gathered during the field phase in relation with the elements listed with the 'assumptions to be assessed' column and their corresponding indicators. The information placed here can stem from: documentary review, interviews, focus group discussions, etc. Since the filled matrix will become the main annex of the final evaluation report, the evaluation team leader and evaluation manager must ensure that all the information displayed:

- ✓ is directly related to the indicators listed above;
- ✓ is drafted in a readable and understandable manner;
- ✓ makes visible the triangulation of data;
- ✓ the information source (s) are referenced in footnotes.

The standard evaluation matrix can be found in Template 5. The following page presents an example of how to fill in the matrix. The purpose is to show the internal logic of the matrix (between columns; and between columns and rows). Note that in reality, an evaluation matrix is much larger³⁷ with more assumptions to be assessed, more data sources and more data collection methods for the selected evaluation questions.

³⁷ See example of evaluation matrix for Madagascar CPE at: <http://www.unfpa.org/public/home/about/Evaluation/EBIER/CPE>

EQ1 : To what extent was the UNFPA 3rd country programme in Country X able to: (i) address the needs of the population; (ii) align with the priorities set by relevant national policy frameworks as well as the UNFPA strategic plan and (iii) respond to changes occurred in the national development context during its period of implementation?			
Assumptions to be assessed	Indicators	Sources of information	Methods and tools for data collection
The needs of the population, in particular those of vulnerable groups, were well taken into account during the programming process	<ul style="list-style-type: none"> - Evidence of an exhaustive and accurate identification of the needs prior to the programming of the RHR, P&D and Gender components of the CPAP and AWP - The choice of target groups for UNFPA supported interventions in the three components of the programme is consistent with identified needs as well as national priorities in the CPAP and AWP - Extent to which the interventions planned in the AWP (in the three components of the programme) were targeted at most vulnerable, disadvantaged, marginalised and excluded population groups in a prioritized manner. 	<ul style="list-style-type: none"> - CPAP - AWP - National policy/strategy documents - Needs assessment studies 	<ul style="list-style-type: none"> - Documentary analysis - Interviews with UNFPA CO staff - Interviews with implementing partners - Interviews/Focus groups with final beneficiaries
➤ Please see example below.			
The objectives and strategies of the three components of the programme are consistent with the priorities put forward in the UNDAF, in relevant national strategies and policies and in the UNFPA strategic plan	<ul style="list-style-type: none"> - The objectives and strategies of the CPAP and the AWP in the three components of the programme are in line with the goals and priorities set in the UNDAF - ICPD goals are reflected in the P&D component of the programme - The CPAP (in its three components) aims at the development of national capacities - Extent to which South-South cooperation has 	<ul style="list-style-type: none"> - CPAP - UNDAF - AWP - National policies and strategies - UNFPA strategic plan 	<ul style="list-style-type: none"> - Documentary analysis - Interviews with UNFPA CO staff

	<p>been mainstreamed in the country programme</p> <ul style="list-style-type: none"> - Extent to which gender equality and women's empowerment have been mainstreamed in the country programme - Extent to which specific attention has been paid to the youth in the three components of the programme - Extent to which objectives and strategies of each component of the programme are consistent with relevant national and sectorial policies - Extent to which the objectives and strategies of the CPAP (both initial and revised) have been discussed and agreed upon with the national partners 		
<p>The country office has been able to adequately respond to changes occurred in the national context (and, in particular, to the consequences of the Syrian crisis)</p>	<ul style="list-style-type: none"> - Quickness of the CO response - CO capacity to reorient/adjust the objectives of the CPAP and the AWP - Extent to which the response was adapted to emerging needs, demands and national priorities - Extent to which the reallocation of funds towards new activities (in particular humanitarian ones) is justified - Extent to which the CO has managed to ensure continuity in the pursuit of the initial objectives of the CPAP while responding to emerging needs and demands 	<ul style="list-style-type: none"> - CPAP - AWP - Country office staff - UNCT - Final beneficiaries 	<ul style="list-style-type: none"> - Documentary analysis - Interviews with UNFPA CO staff - Interviews with other UN agencies - Interviews/focus groups with final beneficiaries

EQ2 : To what extent did UNFPA supported interventions contribute (or are likely to contribute) to sustainably increase the access to and utilization of high-quality reproductive health services, particularly in underserved areas, with a focus on young people and vulnerable groups ?			
Assumptions to be assessed	Indicators	Sources of information	Methods and tools for data collection
Comprehensive, gender-sensitive, high-quality reproductive health services are in place and accessible in underserved areas with a focus on young people and vulnerable groups	<ul style="list-style-type: none"> - Essential reproductive health services package (including Emergency obstetric and neonatal care, and post unsafe abortion care) is integrated into the normative tools and referral systems of the reproductive health strategy and programme and the annual work plans of the Ministry of Public Health - Gender sensitive outreach services training are developed and Institutionalised - Services providers capacity is developed in conducting gender sensitive outreach services 	<ul style="list-style-type: none"> - National budget information - Reproductive health strategy - RH normative tools - Guidelines, strategies - Training modules - Monitoring report - Field visit - Monitoring report - Field visit 	<ul style="list-style-type: none"> - Meeting with MOPH, WHO - Document review - Meeting with Lebanese Society for Obstetrics and Gynaecologists - Interviews with health professionals - FGD with service users
<p>In Country X, the support of UNFPA to the Reproductive Health and Rights (RHR) programme started in 1995 and lasted until 2009. In the 2nd country programme (2002-2009), UNFPA contributed to ‘increasing coverage of reproductive health services, reaching around 170 primary health care centers (PHCs) all over the country and especially in underserved regions. Furthermore, through the provision of contraceptives, support in improving facilities and provision of training, the project contributed to the creation of a nationwide network of PHCs’.³⁸ The country programme evaluation also highlighted that ‘UNFPA has been successful in advocating and promoting new concepts – especially in regard to integrating RH in the Primary Health Care system and to be an integral part of the work and structure of the Ministry where a PHC unit has been established and staffed.’³⁹</p>			
Reproductive health commodity security system is operational	<ul style="list-style-type: none"> - Reproductive health commodity security system is developed and endorsed - A reproductive health commodity security system is operational Increased availability of 	<ul style="list-style-type: none"> - RHCS strategy - Monitoring reports - Field visit 	<ul style="list-style-type: none"> - Document review - Meeting with MOPH, WHO - Health professional interview - Meeting with Logistics

³⁸ Consultation and Research Institute, Evaluation of UNFPA’s Country Programme of Assistance 2002-2009 – Country X - Final Report, April 2010

³⁹ CPAP, p. 12

	RH commodities in target delivery points		department - FGD with services users
High-quality reproductive health services available to address related needs in humanitarian settings	<ul style="list-style-type: none"> - Strengthened institutional capacity to address related reproductive health needs in humanitarian settings - Reproductive health emergency preparedness and response plan has been developed in consultation with concerned national partners - The capacity of health service providers to ensure the delivery of RH services in emergency situation is strengthened - Enhanced reproductive health services are available in areas affected by the humanitarian crisis - Young refugees (boys and girls) benefit from reproductive health information 	<ul style="list-style-type: none"> - RH strategy in humanitarian settings - Monitoring reports - Field visit (if possible) 	<ul style="list-style-type: none"> - Document review - Meeting with MOPH, WHO, UNICEF - Health professional interview - FGD with service users
Improved knowledge, information and services for young people, with a focus on societal and community mobilization and evidence-based advocacy and policy dialogue	<ul style="list-style-type: none"> - Criteria and protocols for providing, and referring youth to, youth-friendly health services are developed (boys and girls) - At least 15 youth-friendly health facilities offer a comprehensive package of reproductive health services in target areas for boys and girls 	<ul style="list-style-type: none"> - Strategy and protocols - Monitoring reports - Developed curriculum - Field visits - Consultation meeting minutes - Operational study by University of Saint Joseph 	<ul style="list-style-type: none"> - Document review - Meeting with MOPH, UNICEF WHO, IP - Health professional interview - FGD with young people - FGD with Peer educators - Teachers interview

	<ul style="list-style-type: none"> - Life skills RH curriculum are developed - Tools for RH extracurricular education approved and disseminated - Policy briefs are used for policy dialogue and advocacy - Youth networks and non-governmental organizations supporting the development and implementation of a multisectorial sexual and reproductive health and rights strategy for youth 	<ul style="list-style-type: none"> - Policy briefs 	<ul style="list-style-type: none"> - Meeting with IP - Meeting with School Health Educators -
<p>UNFPA Reproductive health related interventions have contributed or are likely to contribute to sustainable effects</p>	<ul style="list-style-type: none"> - Strategies to hand over UNFPA initiated interventions to partners have been developed during planning process. - Partners capacities have been developed with a view to increase their ownership of the UNFPA initiated interventions (integrated health services, commodity security, outreach services, youth friendly services, life skills curriculum and tools) - High quality service culture has been developed among the health professionals who benefited from capacity development interventions. - Life skills education and peer education interventions are sufficiently followed up so that quality education is delivered. 	<ul style="list-style-type: none"> - Project strategy document - Field visits - Partners work plans 	<ul style="list-style-type: none"> - Document review - Meeting with IP and partners - Meeting with health professionals - Meeting with teachers

EQ3: To what extent did UNFPA supported interventions in the field of population and development contribute in a sustainable manner to a strengthened framework for the planning and implementation of national development policies and strategies?			
Assumptions to be assessed	Indicators	Sources of information	Methods and tools for data collection
UNFPA contributed to develop a functional integrated information system for formulation, monitoring and evaluation of national and sectorial policies	<ul style="list-style-type: none"> - Disaggregated data produced, analysed and utilised at national and sectorial levels; - Number professionals and units trained to apply integration methods and tools; - In-depth, policy-oriented studies released - Functionality of information systems set in place; - Large-scale population surveys conducted and disseminated; - Database for monitoring established. 	<ul style="list-style-type: none"> - UNFPA P&D section AWP and SPRs - P&D project reports - MOSA staff and publications - MPH staff - Heads of a sample of SDCs - NCEA (TS) minutes of meeting - UN Statistics Task Force TOR and MoM - CB training participants 	<ul style="list-style-type: none"> - Annual reports from MOSA, NCEA TS, need assessment, evaluation and monitoring reports - Planning and programming documents (MOSA, SDCs) issued during the reference period - Inputs to and deliverables of the information systems - Interviews with MOSA, NCEA TS and municipalities' staff to review the implementation modalities of P&D component and achievements
UNFPA contributed to the integration of population dynamics, reproductive health and gender-equality into development planning at national, sectorial and local levels	<ul style="list-style-type: none"> - Mechanisms for policy analysis and dissemination of policy briefs - Number of national and sectorial plans incorporating population, reproductive health and gender issues 	<ul style="list-style-type: none"> - UNFPA P&D section AWP and SPRs - P&D project reports - MOSA staff and publications - MPH staff - Heads of a sample of SDCs 	<ul style="list-style-type: none"> - Annual reports from MOSA, NCEA TS, need assessment, evaluation and monitoring reports - Planning and programming

	<ul style="list-style-type: none"> - Existence of innovative guidelines for local planning to address priority population issues 	<ul style="list-style-type: none"> - NCEA (TS) minutes of meeting - UN Statistics Task Force TOR and MoM - CB training participants 	<ul style="list-style-type: none"> - documents (MOSA, SDCs) issued during the reference period - Inputs to and deliverables of the information systems - Interviews with MOSA, NCEA TS and municipalities' staff to review the implementation modalities of P&D component and achievements
<p>Perennial mechanisms for the integration of population data in national and sectorial development planning are in place</p>	<ul style="list-style-type: none"> - Level of budgetary resources allocations for integrating population dynamics, reproductive health and gender in development planning - Level of operationalization of policy frameworks, standards, guidelines and administrative procedures for integrating population dynamics, reproductive health and gender in development planning 	<ul style="list-style-type: none"> - UNFPA P&D section AWP and SPRs - P&D project reports - MOSA staff and publications - MPH staff - Heads of a sample of SDCs - NCEA (TS) minutes of meeting - UN Statistics Task Force TOR and MoM - CB training participants 	<ul style="list-style-type: none"> - Annual reports from MOSA, NCEA TS, need assessment, evaluation and monitoring reports - Planning and programming documents (MOSA, SDCs) issued during the reference period - Inputs to and deliverables of the information systems - Interviews with MOSA, NCEA TS and municipalities' staff to review the implementation modalities of P&D component and achievements
<p>EQ4 : To what extent did UNFPA supported activities contribute, in a sustainable manner, to : (i) the integration of gender equality and the human rights of women and adolescent girls in national laws, policies, strategies and plans ; (ii) the improvement of the prevention and protection from, and response to, gender-based violence at the</p>			

national level ?			
Assumptions to be assessed	Indicators	Sources of information	Methods and tools for data collection
Technical capacity of national institutions and NGOs related to women empowerment and gender equality is increased	<ul style="list-style-type: none"> - Women committees functioning - Gender focal points in national institutions and NGOs in related sectors trained on GBV - NCLW members trained in life skills - Frequency of and attendance level at the meetings of the NCLW - NCLW members trained on Gender audit and analysis - Number of coaching meetings by UNFPA CO for NCLW members 	<ul style="list-style-type: none"> - UNFPA Assistant Representative - UNFPA gender focal point/Team - Parliamentary Committee - MOSA - MEHE - The National Commission for Lebanese Women Committee - Relevant NGOs - Gender focal points in Concerned Ministries and Municipalities - Youth organizations - Y-Peer network 	<ul style="list-style-type: none"> - Analysis of documents - Group meetings with NCLW, NGOs concerned Municipalities (women Units) - Interviews with UNFPA gender focal points
Policies, strategies and laws that are gender sensitive and responsive are institutionalised	<ul style="list-style-type: none"> - The national women's strategy is validated, endorsed and operational - Action plan of the national strategy of the women in Country X validated and to be operationalized - Number of new laws to be adopted/being discussed at concerned parliamentary committees - Socio-cultural dimensions and legal issues to address gender inequalities and the rights of women and girls are being taken into consideration in the drafting of new legislation and policies - Type and numbers of advocacy activities supporting GBV conducted by different concerned parties 	<ul style="list-style-type: none"> - NLWC - NGOs activists - Lebanese Family Planning association - Focal points of Ministry of Social Affairs, Ministry of Education - Group meetings with Y-Peers - UNFPA gender focal team - Parliamentary Committee - Recent laws 	<ul style="list-style-type: none"> - Analysis of Documents - Analysis of recent legislation - Review of recent ministry policies - Interviews with concerned Ministry focal points - Group meeting with UNFPA related projects managers and project teams

<p>Increased awareness to GBV and improved legal frameworks and institutional capacity to prevent and protect women affected by GBV, in particular in emergency situations</p>	<ul style="list-style-type: none"> - Capacities of the national institutions and NGOs in GBV prevention are developed - Number of beneficiaries(support groups, social health providers) trained on GBV. - Tools and guidelines for rehabilitation and reintegration interventions of GBV survivors developed, tested and disseminated - Advocacy and policy dialogue on GBV with key stakeholders promoted by NCLW and related - Public campaigns on GBV implemented and assessed - Capacities of NGOs for programming GBV in relevant plans and programmes developed - Appropriateness of information material used to messages conveyed through different communication channels 	<ul style="list-style-type: none"> - Support groups(men and women) - GBV NGOs activists (men and women) - Joint Programme (UN agencies) - Parliament Legislative Committee - UNFPA field Advocates - UNFPA Advocate, Campaign creative designers, artists and planners - Inhabitants of the Palestinian Camps benefiting from the programme - Activists in the Camps - GBV survivors - Related Key stakeholders participated in advocacy and policy dialogue 	<ul style="list-style-type: none"> - Analysis of related Document - Focus Group Discussion with trained men and women of support groups - Meeting with NGO activists - Review of developed materials (tools and guidelines) - Field visit to RH clinic and HIV units and meeting with service providers(men and women) - Field visit to Syrian refugee settlements and meeting with targeted women and men benefiting from the programme - Meeting with community members men and women in North Country X - Group discussion with GBV support group - Focus group with GBV survivors - Field visit to Lebanese army programme related RH centres - Field visit to Youth Friendly Services Units and meeting beneficiaries
<p>The results of UNFPA supported initiative in the field of gender equality and empowerment of</p>	<ul style="list-style-type: none"> - Evidence of the existence of an exit strategy in the strategies relating to the gender component of the UNFPA country programme 	<ul style="list-style-type: none"> - Parliamentary Committee - National Commission for the Elderly - Y- Peers 	<ul style="list-style-type: none"> - Review financial sustainability (various sources, fund raising etc..)

<p>women are likely to last beyond termination of the 3rd country program</p>	<ul style="list-style-type: none"> - Evidence of a hand-over process from UNFPA to the related to the executing parties regarding the related projects. - Extent of ownership of each project by various collaborating groups/bodies (National implementing partners (NGOs, and government bodies)) - Evidence of maintenance of equipment (counselling rooms, rape kit, dignity kit) - Allocation of funds from the national to reproduce the ended project material to use. for reproduction of related material - Level of commitment of the Government (budget allocation) to the beneficiaries of the program willing to continue the carrying out of activities beyond the end of UNFPA support 	<ul style="list-style-type: none"> - Support groups - YFS service providers - Women’s units in Municipal Councils - NCLW 	<ul style="list-style-type: none"> - Degree of structural integration - Adoption of standards of care - maintenance of equipment - funding for reproduction of material - Volunteerism
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EQ5: To what extent has UNFPA made good use of its human, financial and technical resources in pursuing the achievement of the outcomes defined in the country programme?

Assumptions to be assessed	Indicators	Sources of information	Methods and tools for data collection
<p>Beneficiaries of UNFPA support received the resources that were planned, to the level foreseen and in a timely manner</p>	<ul style="list-style-type: none"> - The planned resources were received to the foreseen level in AWP - The resources were received in a timely manner 	<ul style="list-style-type: none"> - UNFPA (including finance/administrative departments) - Partners (implementers and direct beneficiaries) : MOSA, MEHE, 	<ul style="list-style-type: none"> - Annual reports from partner Ministries, and implementing partners, audit reports and monitoring reports - Interviews with ministry level/secretariat general-level staff to review the coordination and complementarity features of the programme’s implementation - Review of financial documents at the UNFPA (from projects’ documentation) and interviews

			<ul style="list-style-type: none"> with administrative and financial staff. - Beneficiaries of funding (including NGOs)
<p>The resources provided by UNFPA have had a leverage effect</p>	<ul style="list-style-type: none"> - Evidence that the resources provided by UNFPA triggered the provision of additional resources from the government - Evidence that the resources provided by UNFPA triggered the provision of additional resources from other partners 	<ul style="list-style-type: none"> - UNFPA (including finance/administrative departments) - Partners (implementers and direct beneficiaries) : MOSA, MEHE, 	<ul style="list-style-type: none"> - Annual reports from partner Ministries, and implementing partners, audit reports and monitoring reports - Interviews with ministry level/secretariat general-level staff to review the coordination and complementarity features of the programme's implementation - Review of financial documents at the UNFPA (from projects' documentation) and interviews with administrative and financial staff. - Beneficiaries of funding (including NGOs)
<p>Administrative and financial procedures as well as the mix of implementation modalities allow for a smooth execution of the programme</p>	<ul style="list-style-type: none"> - Appropriateness of the UNFPA administrative and financial procedures for the implementation - Appropriateness of the IP selection criteria 	<ul style="list-style-type: none"> - UNFPA (including finance/administrative departments) - Partners (implementers and direct beneficiaries) : MOSA, MEHE, 	<ul style="list-style-type: none"> - Annual reports from partner Ministries, and implementing partners, audit reports and monitoring reports - Interviews with ministry level/secretariat general-level

			<p>staff to review the coordination and complementarity features of the programme's implementation</p> <ul style="list-style-type: none"> - Review of financial documents at the UNFPA (from projects' documentation) and interviews with administrative and financial staff. - Beneficiaries of funding (including NGOs
EQ6: To what extent did the UNFPA country office contribute to the good functioning of coordination mechanisms and to an adequate division of tasks within the UN system?			
Assumptions to be assessed	Indicators	Sources of information	Methods and tools for data collection
<p>The UNFPA country office has actively contributed to UNCT working groups and joint initiatives</p>	<ul style="list-style-type: none"> - Evidence of active participation in UN working groups - Evidence of the leading role played by UNFPA in the working groups and/or joint initiatives corresponding to its mandate areas - Evidence of exchanges of information between UN agencies - Evidence of joint programming initiatives (planning) - Evidence of joint implementation of programmes 	<ul style="list-style-type: none"> - Minutes of UNCT working groups - Programming documents regarding UNCT joint initiatives - Monitoring/evaluation reports of joint programmes and projects 	<ul style="list-style-type: none"> - Documentary analysis - Interviews with UNFPA CO staff - Interview with the UNRC - Interviews with other UN agencies

3.1.1 Tools for structuring information

Tool 2 – The effects diagram

Optional

What is the effects diagram?

An effects diagram 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 and why to use it?

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

Why to use it?

- It allows clear visualisation of the strategic framework at the effects level.
- To identify issues for evaluation questions about these effects.
- To help assessing the internal coherence of the intervention.

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. ***Instead evaluators should consider the list of standard evaluation questions (see Section 1.2.2), select a set of most appropriate questions and refine/adjust them to the country programme under evaluation.***

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 relevant 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 proposed between CPAP, UNDAF, and the Strategic Plan for the programmatic areas. 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 programmatic areas. It is intended that the country programme outputs link to a selection, but not all, of the Strategic Plan outcomes. A link to the relevant MDG through UNDAF should also be included.

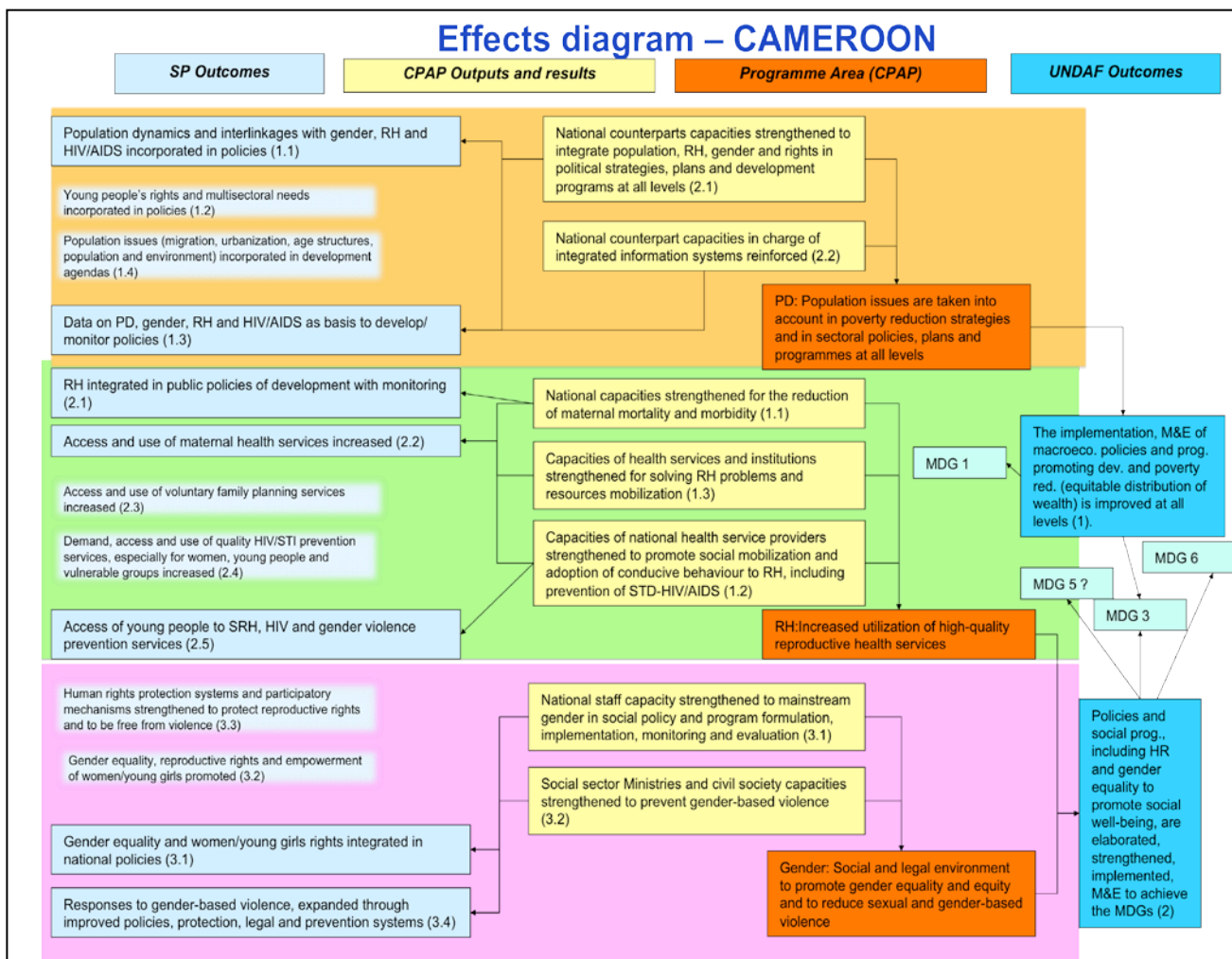
3) Corroboration with Annual Work Plans (AWPs)

It is important to verify the linkages that have been established through analysis of how the country office has linked its programming to the UNDAF and Strategic Plan respectively. This is possible through a reference to AWP (see Box 10).

4) Finalization of the effects diagram

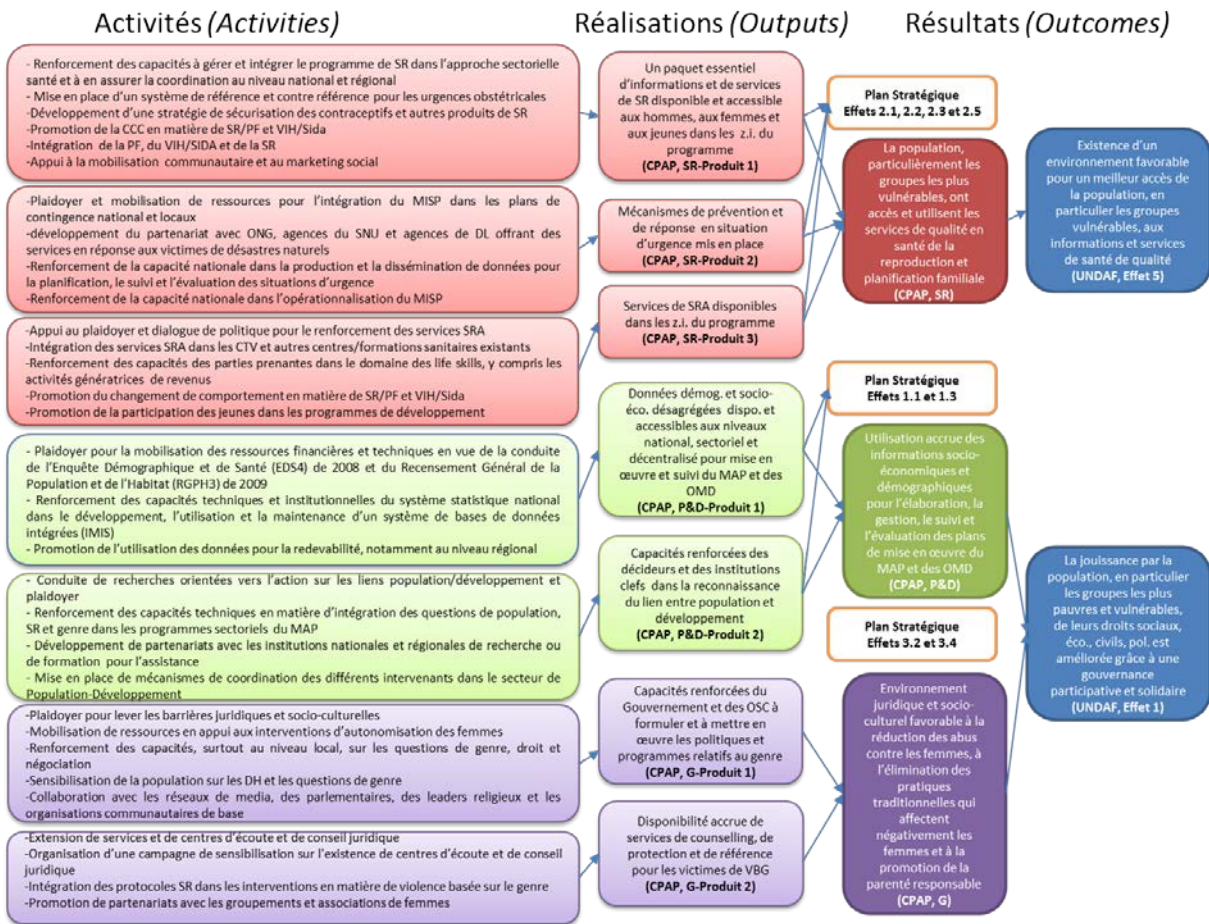
Following the corroboration of linkages through reference to AWP codes, the linkages between documents as represented by the effects diagram can be finalized. It is recommended that all UNFPA Strategic Plan outcomes remain in the diagram even if they lack linkages. By making those Strategic Plan outcomes with established linkages evident, it is possible to see which Strategic Plan outcomes the country programme does not appear to be linked with.

See examples of effects diagrams developed for the independent country programme evaluations Cameroon, Madagascar and Lebanon below:⁴⁰

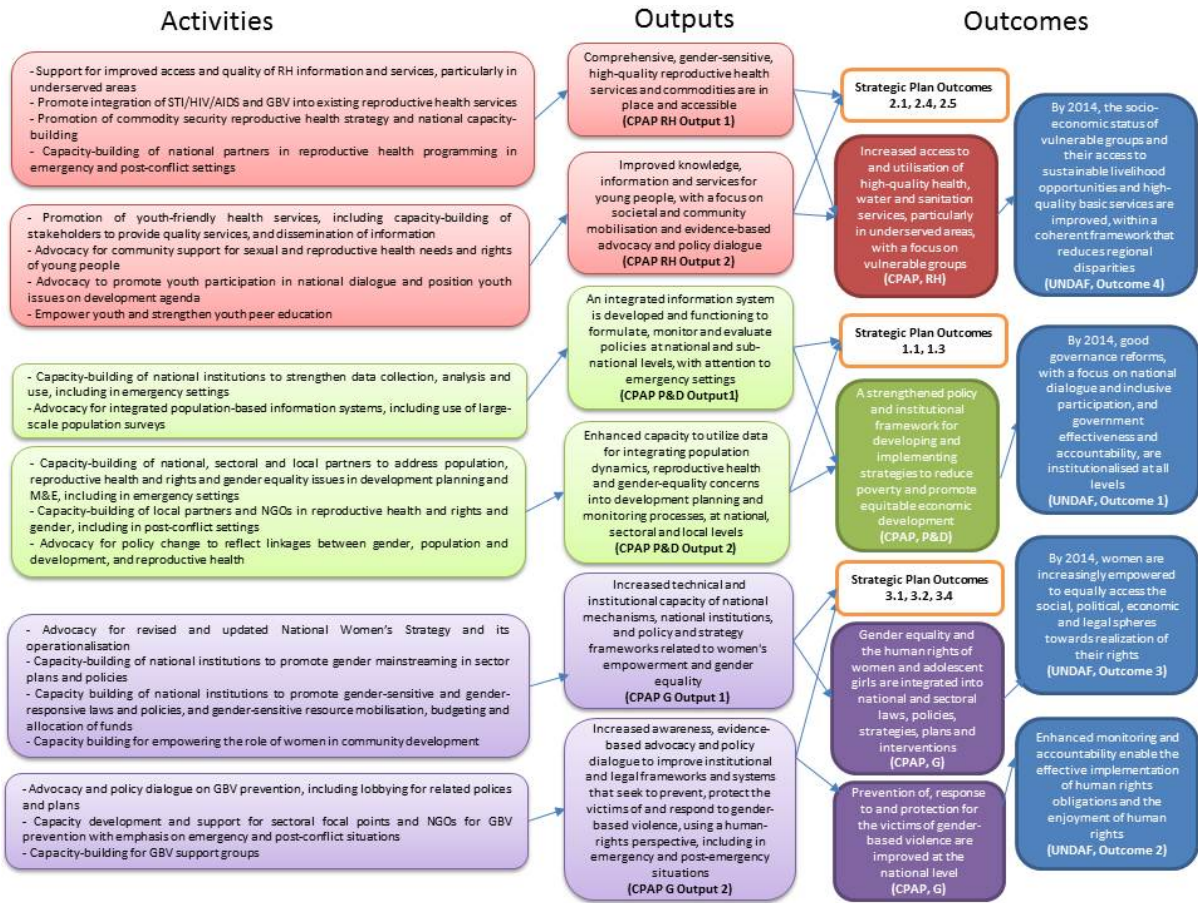


⁴⁰ These evaluation reports are available on the Evaluation Office website at: <http://www.unfpa.org/public/home/about/Evaluation/EBIER/CPE>

Effects Diagram Madagascar independent CPE



Effects Diagram Lebanon independent CPE



3.1.1 Tools for structuring information

Tool 3 – List of Atlas projects by CPAP output and Strategic Plan outcome

Obligatory

Optional

What is it?

The spread sheet 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;
- establishes a link between CPAP outputs, activities and inputs (budget and expenditure);
- provides information on implementing and executing agencies, type of funding and the origin of the funds.

The **evaluation manager** must compile the information contained in this spread sheet. This tool is obligatory in the design phase and it must be attached to the design report.

What is it used for, when and how?

This spread sheet is particularly useful since it presents data that is not immediately retrievable; this data is generally scattered throughout AWP. The spread sheet has three main uses:

1) In the study of the UNFPA programmatic response, it can be used, to **complement the review of the AWPs** 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.
- When an AWP budget amount is higher than the Atlas budget it 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 programmatic 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 spread sheet 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 other regions/ province/district. 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 how realistic the agenda is.

- *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 spread sheet may be used by evaluators to identify:
 - (i) stakeholders associated with both large and small AWP;
 - (ii) activities for which the expenditure rate is particularly low - an indication of potential problems in terms of performance;
 - (iii) 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 field 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 it has been involved in. This will, however, be applicable to executing agencies only when 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.⁴¹

List of Projects Atlas by CPAP Output and Strategic Plan outcome							
B4060 Cameroon - All Funds - All Implementing Agencies							
2010	2009	2008					
Fund Type	IA Group	Implementing Agency	Activity Description	Geographic Location	Atlas Budget	Expense	Implementation Rate
GENDER							
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 - Intégration des questions de gender							
REGULAR RESOURCES	GOVERNMENT		Développement des outils	Central level	\$ 14,704.83	\$ 14,802.17	100.66%
	UNFPA				\$ 25,668.73	\$ 25,793.07	100.48%
	GOVERNMENT		Etudes et publications	Central level	\$ 22,935.00	\$ 21,635.35	94.33%
	GOVERNMENT		Renforcement des capacités	Central, East, North, Extreme North, South West Regions	\$ 11,373.67	\$ 11,755.46	103.36%
	UNFPA				\$ 80,992.97	\$ 78,835.08	97.34%
	GOVERNMENT		Gestion PTA	Central level	\$ 106.97	\$ 141.66	132.43%
	UNFPA			UNFPA CO	\$ 23,328.93	\$ 23,162.71	99.29%
	GOVERNMENT		Ev Speciaux/Comm Journées	Yaounde	\$ 8,864.94	\$ 10,016.78	112.99%
	UNFPA			UNFPA CO	\$ 25,199.96	\$ 25,083.46	99.54%
	GOVERNMENT	Ministere de la Promotion de la Femme et de la Famille	UNKNOWN ACTIVITY ID		\$ -	\$ 208.44	
	GOVERNMENT		Développement des outils	Central level	\$ 4,880.00	\$ 4,935.32	101.13%

⁴¹ See independent CPE Cameroon, annex volume. <http://www.unfpa.org/public/home/about/Evaluation/EBIER/CPE>

3.1.1 Tools for structuring information

Tool 4 – The stakeholders mapping table

Obligatory

Optional

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 the evaluation manager must ensure that it is 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;
- as a supporting tool when filling out the “sources of information” 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 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.
- It 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).
- It facilitates the process of completing the “sources of information” column of the evaluation matrix.

How to use it?

The table is divided in sections corresponding to the programmatic areas.

- Stakeholders are clustered in four main categories: donors, implementing agencies, other partners and beneficiaries.
- For each programmatic area, stakeholders are grouped by Strategic Plan outcome / CPAP output / Atlas project.

The extract presented below shows a generic format, although there are many possible options for a particular group of stakeholders.⁴² 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.
- 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.

⁴² For a complete document see Template 3.

The white cells will feature the name of the stakeholders. The first row 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)			
(...)	(...)	(...)	(...)
...			
Programmatic Area			
Strategic Plan outcome: (descriptions as per CPAP)			
CPAP Output: (descriptions as per CPAP)			
Atlas Project (code and name)			
(...)	(...)	(...)	(...)
Atlas Project (code and name)			
(...)	(...)	(...)	(...)
...			
Programmatic Area			
Strategic Plan outcome: (descriptions as per CPAP)			
CPAP Output: (descriptions as per CPAP)			
Atlas Project (code and name)			
(...)	(...)	(...)	(...)
Atlas Project (code and name)			
(...)	(...)	(...)	(...)

Nota bene: Data on implementing **partners** and other partners is contained in Atlas and AWP. Details about donors can be retrieved from Atlas. The identification of **beneficiaries**, however, is more problematic. Beneficiaries may at times be identified from the text contained in AWP. However, not all AWP 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 in the beneficiary column and the active support of the evaluation manager to obtain this information in due time is important. The image below shows an example of a stakeholders mapping table where beneficiaries are yet to be determined.⁴³

⁴³ For examples of stakeholder maps, see annexes to the final reports of independent CPEs at: <http://www.unfpa.org/public/home/about/Evaluation/EBIER/CPE>

3.1.1 Tools for structuring information

Tool 5 – The evaluation questions selection matrix

Optional

What is it and why using it?

This tool allows evaluators to classify and rank questions according to their feasibility and the degree of usefulness of their answers. It allows for a visualisation of the usefulness/feasibility 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. This tool will prove 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 provided that they are 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 process⁴⁴ 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
Usefulness	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

⁴⁴ 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.

3.1.1 Tools for structuring information

Tool 6 – The CPE Agenda

Obligatory

Obligatory

An agenda covering the field phase should be developed for every CPE. The format below is a suggestion, which the evaluation team may adapt and adjust. 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 in time throughout the evaluation process: 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:

- At the design phase, it will be used to provide an **overview of the schedule and itinerary** of the evaluation team and **a tentative list of all stakeholders** that will be consulted. It therefore provides transparency - i.e. informs on the coverage of the CPE, what will be done and who will be met, when and where. Moreover, the agenda is also intended to inform the country office and the CPE reference group in advance on the **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.
- At the field phase, the CPE team leader and the evaluation manager will use the agenda to have an **overview of the main milestones of the data collection and analysis phase**.

About the structure of the CPE agenda

The agenda has seven columns, which correspond to the 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.
- **Institution** designates meetings with stakeholder institutions as part of the data collection work.⁴⁵

It may not be possible to fill some of the sections of the agenda at the time of its inclusion 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:

⁴⁵ 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 day/time.
Activity / Institution
<ul style="list-style-type: none"> • The name of the activity - e.g., evaluation team working sessions; the general debriefing session; presentations of the country office portfolio by programmatic area; bilateral meetings between evaluation team members and the programmatic area 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 (see Box 10). In some cases the selected stakeholder will not be associated with 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 soft-aid activities of the CO. In such cases the terms "framework / context stakeholder", and "soft-aid activities" may be used.
Selection criteria
Table 11 in section 1.3 "Stakeholder selection criteria" presents a series of ten criteria that should be applied when selecting the sample of stakeholders to be met during the field visit. ⁴⁶ 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 n° 3); involvement in pilot actions (criterion n° 6); involvement in actions related to soft-aid activities carried out by the country office (criterion n° 9).
Justification
A brief explanation of the main reason why the institution and/or the person/s has 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 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.

⁴⁶ 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. The team may add other criteria they deem appropriate.

This is an illustrative (partially fictionalised) version for the independent CPE of Bolivia⁴⁷ of a CPE agenda when attached 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)	N/A ⁴⁸	N/A	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 programmatic areas.	Country Office	N/A	N/A	Presentation of the evaluation team; preliminary discussions; approach to the plenary debriefing session.
Day 2	9:00 – 11:00 Portfolio presentation by programmatic area	Heads and technical officers of each programmatic area	Country Office	NA	N/A	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	N/A	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	N/A	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.

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 University of Sucre	Staff of the Research Department	Sucre	BOL4P22A, output 2 of P&D	Criteria 1, 2 and 4	Selected mainly as an example of a particularly well performing

⁴⁷ <http://www.unfpa.org/public/home/about/Evaluation/EBIER/CPE>

⁴⁸ Stands for non-applicable.

Date	Activity / Institution	People to meet	Location	Link with the CP	Selection criteria	Justification
						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 coordination issues.
Day N-2	Data analysis (individual work)	N/A	Country Office	N/A	N/A	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)	N/A	Country Office	N/A	N/A	Internal team meeting. Internal presentation of preliminary results by each evaluator and preparation of a joint presentation.
Day N⁴⁹	Morning: Debriefing session and plenary discussion	All CO staff and members of the Reference Group (RG) members	Country Office	N/A	N/A	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.

⁴⁹ Where “N” designated the last day of the field phase.

3.1.2 Tools for data collection

Tool 7 – Field phase preparatory tasks checklist

Optional

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

CHECKLIST - Preparatory tasks before the field phase	
ITEMS	STATUS
A. Evaluation Framework	
1. Identify main inputs activities, outputs and outcomes and their logical sequence for the programmatic 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 "Assumptions to be assessed" 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? Consult the evaluation manager.	
3. Check what missing documents you can obtain before starting interviews. Seek help from the evaluation manager.	
C. Stakeholders	
1. Conduct preliminary stakeholder mapping and analysis.	
2. Who should you see during the visit?	
3. Where are they located, will you need to travel to different areas, and how long will this take?	
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? Consult evaluation manager.	
6. Is the sample of interviewees coverage balanced? (see issue #4 in tool 9)	
7. Are any of these stakeholders useful for somebody else in my team? What are the coordination needs? Discuss with team leader.	
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 evaluation manager 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.? Consult the evaluation manager.	
<i>And after everything has been carefully planned... be ready for changes!</i>	

3.1.2 Tools for data collection

Tool 8 – Checklist for the documents to be provided by the evaluation manager 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. Strategic Plan		
1.2. Business Plan		
1.3. Office Management Plan		
1.4. Common Situation Analysis		
1.5. UNDAF (including the Action Plan)		
1.6. Current CPD and CPAP		
1.4. (a) Results and Resources Framework (b) Planning and Tracking Tools (c) CO Monitoring Plan		
1.5. Relevant national policy documents for each programmatic area		
2. Annual work plans [for the period under evaluation]		
Also: - Annual standard progress report for each AWP; - Country office annual reports (COARs) [for the period under evaluation]		
2. Atlas projects		
3.1 Table with the list of Atlas projects		
3.2 Printing version of the Atlas project three		
3. Evaluation/ Reviews reports, other reports [for the period under evaluation] ⁵⁰		
4.1. Previous country programme evaluations		
4.2. Mid-term review of the current cycle		
4.3. Evaluation reports		
4.4. NEX audit reports		
4.5. Internal audit reports		
4.6. Reports on core and non-core resources		
4. Surveys and Studies		
5.1. Baseline and end line survey reports for current CPAP		
5.2. Other studies in programmatic areas		
6. Monitoring		
5.1. Field monitoring visits reports in all programmatic areas		
7. Partners		
7.2. <u>IPs</u> : Reports assessing technical capacity of implementing partners		
7.3. <u>Donor reports</u>		
7.4. MDG country reports (if relevant)		
7.5. United Nations Country Team: - Documentation regarding joint programmes - Documentation regarding joint working groups, corresponding meeting agendas and minutes		
7.6. <u>Other donors</u> : Documentation on donor coordination mechanisms: - List of donor coordination groups in which UNFPA participates - Corresponding meeting agendas and minutes - Co-financing agreements and amendments		

⁵⁰ 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.

3.1.2 Tools for data collection

Tool 9 – Checklist of issues to be considered when drafting the agenda for interviews

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.

	Description of the issue to take into account	Check
1	<p>Who should I meet in the interview?</p> <p>To make a preliminary decision regarding the stakeholders you should 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:</p> <ol style="list-style-type: none"> 1. what evaluation questions is the stakeholder associated with in the evaluation matrix? 2. what outputs / outcomes is the stakeholder associated with? 3. is it an implementing partner, a supporting partner, a beneficiary institution/community,⁵¹ or an institution providing key context or information on strategic positioning aspects? <p>Depending on the answers to these three questions, evaluators may want to meet senior management, mid-level managers, technical staff, heads of villages, women in a particular community, regular member of a youth association, etc.</p>	√
2	<p>Where are they located, will I need to travel to different areas, how long will it take?</p> <p>This is a question that affects logistics and time allocation. The degree of centralization or decentralization of the programme, and the scope of the programme and of its beneficiaries, will have implications in terms of travel. Make sure that you have information on the real distances between places (consult the evaluation manager).</p>	√
3	<p>Can I contact directly the stakeholders or does it need to be done formally by the country office?</p> <p>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 evaluation manager. Depending on the stakeholders, there will be certain protocol to be followed. Some interviews will need to be prepared through the involvement of the country office or central or local government institutions.</p>	
4	<p>Decide on a balanced sample of interviewees within each stakeholder institution / group.</p> <p>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, be possible only 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.</p>	
5	<p>Can I answer every question for which I identified that particular stakeholder using the selected group of interviewees?</p> <p>Compare the choice of interviewees with the “sources of information” column of the evaluation matrix and check that all information needed can be addressed. Additionally, see if some questions can be answered or complemented by a documentation review. 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.</p>	
6	<p>Do I have too many interviews aimed at answering the same question?</p> <p>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.)</p>	
7	<p>Do I ensure that final beneficiaries are consulted?</p> <p>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.</p>	

⁵¹ 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.

3.1.2 Tools for data collection

Tool 10 – Guiding principles to develop interview guides

Optional

Optional

The **interview guide** is a one page to two page document 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 on the evaluation questions and on the type of stakeholders to be interviewed.⁵² 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, the 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 issue that must be covered during the interview.

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 interview objectives provides the kind of flexibility that allows for greater adaptation to different interviewees with different characteristics as well as to the nature of the information. It also allows the flexibility to adjust to the natural flow of an interview in which new information is likely to come up and will need to be followed up by the evaluator.

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” you can follow up by asking “Are you working with GTZ in the rural areas?”, a question that could not have been predetermined. Furthermore, some questions will naturally become irrelevant in the course of the interview.

In conclusion, the main themes and objectives of the interview are predetermined in the interview guide to ensure consistency and prevent the omission of any major points. Yet the decision to emphasize specific questions depends on the flow of the conversation and new information that comes up 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 give a general sense of which information objectives are more appropriate to each cluster, and constitute the basis for organizing each of the interview guides – one per cluster.

The typical clusters for most field visit are the following:

- Implementers of the programme;

⁵² 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.

- UN agencies and other main donors;
- Political decision makers;
- Direct beneficiaries of the country programme;
- 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 she/he should interview depending on the evaluation questions, programme profile, time, resources, etc. Although there are different actors with different features in each cluster, 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, but, instead the objectives of the interview so that evaluators can retain greater flexibility to adapt the guides to the specifics of each 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, information objectives should be:

- 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.

However, when you interview an implementing agency, the objective should be 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 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 evaluation question, whereas for other evaluation 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 for debriefings. The evaluator needs to draft the information objectives of her/his interview guideline taking into account these time-frames. In some occasions, multiple interviews rather than one long interview may be preferable.
- Regardless of the number of objectives, the evaluator needs to always be prepared for the interviewee to 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 a CPE.
- 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.

In those cases, it is an essential good practice to inform the interviewee of the objective of the interview and ensure that it is well understood. In terms of human connection, it is important to remember that an evaluator is after all a “stranger for the interviewees” 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. It is therefore important that evaluators reassure interviewees of the confidentiality of sources.

3.1.2 Tools for data collection

Tool 11– Checklist for sequencing interviews

Optional

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.

<p>1. Human connection</p> <ul style="list-style-type: none"> • 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.
<p>2. Inform the interviewee of the objective and context of the interview</p> <ul style="list-style-type: none"> • Clarify briefly the purpose of the evaluation. • Confirm the time available for the interview. • Stress the confidentiality of the sources or 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 interviewee to answer in a more relevant manner.
<p>3. Opening general questions: refining our understanding of the interviewee’s role</p> <ul style="list-style-type: none"> • Before addressing the objectives of the interview, 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 in the most effective way.
<p>4. Core interview: objectives of the interview guide transformed into questions</p> <ul style="list-style-type: none"> • 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. Although the evaluator should not express opinions during interviews, it may be useful to express concern on possible contradictions, etc., and invite for more explanations.
<p>5. Ending the interview</p> <ul style="list-style-type: none"> • If some aspect of the interview was unclear, confirm with interviewee before finishing. Confirm that nothing that the interviewee may consider important has been missed: “Have I missed any important point?” • Finish the interview, confirming any follow-up considerations - 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 other key persons (referred to during the meeting) that could also be interviewed. • Thank the interviewee again for the time dedicated to this interview.

3.1.2 Tools for data collection

Tool 12 – How to conduct interviews: Interview logbook and practical tips

Optional

Optional

a. Interview logbook

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, are 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 7) is a suggestion; evaluators may use the suggested format, adjust it, or produce a 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 is it?

The interview logbook is a written record of the main aspects of a semi-structured interview⁵³ - 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 adopted during the design phase. It should be mentioned in the design report as a data collection tool, and included 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 recording mechanism for all the semi-structured interviews and group discussions conducted by the team during the data collection and analysis phase. 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, review them and follow-up on them whenever required.
- Interview logbooks also make exchanges between evaluation team members easier: they facilitate information sharing; facts, data and findings verification; and allow for an exchange of information.

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. This will happen often for UNFPA programmatic 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 evaluation matrix (Tool 1 and Template 5) whenever the source 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 with a view to compiling them in the final report’s annex presenting the *List of interviews conducted or list of people met / consulted*.

⁵³ The logbook can also be used in structured interviews. The “key issues” section would then include the specific list of the questions to be asked during the interview, and the “content” section should present the notes taken by the evaluator for each question.

- 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 7, the interview logbook has two parts: interview data and interview content.

INTERVIEW DATA

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

Name(s) of the interviewee(s): name and surname of the interviewee (or interviewees).

Position: the job that the interviewee (s) hold (s) 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: (date/month/year).

Output/AWP/Atlas project: the purpose of this entry is to link the interviewee with the intervention/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.

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 programmatic area that the interview is mainly associated with an interviewee can be associated with one or more areas and with the analysis of strategic positioning, the evaluator must select 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 and key issues

Background

This part could include, for example, a succinct description of the main tasks, roles and responsibilities of the institution and its relation to the country programme⁵⁴ - 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 addressed in the interview - e.g., (1) *find out whether capacity building activities were relevant*; (2) *are trainees using the knowledge transferred by the training programme (ask for examples)?*; (3) *check staff turnover among participants in the 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, etc..*

Main conclusions

This part will be usually completed after the interview and requires that evaluators read his/her interview notes. Conclusions should be written 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/ Ms (interviewee) will send me their annual report by email by end of this week*; etc.

b. How to conduct interviews; practical tips

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 that the evaluator is not familiar with them.*

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

⁵⁴ The evaluator may have obtained this information through the portfolio presentations made by the country office at the start of the field phase and/or by reading programming and progress report documents.

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 they think 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 accumulating 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, reflect on who is the next interviewee in the agenda who can help address the gaps, 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 10 – 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, thus, providing 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.*



Tool 10 - 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. To this end, 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 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 worked well and why, 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 consists in moving beyond the general discourse on gender equality, with a view to obtaining from the interviewee information on tangible and concrete actions which may reflect a real mainstreaming of gender 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.iiv.nl/eublications/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 for an interview to key staff**

Except for cases when focus groups are more appropriate, the evaluator will often decide that it 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 for/from the third party 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
At the start of the field phase alert the evaluation manager 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 –e.g., 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 organizing 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 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. The evaluation manager should ensure that his request will be satisfied.

• **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 11 “stakeholder selection criteria”.

• **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 to explain concepts in an appropriate language). 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** *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 that 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 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., as well as 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 can 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, evaluators should always identify the most important/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 order of priority.*

- **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 as important 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, in particular stressing the confidentiality of sources 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. Also, 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 controversial issue; information related to gender mainstreaming in different components; etc.)*

3.1.2 Tools for data collection

Tool 13 - How to conduct a focus group: practical tips

Optional

Optional

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 the 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



Tool 10 - Guiding principles to develop interview guides

Tool 11 – 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-recorder, they must obtain the agreement of the participants.
Opening questions: refining our understanding of the role/function of the interviewees	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. <ul style="list-style-type: none"> • <i>Do</i>: 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 participants who do not express themselves in a concise manner. • <i>Don't</i>: agree or disagree with opinions expressed; give personal opinions; cut off answers; let some people dominate the discussion.

Stages in sequencing interviews / focus groups	Particular aspects for focus groups
Wrap up	<p>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:</p> <ul style="list-style-type: none"> ○ Ask participants to reflect on the entire discussion and then offer them the possibility to refine their positions and/or opinions; ○ 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?	

	Templates 9 – <i>Note of the results of focus group</i>
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PART 3

TOOLS and RESOURCES


DETAILED OUTLINES FOR THE REPORTS

Step-by-step guidance on how to structure the design and final evaluation 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 be structured following the chapters and sections as indicated below**. However, the **evaluation team is free to add sections** and/or sub-sections as deemed relevant given the particular context of the evaluation.

 Template 8 for a complete layout of a design report.

As shown in template 8 the design report begins with the cover page and is immediately followed by 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 in one page. The table below shows the generic layout of a table of contents, which should also include a list of **annexes**.

Section	Title	Suggested length
CHAPTER 1: Introduction		
1.1	Purpose and objectives of the Country Programme Evaluation	1-2 pages max
1.2	Scope of the evaluation	
1.3	Purpose of the design report	
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	5-7 pages max
3.2	UNFPA response through the country programme	
3.2.1	The country programme	
3.2.2	The country programme financial structure	
CHAPTER 4: Evaluation methodology and approach		
4.1	Evaluation criteria and evaluation questions	7-10 pages max
4.2	Methods for data collection and analysis	
4.3	Selection of the sample of stakeholders	
4.4	Evaluability assessment, limitations and risks	
CHAPTER 5: Evaluation process		
5.1	Process overview	3-5 pages max
5.2	Team composition and distribution of tasks	
5.3	Resource requirements and logistic support	
5.4	Work plan	
TOTAL		20-30 pages max

ANNEXES

- Annex 1 Terms of Reference
- Annex 2 Evaluation matrix
- Annex 3 Interview guides
- Annex 4 List of atlas projects
- Annex 5 Stakeholder map
- Annex 6 CPE agenda
- Annex 7 Documents consulted

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

Editing rules for UN documents should be provided to the team by the evaluation manager.

List of tables

This is a list of all the tables presented in the evaluation design report. 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 in the evaluation design report. 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 they 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 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 Office and published in February 2012.⁵⁵

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 ⁵⁶

⁵⁵ <http://www.unfpa.org/public/home/about/Evaluation/EBIER/CPE>

⁵⁶ MDG Progress Report 2003

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 ⁵⁷
Social indicators	
Human Development Index Rank	131 ⁵⁸
Unemployment	4.4% ⁵⁹
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% ⁶⁰
Unmet need for family planning (% of women in a relationship unable to access)	44% ⁶¹
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 ⁶²	
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

CHAPTER 1: Introduction

The information provided in this chapter should be very concise. The following three sections should be two page long maximum.

1.1 Purpose and objectives of the country programme evaluation

This should consist in 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 that the exercise corresponds to a CPE commissioned 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

⁵⁷ ibid

⁵⁸ <http://hdrstats.undp.org/en/countries/profiles/CMR.html>


⁵⁹ Mid-term review of UNDAF 2010

⁶⁰ Country Programme Document 2007

⁶¹ ibid


⁶² http://www.mdgmonitor.org/country_progress.cfm?c=CMR&cd=120

The scope consists in 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 design 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 be four to six pages (maximum) long, including tables and figures. Most of the information included here will also be 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 UNFPA programmatic areas; and the country's progress towards the achievement of the relevant Millennium Development Goals (MDG) and progress towards meeting International Conference on Population and Development (ICPD) benchmarks.

The part on the wider country context should 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, as well as to identify the main players and their relative importance in terms of Official Development Assistance (ODA). This information should be presented using tables and graphics (pie charts, histograms, etc.)

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 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.

Evaluations should analyse the evolution of ODA in the country over the last few years. If information is available, ODA trends and future prospects should also be mentioned.



See Template 17 basic graphs and tables in excel for CPE

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. This chapter should be five to seven pages long.

3.1 UNFPA strategic response

The 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 6 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 consists in the linkages 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 can help evaluators explain this framework in a visual and clear manner. However, this is not a compulsory tool.⁶³ Once evaluators have produced an in-depth analysis of the country programme that goes beyond a description of its components -- e.g., identifying linkages between components, as well as gaps or weak areas in the intervention logic, they may select a set of questions within the standard list proposed by the Evaluation Office (see Section 1.2.2). The evaluators must then adapt/adjust each question to the programmatic areas and specifics of the country programme under evaluation and select the final set of evaluation questions (see Tool 5).

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:

⁶³ See Tool 2 in Part 3 of the Handbook: the effects diagram can be a useful tool, but evaluators must be aware of the fact that developing it may be time-consuming.


- 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 focuses 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, etc.).
- The main groups targeted by the programme (e.g., young people, women of child-bearing age, etc.).
- The geographical coverage of the programme.
- The UNDAF outcomes and outputs the country programme contributes to.
- 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 under 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.

Programmatic Areas	Outcomes Previous Cycle	Outcomes Current Cycle
Population dynamics		
Reproductive Health and Rights		
Gender Equality		
Other programmatic area		

3.2.2 The country programme financial structure

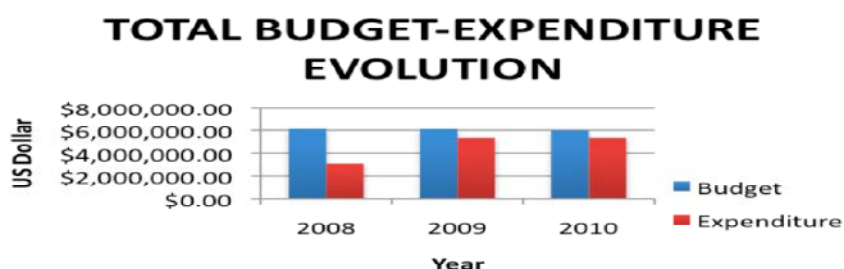
The objective of this section is to provide a snapshot of the financial structure of the programme: budget and expenditure by year, programmatic area, and by origin of the funds. It should be a short section with succinct explanations complemented by the use of tables and graphs.

 See *The financial structure of the country programme* in section 1.1.5.3 of the Handbook.

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.

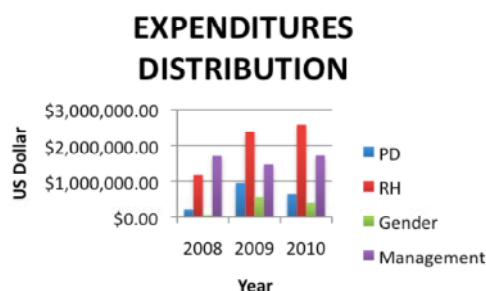
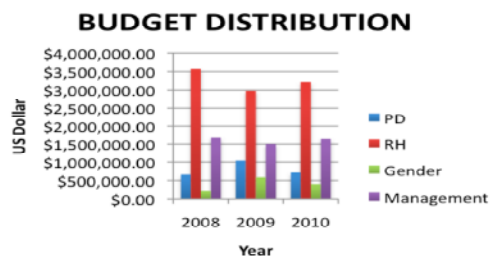


- (2) The breakdown of budget and

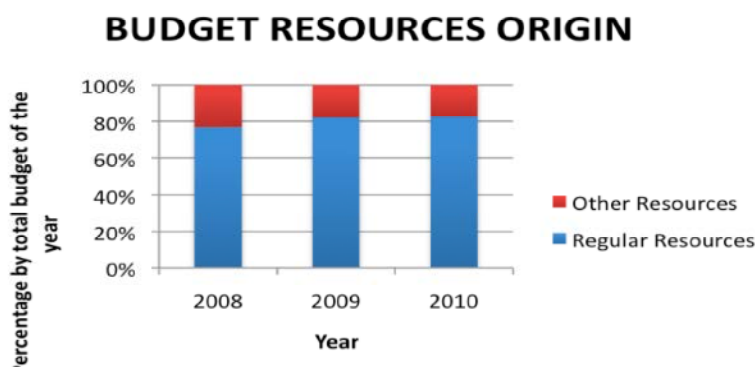
expenditure by programmatic area and by year.

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.



Template 17 Basic graphs and tables in excel for CPE. Access the excel file “templates for analysis of the financial structure of the programme” located: <http://www.unfpa.org/public/home/about/Evaluation/Methodology>.

This section could be complemented with a breakdown of Atlas projects by year, specifying the budget and expenditure attributable to each Atlas project (include the list as an annex to the design report).

Tool 3 List of Atlas projects by CPAP output and Strategic Plan outcome.

		2008		2009		2010	
Project ID	Project Title	Budget	Expenditure	Budget	Expenditure	Budget	Expenditure
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
CMR5R10I	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 humanitarian 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. It contains the core of the design phase and fulfils the main purpose of the report:

- defines the evaluation framework;
- presents an outline of the methodological strategy;
- specifies the main elements and tools to be used in the field phase regarding data collection and analysis.

The importance of this chapter will be reflected in its size relative to the entire report. It is suggested that this chapter should be seven to ten pages (maximum) long.

In general, methodological considerations in this section will follow those in the Part 1 of the Handbook. However, whenever the evaluation team considers 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 “backbone” of the CPE and the final evaluation report will be structured along the evaluation questions. This section should present the evaluation questions in a very clear manner. It is advisable to start the section with a table containing the evaluation questions along the structure presented in section 1.2.2.

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:

- Briefly introduce the evaluation criteria.
The six criteria in the methodology are compulsory. Evaluators are free to incorporate additional sub-criteria if deemed necessary. If so, the rationale and reasons why should be explained here.


- Explain how evaluation questions were selected, that is, explain the methodological sequence for the selection from the initial list and refinement (indicators) of the questions and the considerations that were used to make the selection. Explanations on the sequence should also mention who was involved in the process, at which stages, and their roles in selecting the questions⁶⁴.

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.

 Section 1.2.2 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 the evaluators when addressing the evaluation issues described in section 1.4 of the methodology.

 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 in this section of the design report.

Evaluators should specify the data collection and data analysis methods they will use 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 for 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 they deem useful, 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.

4.3 Selection of the sample of stakeholders

This section should cover four aspects:

- An explanation of the methodological approach 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 in the selection process.
- 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 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.

⁶⁴ 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.

The list of stakeholders to be interviewed during the data collection and analysis phase could be included in the main body of the text or in an annex to the design report. The list should specify stakeholder institutions:

- by name;
- classified by group headings - e.g., central government counterparts, local/regional government counterparts, local communities, implementing agencies, donors, civil society organisations;
- and by geographical location.



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 explain data gaps, drawbacks affecting data quantity and quality, and describe the factors that restrict access to key sources of information.

This section should close 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.



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 be three to five pages long. 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 process. The objective is to inform the reader on what has already been done and what are the next steps in the evaluation process.



The *Overview* describes the four phases of the evaluation.

It would be advisable to include a table featuring the main activities carried out during each phase 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 evaluation manager, 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 include their respective responsibilities in terms of sections of the final evaluation report - i.e., who will be responsible for each part of the final report. This also includes responsibility for the production of the annexes. This section must also present the specific responsibilities of the evaluation manager.



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., most of which are under the responsibility of the evaluation manager.



Section 1.5.2 for a review of the issues that should be addressed by the evaluation manager during 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 drafting of the design report onwards, covering the field phase and the reporting phase. The plan should therefore begin with the delivery of the design 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 DETAILED OUTLINES FOR THE REPORTS


3.2.2 How to structure and draft the final evaluation report

This section guides the evaluation team throughout the process of drafting the final report. It provides the table of contents and introduces the issues that should be covered in each chapter, putting special emphasis on a number of practical considerations. The final report should follow the sequence and titles of the chapters as shown 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, the report *must* be in line with the Evaluation Quality Assessment (EQA) grid. Indeed 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 are based on the EQA grid.

 Template 13, Evaluation Quality Assessment Grid and explanatory note for a list of quality issues against which the final report will be assessed.

Box 16: 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.
<ul style="list-style-type: none">• 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 <i>logical</i> and the report should be <i>comprehensive</i>• The information provided throughout the text should be <i>easily understandable</i>.

 Template 10 for a complete layout of a final report.

As shown in template 10 the evaluation report begins with a cover page and is immediately followed by 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 section should fit in 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 shall be included in the annex *People met/ interviewed*.

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 fit in one page. The table below shows the generic layout of a 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 of the Country Programme Evaluation	5-7 pages max
1.2	Scope of the evaluation	
1.3	Methodology and process	
CHAPTER 2: Country context		
2.1	Development challenges and national strategies	5-6 pages max
2.2	The role of external assistance	
CHAPTER 3: UN / UNFPA response and programme strategies		
3.1	UN and UNFPA response	5-7 pages max
3.2	UNFPA response through the country programme	
3.2.1	Brief description of UNFPA previous cycle strategy, goals and achievements	
3.2.2	Current UNFPA country programme	
3.2.3	The financial structure of the programme	
CHAPTER 4: Findings: answers to the evaluation questions		
4.1	Answer to evaluation question 1	25-35 pages max
4.2	Answer to evaluation question 2	
4.3	Answer to evaluation question 3	
4.4	Answer to evaluation question X	
CHAPTER 5: Conclusions		
5.1	Strategic level	6 pages max
5.2	Programmatic level	
CHAPTER 6: Recommendations		
6.1	Recommendations	4-5 pages max
<i>(Total number of pages)</i>		50 – 70 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 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.

a. Abbreviations

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.

	Template 16 Preliminary list of Acronyms.
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b. Structure of the country programme evaluation report

A summary box presents 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.

c. List of tables and figures

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 separate lists, one for *graphs* and another for *diagrams*. 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.

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 been 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 with the executive summary and read those 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 only.

The executive summary should provide an overview of the CPE, be written as a **stand-alone document** and present clearly the main results of the evaluation. It should be four to five pages (maximum) long 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, that the executive summary should be a resource on its own. It must provide readers with a clear understanding of the evaluation 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 precision.

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 should coincide with the content of chapters 1, 4 and 5 of the design report.

1.1 Purpose and objectives of the country programme evaluation


This section should present a brief description of the overall purpose of the country programme evaluation (CPE) and a concise presentation of its specific objectives.

The section should also clearly mention that the exercise corresponds to a CPE commissioned 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

This section 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, and 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.

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 programmatic 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 field 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 affects 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 during the field phase.

Evaluation process

The aim of this section 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 each phase of the evaluation (preparatory phase, design phase, field phase: data collection and analysis, and reporting phase);
- (3) 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 update it with information on what has happened at each evaluation phase (up to the drafting of the final report).

Box 17: 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 to 6, the introduction chapter is important as it presents key quality elements. See the EQA (under the structure and clarity of reporting criteria) for a checklist of minimum content and sequence including “methodology including approach and limitations.”

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 the programmatic areas pertaining to UNFPA mandate.

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 in this section.

→ **Reminder:** data figures should be properly referenced in footnotes throughout the text.

	Take Chapter 2.1 of the design report as a starting point (see section 1.1.4 <i>Understanding the country context</i>). The information used in chapter 2.1 of the design report should be complemented with and/or amended by more updated data collected during the field missions.
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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). Evaluations should make use of tables and graphs (pie charts, histograms, etc.) to present data in this section.

The section should include data on ODA amounts by development partner and ODA by thematic sector and year (during the period being evaluated). 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.

	Template 17 Basic graphs and tables in excel for CPE located: http://www.unfpa.org/public/home/about/Evaluation/Methodology .
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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:** see EQA grid: criteria on the structure and clarity of report/"context" as well as EQA explanatory note.

CHAPTER 3: UNDAF/ UNFPA response and programme strategies

→ **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, which 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.

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 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). Titles and brief definitions of the content 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 <i>The UNFPA strategic response</i> in section 1.1.5 of the Handbook and figure 6 in Part 1 (Overview of the UNFPA response – programming flow) for explanations on the aspects to be covered in this section.
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The higher-level effects the country programme aims 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. However note this is not a requisite.

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 6 and 3.1.2 UNFPA intervention logic, explaining the effects diagram (if provided).

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 included a succinct comparison with the current cycle. In the final report, considerations on the previous programme should be expanded to provide a more detailed analysis of the evolution of the country office strategy that will become the framework against which the relevance criterion will be partly assessed.

This section (one page) should summarise the strategy, main objectives and focus of the previous country programme, as well as its achievements and main challenges.

→ **Tip:** *the sources for information to complete this sub-section are the current CPD, which generally includes considerations on previous achievements, the CPAP of the previous programme and the CPE final report (in the event it was conducted and is of good quality).*

3.2.2 Current UNFPA country programme

Most part of this section coincides with section 3.2.1 on *The country programme* in the design report. It 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 focuses on, both in terms of areas of action (e.g., obstetric and neonatal care, fistula prevention, etc.) and type of activities (e.g., training, advocacy, provision of goods and / or equipment, etc.);
- The main groups targeted by the programme (e.g., young people, women of child-bearing age);
- The geographical coverage of the programme;
- The UNDAF outcomes and outputs the country programme aims to contribute to;
- The links between the current country programme and the previous one, with special attention on 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.

Programmatic areas	Outcomes previous cycle	Outcomes current cycle
Population and Development		
Sexual and Reproductive Health and Rights		
Gender Equality		
Other programmatic area		

3.2.3. The financial structure of the programme

This sub-section consists in an update of section 3.2.2 *The country programme financial structure* of the design report in the event that financial data needs to be amended.

The snapshot of the financial structure of the programme provided in this section (budget and expenditure by years, programmatic 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 programmatic area and by year.
It is recommended to combine numerical tables with graphs: tables provide more detailed information but are less visually effective, whereas graphs are less detailed in terms of data, yet provide a clearer snapshot (see Template 17);
- 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 (see Template 3).

→ **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 reference point when drafting the first three chapters of the final report, updating and adjusting them as deemed relevant on the basis of new information obtained during the field phase. Note that the design report is an internal document while the final report is a public document: use the design report as a tool when drawing up the final report but do not refer the reader to the design report.*

CHAPTER 4: Findings: answers to the evaluation questions

Chapter 4 presents the findings of the evaluation organized around each evaluation question.



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.

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 consist in answers to the evaluation questions based on findings (which in turn are evidenced based) and reasoned judgements.
- (2) Answers to the evaluation questions (i.e., 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 footnotes, there should be *no mention* of informants (names of interviewees) consulted when collecting data.

The Ethical Code of Conduct for UNEG/UNFPA Evaluations⁶⁵ 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:** *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 presentation of the findings should be as follows:

- Text of the evaluation question
- Short summary of the answer (within a box)
- Detailed answer to the evaluation question⁶⁶

⁶⁵ The Code is included in the last part of template 1, The Terms of Reference of the evaluation.

⁶⁶ See independent CPE Madagascar at: <http://www.unfpa.org/public/home/about/Evaluation/EBIER/CPE>

- (5) The main body of the text (findings) should be clearly presented as an answer to the evaluation questions.

Box 18: 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 *evaluation matrix* used during the field phase could be of use at this stage since 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 1 and Template 5 Evaluation matrix, 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 19: Quality aspects to consider when presenting the analysis

- Interpretations of findings, which are inherent in the evaluators' 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 presented in Chapter 4 should respond to all evaluation questions. There should be no omission. In the event that a specific evaluation question cannot be answered or a given evaluation criteria cannot be assessed, evaluators should acknowledge this limitation and provide explanation.
- 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: Conclusions

This chapter is crucial as it presents the overall result of the evaluation. The main conclusions will also be presented in the executive summary (a stand-alone section of the final report that will be easily consulted by most readers).

Conclusions should be organised in clusters. The nature and number of clusters will vary and is a decision to be made by the evaluation team. A two-cluster sequence is suggested: strategic level and programmatic level

- *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 CP programmatic interventions.

➔ *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.).*

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 programmatic cluster should not be numbered as conclusion one even if it is the first conclusion in the cluster; it should be numbered 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:

5.1 Strategic Level

Conclusion 4: Summary of the conclusion e.g., UNFPA has demonstrated added value in its programmatic areas, but its partners and beneficiaries do not always correctly perceive this added value.

- **Origin:** Evaluation question/s 9 and X
- **Evaluation criteria:** added value
- **Associated recommendation/s:** X

Main text of the conclusion e.g., UNFPA has demonstrated real added value in its programmatic 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, the added value of UNFPA 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 the added value of UNFPA should not to be confused with its financial and material support, this confusion is often made by its partners and beneficiaries.*

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 20: 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 chapter 4.
- 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, and are 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 constitute the part of the report that most readers will direct their attention to. Note that conclusions are associated with the second highest weight-multiplying factor in the Evaluation Quality Assessment (EQA) grid used to assess the overall quality of the report.⁶⁷

Evaluators must not formulate conclusions by way of re-phrasing statements corresponding to findings and judgments (answers to evaluation questions) presented in chapters 4 to 6. Conclusions may contain

⁶⁷ Template 13 presents the Evaluation Quality Assessment Grid (EQA) and an explanatory note on how it is filled out.

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) to an aggregated level of analysis: they are concluding reasoned evidence-based judgments based on the answers to the evaluation questions.

Box 21: What are the main difference between a finding and a conclusion?	
Findings	Conclusions
Findings stem from facts, data, and interpretation analysis.	Conclusions are at a higher level of analysis than findings.
Findings are associated with answering specific evaluation questions. ⁶⁸	Conclusions are associated with the overall assessment of the country programme and the framework in which it is inserted.
Findings do not involve value judgments.	Conclusions present the unbiased judgement of the evaluator.
Findings and conclusions are both a result, a consequence, of the analysis carried out during the evaluation.	

CHAPTER 6: Recommendations

Recommendations should be linked to, and flow logically from conclusions. They constitute the set of actionable proposals that will be used as inputs for the next programming cycle.

For presenting their recommendations, evaluators should adopt the same *clusters* as for the conclusions. Also presentation is similar: 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: *high, medium, and low*. Each recommendation should also specify the target audience it is directed to.

➔ **Reminder:** recommendations are usually associated with problems, weaknesses and areas where there is 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 , and programmatic level recommendation targeted at the country office:

6.1 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

⁶⁸ Findings are statements based on empirical evidence that allow answering evaluation questions or parts/aspects of evaluation questions.

Priority: High
Target Level: Country Office
Based on conclusions: x, y

Operational implications

UNFPA in consultation with its partners should include an exit strategy both in the CPAP and in AWP 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 condition 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 of 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.

6.2 Programmatic level

Recommendation 18

Prioritize the development of mechanisms and control tools associated with results-oriented monitoring frameworks

Priority: High
Target Level: Headquarters
Based on conclusions: x, y

Operational implications

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.

Recommendations should be realistic, 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 22: Quality aspects on the clarity and usefulness of recommendations

- Recommendations should flow from conclusions -- i.e., there should be a clear link between conclusions and 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. One recommendation could be linked to a number of conclusions. No recommendation should be presented in the report unless it is clearly linked to at least one conclusion.

- Recommendations must be strategic, targeted and actionable. 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 inherent to the context in which they will be implemented. Remember that, in order to be actionable, recommendations 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 and RESOURCES

TEMPLATES

A set of ready-to-use templates that can be used throughout the different phases of the evaluation process

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 27: 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	Assessment of the CVs of consultants	Obligatory			
Template 3	List of Atlas projects by CPAP output and Strategic Plan outcome		Optional	Optional	
Template 4	The stakeholders map		Optional	Optional	
Template 5	The evaluation matrix		Obligatory	Obligatory	
Template 6	The CPE agenda		Obligatory	Obligatory	
Template 7	Interview logbook		Optional	Optional	
Template 8	The design report structure		Obligatory		
Template 9	Note of the results of focus group			Optional	
Template 10	The structure of the final report			Obligatory	Obligatory
Template 11	Abstract of the evaluation report				Obligatory
Template 12	Management response				Obligatory
Template 13	Evaluation Quality Assessment grid and explanatory note				Obligatory
Template 14	Letter of invitation to participate in a reference group	Optional			
Template 15	Work Plan		Optional		
Template 16	Basic list of acronyms		Optional		
Template 17	Basic graphs and tables in excel for CPE		Optional		

Template 1 - The terms of reference of the evaluation

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 for the evaluation team members.

*The ToR are written by the **evaluation manager** with the support of the RO M&E adviser. Final ToR are approved by the Evaluation Office before the launch of 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, evaluation policy, and evaluation plan. Presents a short description of the purpose of the evaluation. This section should also include intended audience and users (The primary users of the evaluation are the decision-makers within UNFPA and the Executive Board, government counterparts in the country, and other development partners are also seen as part of the audience of the report).

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. Indicates the subjects/ issues that will be addressed by the evaluation. Indicate the time period of interventions evaluated.

The overall objectives of a CPE are: (i) an enhanced accountability of UNFPA and its country offices for the relevance and performance of its country programme and (ii) a broadened evidence-base for the design of the next programming cycle

The specific objectives will be:

- 1. To provide an independent assessment of the progress of the programme towards the expected outputs and outcomes set forth in the results framework of the country programme;*
- 2. To provide an assessment of the country office (CO) positioning within the developing community and national partners, in view of its ability to respond to national needs while adding value to the country development results.*

Evaluation criteria and evaluation questions

Introduces the initial evaluation questions addressing the evaluation criteria: relevance, effectiveness, efficiency, and sustainability as well as coordination with the UNCT, and added value. The evaluation manager may select from the standards list of evaluation questions (section 1.2.2 of the Handbook) a set of questions she/he will adapt to the specifics of the country programme under evaluation. 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.

Example:

Data Collection

The evaluation will use a multiple-method approach including documentary review, group and individual interviews, focus groups and field visits as appropriate.

Validation mechanisms

The Evaluation Team will use a variety of methods to ensure the validity of the data collected. Besides a systematic triangulation of data sources and data collection methods and tools, the validation of data will be sought through regular exchanges with the CO programme managers.

Stakeholders participation

The evaluation will adopt an inclusive approach, involving a broad range of partners and stakeholders. The evaluation team will perform a stakeholders mapping in order to identify both UNFPA direct and indirect partners (i.e., partners who do not work directly with UNFPA and yet play a key role in a relevant outcome or thematic area in the national context). These stakeholders may include representatives from the government, civil-society organizations, the private-sector, UN organizations, other multilateral organizations, bilateral donors, and most importantly, the beneficiaries of the programme.

Evaluation process

Outlines the phases and steps of the evaluation: (i) preparation; (ii) design; (iii) field; (iv) reporting and (v) management response, dissemination and follow up.

Example:

The evaluation will unfold in three phases, each of them including several steps.

1) Design phase

This phase will include:

- *a documentary review of all relevant documents available at UNFPA HQ and CO levels regarding the country programme for the period being examined;*
- *a stakeholder mapping – The evaluation team will prepare a mapping of stakeholders relevant to the evaluation. The mapping exercise will include state and civil-society stakeholders and will indicate the relationships between different sets of stakeholders;*
- *an analysis of the intervention logic of the programme, - i.e., the theory of change meant to lead from planned activities to the intended results of the programme;*
- *the finalization of the list of evaluation questions;*
- *the development of a data collection and analysis strategy as well as a concrete workplan for the field phase.*

*At the end of the design phase, the evaluation team will produce a **design report**, displaying the results of the above-listed steps and tasks.*

2) Field phase

After the design phase, the evaluation team will undertake a three-week in-country mission to collect and analyze the data required in order to answer the evaluation questions final list consolidated at the design phase.

At the end of the field phase, the evaluation team will provide the CO with a debriefing presentation on the preliminary results of the evaluation, with a view to validating preliminary findings and testing tentative conclusions and/or recommendations.

3) Synthesis phase

During this phase, the evaluation team will continue the analytical work initiated during the field phase and prepare a first draft of the final evaluation report, taking into account comments made by the CO at the debriefing meeting. This **first draft final report** will be submitted to the evaluation reference group for comments (in writing). Comments made by the reference group and consolidated by the evaluation manager will then allow the evaluation team to prepare a **second draft of the final evaluation report**.

This second draft final report will form the basis for an **in-country dissemination seminar**, which should be attended by the CO as well as all the key programme stakeholders (including key national counterparts). The **final report** will be drafted shortly after the seminar, taking into account comments made by the participants.

Expected outputs/ deliverables

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 70 pages plus annexes)

Example

The evaluation team will produce the following deliverables:

- a design report including (as a minimum): a) a stakeholder map ; b) the evaluation matrix (including the final list of evaluation questions and indicators) ; c) the overall evaluation design and methodology, with a detailed description of the data collection plan for the field phase;
- a debriefing presentation document (Power Point) synthesizing the main preliminary findings, conclusions and recommendations of the evaluation, to be presented and discussed with the CO during the debriefing meeting foreseen at the end of the field phase;
- a draft final evaluation report (potentially followed by a second draft, taking into account potential comments from the evaluation reference group);
- a powerpoint presentation of the results of the evaluation for the dissemination seminar to be held in (city)
- a final report, based on comments expressed during the dissemination seminar.

All deliverables will be drafted in English. The powerpoint presentation for the dissemination seminar and the final report will be translated in [language].

Work plan/ Indicative timeframe

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.

Phases/deliverables	Dates ⁶⁹
1. Drafting of the ToR	March 2013
2. Scoping mission	March 2013

⁶⁹ The dates are provided to give an indication of the time requested for each phase of the CPE.

3. Finalization of the ToR and recruitment of experts	March 2013
4. Design phase <i>Submission of the design report</i>	April 2013 <i>end of April 2013</i>
5. Field Phase	6 May-24 May 2013
6. Synthesis phase - <i>1st draft final report</i> - <i>2nd draft final report</i> - <i>Dissemination seminar (in Beirut)</i> - <i>Final report</i>	June-October 2013 <i>July 2013</i> <i>August/2013</i> <i>September 2013</i> <i>October 2013⁷⁰</i>

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. 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.

Example:

The evaluation team will consist of:

- *a team leader with overall responsibility for the production of the draft and final evaluation reports. He will lead and coordinate the work of the evaluation team and will also be responsible for the quality assurance of all evaluation deliverables. The team leader should have a good knowledge of the national development context and be fluent in (language required). At the synthesis phase, she/he will be responsible for putting together the first comprehensive draft of the evaluation report, based on inputs from other evaluation team members.*
- *a sexual and reproductive health expert (consultant) will provide expertise in reproductive and maternal health (including family planning, emergency obstetric and newborn care). Besides her/his technical expertise, the gender expert should have a good knowledge of the national development context and be fluent in (language required). She/he will take part in the data collection and analysis work during the design and field phases. She/he will be responsible for drafting key parts of the design report and of*

⁷⁰ The draft final and/or final report must be delivered in time for the preparation of the next UNDAF and CP.

the final evaluation report, including (but not limited to) sections relating to reproductive health and rights.

- *a population expert (consultant) will provide expertise in population and development issues (including census, democratic governance, population dynamics, legal reform processes, national and local capacity development and national statistical systems). Besides her/his technical expertise, the expert should have a good knowledge of the national development context and be fluent in (language required). She/he will take part in the data collection and analysis work during the design and field phases. She/he will be responsible for drafting key parts of the design report and of the final evaluation report, including (but not limited to) sections relating to population and development.*
- *a gender equality expert (consultant) to provide expertise on gender equality issues (women and adolescents reproductive rights, prevention of discrimination and violence against women, etc.). Besides her/his technical expertise, the gender expert should have a good knowledge of the national development context and be fluent in (language required). She/he will take part in the data collection and analysis work during the design and field phases. She/he will be responsible for drafting key parts of the design report and the final evaluation report, including (but not limited to) sections relating to the national context and gender equality.*

For those countries where language(s) may be an issue for the evaluation team, the team will be assisted by an interpreter, during the field phase, for the conduct of focus groups with final beneficiaries.

The work of the evaluation team will be guided by the Norms and Standards established by the United Nations Evaluation Group (UNEG). Team members will adhere to the Ethical Guidelines for Evaluators in the UN system and the Code of Conduct, also established by UNEG. The evaluators will be requested to sign the Code of Conduct prior to engaging in the evaluation exercise.

Qualifications of the evaluation team

Example

1. *Sexual and reproductive health expert*
 - *An advanced degree in social sciences, political science, economics or related fields;*
 - *Specialization in public health;*
 - *Substantive knowledge of reproductive health/maternal health, including knowledge of themes/issues relevant to: Family planning, human resources in the health sector, emergency obstetric and newborn care;*
 - *Significant knowledge and experience of complex evaluations in the field of development aid for UN agencies and/or other international organizations;*
 - *Familiarity with UNFPA or UN operations;*
 - *Proven drafting skills in English;*
 - *Ability to work in a team.*

Remuneration and duration of contract

Example

Repatriation of workdays among the team of experts will be the following:

- X number workdays for the team leader;
- X number workdays for the population expert;
- X number workdays for the sexual and reproductive health expert;
- X number workdays for the gender equality expert.

The repatriation of workdays per expert and per evaluation phase is the following:

Workdays will be distributed between the date of contract signature and [end date of evaluation].

Payment of fees will be based on the delivery of outputs, as follows:

- Upon satisfactory contribution to the design report: 20%
- Upon satisfactory contribution to the draft final evaluation report: 50%
- Upon satisfactory contribution to the final evaluation report: 30%

Daily Subsistence Allowance (DSA) will be paid per nights spent at the place of the mission following UNFPA DSA standard rates. Travel costs will be settled separately from the consultant fees.

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. She/he will be supported by the RO M&E adviser.*

Example for reference group

The reference group composed of representatives from the UNFPA country office in (country), the national counterpart, the UNFPA regional office as well as from UNFPA relevant services in headquarters.

The main functions of the reference group will be:

- *to discuss the terms of reference drawn up by the evaluation manager;*
- *to provide the evaluation team with relevant information and documentation on the programme;*
- *to facilitate the access of the evaluation team to key informants during the field phase;*
- *to discuss the reports produced by the evaluation team;*
- *to advise on the quality of the work done by the evaluation team;*
- *to assist in feedback of the findings, conclusions and recommendations from the evaluation into future programme design and implementation.*

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 and explanatory note*
- *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. In particular:

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. Evaluators 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. Evaluators 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. Evaluators 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

[Please date, sign and write “Read and approved”]

Template 2 - Assessment of the CVs of consultants

The identification and selection of the evaluation team consultants for (decentralized) programme-level evaluations must be conducted following a transparent and competitive manner. The main steps of the selection process are the following:

Step 1. At least, two candidates per position shall be pre-selected by the evaluation manager. The CO evaluation manager should seek assistance from the RO M&E adviser to identify potential candidates (especially at regional and/or international level).

Step 2. The evaluation manager completes: (A) Assessment of CVs: Individual Grids; (B) Summary assessment table.

Step 3. The individual grids and summary assessment table undergo a review by the RO M&E adviser with a view to ensuring that they are sufficiently detailed and precise for an assessment by the EO.

Step 4. The evaluation manager submits the summary assessment table to the Evaluation Office together with the CVs of the assessed consultants.

Step 4. The Evaluation Office assesses the quality of the proposed consultants and indicates which experts should be considered as potential candidates for participation in the competitive selection process (“pre-qualification”).

Step 5. The evaluation manager proceeds with the interview process and identifies the experts who will conduct the CPE.

A. Assessment of consultants’ CVs – Individual Grids

Team Leader (and possible thematic expert on one of the programmatic areas of UNFPA)

Personal Information	
Candidate #	
Name	
Gender	
Nationality	

Criteria	Maximum Points	Score	Reviewers’ Comments
Advanced degree in social sciences or related fields	10		
Experience leading evaluations in the field of development for UN organizations or other international organizations	10		
Experience in conducting complex programme and/or country level evaluations including knowledge of evaluation methods and techniques for data collection and analysis ⁷¹	20		
Experience in/knowledge of the region	10		
Excellent leadership, communication ability and excellent drafting skills in the language of the report	20		

⁷¹ In case the team leader is also considered to cover one UNFPA programmatic area, the experience and skills in that area should also be assessed under this criterion.

Total points	70		
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Sexual and reproductive health expert

Personal Information	
Candidate #	
Name	
Gender	
Nationality	

Criteria	Maximum Points	Score	Reviewers' Comments
Diploma in social sciences with specialization in health	10		
Experience conducting evaluations/research in the field of development for UN organizations or other international organizations in the area of health	20		
Experience in the area of health	10		
Experience in/knowledge of the region	10		
Excellent drafting skills in the language of the report and communication ability	20		
Total points	70		

Population expert

Personal Information	
Candidate #	
Name	
Gender	
Nationality	

Criteria	Maximum Points	Score	Reviewers' Comments
Diploma in social sciences	10		
Experience conducting evaluations/ research in the field of development for UN organizations or other international organizations in the area of population and development related issues	10		
Experience in population and development related issues	20		
Experience in/knowledge of the region	10		
Excellent drafting skills in the language of the report and communication ability	20		

Total points	70		
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Gender equality expert

Personal Information	
Candidate #	
Name	
Gender	
Nationality	

Criteria	Maximum Points	Score	Reviewers' Comments
Diploma in social sciences with specialization in health	10		
Experience conducting evaluations/ research in the field of development for UN organizations or other international organizations in the area of gender	20		
Experience in gender issues in particular gender based violence issues	10		
Experience in/knowledge of the region and country	10		
Excellent drafting skills in the language of the report and communication ability	20		
Total points	70		

B. Summary assessment table

Name	Position	Summary of the skills and experience				Points	Final assessment
		Academic qualifications and professional courses	Relevant work experience	Experience in/knowledge of the region and country	Potential conflict of interest: Yes/No		
1.							Recommended or not recommended by evaluation manager
2.							
3.							
4.							
5.							

Template 3 - List of Atlas projects by CPAP output and Strategic Plan outcome

Year N		Year N+1	Year N+2
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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 DYNAMICS							
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				
			...				
OTHER PROGRAMMATIC AREA							
Strategic Plan outcome:							
CPAP output:							
Annual Work Plan (code and name)							
			Activity 01				
			...				
			Activity 01				
			...				
			Activity 01				
			...				
ADMINISTRATION							

Template 4 - The stakeholders map

Donors	Implementing Agencies	Other partners	Beneficiaries
GENDER EQUALITY			
Strategic Plan outcome: <i>(descriptions as per CPAP)</i>			
CPAP Output: <i>(descriptions as per CPAP)</i>			
Atlas Project <i>(code and name)</i>			
...			
Strategic Plan outcome: <i>(descriptions as per CPAP)</i>			
CPAP Output: <i>(descriptions as per CPAP)</i>			
Atlas Project <i>(code and name)</i>			
...			
POPULATION DINAMICS			
Strategic Plan outcome: <i>(descriptions as per CPAP)</i>			
CPAP Output: <i>(descriptions as per CPAP)</i>			
Atlas Project <i>(code and name)</i>			
...			
Strategic Plan outcome: <i>(descriptions as per CPAP)</i>			
CPAP Output: <i>(descriptions as per CPAP)</i>			
Atlas Project <i>(code and name)</i>			
...			
SEXUAL AND REPRODUCTIVE HEALTH			
Strategic Plan outcome: <i>(descriptions as per CPAP)</i>			
CPAP Output: <i>(descriptions as per CPAP)</i>			
Atlas Project <i>(code and name)</i>			
...			
Strategic Plan outcome: <i>(descriptions as per CPAP)</i>			
CPAP Output: <i>(descriptions as per CPAP)</i>			
Atlas Project <i>(code and name)</i>			
...			

Template 5 - The evaluation matrix

EQ1 : To what extent ...			
Assumptions to be assessed	Indicators	Sources of information	Methods and tools for the data collection
Assumption 1 (see example in Tool 1)			
<p>➤ <i>Evaluators must fill this box with all relevant data and information gathered during the field phase in relation with the elements listed with the 'assumptions to be assessed' column and their corresponding indicators.</i></p> <p><i>The information placed here can stem from: documentary review, interviews, focus group discussions, etc.</i></p> <p><i>Since the filled matrix will become the main annex of the final evaluation report, the evaluation team leader and evaluation manager must ensure that all the information displayed:</i></p> <ul style="list-style-type: none"> ✓ <i>is directly related to the indicators listed above;</i> ✓ <i>is drafted in a readable and understandable manner;</i> ✓ <i>makes visible the triangulation of data;</i> ✓ <i>the information source (s) are referenced in footnotes.</i> 			
Assumption 2 (see example in Tool 1)			

Assumption 3 (see example in Tool 1)			
EQ2 : To what extent ...			
Assumptions to be assessed	Indicators	Sources of information	Methods and tools for the data collection
Assumption 1 (see example in Tool 1)			
Assumption 2 (see example in Tool 1)			
Assumption 3 (see example in Tool 1)			

Template 7 - 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

Template 8 - The design report structure

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 pages max
1.2	Scope of the evaluation	
1.3	Purpose of the design report	
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	5 – 7 pages max
3.2	UNFPA response through the country programme	
3.2.1	The country programme	
3.2.2	The country programme financial structure	
CHAPTER 4: Evaluation methodology and approach		
4.1	Evaluation criteria and evaluation questions	7-10 pages max
4.2	Methods for data collection and analysis	
4.3	Selection of the sample of stakeholders	
4.4	Evaluability assessment, limitations and risks	
CHAPTER 5: Evaluation process		
5.1	Process overview	3-5 pages max
5.2	Team composition and distribution of tasks	
5.3	Resource requirements and logistic support	
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 9 - 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 <i>(formulated as a question)</i>
Summary of the discussion

Topic discussed <i>(formulated as a question)</i>
Summary of the discussion


Topic discussed <i>(formulated as a question)</i>
Summary of the discussion

Template 10 - The structure of the final report

Cover page

UNFPA COUNTRY PROGRAMME EVALUATION: <i>NAME OF THE COUNTRY</i>
<i>Period covered by the evaluation</i>
<i>FINAL EVALUATION REPORT</i>
<i>Date</i>

Second page

Country map (<i>half page</i>) 		
Table (<i>half page</i>)		
Evaluation Team		
<table border="1"> <tr> <td>Titles / position in the team</td> <td>Names</td> </tr> </table>	Titles / position in the team	Names
Titles / position in the team	Names	

Third page

Acknowledgements

Fourth page

Table of contents

Section	Title	Suggested length
EXECUTIVE SUMMARY		<i>3-4 pages max</i>
CHAPTER 1: Introduction		
1.1	Purpose and objectives of the Country Programme Evaluation	<i>5-7 pages max</i>
1.2	Scope of the evaluation	
1.3	Methodology and process	
CHAPTER 2: Country context		
2.1	Development challenges and national strategies	<i>5-6 pages max</i>
2.2	The role of external assistance	
CHAPTER 3: UN / UNFPA response and programme strategies		
3.1	UN and UNFPA response	<i>5-7 pages max</i>
3.2	UNFPA response through the country programme	
3.2.1	Brief description of UNFPA previous cycle strategy, goals and achievements	
3.2.2	Current UNFPA country programme	
3.2.3	The financial structure of the programme	
CHAPTER 4: Findings: answers to the evaluation questions		
4.1	Answer to evaluation question 1	<i>25-35 pages max</i>
4.2	Answer to evaluation question 2	
4.3	Answer to evaluation question 3	
4.4	Answer to evaluation question X	
CHAPTER 5: Conclusions		
5.1	Strategic level	<i>6 pages max</i>
5.2	Programmatic level	
CHAPTER 6: Recommendations		
6.1	Recommendations	<i>4-5 pages max</i>
<i>(Total number of pages)</i>		<i>50 – 70 pages</i>

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

Sixth page

Key facts table

Seventh page

Structure of the country programme evaluation report

Eight page

Key facts table: *(name of the country)*

Template 11 - Abstract of the evaluation report**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" (not by evaluation criteria).

Main Recommendations

Note: Summary of the main recommendations.

Recommendations should derive from conclusions; Recommendations may be organized by clusters, (e.g., strategic recommendations and recommendations associated with the country programme). Within each cluster, recommendations should be operational, ranked by priority level, with a time horizon, and, when possible, they should present alternative options indicating the pros and cons and addressed to the relevant services.

Template 12 - Management response

UNFPA Management response	Country Programme Evaluation (from-to):(name of the country)
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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 and recommendations associated with the country programme. Within each cluster, recommendations should be ranked by priority levels (high, medium, low).

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 Office of the Executive Director)	Priority Level: high, medium, low		
<p>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:.....</p> <p>.....</p> <p>.....</p> <p>.....</p>				
Key action(s)	Deadline	Responsible unit(s)	Annual implementation status updates	
			Status (ongoing or completed)	Comments

Recommendation #	To(e.g. Country office)	Priority level
<p>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:.....</p> <p>.....</p> <p>.....</p> <p>.....</p>		

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
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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



Organizational unit:

Year of report:

Title of evaluation report:

Overall quality of report:

Good

Date of assessment:

Overall comments:

[insert text]

Assessment Levels

Very good:

strong, above average, best practice

Good:

satisfactory, respectable

Fair:

with some weaknesses, still acceptable

Unsatisfactory:

weak, does not meet minimal quality standards

Quality Assessment Criteria	<i>Insert <u>assessment level</u> followed by main <u>comments</u>. (use 'shading' function to give cells corresponding colour)</i>	
<p>I. Structure and Clarity of Reporting</p> <p><i>To ensure the report is comprehensive and user-friendly</i></p> <ul style="list-style-type: none"> • Is the report easy to read and understand (i.e. written in an accessible non-technical language appropriate for the intended audience)? • Is the report focused and to the point (e.g. not too lengthy)? • Is the report structured in a logical way? Is there a clear distinction made between analysis/findings, conclusions, recommendations and lessons learned (where applicable)? • Do the annexes contain – at a minimum – the ToRs; a bibliography, a list of interviewees, the evaluation matrix and methodological tools used (e.g. interview guides; focus group notes, outline of surveys)? <p><i>Executive summary</i></p> <ul style="list-style-type: none"> • Is an executive summary included in the report, written as a stand-alone section and presenting the main results of the evaluation? • Is there a clear structure of the executive summary, (i.e. i) Purpose, including intended audience(s); ii) Objectives and brief description of intervention; iii) Methodology; iv) Main conclusions; v) Recommendations)? • Is the executive summary reasonably concise (e.g. with a maximum length of 5-10 pages)? 	Assessment Level:	Fair
	<p>Comment:</p>	

<p>2. Design and Methodology</p>	<p>Assessment Level:</p>	<p>Very good</p>
<p><i>To ensure that the evaluation is put within its context</i></p> <ul style="list-style-type: none"> • Does the evaluation describe whether the evaluation is for accountability and/or learning purposes? • Does the evaluation describe the target audience for the evaluation? • Is the development and institutional context of the evaluation clearly described? • Does the evaluation report describe the reconstruction of the intervention logic and/or theory of change? • Does the evaluation explain any constraints and/or general limitations? <p><i>To ensure a rigorous design and methodology</i></p> <ul style="list-style-type: none"> • Is the evaluation approach and framework clearly described? Does it establish the evaluation questions, assumptions, indicators, data sources and methods for data collection? • Were the methods chosen appropriate for addressing the evaluation questions? Are the tools for data collection described and justified? • Is the methods for analysis clearly described? • Are methodological limitations acknowledged and their impact on the evaluation described? (Does it discuss how any bias has been overcome?) • Is the sampling strategy described? Does the design include validation techniques? • Is there evidence of involvement of stakeholders in the evaluation design? (Is there a comprehensive/credible stakeholder map?) • Does the methodology enable the collection and analysis of disaggregated data? • Is the design and methodology appropriate for assessing the cross-cutting issues (equity and vulnerability, gender equality and human rights)? 	<p>Comment:</p>	

<p>3. Reliability of Data</p> <p><i>To ensure quality of data and robust data collection processes</i></p> <ul style="list-style-type: none"> • Did the evaluation triangulate all data collected? • Did the evaluation clearly identify and make use of qualitative and quantitative data sources? • Did the evaluation make explicit any possible issues (bias, data gaps etc.) in primary and secondary data sources and if relevant, explained what was done to minimize such issues? I.e. did the evaluation make explicit possible limitations of the data collected? • Is there evidence that data has been collected with a sensitivity to issues of discrimination and other ethical considerations? • Is there adequate gender disaggregation of data? And if this has not been possible, is it explained? • Does the evaluation make explicit the level of involvement of different stakeholders in the different phases of the evaluation process? 	<p>Assessment Level:</p>	
	<p>Comment:</p>	

<p>4. Analysis and Findings</p> <p><i>To ensure sound analysis</i></p> <ul style="list-style-type: none"> • Is information analysed and interpreted systematically and logically? • Are the interpretations based on carefully described assumptions? • Is the analysis presented against the evaluation questions? • Is the analysis transparent about the sources and quality of data? • Are possible cause and effect links between an intervention and its end results explained? • Where possible, is the analysis disaggregated to show different outcomes between different target groups? • Are unintended results identified? • Is the analysis presented against contextual factors? • Does the analysis include reflection of the views of different stakeholders (reflecting diverse interests)? E.g. how were possible divergent opinions treated in the analysis? • Does the analysis elaborate on cross-cutting issues such as equity and vulnerability, gender equality and human rights? <p><i>To ensure credible findings</i></p> <ul style="list-style-type: none"> • Can evidence be traced through the analysis into findings? E.g. are the findings substantiated by evidence? • Do findings follow logically from the analysis? • Is the analysis of cross-cutting issues integrated in the findings? 	Assessment Level:	
	Comment:	

<p>5. Conclusions</p> <p><i>To assess the validity of conclusions</i></p> <ul style="list-style-type: none"> • Are conclusions credible and clearly related to the findings? • Are the conclusions demonstrating an appropriate level of analytical abstraction? • Are conclusions conveying the evaluators' unbiased judgement of the intervention? 	Assessment Level:	
	Comment:	

<p>6. Recommendations</p> <p><i>To ensure the usefulness and clarity of recommendations</i></p> <ul style="list-style-type: none"> • Do recommendations flow logically from conclusions? • Are the recommendations sufficiently clear, targeted at the intended users and operationally-feasible? • Do recommendations reflect stakeholders' consultations whilst remaining balanced and impartial? • Is the number of recommendations manageable? • Are the recommendations prioritised and clearly presented to facilitate appropriate management response and follow up on each specific recommendation? 	Assessment Level:	
	Comment:	

<p>7. Gender</p> <p><i>To assess the integration of Gender Equality and Empowerment of Women (GEEW)⁷²</i></p> <ul style="list-style-type: none"> • Is GEEW integrated in the evaluation scope of analysis and indicators designed in a way that ensures GEEW-related data to be collected? • Do evaluation criteria and evaluation questions specifically address how GEEW has been integrated into design, planning, implementation of the intervention and the results achieved? • Have gender-responsive evaluation methodology, methods and tools, and data analysis techniques been selected? • Do the evaluation findings, conclusions and recommendations reflect a gender analysis? 	Assessment Level:	
	Comment:	

⁷² This assessment criteria is fully based on the UN-SWAP Scoring Tool, see Annex 7. Each sub-criteria shall be equally weighted (in correlation with the calculation in the tool and totalling the scores 11-12 = very good, 8-10 = good, 4-7 = Fair, 0-3=unsatisfactory). One question is if this criteria should be included in the overall evaluation quality assessment grid, or form a separate column and be assessed on its own.

Overall Evaluation Quality Assessment

	Assessment Levels (*)			
Quality assessment criteria (scoring points*)	Very good	Good	Fair	Unsatisfactory
1. Structure and clarity of reporting, including executive summary (7)				7
2. Design and methodology (13)			13	
3. Reliability of data (11)			11	
4. Analysis and findings (40)			40	
5. Conclusions (11)		11		
6. Recommendations (11)		11		
7. Integration of gender (7)	7			
Total scoring points	7	22	63	7
Overall assessment level of evaluation report			Fair	
	Very good ➔ very confident to use	Good ➔ confident to use	Fair ➔ use with caution	Unsatisfactory ➔ not confident to use

(*) (a) Insert scoring points associated with criteria in corresponding column (e.g. - if 'finding and analysis' has been assessed as 'good', enter 40 into 'Good' column. (b) Assessment level with highest 'total scoring points' determines 'Overall assessment level of evaluation report'. Write corresponding assessment level in cell (e.g. 'Fair'). (c) Use 'shading' function to give cells corresponding colour.

If the overall assessment is 'Fair', please explain⁷³:

- How it can be used?
- What aspects to be cautious about?

Where relevant, please explain the overall assessment Very good, Good or Unsatisfactory⁷⁴:**Consideration of significant constraints⁷⁵**

The quality of this evaluation report has been hampered by exceptionally difficult circumstances:

yes

no

If yes, please explain:

⁷³ The purpose here is to clarify in what way the report can be used. This in order to assist the elaboration of a relevant Management Response and the wider use of the evaluation findings back into programming. When a report has been assessed as Fair, it is obligatory to fill this text box in.

⁷⁴ The purpose is, where relevant, to clarify for example severe unbalances in the report (for example, the report is good overall but recommendations very weak). Is optional to fill in.

⁷⁵ E.g. this should only be used in case of significant events that has severely hampering the evaluation process like natural disasters, evaluators falling sick, unexpected significant travel restrictions, etc. More 'normal' limitations should be mentioned under relevant section above.

Explanatory note 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) very good, (2) good, (3) fair, (4) unsatisfactory.

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 proportionate to, and illustrates its relative importance as regards the overall quality of the report. The **criterion 4 (Analysis and findings)** is the most prominent of all 7 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.

Template 14 - Letter of invitation to participate in a reference group

[Name of UNFPA Country Office]

Mr./Mrs
Address

XXXX

Subject: Evaluation of the UNFPA [insert number of cycle] country programme of assistance to [insert name of country] [insert period of time covered by the programme cycle] - Constitution of the reference group

Dear [insert name or greeting]

I am pleased to invite you to participate in the reference group which is being set up to oversee the evaluation of the UNFPA xxx country programme of assistance to the government of xxx. For your information, the draft terms of reference of the evaluation are attached to this letter.

The objectives of the evaluation are:

- to provide the UNFPA country office, national programme stakeholders, the UNFPA regional office, UNFPA headquarters and wider audience with an independent assessment of the relevance and performance of the UNFPA country programme for xxx;
- to provide an analysis of how UNFPA has positioned itself to add value in an evolving national development context;
- to draw key lessons from past and current cooperation and provide a set of clear and forward-looking options leading to strategic and actionable recommendations for the next programming cycle.

The evaluation manager, [insert name], will have day-to-day responsibility for the management of the evaluation and will chair the reference group.

UNFPA regards reference groups as indispensable to the production of evaluation reports that will be of value to both UNFPA and national counterparts, and that the involvement of partner countries in reference groups is extremely important for the success of evaluations.

While the independence of an evaluation team must not be compromised, the reference group plays a crucial role in ensuring that all available information is taken into account by the evaluators; that the evaluation progresses as planned and in line with its terms of reference; that its factual basis is accurate and complete; that the balance and overall quality of the analysis on which the conclusions and recommendations are based is as robust as possible; and that optimal arrangements are made for feedback and dissemination of the evaluation results of the study.

I therefore hope you will consider it worthwhile to join the reference group and contribute to this valuable work.

I hope that this provides you with all the information you need and I look forward to your early response. If you have questions or need further information on this evaluation, please do not hesitate to get in touch with [insert name and email address of evaluation manager] who will manage and lead this exercise within the country office.

With best regards,

[Name of UNFPA Country Representative]

Attachments:

Draft terms of reference

Template 15 - Work Plan

The team should agree on, and draw up a work plan to be shared with the evaluation manager. 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				
	3 ^o	4 ^a	5 ^a	1 ^a	2 ^a	3 ^a	4 ^a	1 ^a	2 ^a	3 ^a	4 ^a	
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												○

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	○	Friday 30, delivery of the final evaluation report

Template 16 - Basic list of Acronyms

<i>Below are examples of recurrent acronyms in CPEs</i>			
	ENGLISH	FRENCH	SPANISH
A			
ADB/BAD/BAD	African Development Bank	Banque Africaine de Développement	Banco Africano de Desarrollo
ADR/ERD/ERD	Assessment of Development Results	Evaluation des résultats de développement	Evaluación de Resultados de Desarrollo
AIDS/SIDA/SIDA	Acquired Immunodeficiency Syndrome	Syndrome d'Immuno-déficience Acquise	Síndrome de inmunodeficiencia adquirida
ANC/APN/APN	Antenatal Care	Soins prénataux	Atención prenatal
APRO	Asia and the Pacific Regional Office (UNFPA)	Bureau Régional pour l'Asie et le Pacifique (FNUAP)	Oficina Regional para Asia y el Pacífico (FNUAP)
ASRH/SSR/SSR	Adolescent Sexual and Reproductive Health	Santé sexuelle et reproductive des adolescents	Salud sexual y reproductiva de los adolescentes
ATLAS	Enterprise resource planning system, for the recording and consolidation of information at global corporate level for all country offices	Système de planification de ressource d'entreprise, pour l'enregistrement et la consolidation d'informations à niveau global d'entreprise pour tous les bureaux de pays	Sistema de registro de gestión, rendición de cuentas y consolidación de la información a nivel corporativo global para todas las Oficinas de País
AWP/PAT/PAT	Annual Work Plan	Plan Annuel de Travail	Plan Anual de Trabajo
B			
BCC/CCC/CCC	Behaviour Change Communication	Communication pour le changement de comportement	Comunicación para el cambio de comportamiento
BEmONC/SONUB -SONUC	Basic Emergency Obstetric and Newborn Care	Soins Obstétricaux et Néonataux d'Urgence/ de Base/ Complets	Cuidados obstétricos y neonatales de Urgencia / de Base / Trajes
C			
CARMMA	Campaign for the Accelerated Reduction of Maternal Mortality in Africa	Campagne pour la réduction accélérée de la mortalité maternelle en Afrique	Campaña para la Reducción acelerada de la mortalidad materna en África
CBO/OBC	Community-based Organization	Organisation à base communautaire	Organización de base comunitaria
CCA	Common Country Assessment	Bilan Commun de Pays	Evaluación Común de País
CCM/MCP	Country Coordinating Mechanisms	Mécanismes de coordination dans les pays	Mecanismo de Coordinación de País
CEDAW	Convention on the Elimination of All Forms of Discrimination against Women	Convention pour l'élimination de toutes les formes de discrimination à l'égard des femmes	Convención para la Eliminación de todas las formas de discriminación contra la mujer
ICPD/CIPD	Conference on Population and Development	Conférence Internationale sur la Population et le Développement	Confederación Internacional sobre la Población y el Desarrollo
CO	Country Office	Bureau de pays	Oficina de País
COAR	Country Office Annual Report	Rapport Annuel du Bureau de Pays	Informe Anual de la oficina de campo
CPAP/PAPP/PAPP	Country Programme	Plan d'Action du	Plan de Acción del

Below are examples of recurrent acronyms in CPEs			
	ENGLISH	FRENCH	SPANISH
	Action Plan	Programme de Pays	Programa de País
CPD	Country Programme Document	Descriptif du Programme de Pays	Documento de Programa de País
CPN	Prenatal Consultation	Consultation Prénatale	Consulta Prenatal
CSO/OSC/OSC	Civil Society Organization	Organisations de la Société Civile	Organización de la sociedad civil
CSS	South-South Cooperation	Coopération Sud-Sud	Cooperación Sur Sur
D			
DAC/CAD/CAD	Development Assistance Committee (OECD)	Comité d'Aide au Développement (de l'Organisation pour la Coopération et le Développement Economiques)	Comité de Asistencia para el Desarrollo
DEX	Direct Execution (by UNFPA)	Exécution Directe	Ejecución Directa
DHS/EDS/ENDSA	Demographic and Health Survey	Enquête Démographique et de Santé	Encuesta Nacional de Demografía y Salud
E			
ECOSOC	Economic and Social Council of the United Nations	Conseil Economique et social des Nations Unies	Consejo Económico y Social de las Naciones Unidas
EID/EID/DIT	Early Infant Diagnosis	Diagnostic précoce chez les nourrissons	Diagnóstico infantil temprano
EmONC	Emergency Obstetric and Newborn Care	Soins obstétricaux et néonataux d'urgence	Obstétrica de emergencia y atención del recién nacido
eMTCT/eTME/eTMI	Elimination of mother-to-child transmission (of HIV)	Elimination de la transmission (du VIH) de la mère à l'enfant	Eliminación de la transmisión materno infantil (del VIH)
F			
FBO	Faith-based Organization	Organisation confessionnelle	Organización basada en la fe
FGM/C / MGF/E	Female Genital Mutilation/Cutting	Mutilations et ablations génitales féminines	Mutilación y ablación genital femenina
FP/PF	Family Planning	Planification familiale	Planificación Familiar
MHTF/FTSM	Maternal Health Thematic Funds	Fonds Thématique pour la Santé Maternelle	Fondo Temático para la Salud Materna
G			
GBV/VBG/VRG	Gender-Based Violence	Violence basée sur le genre	Violencia por razón de género
GDP/PIB/PIC	Gross Domestic Product	Produit Intérieur Brut	Producto Interno Bruto
GHI/GHI/ISG	Global Health Initiative	Initiative pour la santé mondiale	Iniciativa de Salud Global
GNI	Gross National Income	Revenu National Brut	Ingreso nacional bruto
GPRHCS/ SPSR	Global Programme to Enhance Reproductive Health Commodity Security	Sécurité d'approvisionnement en produits de Santé de la Reproduction	Programa Global para aseguramiento de insumos para Salud Reproductiva
H			
H4+	UNFPA, UNICEF, the World Bank, WHO and UNAIDS	FNUAP, UNICEF, Banque Mondiale, Organisation Mondiale de la Santé, ONUSIDA	UNFPA, UNICEF, OMS, Banco Mundial y ONUSIDA
HACT	Harmonized Approach for	Politique harmonisée	Método armonizado para

Below are examples of recurrent acronyms in CPEs			
	ENGLISH	FRENCH	SPANISH
	Cash Transfer	concernant les transferts de fonds	las transferencias en efectivo
HMIS	Health Management Information System	Système d'information de Gestion de Santé	Sistema de Información de Gestión de la Salud
HQ/SS/OC	Headquarters	Siège Social	Oficina Central
HR/RH/RH	Human Resources	Ressources Humaines	Recursos Humanos
HDI/ IDH/IDH	Human Development Index	Indice de Développement Humain	Índice de Desarrollo Humano
I			
IDP	Internally Displaced Person	Personne déplacée internes	Persona internamente desplazada
IGA/AGR/AGI	Income Generating Activities	Activités Génératrices de Revenus	Actividades generadoras de ingresos
IMF	International Monetary Fund	Fonds Monétaire International	Fondo Monetario Internacional
IDU/DIU	Intrauterine device	Dispositif Intra Utérin	Dispositivo intrauterino
INGO/ OING	International Non-Governmental Organization	Organisation Internationale non-gouvernementale	Organización Internacional no Gubernamental
IPPF	International Planned Parenthood Federation	Fédération Internationale de Planification Familiale	Federación Internacional de Planificación de la Familia
L			
LACRO	Latin America and the Caribbean Regional Office (UNFPA)	Bureau Régional pour l'Amérique Latine et les Caraïbes	Oficina Regional para Latinoamérica y el Caribe
M			
MDG/OMD/ODM	Millennium Development Goals	Objectifs du Millénaire pour le développement	Objetivo de Desarrollo del Milenio
M&E/S&E/MyE	Monitoring and evaluation	Suivi et Evaluation	Monitoreo y evaluación
MMR	Maternal Mortality Ratio	Ratio de Mortalité Maternel	Porcentaje de Mortalidad Maternal
MSM/HSB	Men who have sex with men	Hommes ayant des rapports avec des hommes	Hombres que tienen relaciones sexuales con hombres
MTCT	Mother-to-child Transmission (of HIV)	Transmission (du VIH) de la mère à l'enfant	Transmisión materno infantil (del VIH)
MTR	Mid-Term Review	Revue à mi-parcours	Revisión de Mitad de trimestre
MVA/AMU/AMEU	Manual Vacuum Aspiration	Aspiration Manuelle Intra-Utérine	Aspiración manual intra-uterina
MYFF	Multi-year Funding Framework	Cadre pluriannuel de financement	Marco de Financiamiento Multianual
N			
NEX	National Execution	Exécution nationale	Ejecución nacional
NGO	Non-Governmental Organization	Organisation non-gouvernementale	Organización no gubernamental
O			
OCHA	Office for the Coordination of Humanitarian Affairs	Bureau de la Coordination des Affaires Humanitaires	Oficina de la Coordinación de los Asuntos(Negocios) Humanitarios
ODA/APD/APD	Official development	Aide Publique au	Asistencia oficial para el

Below are examples of recurrent acronyms in CPEs			
	ENGLISH	FRENCH	SPANISH
	assistance	Développement	desarrollo
OECD	Organization for Economic Cooperation and Development	Organisation de Coopération et de Développement Economiques	Organización de Cooperación y de Desarrollos Económico
P			
PBF	Performance-Based Financing	Financement basé sur les performances	Funcionamiento financiación basada
PHC/SSP/ASP	Primary Health Care	Soins de santé primaires	Atención primaria a la salud
PLHIV/PVVIH	People living with HIV	Personne vivant avec le VIH	Personas que viven con el VIH
PMTCT/PTME/PTMI	Prevention of Mother – To-Child Transmission (of HIV during delivery)	Prévention de la transmission (du VIH) de la mère à l'enfant	Prevención de la transmisión materno-infantil (del VIH)
PRSP/DSRP	Poverty Reduction Strategy Paper	Document de Stratégie de Réduction de la Pauvreté	Documentos de estrategia de lucha contra la pobreza
R			
RBM/GAR/DBR	Results-based Management	Gestion Axée sur les Résultats	Dirección A base de resultados
RC/CR/CR	Resident Coordinator	Coordinateur Résident	Coordinador residente
RH/CHR	Regional hospital	Centre Hospitalier Régional	Centro hospitalario regional
S			
SMART (indicators)	Specific, Measurable, Achievable, Realistic and Timely	Spécifique, Mesurable, Réalisable, Réaliste et Opportun	Específico, Mensurable, Lograble, Realista y Oportuno
SPR/RA/IA	Standard Progress Report	Rapport Annuel	Informe Anual
SRH/SR/SSR	Sexual and Reproductive Health	Santé de la Reproduction	Salud Sexual y Reproductiva
SRHR/SSR/SDSR	Sexual and Reproductive Health Rights	Droits de la Santé sexuelle et reproductive	Salud sexual y reproductiva y derechos
STD/MST/ETS	Sexually Transmitted Diseases	Maladies Sexuellement Transmissibles	Enfermedades de transmisión sexual
STI/IST/ITS	Sexually Transmitted Infection	Infection Sexuellement Transmissible	Infección de transmisión sexual
SW/PS/TS	Sex Worker	Professionnel (le) du sexe	Trabajadora Sexual
SWAp	Sector-Wide Approach	Approche Sectorielle	Enfoque Sectorial
T			
TA/AT/AT	Technical Assistance	Assistance Technique	Asistencia técnica
TB	Tuberculosis	Tuberculose	Tuberculosis
TD/DT/DT	Technical Division	Division Technique	División técnica
ToR/TdR/TdR	Terms of Reference	Termes de Référence	Términos de Referencia
U			
UH/CHU/HU	University hospital	Centre Hospitalier Universitaire	Hospital Universitario
UN	United Nations	Les Nations Unies	Naciones Unidas
UNAIDS/ONUSIDA	Joint United Nations Programme on HIV/AIDS	Programme commun des Nations Unies sur le VIH/SIDA	Programa conjunto de las Naciones Unidas sobre el VIH-SIDA
UNCT	United Nations country Team	Équipe de pays des Nations Unies	Equipo de las Naciones Unidas en el país
UNDAF/ MANUD	United Nations	Plan Cadre des Nations	Marco de Asistencia de

Below are examples of recurrent acronyms in CPEs			
	ENGLISH	FRENCH	SPANISH
	Development Assistance Framework	Unies pour l'Aide au Développement	las Naciones Unidas para el Desarrollo
UNDG	United Nations Development Group	Groupe des Nations Unies pour le développement	Grupo de Desarrollo de las Naciones Unidas
UNDP	United Nations Development Programme	Programme des Nations Unies pour le développement	Programa de las Naciones Unidas para el Desarrollo (PNUD)
UNESCO	United Nations Educational, Scientific and Cultural Organization	Organisation des Nations Unies pour l'éducation, la science et la culture	Organización de las Naciones Unidas para la Educación, la Ciencia y la Cultura
UNFPA	United Nations Population Fund	Fonds des Nations Unies pour la Population	Fondo de Población de las Naciones Unidas
UNEG	United Nations Evaluation Group	Groupe des Nations Unies pour l'Évaluation	Grupo de Evaluación de las Naciones Unidas
UNHCR	High Commission for Refugees (of UN/United Nations High Commissioner for Refugees) UNHCR	L'agence des Nations Unies pour les Réfugiés	Alta Comisión de Naciones Unidas para Refugiados
UNICEF	United Nations Children's Fund	Fonds des Nations Unies pour l'enfance	Fondo de las Naciones Unidas para la Infancia
UNV	United Nations Volunteers	Volontaires des Nations Unies	Voluntarios de las Naciones Unidas
UN WOMEN	United Nations Entity for Gender Equality and the Empowerment of Women	Entité des Nations Unies pour l'égalité des sexes et l'autonomisation des femmes	Entidad de las Naciones Unidas para la Igualdad de Género y el Empoderamiento de las Mujeres
V			
VAW	Violence Against Women	Violence contre les femmes	Violencia contra la mujer
W			
WB/BM/BM	World Bank	Banque mondiale	Banco Mundial
WFP/PAM/PMA	World Food Programme	Programme Alimentaire Mondial	Programa Mundial de alimentos
WHO/OMS	World Health Organization	Organisation Mondiale de la Santé	Organización Mundial de la Salud
Y			
YPLHIV/GJVVIH	Young people living with HIV	Jeunes vivant avec le VIH	Gente Joven que vive con VIH

Template 17 - Basic graphs and tables in excel

Evaluators may use 15 pre-prepared graphs and diagrams which they can easily adjust. The evaluation manager should provide to the evaluation team leader the excel macro file (see link below) at the beginning of the design phase of the evaluation.

The relevant data/ years must be entered into the tables and the graphs will be automatically produced based on the entries.

The following graphs are available:

- ODA receipts (graph # 1)
- ODA average for multiple years by donors (graph # 2)
- Origin of programme resources (graph # 3)
- Evolution of expenditure by component (graphs # 4.1 and 4.2)
- Evolution of budget by component (graphs # 5.1 and 5.2)
- Evolution of expenditure by output for the RH component (graph # 6)
- Evolution of implementation capacity (graph # 7)
- Total budget and expenditure evolution (graph # 8)
- Distribution of resources by implementing partner (graph # 9)
- Expenditure by component: regular versus other resources (graph # 10)

The following graphs and corresponding tables are available in the document called:

Final macro for graphs and tables in excel for CPE

This excel document is located at: <http://www.unfpa.org/public/home/about/Evaluation/Methodology>.

PART 3

TOOLS and RESOURCES

ELEMENTS OF THEORY

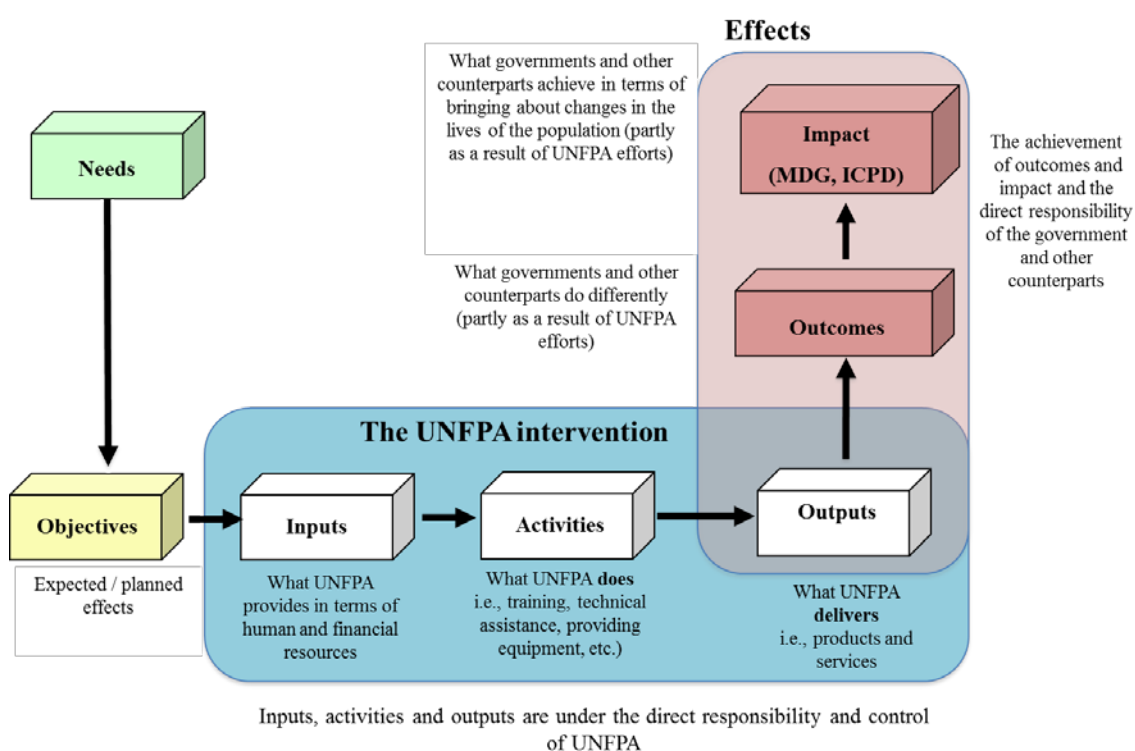
Further explanation on evaluation concepts, approaches and techniques

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 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 programmatic 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 programmatic areas. Further information on needs will 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.⁷⁶

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.

⁷⁶ Atlas is the integrated management information system used by the UNFPA.

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 AWP. ⁷⁷

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 at the International Conference on Population and Development (ICPD).

Box 23: Why does UNFPA exclude the assessment of *impact* from its country programme evaluations?

UNFPA Country Programme Evaluations do not require the assessment of the long-term societal effects of UNFPA support, but instead focus on the identification of the more immediate results of its assistance. This is done for the following reasons:

- **The challenge of attributing impact (or showing contribution to impact):** The intended impacts of UNFPA support (and that of other development partners) generally concern changes in high-level societal conditions, such as reduced poverty or other improvements in the socio-economic situation of women (or other beneficiary groups). These changes are often hard to measure and even harder to link to the support of a single donor, such as UNFPA. The increased use by UNFPA of joint programmes and other aid harmonization mechanisms to deliver its assistance exacerbates this attribution challenge. Under these conditions, CPEs are not the appropriate tool to try to assess impact of UNFPA country programmes.
- **The focus of CPEs on generating programming lessons for the next country programme:** CPEs are primarily intended to produce concrete findings and conclusions as well as actionable recommendations for the subsequent country programme. CPEs are supposed to improve the programming of UNFPA over time and highlight approaches that have worked well, identify the concrete UNFPA practices that have contributed to this success and promote these practices for adoption in other country programmes. However, learning from *impact* assessments is difficult since societal changes are far removed from UNFPA programming decisions.

3.4.2 Evaluation criteria for the analysis of the programmatic 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 when relevance is assessed given that *needs* may change over time. 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:

⁷⁷ It is easier to use the CPAP because it includes all outputs in a single document. AWP include information on the output/s they (the AWP) 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.
- Relevance may also include 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 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: (i) examining whether there has been a (positive) contribution, (ii) and then, whenever possible, assess the extent of such contribution.⁷⁸

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 beneficiaries have been 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.

⁷⁸ The depth of the analysis of this 'extent' will depend on the availability of data on indicators of output and outcome.

- 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, 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 has benefited all intended groups equally or some more than others, and find out the reasons why.
- Check whether the benefits of interventions 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 outputs and outcomes, 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) programmatic area, (ii) by priority within each programmatic 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. CPEs are neither project-level evaluations nor performance audits of country offices. Evaluators should delve into the analysis of organisational aspects only when these appear to be 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:
 - Check whether any planned activities have been cancelled, the reasons why and the implications in terms of producing good quality outputs;
 - Check whether there have been any newly added activities, the reasons why and the implications in terms of producing good quality outputs;
 - Check whether any of the planned activities have been reformulated or (partially) redesigned, the reasons why and the 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 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 manner⁷⁹ -- 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 been terminated prior to the end of the CP.

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 factors such as: political decisions, economic and financial aspects, environmental factors, national ownership and national capacity.

Evaluators should look into the following two aspects when assessing sustainability:

1) Check whether the programme design incorporates sustainability factors

⁷⁹ See the last set of tables in the Glossary in Part 3 for consideration on the retrospective and prospective analysis of evaluation criteria.

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:

- 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 strategies⁸⁰ 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 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, etc. In the event of shortcomings in this regard, assess whether UNFPA has taken 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

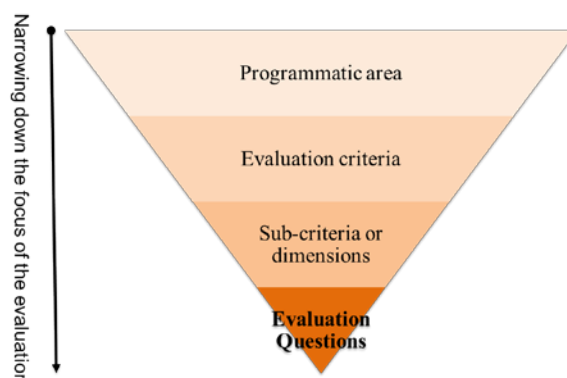
The evaluation questions are used to refine the focus of the evaluation. They are at the core of the CPE exercise. Answers to the evaluation questions will constitute the main body of analysis in the evaluation report and will provide the main inputs that the evaluation will offer for the next programming cycle.

While evaluation criteria encompass a wide range of aspects and features, the evaluation questions are used to focus the evaluation 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.

⁸⁰ An exit strategy is a set of measures and arrangements aimed at minimizing the consequences on the completion of interventions once funding is discontinued.

Formulating evaluation questions is a crucial step in **determining with more precision what evaluators should assess** when conducting the data collection and analysis phase. The evaluation questions function as the reference point to specify the type of data to be collected, its sources, and, in turn, what methods should be used by the evaluators to collect the data.

Figure 20: Evaluation questions for the programmatic areas



Evaluation questions can be **formulated for one or more programmatic area and evaluation criteria**. Whenever evaluation questions for two or more programmatic 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 – coordination with the UNCT and added value.

Note: Types of evaluation questions:

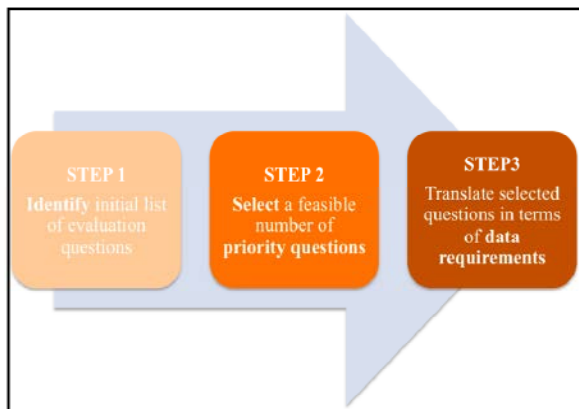
- **Descriptive:** they relate to “what has happened”, without implying any judgment or analysis of how or why it happened -- e.g., *What measures have been introduced to mitigate any undesirable negative effects in the area of gender equality?*
- **Causal:** they are associated with the cause-effect 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) evaluators will look for during the data and analysis phase;
- (ii) identify the *sources* of these data;
- (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 programmatic area component as well as for the strategic positioning component. For the programmatic 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 evaluation managers can draw upon when producing the initial list of evaluation questions are:

- The list of evaluation questions proposed by UNFPA Evaluation Office;
- The analysis of the country programming documents (CPD, CPAP, AWP) 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.

During the design phase, 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;

- Check whether the question deals with an issue that is *particularly urgent or important* to address. For example, this includes questions related to controversial aspects, to the identification of best practices, or to the effects of pilot interventions.

When it is clear that the usefulness of the answers will be high, evaluators should however ensure 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 the evaluation 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;⁸¹
- 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:⁸² evaluators could use the “assumptions to be assessed”, the “sources of information” and the “methods and tools for data collection” columns in the matrix to assess 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 be advisable to classify the evaluation questions by high, medium and low feasibility. Combining the feasibility and potential usefulness

⁸¹ Usually, primary sources provide the raw data and secondary sources help understand it.

⁸² 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.

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.

 Tool 5 in Tools for structuring information provides an example of how an evaluation questions' selection matrix could be used when selecting priority questions.

Evaluation questions related to UNFPA support in humanitarian settings

The list of evaluation questions for UNFPA support humanitarian settings is derived from the “Humanitarian Response Strategy – Second Generation” of UNFPA adopted in January 2012. The overall goal of that strategy is “[m]ainstreamed humanitarian programming that contributes to UNFPA’s overarching goal of achieving universal access to SRH (including family planning) to promote reproductive rights; to reduce maternal mortality; and to accelerate progress on the ICPD agenda and MDG 5 (A and B), in order to empower and improve the lives of underserved populations, especially women and young people (including adolescents)”.

The formulation of this goal indicates that the substantive focus of the humanitarian strategy is closely aligned with the focus of the revised results framework of the 2008 – 2013 Strategic Plan of UNFPA. In effect, the five outcomes of the Humanitarian Response Strategy are directly associated with five of the seven outcomes of the UNFPA Strategic Plan.⁸³

The main aim of the Humanitarian Response Strategy is thus to facilitate an operational shift in the leadership and management of humanitarian programming from headquarters to regional, sub-regional and country offices. The goal is to increase the efficiency and effectiveness of UNFPA preparedness, response and recovery programmes. Pursuing the five substantive outcomes of the UNFPA Strategic Plan in humanitarian settings is therefore primarily a matter of developing the appropriate organisational capacity within UNFPA country offices and other relevant entities at country level (and within regional and sub-regional offices) to enhance their ability for delivering humanitarian assistance in a flexible manner and in concert with the other actors within the humanitarian sphere.

The evaluation questions (in Table 10: list of standard evaluation questions) for humanitarian programming cover in particular the six outputs from the results framework of the Humanitarian Response Strategy which outline the areas in which the capacity of UNFPA and its partners for humanitarian programming and assistance is meant to be strengthened.

Outcomes and Outputs from the UNFPA Humanitarian Response Strategy (2012)

Outcomes	Related Outputs
Outcome 1: Increased access to and utilization of quality maternal and newborn health services	Output 1: Increased capacity of UNFPA Regional, Sub-Regional, Country Offices and partners to implement the Minimum Initial Service Package (MISP) in humanitarian settings
Outcome 2: Increased access to and utilization of quality HIV- and STI-prevention services especially for young people (including adolescents) and other key populations at risk	Output 2: Enhanced Capacity of Country Offices for planning, implementation and monitoring of prevention programmes to reduce the transmission of STI and HIV/AIDS in Humanitarian Settings
Outcome 3: Gender equality and reproductive rights advanced particularly through advocacy and implementation of laws and policy	Output 3: Strengthened country office capacity for implementation of international agreements, national legislation and policies in support of gender equality and reproductive rights in humanitarian settings
	Output 4: Strengthened national capacity for addressing gender-

⁸³ Outcome 2 (Maternal and Newborn Health Services), Outcome 4 (HIV / STI-related services), Outcome 5 (Gender Equality), Outcome 6 (SRH services and sexuality education for young people) and Outcome 7 (data availability and analysis)

Outcomes	Related Outputs
	based violence (GBV) and provision of quality services, including in humanitarian settings
Outcome 4: Improved access to SRH services and sexuality education for young people (including adolescents)	Output 5: Strengthened programming for essential sexual and reproductive health services to marginalized adolescents and young people in humanitarian settings
Outcome 5: Improved data availability and analysis around population dynamics SRH (including family planning) and gender equality	Output 6: Enhanced capacity of Regional, Sub-Regional, Country Offices for the production, utilization and dissemination of quality demographic data on population dynamics, youth, gender and SRH, in humanitarian programming

PART 3

TOOLS and RESOURCES

GLOSSARY

A digest of methodological terms, tips on how to use them and clarifications on methodological approaches

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	<p>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. AWP should provide information on the planned activities.</p> <p>→ Tip: <i>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.</i></p>
Effects	Intended or unintended changes due directly or indirectly to an intervention. Effects correspond to the actual outputs, outcomes and impact.
Outputs	<p>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.</p> <p>→ Tip: <i>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.</i></p>
Outcomes	<p>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.</p> <p>→ Tip: <i>the main two differences between outputs and outcomes are:</i> <i>(i) outputs are the control of the country office whereas outcomes are not; outcomes also depend on actions of others and on external factors outside the control of the country office;</i> <i>(ii) outcomes are effects at a higher level than outputs.</i></p>
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	<p>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.</p> <p>→ Tip: <i>impact is a generic word for development results. In the context of a CPE they can be regarded as equivalent terms.</i></p>

DEFINITIONS Evaluation criteria for the analysis of the programmatic areas	
Evaluation criteria	Evaluation criteria are <i>perspectives</i> or <i>viewpoints</i> from which we look at what is being evaluated.
Relevance	<p>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.</p> <p>Particular aspects: differentiate the relevance of the objectives on the basis of whose needs are being assessed</p> <p>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.</p> <p>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.</p> <p>→ Tip: While relevance look at the UNFPA actions in relation to national counterparts' requirements and the national context, 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").</p>
Effectiveness	<p>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.</p> <p>Particular aspects: also assess the degree of achievement of unintended effects.</p> <p>→ 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.</p>
Efficiency	<p>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.)</p> <p>Particular aspects: how inputs are converted into 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 is organized in terms of personnel and programmatic resource allocations to ensure the delivery of outputs.</p> <p>→ Tip: with efficiency, we do not focus on whether outputs have been achieved and to what extent, as this is part of the effectiveness criterion. Instead, we look at the relationship between outputs and the resources that have been employed to achieve them.</p>
Sustainability	<p>The continuation of benefits from a development intervention after major development assistance has ended.</p> <p>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.</p>

→ **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 into the analysis of sustainability. In particular, it will enable an analysis – albeit partial – of the factors behind actual/real sustainability.

DEFINITIONS	
Evaluation criteria for the analysis of the strategic positioning	
Coordination with the UNCT	<p>The extent to which UNFPA has been an active member of and contributor to the existing coordination mechanisms of the United Nations Country Team.</p> <p>Particular aspects: Check the contribution of the country office to the UNCT and assess how it has positioned itself vis-à-vis the UNCT in the country. Assess the extent to which UNFPA has been an active member of, and contributor to, the existing coordination mechanisms of the UNCT. Important aspects include:</p> <ul style="list-style-type: none"> (a) the record of participation of UNFPA representatives in UNCT coordination meetings (such as minutes of UNCT meetings); (b) the responsibilities assumed during these meetings; (c) contributions made.
Added value	<p>The extent to which the UNFPA country programme adds benefits to what would have resulted from other development actors’ interventions only.</p> <p>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).</p>

CLARIFICATIONS
On methodological concepts and approaches

The importance of the distinction between *actual* and *planned*

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 AWP). 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.⁸⁴ 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 core of country programme evaluations. Evaluators should be acquainted with activities and inputs, yet CPEs are not project-level evaluations and therefore do not entail using activity checklists to verify meticulously whether activities have been

⁸⁴ 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.

implemented or not. Activities and inputs should be examined bearing in mind that the focus is the 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?

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 the extent to which positive changes (outcomes) are a consequence (at least in part) of UNFPA interventions. Evaluators should not attempt to conduct attribution analysis;⁸⁵ instead, they should explore whether there are indications of UNFPA contribution.

Moreover, when assessing the contribution of the outputs to the planned outcomes, evaluators should also look at the extent to which the quality and value of UNFPA partnerships (with other development partners, including other UN agencies) has contributed to the achievement of planned outcomes.

→ **Reminder:** *whereas outputs are the full responsibility of the country office and are under UNFPA control, outcomes are outside of the control of UNFPA. The mandate of country offices is to support governments and other direct counterparts in undertaking actions that ultimately have an impact on beneficiaries. Achieving the outcomes will require partner country actions and decisions, as well as support from other development partners.*

Retrospective and prospective analysis and the evaluation criteria

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.

⁸⁵ Attribution analysis would entail explaining which part of the achievement of the outcomes is directly attributable to UNFPA.



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<http://www.unfpa.org/admin-resource/how-design-and-conduct-country-programme-evaluation-unfpa>