

2014

ANALYSIS OF THE EVALUATION FUNCTION IN THE  
UNITED NATIONS SYSTEM

# Complementary Information

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## **Preface**

This document provides complementary information for the main report and includes the following:

### **Part I: Data Analyses (Quantitative and Qualitative)**

- Provides additional details of the data analysis that was conducted to substantiate the evidence and conclusions made in the report. It also provides details on the performance of the various organizations that is useful for benchmarking purposes.

### **Part II: The Maturity Matrix: An Objective and Standardized Approach for the Assessment of the Level of Development of the Evaluation Function of Organizations of the UN System**

- Presents the comprehensive JIU Maturity Matrix for a high impact central evaluation function. It also provides a description of the methodology for assessing evaluation functions using the maturity matrix.

### **Part III: Questionnaires**

- Includes, questionnaires used in the study; (i) questionnaire on organizations without an established evaluation function, (ii) questionnaire on resources, financing and business models for the evaluation function, (iii) questionnaire for the decentralized evaluation function

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## PART I: Complementary Data Analyses (Qualitative and Quantitative)

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## PART I: COMPLEMENTARY DATA ANALYSES

### (Quantitative and Qualitative)

This part provides complementary analyses to further substantiate the evidence provided in the report. The quantitative analyses are presented in tables and illustration. Further details on other statistical or qualitative analyses conducted can be requested from the JIU.

#### ANNEX 1: Component Configuration, Sub-Components and Indicators

*(The numbers in the table refer to items in the JIU Maturity Matrix used for assessing the central evaluation function.)*

<b>A: Demand for evaluation</b>	
<b>COMPONENT I</b>	<b>Demand and Intentionality</b>
1.	Organizational context
	<ul style="list-style-type: none"> <li>Background of the function</li> <li>Organizational factors affecting function (organization-wide reform initiatives, financial situation, recent developments, etc.)</li> </ul>
2.	Nature and level of demand
	<ul style="list-style-type: none"> <li>Source of demand / Main stakeholders</li> <li>Level and evolution of demand</li> <li>Types of demand (for accountability, improvement, learning/knowledge management, national evaluation capacity development, etc.)</li> </ul>
<b>B: Supply, Adaptation, Growth</b>	
<b>COMPONENT II</b>	<b>The Enabling Environment—Organizational and Institutional Framework for Evaluation and its Adequacy in Responding to Demand</b>
3.	Evaluation architecture - management and conduct of evaluation (descriptive)
	<ul style="list-style-type: none"> <li>A central/corporate level evaluation unit: <ul style="list-style-type: none"> <li>Stand-alone evaluation unit, or</li> <li>Evaluation as part of oversight (Separate unit and Integrated unit)</li> <li>Part of other office (specify)</li> </ul> </li> <li>Management evaluation unit: <ul style="list-style-type: none"> <li>Embedded evaluation units (in departments)</li> <li>Technical unit</li> <li>Programme unit</li> <li>Other (please specify)</li> </ul> </li> <li>Decentralized evaluation units: <ul style="list-style-type: none"> <li>Regional</li> <li>Country level</li> <li>Programme level</li> </ul> </li> </ul>
4.	Governance (descriptive)
	<ul style="list-style-type: none"> <li>Elements of the governance structure <ul style="list-style-type: none"> <li>The legislative/governing body</li> <li>Sub-committee/subsidiary of the legislative/governing body</li> <li>Independent advisory committee (Membership?)</li> <li>Senior management group</li> <li>Other (please specify)</li> </ul> </li> <li>How often is evaluation tabled for discussion? What is the depth of discussion? (focused session on evaluation or as part of other oversight reporting)</li> </ul>
Evaluation architecture (assessment)	
5.	Evaluation architecture (assessment of how it is organized to carry out the function)
Governance (assessment)	
6.	Governance structure (Legislative, Executive and Evaluation) effective
7.	Member State appreciation for/ understanding of evaluation
Mandate, Vision and Policy	
8.	Mandates from governing/legislative bodies
9.	Vision and/or strategy for evaluation
10.	Evaluation Policy
11.	Adoption and adaptation of UNEG Norms and Standards to fit organization
Supporting implementation of the policy	
12.	Promulgation for institutional adoption
13.	Supporting guidelines and/or structures
14.	Monitoring of policy implementation and revision of the policy
Resources	
15.	Dedicated and stable resources (human and financial)
16.	Please specify:
	<ul style="list-style-type: none"> <li>Coverage - Year: <ul style="list-style-type: none"> <li>Organizational budget</li> </ul> </li> </ul>

<ul style="list-style-type: none"> <li>- No. of staff in the organization</li> <li>- Programme budget vs. Budget for evaluation</li> <li>- No. of evaluation staff</li> <li>- Support staff</li> <li>• Breakdown of evaluation budget by: <ul style="list-style-type: none"> <li>- Core/Regular budget vs. Non-core/Extra-budgetary</li> <li>- Staff vs. Non-staff</li> </ul> </li> <li>• Breakdown of evaluation budget by type of activity (which take up the bulk of resources?): <ul style="list-style-type: none"> <li>- Evaluation reports</li> <li>- No. of evaluation reports</li> </ul> </li> </ul> <p><b>ANNEX 1 CONTINUED</b></p> <ul style="list-style-type: none"> <li>- Lessons learned, guidance notes</li> <li>- Support to decentralized evaluations</li> <li>- Annual reporting</li> <li>- Follow up system</li> <li>- Knowledge production/management</li> <li>- Communication and outreach</li> <li>- Transactions costs in mobilizing resources</li> <li>- Other activities</li> </ul> <p>17. Costing: Normative framework / formulae</p> <p>18. Non-core/ extra budgetary resources</p> <p>19. Adequacy of resources</p>
<p>Results and accountability and learning oriented organization</p> <p>20. RBM framework</p> <p>21. Other support systems for decision making, learning and accountability</p> <p>22. Leadership and support from management</p> <p>23. Organizational culture for results, accountability, and learning</p>
<p><b>COMPONENT III      Relevance, Responsiveness, Efficiency and Adaptability</b></p>
<p>Relevance to stakeholder demands and coverage</p> <p>24. Planning for coverage (see criteria below)</p> <p>25. The following planning/selection criteria are used (check as applicable)</p> <ul style="list-style-type: none"> <li>- Organization strategic plan / priorities</li> <li>- Risk assessments</li> <li>- Internal and external stakeholder demand</li> <li>- Emerging / global trends</li> <li>- Coherence with other organizations plans</li> <li>- Evaluability assessment</li> <li>- Funding amount</li> <li>- Up-scaling value</li> <li>- Others (please specify)</li> </ul> <p>26. Types of support to decentralized or technical evaluation functions by the central evaluation unit (check as applicable):</p> <ul style="list-style-type: none"> <li>- Guidance materials and handbooks</li> <li>- Trainings</li> <li>- Strategy and planning</li> <li>- Quality assurance (please specify) : _____</li> <li>- Evaluability enhancement (please specify): _____</li> <li>- Other (please specify) : _____</li> <li>- % of unit's time spent supporting decentralized or technical evaluation functions: ____</li> </ul> <p>27. Balancing activities to respond to changing conditions and demands (see below)</p> <p>28. Balancing demands for:</p> <ul style="list-style-type: none"> <li>- Core evaluations to address strategic organizations decision making vs. decentralized evaluation (quality, building blocks for evaluation, and so on)</li> <li>- Evaluations to respond to reforms and organizational initiatives (driving organizational change) vs. developing a learning organization (culture of evaluation and use)</li> <li>- Accountability and value for money vs. learning and feeding knowledge into strategies, and engaging in discussions for sustained relevance and effectiveness</li> <li>- Internal focus vs. global outreach and visibility</li> <li>- Internal focus vs. innovations in methodology and advancing development evaluation and other development work in evaluation</li> <li>- Internal evaluation capacity development vs. national evaluation capacity development</li> <li>- Budget cuts vs. expanding work programme and increased efficiency</li> <li>- Other (please specify)</li> </ul> <p>29. Actual Coverage (see areas below)</p> <p>30. Levels of coverage</p> <ul style="list-style-type: none"> <li>- Levels of activity: (strategic issues, programmes, normative, projects, non-project operational)</li> <li>- Levels of operation: (country, regions, global, inter-agency)</li> <li>- Levels of results: (outputs, outcomes, impact)</li> <li>- Level of coverage of themes/focuses areas of the organization (Specify)</li> </ul>
<p>Responsiveness to UN Reform, NECD, Global challenges, and Gender and Human Rights</p> <p>31. Support to Decentralized/ self/Management evaluations functions by the central evaluation unit</p> <p>32. Participation in UNEG</p> <p>33. System wide harmonization, collaboration, coherence and efficiency</p> <p>34. National Evaluation Capacity development (NECD) (see initiatives below)</p>

<p>35. Please check NECD initiatives undertaken:</p> <ul style="list-style-type: none"> <li>- Mandate for NECD</li> <li>- Policy for NECD</li> <li>- Vision and integrated strategy and /or work plan for NECD</li> <li>- Engaging perspectives of nationals (including experts and institutions) in the conduct of evaluations</li> <li>- Including nationals in reference groups and advisory panels</li> <li>- Evaluations led by national experts or institutions</li> <li>- Others (please specify)</li> </ul> <p>36. Gender and Human Rights and Diversity in perspectives</p> <p>37. Global challenges: the UN in the 21<sup>st</sup> century</p>
<p>Efficiency</p> <p>38. Criteria and measures of efficiency (see below)</p> <p>39. Efficiency measures (check as applicable):</p> <ul style="list-style-type: none"> <li>- Staff/output ratios</li> <li>- Financial cost/output ratios</li> <li>- Internal versus external outsourcing (business model)</li> </ul> <p><b>ANNEX 1 CONTINUED</b></p> <ul style="list-style-type: none"> <li>- Collaboration and joint planning and work to enhance coherence and limiting transaction costs for all</li> <li>- Use of national system for sustainability and longer term value</li> <li>- Harmonized approaches</li> <li>- Cost vs. utility measures</li> <li>- Others (please specify)</li> </ul> <p>40. Actual efficiency</p>
<p>Adaptability and Continuous improvement</p> <p>41. Continuous assessment of the fulfilment of the policy/ norms and standards (see initiatives below)</p> <p>42. Initiatives for adaptability and continuous improvement of the function (check as applicable):</p> <ul style="list-style-type: none"> <li>- Active member of UNEG</li> <li>- UNEG Self-Assessments and decisions based on these</li> <li>- UNEG Peer Review and changes based on review,</li> <li>- Internal assessments and on-going improvement</li> <li>- Independent external reviews (commissioned by Board or donors)</li> <li>- Reviews by Member States</li> <li>- Others (please specify)</li> </ul> <p>43. Contributions to the advancing evaluation in the context of the UN system's work (see below)</p> <p>44. Initiatives for advancing evaluation in the context of the UN system's work (check as applicable):</p> <ul style="list-style-type: none"> <li>- Innovations in evaluation (please specify)</li> <li>- New methods for what the UN does and how it does its work and addressing complicated contest and complex evaluands: (e.g. system models; assessment and configuration of evaluand; assessing normative work; assessment of soft assistance, real-time evaluation)</li> <li>- Efficient use of knowledge assets (e.g. meta-analyses)</li> <li>- Impact evaluation: project level with attribution analysis; long-term impact assessment of complex evaluations; joint impact evaluations (beyond UNDAF?)</li> <li>- Proactiveness/Awards in engaging in global/wider platforms and making positive changes</li> </ul>
<p><b>COMPONENT IV Credibility: Impartiality and Balanced Perspectives (Independence, Inclusion and Stakeholder Involvement )</b></p>
<p>Structural Independence and Head of Evaluation Unit (applies to central/corporate function only)</p> <p>45. Positioning of the central evaluation function in the organization</p> <p>46. Appointment of Head of Evaluation (Head of Oversight)</p> <p>47. Term of Head and rotation in the organization</p>
<p>Functional Independence (applies to central/corporate function only) – Planning, Management, and Delivery of output</p> <p>48. Development and issuance of evaluation reports</p> <p>49. Planning of work programme (PoW)</p> <p>50. Independence of budgetary process</p> <p>51. Access to information</p> <p>52. Allocation and management of evaluation resources (including staffing)</p> <p>53. Annual Report to Member States on evaluation</p>
<p>Built in mechanisms for impartiality</p> <p>54. Controls and stakeholder involvement for balanced perspectives and impartiality (see below)</p> <p>55. Controls and stakeholder involvement for balanced perspectives and impartiality (check as applicable):</p> <ul style="list-style-type: none"> <li>- Use of consultants as Independent authors of the report, Experts to conduct the evaluation on behalf of the organization and Experts to input on specific aspects of the evaluation</li> <li>- Evaluation Management / Reference / Independent Advisory Groups made up of Key internal stakeholders, Member States, Peers/experts from other UN organizations, Peers/experts from outside the UN</li> <li>- External Readers</li> <li>- Formal endorsement of report by Evaluation Management/Reference/ Independent Advisory Groups or External Readers</li> <li>- Periodic meetings with stakeholders and transparency regarding the evaluation</li> <li>- Audit trail of all sources of information including interview notes, comments and suggestions</li> <li>- Others (please specify)</li> </ul>
<p>Professional/Technical Independence</p> <p>56. Evaluators and managers of evaluation</p> <p>57. Professional Integrity of the evaluation function (free from controls of other disciplines when co-located)</p> <p>58. Absence of conflict of interest (See below)</p> <p>59. Potential conflict of interest addressed (check as applicable):</p> <ul style="list-style-type: none"> <li>- Biases resulting from previous work</li> </ul>



<ul style="list-style-type: none"> <li>- Biases or relationships which may interfere with independence</li> <li>- Responsibilities for the development or implementation of recommendations</li> <li>- Intention for future work with evaluands</li> </ul>
<p>Behavioral Independence (applies to both central and decentralized functions)</p> <p>60. Role of evaluators and managers of evaluations</p> <ul style="list-style-type: none"> <li>- Abide by code of conduct, ethical guidelines and UN regulations</li> <li>- Abide by codes for cultural sensitivity to context factors, beliefs, manners, customs and cultures</li> <li>- Abide by professional ethics for measurement, evaluation, and reporting</li> <li>- Maintain high standards of professional and personal integrity for independence and quality – transparency, balanced, objective Role of staff across the organization</li> </ul> <p>61. Role of staff across the organization</p> <ul style="list-style-type: none"> <li>- Provide full access to information</li> <li>- Abide by rules for safeguarding the evaluation process and products</li> <li>- Commitment, intention and integrity senior management and staff (who want to use the evaluation results)</li> </ul> <p><b>ANNEX 1 CONTINUED</b></p> <p>62. Role of Member States</p> <ul style="list-style-type: none"> <li>- Provide a balanced and non-politicized view in working for the best interest of the UN system when interpreting and using information from evaluations</li> </ul>
<p><b>COMPONENT V      Credibility: Validity and Reliability (Technical Quality)</b></p>
<p>Evaluators and Evaluation Teams: Staff and consultant quality</p> <p>63. Staff competencies</p> <p>64. Consultant competencies</p> <p>65. Methodologies and types of evaluation</p> <p>66. Professional development of staff</p>
<p>Conditions in place to ensure quality and consistency in the application of standards and approaches</p> <p>67. Technical and Managerial guidelines and tools</p> <p>68. Controls and stakeholder involvement at various stages of the evaluation to ensure quality / content validity (see below)</p> <p>69. Controls and stakeholder involvement to ensure quality / content validity (check as applicable):</p> <ul style="list-style-type: none"> <li>- Internal quality assurance tools (based on evaluation norms and standards) at various stages of the evaluation (checklists, templates, etc.); Internal peer review mechanisms</li> <li>- UNEG quality checklists</li> <li>- Expertise and mix of team members</li> <li>- Use of consultants as evaluation and thematic experts</li> <li>- Reference / Advisory Groups made up of (Internal experts, Experts from other UN organizations, and Experts from outside the UN)</li> <li>- External Readers</li> <li>- Formal endorsement of report by Reference / Advisory Groups or External Readers.</li> <li>- Periodic meetings with stakeholders at various stages of the evaluation, validating the evaluating results</li> <li>- Others (please specify):</li> </ul> <p>70. Empirical/objective assessments of evaluation reports and compliance with N&amp;S and other requirements</p> <p>71. Type of assessment (check as applicable):</p> <ul style="list-style-type: none"> <li>- Internal assessment of reports on the basis of UNEG, N&amp;S, other criteria</li> <li>- External assessment of reports on the basis of UNEG N&amp;S, other criteria</li> <li>- Statements by Board, internal stakeholders</li> </ul> <p>72. Quality of reports (corporate/central level)</p> <p>73. Support to Decentralized or Technical evaluation functions by the central evaluation unit</p> <p>74. Types of support to decentralized or technical evaluation functions by the central evaluation unit (check as applicable):</p> <ul style="list-style-type: none"> <li>- Guidance materials and handbooks</li> <li>- Trainings</li> <li>- Strategy and planning</li> <li>- Quality assurance (please specify)</li> <li>- Evaluability enhancement (please specify)</li> <li>- % of unit's time spent supporting decentralized or technical evaluation functions</li> <li>- Other (please specify)</li> </ul>
<p><b>C: Results</b></p>
<p><b>COMPONENT VI      Utility and Potential Impact</b></p>
<p>Conditions in place to enhance use</p> <p>75. Dissemination and communication strategy</p> <p>76. Timeliness in meeting stakeholder demands</p> <p>77. Recommendation tracking system</p> <p>78. Accessibility and transparency</p> <p>79. Sharing of evaluation results and lessons internally, sharing of evaluation results externally</p>
<p>Outcome Level : Nature and level of use</p> <p>80. Recommendation Implementation rates</p> <p>81. Nature of use for both central and decentralized evaluation reports (check as applicable):</p> <ul style="list-style-type: none"> <li>- High level – For developing corporate strategies and policies for strategic decision making in the organization</li> <li>- Mid-level – For management and broader programmatic decisions</li> <li>- Implementation level – For decisions on project and programme implementation</li> </ul> <p>82. Use of strategic decision-making and direction setting (level)</p> <p>83. Corporate summative – overall programmatic improvement and strategies</p> <p>84. Formative – Specific project and programmes and how they work and adjustments</p> <ul style="list-style-type: none"> <li>- Use for on-going adjustments at project and programme level</li> <li>- Others (please specify)</li> </ul> <p>85. Use external to organization</p>

Impact level: Effect of use
86. Impact following implementation of recommendations
87. Effect of use on organizational effectiveness and value for the UN: Indicators and evidence of impact
<b>Section VII: Direction Setting / Reflections on the Evaluation Function Moving Forward</b>
1. What is the focus of your organization moving forward? (Next steps, key initiatives planned, etc.)?
2. What challenges remain for your organization? How could these be addressed?
3. What challenges remain for the UN system? How could these be addressed?
4. How could the UN system become more proactive in advancing evaluation in the context of its work?
5. Do you have any further suggestions for the JIU in the context of this analysis?

## Annex 2A: Types of evaluation, number of evaluations over a two year period, cost per evaluation\* and unit cost per evaluation (Central evaluation function)

Organization	Upper columns: number of report, Lower columns: cost per report										Total number of reports	Total expenditure of all reports	Unit cost per report
	Thematic	Country	Regional	Global	Inst/Org	Project/Large	Project/Small	Joint	Other/simpl	Other/large			
UNIDO	4	7				37	12	3			63		
	70,000	60,000				50,000	35,000	45,000				3,105,000	49,286
IMO	1										1		
	150,000											150,000	150,000
WIPO		2		1		4				1	8		
		142,190		94,675		78,416				54,509		747,228	93,404
UNEP	4	1		1		15	25	2	2		50		
	100,000	80,000		120,000		60,000	30,000	120,000	20,000			2,530,000	50,600
UNESCO		3		12	2						17		
		10,000		30,000	30,000							450,000	26,471
IAEA							20				20		
							131,580					2,631,600	131,580
WMO										1	1		
										50,000		50,000	50,000
UNHCR	8	11	3	6				6			34		
WFP	1	8	1	1	1			3		7	22		
	360,000	220,000	300,000	360,000	360,000					275,000		5,065,000	230,227
Un Women	2							1			3		
	350,000							420,000				1,120,000	373,333
FAO	7	5			2	40	14	1			69		
	500,000	200,000			400,000	80,000	35,000	50,000				9,040,000	131,014
WHO	1				3				2		6		
	100,000				75,000				180,000			685,000	114,167
UNRWA	1			2	1	13	13	2			32		
	50,000			100,000								250,000	83,333
ICAO	1		1	1	1		1				5		
ITC	3		1	3		1					8		
	119,932		10,936	62,735		69,446						628,383	78,548
UNFPA	1	2						1			4		
	92,400	100,000						340,000				632,400	158,100
UNICEF				4	3			2			9		
				255,483	440,024			67,652				2,477,308	275,256
ILO	4	7		4		78	49				142		
	40,000	60,000				40,000	25,000					4,925,000	35,688
UNCTAD							10				10		
							12,000					120,000	12,000
UNDP	3	10	5	2				5			25		
	350,000	150,000	350,000	350,000								5,000,000	250,000
UN Habitat	2	2	1	3	4	2	2				16		
	45,000	65,000	68,000	80,000	50,000	35,000	50,000					898,000	56,125
UNOIOS	6									16	22		
	295,383									572,556		10,933,194	496,963
UNODC			3	3	1	26					33		
			60,000	80,000	50,000	30,000						1,250,000	37,879
Total	49	58	15	43	18	216	146	26	4	25	600	52,688,113	87,814

Summary										
Total expenditure on reports \$	9064494	5824380	2308936	3524812	3015072	10303110	5736600	1320304	400000	11190405
Unit cost per report \$	184,989.67	100,420.34	153,929.07	81,972.37	167,504.00	47,699.58	39,291.78	50,780.92	100,000.00	447,616.20
Cost range \$	40,000-3,60,001	10,000-22,0000	10,000-3,50,000	30,000-3,60,000	30,000-4,50,000	30,000-80,000	12,000-1,35,000	45,000-4,20,000	20,000-1,80,000	50,000-2,80,000

The cost per evaluation represent in the variable costs per evaluation and didnot include fixed cost

\*The cost per evaluation is the variable cost per evaluation and does not include fixed staff or management costs for the evaluation.

Source: Questionnaire on Resources, Financing and Business Model of the Central Evaluation Function.

## Annex 2B: Inputs and Outputs (i.e. Evaluation reports) of the Central Evaluation Function

INPUT						
Central Evaluation Unit Expenditure	Staff Cost			Non staff (consultants) Cost	Other costs	
	53,471,127			21,856,019	13,339,015	
Number of staff(full time equivalent) and consultant	D2-D1	P5-P4	P3-P1	General Service Staff	Consultants	
	14.65	96.3	49.2	39.05	988.5	
	160.15					

OUTPUT REPORTS			
Types of reports	Complex reports*	Project reports**	Other types of reports***
Number of reports	209	362	29
Number of organizations (Total number of organizations: 23)	20	12	6
Average cost per report	160,628	47,880	399,699
Cost range per report	10,000-500,000	12,000-131,580	20,000-572,556

\*Complex reports = Thematic, country, regional, global programmes, joint evaluation

\*\* Projects identified as Large and Small Projects

\*\*\*Other types of reports: Reports assessing institutional set ups and reports agreed to under various partnerships

Source: Responses & Questionnaire on Resources, Financing and Business Model of the Central Evaluation Function.

### Annex 3: Business Models for the Conduct of Evaluation in Central Evaluation Offices

**Type of model and number of evaluations per model by organization**

	Model 1 Commissioned with external Accountability	Model 2 Managed and Accountability Internally Conduct externally led	Model 3 Management, Leadership and Accountability Internal with some expert support	Model 4 All Internal and no outsourcing	Model 5 Other models
UNDP			20		
UN OIOS	(NR)				
WFP		22			
UNICEF		Yes			
WHO	2	1	1		11 (DE)
UNHCR		20	5	4	5
FAO		69			
UNESCO		14		3	
UNFPA		3	2		
ILO		150	6		
UNRWA		2			X (DE)
UNEP		45	3		
IAEA			16		
WIPO			3		
UNAIDS					
UNIDO		52	11		19 (DE)
UNODC(NR)					
UN Habitat		16			
ICAO			5		
UN Women		3			
UNCTAD		11			
ITC	3	8			
WMO				2	
IMO		1			
<b>TOTAL</b>	<b>5</b>	<b>417</b>	<b>72</b>	<b>9</b>	<b>35</b>

*\*Models of the Central Evaluation Function for the conduct of evaluation*

- A. **Model 1: Commissioning** – The full responsibility, accountability, and final report is contracted out to an external independent source
- B. **Model 2: Management** is by the unit with external contractual services for roles of team leader and members of the evaluation team
- C. **Model 3: Evaluation management and team leadership** is all done by the Evaluation Unit with special tasks for the evaluation contracted out
- D. **Model 4: Full management and conduct** by the unit (no outsourcing)
- E. **Model 5: Other models** and provide the requested information

DE refers to decentralized evaluation reports with input or quality assurance by the central function.

Source: Questionnaire on Resources, Financing and Business Model of the Central Evaluation Function

## Annex 4: Pace of development among organizations

### Organization by level of maturity by number of components

Organization	Number of components:						
	Level 1	Level 2	Transitioning to Level 3	Level 3	Transitioning to Level 4	Level 4	Level 5
	1.0-3.0	3.0-4.0	4.1-4.9	5.0-6.0	6.1-6.9	7.0-8.0	8.1-10.0
<b>Cluster 1</b>							
UNDP					1	4	
WFP				1	2	2	
ILO				1	2	2	
UNIDO				1	3	1	
UNICEF				1	4		
UN OIOS				2	3		
UN Women				1	4		
UNESCO				2	3		
UNFPA				2	3		
<b>Cluster 2</b>							
FAO				3	2		
IAEA				4	1		
UNEP				4	1		
UNAIDS			1	3	1		
UNODC			1	4			
WIPO			2	2	1		
<b>Cluster 3</b>							
ITC			4	1			
WHO		1	3	1			
UNCTAD		2	2	1			
UN-Habitat		3	2				
ICAO	1	2	1	1			
UNHCR		3	2				
IMO		4	1				
WMO	1	3	1				
UNRWA	2	2	1				
<b>Cluster 4</b>							
ITU							
UNOPS							
UPU							
UNWTO							

## Annex 5: Pace of development among organizations on the five components:

### Organization by type of component by level of maturity

U - Utility and potential impact)
E - Enabling environment
R - Relevance, responsiveness, adaptability
I - Independence, impartiality with inclusion (Credibility)
V - Validity and reliability (Credibility)

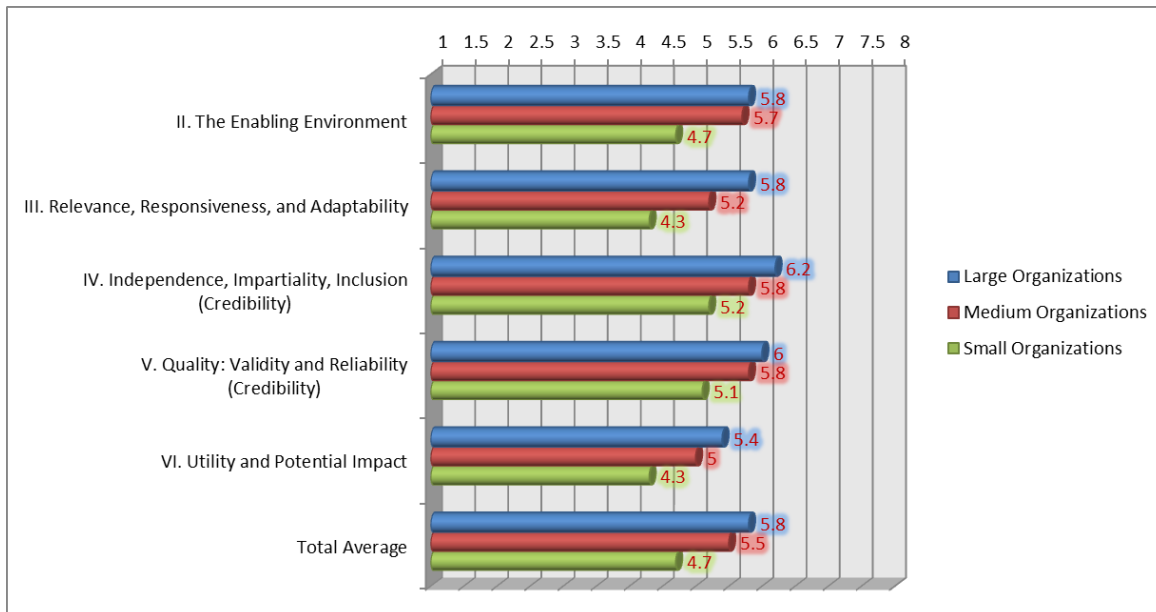
Organizations	Level of Maturity and Component by level						
	Level 1	Level 2	Transition to level 3	Level 3	Transition to Level 4	Level 4	Level 5
	1.0-3.0	3.0-4.0	4.1-4.9	5.0-6.0	6.1-6.9	7.0-8.0	8.1-10.0
<b>Cluster 1</b>							
UNDP					1	4	
					U	E	
						R	
						I	
						V	
WFP				1	2	2	
				U	E		
					R		
						I	
						V	
ILO				1	2	2	
				U			
					R		
					I		
						E	
UNIDO				1	3	1	
				U			
					E		
					I		
					V		
UNICEF				1	4		
				U			
					E		
					R		
					I		
UN OIOS				2	3		
				R			
				U			
					E		
					I		
UN Women				1	4		
				U			
					E		
					R		
					I		
UNESCO				2	3		
				R			
				V			
					E		
					I		
UNFPA				2	3		
				V			
				U			
					E		
					R		
<b>Cluster 2</b>							
FAO				3	2		
				E			
				R			
				U			
					I		
IAEA				4	1		
				E			
				R			
				V			

				U	I		
	Level 1	Level 2	Transition to level 3	Level 3	Transition to Level 4	Level 4	Level 5
	1.0-3.0	3.0-4.0	4.1-4.9	5.0-6.0	6.1-6.9	7.0-8.0	8.1-10.0
UNEP				4			
				E			
				R			
				I			
				U			
UNAIDS			1	3	V		
			R	1			
				I			
				V			
				U			
UNODC				E			
			1	4	E		
			R				
				I			
				V			
WIPO				U			
			2	2	2		
			R				
			U				
				E			
Cluster 3							
ITC			4	1			
			E				
			R				
			I				
			U				
WHO				V			
		1	3	1			
		U					
			E				
			R				
UNCTAD			V				
		2	2	2			
		R					
		U					
			E				
UN-Habitat			V				
		3	2	1			
		E					
		R					
		U					
ICAO			I				
			V				
	1	2	1	1			
	U						
		E					
UNHCR		R					
		V					
		U					
			R				
			I				
IMO		3	2				
		E					
		R					
		V					
			I				
WMO			U				
	1	3	1				
	R						
		E					
		V					
UNRWA		U					
			I				
	2	2	1				
	E						
Cluster 4							
ITU							
UNOPS							
UPU							
UNWTO							

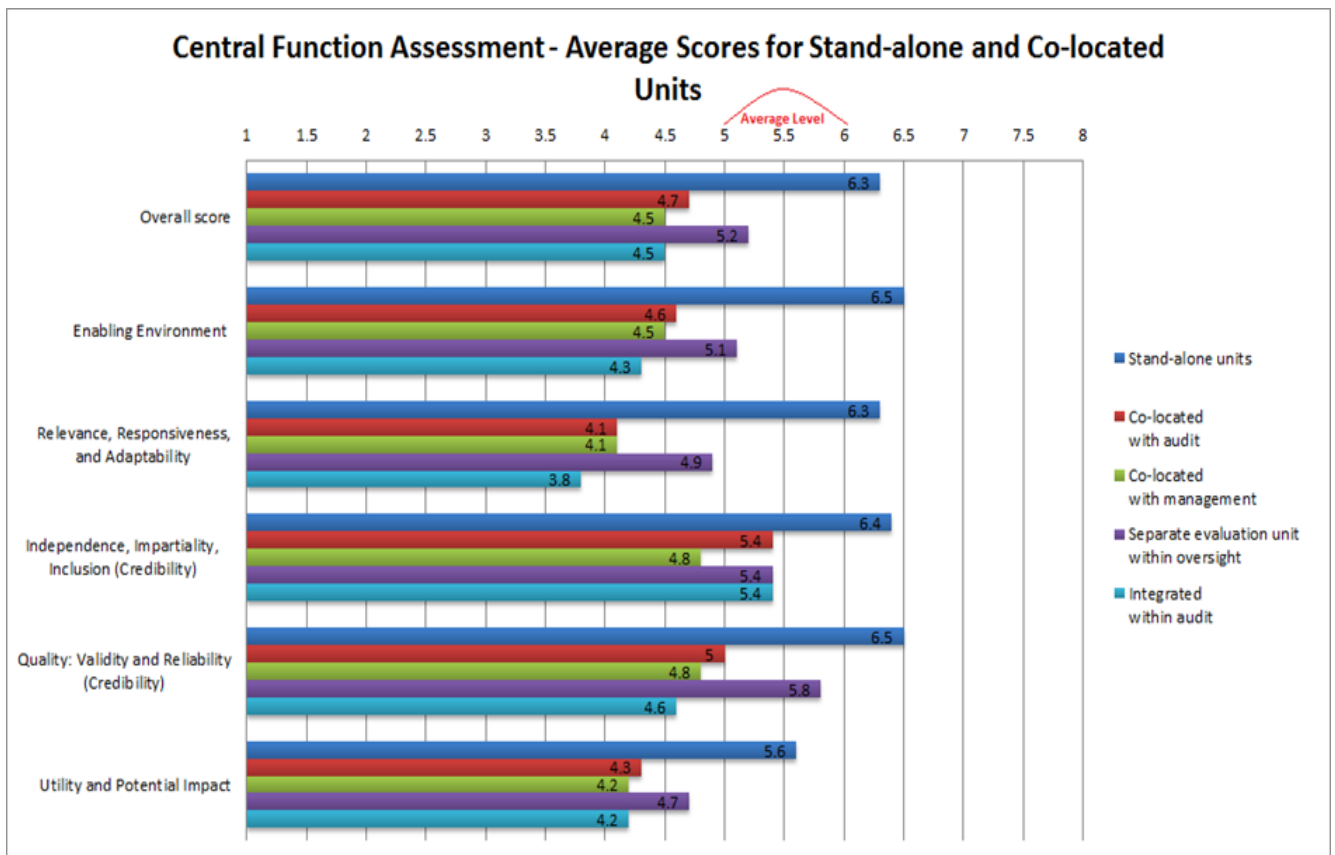


## Annex 6: Effect of Size and Structural Location

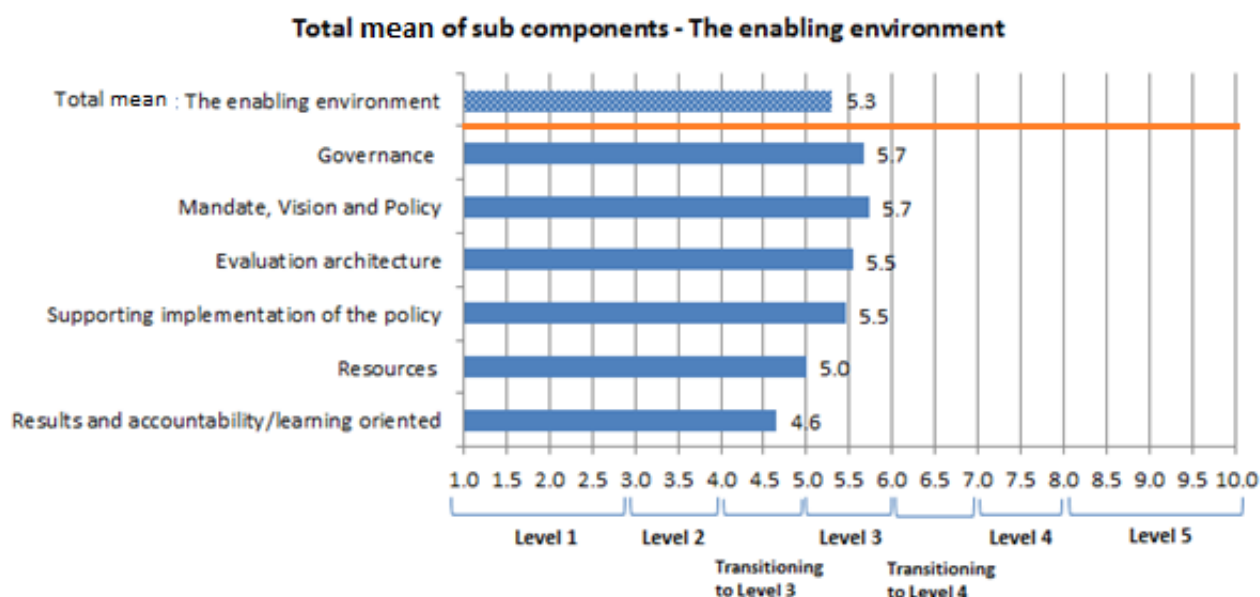
### Relationship between size of organization and level of development on the components of the evaluation function



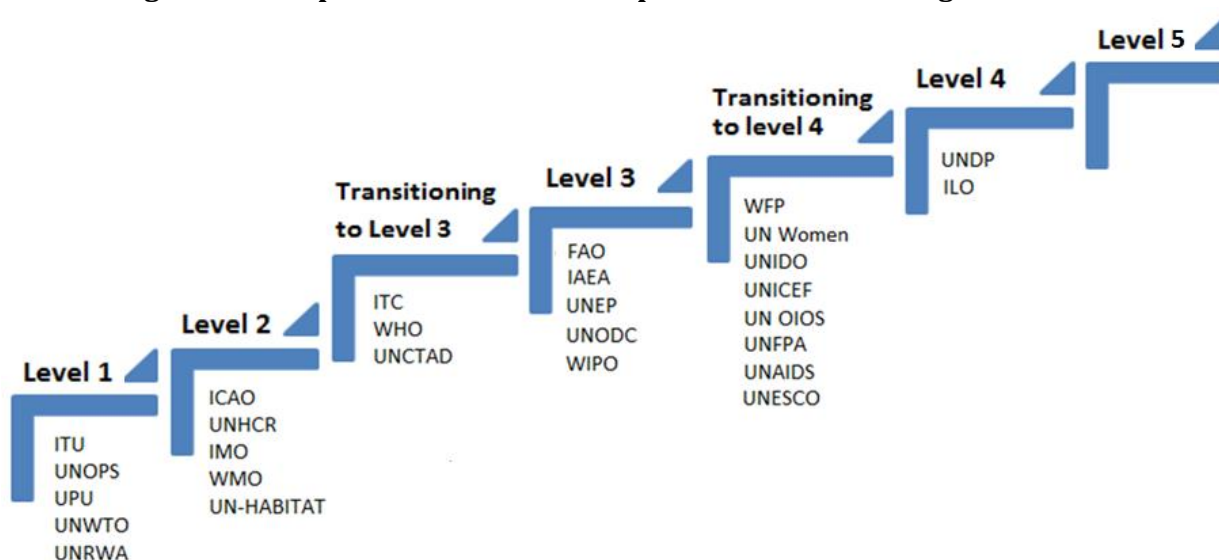
## Annex 7: Relationship between structural arrangement and level of development on the components of the evaluation function



## Annex 8 – Performance on sub-components of the Enabling Environment



## Organizational performance on all components of the enabling environment



## Annex 9: The Learning Organization:

### Culture for Results, Accountability, Double Loop Learning, Sharing and Use of Evaluation

#### Analysis across organizations

#### Means score and level of development

	Mean Score	Level of Dev
<b>Cross-cutting analysis</b>		
Organizational culture for results, accountability, learning (23)	4.3	Below Average
<b>Sub-components</b>		
<b>Alignments, Outreach and support</b>		
Alignment with other support systems for oversight and knowledge management (21)	4.7	Below Average
Support to decentralised of self-evaluation (26)	4.8	Below Average
Support to national evaluation capacity development (34)	3.5	Below Average
<b>SUB-TOTAL</b>	<b>4.3</b>	
<b>Continuous development of The function and contribution</b>		
Continuous assessment of the evaluation function (41)	5.5	Average
Contribution to advancing knowledge on development evaluation (43)	4.8	Below Average
Methodologies and innovations in evaluations as a discipline (65)	5.3	Average
Professional development of of staff in evaluation (66)	5.1	Average
<b>SUB-TOTAL</b>	<b>5.34</b>	<b>Average</b>
<b>Sharing and Communities of Practice</b>		
Stakeholder involve and inclusion of perspectives (54)	6.0	Average
Accessibility and transparency of evaluations (76)	6.4	Above Average
Sharing internal within the organization (77)	5.4	Average
Sharing external with other agencies and other partners (78)	4.7	Below Average
Providing access to evaluations and other related products (51)	6.0	Average
Distil information from evaluation and share lesson including through corporate instruments like the Annual Report on Evaluation	5.4	
<b>SUB-TOTAL</b>	<b>5.65</b>	<b>Average</b>
<b>1.Double Loop learning – use, action, alternatives/innovation, impact</b>		
Implementation of recommendations from evaluation(79)	4.8	Below Average
Use of evaluation for strategic decision-making (81)	5.0	Average
Summative use at corporate level for policies and programmes (82)	5.2	Average
Formative use for programmatic improvement (83)	4.9	Below Average
Use external to organization by others ( UN agencies, national partners, development partners) (84)	4.3	Below Average
Systems for impact of use of evaluation	4.4	Below Average
<b>SUB-TOTAL</b>	<b>4.76</b>	<b>Below Average</b>

**Note:** Numbers in table represent the items in the Maturity Matrix

## Annex 10: The Learning Organization:

### Culture for Results, Accountability, Double Loop Learning, Sharing and Use of Evaluation Analysis across Organizations

#### Means score and number of organizations at various level of development

		Number of Organizations at 4 levels of Maturity			
	Mean Score	Level 1 1-2	Level 2 3-4	Level 3 5-6	Level 4 7-8
<b>Organizational culture for results, accountability, learning (23)</b>	4.3	1	11	12	-
<b>Alignments and Outreach/Generativity</b>					
Alignment with other support systems (21)	4.7	-	10	11	3
Leadership and support (22)	4.4	1	10	13	-
Support to decentralized evaluation (26)	4.8	1	11	3	8
Support to national capacities for evaluation (34)	3.5	8	9	5	2
TOTAL	4.35				
<b>Development and contribution</b>					
Continuous assessment and adaptation of the function (41)	5.5	1	7	7	10
Contribution to advancing knowledge on evaluation (43)	4.8	4	8	4	8
Controls and stakeholder involvement and the inclusion of diverse perspectives (54)	6.0	-	3	11	10
Methodologies – development and innovation (65)	5.3	-	9	11	4
Professional development of staff (66)	5.1	-	12	5	7
TOTAL	5.34				
<b>Sharing and Communities of Practice</b>					
Accessibility and transparency (76)	6.4	2	3	3	16
Sharing internal (77)	5.4	1	5	10	8
share external (78)	4.7	6	5	10	3
Access to information (51)	6.0	1	2	11	10
TOTAL	5.6				
<b>Double Loop learning – use and action</b>					
Recommendation implementation (79)	4.8	7	1	11	5
Use for strategic decisions (81)	5.0	1	7	12	4
Corporate/summative use (82)	5.2	1	7	8	8
Formative use (83)	4.9	1	9	9	5
Use external to organization (other Un agencies, national, development partners) (84)	4.3	3	9	11	1
TOTAL	4.84				
Mean Score	4.8				
Mean number of organizations in the various levels		2.1	7.3	8.8	6.6

Source: JIU Maturity Matrix

## Annex 11: Leadership Attributes and Leadership Functions

### Analysis across organizations

#### Means Score and Level of Development

	Mean Score	Level of Develop
<b>Overall Mean Score - Leadership attributes of Senior Management</b>	4.4	Below Average
<i>Senior management fully understand the role and added value of evaluation, actively support and promote the function within the organization and develop the appropriate incentive system. The JIU principles for leadership and development of a culture of learning and accountability exist including leading the evaluation function: by values and example, by information and communication; by motivation, by guidance and discipline; by participation.</i>		
<b>Vision, Strategy, Relationships</b>		
Vision and strategy (9) (Joint responsibility)	5.2	Average
Governance structure(6) (Joint responsibility)	5.8	Average
<b>Institutionalization</b>		
Policy promulgation (12) (Joint responsibility)	5.1	Average
Learning organization and culture for evaluation (23) (Predominant responsibility)	4.3	Below Average
Related and support systems and alignments and incentives for strengthening evaluation(21) (Predominant responsibility)	4.7	Below Average
Resources are dedicated, stable and adequate (15, 19, 50) (Predominant responsibility)	4.8	Below Average
Ensure use of evaluation (79,81,82,83 84,85,86) (Joint Responsibility)	4.5	Below Average
<b>Accountability and Independence</b>		
Safeguarding independence and integrity in approach(61) (Predominant responsibility)	5.9	Average
Ensuring access to information for evaluation(51)(independence and transparency) <i>Key issue however is noted to be more about the quality of data and efficiency in accessing data and information.</i> (Predominant responsibility)	5.9	Average
Ensure independence of programme of work (49) (Predominant responsibility)	5.7	Average
Accessibility and transparency (76)	6.4	Above Average
Average score	5.0	Average

Source: JIU Maturity Matrix

## Annex 12: Leadership Attributes and Functions

### Analysis across Organizations:

#### Means score and number of organizations at four levels of development

Leadership Functions		Level of development for Organizations			
	Mean Score	Level 1 1-2	Level 2 3-4	Level 3 5-6	Level 4 7-8
<b>Leadership attributes of Senior Management</b> Core item (22) Predominant responsibility (core )	4.4	0	11	13	0
<b>Vision, Strategy, Relationships</b>					
Vision and strategy (9) Joint responsibility	5.2	1	7	12	4
Governance structure(6) Joint responsibility	5.8	0	7	6	11
<b>Institutionalization</b>					
Policy promulgation (12) Joint responsibility	5.1	1	4	16	3
Learning organization and culture for evaluation (23) Predominant responsibility	4.3	2	10	12	0
.Related and support systems and alignments and incentives for strengthening evaluation(21) Predominant responsibility	4.7	0	10	11	3
.Resources are dedicated, stable and adequate (15, 19, 50) Predominant responsibility	4.8	2	10	9	3
Ensure use of evaluation (79,81,82,83 84,85,86) Joint Responsibility	4.5	2	8	14	0
<b>Accountability/Independence</b>					
Safeguarding independence and integrity in approach(61) Predominant responsibility	5.9	1	1	12	9
Ensuring access to information for evaluation(51)(independence and transparency) Key issue however is more on quality of data and efficiency in accessing data and information and systems in place. Predominant responsibility	5.9	1	2	11	10
Ensure independence of programme of work (49) Predominant responsibility	5.7	1	4	9	10
Accessibility and transparency (76)	6.4	2	3	6	16
Mean score	5.0				
Average number of organizations		1	6.7	11.4	4.8

Source: JIU Maturity Matrix

### Annex 13 : Expenditures: Organizational, Evaluation, Core, Non-Core Financing

Organization	. Organizational Expenses 2012 - 2013	Central Evaluation Expenditure 2012-2013	Central Evaluation Expenditure/ Organizational Expenses (B/A)	D. Core or Regular budget 2012- 2013	E. Non-core of extra budgetary 2012-2013	F. Core or Regular budget + Non-core of extra budgetary (D+E)	Non-core of Extra Budgetary/ Central; Evaluation Expenditure + Core or Regular Budget (E/F)
UNDP	10,488,886,495	16,374,000	0.16%	15,188,000	1,186,000	16,374,000	7.20%
WFP	9,217,705,895	12,474,100	0.14%	10,164,000	2,380,000	12,544,000	19.00%
UNICEF	7,695,326,964	8,538,742	0.11%	1,533,859	3,128,253	4,662,112	67.10%
UNFPA	1,724,050,994	2,961,275	0.17%	3,500,000	100,000	3,600,000	2.80%
ILO	1,353,075,581	3,568,000	0.26%	3,473,000	95,000	3,568,000	2.70%
UNEP	1,081,007,080	2,597,200	0.24%	1,397,200	1,200,000	2,597,200	46.20%
FAO	2,723,391,733	11,190,854	0.41%	7,641,377	3,549,477	11,190,854	31.70%
UNIDO	646,119,131	3,195,542	0.49%	2,392,847	802,695	3,195,542	25.10%
UNODC	523,256,000	4,038,522	0.77%	n/a	n/a	0	
UN Women	499,985,062	5,481,417	1.10%	4,386,104	1,095,313	5,481,417	20.00%
UNESCO	1,620,038,064	2,424,000	0.15%	2,224,000	200,000	2,424,000	8.30%
UNOIOS	8,515,110,500	9,160,900	0.11%	9,125,400	-	9,125,400	
WHO	4,340,961,734	n/a		n/a	n/a	0	
UNRWA	1,374,542,681	973,251	0.07%	973,251	-	973,251	
IAEA	1,221,998,700	2,631,587	0.22%	2,334,600	296,987	2,631,587	11.30%
WIPO	732,018,952	1,475,000	0.20%	1,475,000	-	1,475,000	
ICAO	451,915,440	1,217,502	0.27%	1,217,502	-	1,217,502	
WMO	178,723,496	85,000	0.05%	85,000	-	85,000	
IMO	158,697,345	150,000	0.09%	n/a	n/a	0	
UNHCR	5,010,116,372	3,791,312	0.08%	3,791,312	n/a		
UN Habitat	348,642,000	2,200,750	0.63%	396,500	1,804,250	2,200,750	82.00%
UNAIDS	575,108,906	n/a		n/a	n/a	0	
ITU	434,135,449	n/a		n/a	n/a	0	
UNCTAD		520,200		n/a	90,000		
ITC	155,580,000	1,384,834	0.89%	n/a	399,299		
UNOPS	1,380,254,000	n/a		n/a	n/a	0	
UPU	150,027,448	n/a		n/a	n/a	0	
UNWTO	49,014,442	n/a		n/a	n/a	0	
<b>Total (SUM)</b>	<b>62,649,690,465</b>	<b>96,433,988</b>		<b>71,298,952</b>	<b>16,327,274</b>	<b>83,345,615</b>	
<b>Total (AVERAGE)</b>	<b>2,320,358,906</b>	<b>4,383,363</b>	<b>0.31%</b>	<b>3,961,053</b>	<b>859,330</b>	<b>4,902,683</b>	<b>26.90%</b>

Source: Data from CEB

### Annex 13 A: Central Evaluation Expenditure (2012-2013)

Level of development of Evaluation Function*	Size of Organization**	Organizations	Evaluation Expenditure***	Evaluation Expenditure/Organizational expenses %
Cluster 1 High	LARGE	UNDP	16,374,000	0.16%
		UN Secretariat	9,160,900	0.11%
		WFP	12,474,100	0.14%
		UNICEF	8,538,742	0.11%
	MEDIUM	UNESCO	2,424,000	0.15%
		UNFPA	2,961,275	0.18%
		ILO	3,568,000	0.26%
	SMALL	UNIDO	3,195,542	0.49%
		UN Women	5,481,417	1.10%
		Sub - total	64,177,976	0.30%
Cluster 2 Average	LARGE	FAO	11,190,854	0.41%
	MEDIUM	UNEP	2,597,200	0.24%
		IAEA	2,631,587	0.22%
		UNAIDS		
		WIPO	1,475,000	0.20%
	SMALL	UNODC		
		Sub - total	17,894,641	0.27%
Cluster 3 Low	LARGE	WHO	n/a	
		UNHCR	3,791,312	0.08%
	MEDIUM	UNRWA	973,251	0.07%
		ITC	1,384,834	0.89%
	SMALL	UNCTAD	520,200	
		UN Habitat	2,200,750	0.63%
		ICAO	1,217,502	0.28%
		WMO	85,000	0.05%
		IMO	150,000	0.09%
		Sub - total	10,322,849	0.30%
Cluster 4		ITU		
		UNOPS		
		UPU		
		UNWTO		
		Sub - total	-	
		Total	96,433,988	0.29%

Data Sources

\*Level of development on JIU Maturity Matrix(2013)

Cluster 1 : Mean Score on JIU Maturity Matrix = 6.1 and above

Cluster 2 : Mean Score on JIU Maturity Matrix = 5 to 6

Cluster 3: Mean Score on JIU Maturity Matrix = 2.1 to 4.9

Cluster 4 : Mean Score on JIU Maturity Matrix = Less than 2

\*\* Size of the Organization

Large: Organizations with expenditures between 1-5.5 billion

Medium : Organizations with expenditures between 300 million and 1 billion

Small : Organizations with expenditures less than 300 million

\*\*\*Data on Organizational Expenditure(CEB)/ Evaluation Expenditure(Questionnaire On Resources, Financing And Business Models of the Central Evaluation function)



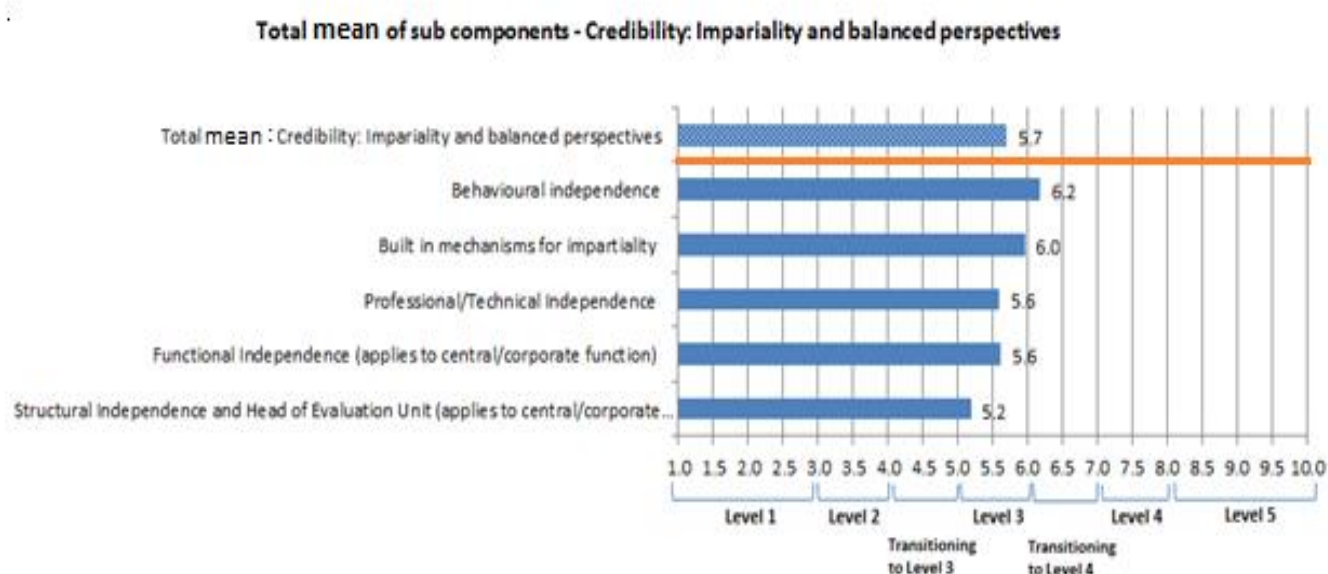
**Annex 13 B : Staffing of the Central Evaluation function: number and percentage of staff at various professional levels**

Level of development Function	Professional Staff													
		Total Staff	(A)DIREC	%	(B)HIGHE	%P5-	(C)LOWE	%P3-	General Service Staff	%G7-	P. Staff Totals	GS Staff Totals	Consultants	A+BTotals
			TOR	D1'D2/Totals	R LEVEL	P4/Total	R LEVEL	P1/Total		G1Total				
			D2-D1		P5-P4		P3-P1		G7-G1		D2-P1	G7-G1		
Cluster 1	UNDP	24	2	8.33%	13	54.17%	3	12.50%	6	25.00%	18	6	160	15
	WFP	19	1	5.26%	9	47.37%	6	31.58%	3	15.79%	16	3	188	10
	ILO	6.5	1	15.38%	3	46.15%	1.5	23.08%	1	15.38%	5.5	1	85	4
	UNIDO	7	1	14.29%	3	42.86%	0	0.00%	3	42.86%	4	3	141	4
	UNICEF	17	1	5.88%	8	47.06%	5	29.41%	3	17.65%	14	3	0	9
	UNOIOS	26	2	7.69%	11	42.31%	9	34.62%	4	15.38%	22	4	0	13
	UNFPA	7	1	14.29%	4	57.14%	1	14.29%	1	14.29%	6	1	46	5
	UN WOMEN	14	1	7.14%	7	50.00%	4	28.57%	2	14.29%	12	2	0	8
	UNESCO	7.5	0.5	6.67%	5	66.67%	1	13.33%	1	13.33%	6.5	1	0	5.5
	Mean	14.22	1.17	9.44%	7.00	0.50	3.39	0.21	2.67	19.33%	11.56	2.67	68.89	8.17
Cluster 2	UNEP	9	1	11.11%	2	22.22%	3	33.33%	3	33.33%	6	3	3	3
	FAO	21	1	4.76%	9.5	45.24%	6.5	30.95%	4	19.05%	17	4	318	10.5
	IAEA	5.3	0.3	5.66%	3	56.60%	2	37.74%	0	0.00%	5.3	0	2	3.3
	UNAIDS													
	UNODC	5	0	0.00%	2	40.00%	1	20.00%	2	40.00%	3	2	0	2
	WIPO	2.9	0.3	10.34%	2	68.97%	0	0.00%	0.6	20.69%	2.3	0.6	8	2.3
	Mean	8.64	0.52	6.38%	3.7	46.61%	2.5	24.40%	1.92	22.61%	6.72	1.92	66.2	4.22
Cluster 3	WHO	4.8	0.3	6.25%	4	83.33%	0		0.5	10.42%	4.3	0.5	0	4.3
	ITC	3	0	0.00%	1	33.33%	1	33.33%	1	33.33%	2	1	7	1
	UNCTAD	2.5	0	0.00%	1	40.00%	1	40.00%	0.5	20.00%	2	0.5	11	1
	UN - HABITAT	4	0	0.00%	1	25.00%	1	25.00%	2	50.00%	2	2	1	1
	UNRWA	2	0	0.00%	1	50.00%	1	50.00%	0	0.00%	2	0	1.5	1
	ICAO	2.45	0.25	10.20%	2	81.63%	0	0.00%	0.2	8.16%	2.25	0.2	1	2.25
	WMO													
	IMO													
	UNHCR	8	1	12.50%	4	50.00%	2	25.00%	1	12.50%	7	1	13	5
	Mean	3.82	0.22	4.14%	2.00	51.90%	0.86	28.89%	0.74	19.20%	3.08	0.74	4.93	2.22
Cluster 4	ITU													
	UNOPS													
	UPU													
	UNWTO													

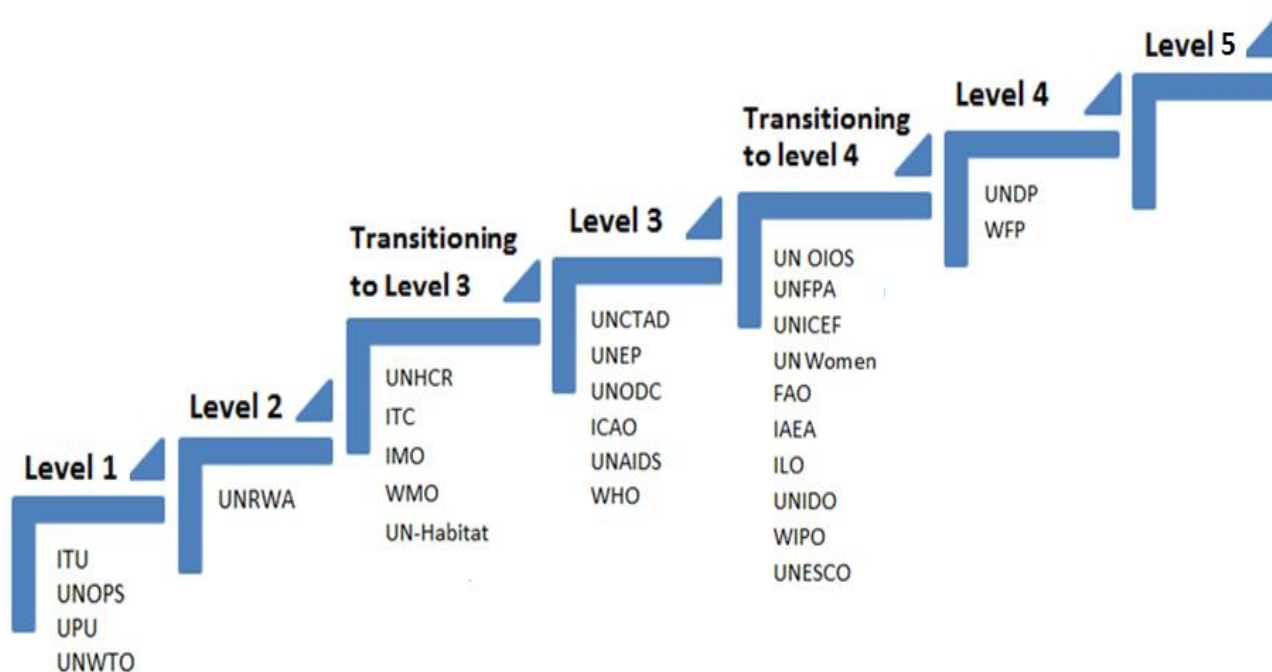
Source : Questionnaire On Resources, Financing And Business Models of the Central Evaluation function

## Annex 14: Performance on Subcomponents of independence:

### Structural, Functional, Professional/Technical, Behavioural Independence



### Level of maturity of organizations on independence



## Annex 15: Performance on sub-components of independence:

### Number of organizations at high, average and low levels of maturity

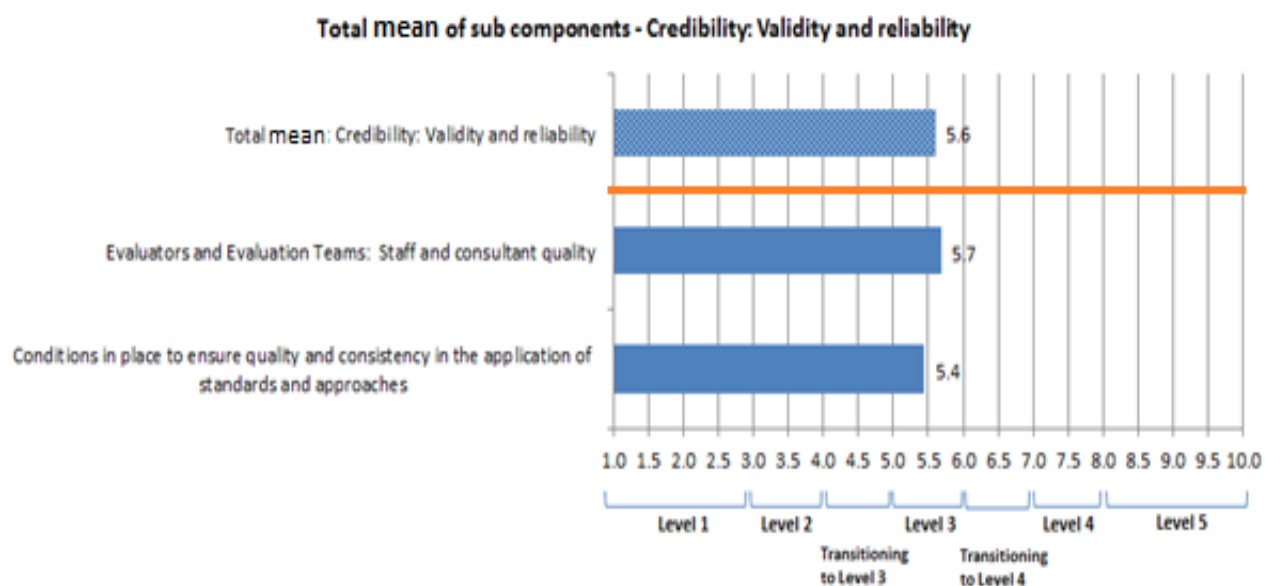
	Mean Score	Number of Organizations			
		Very Low 1-2	Low 3-4	Average 5-6	High 7-8
<b>Structural Independence (Location and Head of evaluation)</b>	5.19				
Location of the function (45)	6	0	5	8	11
Appointment of head of unit (46)	4.88	0	10	12	2
Term appointment of Head (47)	4.71	0	15	5	4
<b>Functional Independence</b>	5.62				
Issuing evaluation report (48)	6.08	2	2	6	14
Planning and programme of work (49)	5.75	1	4	9	10
Budgetary process (50)	4.83	1	11	7	5
Access to information (51)	5.96	1	2	11	10
Allocation and management of resources (52)	5.71	2	3	8	11
Issuing the Annual report on evaluation (53)	5.38	2	8	3	11
<b>Built in mechanisms for impartiality</b>	5.96				
Controls and stakeholder involvement – balanced perspectives and impartiality (54)	5.96	0	3	11	10
Evaluators and managers for conduct of evaluation (56)	6	1	2	11	10
Professional integrity and identify of the function (57)	5.67	0	8	7	9
Absence of conflict of interest (58)	5.17	1	9	6	8
<b>Behavioural Independence</b>	6.18				
Role of evaluators and managers of evaluations (60)	6.75	0	0	9	15
Role of staff and managers across the organization (61)	5.92	1	1	13	9
Role of Member states (62)	5.88	1	1	15	7
Average score across organizations	5.74				
Mean number of organizations)		0.8	5.3	8.8	9.1

## Annex 16: Performance on independence by organization type:

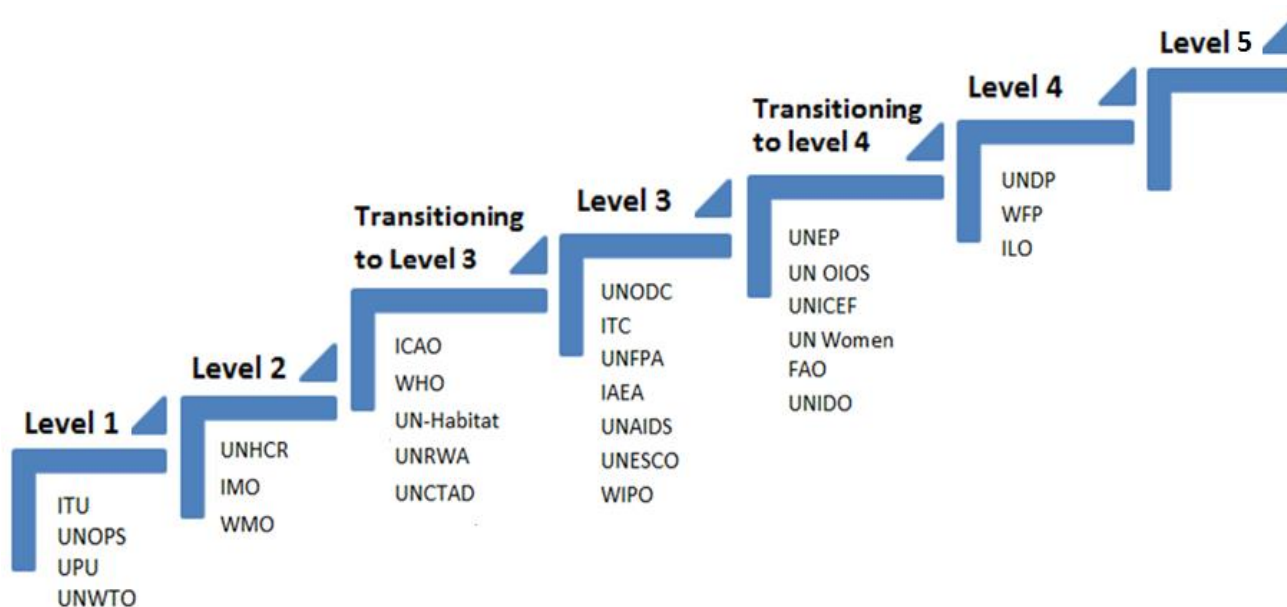
### stand-alone, co-located in oversight, and co-located in management

	Stand Alone Unit	Co-located with Audit/Oversight	Co-located with management	Separate within Oversight	Integrated within Audit
Independence, Impartiality , Transparency – Overall	6.4	5.4	4.8	5.4	5.4
Structural Independence	5.6	5.6	3.7	5.6	5.6
Functional Independence	6.3	5.5	4.4	5.3	5.6
Built-in Mechanism for impartiality and transparency/Stakeholders	6.7	5.4	5.4	5.7	5.3
Professional Technical independence	6.7	4.9	4.5	4.9	4.9
Behavioural Independence	6.7	5.7	6.0	5.8	5.7

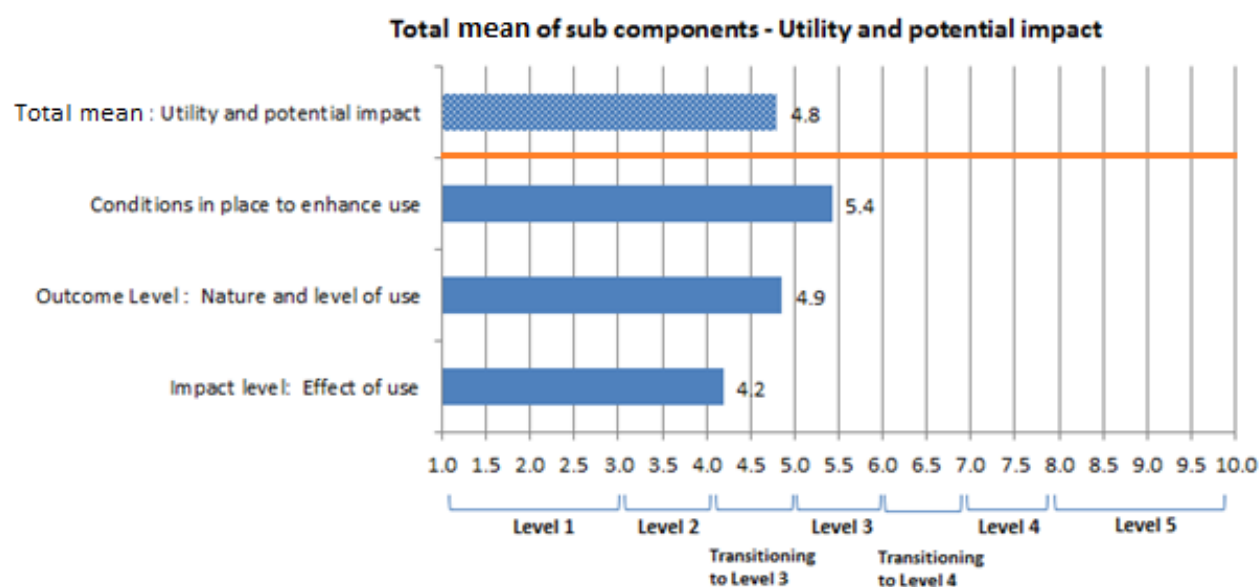
## Annex 17: Performance on sub- Components of quality



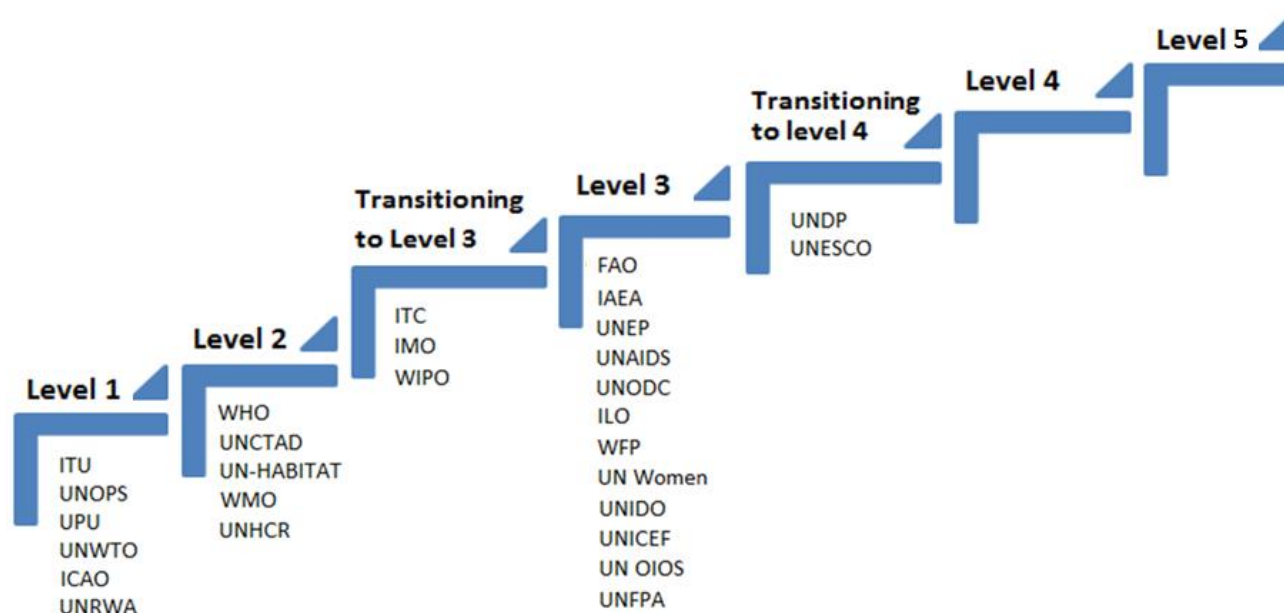
## Level of Maturity of organizations on the Component of quality



## Annex 18: Performance on sub-components of utility



## Level of maturity of organizations on the component of utility



**Annex 19: Use and Effect of use: Separate and Conjoint Role of Evaluation Unit, Management and Legislative body on enhancing or ensuring use of evaluation**

Role of Evaluation Office (as custodian or with oversight)	Mean score		Mean score		Mean score
	5.4	Role of Management	4.8	Role of Executive Board	4.9
<b>Reporting on implementation of use of evaluation and impact of use.</b>  Annual Report to Member States on evaluation (item) Review of Policy implementation Impact of use of evaluation	5.4	<b>Leadership and active role in evaluation</b>		<b>Understand evaluation and active involvement</b>	
		Leadership and support from management	4.3	Member State appreciation for/understanding of evaluation and added value	5.4
<b>Stakeholder involvement including beneficiaries</b> Controls and stakeholder involvement for balanced perspectives and impartiality	6.1	Organizational culture for results, accountability, and learning	4.2	<b>Ensure use of evaluation and feed into programmes and projects and as global good</b>	
<b>High quality evaluation reports and evidence also credible</b> Quality of reports	5.7	Access to information	6.0	Use for strategic decisions	4.9
<b>Timeliness</b> Timeliness in meeting stakeholder demands	5.8	Role of staff across the organization	5.9	Use for Formative	4.8
		<b>Use evaluation to feed into - programmes, projects etc.</b>		Use Corporate summative	5.1
<b>Dissemination and communication strategy</b> Dissemination and communication strategy	4.9	Recommendation implementation rates (follow-up system)	5.0	Use external to Organization	4.0
<b>System for recommendations and tracking and follow –up analysis</b> Recommendation tracking system	5.4	Use for strategic decisions	4.9	Role of member states	5.8
<b>Sharing evaluation</b> Accessibility and transparency Sharing of evaluation results internally Sharing of evaluation results externally Use external to the organization	6.4 5.4 4.7 4.0	Use external to organizations (sharing)	4.0	<b>Get updates on implementation of recommendations and require action and explanation and on impact of use of evaluation</b>	
<b>Impact of Evaluation</b>				Annual Report on Evaluation  Review of policy implementation	5.4
Impact following implementation of recommendations	4.5	Corporate/ summative use	5.1		
		Formative use	4.8		
Effect of use: Indicators and evidence of impact	3.9	<b>Impact of Evaluation</b> Impact following implementation of recommendations	4.5	<b>Impact of Evaluation</b> Impact following implementation of recommendations	4.5
		Effect of use: Indicators and evidence of impact	3.9	Effect of use: Indicators and evidence of impact	3.9

## Annex 20: Level of use of evaluation:

### Follow-Up Tracking System and Implementation Rates of evaluation recommendations

	Score	Number of Organizations			
		Very Low 1-2	Low 3-4	Average 5-6	High 7-8
Recommendation tracking system (75)		There is no follow-up mechanism	Follow-up mechanism is in place and there is ad hoc follow-up on the implementation of the recommendations	Follow-up mechanism is in place . It is well designed. There is systematic follow-up on the implementation of the recommendations	Follow-up mechanisms Is well designed. It is high quality. There is systematic follow-up of the recommendations. Reporting on implementation status is mandated
	5.38	3	6	5	10
		12%	25%	21%	42%
Level of use Recommendation implementation rates Level of use (79)	4.83	There is no follow-up on the implementation of the recommendations. There is no clear indication of recommendation accepted or not	Less than 50% of the recommendations are implemented within the first three years	Between 50% -80% of the recommendations ate implemented within the first three years	More than 85% of the recommendations are implemented within the first three years
		7	1	11	5
		29%	4%	45%	21%

## Annex 21: Nature of Use:

### Mean score across organizations and number of organization at various levels of development

	Mean score	Number of organizations			
		Level 1 1-2	Level 2 3-4	Level 3 5-6	Level 4 7-8
Use for strategic decision-making (81)	5.0	1	7	12	4
Corporate summative use – programmatic or institutional (82)	5.2	1	7	8	8
Formative use for direct improvement of programmes and projects (83)	4.9	1	9	9	5
Use external to organization (i.e. by national partners, development partners, professional groups) (84)	4.3	3	9	11	1
Incremental value: use to enhance added value (e.g. via meta-analyses and lessons notes) and to contribute to evaluation profession and advance methodology and approaches (43)	4.8	4	8	4	8
Overall score	4.8				

## Annex 22: Conditions in place to enhance use and impact of use of evaluation

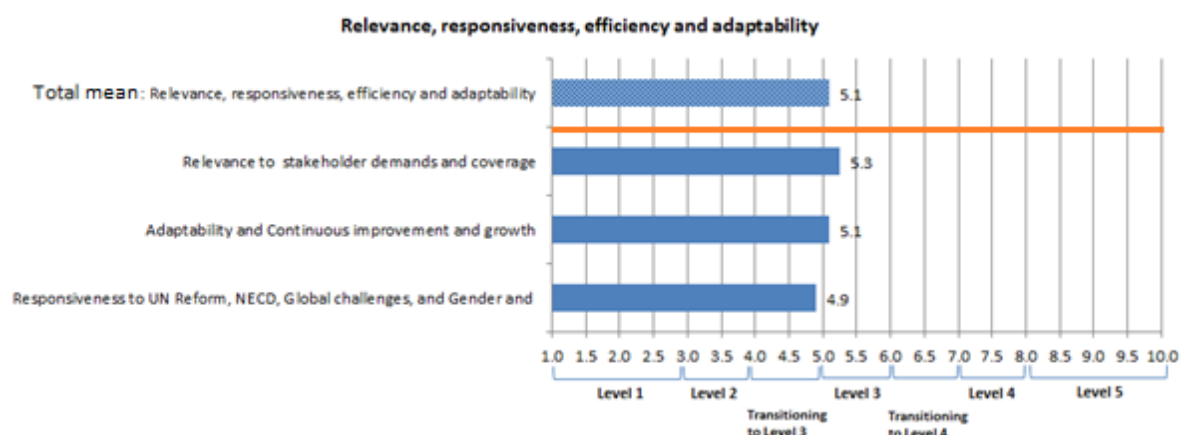
	Mean score	Number of organizations			
		Level 1 1-2	Level 2 3-4	Level 3 5-6	Level 4 7-8
<b>Culture of evaluation and results</b>					
linkage with other knowledge systems (21)	4.7	0	10	11	3
Leadership support (22)	4.4	0	11	13	0
Organizational culture (23)	4.4	2	10	12	0
RBM framework and linkage with evaluation (20)	5.1	0	9	11	4
<b>Demand and Intentionality (qualitative data)</b>					
Planning criteria and relevance for coverage (24)	5.7	0	6	8	10
Balancing for coverage (28)	5.6	0	6	9	9
Actual coverage – adequacy (30)	4.5	2	8	11	3
Methods and types of evaluations (65)	5.2	0	9	11	4
<b>Conditions in place to ensure quality and consistency in the application of standards and approaches</b>					
Technical and managerial guidelines and tools (67)	5.0	1	7	12	4
Controls and stakeholder involvement at various stages of the evaluation to ensure quality / content validity (68)	6.2	0	3	8	13
Empirical/objective assessments of evaluation reports and Compliance with UNEG norms and standards and other requirements (70)	5.8	0	7	4	13
Quality of reports (corporate/central level) (72)	5.7	0	4	13	7
<b>Tools, techniques and platforms for enhancing use</b>					
Dissemination and communication strategy (73)	4.7	0	13	5	5
Timeliness (74)	5.8	0	2	18	4
Recommendation tracking system (performance support) (75)	5.4	3	6	5	10
Accessibility and transparency (76)	6.4	1	3	3	16
Sharing evaluation internally (77)	5.4	1	5	10	8
Sharing externally (78)	4.7	5	5	10	3
<b>Organization Impact and Systems for impact assessment</b>					
Shared vision and strategy and results framework (including impact maps and organizational business plan for evaluation) (9)	5.2	1	7	12	4
Impact Follow-up system and reporting (performance support system) (85)	4.5	3	7	12	2
Impact indicators and assessment of impact (86)	3.9	4	10	10	0

## Annex 23: Systems for assessing impact of the use of evaluation and of the function

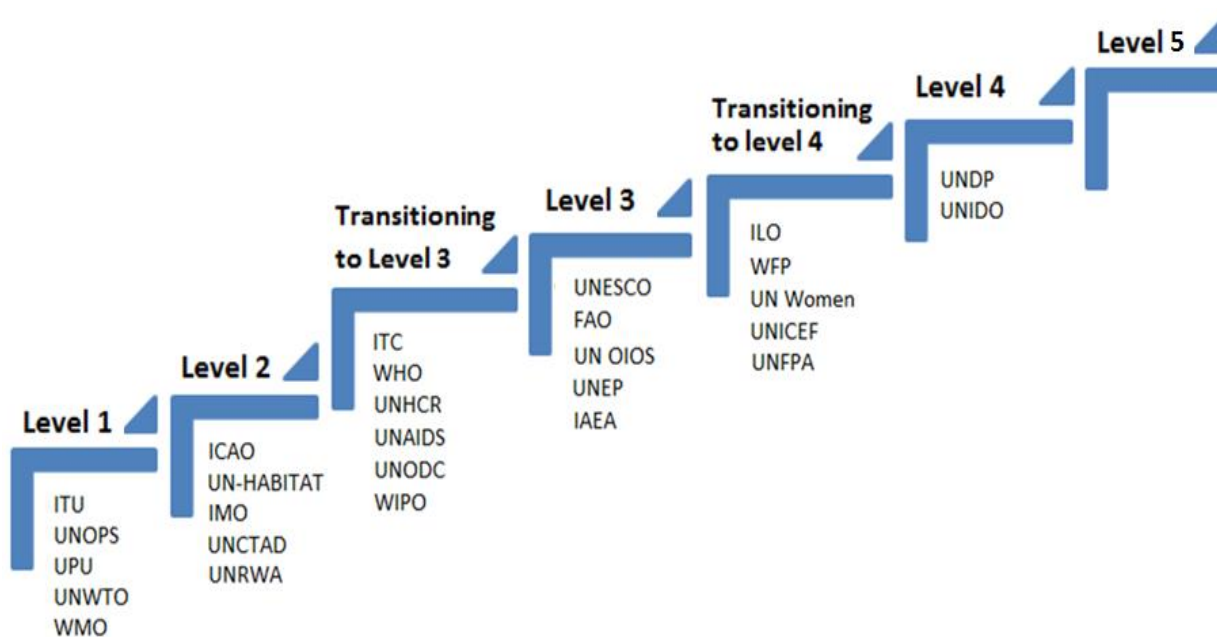
	Overall score	Number of organizations			
		Level 1 1-2	Level 2 3-4	Level 3 5-6	Level 4 7-8
Systems for Impact Assessment and Reporting	4.3				
Shared vision and strategy and results framework (9)	5.1	1	7	12	<u>4</u>
Impact Indicators from a results framework (85)	4.5	3	7	12	<u>2</u>
Follow-up system and reporting (86)	3.9	4	10	10	<u>0</u>



## Annex 24: Relevance, Adaptability, Responsiveness and Readiness for Challenges and Change



## Level of Maturity of the various organizations on component for relevance, responsiveness and adaptability



## Annex 25: Readiness of the Evaluation function for global changes and challenges and the imperatives of the Post 2015 Agenda

		Number of Organizations			
	Overall Score	Level 1 1-2	Level 2 3-4	Level 3 5-6	Level 4 7-8
<b>Addressing Global Challenges (Core Factor) (37)</b>	5.0	-	8	5	2
<b>Strategic in Reflection and Outlook</b>					
Vision and strategy (9)	5.2	1	7	12	4
Leadership (22)	4.4	-	11	13	-
Member state appreciation (7)	5.5	-	7	11	6
Planning for coverage (24)	5.8	-	6	7	11
Use for strategic planning (81)	5.0	1	7	12	4
Effect of use – impact (86)	3.9	4	10	10	-
TOTAL	4.9				
<b>Innovation, Adaptation, and Renewal</b>					
Balancing activities (28)	5.6	-	6	9	9
Continuous assessment (41)	5.5	1	6	7	10
Contribution to advancing development evaluation (43)	4.8	4	8	4	8
Methodologies and innovations (65)	5.3	-	9	11	4
TOTAL	5.3				
<b>Engagement including on Global Platforms</b>					
Sharing internally (77)	5.4	1	5	10	8
Sharing externally (78)	4.7	5	5	10	3
TOTAL	5.00				
<b>Coherence, Inclusion, Ownership, Alignments</b>					
National evaluation capacity (34)	3.5	8	10	10	-
Gender equality, human rights, and Inclusion (36)	5.2	1	9	5	9
Support to decentralized (global importance project level) (37)	4.7	3	10	3	8
TOTAL	4.4				
<b>Developing the Learning Organization</b> (aggregate score – list items)	4.8	-	8/	16/	-
Mean Score across organizations	4.9				

## Annex 26: Joint Evaluation in the past 5 years – Scope, Partnerships and Themes covered

Organization	Predominant Mandate	No. of Joint evaluations past 5 years	Partners In Joint evaluation	Themes covered
WFP	Humanitarian	7	UNICEF & Govt./ Netherlands UNHCR, FAO	Global logistics cluster: Food assistance to refugees(4 countries); Food assistance protracted refugees situation; Food security cluster coordination
UNHCR	Humanitarian	6	ICVANGO, WFP	Response to Syrian refugee emergency; Food assistance to refugees (4 countries); Food assistance protracted refugees situation
UNRWA	Humanitarian	2	FAO, UNESCO, UNIFEM, UNESCO	Joint programming for livelihood protection in oPt (2)
FAO	Normative	4	UNEP	Land degradation; international environment conventions; food security information systems
UNEP	Normative	6	FAO, UNDP, UNIDO	Global forest programme; Poverty Env. Initiate, Synergies Decision, Zambia Mini-Grids GEF Project, Living Resources Depletion and Coastal Area Degradation in the Guinea Current LME
UNICEF	Development	2	UNWomen , UNFPA	*Joint Evaluation of Joint Programmes on Gender Equality in the Un System: Joint Female genital mutilation
UNDP	Development	7	GEF, UNEP, UNDP/BDP, UNFPA, UNICEF, UN-Women MDG-F, Govt Norway and Span UNIDO, UNEG/SA e	GEF/UNDP Small Grants Programme; Impact of UNDP/GEF support to protected areas management; UNDP-UNEP Poverty-Environment initiative; UN collaborative program on reducing emissions from deforestation and forest degradation in developing countries; Joint gender programmes in UN system; Cooperation agreement b/w UNDP and UNIDO; UN system in South Africa *Joint Evaluation of Joint Programmes on Gender Equality in the Un System
UNIDO	Development	6	Austrian Development Cooperation, Spanish Agency of ID cooperation, Govt Zambia, UNHCR, UNDP, UNFPA, UNICEF UNODC	ECREEE; UNIDO WTO Trade capacity building programme framework for Zambia; Food safety/processing capacity in Iraq; Sustainable livelihood for vulnerable refugees, etc. in Armenia; PSP project- Alternative livelihood development; Implementation of cooperation agreement b/w UNIDO and UNDP
UN Women	Development	1	UNICEF UNDP MDG-Fund, UNFPA, Govt Span, Norway	*Joint Evaluation of Joint Programmes on Gender Equality in the Un System
ITC	Development	1	State Secretariat for Economic Affairs SECO	Trade promotion projects in Tajikistan and Kyrgyz Republic (2008)
UNFPA	Development	2	UNICEF UNDP MDG-Fund, UNFPA, Govt Span, Norway UNICEF	*Joint Evaluation of Joint Programmes on Gender Equality in the Un System: *Joint Evaluation of UNFPA-UNICEF Joint Programmes on Female genital Mutilation: Accelerating Change
TOTAL WITHOUT ILO		44 Joint evaluation reports (without 124 from ILO) 8.8 per year over past 5 years for 11 organizations		
ILO	Normative	124	Wide range of UN Partners- UNDP, FAO, UNESCO	Labour related aspect of development: economic reconstruction; gender mainstreaming, local development. employment policies, enterprise development, green jobs, child labour
<b>Note: 11 Organizations have not done joint evaluation in past 5 years</b>				
Un-Habitat	Development			
UNCTAD	Development			
ICAO	Normative			
WMO	Normative			
IAEA	Normative			
WIPO	Development			
IMO	Normative			
WHO	Development			
UNESCO	Normative			
UNODC	No data			
UNOIOS	No data			

## **Annex 27: Key features of the Decentralized Evaluation function(DE)**

### **& implications for standard setting**

#### **Purpose and Function**

Its primary purpose is formative evaluation for real time programmatic change and improvement. DE responds to the critical needs of management and for programmatic improvement generally tied to a project or programme.

Valuation and Standard setting: In this regard, DE requires complementary standards and methods for in-depth assessment of what works, why and how and alternatives tied to specific interventions and activities.

DE is also focussed on accountability for results given the demands of the RBM culture and the range of non-core funding of projects and programmes. Project level impact evaluation plays a most significant role for well-structured interventions.

Standard setting and challenge: How DE balances demands for (a) learning for improvement and (b) accountability focused on achievement of results is a challenge that needs to be considered in examining the DE function. There are several lessons that could be learned from accountability driven models like the norms and standards of UNEG, from the frameworks established by ALNAP, and from the other professional standards established for both formative and summative evaluation.

#### **Structural Location: Embedded and non-independent status**

DE is part of management and supporting decision making at this level in most organizations.

Valuation and Standard setting: As such the UNEG criteria for structural and functional independence do not apply to DE. Applicable however are the criteria for professional technical and behavioural independence as well as built in mechanisms for transparency and inclusion all of which have the objective of enhancing the impartiality and hence the credibility of evaluations.<sup>1</sup>

#### **Part of Project Cycle Management and managing from development results**

DE is part of the programme and project cycle management for results.

Valuation and Standard setting: Thus what is significant is understanding alignments with planning and design, quality at entry assessments, monitoring, continuous assessments, process and real time evaluations on progress to feed into programme cycle and funding schedules, terminal evaluations.

#### **Complementarities**

##### **Alignment and support to UN system Evaluation Architecture**

DE plays a key role in enhancing evaluability – quality in project design, monitoring implementation, and reporting on level and fidelity of implementation, providing data bases that can provide the building blocks for higher level evaluations.

Valuation and Standard setting: Quality standards in these areas are important.

Central function, as custodian of the evaluation in some organizations, provides quality assurance and enhancement with variations among organizations.

Standard setting: The support by central function should be fit for purpose. Mutual and symbiotic relationship needs to be defined.

#### **Comparative Advantage**

##### **Building the learning Organization – System wide staff engagement**

DE engages staff working on actual projects. Thus it has a key role in developing a culture of evaluation and a learning organization when the right incentives are put in place.

Valuation and Standard setting: development of culture of evaluation and evaluative thinking among staff: Development of appropriate incentive system for double loop learning.

#### **National alignment and ownership**

For country level DE, being closer to national systems, thus significance for enhancing national capacity or alignments with national systems is important.

Valuation and Standard setting: ownership and capacity development

#### **Coherence and Delivering as one**

The same applies being on ground with organizations and the imperatives of DAO are equally applicable to evaluation and is here more pertinent given UNDAF.

Valuation and Standard setting: Efficiency and alignments for optimal value and use

#### **Annex 27 continued**

#### **Quality enhancement and quality assurance**

<sup>1</sup> See JIU Maturity Matrix for the Evaluation Function of the UN System 2013: Structural Independence; Functional Independence; Built in Mechanisms for Impartiality; Professional Technical Independence; and Behavioural Independence.

**Competencies in management of evaluation**

Competencies of M&E staff should focus on their role as managers of evaluation since evaluations generally are commissioned to consultants. Also M&E staff plays multiple roles in the planning, monitoring and in carrying out all forms of assessment. The competencies of consultants in conducting evaluations are most important.

M&E Staff however carry out a large number of self-evaluations and thus having optimal knowledge and skills in evaluation is equally important. There are however no defined standards for the competencies of M&E staff.

Valuation and Standard setting: Competencies of staff and managers

**Quality of reports and strength and value of evidence**

Technical rigor: Quality of reports follows the UNEG standards for rigor. These are consistent with global professional standards taking into consideration special features of the UN system. Need to develop complementary standards for formative evaluation.

Managerial rigor involves managing the conduct of the evaluation in ways that enhance its content validity and is inclusive of the perspective of various stakeholders in defining truth and value.

**Readiness to address emergent and fast changes and challenges on the ground and shifting roles in the evaluation function**

In more recent times, DE is strategically positioned to play a significant role in supporting the UN enhance its effectiveness and added value.

## Annex 28: The structural location of the decentralized function in 10 Organizations:

### Number of units for evaluation planning and conduct

Organization Number Units						
	Regional offices (headquarters) for decentralized organizations such as UNDP	Regional offices or service centre (in field)	Country offices	Technical Departments	Programme Departments or units	Project Level or Self-evaluations :not part of department plan
WFP 106 units	•	6	80	20		
UNDP 150 units	5	5	136	4		Yes <sup>2</sup>
UNFPA 138 units	•	6	130	1	1	yes
UNICEF 157 units		7	150+	•	•	yes
UN Women 59 units	•	5	54	•	•	yes
UNESCO 74 units	1	25 <sup>3</sup>	26	10*	12 <sup>4</sup>	Few with a plan
ILO 13 units	•	5	•	8	•	
UNRWA 15 units			5		10	n/a
WIPO 44 units			6	7	31	Yes
<b>TOTAL 923</b>						

\*Approximate number

<sup>2</sup> 203 Project evaluations 2012-2013

<sup>3</sup> Regional or cluster offices

<sup>4</sup> (CATI/IS/programme Units- Need to look up in UNESCO questionnaire for decentralised evaluation

## Annex 29A: Organization Initiatives in Decentralized evaluation in the past 3 years for 10 organizations

Need to take out highlights below

Your organization	What special initiatives have been taken in your organization to support the implementation and institutionalization of the policy or strategy for DE?
UNICEF	Guidance, training, technical support, webinars, engagement with senior managers at all levels.
UNFPA	The implementation of the revised evaluation policy with revised roles and responsibilities is underway
UNODC	
WHO	Establishment of a Global Network on Evaluation (GNE) with representatives from all regions and technical clusters
WIPO	Program and Budget and reporting through Program Performance Reports (biennial) Development Agenda Project Frameworks and Reports
UNRWA	Support from executive office, awareness raising in field offices
UNDP	<p>'Yellow Handbook' covering planning, monitoring and evaluation. Online evaluation training module in place and available to staff. Additional activities include COSI collaboration and the "Evaluation Family Force". EO has also developed a quality assessment guide for rating decentralized evaluation. The quality assurance system has been placed on line. It is automated and standardized showing cross year comparison and analyses</p> <p>National evaluation capacity is increasingly a focus of UNDP evaluation efforts. Significant efforts are strengthening directed at strengthening demand for evaluation</p> <p>A strong roster of evaluation experts in three languages.</p> <p>Working on better linkage between central and decentralized evaluation including the Evaluation Family Force</p>
ILO	<p>Regional meetings, HQ level networking meeting every two years, database and interactive platform, Regular GB reporting on decentralized evaluation through Director EVAL</p> <p>ILO Introduction of a certified evaluation managers training programme. Tightened the tracking of follow-up to recommendations</p>
UNESCO	<p>-Revision of evaluation policy (ongoing, expected completion 2014) -System-wide communication and awareness-raising effort in the UNESCO system in 2013 concerning the new guidelines and policy on evaluation of extra-budgetary activities -Follow-up on recently completed "diagnostic study of evaluations of UNESCO's extra-budgetary activities" -Expected follow-up on "evaluation of UNESCO's results-reporting" (ongoing, expected completion 2014) - Recently completed document combining all guidance on extra-budgetary activities: "A practical guide to UNESCO's extra-budgetary resources" -Guidelines for decentralized evaluations updated on web site -ongoing backstopping and quality assurance of DE by IOS and M&amp;E focal points in sectors and regional and national offices</p>
UN Women	The EO has a comprehensive Evaluation Strategy aligned with the organization's Strategic Plan. The Strategy integrates both corporate and decentralized evaluation functions. Currently, the EO seeks to strengthen its decentralized evaluation functions through developing Regional Evaluation Strategies. The Regional Evaluation Strategies are meant to improve programming, accountability and learning through systematically addressing the demand and supply aspects of evaluation at the regional and country office level. Moreover, the EO has designed a Global Evaluation Reports Assessment and Analysis System (GERAAS) to improve the quality and credibility of evaluations particularly at decentralized level.
WFP	

## Annex 29B: Summary of Initiatives and Successful actions

### **Policy enhancement and reviews**

A comprehensive strategy that incorporate both central and decentralized and regional evaluation strategies to strengthen DE

Ongoing revisions of the evaluation policy and strategy

Policy on extra-budgetary activities

### **Communication and Common institutional basis**

System-wide communication and awareness raising

Regional meetings

Interactive sessions

Continuous reviews of DE programme

New roles and responsibilities for DE

Country Office and Regional collaboration through special initiative at country level

### **Capacity Development and Enhancement**

Handbook on M+E: on line training on evaluation; Guidelines on DE

Quality assessment and Quality assurance systems

Handbook on Planning, Monitoring and Evaluation: Guidance materials; Guidelines and Operational Procedures

Training, face to face, online training, webinars, technical support

### **Development of Network and systems for engagement and advancement**

Global network on evaluation with representatives from all regions and technical clusters

Evaluation Family Force with both central and De members

### **Leadership involvement**

Engagement with senior managers at all levels

Reporting on DE to Executive board and making issues visible for action



## Annex 30: Ratings on the Value of Support Provided by the Central Function to Decentralized Evaluation

Item 26: Overall Rating of value of Support by Central Evaluation Unit for Policy and Policy Implementation		Mean score
Enabling conditions to support policy implementation	Develop evaluation policy that includes decentralized evaluation	4.4
	Develop handbooks and guides on what is required	4.1
	Develop or promote norms and standards for evaluation appropriate for decentralized evaluation including adaptation of UNEG norms and standards	4.1
	Develop standards and guidelines	4.0
	Develop operational procedures on what is required to carry out policy including roles and responsibilities	3.9
	Provide orientations to staff on evaluation in the organization	3.6
	Develop systems for implementation reporting	3.5
	Develop systems for knowledge sharing and use of evaluations (resource centres and data bases; knowledge networks or learning groups;	3.4
	Support the promulgation of policy, and workshops and seminars	3.4
	Develop practical tools or manuals on how to conduct or manage the various types of evaluations of DE	3.2
	Support the development of the RBM system	3.1
Notes: 1. Mean score: Very high = 5, High = 4, Average = 3, Low = 2, Very low = 1 2. To see no answer, Annex XX with whole list		

Item 26: Overall Rating of value of Support provided by Central Evaluation Unit for quality assurance		Mean score
Evaluability, Quality Enhancement	Assess the quality of reports and providing feedback on what to improve.	3.8
	Review and provide approval to TORS, Inception report and main report	3.6
	Assess and provide feedback on TORS and Inception Report	3.6
	Provide information on webinars and other web-based training or learning systems	3.4
	Provide web-based training systems	3.3
	Providing training to staff	3.2
	Review the quality of the design of projects and programmes to enhance evaluability	2.3
Quality control, Reporting and Compliance for Corporate action	Conduct systematic assessment of the quality of the evaluation report against professional standards and report on quality at corporate level	3.9
	Review and provide approval of TORS, Inception report and main report	3.6
	Provide a system for tracking implementation of recommendations of evaluations and provide report at corporate level	3.6
Notes: 1. Mean score: Very high = 5, High = 4, Average = 3, Low = 2, Very low = 1 2. To see no answer, Annex XX with whole list		

**Annex 31: (i) Number of evaluation reports by type of evaluation, (ii) % coverage of programme of work, and (iii) annual budget**

Total number of evaluations is 624 (+ -)  
 The average is 78 evaluations per organizations.  
 For a total of 352 M&E Specialist = 1.7 reports per M&E Specialist for management  
 For 994 units doing evaluations = 0.62 evaluations per unit.

Number Evaluations	WIPO	WHO	UNRWA	UNDP	UNESCO	UNICEF	UNW	WFP	UNFPA	ILO	
<b>Total Number of Reports</b>	6	28	DK*	290	40	122	29	DK	27	100+	642
<i>Output</i>		28	5	226	X	??				85	344+
<i>Outcome</i>			2	52	X	??				13	67+
<i>Impact</i>			1		X	??				3	4+
<i>UNDAF (contribution)</i>				12							12
<i>Other</i>											167+
<b>% coverage decentralize evaluation plan</b>	30%	Less 30%	Less 30%	Less 60%		50-59%	Less 30%		90-100%		
<b>Annual Budget USD</b>	0.5M			17 M		34M	1.1M				

Total number of reports = 642

Note: Some of the budgets figures also include monitoring

## Annex 32: Emerging Demand, Analysis of Implications and Analysis of Capacity of the Decentralized Evaluation (DE) function of 10 organizations to respond to demand

### (A qualitative analysis of strengths and weaknesses)

Emerging demands and implications for DE function : What is required	Analysis of capacity of 10 organizations in addressing emerging demands
<b>1.Responding to fast global pace of development and absence of best practice models</b> Use evaluation methods for formative and real time evaluation and on what works, why and how and use to make improvements to support decision making in a fast moving context at global and country level. Need a mix of evaluation and evaluation related knowledge systems that are fully aligned to support ongoing decision making of managers and implementation Evaluation positioned to be aligned with changes of a shifting landscape of development and global changes	<b>Strength</b> All 10 involved in monitoring, real time and process evaluation: focus on outputs evaluation 66%: Multiple information systems: Assessments, Mid-year reviews to enhance mid-course corrections. Alignments among information systems and evaluation is good for 7 of 10 organizations <b>Challenges:</b> Need for more focused methodology for formative evaluation Less focus on outcomes and impacts Evaluation is driven by donors and thus a focus on accountability which presents challenges on how the focus on improvement is addressed methodologically and how to balance the two
<b>2.Enhancing the learning culture and organization</b>  Large scale engagement of staff and development of a learning and evaluation culture or results culture and leadership including encouraging self-evaluation by staff for own projects.	<b>Strength</b> Project self-evaluation by staff extensive in all organizations <b>Challenge</b> Self-evaluation is not documented and value unknown. <b>Less focus at:</b> Enhancing learning organization- to empower staff and managers with evaluation skills and knowledge so they become more effective social forces and agents of change; (16) To enhance knowledge base of the organization for sharing and exchange of knowledge with others(16)
<b>3.Inclusion for sustainability and impact</b> Engagement of national institutions in evaluation and alignment with national systems and national capacity development	<b>Strength</b> Provide average level focus on national evaluation capacity and provide evaluation information for use at national level *16D) Include government in planning on what to evaluate and in stakeholder meetings (29)  <b>Challenge</b> Address somewhat issues of concern to countries Not engage governments and national institutions as partners in the actual design and quality control of evaluations.
<b>4.UN Coherence and collaboration to enhance efficiency and create space for addressing priorities</b>  <b>Alignments among decentralized evaluations and with evaluation of other UN agencies and the UNDAF</b>	<b>Strength</b> UN Reform for coherence provides opportunity for joint programming and evaluation. 50% have done joint decentralized evaluation but on limited scale(still in early exploratory stage) <b>Challenge</b> Evaluation policy not strong on alignment of decentralized evaluation with UNDAF. <i>UNDAF is more than 10 years old and has not created the incentive for joint evaluation or coordination of decentralized evaluation among the various organizations or for coordination between DE evaluations and corporate country level evaluations. There continues to be fragmentation on overall landscape of decentralized evaluations</i>
<b>5.Rationalization and shifting role of central independent function: increased demand for central to do more strategically focused evaluations and the DE to take over more project evaluations</b>  Increase in evaluations by decentralized evaluation to enhance coverage	<b>Strength</b> Opportunity for a focus on decentralized evaluation and its added value for the UN system Policy clear on alignment between central and decentralized evaluation but with changing landscape need to revisit <b>Challenge</b> Existing pool of planned evaluations needs to expand. This is a challenge given issue of quality. This presents risk factors. No defined strategic framework for a rationalised approach. Decision for assigning tasks tot decentralized evaluation appear to be ad hoc with tactical moves not accompanied by systematic analysis and a broad based strategic plan of action. Actions taken do not generally consider implications for capacity, quality and resource requirements or alternative models fit for the purposes of the decentralized function.

## Part II : The Maturity Matrix for the Central Evaluation Function of the UN System

### Part II : The Maturity Matrix for the Central Evaluation Function of the UN System .....1

I. Demand and Intentionality .....	4
II. The Enabling Environment – Organizational and Institutional Framework for Evaluation and its Adequacy in Responding to Demand .....	5
Evaluation architecture .....	6
Governance .....	7
Mandate, Vision and Policy .....	7
Supporting implementation of the policy .....	9
Resources .....	10
Results and accountability/Learning culture.....	12
III. Relevance, Responsiveness, Efficiency and Adaptability .....	14
Relevance to stakeholder demands and Coverage .....	14
Responsiveness to: Decentralized evaluation; UN Reform, National Evaluation capacity Development (NECD); Global challenges; Gender, and Human Rights; Sustainable development.....	16
Efficiency .....	18
Adaptability and Continuous improvement.....	19
IV. Credibility: Impartiality and Balanced Perspectives (Independence, Inclusion and Stakeholder Involvement) .....	20

Structural Independence and Head of Evaluation .....	20
Functional Independence– Planning, Management and Delivery of output.....	21
Built in mechanisms for impartiality .....	23
Professional/Technical Independence .....	24
Behavioral Independence .....	25
V. Credibility: Validity and Reliability (Technical Quality) .....	26
Evaluators and Evaluation Teams: Staff and consultant quality .....	26
Conditions in place to ensure quality and consistency in the application of standards and approaches .....	27
VI. Utility and Potential Impact .....	30
Conditions in place to enhance use .....	30
Outcome Level : Nature and level of use .....	32
Impact level: Effect of use .....	33
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Note:  = descriptive information

**Note on this updated version:** This matrix was updated in June 2014 to reflect adjustments following use with 28 Organizations of the UN System.

**Note on Level 5 of the matrix:** The matrix below does not show Level 5 of the maturity matrix. This is the highest level with ratings of 9-10. At this level, the function is: a full agent of change in the function and in the organization: taking on advanced types of evaluation and is engaged at system-wide level or in partnership with the variety of new actors including country led evaluations; using its own system as a platform for supporting other functions like the small organizations in a generative manner; and being in the forefront in addressing the emerging challenges and changes in international governance and the imperatives of the 2015 Agenda.

## Documentation

Date of first assessment and rating : ----- Methodology:----- By Whom: \_\_\_\_\_

Review date by organization: \_\_\_\_\_ Methodology: ----- By Whom: \_\_\_\_\_

Updated list of supporting evidence: \_\_\_\_\_ By Whom

Focused Interview date: Interviewers: Interviewees : Date

Update of assessment and ratings: By Whom

Update of Interview notes:

Finalization of Ratings and Submission to Focal Point for organization use: \_Date: \_\_\_\_\_ Comments: \_\_\_\_\_

ORGANIZATION NAME: \_\_\_\_\_

Year that the evaluation function started in the Organization<sup>1</sup>: \_\_\_\_\_ Official Document or Codification: \_\_\_\_\_

Date of 1<sup>st</sup> Evaluation Policy: \_\_\_\_\_

Date of 2<sup>nd</sup> Evaluation Policy: \_\_\_\_\_

### I. Demand and Intentionality

### II. The Enabling Environment – Organizational and Institutional Framework for Evaluation and its Adequacy in Responding to Demand

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<sup>1</sup> Age of function rather than the age of the unit in its current form

## I. Demand and Intentionality

### 1. Organizational context

- Background of the function
- Organizational factors affecting the function (organization-wide reform initiatives, financial situation, recent developments, etc.)

### 2. Nature and level of demand

- Source of demand / Main stakeholders
- Types of demand (for accountability, improvement, learning and knowledge management, national evaluation capacity development, etc.)
- Level and evolution of demand

## II. The Enabling Environment – Organizational and Institutional Framework for Evaluation and its Adequacy in Responding to Demand

### 3. Evaluation architecture – management and conduct of evaluation (descriptive)

Please clarify the evaluation architecture in your organization (check boxes as applicable). The organization has:			
<input type="checkbox"/> A central/corporate level evaluation unit → <input type="checkbox"/> Stand-alone evaluation unit, or → <input type="checkbox"/> Evaluation as part of oversight <input type="checkbox"/> Separate unit <input type="checkbox"/> Integrated unit → <input type="checkbox"/> Part of other office (please specify)	<b>Types of evaluations carried out:</b>	<b>Year: No. of evaluations</b>	<b>Type (No. of evaluations of each type)</b>
	<input type="checkbox"/> Thematic evaluations		
	<input type="checkbox"/> Programme evaluations:		<input type="checkbox"/> Country (#) <input type="checkbox"/> Regional (#) <input type="checkbox"/> Global (#) <input type="checkbox"/> Other (specify) (#)
	<input type="checkbox"/> Project evaluations:		<input type="checkbox"/> Country (#) <input type="checkbox"/> Regional (#) <input type="checkbox"/> Global (#) <input type="checkbox"/> Other (specify) (#)
	<input type="checkbox"/> Performance assessment		
	<input type="checkbox"/> Institutional/organizational evaluation		
	<input type="checkbox"/> Other (please specify)		
<input type="checkbox"/> Decentralized Evaluation or Evaluation embedded in programme units and done at the level of:  → <input type="checkbox"/> Technical unit → <input type="checkbox"/> Programme unit → <input type="checkbox"/> Regional Office (headquarters)  → <input type="checkbox"/> Regional Office in field  → <input type="checkbox"/> Country office  → <input type="checkbox"/> Other	<b>Types of evaluations carried out:</b>	<b>Year: No. of evaluations</b>	
	<input type="checkbox"/> Thematic evaluations		
	Programme evaluations		<input type="checkbox"/> Country (#) <input type="checkbox"/> Regional (#) <input type="checkbox"/> Global (#) <input type="checkbox"/> Other (specify) (#)
	<input type="checkbox"/> Project evaluations		
	<input type="checkbox"/> Performance assessment		
	<input type="checkbox"/> Real time evaluations		
	<input type="checkbox"/> Other (please specify)		
<input type="checkbox"/> Project level or Self Evaluation done by project task manager or team		<b>Year: No. of evaluations</b>	
	Output evaluation		
	Outcome evaluation		



	Impact evaluation		

#### 4. Governance

Please clarify the governance structure of your central evaluation function (check boxes as applicable).	
<b>Elements of the governance structure</b>	<b>How often is evaluation tabled for discussion? What is the depth of discussion? (focused session on evaluation or as part of other oversight reporting or reporting on monitoring and performance results)</b>
<input type="checkbox"/> The legislative/governing body	
<input type="checkbox"/> Sub-committee/subsidiary of the legislative/governing body	
<input type="checkbox"/> Independent advisory committee (Membership)	
<input type="checkbox"/> Senior management group	
<input checked="" type="checkbox"/> Other (please specify) Comments on governance structure for decentralized function:	

Factor	Level 1 (Rating of 1-2)	Level 2 (Rating of 3-4)	Level 3 (Rating of 5-6)	Level 4 (Rating of 7-8)	Rating	Means of verification
<b>Evaluation architecture</b>						
<b>5. Evaluation architecture</b>  (assessment of how entity is organized to carry out the function)	Evaluation is not formally undertaken. Architecture is non-existent or not defined.	Architecture for evaluation is partially articulated. Linkages below are made to some extent but are not fully operational. <input type="checkbox"/> Centralized vs. decentralized <input type="checkbox"/> Linkages with other oversight; monitoring and performance reporting; KM; and other forms of assessments	Architecture for evaluation is well articulated. Linkages below are made and are fully operational but partially integrated and effective <input type="checkbox"/> Centralized vs. decentralized <input type="checkbox"/> Linkages with other oversight; monitoring and performance reporting; KM; and other forms of assessments	Architecture for evaluation is well articulated. Linkages below are operational and effective. <input type="checkbox"/> Vertical Linkages: Centralized vs. decentralized vs system-wide <input type="checkbox"/> Linkages with other related disciplines: oversight; monitoring and performance reporting; KM; and other forms of assessments and analyses		

				<input type="checkbox"/> Horizontal linkages with other UN organizations and systems for impact and sustainability (UN organizations, national systems, development partner system)		
<b>Governance</b>						
<b>6. Governance structure</b>  * Legislative * Management * Evaluation	The governance structure for evaluation is not defined.	The governance structure for evaluation is defined. In practice the roles and responsibilities of legislative/ governing bodies and senior management are unclear. There are no guidelines or operational directives.	The roles and responsibilities of legislative/ governing bodies and senior management are clearly defined. There are guidelines/ operational directives. Governing bodies are quite active in their role.	The structure is effective. The roles and responsibilities are clearly defined. Legislative/ governing bodies and senior management play a key role in strengthening evaluation.		
<b>7. Member State appreciation for/ understanding of evaluation</b>	Member States show little or no appreciation for/ understanding of evaluation.	Member States appreciate evaluation but do not necessarily differentiate between audit, evaluation, inspection, performance measurement, monitoring, knowledge management and other forms of decision support systems (tabled together for discussion).	Member States clearly understand the difference between audit, evaluation, inspection, performance measurement, monitoring, knowledge management and other forms of decision support systems.	Member States clearly understand the added value of evaluation. There are different and specific structures in place regularly looking at evaluation.		
<b>Mandate, Vision and Policy</b>						
<b>8. Mandates from governing/legislative bodies</b>	There is no clear mandate for evaluation.	There is a mandate for evaluation, but no clear articulation of what it covers, what is its	There is a clear mandate for evaluation, and articulation of what it covers and its purpose.	The mandate for evaluation is strong. It clearly describes the: <input type="checkbox"/> Governance structure		

		purpose, and how it differs from other oversight activities. It does not link evaluation to the rest of the organization.	But it does not link evaluation to the rest of the organization (approval and follow up mechanisms).	<input type="checkbox"/> Evaluation architecture <input type="checkbox"/> Purpose/added value of evaluation <input type="checkbox"/> Approval and follow up mechanisms		
<b>9. Vision and/or strategy for evaluation</b>	There is no organizational vision and/or strategy for evaluation.	There is an organizational vision and/or strategy for evaluation. There is a results framework (with some indicators) for evaluation.	There is an organizational vision and/or strategy for evaluation. It specifies the role of evaluation and what will make the evaluation function effective/efficient, have impact and be sustainable. There is a results framework (with indicators) for evaluation.	There is an organizational vision and/or strategy for evaluation. It clearly specifies the role of evaluation and what will make the evaluation function effective/efficient, have impact and be sustainable. There is a results framework (with a comprehensive set of indicators) for evaluation. The vision/strategy aligned with organizational values and strategies.		
<b>10. Evaluation Policy (see criteria below<sup>2</sup>)</b>	There is no policy/ little or no codification of practices.	There is a policy. The policy <u>partially</u> (<5) covers UNEG criteria for	The policy covers <u>most</u> (5-8) UNEG criteria.	The policy covers <u>all</u> UNEG criteria as well as other good practices as identified		

<sup>2</sup> UNEG criteria for policy:

- a. The role of evaluation within the organization (purpose)
- b. The various types of evaluations applied within the organization (self, independent, centralized/decentralized...)
- c. The difference between evaluation and other types of assessments carried out within the organization
- d. Definition of the roles and responsibilities of the evaluation professionals, senior management and program managers
- e. The need for adherence to the organization's evaluation guidelines
- f. How evaluations are prioritized and planned
- g. How evaluations are organized, managed and budgeted
- h. Management response for the follow up of evaluations

		policy.		by JIU.		
<b>11. Adoption and adaptation of UNEG Norms and Standards to fit organization</b>	There is no reference to UNEG Norms & Standards.	The policy specifies adoption of UNEG Norms & Standards.	The policy describes how the organization will adapt UNEG norms and standards to fit the organization.	The policy describes in great detail the adaptation of UNEG norms and standards and inclusion of other norms to fit the context of the organization.		
<b>Supporting implementation of the policy</b>						
<b>12. Promulgation for institutional adoption</b>	No promulgation of policy or mandate within the organization.	Limited promulgation of the policy. Understanding of approaches to evaluation vary across the organization.	Policy being promulgated. Efforts are being made towards a common understanding and harmonization of approaches to evaluation.	Policy widely promulgated within the organization. There is a common understanding and harmonization of approaches to evaluation.		

- i. Statement on disclosure and dissemination

**Other good practices (as identified by JIU drawing from policies and interviews):**

- j. Assesses value for the function. Adapts and adds policy elements as appropriate to the purpose, goal and requirements of evaluations
- k. Addresses a set of guiding principles/mandates/goals important for the organization mandate & structure of operation
- l. Defines roles for levels of governance in evaluation (Governing Body, Management; Evaluation)
- m. Defines independence in inclusive manner (structural, built-in structural, professional/technical, behavioural) as a means of achieving impartiality
- n. Refers to ethical standards and code of conduct and behaviours
- o. Defines processes for resource allocation and mobilization
- p. Describes levels of adequate coverage
- q. Refers to further specific guidelines
- r. Describes the follow up mechanisms / how change is assessed
- s. Sets out policy for lessons learning within and outside the organization
- t. Sets out procedures for compliance of practice & monitoring of policy
- u. Describes policy for review and update of the function (continuous improvement)

<b>13. Supporting guidelines and/or structures</b>	There are no documents or structures in place for implementation.	There are some documents and structures in place for implementation. Some key aspects of the policy are not covered.	There are many documents and structures in place for implementation. They cover selective aspects of the policy.	There are documents and structures in place for implementation. They are comprehensive for all aspects of the policy.		
<b>14. Monitoring of policy implementation and revision of the policy</b>	There is no policy.	Policy implementation is not monitored. There is no plan to update the policy and have it formally approved.	There is ad hoc monitoring of policy implementation. The policy is updated on this basis and formally approved.	There is on-going monitoring of policy implementation. Adjustments are made regularly (policy revised at least every 5 years) on the basis of: <input type="checkbox"/> An assessment of implementation, <input type="checkbox"/> Evolving norms and standards, <input type="checkbox"/> Organizational changes, <input type="checkbox"/> New demands and views of stakeholders.		
<b>Resources</b>						
<b>15. Dedicated and stable resources (human and financial)</b>	There are no resources dedicated to evaluation.	The resources dedicated to evaluation are ambiguous/varies (e.g. mixed with monitoring and other oversight activities). Funding is unstable and/or unsustained. Transaction costs incurred in mobilizing resources.	There are clear dedicated resources for evaluation but funding can be unstable and/or unsustained. Transaction costs incurred in mobilizing resources.	There are clear/separate resources for evaluation. Source of financing stable and sustained.		

<p><b>16. Please specify for central evaluation function</b></p> <p>Year for data on budget and expenditures : _____</p> <p>Organizational budget (= \$ _____)      Organizational expenditure (= \$ _____)</p> <p>Programme budget (= \$ _____)      Programme expenditure (= \$ _____)</p> <p>Evaluation budget (= \$ _____)      Evaluation expenditure (= \$ _____)</p> <p><b>No. of evaluation reports/year</b> (average) = ( _#_ ) (See also item 3 above on types of evaluations by central function)</p> <p>No. of staff in the organization = ( _#_ )</p> <p>No. of professional evaluation staff : # _____</p> <p>Support staff ( _#_ ), P2 ( _#_ ), P3 ( _#_ ), P4 ( _#_ ), P5 ( _#_ ), D1 ( _#_ ), D2 ( _#_ )</p> <p>Level of Head of Stand Alone Evaluation Unit: _____</p> <p>Level of head of Oversight Unit----- Chief or head of evaluation unit in Oversight</p> <p>Breakdown of evaluation expenditure by:</p> <p>Core/Regular budget (= \$ _____) vs. Non-core/Extra-budgetary (= \$ _____)</p> <p>Staff (= \$ _____) [consultant budget =\$ _____] Non-staff/consultant = \$ _____</p>				<p>% of time spent evaluation activities:. If you have budget amounts, please indicate</p> <p>Evaluation report production</p> <p>Lessons learned and other syntheses</p> <p>Guidance notes for the central function</p> <p>Support to decentralized evaluations</p> <p>Reviews of evaluation policy</p> <p>Reviews of the central function (peer reviews, methodology reviews etc.)</p> <p>Annual reporting</p> <p>Follow up system</p> <p>Knowledge production/management</p> <p>Communication including websites development</p> <p>Partnerships and outreach</p> <p>Transactions costs in mobilizing resources</p> <p>Efforts at alignment with audit,</p> <p>Strategic Planning</p> <p>Other activities of the central function (please describe and indicate % of time</p> <p>Comments about evaluation budget and expenditures – norms, structure, etc.</p>			
<p><b>17. Costing: Normative framework / formulae</b></p>	<p>There are no norms and/or formulae for costing of the function.</p>	<p>There are some norms and/or formulae for costing the function (not in policy). They are not commensurate with the activities undertaken.</p>	<p>The norms and/or formulae for costing the function are defined in the policy. They are somewhat commensurate with the activities undertaken.</p>	<p>The formulae and normative framework for costing the function are well defined in the policy or other document / transparent. They are commensurate with the activities undertaken.</p>			
<p><b>18. Non-core/ extra budgetary resources</b></p>	<p>In the case of non-core/extra budgetary resources, there are no measures in place to (a) safeguard independence, and (b) ensure sustainability of the</p>	<p>There are few/weak measures in place to (a) safeguard independence, and (b) ensure sustainability of the function (ensure use aligned with organizational</p>	<p>There are strong measures in place to (a) safeguard independence, and (b) ensure sustainability of the function.</p>	<p>There are strong measures in place to (a) safeguard independence, and (b) ensure sustainability of the function. Non-core resources are managed at the discretion of the unit</p>			

	function.	mandate or needs of unit).		Head. The unit effectively mobilises and uses non-core resources to strengthen its programme of work.		
<b>RESULT</b> <b>19. Adequacy of resources</b>	The budget is non-existent/inadequate.	Somewhat adequate budget: Sufficient for getting the basic building blocks in place and focusing on a few key areas for coverage of the organization.	Adequate budget: Sufficient for most areas for coverage of the organization and scope of evaluation function.	Highly adequate budget: Commensurate with requirements for full coverage of the organization and scope of evaluation function. Supports a function which is proactive and focused on refining itself.		
<b>Results and accountability/Learning culture</b>						
<b>20. RBM framework</b>	The organization does not have an operational RBM policy or system.	An RBM policy/system exists and is operational. Linkages (among evaluation, strategy, budget, programmatic areas, etc.) are not well defined. Implementation of RBM is not incomplete (M&E reporting not comprehensive).	The RBM policy/system exists and its implementation/coverage is more or less complete. It provides some key elements to support the conduct of evaluation (logic framework, results, performance indicators, and data systems are of high quality). But evaluation is not fully integrated into the system (the linkages are not well/fully developed).	The RBM policy/system exists and its implementation/coverage is comprehensive. It provides all key elements to support the conduct of evaluation (logic framework, results, performance indicators and data systems are of high quality). Evaluation is fully integrated into the system (the linkages are well/fully developed) and its role (advisory or other) defined.		
<b>21. Other support systems</b>	There are no support	The organization has other	The organization has	The organization has other		

<b>for decision making, learning and accountability</b>	systems for decision-making, learning and accountability.	support systems for accountability (other oversight, accountability framework with indicators, etc.) but there are no strong linkages with evaluation.	other support systems for accountability and decision making (other oversight, accountability framework with indicators, etc.). There are strong linkages with evaluation. Some linkages with learning and knowledge management systems.	support systems for accountability and decision making (other oversight, accountability framework with indicators, etc.) and for learning and knowledge management. There are strong linkages with evaluation. There are incentive systems for strengthening evaluation.		
<b>22. Leadership and support from management</b>	Leadership and support for the function is generally missing. There is no understanding on the part of senior management of the added value of evaluation.	There is some understanding on the part of senior management of the added value of evaluation. There are a few 'champions' who promote the function. Few key JIU Principles for a culture of accountability <sup>3</sup> are present.	Most senior managers understand the role and added value of evaluation. Most key JIU Principles for a culture of accountability are demonstrated.	Senior management fully understand the role and added value of evaluation, and actively support and promote the function within the organization. The key JIU Principles for a culture of accountability are regularly demonstrated.		
<b>RESULT</b> <b>23. Organizational culture for results, accountability, and</b>	The organizational culture for results and accountability/learning is poor.	The organizational culture for results and accountability/learning depends on individuals/	The organizational culture for results and accountability/learning is partially rooted in the	The organizational culture for results and accountability/learning is fully rooted in the		

<sup>3</sup> JIU Principles for a culture of accountability:

- a. Leading the evaluation function by values and examples
- b. Leading the evaluation function by information and communication
- c. Leading the evaluation function by motivation
- d. Leading the evaluation function by guidance and discipline
- e. Leading the evaluation function by participation



learning		personalities. There are few ad hoc capacity building initiatives (training, handbooks, guides, etc.) for enhancing culture and understanding at the organization and individual level.	organization. There are regular capacity building initiatives (training, handbooks, guides, etc.) for enhancing culture and understanding at the organization and individual level.	organization itself. There are on-going capacity building initiatives (training, handbooks, guides, etc.) for enhancing culture and understanding at the organization and individual level.		
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### III. Relevance, Responsiveness, Efficiency and Adaptability

Factor	Level 1 (Rating of 1-2)	Level 2 (Rating of 3-4)	Level 3 (Rating of 5-6)	Level 4 (Rating of 7-8)	Rating	Means of verification
<b>Relevance to stakeholder demands and Coverage</b>						
<b>24. Planning for coverage (see criteria below)</b>	Evaluations are not planned and prioritized according to clear selection criteria.	Evaluations are planned but the selection criteria are unclear and/or not systematically applied.	Evaluations are planned and prioritized according to clear selection criteria.	Evaluations are planned and prioritized according to clear and strategic selection criteria. They allow for flexibility and maximum coverage.		
<b>25. The following planning/selection criteria are used (check as applicable):</b> <input type="checkbox"/> Organization strategic plan / priorities <input type="checkbox"/> Internal and <input type="checkbox"/> external stakeholder demand <input type="checkbox"/> Emerging / global trends <input type="checkbox"/> Internal and external coherence				<input type="checkbox"/> Evaluability assessment <input type="checkbox"/> Funding amount <input type="checkbox"/> Up-scaling value Risk assessment Timing to support decision-making Utility <input type="checkbox"/> Others (please specify) Yes _____		

<b>26. Types of support</b> to decentralized or technical evaluation functions by the central evaluation unit (check as applicable): <input type="checkbox"/> Guidance materials and handbooks <input type="checkbox"/> Trainings <input type="checkbox"/> Strategy and planning				<input type="checkbox"/> Quality assurance (please specify) : _____ <input type="checkbox"/> Evaluability enhancement (please specify): _____ <input type="checkbox"/> Other (please specify) : _____ % of unit's time spent supporting decentralized or technical evaluation functions: ____	
<b>27. Balancing activities to respond to changing conditions and demands (see below)</b>	The plan is inflexible to respond to changing conditions and demands.	The plan is flexible to some extent. Focused more on own capacity and limited resources.	The plan is flexible to some extent. The need for balancing the various activities is recognized and reflections are being made.	The plan is flexible to respond to changing conditions and demands. The unit balances various activities and has a strategy for doing this.	
<b>28. Balancing demands for:</b> <input type="checkbox"/> core evaluations to address strategic organizations decision making and decentralized evaluation (quality, building blocks for evaluation, etc.) <input type="checkbox"/> evaluations to respond to reforms and organizational initiatives (driving organizational change) and developing a learning organization (culture of evaluation and use) <input type="checkbox"/> accountability and value for money and learning and feeding knowledge into strategies, and engaging in discussions for sustained relevance and effectiveness <input type="checkbox"/> internal focus and global outreach and visibility <input type="checkbox"/> internal focus and innovations in methodology and advancing development evaluation and other development work in evaluation <input type="checkbox"/> internal evaluation capacity development and national evaluation capacity development <input type="checkbox"/> budget cuts and expanding work programme and increased efficiency - Audit versus evaluation (in a culture where the two are interchangeable and there is confusion) - Doing evaluations of technical quality with limited staff while also seeking to enhance or advocate for reform of the evaluation function for independence and utility <input type="checkbox"/> Other (please specify) _____					
<b>RESULT</b> <b>29. Actual Coverage (see areas below)</b>	Coverage is ad hoc. Few areas are covered on a selective basis.	Coverage is weak and selective. Not sure how supportive of decision-making it is. >50% of substantive areas are covered within a 5 year period but on a selective basis.	Coverage is adequate. Supports demand and decision making at various levels of the organization. >75% of substantive areas are covered within a 5 year period.	Coverage is good/excellent. Clearly linked to demand and decision-making at various levels of the organization. 100% of substantive areas are covered within a 5 year period.	

<b>30. Levels of coverage</b> (please check as applicable):					
Levels of activity:	<input type="checkbox"/> strategic issues	<input type="checkbox"/> programmes	<input type="checkbox"/> normative	<input type="checkbox"/> projects	<input type="checkbox"/> non-project operational
Levels of operation:	<input type="checkbox"/> country	<input type="checkbox"/> regions	<input type="checkbox"/> global	<input type="checkbox"/> inter-agency	
Levels of results:	<input type="checkbox"/> outputs	<input type="checkbox"/> outcomes	<input type="checkbox"/> impact Contribution to development results Other		
Level of coverage of themes/focus areas of the organization		a) Organizational Themes			
		b) % of coverage by evaluation	_____	_____	_____

**Responsiveness to: Decentralized evaluation; UN Reform, National Evaluation capacity Development (NECD); Global challenges; Gender, and Human Rights; Sustainable development.**

<b>31. Support to Decentralized/self/Management evaluations functions by the central evaluation unit</b>	There is no support to decentralized or technical evaluation functions by the central evaluation unit.	Support to decentralized or technical evaluation functions by the central evaluation unit is recognized as important but is limited. There is no well-defined strategy of how the central unit can support or enhance the quality of decentralized evaluation.	Support to decentralized or technical evaluation functions by the central evaluation unit is good. There is a clear understanding of decentralized evaluation and its role in the evaluation architecture. Linkages and alignments are being established between the central and	The strategy for and significance of decentralised evaluation is well-defined. The central unit provides extensive support of both.		
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			decentralized functions.			
<b>32. Participation in UNEG</b>	Not a member.	Member of UNEG but not active in task forces. Use of UNEG products.	Member of UNEG and active in task forces. Use of UNEG products.	Member of UNEG and active in driving the work of UNEG. Active use and promotion of UNEG products.		
<b>33. System wide harmonization, collaboration, coherence and efficiency</b>	There is no coordination or collaboration with other UN organizations in the conduct of evaluations.	There is coordination (not collaboration) that is limited to sharing of information.	Active coordination and some collaboration. Evaluation plans and activities are systematically shared with other UN organizations.	Active in UN reform and harmonization. Excellent coordination and collaboration. Evaluation plans are systematically shared and the unit conducts joint evaluations with other UN organizations.		
<b>34. National Evaluation Capacity development (NECD) (see initiatives below)</b>	There is no consideration of NECD.	Considers NECD. Some initiatives taken on an ad hoc basis.	Adoption of NECD mandates and UNEG evaluation policy for NECD. Policy statement on NECD, but not integrated in the work. Initiatives taken on a regular basis.	Full adoption of NECD mandates. Policy statement, strategy and work plan for NECD. Initiatives are an integral part of the work.		
<b>35. Please check</b> NECD initiatives undertaken: <input type="checkbox"/> Mandate for NECD <input type="checkbox"/> Policy for NECD <input type="checkbox"/> Vision and integrated strategy and /or work plan for NECD			<input type="checkbox"/> Engaging perspectives of nationals (including experts and institutions) in the conduct of evaluations <input type="checkbox"/> Including nationals in reference groups and advisory panels <input type="checkbox"/> Evaluations led by national experts or institutions <input type="checkbox"/> Others (please specify)_____			
<b>36. Gender and Human Rights and Diversity in perspectives</b>	There is no requirement to take a gender and human rights perspective.	Gender, HR and diversity considered to some extent but this is not systematically done.	Gender, HR and diversity considered in a systematic way throughout the evaluation process by a balanced/diverse team.	Gender, HR and diversity considered in a systematic way throughout the evaluation process by a balanced/diverse team.		

				Different approaches are used for different groups when required and this is reflected in evaluation findings, conclusions and recommendations.		
<b>37. Global challenges: the UN in the 21<sup>st</sup> century</b>	No consideration	Reflections made but unit focused mostly internally on own development and immediate needs.	Considers global trends and challenges in planning/coverage, joint work and methodology for complex evaluation and contexts.	Fully cognizant of global trends and challenges. Seeking new approaches and partnerships and revising old partnerships for cognitive diversity and new imperatives.		
<b>Efficiency</b>						
<b>38. Criteria and measures of efficiency (see below)</b>	No measure of efficiency	Some criteria for/measures of internal efficiency. However not comprehensive.	Clear, well-defined criteria for/ measures of efficiency. Allow for an adequate assessment of efficiency.	Clear, well-defined and comprehensive criteria for/ measures of efficiency. Allows for a solid and systematic assessment of efficiency.		Qualitative rubric and not meant to be scored - It was decided not to use this criterion in the assessment of organizational maturity level. It was not checked systematically during the interviews.
<b>39. Efficiency measures</b> (check as applicable and describe methodology and result: <input type="checkbox"/> Staff/output ratios <input type="checkbox"/> Financial cost/output ratios <input type="checkbox"/> Internal versus external outsourcing (business model) <input type="checkbox"/> Collaboration and joint planning and work to enhance coherence and limiting transaction costs for all				<input type="checkbox"/> Use of national system for sustainability and longer term value <input type="checkbox"/> Harmonized approaches <input type="checkbox"/> Cost vs. utility measures Adequate resources and limited time for resource mobilization Assessment of value for money proposition by organization <input type="checkbox"/> Others (please specify)		
<b>RESULT</b> <b>40. Actual efficiency</b>	No measure of efficiency	Unit is operating at a low level of efficiency according to subscribed	Unit is operating at an average level of efficiency according to subscribed	Unit is operating at a high level of efficiency according to subscribed criteria above.		It was decided not to use this criterion in the assessment of organizational maturity level as it was difficult to assess based on

		criteria above	criteria above.			responses received. The criteria used by organizations were neither comprehensive nor comparable. See separate questionnaire and analysis (JIU)
<b>Adaptability and Continuous improvement</b>						
<b>41. Continuous assessment of the fulfilment of the policy/ norms and standards (see initiatives below)</b>	No initiatives taken for a continuous assessment of the fulfilment of the policy/ norms and standards [independence, credibility, utility]	Few, ad hoc initiatives undertaken. Adaptation and change process in slow. Focused on mechanical implementation issues rather than broad, strategic ones.	Several initiatives undertaken periodically as part of annual work plan. Adaptation and change is on-going.	Initiatives undertaken on a regular basis. Adaptation and change is an integral part of the work of the unit.		
<b>42. Initiatives for adaptability and continuous improvement of the function (check as applicable):</b> <input type="checkbox"/> Active member of UNEG <input type="checkbox"/> UNEG Self-Assessments and decisions based on these <input type="checkbox"/> UNEG Peer Review and changes based on review				<input type="checkbox"/> Internal assessments and on-going improvement <input type="checkbox"/> Independent external reviews (commissioned by Board or donors) <input type="checkbox"/> Reviews by Member States <input type="checkbox"/> Others (please specify)		
<b>RESULT</b> <b>43. Contributions to the advancing evaluation in the context of the UN system's work (see below)</b>	No initiatives	Few, ad hoc initiatives undertaken. Reflections being made. Participates in forums and learning about advances.	Several initiatives undertaken periodically as part of annual work plan. Partially engaged and making a contribution.	Initiatives undertaken on a regular basis. Making a visible contribution and sharing innovations.		
<b>44. Initiatives for advancing evaluation in the context of the UN system's work (check as applicable):</b> <input type="checkbox"/> Innovations in evaluation (please specify) <input type="checkbox"/> New methods for what the UN does and how it does its work and addressing complicated contest and complex evaluands: (e.g. system models; assessment and configuration of evaluand;						

assessing normative work; assessment of soft assistance, real-time evaluation).

☐ Efficient use of knowledge assets (e.g. meta-analyses; quality of decentralized evaluation)

Contribution analysis (contribution to development results)

☐ Impact evaluation: project level with attribution analysis; long-term impact assessment of complex evaluations; joint impact evaluations (

☐ Proactiveness/Awards in engaging in global/wider platforms and making positive changes

#### IV. Credibility: Impartiality and Balanced Perspectives (Independence, Inclusion and Stakeholder Involvement)

Factor	Level 1 (Rating of 1-2)	Level 2 (Rating of 3-4)	Level 3 (Rating of 5-6)	Level 4 (Rating of 7-8)	Rating	Means of verification
<b>Structural Independence and Head of Evaluation</b>						
<b>45. Positioning of the central evaluation function in the organization</b>	There is no central evaluation unit.	Unit is not separate from management functions such as programme monitoring, policy development, the design and implementation of programmes.	Unit is not separate from management functions, but is located in or under the office of the Executive Head/Director General.	Unit is located outside the office of the Executive head and management. It is independent of decision-making and implementation. It participates in management bodies as observers/ advisors/ information brokers in order to be kept informed and produce relevant products.		
<b>46. Appointment of Head of Evaluation (Head of Oversight if applicable)</b>	There is no central evaluation unit.	Appointment made by the Head of the organization without consideration of: - Member State input - UNEG competencies - Limiting political influence	Appointment made by the Head of the organization with consideration of: - MS input (interview panel member) - UNEG competencies - Limiting political influence	Appointment made by the Governing/Legislative Board with consideration of UNEG competencies. Approval ensures process free of political interests by MS or management.		

<b>47. Term of Head of evaluation (Head of Oversight if applicable) and rotation in the organization</b>	There is no central evaluation unit.	Fixed term appointment. Same rules apply as to rest of the organization.	Head has not more than two terms and cannot return to the organization.	Head has one term (>4 years) and cannot return to the organization.		
<b>Functional Independence– Planning, Management and Delivery of output</b>						
<b>48. Development and issuance of evaluation reports: Independence of the Head of evaluation (Head of Oversight if applicable)</b>	The Head of Evaluation does not have full discretion over the development and issuance of the report to Member States and to the public.	The Head of Evaluation has some discretion over the development and issuance of the report. The report has to be cleared internally before issuance to Member States and to the public. There is potential for interference by management.	The Head of Evaluation has significant discretion over the development and issuance of the report. However, the report has to be cleared by the Head of the Organization before issuance to Member States and to the public. There are little or no risks to independence. The Management Response is attached.	The Head of Evaluation has full discretion over the development and issuance of the report to Member States and to the public. The Management Response is attached.  The Head of Evaluation interacts directly with Member States in deliberations over the report. There are no risks to independence.		
<b>49. Planning of work programme (PoW)</b>	The Head of Evaluation does not have full discretion over the PoW. There are no safeguards for independence .	The Head of Evaluation has some discretion over the PoW. It is approved by the Head of the Organization. There are potential violations of independence.	The Head of Evaluation has significant discretion over the PoW. It is approved by the Head of the Organization. There are safeguards for independence and no violations of independence.	The Head of Evaluation has full discretion over the PoW. It is approved by the Governing Body. There are safeguards against external pressures/ influences and no violations of independence.		
<b>50. Independence of budgetary process</b>	The evaluation budget is determined and	The evaluation budget is approved by the Head of	The evaluation budget is approved by Member	The evaluation budget is approved by Member States.		



	approved by the Head of the Organization or other unit.	the Organization or other unit. The Head of Evaluation determines the nature and amount of resources required to fulfil the strategic objectives of the Unit. However, the proposed budget is often amended by the Head of the Organization/other unit.	States. The Head of Evaluation has significant discretion in determining the nature and amount of resources required to fulfil the strategic objectives of the Unit. The proposed budget is reviewed internally, and is often amended, before consideration by Member States. However, there is no observed bias in changes made.	The Head of Evaluation has full discretion in determining the nature and amount of resources required to fulfil the strategic objectives of the Unit. Organizational procedures and formats for the proposed budget are followed but the content of the proposed budget from the Head of evaluation is not changed before consideration by Member States.		
<b>51. Access to information</b>	There is no formal requirement for staff of the organization to provide evaluators with full access to information.	There is a formal requirement for access to information. Staff respect this. However, there are often difficulties in obtaining full access to people or information.	There is a formal requirement for access to information. Staff respect this. However, there are sometimes difficulties in obtaining full access to people or information.	There is a formal requirement for access to information. All staff respect this and there are no obstacles to obtaining information.		
<b>52. Allocation and management of evaluation resources (including staffing)</b>	The Head of Evaluation does not have full discretion and control over the allocation and management of financial and human resources to fulfil the PoW.	The Head of Evaluation has some discretion and control over the allocation and management of financial and human resources to meet fulfil PoW.	The Head of Evaluation has significant discretion and control over the allocation and management of financial and human resources to fulfil the PoW.	The Head of Evaluation is accountable for the PoW. He/she has full discretion and control over the allocation and management of financial and human resources to fulfil the PoW.		
<b>53. Annual Report to Member States on evaluation</b>	The Annual Report is not considered by Member States.	The Head of Evaluation issues the Annual Report to Member States via another unit or the Head of the Organization.	The Head of Evaluation issues the Annual Report directly to Member States. However, information on evaluation is limited and is	The Head of Evaluation issues the Annual Report directly to Member States. It provides a separate and comprehensive overview of evaluation in the		

			mixed with e.g. audit. It does not provide a comprehensive overview of evaluation in the organization for decision-making.	organization for decision-making.		
<b>Built in mechanisms for impartiality</b>						
<b>54. Controls and stakeholder involvement for balanced perspectives and impartiality (see below)</b>	There are no controls in place.	The unit uses only 1-2 of these controls.	The unit frequently uses some of these controls (>2).	The unit always uses a variety of controls and stakeholder involvement (>4).		
<b>55. Controls and stakeholder involvement for balanced perspectives and impartiality (check as applicable):</b> <input type="checkbox"/> Use of consultants as → <input type="checkbox"/> Independent authors of the report → <input type="checkbox"/> Experts to conduct the evaluation on behalf of the organization → <input type="checkbox"/> Experts to input on specific aspects of the evaluation  <input type="checkbox"/> Evaluation Management Group: Steering Group; Reference Group of key Stakeholders; Independent Advisory Groups made up of <input type="checkbox"/> Key internal stakeholders (internal to organization) <input type="checkbox"/> Member States <input type="checkbox"/> Peers/experts from other UN organizations <input type="checkbox"/> Peers/experts from outside the UN Experts Staff and managers of other development organizations <input type="checkbox"/> External Readers <input type="checkbox"/> Formal endorsement of report by Evaluation Management / Reference / Independent Advisory Groups or External Readers <input type="checkbox"/> Periodic meetings with stakeholders and transparency regarding the evaluation <input type="checkbox"/> Audit trail of all sources of information including interview notes, comments and suggestions - Internal (unit) quality assurance system on all aspects of the evaluation (rigorous internal process and high level critical assessment system) <input type="checkbox"/> Others (please specify): _____						

Professional/Technical Independence						
<b>56. Evaluators and managers of evaluation</b>	Staff are not formally required to reduce bias in evaluations.	Staff are formally required to reduce bias and errors in the design and conduct evaluation but there are no instructions/guidelines on how to do so.	Staff are formally required to reduce bias and errors in the design and conduct evaluation using professional/technical standards. There are instructions/guidelines on how to do so.	Staff are formally required to reduce bias and errors in the design and conduct evaluation using professional/technical standards. There are instructions/guidelines on how to do so and these are applied consistently across the unit.		
<b>57. Professional integrity and Identity of the function (see below)</b>	None	Low	Average	High		
<b>Elements of professional integrity and identity present (check as applicable):</b> <input type="checkbox"/> There is independence but not isolation. There is engagement with the organization. <input type="checkbox"/> Evaluation is not overshadowed by other disciplines or made compliant to other related disciplines (monitoring, research, audit, assessments etc.), thus not fulfilling its value added. <input type="checkbox"/> Staff managing and conducting evaluation are evaluators (and also have expertise in in other discipline. Also have strategic thinking skills and are quick learners. <input type="checkbox"/> Function has prominence or standing in the organization and with the governing bodies. <input type="checkbox"/> The language of evaluation is fully recognized and organization uses this. <input type="checkbox"/> Evaluations address both performance (doing things right) and addresses critical evaluation questions of doing the right things, and strategic direction setting and positioning of the organization for added value and advancement. <input type="checkbox"/> The approaches and methods used follow professional methods for evaluation but there is judgment in application as well as innovation to enhance validity <input type="checkbox"/> The accountability for results is an integral part of role of function to enhance the learning culture <input type="checkbox"/> When co-located, there is equivalent treatment with other functions in terms of resourcing, coverage, recognition, status and staffing. Also, there is value addition in the co-location <input type="checkbox"/> Central Office or unit of Evaluation acts as custodian or steward or advocate for evaluation and engages organization on all aspects of the evaluation.						
<b>58. Absence of conflict of interest (See below)</b>	There is no policy in place to identify potential bias or relationships which may interfere with	There is a policy and it addresses some of the points below.	There is a policy and it addresses all of the points below.	There is a policy and it addresses all of the points below. It describes steps to be taken to address conflict of		

	independence			interest. Potential biases are eliminated.		
<b>59. Potential conflict of interest</b> addressed (check as applicable): <input type="checkbox"/> Biases resulting from previous work <input type="checkbox"/> Biases or relationships which may interfere with independence <input type="checkbox"/> Responsibilities for the development or implementation of recommendations <input type="checkbox"/> Intention for future work with organization and type of work						
<b>Behavioral Independence</b> <b>RESULT</b>						
Please check as applicable:						
<b>60. Role of evaluators and managers of evaluations</b>	None	Low	Average	High		
<input type="checkbox"/> Abide by code of conduct, ethical guidelines and UN regulations <input type="checkbox"/> Abide by codes for cultural sensitivity to context factors, beliefs, manners, customs and cultures <input type="checkbox"/> Abide by professional ethics for measurement, evaluation, and reporting <input type="checkbox"/> Maintain high standards of professional and personal integrity for independence and quality – transparency, balanced, objective						
<b>61. Role of staff across the organization</b>	None	Low	Average	High		
<input type="checkbox"/> Provide full access to information <input type="checkbox"/> Abide by rules for safeguarding the evaluation process and products <input type="checkbox"/> Commitment, intention and integrity senior management and staff (who want to use the evaluation results)						
<b>62. Role of Member States</b>	None	Low	Average	High		
<input type="checkbox"/> Provide a balanced and non-politicised view in working for the best interest of the UN system when interpreting and using information from evaluations						

**V. Credibility: Validity and Reliability (Technical Quality)**

Factor	Level 1 (Rating of 1-2)	Level 2 (Rating of 3-4)	Level 3 (Rating of 5-6)	Level 4 (Rating of 7-8)	Rating	Means of verification
<b>Evaluators and Evaluation Teams: Staff and consultant quality</b>						
<b>63. Staff competencies</b>	Staff responsible for designing, conducting and managing evaluations do not have core evaluation competencies and have a limited understanding of organizational and institutional issues.	Staff have relevant technical evaluation competencies as per the UNEG standards but a limited understanding of organizational and institutional issues.	Staff have sound technical competencies, solid professional experience, and range of other complementary knowledge and skills (including managerial skills if managing consultants, etc.). They have a good understanding of organizational and institutional issues.	Staff have extensive technical competencies, solid professional experience, and strong complementary knowledge and skills (including strong managerial skills if managing consultants, etc.). They apply innovative knowledge and skills to advance evaluation methodology. They have an excellent understanding of organizational and institutional issues.		
<b>64. Consultant competencies</b>	There are no mechanisms in place to ensure that professional/ technical standards are met by all consultants.	External consultants hired meet the defined levels of content and professional expertise required. Evaluation experts partially meet the UNEG evaluation competency standards (Standard 2.1-	External consultants hired meet/surpass the defined levels of content and professional expertise required. Evaluation experts meet the UNEG evaluation competency standards (Standard 2.1-	External consultants hired meet/surpass the defined levels of content and professional expertise required. Have solid professional experience. Thematic experts are familiar with evaluation		

		2.4). There are few mechanisms to ensure that professional/ technical standards are met by all consultants.	2.4). There are mechanisms to ensure that professional/ technical standards are met by all consultants, but these are not always effective.	principles and methodologies. Effective mechanisms are in place to ensure that professional/ technical standards are met by all consultants.		
<b>65. Methodologies and types of evaluation</b>	No consideration of best-suited methodologies or types of evaluation.	Some consideration given to the application of different methodologies and types of evaluations, but unit is limited in what it can do.	The unit applies a range of different methodologies and undertakes various types of evaluations.	The unit applies a wide range of different methodologies and undertakes various types of evaluations. It applies innovations in methodology and contributes to progress in the field.		
<b>66. Professional development of staff</b>	There are no opportunities for staff to enhance their evaluation skills and be trained on the latest evaluation methodologies.	There are ad hoc opportunities for some staff to enhance their evaluation skills and be trained on the latest evaluation methodologies.	There are clear policies, and opportunities for all staff to enhance their evaluation skills and be trained on the latest evaluation methodologies.	There are clear policies and all staff engage in multiple opportunities for learning and sharing (including training, publications, presentations in conferences and sharing of knowledge and skills by delivering training).		
<b>Conditions in place to ensure quality and consistency in the application of standards and approaches</b>						
<b>67. Technical and managerial guidelines and tools</b>	There are no guidelines or tools available.	There are few guidelines and tools. They are not comprehensive. They are not applied consistently	There are many guidelines and tools, covering key areas. They are applied somewhat consistently	There is a comprehensive set of guidelines and tools. These are applied consistently across the		

		across the organization.	across the organization.	organization.		
<b>68. Controls and stakeholder involvement at various stages of the evaluation to ensure quality / content validity (see below)</b>	There are no controls in place.	The unit uses only 1-3 of these controls. They are systematically and consistently used.	The unit frequently uses some of these controls (>3). These are systematically and consistently used.	The unit always uses a variety of controls and stakeholder involvement (>5). These are systematically and consistently used.		
<b>69. Controls and stakeholder involvement to ensure quality / content validity (check as applicable):</b> <input type="checkbox"/> Internal quality assurance tools (based on evaluation norms and standards) at various stages of the evaluation (checklists, templates, etc.) <input type="checkbox"/> Internal peer review mechanisms <input type="checkbox"/> UNEG quality checklists <input type="checkbox"/> Expertise and mix of team members <input type="checkbox"/> Use of consultants as evaluation and thematic experts <input type="checkbox"/> Reference / Advisory Groups made up of <input type="checkbox"/> Internal experts <input type="checkbox"/> Experts from other UN organizations <input type="checkbox"/> Experts from outside the UN <input type="checkbox"/> External Readers <input type="checkbox"/> Formal endorsement of report by Reference / Advisory Groups or External Readers <input type="checkbox"/> Periodic meetings with stakeholders at various stages of the evaluation, validating the evaluation results . Meeting with beneficiaries (as part of stakeholder group ) <input type="checkbox"/> Others (please specify): _____						
<b>70. Empirical/objective assessments of evaluation reports and compliance with N&amp;S and other requirements</b>	The quality of evaluation reports has not been assessed.	There are ad hoc assessments of the quality of reports.	There are regular assessments of the quality of reports (> every 2 years)	There are regular assessments of the quality of reports (at least every 2 years)		
<b>71. Type of assessment (check as applicable):</b> <input type="checkbox"/> Internal assessment of reports on the basis of <input type="checkbox"/> UNEG N&S <input type="checkbox"/> other criteria						

<input type="checkbox"/> External assessment of reports on the basis of <input type="checkbox"/> UNEG N&S <input type="checkbox"/> other criteria <input type="checkbox"/> Statements by Board <input type="checkbox"/> Statement by internal stakeholders						
<b>RESULT</b> <b>72. Quality of reports (corporate/central level)</b>	Quality varies. Low quality on average.	Quality varies. Low-medium quality overall. Some improvements.	Quality varies. Medium quality overall but significant improvements.	Medium – high quality overall. Significant improvements. Quality consistent.		



## VI. Utility and Potential Impact

Factor	Level 1 (Rating of 1-2)	Level 2 (Rating of 3-4)	Level 3 (Rating of 5-6)	Level 4 (Rating of 7-8)	Rating	Means of verification
<b>Conditions in place to enhance use</b>						
<b>73. Dissemination and communication strategy</b>	There is no dissemination and communication strategy.	There is some dissemination but it is not organized or systematic.	There is a clear dissemination and communication strategy.	There is a clear dissemination and communication strategy and it is fully resourced.		
<b>74. Timeliness in meeting stakeholder demands</b>	There is no work plan/set schedule for evaluations.	Evaluations are rarely completed within the set schedule nor readily feed into decision making.	Evaluations are often completed within the set schedule and planned to feed into decision making.	Evaluations are always completed within the set schedule and regularly feed into decision making.		
<b>75. Recommendation tracking system</b>	There is no follow-up mechanism.	Follow-up mechanisms in place and there is ad hoc follow-up on the implementation of the recommendations.	Follow-up mechanisms in place and well designed. There is systematic follow-up on the implementation of the recommendations.	Follow-up mechanism is well designed and of high quality. There is systematic follow-up of the recommendations. Reporting on implementation status is mandated.		
<b>76. Accessibility and transparency</b>	Reports are not available on the website, either intra- or extra- net.	Reports are only available on the intranet.	Reports are available on the intranet, and some on the public website.	Reports are systematically uploaded onto the public website when finalized. There is a central database		

				which gives access to all evaluation reports across the organization (filterable by programme, theme, country, etc.).		
<b>77. Sharing of evaluation results internally</b>	Evaluations results are not distributed internally. There are no networks and systems for internal LL and discussions.	Evaluations results are sometimes distributed internally. There are few networks and systems for internal LL and discussions, but these have not yet been institutionalized.	Evaluations results are often distributed internally and discussed with management. There are several networks and systems for internal LL and discussions. They are partly institutionalized.	Evaluations results are systematically distributed internally and discussed with management. Briefs and notes on lessons or innovations are developed and shared. There are continuous formal and informal meetings with stakeholders on evaluation findings and recommendations. Networks and systems for internal LL and KM are well established and functioning effectively.		
<b>78. Sharing of evaluation results externally</b>	Evaluations results and LL are not shared with other UN organizations and external stakeholders.	Evaluations results and LL are sometimes shared with other UN organizations and external stakeholders. The unit participates (on an ad hoc basis) in some external networks and systems for LL and discussions.	Evaluations results and LL are shared with other UN organizations. The unit participates in some external networks and systems for LL and discussions. It sometimes makes presentations about its work via UNEG and/or to external stakeholders (including other evaluators,	Evaluations results and LL are regularly systematically shared with other UN organizations and external stakeholders (including other evaluators, Members States beneficiaries, etc.). The unit participates in several external networks and systems for LL and discussions. It regularly		

			Members States beneficiaries, etc.).	makes presentations about its work.		
<b>Outcome Level : Nature and level of use</b>						
<b>RESULT</b>						
<b>79. Recommendation implementation rates</b>	There is no follow-up on the implementation of the recommendations. Not clear indication of recommendation accepted and implemented.	Less than 50% of the recommendations are implemented within the first three years.	Between 50-85% of the recommendations are implemented within the first three years.	More than 85% of the recommendations are implemented within the first three years.		
<b>80. Nature of use</b> for central evaluation reports (check as applicable): <input type="checkbox"/> High level – For developing corporate strategies and policies for strategic decision making in the organization by the governing/legislative bodies and senior management <input type="checkbox"/> Mid-level – For management and broader programmatic decisions by senior and mid-level management having wider institutional impact <input type="checkbox"/> Implementation level – For on-going adjustments at project and programme level by project and programme managers						
<b>81. HIGH LEVEL Corporate/summative use (Use for strategic direction setting and systemic challenges at organizational level)</b>	No use	Low use	Average use	High use		
<b>82. MID LEVEL Corporate/summative use (Use for strategic direction setting at higher</b>	No use	Low use	Average use	High use		

programmatic level; tied to performance)						
<b>83.</b> <b>IMPLEMENTATION LEVEL</b> Formative use for on-going adjustments at project and programme level for programmatic improvement and learning – what is working, what changes to make, etc. (during interventions)	No use	Low use	Average use	High use		
<b>84.</b> <b>Use external to organization</b>	Evaluations are never cited outside the organization.	Evaluations are rarely cited outside the organization.	Evaluations are occasionally cited outside the organization.	Evaluations are often cited outside the organization.		
<b>Impact level: Effect of use</b> <b>RESULT</b>						
<b>85.</b> <b>Impact following implementation of recommendation</b>	There is no follow up once the recommendations have been implemented (recommendations are closed). No evidence of impact.	There is no follow up once the recommendations have been implemented. However, the unit does record evidence of impact if it is brought to their attention.	There is ad hoc follow up once the recommendations have been implemented (not comprehensive). There is some evidence collected of impact following the implementation of the recommendations	There is continued, periodic follow up once the recommendations have been implemented. Impact following implementation of the recommendations is systematically recorded and shared.		

<p><b>86.</b> <b>Effect of use on organizational effectiveness and value for the UN: Indicators and evidence of impact</b></p>	<p>There are no indicators for measuring the impact of use. There is no evidence or examples of the effect of use of evaluations on organizational effectiveness and value for the UN system.</p>	<p>There are some indicators for measuring impact of use on the organization or the UN system. There are few examples of impact of use. Evidence collected shows limited effect of use of evaluations on organizational effectiveness and value for the UN system.</p>	<p>The value of evaluation for the organization is well conceived. There are some indicators for measuring impact but these are not comprehensive. . The methodology for impact assessment and evaluation is not well defined There is some anecdotal evidence. Evidence collected shows selective effect of the use of evaluations on organizational effectiveness and value for the UN system.</p>	<p>There is a comprehensive set of indicators for measuring impact. There is a well-defined methodology for impact assessment and evaluation. There is systematic assessment and strong evidence of impact. Evidence collected shows significant impact of the effect of use of evaluations on organizational effectiveness and value for the UN system.</p>	
<p><b>87.</b> <b>Non-Instrumental value of the function: Behavioral change and evaluative thinking in the rest of organization</b></p>	<p>Staff and managers of the organization (not the evaluators) do not use evaluation concepts, the critical mode of inquiry, a divergent set of questions to assess comparative and added value, alternatives and non-intended effects.</p>	<p>Some staff and managers (not the evaluators) understand and use, in an ad hoc, some evaluation concepts. Accuracy is often times an issue.</p>	<p>A large number of staff and managers (not the evaluators) understand and use evaluation concepts with an acceptable level of accuracy in organizing and designing their work, in the design of programmes and projects, and in their evaluations. Apply a high degree of learning curve.</p>	<p>Staff and managers are highly educated about evaluation and its value. Easily apply the concepts, critical mode of inquiry and open learning in their work. Consider its divergent questions and added value. Manifest an enhanced evaluative thinking process and approach. Apply a 360 degree learning curve reflective of a learning organization.</p>	<p><i>These components have been added to the matrix following interviews with organizations which highlighted its importance. Of the non-instrumental value of the evaluation function. The concept is assessed in a number of the items above but this item provides a consolidated assessment (see also notes in Section VII)</i></p>

<b>88. Impact: Enhanced institutionalization of evaluation</b>	No clear level of institutionalization	High external locus of control, and do “for the sake of doing” / because its required	Low external locus of control. Increased ownership by staff and managers.	High internal locus of control. Staff and managers now driving the evaluation process in the institution.		

## VII. Direction setting / Reflections on the Evaluation Function Moving Forward

<b>1. What is the focus of your organization moving forward? (Next steps, key initiatives planned, etc.)?</b>
<b>2. What challenges remain for your organization? How could these be addressed?</b>
<b>3. What challenges remain for the UN system overall ? How could these be addressed?</b>
<b>4. Given the current global landscape: What is the role of the evaluation function of the UN system? How could the UN system become more proactive in advancing evaluation in the context of its mandate and comparative and added value, emerging challenges and new agendas for sustainable development?</b>
<b>5. Do you have any further suggestions for the JIU in the context of this analysis?</b>

## **QUESTIONNAIRES**

**I. QUESTIONNAIRE FOR ORGANIZATIONS WITHOUT AN ESTABLISHED EVALUATION FUNCTION**

**II. QUESTIONNAIRE ON RESOURCES, FINANCING AND BUSINESS MODELS  
FOR THE CENTRAL EVALUATION FUNCTION**

**III. QUESTIONNAIRE FOR THE DECENTRALIZED EVALUATION FUNCTION**





Project Title:	An Analysis of the Evaluation Function of the United Nations System: <b>Questionnaire For Organizations Without An Established Evaluation Function</b>		A.389
Coordinator	Inspector Sukai Prom-Jackson	Telephone:	022 917 3062
Co-author	Inspector George Bartsiotas	Telephone:	022 917 3098
Questionnaire to be returned to email address:	<a href="mailto:nkeebble@unog.ch">nkeebble@unog.ch</a>	Return Deadline:	28/10//2013

## Introduction

The JIU is conducting an analysis of the evaluation function of the JIU participating organizations including your organization. We shared with you the draft TORS for the project in March this year.

The key components of the evaluation function being assessed are:

- Organizational context, Demand and intention to use, and the evaluation architecture
- The Enabling Environment – Organizational and Institutional Framework for Evaluation
- Relevance, Responsiveness, Coherence, Efficiency and Adaptability
- Credibility: Impartiality and Balanced Perspectives (Independence, Inclusion and Stakeholder Involvement)
- Credibility: Validity and Reliability (Technical Quality)
- Usefulness and potential impact on the organization and results.

The analysis covers the central evaluation function and the decentralized or management evaluation function operating outside the central office and at the regional, country, technical or programmatic levels. The footnote below provides a definition of evaluation<sup>1</sup>.

The analysis covers all 29 participating organizations of the JIU including your organization. Follow-up correspondence has indicated that the evaluation function in your organization is not fully established. For this study, this implies that either that there is no evaluation office, or there are also no systematic arrangements for conducting evaluations for the organization either by your organizations or by other UN organizations.

We would like to know why this is the case in your organization. We also would like to know

- (i) your on-going plans, if any, for development of the function, and
- (ii) the nature of RBM system and other systems in place to enhance decision making for the organization, accountability and learning.

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<sup>1</sup> For the purpose of this analysis, the following definitions are used:

**Evaluation** is defined as "a systematic assessment which answers the questions: Are we doing the right thing? Are we doing it the right way? and Are there better ways of achieving results?" It is used for improving accountability, for learning what has worked, what has not and why, and for contribution to knowledge building and management. An evaluation report should contain a description of the objectives of the evaluation, methodology used, evidence-based findings, conclusions and recommendations.

We are requesting your assistance to complete the questionnaire below.

In completing the questionnaire, we encourage you to seek input from other staff and managers who are best placed to provide information on the evaluation function and activities.

If you would like us to complete the questionnaire with you, please contact [bnemehjargal@unog.ch](mailto:bnemehjargal@unog.ch).

Your collaboration is much appreciated.

**Sukai Prom-Jackson**

Inspector

Joint Inspection Unit of the United Nations System

Room D-511

Palais des Nations

CH-1211 Geneva 10 Switzerland

Tel +41 (0) 22 917 3086

Fax + 41 (0) 22 917 0627

<http://www.unjiu.org>

**Date** [Click here to enter a date.](#)

**Name of your organization:** \_\_\_\_\_

**Title of person completing the form:** \_\_\_\_\_

**Age of Organization:** \_\_\_\_\_

**Overall organizational budget (USD):** \_\_\_\_\_

**1. Which of the following explains the reason why there is no evaluation function or arrangements for evaluation?**

- ☐ There is no demand from (Governing bodies and Members of the organization), Management, or Donors.
- ☐ The added value of evaluation (see definition above) is not well understood or appreciated by senior management or staff.
- ☐ Evaluations are perceived as not necessary for the organization.
- ☐ The organization is new and still establishing its systems and does not see evaluation as a priority at this stage.
- ☐ The budget is limited and does not leave room for evaluation
- ☐ The organization does not have an organizational culture for results, accountability and learning for development or change.
- ☐ Other reasons (please specify): \_\_\_\_\_

**2. What are other systems that support accountability and decision making in the organization?**

- ☐ Office of oversight for audit, inspection and/or investigation
- ☐ Research and analytic office for information generation
- ☐ Knowledge management system
- ☐ Other systems (please specify): \_\_\_\_\_

**3. How would you describe the RBM system in your organization?**

- ☐ Non-existent – there is no RBM policy or system in place.
- ☐ An RBM policy/system exists it is beginning to be put in place.
- ☐ An RBM system exists. All elements of RBM system are in place. The evaluation function as part of the RBM and linkage with programme design, monitoring and performance assessment is however not articulated or implemented.
- ☐ An RBM policy exists and it covers key elements for monitoring and evaluation of results.
- ☐ Other comments on the RBM system:

**4. What types of monitoring and other evaluation-related activities are carried out by your organization?**

- ☐ Develop performance indicators and clear program logic to enhance evaluability
- ☐ Collect data on inputs and outputs according to performance indicators
- ☐ Develop baseline data
  - ☐ Document project/programme implementation process
  - ☐ Measure results
- ☐ Conduct mid-term review of programme or project and mid-course correction
- ☐ Development and organization of databases for access for monitoring and evaluation
- ☐ Surveys to get feedback from staff, programme participants, donors, beneficiaries and other stakeholders
- ☐ Informal or formal meetings of intergovernmental bodies, expert/working groups, task forces etc. (including those that are for the purpose of review, reflection or assessment)
- ☐ Risk Assessments
- ☐ Needs Assessments
- ☐ Policy analysis reports/studies
- ☐ Report/studies on other topics
- ☐ Presentations and sharing of evaluations
- ☐ Other (please specify): \_\_\_\_\_

**5. Has your organization been assessed by (i) JIU, (ii) MOPAN and (iii) DfID MARs or (iv) others?**  
Please provide details below.

**6. What recommendations were made for the evaluation function or arrangements for evaluation?**

**7. What are some of the main factors affecting your implementation of the recommendations?**

**8. Which of the following is characteristic of your organization in relation to evaluation?**

- ☐ The organization has little or no knowledge of the evaluation function and its requirements and not doing anything about it.
- ☐ The organization is reflecting on establishing an evaluation function: It is reviewing the requirements for establishing a function; reviewing the normative work of the United Nations Evaluation group; soliciting information from other UN organizations; reviewing body of reports designated evaluation; and assessing how to improve quality.
- ☐ The organization is preparing for the establishment of the function – It knows what is required for: institutional framework (policy, norms and standards); governance; management; resources requirements (capital and human); conduct and quality of evaluations. It is also training staff for evaluation.
- ☐ The organization is making arrangements for partnership or collaboration or insourcing of the evaluations to other UN agencies.
- ☐ Other initiatives or activities of your organization. Please describe: \_\_\_\_\_

**9. What do you see as the major obstacle to the development of the function?**

**10. What do you see as the added value or benefits of evaluation for your organization?**

**11. What at this stage do you see as the most important support your organization needs to establish an evaluation function?**

**12. Do you have additional comments and suggestions for evaluation in your organization or the UN system as a whole?**

Thank you

### III. QUESTIONNAIRE ON RESOURCES, FINANCING AND BUSINESS MODELS FOR THE CENTRAL EVALUATION FUNCTION

#### Introduction

Dear colleagues,

On behalf of Inspector Sukai Prom-Jackson and the JIU team we would like to thank you for the opportunity you provided for the presentation and discussion of the JIU Analysis of the Evaluation Function of the UN System at the UNEG AGM in Bangkok. Comments and suggestions provided during the plenary session of the AGM and other sub-sessions of the AGM and EPE have been fully considered and are incorporated into the draft report.

It was indicated during the presentation that there is information still needed for completing analyses of the central evaluation function. Some of the information we have compiled for assessing efficiency based on budget, staffing, number of reports are coming from various sources, generally not all measuring the same thing, and estimates we have provided can be contested. We drew from the UNEG self-assessments, UNEG Evaluation Capacity in the UN System, information provided on the Maturity matrix as well as information from the CEB.

We have prepared the attached questionnaire and would like your help to complete it using best available information from your unit or organization. We would appreciate receiving your responses by **Friday 6 June 2014**.

We thank you for your kind cooperation.

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#### 1. Central Evaluation Function

Date:	
Organization:	
Official completing the form	
Name:	
Title:	
Email:	
Telephone number:	

#### 2. Type of Structure for Evaluation

- ☐ Stand Alone Unit  
☐ Evaluation in Oversight Unit: Integrated evaluation and audit  
☐ Evaluation in Oversight Unit: Separate evaluation and audit  
☐ Evaluation in Management unit  
☐ Other structural arrangement

If the type of structure is "Other structural arrangement",

Please explain:

### 3. Business Model for Management, Design, Conduct and Reporting on Evaluations

Understanding the business model used by the various organizations will help explain the expenditure patterns and system in place for enhancing the quality and efficiency of evaluations.

For the business model(s) you use, please complete as applicable.

**Model 1: Commissioning – The full responsibility, accountability, and final report is contracted out to an external independent source**

<b>Features of this business model</b>	<input type="checkbox"/> Evaluation is commissioned to outside contractors. The commissioned body is responsibility for design, development, conduct and reporting. <input type="checkbox"/> Accountability for quality is with the commissioned body. <input type="checkbox"/> There is minimal involvement of the Evaluation unit. It has responsibility for quality enhancement, information provision and validation of facts and the management of internal processing. <input type="checkbox"/> Sometimes the unit or the governing body establishes an external Evaluation Management Group for both quality enhancement and quality control and approval. <input type="checkbox"/> Other features or conditions in your particular situation: <div style="border: 1px solid black; padding: 2px;">Please explain other features:</div>
<b>Number of evaluations in 2012-2013</b>	
<b>Reason for model and comments</b>	
<b>Comments on strengths, weaknesses, challenges in your particular situation</b>	

**Model 2: Management is by the unit with external contractual services for roles of team leader and members of the evaluation team**

<b>Features of this business model</b>	<input type="checkbox"/> Evaluation is managed and quality assurance and controlled by the unit and unit is fully accountability for product <input type="checkbox"/> Consultants, as specialist in the subject matter with an evaluation background, are contracted to perform specified task <input type="checkbox"/> Team Leadership for the conduct and report development is contracted out and selection is by the Evaluation unit <input type="checkbox"/> Team members are external consultants are selected by the evaluation unit <input type="checkbox"/> Unit performs overall management and quality assurance – both internal to the unit and external quality assurance teams or advisory group are used <input type="checkbox"/> Staff as Evaluation Manager or Task Manager plays a key strategic role in guiding methodology and in ensuring that institutional dimensions are taken into consideration to enhance content validity and meaningfulness of the evaluation <input type="checkbox"/> Staff as Evaluation Manager also manages all internal processing supported by a team <input type="checkbox"/> Clearance of report quality is by a designed senior staff <input type="checkbox"/> Evaluation Head gives final approval for release of the report
<b>Number of evaluations in 2012-2013</b>	
<b>Reason for model and comments</b>	
<b>Comments on strengths, weaknesses, challenges in your particular situation</b>	

**Model 3: Evaluation management and team leadership is all done by the Evaluation Unit with special tasks for the evaluation contracted out**

<b>Features of this business model</b>	<input type="checkbox"/> Evaluation is lead and managed by the unit, and unit is accountable for product and all phases <input type="checkbox"/> Staff is Team Leader and also Evaluation or task manager <input type="checkbox"/> Staff participate as Team Member carrying out specified task. <input type="checkbox"/> Co-Team leadership is an option and is contracted out. <input type="checkbox"/> Consultants are hired to perform specified task either as part of a core
----------------------------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------



	team of international consultants, or as specialist/expert, as analyst or case study consultant.
<b>Number of evaluations in 2012-2013</b>	
<b>Reason for model and comments</b>	
<b>Comments on strengths, weaknesses, challenges in your particular situation</b>	

#### **Model 4: Full management and conduct by the unit (no outsourcing)**

<b>Features of this business model</b>	<input type="checkbox"/> Evaluation management and leadership in all aspects are all done internally. <input type="checkbox"/> No external experts or consultants are included.
<b>Number of evaluations in 2012-2013</b>	
<b>Reason for model and comments</b>	
<b>Comments on strengths, weaknesses, challenges in your particular situation</b>	

#### **Model 5: Please describe other models and provide the requested information**

<b>Features of this business model</b>	<input type="checkbox"/> <input type="checkbox"/>
<b>Number of evaluations in 2012-2013</b>	
<b>Reason for model and comments</b>	
<b>Comments on strengths, weaknesses,</b>	



analyst, research assistants														
(e) Number of Other Posts in Unit *														

\* Auditors, Management consultants, Investigators, Researchers etc.

(f) Number of Consultants and specialists for evaluation	International	National/Local	Other	(g) Number of Institutional Contracts

### 3.3 Use of time of core Professional Evaluation Staff (not including Head of Evaluation Unit)

(a) % of time on management and conduct and reporting and dissemination of evaluation	%
(b) % of time of evaluation staff on other related disciplines (audit, research, management consulting)	%
(c) Partnerships including UNEG and global outreach	%
(d) Development work (methodologies, guidance)	%
(e) Quality assurance and quality control including supervision of evaluations	%
(f) Other work	%

### 3.4 Types of Evaluations and Cost per evaluation (number of evaluations for 2012-2013)

	Number of evaluations	Cost per evaluation (USD\$ average)	Comments
(a) Thematic			
(b) Country Programme			
(c) Regional Programme			
(d) Global Programme			
(e) Institutional /organizational (non-programmatic)			
(f) Project Small			
(g) Project large			
(h) Joint Evaluation			
(i) Other evaluations Please describe and complete the			

requested information			
(j) Other evaluations. Please describe and complete the requested information			

#### 4. Joint Evaluation

In the past 5 years, how many joint evaluations have you conducted and with whom. Please indicate the topic or theme and partners in the joint evaluation.

Number of joint evaluations	
-----------------------------	--

	Partner(s)	Evaluation on
1		
2		
3		
4		
5		
6		
7		

#### 5. Cost Norms

5.1 We would like your help to complete the specific details since it is indicated that the information in existing policies is not always up to date.

In your particular situation, provide specific info and make comments:

(a) There are no norms and/or formulae for costing of the function.	<b>Please explain the basis for budget allocation</b>
(b) There are some norms and/or formulae for costing the function (not in policy). They are not commensurate with the activities undertaken.	<b>Please describe the norm or formula used and comments</b>
(c) The norms and/or formulae for costing the function are defined in the policy. They are somewhat commensurate with the activities undertaken.	<b>Please provide information from the policy or recently updated information and make comments</b>
(d) The formulae and normative framework for costing the function are well defined in the policy or other document / transparent. They are commensurate with the activities undertaken.	<b>Please provide information and make comments</b>

5.2 There is an interest among governing bodies in establishing cost norms for the evaluation function. This is useful in particular for guiding budget allocation decision by governing bodies and

management. A good practice is noted to be between 1% and 3%. It is stated that there are many issues in using these cost norms and their appropriateness for different size organizations.

(1) What is your suggestion on how to guide governing boards in determining the appropriate norm for the evaluation function?

(2) Given problems in establishing a uniform norm given one size does not fit all, what formula should be used to guide decisions about budget allocation to the evaluation function in various organizations?

## 6. Mandate of your organization – Development, Humanitarian, Normative

We understand that organizations address a combination of these mandates. We would however like you to indicate the level of effort of your organization in addressing development, humanitarian and normative work. Please indicate (a) the predominance of the mandate in your organization and (b) how much of the work of your evaluation is covers the mandate.

	(a) Focus of mandate in organisation (give % of effort)	(b) Focus of evaluation in organisation over the past 5 years (give % of effort)	Comments
Development			
Humanitarian			
Normative			

## 7. Other Comments you wish to offer:

**THANK YOU VERY MUCH**

# Analysis of the Evaluation Function of the United Nations System (A389)



**JOINT INSPECTION UNIT**  
of the United Nations System

**CORPS COMMUN d'INSPECTION**  
du Système des Nations Unies

## SURVEY OF THE DECENTRALIZED EVALUATION FUNCTION

Request for Completion of Organizational Questionnaire by Official with a coordination or oversight and management function over DE.

DEADLINE 10 January 2014

The Joint Inspection Unit of the UN system (JIU, <https://www.unjiu.org/en/Pages/default.aspx>) is undertaking in 2013 an "Analysis of the Evaluation Function of the United Nations System". This review is system-wide and included all JIU participating organizations. It covers both the central evaluation function and the decentralized evaluation function. Decentralized evaluations (henceforth referred to as DE) are managed and conducted outside the central evaluation units. They are embedded within management units involved in the planning and implementation of projects and programmes operating at the technical, program, regional, or country offices.

The JIU is requesting your assistance in completing this questionnaire to assess the decentralized evaluation function of your organization. This complements the on-going assessment of the central evaluation function.

The questionnaire assesses the demand, the structures in place, the enabling conditions and institutional framework, the relevance, quality, and use of DE. It also assesses linkages, synergies and alignments to enhance coherence and sustainability. The development of the questionnaire benefitted from input from a large number of organizations and the JIU is grateful for this support.

The information to be provided by your organization will enhance understanding of the current status, trends, patterns, synergies, challenges, and support needed to enhance DE. It will also provide a basis for cross-organizational sharing of information and good practices.

### INSTRUCTIONS FOR COMPLETION

The questionnaire is to be completed by official(s) with a coordination or oversight and management function over DE.

The questionnaire is administered in survey monkey – an online tool. As you complete it, you can save it and pick up at a later time for completion. For items that are not applicable to your organization, please indicate this in the designated section. There is also a box for comments for you to provide additional information or to highlight particular situations or features of the decentralized evaluation of your organization that is not captured in the questions.

# Analysis of the Evaluation Function of the United Nations System (A389)

We would appreciate receiving your responses by COB 10 January 2014. If you have documents, assessments, or surveys of DE, we welcome receiving them to help us better understand the DE of your organization.

If you have questions, please send an email to both Ms. Byambaa Nemehjargal [bnemehjargal@unog.ch](mailto:bnemehjargal@unog.ch) and Inspector Sukai Prom-Jackson [promjackson@un.org](mailto:promjackson@un.org)

THANK YOU FOR YOUR COOPERATION

## Contents of Questionnaire

- I. Organization Profile and Coordination of DE
- II. Institutional Framework
  - Organization vision, strategy or policy for DE
  - Financial Resources for DE
  - Human Resources
- III. Work Program, Planning and Management
  - Focus
  - Planning and Coverage
- IV. Alignments, Synergies and Coherence
  - Linkage with other knowledge systems to support decision making: i.e. Monitoring, Review, Research and other analytic studies
  - Relationship with Central Evaluation unit
  - Linkage with national systems - alignments and support
  - UN Coherence and Harmonization
- V. Performance: Relevance, Efficiency and Quality of DE
  - Relevance
  - Efficiency
  - Impartiality/Objectivity for credibility (i.e. freedom from bias and controls and balancing various perspectives)
  - Quality and quality assurance
- VI. Impact: Use and effect of use
  - Nature and level of use
  - Conditions in place to enhance use
  - Effect of use
- VII. Final Questions, Comments and Suggestions

## QUESTIONNAIRE

Definition: For the purpose of this study, we have defined 'evaluation' as: judgment of the value or worth of an intervention – its relevance, effectiveness, efficiency, coherence, impact, or sustainability. It involves a systematic assessment which answers the questions: 'Are we doing the right thing that is relevant, appropriate, of strategic or added value? Are we doing it the right way? Are there better ways of achieving results?' Evaluation is used for improving accountability, for learning what has worked, what has not and why, and for contribution to knowledge building. Evaluation is different from audit, monitoring, review, inspections, investigations, basic research, and simple surveys though it is related to these accountability and knowledge generation activities in many ways.

## I. Organization Profile and Coordination of DE

# Analysis of the Evaluation Function of the United Nations System (A389)

Respondent

Title

Unit

Role in decentralized  
evaluation

## \*1. Your organization

Other (please specify)

## 2. At what level of the organization is DE planned, managed and conducted? Indicate, where applicable, the number of offices or units for each level.

-----Number of offices or units (please insert)

Regional offices  
(headquarters)

Regional offices or service  
centre (in field)

Country offices

Technical departments

Program Departments or  
units

Done by project or  
programme managers (on  
an individual basis and not  
as part of department plan)

Not applicable (please  
describe your structure)

## 3. For organization with multiple levels doing DE, how is coordination and oversight ensured?

Please describe

Comments on how  
structured for DE

## II. Institutional Framework

Organizational vision, strategy or policy for DE



# Analysis of the Evaluation Function of the United Nations System (A389)

## 4. Does your organization have a strategy or policy for DE?

- ☐ Yes - Go to 5
- ☐ No - Go to 7
- ☐ Being developed - go to 5

## 5. Which of the following about decentralized evaluation does the policy or strategy address?

- ☐ Importance of the DE function for the organization as a whole in achieving its mission and mandate
- ☐ The objectives of DE
- ☐ Measures to enhance the effectiveness, efficiency and sustainability of the DE function
- ☐ Added value relative to central evaluation
- ☐ Added value relative to monitoring and other assessments
- ☐ Planning of DE to support decision making including priorities, what gets covered and why, and who is involved in planning for DE
- ☐ Arrangements for funding (i.e % of budget, funds from project or programmes, or other)
- ☐ The management of evaluation to ensure quality, impartiality, credibility and utility
- ☐ The conduct of evaluation and how to ensure quality
- ☐ How DE is aligned with central evaluation and reason for this
- ☐ How DE is aligned with UNDAF evaluation and reason for this
- ☐ How DE is aligned with national evaluation systems and reason for this
- ☐ How DE is aligned with monitoring and other assessments
- ☐ How DE is aligned with RBM

Other (please specify)

## 6. What is the level of implementation and institutionalization of the policy or strategy for DE?

Very high	High	Average	Low	Very low
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## 7. What special initiatives have been taken in your organization to support the implementation and institutionalization of the policy or strategy for DE?

# Analysis of the Evaluation Function of the United Nations System (A389)

## 8. Please indicate the degree to which the following has supported DE.

	Very high	High	Average	Low	Very low	Non existent
Guidelines on roles and responsibilities and accountabilities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Operational manuals, handbooks and guidance materials	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Roster of expert consultants	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
A resource center or data base for all evaluations – only internal access	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
A resource center or data base for all evaluations - external access	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
An evaluation follow up and management response tracking system	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other forms of systems for tracking implementation of evaluation recommendations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
A website for all evaluations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other (please describe)

Financial Resources for DE

## 9. What is spent on average per year on DE (consider the last two years). Include overall budget including salaries of staff with a substantial role on evaluation )

Dedicated budget for decentralised evaluations \$

Budget for DE mixed with other related work (reviews, research, analyses) \$

Budget for DE mixed with monitoring \$

Don't know - please indicate

## 10. What is the average cost of a decentralized evaluation? (\$)

## Analysis of the Evaluation Function of the United Nations System (A389)

**11. Which of the following is used as a basis for allocating resources to DE? Please check all that apply.**

- ☐ % of organizational budget
- ☐ % of project or program budget (determined by organization)
- ☐ % of project budget for donor funded activities (as determined by protocol)
- ☐ % resource mobilization by staff and managers
- ☐ % from national government
- ☐ Don't know

Other formula or sources of financing (Please specify)

**12. In your opinion, is the current funding for DE adequate for the objectives that have been assigned to DE including promoting feedback and use of evaluation?**

- ☐ Yes , adequate
- ☐ Somewhat adequate
- ☐ No, inadequate
- ☐ Not sure

Comments on financial resources

Human resources

# Analysis of the Evaluation Function of the United Nations System (A389)

## 13. How many evaluation specialists do you have at the various levels at which DE is conducted?

**You can include - Monitoring and Evaluation Specialists, Evaluation Specialists, Evaluation Advisers. If there is no data base for this, please provide a good estimate and validate with your colleagues.**

### Units-----Number of evaluation specialists

Total number	<input type="text"/>
Regional offices (headquarter)	<input type="text"/>
Regional offices or service centre (in field)	<input type="text"/>
Country offices	<input type="text"/>
Technical departments	<input type="text"/>
Programme departments	<input type="text"/>
Project level	<input type="text"/>
Other units or persons for planning and or conduct of evaluation	<input type="text"/>

## 14. How would you rate the technical skills, competencies, or qualifications of the following who design, conduct and report on evaluation in your organization?

	Excellent	Good/Satisfactory	Variable	Poor/Inadequate	Don't Know	N/A
International consultants	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Regional consultants	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
National consultants	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
M&E Specialists or Adviser in unit or programme	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Project staff	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Evaluation Focal Point (programme staff but not M&E Specialist)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
M&E Specialists from other UN organizations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
M&E Specialists from other partner organizations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other (please specify)	<input type="text"/>					

### Comment on human resources

<input type="text"/>	<input type="text"/>
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## III. Work Program, Planning and Management

# Analysis of the Evaluation Function of the United Nations System (A389)

Focus

## 15. Who are the main drivers of the demand for evaluation

	High	Average	Low
Donors	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Senior Managers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Program managers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Others (please specify and rate)

## 16. What is the level of focus of your organization for DE?

### A. Accountability

	Very high	High	Average	Low	Very low	Not applicable
To account for resources provided	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
To account for results achieved and difference made by the organization in achieving results	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

### B. Improvement

	Very high	High	Average	Low	Very low	Not applicable
To provide information on level of implementation, intermediate results and progress towards the end result	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
To provide in-depth information on what works, why, and how for improvement	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
To provide information for developing or adjusting policies and strategies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

# Analysis of the Evaluation Function of the United Nations System (A389)

## C. Learning organization and Knowledge management

	Very high	High	Average	Low	Very low	Not applicable
To empower staff and managers with evaluation skills and knowledge so they become more effective social forces and agents of change	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
To enhance the knowledge base of the organization for sharing and exchange of knowledge with others	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
To better position the organization and/or the UN system in addressing national, regional and global changes, challenges and priorities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## D. Accountability and Learning at National Level

	Very high	High	Average	Low	Very low	Not applicable
To provide information for use at national level for accountability, for policies, and cooperation agreements	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
To strengthen national evaluation capacities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## E. Other Focus (Please specify)

Planning and Coverage

### 17. Did your organization have a DE evaluation plan for 2011/2012?

- ☐ Yes - go to 18
- ☐ No - go to 20

## Analysis of the Evaluation Function of the United Nations System (A389)

### 18. What was the implementation rate of the plan?

- ☐ Less than 60%
- ☐ 60 – 69%
- ☐ 70 – 79%
- ☐ 80 – 89%
- ☐ 90 – 100%

### 19. If less than 80%, what are the main reasons for lack of implementation?

### 20. Before planning a new evaluation, is there consultation with relevant evaluation reports others have completed?

- ☐ Yes
- ☐ No

### 21. How many evaluation reports are produced per year on average? (You can use the average of the past two years)

#### -----Number of Evaluations

Output evaluation	<input type="text"/>
Outcome evaluation	<input type="text"/>
Impact evaluation	<input type="text"/>
Contribution to higher level results	<input type="text"/>
Total # in general	<input type="text"/>
Others	<input type="text"/>
Don't know	<input type="text"/>

## Analysis of the Evaluation Function of the United Nations System (A389)

### 22. What proportion of your overall program of work is covered by the evaluations?

- ☐ 90-100%
- ☐ 80-89%
- ☐ 70-79%
- ☐ 60-69%
- ☐ 50-59%
- ☐ 40-49%
- ☐ 30-39%
- ☐ below 30%

### 23. Do you have a system or mechanism for consolidating and synthesizing your existing evaluations to develop lessons?

- ☐ Yes
- ☐ No

Comments on Planning and Coverage

## IV. Alignments, Synergies and Coherence

Linkages with other knowledge systems to support decision making: i.e. Monitoring, Review, Research and other analytic studies.

### 24. Which of the following activities are carried out to complement evaluation and support management decision-making or programme improvement?

- ☐ Develop performance indicators and clear program logic to enhance evaluability
- ☐ Collect data on inputs and outputs according to performance indicators
- ☐ Develop system or platforms for recording or sharing monitoring and evaluation data and reports
- ☐ Conduct surveys to get feedback from staff, programme participants, donors, beneficiaries and other stakeholders
- ☐ Conduct Informal or formal assessments and reviews with various parties
- ☐ Conduct mid-year reviews of programme or project for mid-course correction
- ☐ Conduct risk assessments
- ☐ Conduct needs assessment
- ☐ Conduct research and analysis of various topics and prepare reports

Other activities that support management decision-making and improvement (please specify)



## Analysis of the Evaluation Function of the United Nations System (A389)

**25. In your view, how well aligned is the process of planning, monitoring and decentralized evaluation in your organization?**

- ☐ High alignment
- ☐ Average alignment
- ☐ Low alignment
- ☐ None

Relationship with central evaluation unit

# Analysis of the Evaluation Function of the United Nations System (A389)

**26. Central evaluation offices provide various types of services and support as indicated below. Select the type of support you receive from the central evaluation office and rate your level of satisfaction.**

## Activities of central evaluation offices

### A. Enabling conditions to support policy implementation

	Very high	High	Average	Low	Very low	N/A
Develop evaluation policy that includes decentralized evaluation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Support the promulgation of policy, and workshops and seminars	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Develop or promote norms and standards for evaluation appropriate for decentralized evaluation including adaptation of UNEG norms and standards	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Develop operational procedures on what is required to carry out policy including roles and responsibilities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Develop standards and guidelines	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Develop handbooks and guides on what is required	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Develop practical tools or manuals on how to conduct or manage the various types of evaluations of DE	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Develop systems for implementation reporting	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Support the development of the RBM system	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Provide orientations to staff on evaluation in the organization	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Develop systems for knowledge sharing and use of evaluations (resource centers and data bases; knowledge networks or learning groups;	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

# Analysis of the Evaluation Function of the United Nations System (A389)

## B. Evaluability, Quality Enhancement, and Quality Control

	Very high	High	Average	Low	Very low	N/A
Review the quality of the design of projects and programmes to enhance evaluability	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Assess and provide feedback on TORS and Inception Report	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Assess the quality of reports and providing feedback on what to improve.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Providing training to staff	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Provide web-based training systems	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Provide information on webinars and other web-based training or learning systems	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## C. Quality control, Reporting and Compliance for Corporate action

	Very high	High	Average	Low	Very Low	N/A
Review and provide approval to TORS, Inception report and main report	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Conduct systematic assessment of the quality of the evaluation report against professional standards and report on quality at corporate level	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Provide a system for tracking implementation of recommendations of evaluations and provide report at corporate level	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## D. Other critical support provided by the central function. Please identify and rate

## 27. If you get support from a Regional Service Center or Regional Headquarters, how would you rate the quality of support you receive?

	Very high	High	Average	Low	Very low
Regional Headquarters	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Regional Service Center	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other unit supporting DE (please specify)

Linkage with National systems- alignments and support

## 28. Does your organization have the following;

	Yes	No	Don't Know
Policy and or/strategy for supporting evaluation capacity development in partner countries	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Does this policy for national evaluation capacity development indicate the role of decentralized evaluation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Do you have a plan for national evaluation capacity development at decentralized level	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

# Analysis of the Evaluation Function of the United Nations System (A389)

## 29. To what extent does your organization involve national partners (government and national institutions) in DE?

	High	Average	Low	None	Don't know
Include government in planning evaluations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Engage non-state actors – private sector, civil society, NGOs, professional networks, and academia	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Involve government and national partners in the developing TORs and in designing evaluations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Involved government and national institutions, experts and academia in the conduct of evaluation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Support country led evaluations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Include national partners as members of Reference Groups	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Involve national partners in quality control	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Include government in stakeholder meetings	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Involve national partners in tracking and implementing follow-up actions and management response	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other (please specify)

## 30. In your opinion, how well does DE address issues of concern to partner countries?

- ☐ Adequately
- ☐ Somewhat
- ☐ Not at all
- ☐ Don't know

Comments

UN Coherence and Harmonization

## Analysis of the Evaluation Function of the United Nations System (A389)

**31. What are your views on how you see DE functioning under the One UN setting?**

**32. What are your views on how you see UNDAF changing the way DE is carried out by individual UN organizations at the country level?**

**33. Does your organization carry out joint evaluation planning and the implementation of evaluation plans at DE level?**

☐ Yes

☐ No

**34. What are some of the main challenges of this joint work?**

**35. How would you rate the level of sharing and use of evaluation among UN agencies?**

	High	Average	Low	None	Don't know
a) Country level	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b) Regional level	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c) Globally	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments

## V. Performance: Relevance, Efficiency and Quality of DE

### Relevance

**36. Which of the following is done to enhance the relevance or added value of DE?**

☐ Identification and selection of project and programmes of major strategic value for evaluation

☐ Analysis and selection of projects and programmes addressing areas of high risk for evaluation

☐ Consultations with key stakeholders on planning for evaluation

Other procedures for enhancing relevance

### Efficiency

# Analysis of the Evaluation Function of the United Nations System (A389)

## 37. How important are the following in enhancing efficiency in the conduct of DE?

	Very important	Average importance	Low importance	Not available	Don't know
Reference tools and guidelines, handbooks, manuals (to avoid reinventing the wheel)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Central repository of approved or vetted consultants- Roster	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Partnerships or co-ordinations in evaluation with other UN agencies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Doing Joint evaluations with other UN agencies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Partnerships or co-ordinations with national institutions	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Mechanisms in place for good project design and performance indicators	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Access to other evaluations conducted by other UN organizations as good examples	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Availability of funding at start of program	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Evaluation expertise of staff	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Systematic and regular training of staff	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other (please specify)	<input type="text"/>				

Impartiality/objectivity for credibility (i.e. freedom from bias and controls and balancing various perspectives)

# Analysis of the Evaluation Function of the United Nations System (A389)

## 38. Which of the following built-in mechanisms are used to ensure the impartiality or objectivity of DE?

- ☐ Use of external independent consultants (who have not been involved in project or programmed design or implementation)
- ☐ Use of Evaluation Management Group or Reference group or Independent Advisory Group or Evaluation Committee to enhance transparency and limit controls by management
- ☐ Use of external review boards
- ☐ Use of external readers
- ☐ Periodic meetings with stakeholders to ensure transparency
- ☐ Mechanisms to ensure absence of conflict of interest in consultants
- ☐ Organizational guidance on evaluation code of conduct, ethical guidelines and UN regulations
- ☐ Standards for professional and personal integrity for independence and quality and for transparent, balanced, objective reporting
- ☐ Integrity of managers not to tamper with evidence given commitment to use evaluation for improvement

Other (please specify other mechanism used to enhance impartiality)

### Quality and Quality Assurance

## 39. Has an in depth and systematic assessment of the quality of decentralized evaluation reports been done in the past three years?

- ☐ Yes go to 40
- ☐ No go to 41

## 40. What was the overall rating provided on the quality of decentralized evaluation reports in the past three years?

	2012	2011	2010
High quality (more than 75% rated high)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Average quality (between 50% and 74% rated high quality)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Poor quality (between 30 and 50% rated high quality)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Unacceptable (less than 30% rated high quality)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Very poor (over 85%)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>



## Analysis of the Evaluation Function of the United Nations System (A389)

### 41. If no formal assessment has been made, what is your impression of the quality of evaluations carried out at the DE level.

- ☐ High quality (more than 75% rated high)
- ☐ Average quality (between 50% and 74% rated high quality)
- ☐ Poor quality Between 30 and 50% rated high quality)
- ☐ Unacceptable (Less than 30% rated high quality)
- ☐ Very poor (Over 85% are poor)
- ☐ Don't know

Comments

## VI. IMPACT: Use and effect of use

Nature and Level of Use

# Analysis of the Evaluation Function of the United Nations System (A389)

## 42. What is the nature and level of use of DE by the various stakeholders?

	Very high	High	Average	Low	Very low	Don't know
Executive Heads, senior leaders and managers of organization routinely ask for results information and lessons and use this evidence to make informed strategic decisions in managing for results	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Managers of programmes or units routinely ask for results information and lessons and use the information to make informed decisions about projects and programs, to identify what works and what does not work , and to manage risks, as well as identify opportunities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Resident Coordinators and UNCT use information from DE to improve the UNDAF	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Project managers or implementers use DE to improve project and program implementation (e.g. adjust plans quickly and effectively when needed	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Staff in general reflect on past performance, share knowledge for learning, discussion and action.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Executive Board or legislative body actively review and discuss information on DE and request management action on DE	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Donor governments supporting project or programme review information on DE and make decisions for funding or other action	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
National government use DE evaluations for inclusion in policies, priorities and plans for partnerships and cooperation.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Civil society use DE	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

# Analysis of the Evaluation Function of the United Nations System (A389)

Beneficiaries use DE	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Implementing partners use DE	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Staff of other organizations use DE	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
No basis for knowing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Conditions in place to enhance use

**43. Which of the following processes, systems and procedures are in place to enhance the use of DE? Please rate their value for enhancing use.**

## A. Staff and manger engagement, inclusion, Incentives - value for enhancing use

	Very high	High	Average	Low	Very low	Non existand
Advocacy messages to develop understanding among staff and managers of the importance of evaluation as a tool for helping make improvements and role of staff as responsible agents of change	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Training of staff and mangers to enhance knowledge and skills in evaluation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Meaningful consultations and involvement of staff and managers in the evaluation while safeguarding objectivity.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Providing opportunity or incentive for staff learning from past performance, for sharing knowledge, and being allocated time for learning and discussion	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Leadership and commitment of mangers to evaluation and to DE in particular	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Senior managers encourage a results-orientation and evaluative thinking processes among staff in carrying out work	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

# Analysis of the Evaluation Function of the United Nations System (A389)

## B. Involving partners - value for enhancing use

	Very high	High	Average	Low	Very low	Don't know
Involving country stakeholders in the planning, conduct or management of evaluation to enhance inclusion, and ownership	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Involving development partners in all stages of the evaluation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Involving beneficiaries in the planning, conduct or management of evaluation to enhance inclusion, understanding, and ownership	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## C. Tools for sharing information about DE - value for enhancing use

	Very high	High	Average	Low	Very low	Don't know
Using a dissemination strategy or plan	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Developing and using a communication strategy including: different types of reports for various audiences (full report, summaries, briefs); live presentations and workshops; publications in professional networks;	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Ensuring the timeliness of evaluations to feed into programs and decision-making processes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Inclusion of DE results in organizational annual report on result and results achievement	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Inclusion in organizational Annual Report	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Inclusion in organizational Annual Report on Evaluation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Inclusion in UNDAF evaluation and results reporting	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

# Analysis of the Evaluation Function of the United Nations System (A389)

## D. Systems for use of DE - value for enhancing use

	Very high	High	Average	Low	Very low	Don't know
The existence of guidelines on developing good recommendations (relevant, concrete, realistic, and manageable)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Development of action plans for implementing evaluation recommendations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
A follow-up and management response tracking system on implementation of recommendations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other monitoring or compliance system for recording implementation of recommendations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Websites for public repository of evaluations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## E. Feedback mechanisms - value for enhancing use

	Very high	High	Average	Low	Very low	Don't know
Feedback mechanisms from clients and participants (e.g surveys)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Sharing and exchanges within country or technical area	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Sharing and exchange at wider organizational level	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Sharing and exchange with other country offices or regions or other groups	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Plan and procedure for feeding evaluation results into programme/project design and improvement or for decision-making by management	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## Analysis of the Evaluation Function of the United Nations System (A389)

**44. If you have a management response tracking system for DE, what is the implementation rate of evaluation recommendations?  
(if you can, please indicate the % of evaluation recommendations implemented in the first three years following management response).**

- ☐ Above 95%
- ☐ 85-95%
- ☐ 75-84%
- ☐ Less than 75%
- ☐ Not have one

Effect of use

## Analysis of the Evaluation Function of the United Nations System (A389)

**45. Considering the decentralized evaluations produced over the past three years, what in your view has been the outcomes resulting from the reports? Please rate the level of impact for the following.**

	Very high	High	Average	Low	Very low	None
Enhanced ability to account for the organization or programme, its work and contribution to results.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Enhanced transparency with effect on trust on the organization or work of the unit	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Enhanced donor support and the evaluations facilitate resource mobilization for the organization or unit	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Improved operational efficiency for organization or unit or programme/project	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Changes in policies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Improved program or project performance and its effectiveness	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Better informed, effective, relevant decision-making on programme implementation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Better informed, effective and relevant decision making on future programme design, planning and/or budget planning	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
A stronger culture of learning, reflection, and action in the organization	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Enhanced evaluative thinking process and approaches among staff and managers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Others	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments

## VII. Final Questions, Comments and Suggestions

## Analysis of the Evaluation Function of the United Nations System (A389)

**46. What significant initiatives, innovations or changes, if any, were made in your organization for DE in the past 3 years?**

**47. Overall, what were the three most significant successes or lessons your organization in DE over past 3 years?**

**48. Overall, what were the three biggest obstacles, if any, your organization experienced in DE over the past 3 years?**

**49. In your opinion, what are the two most critical things needed in order to strengthen DE in your organization?**

**50. Do you have suggestions on what should be done at the system-wide level to support decentralized evaluation?**

**51. Other comments and suggestions**

**THANK YOU**