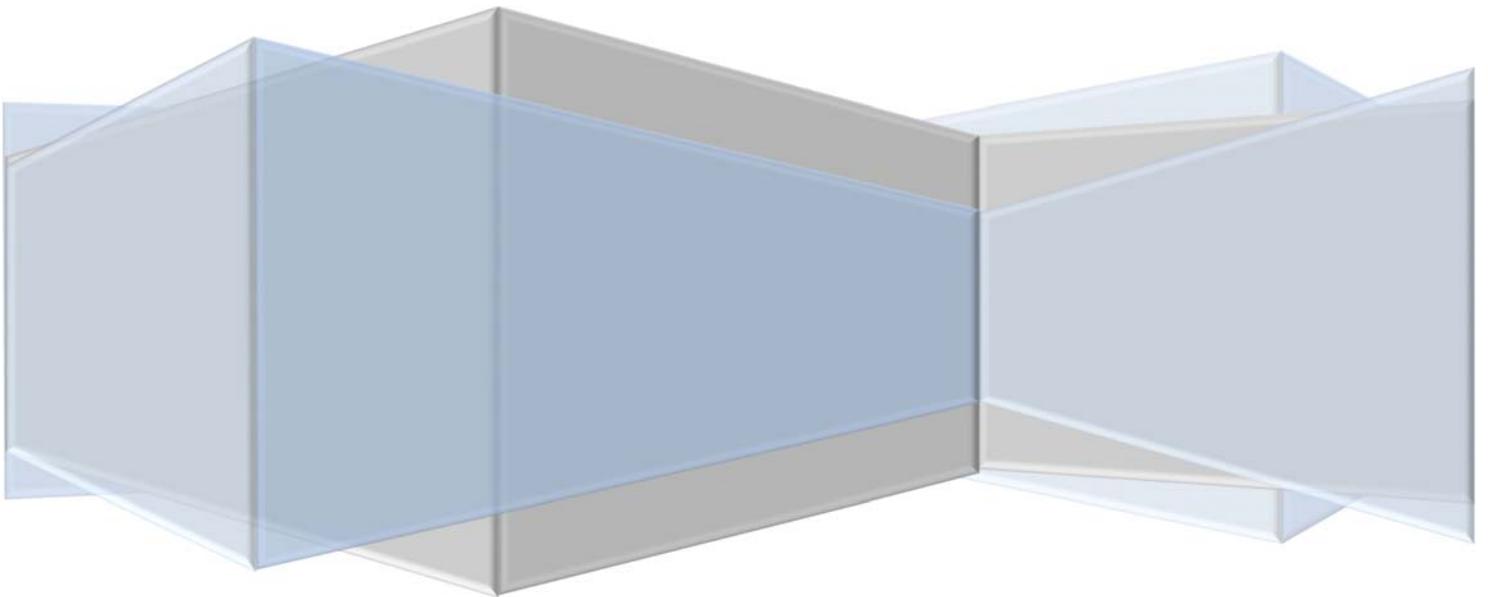


ESCAP Monitoring and Evaluation

Policy and Guidelines

2017



Contents

1. EXECUTIVE SUMMARY	1
2. INTRODUCTION.....	3
3. MONITORING GUIDELINES.....	5
3.1 Introduction	5
3.1.1 Definition	5
3.1.2 Use of monitoring	5
3.1.3 ESCAP subprogrammes and supporting organizational structure	5
3.1.4 Roles and responsibilities.....	6
3.1.5 Importance of staff participation.....	7
3.1.6 Support systems.....	8
3.2 Organizational monitoring	8
3.2.1 The Executive Secretary's Compact.....	8
3.2.2 Annual work plan.....	9
3.2.3 Semi-annual consultations.....	10
3.2.4 Performance management and development system	10
3.3 Monitoring at the level of subprogrammes	10
3.3.1 Ongoing monitoring.....	10
3.3.2 Monitoring and reporting milestones.....	11
3.3.3 Monitoring deliverables.....	12
3.4 Project monitoring.....	16
3.4.1 Project document	17
3.4.2 Project progress report.....	18
3.4.3 Project terminal report.....	18
3.5 Financial monitoring.....	18
4. EVALUATION POLICY	20
4.1 Mandates for evaluation.....	20
4.2 Definition and purpose of evaluation	20
4.3 Norms and standards	20
4.4 Roles and responsibilities.....	21
4.5 Types of evaluation.....	22
4.6 Evaluation planning and budgeting.....	23
4.7 Evaluation management.....	24
4.8 Using evaluation findings.....	24
4.9 Tracking and implementation	25
4.10 Dissemination of evaluation findings	26
4.11 Partnerships	26
5. EVALUATION GUIDELINES	27
5.1 Prepare the evaluation.....	27
5.1.1 Ensure evaluability	27
5.1.2 Carry out a stakeholder analysis.....	27
5.1.3 Define purpose.....	28
5.1.4 Select evaluation criteria and questions	28
5.1.5 Select evaluation methodology	29
5.1.6 Establish a reference group.....	30
5.1.7 Establish an evaluation team.....	31

5.1.8	<i>Prepare a terms of reference</i>	32
5.2	Conduct the evaluation	32
5.2.1	<i>Prepare an evaluation workplan</i>	32
5.2.2	<i>Brief the evaluation team</i>	33
5.2.3	<i>Collect and share background documentation</i>	33
5.2.4	<i>Support the preparation of an evaluation inception report</i>	34
5.2.5	<i>Organize data collection activities</i>	34
5.2.6	<i>Quality check draft evaluation report</i>	35
5.3	Use evaluation findings.....	35
5.3.1	<i>Organize a presentation of preliminary evaluation findings</i>	35
5.3.2	<i>Prepare a management response and follow-up action plan</i>	36
5.3.3	<i>Share evaluation findings</i>	36
5.3.4	<i>Tracking and implementation</i>	37
6.	ESCAP Evaluation tools	38
	Tool 1 Preparing for an evaluation	38
	Tool 2 Evaluation criteria and questions.....	41
	Tool 3 Terms of reference template.....	44
	Tool 4 Inception report template	55
	Tool 5 Evaluation report template	61
	Tool 6 Quality checklist for evaluation report.....	70
	Tool 7 Management response and follow up action plan template	72
	Tool 8 Common evaluation limitations.....	74
	Tool 9 Mainstreaming gender and human rights in evaluation.....	76

List of tables and boxes

Box 1	List of documentation to collect as part of the monitoring of a subprogramme.....	11
Box 2	Stages in the evaluation process.....	27
Box 3	Uses of ESCAP evaluations.....	28
Box 4	Impact	29
Box 5	Did we do that? Establishing causal chains.....	29
Box 6	Reference group.....	30
Box 7	Resources for identifying an external evaluator	31
Box 8	Issues to be covered in the briefing session.....	33
Box 9	List of documentation to be made available to the evaluation team	33
Box 10	Activities during the data collection mission	34
Table 1	Comparison between monitoring and evaluation at ESCAP.....	3
Table 2	Subprogramme and supporting organizational structure for 2016-2017	6
Table 3	Annual Work Plan.....	9
Table 4	Programme monitoring deliverables during a biennium	11
Table 5	Output reporting	12
Table 6	Work month reporting.....	13
Table 7	Accomplishment accounts	14
Table 8	Reporting on expected accomplishments	14

Table 9 Programme performance reports.....	16
Table 10 T codes for monitoring and spending on Umoja	18
Table 11 Stakeholder matrix	28
Table 12 Methodological types.....	30
Table 13 List of evaluation tasks and timeframes	32
Table 14 Checklist evaluation preparation.....	38
Table 15 Standard evaluation criteria	41

Acronyms

ACABQ	Advisory Committee on Administrative and Budgetary Questions
APCICT	Asian and Pacific Training Centre for Information and Communication Technology for Development
APCTT	Asian and Pacific Centre for Transfer of Technology
APDIM	Asian and Pacific Centre for the Development of Disaster Information Management
CAPSA	Centre for Alleviation of Poverty through Sustainable Agriculture
CPC	Committee on Programme and Coordination
CSAM	Centre for Sustainable Agricultural Mechanization
DA	Division of Administration
DM	Department of Management
ED	Energy Division
EDD	Environment and Development Division
EDM	Executive Direction and Management
ERP	Enterprise Resource Planning
ESCAP	United Nations Economic and Social Commission for Asia and the Pacific
IDD	Information and Communications Technology and Disaster Risk Reduction
IMDIS	Integrated Monitoring and Documentation Information System
IPPR	Interim and programme performance reports
JIU	Joint Inspection Unit
M&E	Monitoring and evaluation
MPFD	Macroeconomic Policy and Financing for Development Division
OES	Office of the Executive Secretary
OIOS	Office of Internal Oversight Services
PME	Planning, monitoring and evaluation
PPBME	Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation
PPR	Programme performance report
RBM	Results-based management
SD	Statistics Division
SDD	Social Development Division
SIAP	Statistical Institute for Asia and the Pacific
SPMD	Strategy and Programme Management Division
SRO-ENEA	Subregional Office for East and North-East Asia
SRO-NCA	Subregional Office for North and Central Asia
SRO-Pacific	Subregional Office for the Pacific
SRO-SEA	Liaison Office for South-East Asia
SRO-SSWA	Subregional Office for South and South-West Asia
TD	Transport Division
TIID	Trade, Investment and Innovation Division
UNEDAP	United Nations Evaluation Development Group for Asia and the Pacific
UNEG	United Nations Evaluation Group
UN-SWAP	United Nations System-wide Action Plan
XB	Extrabudgetary

1. EXECUTIVE SUMMARY

The present document provides an overview of the monitoring and evaluation (M&E) system at ESCAP, including policies, guidelines and tools; and promotes the use of M&E results to inform ongoing and future planning and implementation processes. It serves as an update of the ESCAP Monitoring and Evaluation System, issued in 2009, and reflects new M&E procedures introduced since the first document was prepared, changes in operations brought about by the introduction of Umoja, updates in United Nations Evaluation Group (UNEG) norms and standards for evaluations, and lessons learned drawn from the findings and recommendations of evaluations at ESCAP. The document is divided into four sections: 1) Introduction; 2) Monitoring Guidelines; 3) Evaluation Policy; and 4) Evaluation Guidelines. The full collection of evaluation tools are available within this document and have also been uploaded individually to iSeek. The document can be used in line with the [Project Management Guidelines for ESCAP Staff](#).

The Introduction provides background information on monitoring and evaluation (M&E) and places it in the context of results-based management (RBM) at ESCAP.

ESCAP's Monitoring Guidelines (section 3) have been designed to provide a user-friendly format. Information has been synthesized in boxes, which highlight the focus, periodicity, purpose, content and process of each monitoring milestone and related deliverable. Definitions are in line with the latest guidelines provided by the Office of Internal Oversight Services and the Department of Management of New York, as well as internal ESCAP guidance. Across the section, the importance of ongoing monitoring and staff participation in the different steps of the monitoring process has also been highlighted.

The section provides an introduction to monitoring. It starts by defining the concept, explains its use, identifies the monitoring roles and responsibilities of different stakeholders, highlights the importance of staff participation and briefly introduces key supporting systems (section 3.1). Subsequently the monitoring requirements and milestones are detailed at the level of the organization (section 3.2 on the Executive Secretary's Compact, the annual work plan, semi-annual consultations, as well performance management and development system), subprogrammes (section 3.3 on ongoing monitoring, monitoring and reporting milestones and related deliverables) and projects (section 3.4 on the project document and different project reports).

The Evaluation Policy and Guidelines reflect updated norms and standards issued by the United Nations Evaluation Group. A floor has been set on evaluation expenditure at a minimum of US\$10,000 and all extrabudgetary-funded projects of over US\$250,000 must now budget for evaluations. Gender and human rights have been mainstreamed across the guidelines to ensure the same is the case for all evaluations; and evaluations are also to take into account how the subject of evaluation relates to relevant international goals, norms and standards.

The Evaluation Policy (section 4) explains the mandate, definition, purpose, norms and standards of evaluation at ESCAP; the roles and responsibilities; types of evaluation; evaluation planning and budgeting, evaluation management, including the framework for decentralized evaluations, use of evaluation findings and tracking and implementation of follow-up actions to evaluations. The Evaluation Policy has been approved by the Executive Secretary to ensure it has a formally recognized status at the highest levels of the organization.

The Evaluation Guidelines provide step by step information on the role of the evaluation manager in preparing an evaluation; (section 5.1) looking at the evaluability of an intervention, conduct of stakeholder analysis, definition of evaluation purpose, key questions and criteria. Selection of methodology and data collection tools is outlined to ensure a good foundation for evidence based analysis. The section goes on to look at how to establish a reference group, evaluation team and finally prepare the terms of reference.

Having well prepared the evaluation, section 5.2 gives guidance on how to conduct an evaluation, starting with the preparation of a workplan and briefing the evaluation team, the evaluation manager moves on to collect background documentation and to support the evaluation team in design of the inception report and conduct of data collection activities. Once the draft evaluation report is prepared by the evaluation team, the manager and reference group carry out the quality check.

Use of the evaluation entails sharing of findings and uptake of recommendations and conclusions (section 5.3). A presentation of preliminary findings enables knowledge sharing and increases stakeholder participation as the reference group and other stakeholders can give comments to the evaluation team, which are taken into account in a final revision of the report. The final report is the basis for a management response and follow up action plan signed by the Executive Secretary. The report is shared publicly on the ESCAP website and the evaluation manager and Evaluation Unit follow up on the management response to ensure the evaluation is used.

2. INTRODUCTION

Programme and project management at ESCAP follows results-based management (RBM) approaches. This focuses on achieving realistic expected results; monitoring progress toward their achievement; evaluating outcomes; integrating lessons learned into management decisions and reporting on performance (see [Project Management Guidelines for ESCAP Staff](#)).

Monitoring and evaluation are integral components of RBM and function as distinct mechanisms for oversight and accountability. Performance monitoring measures progress towards achieving results planned for in programmes and projects; while evaluation assesses the worth of an intervention. Evaluations draw on data generated through monitoring during the programme or project cycle. Examples include baseline data, information on the subprogramme or project implementation process, and measurements of results. Different aspects of monitoring and evaluation, including related responsibilities, are compared in Table 1.

The knowledge generated by monitoring and evaluation provides the basis for decision making. This can mean decision making in the short term - making adjustments to implementation plans - or in longer term development strategies. Lessons learnt and recommendations need to be captured by the ESCAP knowledge management system with a view to (a) defining and redefining the desired development results to be achieved by the organization and (b) strengthening the methods, processes or modalities through which such results are to be achieved. To be used in managing for development results, knowledge gained from monitoring and evaluation must be made available and disseminated within the organization.

Table 1 Comparison between monitoring and evaluation at ESCAP

	MONITORING	EVALUATION
Purpose	<ul style="list-style-type: none"> Determine if subprogrammes or projects are progressing according to plan 	<ul style="list-style-type: none"> External accountability to member States and donors Internal accountability Organizational learning
Responsibility	<ul style="list-style-type: none"> Subprogramme managers 	<ul style="list-style-type: none"> Evaluation Unit, Strategy and Programme Management Division; Project or Subprogramme managers
Use of findings	<ul style="list-style-type: none"> Take corrective action to ensure that subprogramme and project objectives are met Ensure accountability to member States and donors 	<ul style="list-style-type: none"> Incorporate lessons learned in the strategic planning and decision-making process of ESCAP Ensure accountability to member States, donors and development partners
Focus	<ul style="list-style-type: none"> Expected accomplishments, indicators of achievement Outcomes/Outputs/activities 	<ul style="list-style-type: none"> Objectives (subprogramme) Outputs/Outcomes (project) Results (themes)
Deliverables	<ul style="list-style-type: none"> Updated information in IMDIS and Umoja Output, work month reports, accomplishment accounts, Programme Performance Report Progress and terminal reports 	<ul style="list-style-type: none"> Evaluation reports with findings, lessons learned and recommendations
Dissemination	<ul style="list-style-type: none"> Division, project stakeholders and, at important milestones, member States 	<ul style="list-style-type: none"> ESCAP secretariat, donors and other stakeholders Intranet; Internet

	MONITORING	EVALUATION
Quality assurance and support	<ul style="list-style-type: none">• SPMD• Department of Management	<ul style="list-style-type: none">• OIOS, UNEG• SPMD, Reference group

3. MONITORING GUIDELINES

The present chapter provides an introduction to monitoring (section 3.1). It defines the concept, explains its use and identifies the monitoring roles and responsibilities of different stakeholders. Furthermore, the monitoring requirements at the level of the organization (section 3.2), subprogrammes (section 3.3) and projects (section 3.4) are explained.

Monitoring elements described in the present chapter should be seen in the context of [ST/SGB/2016/6](#) - UN Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation (PPBME).

3.1 Introduction

3.1.1 Definition

Monitoring is defined as “a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds” ([OIOS Inspection and Evaluation Manual, 2014](#)). It is part of the Secretariat’s obligation to achieve high quality results in a timely and cost-effective manner, to fully implement and deliver on all mandates approved by the United Nations intergovernmental bodies.

3.1.2 Use of monitoring

Monitoring is an *ongoing* management function that answers the question “Are things going according to plan?”. It focuses on the substantive implementation and financial progress of the subprogrammes and projects of ESCAP, with an emphasis on outputs and expected accomplishments, while the interim and end-of-cycle reporting focuses on outcomes or objective. Monitoring is therefore a key element in the results-based management chain.

Results from monitoring are used by ESCAP to:

- Improve subprogramme and project management, by identifying bottlenecks and taking corrective action(s), as required, to ensure that objectives are met within a given budget and timeframe by comparing actual progress against initial plans;
- Support organizational learning, inform decision-making and strengthen future strategic and programme planning by documenting and sharing findings and lessons learned internally and externally;
- Hold ESCAP accountable to member States and donors by providing evidences of the efficient and effective use of funds and staff resources.

In addition, at the level of the United Nations Secretariat, results from monitoring are aggregated by the Department of Management in the form of reports on the programme performance of the entire Secretariat. These reports are considered by the Committee on Programme and Coordination (CPC), the Advisory Committee on Administrative and Budgetary Questions (ACABQ), the Fifth Committee and the General Assembly.

3.1.3 ESCAP subprogrammes and supporting organizational structure

ESCAP’s strategic framework consists of nine (9) substantive subprogrammes (programme of work), Executive direction and management, as well as Programme support. Table 2 describes how the ESCAP organizational structure supports the strategic framework structure.

Table 2 Subprogramme and supporting organizational structure for 2016-2017

SUBPROGRAMME	ESCAP DIVISION/OFFICE
Executive direction and management	Office of the Executive Secretary (OES)
1. Macroeconomic policy, poverty reduction and financing for development	Macroeconomic Policy and Financing for Development Division (MPFD)
2. Trade and investment	Trade, Investment and Innovation Division (TIID), with support from the Asian and Pacific Centre for Transfer of Technology (APCTT)
3. Transport	Transport Division (TD)
4. Environment and development	Environment and Development Division (EDD), with support from the Centre for Alleviation of Poverty through Sustainable Agriculture (CAPSA) and the Centre for Sustainable Agricultural Mechanization (CSAM)
5. Information and communications technology and disaster risk reduction and management	Information and Communications Technology and Disaster Risk Reduction (IDD), with support from the Asian and Pacific Training Centre for Information and Communication Technology for Development (APCICT) and the Asian and Pacific Centre for the Development of Disaster Information Management (APDIM)
6. Social development	Social Development Division (SDD)
7. Statistics	Statistics Division (SD), with the support from the Statistical Institute for Asia and the Pacific (SIAP)
8. Subregional activities for development	<ul style="list-style-type: none"> • Subregional Office for the Pacific (SRO-Pacific) • Subregional Office for East and North-East Asia (SRO-ENEAS) • Subregional Office for North and Central Asia (SRO-NCA) • Subregional Office for South and South-West Asia (SRO-SSWA) • Liaison Office for South-East Asia (SRO-SEA)
9. Energy	Energy Division (ED)
Programme support	Strategy and Programme Management Division (SPMD) and Division of Administration (DA)

3.1.4 Roles and responsibilities

Monitoring responsibilities are described in the job descriptions of relevant staff members and specific monitoring tasks should be included in their performance appraisal.

- **The Executive Secretary and Deputy-Executive Secretaries** are responsible for overseeing the work of the divisions, subregional offices and regional institutions, and are accountable to member States for the achievements of ESCAP's objectives and the delivery of expected results. Senior managers are also required to meet with the Executive Secretary to report on the annual work plan of their respective division (and related regional institution) and subregional office, as well as on the accomplishment accounts of their respective subprogramme.
- **Heads of division and subregional office** are responsible for managing the programme of work of their respective subprogramme (see Table 2), including monitoring functions. In particular, they approve divisional submissions related to monitoring before sending them to the Strategy and Programme Management Division (SPMD).
- **Officers** responsible for the implementation of projects or activities under the subprogramme should routinely monitor their progress.

- **Planning, monitoring and evaluation (PME) focal points** in each division and subregional office advise all colleagues, including senior managers, on monitoring-related matters in order to strengthen the internal capacity to address these issues; coordinate and review submissions related to monitoring before sending them to SPMD; and act as focal point for communication on monitoring with SPMD. Their role is further defined in an [interoffice memorandum](#) dated 23 December 2005 from SPMD.
- **The Strategy and Programme Management Division (SPMD)** plays a technical support and coordinating role and, together with the Department of Management, has a quality assurance function.
- **The Department of Management**, and in particular the Policy and Oversight Coordination Service, Office of the Under-Secretary General, provides support and quality assurance in monitoring the programme of work of ESCAP.
- **Member States** play a role in monitoring ESCAP's delivery through the feedback they provide to the Commission and committees on developments in their countries, follow-up to commitments made at relevant global and regional conferences and on the quality and direction of the work of ESCAP. Participants in expert group meetings and intergovernmental meetings also provide the secretariat with feedback through questionnaires and surveys. Such feedback can be reflected in programme performance reports and other relevant documents.

3.1.5 Importance of staff participation

Active staff involvement in planning and monitoring will enhance ownership of the process and thus facilitate the achievement of results. Staff participation also encourages the sharing of experiences, which strengthens organizational learning. Heads of division and subregional office should ensure active staff involvement at all stages of the programme cycle, but particularly during the preparation of the following:

- **Annual work plan:** As staff members are responsible for the day-to-day delivery of outputs, they are best placed to determine how much time is needed for each activity, and to set realistic deadlines. As such, the annual work plan preparation can be used as a basis for the e-performance document plan for individual staff members.
- **Accomplishment accounts:** Staff members can provide an update on the delivery of outputs, achievements against preset indicators, constraints encountered and how these are managed, and lessons learned and suggestions for follow-up and improvement. This feedback should strengthen the overall delivery of the programme of work while contributing to the development of capacity for all staff members. It can also be used to update the annual work plan and for the review of staff performance in e-performance document.
- **Programme performance report (PPR):** Staff members can provide similar inputs as during the preparation of accomplishment accounts. However, the PPR is even more important in that it effectively reflects on the entire programme cycle and is used to inform the planning process for future strategic frameworks. In addition, the programme performance report is shared with member States. The PPR is thus also a time for reflecting jointly on lessons learned, including from evaluations conducted during the biennium.
- **Project monitoring:** Staff members are responsible for monitoring the progress of projects on a day-to-day basis. This could include, for example, tracking the preparation of workshops, funds committed and spent, and the delivery of outputs by consultants and project partners. In addition, they ensure that progress of projects is monitored based on the project document and monitoring and reporting milestones are undertaken effectively and in a timely manner.

3.1.6 Support systems

ESCAP uses a number of support systems that are relevant to monitoring. These are briefly introduced below.

3.1.6.1 *Integrated Monitoring and Documentation Information System*

The Integrated Monitoring and Documentation Information System (IMDIS) is a Secretariat-wide web-based information system for programme performance monitoring and reporting, including the preparation of the Secretary-General's programme performance report.

The planning, monitoring and evaluation focal points in each division and subregional office monitor and report on the results attained through the implementation of their programme of work during a given biennium. Each user is only allowed to update the subprogramme from his/her respective division or subregional office. However, in order to promote accountability, transparency and information sharing, each user can also view the entire programme of work of the organization.

Instructions for using the system are provided in the IMDIS User's Guide.¹

3.1.6.2 *Umoja*

Umoja is a UN-Secretariat wide Enterprise Resource Planning (ERP) software that provides a harmonized and streamlined approach to the following core organizational functions:

- Budget and finance management, such as accounts payable and receivable, disbursements, expenditures and sub-allotments. This includes grants management i.e. the financial management of projects;
- Human resources, such as personnel details, insurance, payroll and recruitment;
- Support services, such as procurement, stock management, property management and travel.

Umoja was rolled out at ESCAP in July 2015, and has replaced multiple fragmented legacy systems.

New extension modules are regularly added to Umoja, which expand its functionalities and scope to cover more organizational functions.

3.2 Organizational monitoring

3.2.1 *The Executive Secretary's Compact*

The Senior Manager's Compact is an agreement between each head of Department of the United Nations Secretariat and the Secretary-General, on the key objectives and priorities of the head of Department for a given calendar year, with specific expected accomplishments and performance measures. The Compact typically covers a number of areas, including delivery of the programme of work, the management of human and financial resources, compliance with UN rules, regulations and ethical standards, and the contribution to the broader interests of the United Nations.

No specific monitoring of the implementation of the Compact is required as its various elements are mainstreamed in other monitoring activities, including that of the Human Resources Scorecards and the programme budget.

The preparation of the Compact report is also mainstreamed with the regular monitoring and reporting exercises at the 12-month and 24-month milestones where SPMD compiles performance information on each element of the Compact from across the ESCAP secretariat.

¹ <http://imdis.un.org/> under "Programme performance reporting portal".

The report on the assessment of Compact performance is submitted to the United Nations Deputy Secretary-General and effectively constitutes the Executive Secretary's e-performance document.

3.2.2 Annual work plan

ESCAP proposed programme budget lists the outputs, activities and resources required in order to achieve expected accomplishments. However, the document is not suitable for the day-to-day management of the work of a division, which requires much more detail, including information on projects and other activities that were not available at the time the programme budget was prepared. The annual work plan therefore translates the proposed programme budget for each subprogramme into a plan of activities for a calendar year.

Table 3 Annual Work Plan

Focus	Divisions, subregional offices, sections, regional institutions
Periodicity	<ul style="list-style-type: none"> • Every calendar year • Update semi-annually
Purpose	<p>To provide:</p> <ul style="list-style-type: none"> • a management tool for heads of section, division, subregional office and regional institution to ensure the timely implementation of all outputs contained in the proposed programme budget. • an overview of planned activities and timelines for staff members • a basis for the e-performance document work plans of all staff members, including managers.
Content	<p>The annual work plan translates the proposed programme budget for each subprogramme into a plan of activities for a calendar year.</p> <p>It includes:</p> <ul style="list-style-type: none"> • Objective and expected accomplishments as reflected in the Strategic Framework • Major goals and activities • Source of funding (regular budget or extra-budgetary resources) and allocated budget • Timeframe/deadlines • Responsible staff members • Monitoring activities • Planned evaluations <p>The divisional annual work plan is a compilation of the work plans of sections and relevant regional institutions, as appropriate.</p>
Process	<ul style="list-style-type: none"> • At the start of the biennium, SPMD enters the programme of work for each subprogramme into IMDIS based on the approved proposed programme budget • Heads of division / subregional office / section / regional institution prepare a draft annual work plan, together with their teams, as appropriate • Participatory meeting are held with staff members to discuss the draft annual work plan (at the division or section level) • The final annual work plan is prepared • The annual work plan is updated regularly, and at least semi-annually, with active staff involvement • At the end of the year, heads of division (jointly with heads of section and relevant regional institution) and subregional office report to the Executive Secretary on their annual work plan.

3.2.3 *Semi-annual consultations*

On a six-monthly basis, SPMD organizes meetings with substantive divisions and offices to review the programme, project and budget performance and address any implementation issues. This is an internal monitoring milestone, which does not require a report to be submitted to the donors. The internal monitoring is expected to improve project delivery rate as any bottlenecks are identified and addressed in a timely manner.

3.2.4 *Performance management and development system*

The UN-Secretariat wide performance management and development system aims to improve the achievement of the Organization's results by optimizing the performance of all staff.

An e-performance document (developed in Inspira, the UN careers portal) is used to facilitate and document electronically the performance management and development process.

An annual e-performance cycle starts with the development of a work plan for each staff member. Every staff member should know how their work plan links to the division, subregional office, regional institution and section plan as well as the objectives of ESCAP. The staff member should thus receive a copy of such plans to be able to reflect relevant organizational goals in their own work plans.

The e-performance document thus seeks to ensure that the work of all staff members is geared towards the achievement of the expected accomplishments of the subprogrammes and, thereby, the organization's overall results.

The performance management and development system is based on continuous dialogue and feedback and the shared responsibility between managers and staff for the planning, delivery and evaluation of work results. Throughout the year, a mid-term review and an end-of-cycle appraisal are therefore mandatory.

3.3 *Monitoring at the level of subprogrammes*

The basis for the monitoring of subprogrammes at ESCAP is the strategic framework and the proposed programme budget, which include the results framework and strategy by subprogramme as well as detailed information on outputs, activities and required resources.

3.3.1 *Ongoing monitoring*

Monitoring of subprogramme and project activities is done on an ongoing basis to verify whether the delivery of outputs is in line with the initial plan and budget. This helps the staff members responsible for the delivery of specific outputs to make adjustments where they are needed.

Ongoing monitoring includes formal information collection (e.g. conduct of survey, analysis of statistical data, review of expenditures against budget, preparation of mission reports, etc.) and more informal activities (observations, discussions with colleagues, press clippings, etc.). Such information collected can be used for a more in-depth review, assessment or evaluation of subprogrammes and project performance.

As part of the monitoring activities, subprogramme managers should assess the effectiveness of the delivery of outputs by undertaking a systematic assessment its activities, intergovernmental meetings, workshops, seminar and knowledge products through feedback questionnaires and focus group interviews. A standard feedback questionnaire for each type of meeting is available upon request from SPMD.

Subprogramme managers are encouraged to use IMDIS as a tool for ongoing monitoring of programmed activities, in addition to the formal monitoring and reporting milestones detailed below.

Throughout a given biennium, subprogramme managers should regularly review thoroughly the implementation of their subprogramme, assess whether measures need to be taken to ensure attainment of its expected accomplishments, and identify any programme changes needed. A list of outputs to be added, reformulated or terminated will be submitted at the upcoming session of the Commission for its consideration.

Box 1 List of documentation to collect as part of the monitoring of a subprogramme

GENERAL

- Organizational/team diagramme
- Contact list of relevant ESCAP staff members, partners and other relevant stakeholders
- Publications, research papers, training materials
- Promotional material (e.g. booklets, brochures, fact sheets, newsletters, posters, information kits, press releases)
- Meeting information (e.g. attendance lists, minutes/reports, agenda, handouts, evaluation questionnaire results and analysis, statistical data)
- Mission reports
- Budget, allotments and expenditures overview
- Reports from previous evaluations

PROGRAMMES

- Work programme, including results framework
- Divisional or Sectional Work Plans
- IMDIS reports (outputs, work months, accomplishment accounts)
- Programme Performance Report (PPR)

3.3.2 *Monitoring and reporting milestones*

In addition to ongoing monitoring, there are several monitoring and reporting key required deliverables at set intervals. These are used by subprogramme managers as well as SPMD and the Department of Management of the UN Secretariat, to ascertain, at a higher level, whether the implementation of the planned outputs contribute to achieving the expected accomplishments and whether the subprogramme is on track to achieve its objective. They include the updating of an annual work plan, as well as other monitoring requirements that are reported in IMDIS, such as the outputs and accomplishment accounts.

At each monitoring milestone, SPMD sends a reminder to the subprogrammes and Executive Direction and Management (EDM) detailing the specific requirements to be fulfilled. The milestones for monitoring deliverables are summarized in Table 4.

Table 4 Programme monitoring deliverables during a biennium

Milestone	Start of the biennium	6 months	12 months	18 months	24 months
Deliverables					
Annual work plan	✓	Update as required	Update as required	Update as required	Update as required
Outputs		✓	✓	✓	✓
Work months		✓	✓	✓	✓

Accomplishment account			✓	✓	✓
Expected accomplishments			✓		✓
Programme performance report			✓ (Interim)		✓ (Final)

3.3.3 Monitoring deliverables

3.3.3.1 Output reporting

Every six months, ESCAP reports its performance in the production of outputs against the approved programme budget and related programme of work. Such reporting comprises a description of outputs delivered, additions to programmed outputs along with reformulations, terminations and postponements of programmed outputs.

All outputs fall within eight categories: Substantive servicing of meetings; Parliamentary documentation; Expert groups, rapporteurs, depository services; Recurrent publications; Non-recurrent publications; Other substantive activities; Training courses, seminars and workshops; and Field projects.

Table 5 Output reporting

Focus	Subprogrammes and Executive Direction and Management (EDM) (see Table 2)
Periodicity	Semi-annual (6, 12, 18 and 24 months of the programme cycle)
Purpose	To report on output delivery against the approved programme budget and related programme of work in terms of: <ul style="list-style-type: none"> • Quantity: number of meetings, publications, technical materials, workshops, etc. • Substance: description of the outputs delivered • Timeliness: percentage of completion of planned outputs
Content	<ul style="list-style-type: none"> • Details on the implementation of every single output under the different subprogrammes are made available in IMDIS.
Process	<ul style="list-style-type: none"> • Upon approval of the programme budget and related programme of work by the General Assembly, SPMD enters the outputs of each subprogramme into IMDIS. • Every 6 months, subprogrammes and EDM update in IMDIS the status of implementation of their outputs. • In addition to the reporting in IMDIS, supporting documentation is submitted formally to SPMD for each output delivered. This includes, for example, reports of meetings, publications issued or posted on ESCAP website, and lists of participants to meetings, seminars and workshops. • SPMD reviews the submissions and sends an email to the Department of Management (UN Secretariat in New York) to confirm the completion of the semi-annual reporting. • The Department of Management reviews ESCAP's submission and seeks further clarification as required. • SPMD coordinates ESCAP's responses to the Department of Management with the subprogrammes and EDM.

Further information can be found in the [Programme performance monitoring and reporting training manual, DM \(2016\)](#), pages 42-44 and [IMDIS User's Guide v.2.6, Section 7: Reporting on output delivery, DM \(2014\)](#).

3.3.3.2 *Work month reporting*

Every six months, each subprogramme also reports the work months spent by each professional staff member or consultant on the delivery of planned outputs, irrespective of whether funding is received through the regular budget or extrabudgetary resources.

Table 6 Work month reporting

Focus	Subprogrammes and Executive Direction and Management (EDM)
Periodicity	Semi-annual (6, 12, 18 and 24 months of the programme cycle)
Purpose	To account for the allocation and use of staff resources (professional staff and consultants)
Content	Overview in excel format of actual work months spent on activities for each professional staff member or consultant on the delivery of planned outputs. The excel template lists all the planned outputs of a specific subprogramme, and contains five worksheets: 4 covering a period of 6 months each (1 - 6 months, 7 - 12 months, 13 - 18 months, 19 - 24 months), and a consolidated table covering the two years.
Process	<ul style="list-style-type: none"> • At the start of the programme cycle, SPMD prepares work months excel template for each subprogramme and EDM. • Every 6 months, each subprogramme and EDM report actual work months spent for each professional staff / consultant in the excel template. The template automatically calculates the total work months spent per output. • Subprogrammes and EDM also enter into IMDIS the total number of work months spent per output. • Subprogrammes and EDM submit the worksheet formally to SPMD. • SPMD reviews the submissions and sends an email to the Department of Management (in the UN Secretariat in New York) to confirm the completion of the semi-annual reporting. • The Department of Management reviews ESCAP's submission and seeks further clarification as required. • SPMD coordinates ESCAP's responses to the Department of Management with the subprogrammes and EDM.

Further information can be found in the [Programme performance monitoring and reporting training manual, DM \(2016\)](#), pages 45-47 and [IMDIS User's Guide, Section 8: Resource utilization - work months, DM \(2014\)](#).

3.3.3.3 *Accomplishment accounts*

Accomplishment accounts are prepared at 12, 18 and 24 months of the programme cycle to provide a summary of whether the different expected accomplishments of a specific subprogramme were achieved, based on data collected in monitoring the implementation of outputs and the attainment of the indicators of achievement.

Accomplishment accounts help programme managers to document and register all achievements in a specific area of work. They can be used as a resource for any other reporting requirement, as they are in essence a repository of records for achieved results. Programme managers may wish to highlight specific outputs or groups of outputs that were particularly effective and best practices identified in substantive or operational areas, or use

supplementary indicators or other compelling information to further support the results achieved

Following the 12-month accomplishment account, each new accomplishment account is an updated version of the previous reporting milestone.

The accomplishment accounts prepared at 12- and 24- months form the basis to prepare the interim and programme performance reports (IPPR and PPR), as well as the reporting on expected accomplishments in IMDIS.

Table 7 Accomplishment accounts

Focus	Subprogrammes and Executive Direction and Management (EDM)
Periodicity	At 12, 18 and 24-month monitoring milestones of the programme cycle
Purpose	To provide a summary of whether the different expected accomplishments of a specific subprogramme accomplishment were achieved
Content	One accomplishment account is prepared for each expected accomplishment in a standard format covering, inter alia, outputs delivered, results achieved, partner agencies/organizations, challenges encountered, lessons learned and suggestions for improvement.
Process	<ul style="list-style-type: none"> • An accomplishment account template is provided by SPMD at the 12-month monitoring milestone. • At 12, 18 and 24 months, subprogrammes and EDM discuss the quality of outputs delivered and their progress in achieving expected accomplishments. • The accomplishment account template can guide the process which should be participatory. In this context, subprogrammes and EDM are encouraged to organize a discussion involving all staff members. • Based on the outcome of the discussions, subprogrammes and EDM prepare accomplishment accounts in MS Word and post them in IMDIS. • At 12 months and 24 months, heads of subprogrammes and EDM also report to the Executive Secretary on their accomplishment accounts.

3.3.3.4 Reporting on the expected accomplishments

Along with the preparation of accomplishment accounts, subprogrammes and EDM are required to report in a succinct manner its progress and results towards achieving each expected accomplishment (and related indicator(s) of achievement) leading to the objective of its respective subprogramme. Such analysis should be based on the indicators of achievement and the corresponding performance measures (baselines and targets) that were approved by the General Assembly as part of ESCAP's strategic framework for a given biennium. Rather than accounting for a series of activities that occurred, the analysis should clearly showcase the results contributing to the objective of the subprogramme.

Please note that the information required to report on the expected accomplishments is based on the accomplishment accounts.

Table 8 Reporting on expected accomplishments

Focus	Subprogrammes and Executive Direction and Management (EDM)
Periodicity	12, 18 and 24 months of the programme cycle

Purpose	To report on the progress towards achieving the expected accomplishments of the overall subprogramme
Content	<p>For each expected accomplishment:</p> <ul style="list-style-type: none"> • The statement of accomplishments/results achieved is a succinct version of the “Results” section of the accomplishment account; • Lessons learned/areas needing improvement are a succinct version of the “Learning” section of the accomplishment account. <p>For each indicator of achievement:</p> <ul style="list-style-type: none"> • Methodology: At month 6, the methodology needs to be completed, and kept up-to-date throughout the biennium. This includes <i>inter alia</i> the identification of data sources, data collection and verification methods, external factors that could distort measurements or negatively affect the achievement of results, and the periodicity of measurements. • Measurement: At months 12 and 18, the interim measurement needs to be updated, which is used as a benchmark to assess progress towards the target for the biennium. At month 24, the final measurement should be registered. • The description of results is a succinct version of the part of the “Results” section of the accomplishment account.
Process	<ul style="list-style-type: none"> • Upon approval of the programme budget and related programme of work by the General Assembly, SPMD enters the expected accomplishments with indicators of achievements of each subprogramme into IMDIS. • At the beginning of a biennium, the methodology for measuring the indicators of achievement should be refined in IMDIS, including data collection and indicator methodology. Baseline and target values may need to be revised for some indicators, in line with actual results achieved at the end of the previous biennium. • At 12, 18 and 24 months, based on their accomplishment accounts, subprogrammes and EDM prepare relevant information for each expected accomplishment and for each indicator of achievement (see above), to be inputted in relevant IMDIS fields: • Subprogrammes and EDM submit the different information listed above to SPMD through IMDIS. • SPMD reviews the submissions and sends an email to the Department of Management (UN Secretariat in New York) to confirm the completion of the reporting on expected accomplishments. • The Department of Management reviews ESCAP’s submission and seeks further clarification as required. • SPMD coordinates ESCAP’s responses to the Department of Management with the subprogrammes and EDM.

Further information can be found in the [Programme performance monitoring and reporting training manual](#), DM (2016), pages 48-65.

3.3.3.5 *Interim programme performance report and programme performance report*

The interim programme performance report (IPPR, prepared at 12 months) and the programme performance report (PPR, prepared at 24 months) provide member States with an overview of the progress and performance of each subprogramme in attaining expected accomplishments. These reports highlight achievements as well as constraints encountered,

lessons learned and suggestions to enhance the effectiveness of programmes and strategic planning in the future.

ESCAP IPPR and PPR are reviewed by the Commission during its annual session.

The reports then feed into the IPPR and PPR of the UN Secretariat as a whole. The Secretary-General submits the UN Secretariat wide PPR to the General Assembly for review by member States.

Table 9 Programme performance reports

Focus	Subprogrammes and Executive Direction and Management (EDM)
Periodicity	Month 12 and 24 of the programme cycle
Purpose	<ul style="list-style-type: none"> To inform member States about the performance of each subprogramme against the proposed budget and related programme of work.
Content	<p>The IPPR and PPR compile information for ESCAP as a whole.</p> <p>The IPPR/PPR section of each subprogramme includes: Statement of accomplishment/results achieved for each expected accomplishment; Lessons learned/areas needing improvement; as well as Legislative reviews, external and internal evaluations.</p> <p>In addition, each subprogramme is required to summarize Highlights of subprogramme results; as well as Challenges, obstacles and unmet goals which will be compiled as part of the overall ESCAP section of the IPPR and PPR at 12 and 24 months, respectively.</p>
Process	<ul style="list-style-type: none"> At 12 and 24 months, subprogrammes and EDM finalize the different monitoring deliverables detailed above, including output reporting, work month reporting, and their accomplishment accounts and IMDIS reporting on the expected accomplishments. In addition, subprogrammes and EDM submit to SPMD their Highlights of subprogramme results; as well as Challenges, obstacles and unmet goals. Based on the information provided through the monitoring deliverables, SPMD prepares the IPPR and PPR for ESCAP as a whole. Drafts of the IPPR and PPR are circulated to the subprogrammes and EDM for their review and confirmation. SPMD finalizes the IPPR and PPR and submits them to the Department of Management (UN Secretariat in New York). The Department of Management reviews ESCAP's submission and seeks further clarification as required. SPMD coordinates ESCAP's responses to the Department of Management with the subprogrammes and EDM.

Further information can be found in the [Programme performance monitoring and reporting training manual](#), DM (2016), pages 48-65.

3.4 Project monitoring

The basis for project monitoring is provided by the project document. In addition, there are also specific monitoring and reporting milestones, the purpose of which is to keep project officers, management, partners and other stakeholders informed about the project's progress.

These milestones include the preparation of annual progress report and terminal report and the semi-annual consultations between SPMD and divisions/offices.

On a day-to-day basis, project officers are responsible for monitoring the progress of projects. This could include, for example, tracking the preparation of workshops, funds committed and spent, and the delivery of outputs by consultants and project partners. Through monitoring, project management obtains information that can help it decide what action to take to ensure that a project is implemented according to plan.

3.4.1 Project document

The project document² forms the basis for the implementation, monitoring, reporting and evaluation of the project and is prepared using a standard template³. In support of monitoring work, the document provides a results framework, a monitoring and evaluation plan, a reporting arrangement, a work and monitoring plan and a budget, with narratives.

- A **results framework** is contained in the project document and explains how the project's outcomes can be achieved as a result of the outputs delivered, and how the activities will lead to the achievement of the outputs. It is prepared in a matrix format and includes the project outcome, outputs and activities, as well as the indicators used to measure them and the means of verification. The results framework is normally not revised during the project cycle unless there is a change to the project outcomes and/or outputs. In this case, the responsible substantive division/office requests a project document revision using a standard template.
- A **monitoring and evaluation plan** describes the process of assessing and reporting progress towards achieving project outputs and outcomes. The plan plays a crucial role in keeping projects on track, creates the basis for reassessing priorities and generates an evidence base for current and future projects. Project officers are responsible for setting up a system for the measurement of indicators, including identifying the types of data to be collected, sources of data, methods of data collection, timing and frequency, responsibility and budget. They should assess the effectiveness of capacity building workshops, seminar and knowledge products produced by the project through feedback questionnaires and focus group interviews. A standard feedback questionnaire for each type of meeting is available upon request from SPMD.
- The plan also indicates whether an evaluation is planned and budgeted. Evaluation is compulsory for projects with a budget of \$250,000 and over. ESCAP requires that 2 to 4 per cent of the total project budget, or a minimum of \$10,000, be allocated to conducting an independent evaluation of the project
- A **work and monitoring plan** is similar to the annual work plan but its focus is project-specific. It serves as a management tool for project officers, while providing section chiefs and division directors with a transparent overview of important activities and timelines. The work and monitoring plan is contained in the project document. It shows the activities to be carried out over the entire project period, the timeframe for each activity, responsible officer/division and key monitoring and evaluation activities, including project inception meeting, annual progress report, mid-term review and post-project evaluation. The

² For projects with a budget of \$200,000 or less, ESCAP requires the development of a project concept note instead of a project document, unless otherwise requested by the donor. The concept note provides a concise description of the project results and budget breakdown, which can serve as the basis for monitoring work.

³ ESCAP standard project document template as well as other project monitoring templates are available in SPMD iSeek page at https://iseek-bangkok.un.org/escap_spmd

project officer updates the work and monitoring plan on a regular basis and in conjunction with the preparation of the project progress report.

- A **budget** shows the budget breakdown by budget class and year of implementation. It also provides a detailed budget narrative explaining the purpose and details of each budget item. It is used by project officers to plan and manage the project finances and it provides heads of divisions/offices, SPMD and donors with a transparent overview of budgeted project costs.

3.4.2 *Project progress report*

All projects require annual project progress reports. Progress reports should include a financial statement for the reporting period. The purpose of these reports is to internally monitor and review if the delivery of outputs of a given project is within planned timelines and the budget, and to record lessons learned. They are used for both internal and external reporting purposes, in line with the relevant project trust fund agreements. Project management can then decide if corrective actions are needed and can update the project work and monitoring plan accordingly.

Project officers prepare the project progress report using a standard template based on the logical framework of the project. Each narrative progress report is an expansion of the previous report, covering the progress in delivering the project outputs from the project inception to date.

3.4.3 *Project terminal report*

At the end of the project, a narrative terminal report and financial statement of the project are made available to the donors. The terminal report contains an assessment of the achievement of the project results and presents recommended follow-up actions and lessons learned under the project. It forms a key tool for monitoring subprogramme performance, as achievements and lessons contained in terminal reports are integrated into programme performance reports, through the subprogramme accomplishment accounts. The terminal report should be submitted to SPMD within six weeks of project completion. The final financial statement is usually issued after the closure of the grant linked to the project.

3.5 **Financial monitoring**

Financial monitoring of programmes and projects is the responsibility of the respective Programme Manager. For spending against extrabudgetary-funded (XB) projects, a grant needs to be created in Umoja. A grant is usually created when a project document is being prepared and a donor agreement being negotiated. The grant is created by SPMD. Once the agreement is signed and concept note/project document approved, FRMS would approve the grant in Umoja and put it in “operational” status. The grant must be in the “operational” status in order for the implementing division/office to be able to spend against such grant.

Each grant is linked to an Umoja project structure which is known in Umoja as a work breakdown structure. Each node of a work breakdown structure is called a work breakdown structure element or WBSE. The WBSE is used to track a project’s expenditures by component or element of the project. It is also possible to track expenditures by output. WBSEs help classify costs, milestones and tasks required to complete the over-arching project objective and allows cost controlling and monitoring for each WBSE.

Table 10 T codes for monitoring and spending on Umoja

T-code	Description
FMAVCR02	Funds availability check report (RB and XB)

ZGMRBUDACT	GM Budget status report (XB only 32BKT, 33BKT and 32BTF)
ZGMBUDGET_REL	Cash balance GM Budget release (XB)
ZPJCOSTELEMENT	Cost element details (XB)
GMBDGTVIEW	GM Budget Overview
FMEDDW	Budget entry documents (RB)
FMCIE	Commitment item hierarchy
GMGRANTD	Grant display
CN43N	Display project structure
CJ13	Display WBSE

It is important to carefully consider how to design a work breakdown structure. While SPMD is inputting the work breakdown structures in Umoja, it is the substantive division's responsibility to help design such structures.

Once the structure is established, monitoring of spending is done through Umoja by entering T-codes on the main screen of the Umoja's ERP Central Component (ECC). To facilitate the task, several tools and reports are available see Table 10)

SPMD publishes status of expenditure report for all funds on its iSeek page on a monthly basis.

Training on Umoja is available on Inspira. New users are encouraged to take the training on Financial Management (FM) and Grants modules. For further information, refer to ESCAP's Project Management Guidelines or contact the Budget Officers and staff in SPMD.

4. EVALUATION POLICY

4.1 Mandates for evaluation

Evaluation at ESCAP complies with the regulations and rules of the United Nations Secretariat as put forth by the Secretary-General,⁴ which mandate that all programmes shall be evaluated on a regular, periodic basis. Similarly, member States of ESCAP call for periodic evaluations of the secretariat's programme of work, including the work of divisions, subregional offices and regional institutions.⁵ On certain occasions, member States also mandate the secretariat through a resolution to conduct an evaluation of a specific theme or area of work in support of its decision making processes.

4.2 Definition and purpose of evaluation

Evaluation at ESCAP is defined as a systematic and an impartial assessment of a project, subprogramme, division, regional institution, subregional office, policy, strategy, operational area or institutional performance. It analyses the level of achievement of both expected and unexpected results at the outcome level⁶ by examining the results chain, processes, contextual factors and causality using appropriate criteria such as effectiveness, relevance, efficiency, sustainability, and gender and human rights mainstreaming.

The purposes of evaluation are to promote accountability and learning, and support results-based management. Evaluation aims to understand why and to what extent intended and unintended results were achieved; and to analyze the implications of the results. Evaluation can inform planning, programming, budgeting, implementation and reporting and can contribute to evidence-based policymaking, development effectiveness and organizational effectiveness.⁷

4.3 Norms and standards

ESCAP seeks to uphold the norms and standards for evaluation developed by the United Nations Evaluation Group. The following norms for evaluation have been adapted for ESCAP's context:

- **Internationally agreed principles, goals and targets.** Evaluation at ESCAP should promote and contribute to the goals and targets set out in the 2030 Agenda for Sustainable Development. To better support member States' evidence-based policy and programme formulation and implementation evaluations should be based on verified data, sound analysis and provide concrete, actionable recommendations.
- **Utility:** There should be a clear intention to use the evaluation results. ESCAP facilitates a planning process of each evaluation to clarify the use of the evaluation at the outset, i.e.

⁴ Secretary-General's Bulletin, "Regulations and rules governing programme planning, the programme aspects of the budget, the monitoring of implementation and the methods of evaluation", ST/SGB/2016/6

⁵ Resolution 66/15, "Strengthening of the evaluation function of the secretariat of the Commission"

⁶ **Outcomes** are the likely or achieved short-term and medium-term effects of an intervention's outputs. They can be either intended or unintended, and desired (positive) or un-wanted (negative). They reflect the changes in the behavior or practices of the target group(s) that ESCAP intends to influence, including through actions taken collectively with its development partners. They describe how the target groups use the outputs delivered by a project/subprogramme.

⁷ Examples of how evaluation results were used for decision making: (i) Evaluation of the Asian and Pacific Centre for the Development of Disaster Information Management (APDIM) in 2015 provided the basis for the adoption of resolution 71/11 which establishes APDIM as a subsidiary body of the Commission; and (ii) Evaluation of the conference structure of the Commission in 2013 led to changes in the conference structure as contained in resolution 70/11

for organizational learning to feed into future programmes and projects, accountability to member States and donors, informing decision making and policy changes, operational improvements, etc.

- **Independence:** External evaluations are managed and conducted by organizations other than ESCAP and can be considered truly independent. In the ESCAP context, intergovernmental subprogramme and thematic evaluations commissioned by ESCAP are managed by the Evaluation Unit/SPMD and project evaluations by ESCAP staff in the substantive divisions/offices. To maximize independence under these circumstances, evaluations commissioned by ESCAP are conducted by external professional evaluators (consultants) who have the full freedom to conduct their evaluative work impartially and have access to information on the evaluation subject. To avoid conflict of interest and undue pressure, evaluators must not have been responsible for the policy-setting, design or management of the subject of evaluation, nor expect to be in the near future.
- **Professionalism:** Evaluation should be conducted with professionalism and integrity. ESCAP engages evaluators who have prior evaluation experience and produced evaluation reports that meet the UNEG quality standards.
- **Transparency:** Transparency is necessary in all stages of the evaluation process to build ownership and facilitate consensus. Evaluation reports (including the terms of reference) should be available to major stakeholders and be public documents that are accessible and readable.
- **Ethics:** Evaluators must have personal and professional integrity, must allow institutions and individuals to provide information confidentially, should verify their statements and ensure that sensitive data is protected. They must be sensitive to the beliefs, manners and customs prevailing in a particular social and cultural environment; they should likewise be sensitive to and address issues of discrimination and gender inequality and should discreetly report wrongdoings, if appropriate, to a competent body (such as the relevant office of audit and investigation).
- **Human rights and gender equality:** ESCAP upholds the integration of universally recognized values and principles of human rights and gender equality throughout its work. ESCAP commits to mainstream a gender perspective into all stages of evaluation in line with the evaluation performance indicator included in the United Nations System-wide Action Plan (UN-SWAP) on gender equality and women's empowerment. ESCAP evaluation tools, such as the standard evaluation TOR, inception report, report template and quality criteria, ensure the integration of gender and human rights perspectives in the evaluation process, conduct and outcomes.
- **Evaluation use and follow up:** ESCAP commits to provide a response to the recommendations of evaluations, which, at ESCAP, should be included in the final evaluation report. Evaluation recommendations that have been accepted by management are followed up systematically and the status of follow-up reviewed periodically. A biannual report on the status of the implementation of follow up actions to evaluation recommendations is submitted to the Executive Secretary and the rest of the senior management in support of organizational learning and accountability.

4.4 Roles and responsibilities

The following organizational roles and responsibilities govern evaluation at ESCAP:

- **The Commission:** Responsible for guidance and oversight of ESCAP's work. The Commission may request evaluations through resolutions. Committees subsidiary to the Commission may recommend an evaluation to the Commission.
- **The Executive Secretary:** Assumes a critical leadership role in ensuring an empowered evaluation function, with sufficient resources to carry out periodic evaluations and use

evaluation findings to enrich strategic planning, improve organizational learning and strengthen accountability. He/she approves the biennial ESCAP Evaluation Plan and signs off on the management response and follow-up action plan to evaluation recommendations.

- **Senior management:** Accountable for the implementation of follow-up to evaluations outlined in management responses and follow-up action plans.
- **Evaluation Unit, Strategy and Programme Management Division (SPMD):** ESCAP established a dedicated Evaluation Unit in the SPMD to ensure an effective management of evaluation function, the conduct of independent, credible and useful evaluations and the use of evaluation findings and recommendations for accountability and organizational improvement. The Evaluation Unit coordinates the preparation, planning, conduct and follow up to evaluations in ESCAP in line with ESCAP Evaluation Policy and Guidelines.
- **PME focal points:** Facilitate the formulation of the biennial ESCAP Evaluation Plan; provide guidance to their colleagues on evaluation during the design phase of programmes and projects, and coordinate the monitoring and reporting on follow-up to evaluations by their division or office.
- **ESCAP staff:** Responsible for upholding UN norms and standards related to evaluation; contributing to results-based management and ensuring evaluability of initiatives; cooperating with evaluators; and implementing relevant evaluation follow-up actions.

4.5 Types of evaluation

At ESCAP, there are two main categories of evaluative processes distinguished on the basis of who manages them:

- **External evaluations** are managed and conducted by entities outside ESCAP such as the Joint Inspection Unit (JIU), which has a UN-wide mandate, or the Office of Internal Oversight Services (OIOS) on the basis of its UN Secretariat-wide mandate. External evaluations are primarily used for oversight and support to decision-making at the governance level.
- **Internal evaluations** are managed by ESCAP and conducted by external professional evaluators. These evaluations can be requested by member States, donors or partners, or identified by ESCAP management to promote accountability and inform future programmes and decision-making processes.

Internal evaluations at ESCAP are also categorized in terms of intergovernmental, thematic, subprogramme and project as described below:

- **Intergovernmental:** Member States mandate the secretariat to conduct periodic evaluations of its conference structure to ensure the changing needs and priorities of member States are met and that the conference structure functions in an efficient and effective manner. Evaluation is supported by a systematic monitoring of meetings under the conference structure, including the conduct of post-meeting questionnaires.
- **Thematic:** An evaluation focused on a cross-cutting theme, fund, sector, modality, or service for example: evaluation of the ESCAP Tsunami Trust Fund, or evaluation of the Non-Reimbursable Loan services at ESCAP.
- **Subprogramme:** An evaluation that considers the effects of the total portfolio or major components of activities that are aimed at achieving a common set of results as set out in the strategic framework. The scope of a subprogramme evaluation could be the combined work of a division, a section, a subregional office or a regional institution, or the portfolio of technical cooperation activities implemented under the subprogramme.

- **Project:** An evaluation that focuses on the achievement of the results outlined in the logical framework of a project, often within the context of a broader programme. Project evaluations are typically planned when the project is developed and included in the project document and budget.

4.6 Evaluation planning and budgeting

Planning evaluation

ESCAP prepares a biennial Evaluation Plan through a consultative, organization-wide exercise as part of the biennial programme budget preparation. It identifies the topics for evaluation, required staff and financial resources, tentative completion date and responsible division/office. These topics are derived from the following sources:

- Mandates from member States, including through a resolution;
- Information needs of ESCAP management;
- Requirements of ESCAP management, development partners and donors to conduct evaluation of selected capacity development projects;
- Planned external evaluations to be undertaken by OIOS and JIU.

SPMD reviews the proposals in the context of overall ESCAP evaluation requirements and prepares a draft Evaluation Plan for review and approval by the Executive Secretary. Once approved by ESCAP management, the Plan is submitted to United Nations Headquarters along with an estimate of staff time required for the evaluations and the programme budget for approval. To promote transparency, the ESCAP Evaluation Plan is posted on the ESCAP public website. Every six months, SPMD submits a report to the Executive Secretary on the status of evaluation activities in ESCAP, including the implementation of the Evaluation Plan and any necessary adjustments.

Budgeting evaluation

Staff and financial resources are involved in evaluations at ESCAP. Use of staff resources includes managing and supporting evaluative activities and financial resources are used in contracting consultants, including travel and data collection activities. The financial resources for conducting evaluations at ESCAP are derived from two sources:

- **Evaluation budget in SPMD.** In support of the efforts to increase the number of subprogramme and thematic evaluations⁸, ESCAP has allocated a dedicated budget in SPMD for the conduct of at least two (2) intergovernmental, thematic and subprogramme evaluations mandated by member States or required by ESCAP management annually.
- **Project budget.** ESCAP utilizes earmarked project funds to conduct evaluations of capacity development projects funded from the United Nations Development Account or extrabudgetary sources. In line with its guidelines, each Development Account project allocates at least two per cent of its total budget for conducting an evaluation.

ESCAP management requires that each capacity development project funded from extrabudgetary sources with a total budget of least \$250,000 should allocate a dedicated budget for evaluation. An evaluation budget of two to four per cent of the total project budget, with a minimum floor of \$10,000, is recommended depending on the size of the project budget, the scope of the evaluation and any other applicable criteria.

⁸ OIOS report on the Evaluation of the Economic and Social Commission for Asia and the Pacific in 2015 recommended that future evaluations should extend beyond single projects to include more subprogramme and thematic issues.

4.7 Evaluation management

Each internal evaluation of ESCAP is managed by an evaluation manager. The Evaluation Unit in SPMD is responsible for managing intergovernmental, subprogramme and thematic evaluations. For project evaluations, the division or office responsible for the evaluation should identify an evaluation manager, normally an officer involved in the management of the project.

The success of an evaluation depends to a large extent on how well it is managed. ESCAP institutes the following policy and mechanisms for effective management of evaluation:

- **Reference group:** At the outset of an evaluation, ESCAP requires the establishment of a Reference group to provide the evaluator or evaluation team with feedback from a technical and methodological perspective and help ensure ownership, relevance and use of evaluations. The ESCAP Evaluation Guidelines provide further details on the function and establishment of the Reference group (section 4 below).
- **Evaluation management:** Evaluation managers should possess the core competencies required for their role in the evaluation process. They should have knowledge of this document - the 2017 ESCAP Evaluation Policy and Guidelines - as well as the UNEG norms and standards for evaluation. It is highly recommended that evaluation managers complete a training course on evaluation, such as the annual UNEDAP regional course on evaluations in the UN context as well as any related internal briefing and training activities organized by the Evaluation Unit/SPMD.
- **Selection of evaluators:** Evaluators engaged by ESCAP must have knowledge of the United Nations System and its principles, values, goals and approaches, including human rights, gender equality, Sustainable Development Goals and results-based management. They must also possess professional and technical experience in evaluation (evaluation norms, standards and ethical guidelines). They should also have technical expertise and knowledge of the subject being evaluated.

For evaluations managed by the Evaluation Unit, SPMD, the Executive Secretary is responsible for specifying acceptable evaluation consultants from a shortlist which the Evaluation Unit shall provide. For evaluations managed by divisions or offices, including those of projects, the evaluation manager shall seek the concurrence of the Reference group established for the evaluation. ESCAP adheres to the UNEG [Ethical Guidelines](#) and [Code of Conduct](#) in evaluation and all staff and consultants engaged in evaluation are required to uphold these standards. To this end, ESCAP has developed a Consultants Agreement form that evaluators are required to sign as part of the contracting process. Evaluation consultants are recruited in an impartial and transparent manner following the rules and procedures for hiring consultants at ESCAP.

- **Quality control:** Quality control is exercised throughout the evaluation process. Evaluation managers should ensure that evaluations at ESCAP are designed and implemented in compliance with ESCAP's Evaluation Policy and Guidelines and developed based on ESCAP evaluation tools, including: ESCAP templates for the evaluation terms of reference; inception report; evaluation report; and management response and follow-up action plan as well as the ESCAP quality checklist. These evaluation tools are accessible on the evaluation section of the ESCAP public and iSeek websites.

4.8 Using evaluation findings

Management response and follow-up action plan

ESCAP commits to address the findings and recommendations of each evaluation through a management response and follow-up action plan. ESCAP also commits to disseminate

knowledge generated from evaluations. Evaluation results are used to enhance future project planning and inform programming, budgeting and reporting.

The use of evaluations for accountability and organizational learning is facilitated through the development of a management response and follow-up action plan to the findings and recommendations of each evaluation, making up the formal, written response from the organization. In this regard, it is critical that recommendations are relevant and concrete enough to ensure that the management can determine follow-up actions.

ESCAP management assumes a critical leadership role in ensuring the use of evaluations. Through participation in development of management response and follow-up action plans, as well as signing the final document they commit to and are thus accountable for the implementation of follow-up to evaluations. Management responses include:

- An overall response from the perspective of management on the evaluation and its results. This can include comments regarding the relevance and usefulness of the results. It may also highlight any differences in opinion with the evaluators while maintaining the independence of the evaluation findings;
- A response to each individual recommendation, resulting in either acceptance (full or partial) or rejection of the recommendation. Additional comments may relate to broader implications for ESCAP, in particular as regards programme and project planning and implementation;
- Evaluation follow-up actions, corresponding to accepted recommendations, including completion deadlines and the responsible implementing entity. In addition to actions resulting directly from the evaluation recommendations, additional longer-term, strategic or institutional-level actions may be included.

The evaluation manager initiates and coordinates the formulation of the management response by seeking inputs from key stakeholders. The final management response is included in the published evaluation report.

4.9 Tracking and implementation

ESCAP has an accountability chain and tracking system in place to ensure follow-up actions are fully implemented.

The Executive Secretary leads and provides oversight to the evaluative function:

- Ensures full implementation of follow-up actions through review of biannual status reports prepared by the Evaluation Unit and discussion with relevant senior management staff.
- Includes related performance goals and actions in the e-PAS of relevant senior staff members. This ensures staff members are held accountable to follow-up actions.

Division chiefs and heads of offices ensure that follow-up actions under their purview are implemented in time. This is accomplished by:

- Ensuring that evaluation reports are used for programme and planning exercises
- Incorporating relevant actions into the Annual Work Plan of their division/office
- Including requirements in the e-PAS of relevant staff members to implement their assigned evaluation follow-up actions in time
- Monitoring and regularly updating the status of evaluation follow-up actions for which their division/office is responsible

Evaluation Unit/SPMD is responsible for monitoring the implementation of evaluation follow-up actions by:

- Maintaining tracking sheets on the follow-up to evaluations and liaising with PME Focal Points to ensure regular updates
- Preparing a biannual update for the Executive Secretary that includes the status of follow-up actions by each division and office.

4.10 Dissemination of evaluation findings

To ensure transparency and promote organizational learning and accountability, evaluation findings should be disseminated in accordance with the following policy:

- All reports of evaluations (including the management response) are made available on the ESCAP website and intranet sites and posted on IMDIS as evidence for accomplishment accounts
- Internal briefing or learning sessions are conducted for ESCAP management and staff to highlight important evaluation findings and recommendations, particularly where they are of strategic importance. Such briefings may be given by the lead evaluator or by relevant ESCAP staff members;
- Reports on evaluation results that are mandated to be submitted to intergovernmental bodies (i.e. the Commission, Governing Councils etc.) must be in the proper format, and meet editorial standards for pre-session documents. ESCAP secretariat prepares a biennial report on evaluation activities to the Commission to strengthen accountability to member States and facilitate organizational improvement. The biennial report summarizes the main findings and recommendations from evaluations implemented during the biennium and the steps taken by the secretariat to address those evaluation recommendations. It also outlines efforts made by the secretariat to further strengthen the evaluation function.
- Evaluation findings should inform programme and project planning and implementation processes. Apart from the formulation of the management response and follow up action plan, another mechanism for ensuring the use of evaluation findings is the Quality Assurance Team (QAT) process. The QAT reviews all project proposals prepared by ESCAP staff and provides recommendation for improvement. The Chief, Evaluation Unit is an ex-officio member of QAT responsible for ensuring technical evaluability of proposed projects and use of relevant evaluation findings in the project design.

4.11 Partnerships

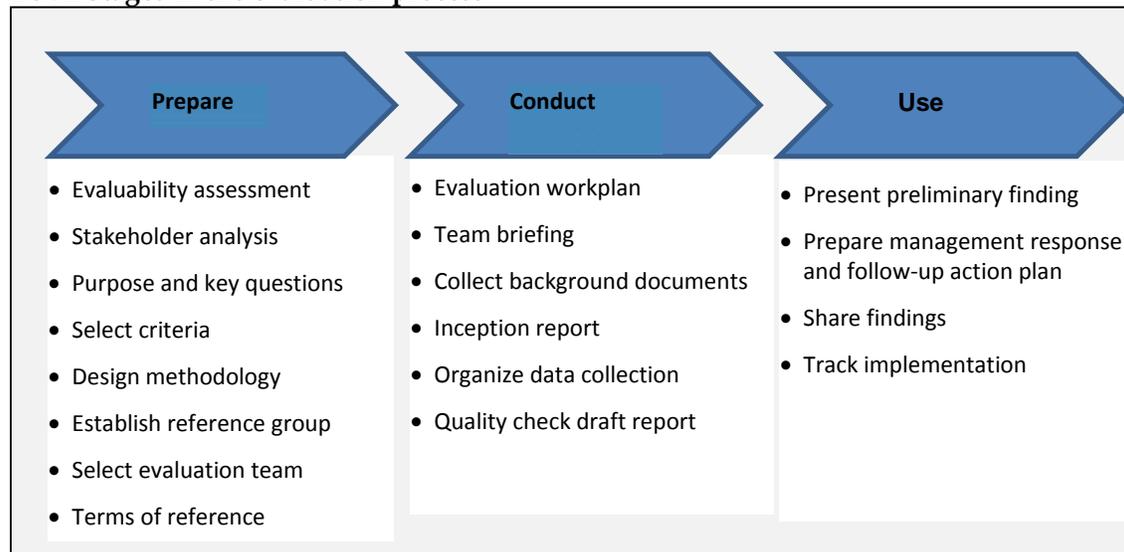
ESCAP seeks to promote coherence and synergies on evaluation within the UN system. It actively participates and contributes to the work of the global United Nations Evaluation Group (UNEG)⁹ and the regional United Nations Evaluation Development Group for Asia and the Pacific (UNEDAP). ESCAP actively participates in the annual UNEDAP Regional Course on Evaluation in the UN context which is aimed at building evaluation capacities and promoting coherence in evaluation practices in the UN system.

⁹ <http://uneval.org/>

5. EVALUATION GUIDELINES

The Evaluation Guidelines explain the different stages in managing an evaluation at ESCAP. Evaluations are conducted in three stages: preparing, conducting and using findings.

Box 2 Stages in the evaluation process



5.1 Prepare the evaluation

5.1.1 Ensure evaluability

All programmes and projects should be designed to enable good monitoring and evaluation from the outset (see [Tool 1: Preparing for an evaluation](#) and [Tool 9: Mainstreaming gender and human rights](#)). Nonetheless, evaluation managers should look at evaluability as a first step to ensure: an intervention is ready for evaluation; the intervention has clear goals; there is sufficient, reliable data to be collected at a reasonable cost; that gender and human rights are mainstreamed; and that no major factors will present obstacles to an evaluation. The preparatory step ensures that when an evaluation is conducted, the results will be timely, credible and useful for decision making. Ensuring evaluability is a management responsibility as part of the results based management cycle (see [UNEG Standard 4.2](#)).¹⁰

5.1.2 Carry out a stakeholder analysis

Having looked at evaluability, evaluation managers should conduct a stakeholder analysis to promote strong ownership, accountability and evaluation utility. It ensures consultation of relevant parties in the conduct of the evaluation and preparation of relevant and useful recommendations. The analysis should take into account rights holders and duty bearers related to the intervention, as well as users of the evaluation (see [UNEG Standard 4.6](#)).

Who chooses: Evaluation managers should ensure the perspective of men and women is taken into account in conducting the stakeholder analysis.

Who is chosen: the selection of stakeholders for participation in the evaluation depends on the purpose of the evaluation. ESCAP's approach is typically for an external evaluator to consult a range of stakeholders including both intervention target groups and users of the evaluation to maximize ownership and utility of evaluations.

¹⁰ [UNEG 2016. Norms and standards for evaluation.](#)

Table 11 Stakeholder matrix

Intervention target groups	Users of the evaluation
Primary Government counterparts Civil society organizations Non governmental organizations Academia	Primary ESCAP management and staff Government counterparts
Secondary Government officials Sector specialists	Secondary Collaborating donors Collaborating NGOs Other UN bodies Other NGOs and CSOs Academia and evaluation professionals

Source: based on stakeholder template UNEG. 2016. *Norms and standards for evaluation*

5.1.3 Define purpose

Defining the purpose of the evaluation – the reason it is being carried out, intended users and intended use – frames its design and conduct and ultimately determines its utility. In ESCAP, evaluations are typically designed to promote both learning and accountability and there is often a tension to find balance between the two.

- **Why** is the evaluation being carried out? What triggered the evaluation? Is there a specific reason for the timing of the evaluation?
- **Who** is the evaluation for? Is it for a particular donor or for member States? Or is it for ESCAP management or staff? Or both?
- **How** will the results be used? Are they intended for learning, accountability or decision making?

<p>Box 3 Uses of ESCAP evaluations</p> <ul style="list-style-type: none"> • To demonstrate achievement of intended results at the outcome level for accountability purposes • To identify concrete recommendations for programme improvement • To make organizational decisions such as whether to scale up an intervention • To assess the benefits of a partnership or organizational policy • To identify lessons learned to effectively mainstream UN commitments to human rights and gender equality

5.1.4 Select evaluation criteria and questions

ESCAP uses the evaluation criteria of effectiveness, relevance, efficiency and sustainability as standard criteria for assessing the objective or results achieved (at the outcome level) of an intervention/project.¹¹ Evaluations can use the most relevant criteria, or if all are used, the ToR should identify which are a priority. Mainstreaming gender and human rights is a standard criterion for all ESCAP evaluations to fully align with UN SWAP performance indicators and UNEG guidance. (See [UNEG standard 4.7](#), [Tool 2: Evaluation criteria and questions](#) and [Tool 9: Mainstreaming gender and human rights](#)).

¹¹ <http://www.oecd.org/dac/evaluation/dacriteriaforevaluatingdevelopmentassistance.htm>

Box 4 Impact

Impact is defined by the DAC as “Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended”. It attributes causality to long term changes. In the context of ESCAP’s work, this includes member States’ achievements in bringing about benefits for target groups (e.g. disadvantaged populations, rural poor, small and medium-sized enterprises). Indicators used to measure benefits could include the proportion of people living on less than a dollar a day, the number of people living with HIV/AIDS, and the proportion of people with access to safe drinking water. Apart from difficulties and costs associated with measuring these indicators, evaluating ESCAP’s impact is challenging because of the difficulty of attributing observed changes to ESCAP’s work or isolating ESCAP’s contribution to measured impacts. Rather, ESCAP would seek to evaluate its contribution to the achievement of objectives (for subprogrammes) or outcomes (for projects). Further, ESCAP objectives or outcomes generally relate to the formulation and implementation of economic and social policies and programmes by member States in the medium term.

Having established the purpose and criteria of the evaluation, the evaluation manager can design the key questions. The questions should be closely aligned to the evaluation purpose and asked under each criterion. Developing tightly aligned questions ensures that all data collected is relevant to the purpose. In order to manage the size of the evaluation, it is recommended to limit the number of evaluation questions from 3 to 5 under each criterion depending on the budget and scope of the evaluation.

5.1.5 *Select evaluation methodology*

Evaluation depends on research – systematic investigation to generate facts and new knowledge. The methodology selected to conduct an evaluation refers to the system of tools and methods used and can be quantitative, qualitative or mixed. The evaluation manager selects a methodology based on the purpose and key questions of the evaluation, its timing, and resources available.

Box 5 Did we do that? Establishing causal chains

Evaluation literature refers to three primary types of evaluation designs to gather and analyze data: experimental, quasi-experimental and non-experimental. Experimental studies are powerful tools to show the effectiveness of an intervention. However, they work best when aiming to establish a single cause and effect. An experimental study entails establishment of control and experimental groups. The control group continues as normal, while the experimental group is engaged in the intervention. In the development field, experimental designs are generally not feasible and are not deemed appropriate. ESCAP applies a combination of quasi-experimental and non-experimental designs. Quasi-experimental designs obtain measurements before (through the establishment of a baseline) and after an intervention, and may include a comparison group that is not targeted by the intervention. Non-experimental evaluation designs only take measurements in relation to the target group after the intervention.

The methodology and evaluation questions should guide the determination of the types and sources of data that would be most appropriate (see Table 12). In most cases, a mix of qualitative and quantitative information will be used. For example, evaluators may first review project documentation and interview project staff to gain a broad understanding of the project (qualitative); then collect financial and other data in relation to the indicators in the logical framework (quantitative), and then conduct a survey or interviews among project partners and target groups (qualitative and quantitative).

Table 12 Methodological types

Design		
Experimental	An ex-ante design requiring random assignment of a population to at least two groups, one of which serves as a control or counterfactual.	Use whenever affordable and practical in order to determine whether impact can be attributed to the intervention as the single cause, i.e. that the normative work was both necessary and sufficient to cause the impact.
Quasi-experimental	A design where an intervention and nonintervention or comparison group (counterfactual) are formed either before or after the intervention, but without randomly assigning the population to a group.	Use when this level of rigour is necessary and feasible in order to prove that the normative work was both necessary and sufficient for a net change at the impact level. Challenging to find comparison groups that are closely matched.
Non-experimental, including theory- and case-based approaches	An evaluation design where no attempt is made to compare intervention and nonintervention groups, and the emphasis is on description.	Use at a single point in time to assess what was planned, what took place, what changed and why.

Source: UNEG Guidelines 2016.

The following considerations may guide the selection of data collection method:

- Use of a range of methods can help understand results of the intervention
- Analysis of quantitative and qualitative data can better enable triangulation and establishing a causal relationship
- What time and resources are available
- What method will ensure stakeholder involvement

Information collection methods most relevant to ESCAP include:

- Literature and document reviews
- Interviews
- Focus group sessions
- Surveys
- Site visits or direct observations

5.1.6 Establish a reference group

At the outset of an evaluation, an evaluation reference group should be established to ensure ownership, relevance, credibility and the use of evaluation outputs.

Box 6 Reference group
 ESCAP uses an evaluation Reference group to enhance stakeholder participation. Participants are selected by the evaluation manager and can include stakeholders and peers, internal and external to the intervention and ESCAP. The group should be gender balanced and have an appropriate mix of skills and perspectives. It provides technical and methodological guidance to the evaluation process; reviews and approves the selection of the consultant, ToR and inception report; provides quality control of the evaluation report and validation of recommendations; and ensures adherence to ESCAP Evaluation Policy and Guidelines and the use of evaluation outputs, including the formulation of the evaluation management response and follow-up action plan.

For evaluations managed by the Evaluation Unit/SPMD, the Evaluation Unit is responsible for establishing the Reference group, which should include at least four members, including a senior manager at the level of Deputy Executive Secretary or Director/Head of any division/office, Director of SPMD, Head of Evaluation Unit and a professional staff member from any division/office. An external stakeholder may be invited to the reference group, as appropriate, this may include a project or evaluation stakeholder or relevant expert. Gender balance should be taken into account in the selection of members. The Reference group should appoint its own chair. The Evaluation Unit facilitates and manages the evaluation process.

For project evaluations, the division/office responsible for the evaluation should establish the Reference group. Normally, the officer responsible of the project implementation acts as the evaluation manager. They should select at least three additional members of the reference group, including an Evaluation Officer from the Evaluation Unit and a professional staff member from another division/office. Additional members can be invited as appropriate, including a representative from external stakeholders. The Reference group should appoint its own chair.

5.1.7 Establish an evaluation team

The evaluation manager recommends to the Reference group candidates to comprise the evaluation team that shall conduct the evaluation and seeks the concurrence of the reference group in the final selection. In ESCAP, evaluations are typically conducted by an external consultant, however for larger evaluations; a team of multiple consultants can be hired. Expertise required will vary depending on the intervention, however all evaluators must have:

1. Professional and technical experience in evaluation (application of evaluation norms, standards and ethical guidelines and the relevant organizational evaluation policy and promotion of evaluation and evidence based learning);
2. Professional and technical experience in the subject being evaluated;
3. Knowledge of the United Nations System; principles, values, goals and approaches, including human rights, gender equality, cultural values, the Sustainable Development Goals and results-based management.

ESCAP adheres to the [UNEG Ethical Guidelines](#) and [Code of Conduct](#) in evaluation and consultants engaged in evaluation are required to uphold these standards. To this end, ESCAP has developed a [Consultants Agreement form](#) (Annex IV of the ESCAP standard template for evaluation TOR) that evaluators are required to sign as part of the contracting process.

The Evaluation Unit maintains a roster of professional evaluation consultants which evaluation managers may consult. It is also recommended that the terms of reference is disseminated through a number of evaluation networks to attract qualified applications for the consultancy (see Box 7).

Box 7 Resources for identifying an external evaluator

Disseminating the evaluation TOR through a forum or posting on a website of an evaluation association can increase the number of qualified applicants for a consultancy. A few of the relevant associations are listed below:

- United Nations Evaluation Group
- United Nations Evaluation Development Group for Asia and the Pacific (UNEDAP)
- Organisation for Economic Cooperation and Development - Development Assistance Committee Network on Development Evaluation (OECD/DAC)
- International Development Evaluation Association (IDEAS)
- International Program for Development Evaluation Training (IPDET)

• Monitoring and Evaluation News
 Evaluation Unit/SPMD can assist with dissemination of TORs for evaluations through the above associations.

5.1.8 Prepare a terms of reference

Terms of reference (TOR) are used to formalize evaluation plans and form the basis of contracts with external consultants. The evaluation manager is responsible for preparing the TOR based on the ESCAP standard template (see [Tool 3: TOR template](#) and [Tool 9: Mainstreaming gender and human rights](#)). The draft TOR is shared with the reference group for comments to ensure that the evaluation meets expectations, is realistic, and that the TOR is sufficiently detailed for the evaluation team to carry out the evaluation.

The TOR contains at a minimum: 1) the background and reference to the relevant norms, standards and conventions; 2) the evaluation purpose, objectives and scope; 3) methodology; 4) specifies how a gender and human rights perspective will be mainstreamed into the evaluation; 5) roles and responsibilities; 6) outputs; 7) workplan; and 8) standard annexes, namely: content of the inception report and evaluation report, quality criteria used to review evaluation reports, and evaluation consultants agreement form.

5.2 Conduct the evaluation

5.2.1 Prepare an evaluation workplan

An evaluation workplan is prepared based on the TOR.

Table 13 List of evaluation tasks and timeframes

	TASK	RESPONSIBILITY	INDICATIVE TIMEFRAME
1	Gather background documents and share with the evaluation team	Evaluation manager	Once the TOR is approved and selected evaluation team contracted
2	Brief evaluation team	Evaluation manager/ reference group	
3	Prepare and finalize an Inception Report	Evaluation team/ evaluation manager/ reference group	Prior to conducting the evaluation
4	Organize and conduct data collection activities (i.e. interviews, questionnaires, field visits, review of documents)	Evaluation team/ evaluation manager/ reference group	Should be completed within one month
5	Submit first draft evaluation report to the evaluation manager	Evaluation team	Within one month of completing data collection activities
6	Provide comments on draft evaluation report to evaluation team	Evaluation manager/ reference group	Within two weeks of receipt of draft evaluation report
7	Organize a presentation of the preliminary findings and recommendations	Evaluation manager/ reference group evaluation team	Within two weeks of receipt of comments
8	Provide final comments on the draft evaluation report	Evaluation manager/ reference group	Within one week of receipt of final draft evaluation report
9	Incorporate comments and submit final draft evaluation report to the evaluation manager	Evaluation team	Within one week of the presentation

10	Finalize and sign off on evaluation report	Evaluation team	Within one week of receipt of final comments
11	Formulate management response for inclusion as an annex in the final evaluation report	Evaluation manager/ reference group	Within two months of receipt of final evaluation report
12	Sign off on management response	ESCAP management	
13	Finalize evaluation report and share evaluation findings	Evaluation manager reference group ESCAP management	

5.2.2 *Brief the evaluation team*

<p>Box 8 Issues to be covered in the briefing session</p> <ul style="list-style-type: none"> • Introduction of evaluation team members; • Background to the evaluation – ensure that team members understand the programme/ project and organizational context; • Purpose, objectives, scope, outputs of the evaluation; • Potential limitations of the evaluation; • Evaluation methodology; • Proposed evaluation work plan, including roles and responsibilities of team members; • Available documentation; • Reporting requirements, as specified in the TOR.

Based on the outcome of this briefing session, it may be necessary to modify the methodology and/or time schedule.

5.2.3 *Collect and share background documentation*

The type of documentation that is necessary for an evaluation team to conduct an evaluation varies with the type and topic of the evaluation. Box 9 contains documentation that is generally provided to the evaluation team.

<p>Box 9 List of documentation to be made available to the evaluation team</p> <p>GENERAL</p> <ul style="list-style-type: none"> • Organizational/ team diagram • Contact list of relevant ESCAP staff members, partners and other relevant stakeholders • Publications, research papers, training materials • Promotional material (e.g. booklets, brochures, fact sheets, newsletters, posters, information kits) • Press releases • Meeting information (e.g. attendance lists, minutes/reports, agenda, handouts, evaluation questionnaire results) • Mission reports • Budget, allotments and expenditures overview • Reports from previous evaluations <p>SUBPROGRAMMES</p> <ul style="list-style-type: none"> • Work programme, including results framework • Divisional or Sectional Work Plans • IMDIS reports (outputs, work months, Accomplishment Accounts) • Programme Performance Report (PPR) <p>PROJECTS</p> <ul style="list-style-type: none"> • Project document, including the work and monitoring plan, logical framework and budget • Relevant agreements (e.g. with the project donor)

- Project revisions (if applicable)
- Progress reports, including documents referred to in the report
- Mid-term evaluation or evaluative review
- Project terminal report, including documents referred to in the report

5.2.4 Support the preparation of an evaluation inception report

Based on the TOR, the initial discussions with the reference group and other stakeholders, and initial review of documents, the evaluation team prepares an inception report (see [Tool 4: Inception report template](#)). This report sets out the conceptual framework to be used in an evaluation and details the evaluation methodology; criteria and questions; indicators; data collection and analysis, gender and human rights mainstreaming approach; and risk and limitations. It allows the evaluation team to clarify their understanding of what is being evaluated and why and to present their preliminary findings based on initial review of documents and consultation with the evaluation reference group and other stakeholders. The evaluation manager reviews the inception report and seeks concurrence from the reference group.

5.2.5 Organize data collection activities

The evaluation is conducted by the evaluation team. The evaluation manager stays in touch with the team to provide support or clarification where needed, identify stakeholders to be interviewed, organize interviews and consultation meetings, assist in administering survey questionnaires, mediate in case any frictions arise, and ensure that the evaluation is carried out ethically and in accordance with the agreed methodology. The evaluation manager also ensures involvement of the reference group and other stakeholders in the process.

In ESCAP, evaluation managers promote maximal stakeholder participation and ensure this phase of the evaluation is gender responsive by:¹²

- Consulting with stakeholders on the proposed data collection schedule;
- Holding a meeting with evaluators prior to finalization of data collection on main research findings and gaps;
- Ensuring stakeholders identified in the stakeholder analysis are included.

In general, the conduct of evaluations at ESCAP involves a data collection mission by the evaluation team in ESCAP headquarters in Bangkok for a period of at least one week. The evaluation manager should develop a programme for the data collection mission.

Should a survey questionnaire need to be administered as part of the data collection process, it is recommended that the evaluation manager seeks assistance from the Evaluation Unit on available platforms for conducting online questionnaires, standard questionnaire templates, modalities for disseminating the questionnaires and lessons learned from past surveys with a view to enhancing the rate and quality of response.

Box 10 Activities during the data collection mission

- Inception meeting with the reference group
- Interviews with relevant senior management staff
- Interviews with ESCAP staff involved in the subject of evaluation
- Interviews with selected ACPR members, as appropriate

¹² UN Women. 2015. How to manage gender-responsive evaluation: Evaluation handbook. Available at: <http://www.unwomen.org/-/media/headquarters/attachments/sections/library/publications/2015/unwomen-evaluationhandbook-web-final.pdf?vs=3815>

- Interviews with representatives of UN agencies and other development partners
- Interviews with member state beneficiaries (via telephone or Skype)
- Debriefing for the reference group

Depending on the evaluation, the evaluation team discusses the main findings with the evaluation manager or presents main findings to the reference group towards the end of their visit to ESCAP. It is important that the evaluation manager ensures the independence of the evaluators by being prepared to accept the findings, including when they differ from the programme or evaluation manager's perspective.

5.2.6 *Quality check draft evaluation report*

Within one month of the data collection period, the evaluation team sends a draft report to the evaluation manager for comments (see [Tool 5: Evaluation report template](#)). The evaluation manager and reference group quality check the draft report (see [Tool 6: Quality checklist for evaluation report](#)). It is the responsibility of the evaluation manager to conduct a technical review and coordinate inputs from the reference group and other stakeholders based on the ESCAP's content of an evaluation report and ESCAP's quality criteria used to review evaluation reports.

Gender equality and human rights analyses are essential components of analysis in all ESCAP evaluations (see [Tool 9: Mainstreaming gender and human rights](#)). It is not sufficient to count the number of male and female participants in intervention activities. Application of UN standards entails three levels of analysis:

1. Intervention design: are gender and human rights concerns mainstreamed?
2. Intervention conduct: were gender and human rights principles applied?
3. Intervention outcomes: do they align to relevant principles? How are men and women differently affected?

Critical assessment of evaluation recommendations is important to ensure ESCAP can respond and formulate follow-up action. Evaluation recommendations should be firmly based on evidence and conclusions, clear, relevant, realistic and actionable. The evaluation manager needs to provide feedback to the evaluation team on the quality of the recommendations.

Once the quality check is completed, the evaluation manager compiles all comments received and provides the evaluation team with consolidated comments to the draft report. On the basis of these comments, the evaluation team revises the draft report and submits a second draft to the evaluation manager for verification.

5.3 Use evaluation findings

5.3.1 *Organize a presentation of preliminary evaluation findings*

The evaluation manager is responsible for organizing a presentation of preliminary findings and inviting relevant ESCAP staff and external stakeholders. The draft report should be circulated in advance of the presentation to allow participants to review the report prior to the presentation. It is recommended that the session is organized in two parts:

1. A presentation of the evaluation findings by the evaluation team to be followed by questions and answers; and
2. Internal discussions on the management response and follow-up action plan. This part may involve only the relevant ESCAP staff, including the evaluation manager, reference group and other concerned staff.

The presentation provides the opportunity for a broader audience and stakeholders to understand the preliminary findings and conclusions of the evaluation and offer comments and suggestions for improvement. It also serves as a way of sharing the evaluation results with stakeholders for organizational learning and initiating discussion within ESCAP on the management response and follow-up action plan.

Following the presentation, the evaluation team should revise the draft evaluation report taking into account the comments and suggestions received from participants and submit the final draft report to the evaluation manager for final review. The evaluation manager then seeks agreement from the reference group prior to finalizing and signing-off by the evaluation team of the evaluation report.

5.3.2 Prepare a management response and follow-up action plan

The management response and follow up action plan are formal mechanisms put in place to ensure that ESCAP management responds to evaluation recommendations.

The evaluation manager, with support from the Evaluation Unit/SPMD, develops the management response and follow-up action plan based on the ESCAP standard template (see [Tool 7: Management response and follow up action plan template](#)). The management response is submitted to relevant senior managers and the Executive Secretary of ESCAP for signatures within two months after finalization of the evaluation report. Management responses include:

- **An overall response to the evaluation** from the perspective of management. This can include comments regarding the relevance and usefulness of the results. It may also highlight any differences in opinion with the evaluators while maintaining the independence of the evaluation findings;
- **A response to each individual recommendation**, resulting in either acceptance (full or partial) or rejection of the recommendation. Given the stakeholder participation in the evaluation process, rejection of a recommendation is unlikely. Additional comments may relate to broader implications for ESCAP, in particular with regards to programme and project planning and implementation;
- **Evaluation follow-up actions**, corresponding to accepted recommendations, including completion deadlines and the responsible implementing entity. While actions may be focused on the object of the evaluation, they can also have broader strategic or institutional-level implications. To ensure ownership, and increase utility, stakeholders are consulted during the formulation of follow-up actions.

The final management response is included in the published evaluation report.

5.3.3 Share evaluation findings

The evaluation manager is responsible for preparing the report for publication, including the incorporation of the final management response, the preparation of PDF files of the report, and, if required, overseeing the printing of hard copy reports and commissioning the translation of the executive summary or the entire report.

The final evaluation report, including management response and follow up action plan is disseminated as follows:

- Internally: on [iseek](#) and IMDIS as evidence for accomplishment accounts
- Externally on the [ESCAP website](#)
- To external stakeholders, including Member States and donors;

Reports that are mandated to be submitted to intergovernmental bodies including the Commission and Governing Councils must be correctly formatted, meeting editorial standards for pre-session documents. If the management response is not finalized in time to

be included in the pre-session document, the document should include a foot-note containing a) the date by which the full report will be finalized; and b) information on how to obtain a copy of the report at that time.

The Evaluation Unit also organizes workshops open to all staff which aim to:

- Share experience in managing and conducting evaluations;
- Review lessons learned from different evaluations and identify concrete areas in which such lessons can be applied;
- Highlight key policy and organizations changes or impact resulting from evaluations.

The Evaluation Unit also prepares topical and thematic synthesis reports of evaluation findings and recommendations for wider dissemination among ESCAP management and staff.

The Evaluation Unit also participates in the in-house Quality Assurance Team (QAT) process. The QAT reviews all project proposals prepared by ESCAP staff and provides recommendation for improvement. The Chief, Evaluation Unit is an ex-officio member of QAT responsible for ensuring technical evaluability of proposed projects and use of relevant evaluation findings in the project design.

5.3.4 Tracking and implementation

Evaluation Unit/SPMD is responsible for monitoring the implementation of evaluation follow-up actions by maintaining tracking sheets on the follow-up actions, liaising with PME Focal Points, and preparing a biannual report for the Executive Secretary that includes the status of follow-up actions by each division and office. The biannual report is shared with all ESCAP management and staff.

6. ESCAP Evaluation tools

Tool 1 Preparing for an evaluation

Purpose

Evaluability assessment is undertaken as an initial step in project and evaluation planning to increase the likelihood that an evaluation will provide timely, credible and useful information for decision-making.

Timing

The assessment is best placed at the design stage of the project and subprogramme cycle. If not conducted at that point, it can be used later in the project and subprogramme cycle to prepare for an evaluation.

Roles and responsibilities

The evaluability assessment is undertaken by the Manager of the object of evaluation.

Methodology

- Review of project or subprogramme documentation.
- Interview of the main stakeholders.
- Analysis of the project or subprogramme design

Table 14 identifies the key points that need to be considered in designing an evaluation at ESCAP and serves as the basis for developing the evaluation TOR. For further guidance, please refer to the ESCAP M&E Policy and Guidelines or contact the Evaluation Unit at SPMD.

Table 14 Checklist evaluation preparation

Items	Description	Answer
Purpose of evaluation	<p>Answer why the evaluation is being carried out, whom the evaluation is for, and how the results will be used?</p> <ul style="list-style-type: none"> • Formative, i.e. learning and improvement of planned intervention during the implementation process • Summative, i.e. accountability to demonstrate results of completed intervention and informs decision making about future actions. <p><i>Examples</i></p> <ul style="list-style-type: none"> • Support strategic planning and decision-making at ESCAP. • Strengthen the effectiveness of an ESCAP programme. • Provide information on the results achieved by a programme and draw lessons and recommendations. • Facilitate the Commission’s review of its conference structure. 	
Evaluation objectives	<p>Answer what the evaluation wants to illuminate?</p> <p><i>Examples</i></p> <ul style="list-style-type: none"> • Assess the effectiveness, relevance and efficiency of a subprogramme or certain aspects of a subprogramme. 	

Tool 1: Preparing for an evaluation

	<ul style="list-style-type: none"> To assess the extent to which the design and implementation of a project/programme to into consideration gender or rights-based approach. To assess the need for, and benefits of, establishing a centre as a subsidiary body of the Commission. To identify concrete, action-oriented recommendations for improvement of the programme. 	
Scope of the evaluation	<p>Subject to be evaluated and specific evaluation focus</p> <ul style="list-style-type: none"> Object of evaluation may include: a subprogramme, project, cross-cutting theme, fund, sector, modality, strategy, service, etc. Within the object of evaluation, a specific focus of the evaluation may be defined: partnership arrangement, capacity development approach, implementation strategy, etc <p>Period covered by the evaluation</p> <ul style="list-style-type: none"> Example: the past five years of a subprogramme or related projects completed from 20xx to 20xx <p>Geographical area</p> <ul style="list-style-type: none"> Example: Five LDCs targeted by the project 	
Evaluation criteria & questions	<ul style="list-style-type: none"> See Tool 2: Evaluation criteria and questions 	
Point of reference of the evaluation	<p>Answer what you are evaluating against?</p> <ul style="list-style-type: none"> For subprogrammes and projects, the logical framework can be used as a reference point. For cross-cutting issues, develop an evaluation logical framework as part of TOR, or include it as a task to be performed by the evaluators. See Evaluation Tool 4: Inception report template) 	
Expected outputs of the evaluation	<ul style="list-style-type: none"> Evaluation logical framework and workplan Survey questionnaires and their results Draft and final evaluation reports Presentations (PPT) on the findings and conclusions Evaluation report Dissemination of findings to staff through a workshop 	
Data type and sources	<p>Answer what the data sources are</p> <ul style="list-style-type: none"> Is monitoring data available/has it been collected regularly? Does it relate to indicators? Any baseline data available? Any quantitative data available? Any secondary data available? Is data disaggregated by sex/social groups? Relevant documents (project progress and terminal reports, meeting reports, survey questionnaires, national reports, readership survey, etc.) 	
Data collection methods	<ul style="list-style-type: none"> Survey, interviews, desk research 	
Timeframe	<ul style="list-style-type: none"> Identify the starting date and ending date of the evaluation Determine the actual workdays of the evaluation team 	
Evaluation stakeholders	<ul style="list-style-type: none"> Map out all possible stakeholders and informants of the evaluation 	

Tool 1: Preparing for an evaluation

Evaluation team	<ul style="list-style-type: none"> • What are the criteria for selection of consultants (see ESCAP Evaluation Policy and Guidelines)? • Contact SPMD for ESCAP roster of evaluation consultants 	
Evaluation Reference group	<ul style="list-style-type: none"> • As a standard practice at ESCAP, a reference group will be established to support the evaluation process and ensure an independent and objective evaluative exercise. At least four members, including a senior manager at the level of Deputy Executive Secretary or Director/Head of any division/office, Director of SPMD, Head of Evaluation Unit and a professional staff member from any division/office. An external stakeholder may be invited to the reference group, as appropriate. 	
Budget and staff requirements	<ul style="list-style-type: none"> • What the source of funding for the evaluation? • How much is the budget? • What are staff requirements for the evaluation? 	
Political considerations	<ul style="list-style-type: none"> • What political issues can be anticipated and how to address them? 	

Tool 2 Evaluation criteria and questions

In line with UNEG norms and standards, ESCAP uses the following standard evaluation criteria: effectiveness, relevance, efficiency, sustainability and gender and human rights mainstreaming. As appropriate, additional criteria reflecting UN commitments may be included. In this tool, suggested evaluation questions are provided under each criterion. The questions need to be adapted to the topic and purpose of the evaluation. To manage the size of the evaluation, it is recommended to limit the number of evaluation questions from 3 to 5 under each criterion depending on the budget and scope of the evaluation.

Table 15 Standard evaluation criteria
<p>Effectiveness: The extent to which the objective (of a theme/subprogramme) or outcome (of a project) has been achieved, and resulted in changes and effects, positive and negative, planned and unforeseen, with respect to the target groups. It examines the results framework, processes and contextual factors and determines the results achieved by an intervention. An intervention is considered effective when its activities and outputs produce the desired objective or outcome.</p>
<ul style="list-style-type: none"> • What evidences exist to demonstrate that the intervention (theme/subprogramme/project) has achieved its objective/outcome? What results have been achieved by an intervention? • What were the key factors that contributed to the achievement or non-achievement of objective/outcome? • What evidences exist to demonstrate that the intervention’s outputs were used by the target groups? • What were the key obstacles to the use or application of outputs by the target group? • To what extent did male and female members of the target group apply or utilize the skills and knowledge (outputs) acquired from the intervention? • Did men and women in the target groups find the capacity building activities effective in enhancing their knowledge and skills? • What could have been done better to improve the effectiveness of capacity building activities?
<p>Relevance: The extent to which the objective (of a theme/subprogramme) or outcome¹³ (of a project) is suited to the priorities and policies of the target groups. Relevance assesses the usefulness of activities and outputs delivered to the target group. It also assesses the quality of design, implementation and coherence of an intervention vis-à-vis the specific needs of the target groups.</p>
<ul style="list-style-type: none"> • To what extent has the results of an intervention met the needs of the target groups. • To what extent has the intervention consulted the target group and incorporated their requirements in the design and implementation of an intervention? • How were the needs and requirements of the target groups assessed or identified? • Were the activities and outputs of an intervention aligned with the intended objective/outcome? • Were the needs of male and female stakeholders, and stakeholders from different social groups, assessed during the design and implementation of an intervention?
<p>Efficiency: The extent to which human and financial resources were used in the best possible way to implement activities, deliver outputs and achieve objectives/outcomes. It also assesses the</p>

¹³ **Outcomes** are the likely or achieved short-term and medium-term effects of an intervention's outputs. They can be either intended or unintended, and desired (positive) or un-wanted (negative). They reflect the changes in the behavior or practices of the target group(s) that ESCAP intends to influence, including through actions taken collectively with its development partners. They describe how the target groups use the outputs delivered by the project/subprogramme.

Tool 2: Evaluation criteria and questions

<p>administrative and operational arrangements of implementation and whether the outputs delivered and outcomes achieved justified the cost incurred.</p>
<ul style="list-style-type: none"> • Were the resources (human and financial) effectively utilized to deliver outputs and achieve results? • Did the outcome achieved justify the cost incurred? • Did the activities and outputs overlap or duplicate with similar interventions (funded nationally and/or by other donors)? • Were the activities implemented and outputs delivered on time? How can time management be improved? • To what extent did the intervention involve other partners in the design and implementation of activities? • Were synergies gained from partnership with other organizations resulted in cost-efficiency and savings? • Did the intervention build effective synergies with other existing initiatives? • Can the intervention's objective/outcome be met in a more efficient way?
<p>Sustainability: The likelihood that the benefits or results of the subprogramme, theme or project will continue in the future.</p>
<ul style="list-style-type: none"> • To what extent can results of a programme/project be continued without ESCAP's further involvement? • To what extent are the outcomes replicable? • Are the benefits of the intervention different for men and women? How? What effect is that likely to have on sustainability? • To what extent has support from other stakeholders, UN partners, donors or other multilateral or national partners been obtained to take forward project outcomes?
<p>Gender and human rights mainstreaming: Gender and human rights mainstreaming are key strategies of UN-supported analysis and strategic planning. This criterion assesses the extent to which gender considerations have been incorporated in the design and implementation of the intervention.</p>
<ul style="list-style-type: none"> • To what extent were gender and the HRBA integrated into the design and implementation of the intervention? • To what extent did men and women and other social groups participate in the implementation of the intervention as implementers and stakeholders? • Has the implementation collected data disaggregated by sex and other social categories? • To what extent does the intervention regularly and meaningfully report on gender and human rights concerns in reporting documents? • How were men and women, and other social groups, differently affected by the subprogramme/ project outcomes?
<p>Additional evaluation criteria reflecting United Nations commitments</p>
<p>UN Coherence: Extent to which different UN agencies and other development partners operate in a coordinated and coherent way in the design and implementation of the subject of the evaluation. This could include utilization of structures in support of regional coordination such as the RCM and its Thematic Working Groups (TWG) and ensuring coherent approaches with UN Country Teams.</p>
<ul style="list-style-type: none"> • To what extent were UN agencies involved in the design and implementation of the intervention? • To what extent do activities under evaluation promote partnership with other UN agencies? • What was the effect or result of coordinated efforts?
<p>Partnerships: The extent to which key stakeholders have been identified to be partners in the planning and delivery of a programme or intervention.</p>
<ul style="list-style-type: none"> • To what extent was a stakeholder analysis completed and utilized to ensure partnership development in the design phase of the programme/project?

Tool 2: Evaluation criteria and questions

- To what extent was duplication of services avoided due to the development of effective partnerships?

Aid Effectiveness: In the context of the Paris declaration and the Accra Agenda for Action (AAA) this refers to the streamlining and harmonization of operational practices surrounding aid delivery to developing countries to ensure enhanced aid effectiveness.

- To what extent were the governments involved in the planning and implementation of the project?
- To what extent do project stakeholders feel that their project was driven by the National Government and or other stakeholders?
- To what extent were the efforts of similar projects coordinated?

Environmental sustainability: Extent to which environmental sustainability considerations have been incorporated in the design and implementation of the subject of the evaluation.

- To what extent was environmental sustainability integrated into the design and implementation of the intervention?
- To what extent is the sustainability of environmental concerns assured?

Tool 3 Terms of reference template



Terms of Reference for the [Title of the Evaluation]

Draft/Final: [Month, year]

Prepared by:
Division/Office, ESCAP

1. BACKGROUND

This is the terms of reference of the evaluation of the (subject under evaluation) that is to be conducted from (month/year) to (month/year).

[Describe the background of the evaluation and the programmatic, organizational and governance environment in which the evaluation is undertaken (e.g. organizational changes, new management arrangement, new funding sources, new mandate, etc.). Outline relevant international norms and standards to the intervention being evaluated, including gender and human rights.]

2. PURPOSE, OBJECTIVES AND SCOPE

2.1 Purpose

The purpose of the evaluation is to....

[This section should address:

- Who is the evaluation going to be used by? Is it for a donor or member State? Is it for ESCAP management and staff?
- Why is the evaluation being carried out? What triggered the evaluation (resolution, policy, donor request)? Is there a specific reason for choosing the timing of the evaluation?
- How will the evaluation results be used? By being clear upfront how the results will be used the evaluation manager can generate trust amongst all parties involved.]

2.2 Objectives and scope

[The objectives clarify what will be evaluated and frame the evaluation criteria and questions.]

The objectives of the evaluation are to:

- 1) Determine the level of achievement of both expected and unexpected results (output and outcome) by examining the results chain, processes and contextual factors;
- 2) Assess the performance an intervention against evaluation criteria: effectiveness, relevance, efficiency, sustainability and gender and human rights mainstreaming;
- 3) Formulate specific and action-oriented recommendations to inform management decision-making and improve future project/programme design and implementation.

The evaluation will cover [the object of evaluation] from [starting period] to [end period] and selected target countries (define geographical coverage).

Tool 3: Terms of reference template

The following evaluation criteria and evaluation questions to assess the results of an intervention will be addressed:

Evaluation criteria	Evaluation questions
Effectiveness	The extent to which the objective (of a theme/subprogramme) or outcome (of a project) has been achieved, and resulted in changes and effects, positive and negative, planned and unforeseen, with respect to the target groups. It examines the results framework, processes and contextual factors and determines the results achieved by an intervention. An intervention is considered effective when its activities and outputs produce the desired objective or outcome.
Relevance	The extent to which the objective (of a theme/subprogramme) or outcome ¹⁴ (of a project) is suited to the priorities and policies of the target groups. Relevance assesses the usefulness of activities and outputs delivered to the target group. It also assesses the quality of design, implementation and coherence of an intervention vis-à-vis the specific needs of the target groups.
Efficiency	The extent to which human and financial resources were used in the best possible way to implement activities, deliver outputs and achieve objectives/outcomes. It assesses the administrative and operational arrangements of implementation and whether the outputs delivered and outcomes achieved justified the cost incurred.
Sustainability	The likelihood that the benefits of the subprogramme, theme or project will continue in the future.
Gender and human rights mainstreaming	Gender and human rights mainstreaming are key strategies of UN-supported analysis and strategic planning. This criterion assesses the extent to which gender considerations have been incorporated in the design and implementation of the intervention.

It is recommended that the number of questions per criterion be limited from 3 to 5 maximum depending on the size of the project budget and scope of the evaluation.]

3. METHODOLOGY

[Describe the overall methodological plan and design of the evaluation. The methodology is likely to be quasi- or non-experimental. The methodology selected will inform data collection needs and methods. It is recommended to use both qualitative and quantitative data to enable triangulation and evidence based findings that show logical linkages between data sources, data collection methods and data analysis methods.]

3.1 Methodological approach

The evaluation team clearly states the overall methodological approach and design for the evaluation and justifies that approach.

¹⁴ **Outcomes** are the likely or achieved short-term and medium-term effects of an intervention's outputs. They can be either intended or unintended, and desired (positive) or un-wanted (negative). They reflect the changes in the behavior or practices of the target group(s) that ESCAP intends to influence, including through actions taken collectively with its development partners. They describe how the target groups use the outputs delivered by the project/subprogramme.

3.2 Data collection

The evaluation team is expected to produce evidence-based data and utilize appropriate, ethical data collection methods and analysis. Data will be disaggregated by sex and other relevant social categories. The team will undertake a transparent and participatory evaluation process that will involve male and female stakeholders identified in the stakeholder analysis, including: the reference group, development partners and target beneficiaries in all key evaluation tasks.

Data collection will include but not be limited to the following:

1. A desk review of relevant documents, including the programme/project document, progress and terminal reports, activity reports, results of survey questionnaires, relevant official correspondences with stakeholders, any strategic documents related to the project/programme, etc.;
2. Missions to ESCAP in Bangkok to conduct face-to-face key-informant interviews/focus group discussions with male and female stakeholders;
3. An on-line survey to relevant male and female stakeholders and other relevant groups;
4. Follow-up telephone interviews as may be required to clarify responses provided through the on-line questionnaire;
5. Visits to the participating countries to collect data through interviews and consultations with male and female project/programme beneficiaries and partners subject to the availability of funds.

3.3 Data analysis

In analyzing the data, the team will use qualitative and quantitative approaches, and provide charts and direct quotations. Using the data to assess evaluation against the selected criteria. Gender and human rights mainstreaming are essential components of data analysis in all ESCAP evaluations and take place on three levels: 1) intervention design; 2) intervention conduct; 3) intervention outcomes. Data analysis will enable useful, evidence based findings, the conclusions and recommendations.

4.4 Limitations

The limitations of the evaluations include:

[See Tool 8: Common evaluation limitations for more guidance]

4. GENDER AND HUMAN RIGHTS MAINTREAMING APPROACH

[Explain how the evaluation will incorporate the gender mainstreaming and human rights based approach. Discuss 1) evaluation approach and data collection and analysis methods (e.g. data disaggregated by sex is required as well as data disaggregated by other relevant social categories; participation of women and men in evaluation team and data collection); 2) gender and human rights analysis is required on intervention design, conduct and outcomes; and 3) use gender sensitive language (see Tool 9: Mainstreaming gender and human rights for further information).]

5. ROLES AND RESPONSIBILITIES

5.1 Evaluation manager

Tool 3: Terms of reference template

The evaluation will be directly managed by the [Evaluation Unit, SPMD or substantive division].

5.2 Reference group

ESCAP uses an evaluation reference group to enhance stakeholder participation. Participants are selected by the evaluation manager and can include stakeholders and peers, internal and external to the intervention and ESCAP. The group should be gender balanced and have an appropriate mix of skills and perspectives. It provides technical and methodological guidance to the evaluation process; reviews and approves the selection of the consultant, terms of reference and inception report; provides quality control of the evaluation report and validation of recommendations; and ensures adherence to ESCAP Evaluation Policy and Guidelines and the use of evaluation outputs, including the formulation of the evaluation management response and follow-up action plan.

5.3 Evaluation team

The evaluation team will assume overall responsibility for carrying out the evaluation. This includes, among other activities, managing the work, ensuring the quality of interviews and data collection, preparing the draft report, presenting the draft report and producing the final report after comments have been received in line with standard templates provided by ESCAP. Evaluators must have:

- Knowledge of the United Nations System; principles, values, goals and approaches, including human rights, gender equality, cultural values, the Sustainable Development Goals and results-based management;
- Professional and technical experience in evaluation (application of evaluation norms, standards and ethical guidelines and the relevant organizational evaluation policy and promotion of evaluation and evidence based learning).¹⁵
- They should also have a good technical knowledge in the Asia-Pacific region, including major development trends and issues, particularly in the areas of [insert relevant sectoral areas];

ESCAP adheres to the UNEG [Ethical Guidelines](#) and [Code of Conduct](#) in evaluation and all staff and consultants engaged in evaluation are required to uphold these standards. To this end, ESCAP has developed a Consultants Agreement form that evaluators are required to sign as part of the contracting process.

6. OUTPUTS

The following outputs will be delivered to the project manager at ESCAP secretariat:

1. Inception report detailing the approach of the evaluator, workplan and evaluation logical framework (see Annex 1)
2. Results of data collection exercise
3. First draft of evaluation report (see Annex 2)
4. Presentation (ppt) on findings, conclusions and recommendations
5. Final evaluation report

¹⁵ See Standard 3.1. Competencies, UNEG. 2016. *Norms and standards for evaluation*.

Tool 3: Terms of reference template

6. An ESCAP evaluation brief

The draft evaluation report will be shared with key stakeholders prior to finalization. The final report, which will include a management response from the Executive Secretary of ESCAP, will be submitted to the [donor] in the correct format. The final evaluation report will also be circulated within the ESCAP secretariat and posted on ESCAP's public website.

7. WORKPLAN

The evaluation will commence in [month/year] and requires an estimated 21 work-days to complete. The evaluation budget includes a consultancy fee for the evaluation team to be determined based on professional qualifications and duration of contract plus the cost of airfares and daily subsistence allowance.

TASKS	Schedule
Preliminary consultations and desk review	2-4 Nov
Develop an inception report, including an evaluation plan	
Data collection, including mission to Bangkok, survey questionnaires, interviews with stakeholders	
Prepare a draft evaluation report and obtain preliminary feedback from the evaluation reference group	
Presentation of preliminary findings to ESCAP and key stakeholders	
Incorporate final comments and finalize the evaluation report	
TOTAL	

ANNEXES

Annex 1. Contents of the inception report

This report sets out the conceptual framework to be used in an evaluation and details the evaluation methodology, including the evaluation criteria and questions, indicators, method of data collection and analysis, gender mainstreaming approach and risk and limitations. It allows the evaluation team to clarify their understanding of what is being evaluated and why and to present their preliminary findings based on initial review of documents and consultation with the evaluation reference group and other stakeholders.

CONTENT	PAGES (estimate)	COMMENTS
Title page	1	<ul style="list-style-type: none"> Title, date of publication Names of the evaluators
1. Introduction	1-2	<ul style="list-style-type: none"> Background and context Purpose and scope of the evaluation
2. Methodology	3-6	<ul style="list-style-type: none"> Evaluation criteria and questions Indicators Methods of data collection and data analysis Gender and human rights mainstreaming approach Risk and limitations
3. Preliminary findings	1-2	<ul style="list-style-type: none"> Elaborate on the results of the desk study and other preparatory work carried out to this point
4. Workplan	1	<ul style="list-style-type: none"> Develop a timeline which shows the evaluation phases
5. Outputs to be delivered	1	<ul style="list-style-type: none"> Outputs to be delivered
Annexes	6-10	<ul style="list-style-type: none"> Evaluation logical framework based on an ESCAP template Evaluation terms of reference List of documents reviewed Proposed template for questionnaires (if applicable)

Annex II. Contents of the evaluation report

The evaluation report should follow the structure as outlined in the table below [amend subheadings and number of pages as required]

CONTENT	PAGES (estimate)	COMMENTS
Title page	1	Title, date of publication Names of the evaluators Name of ESCAP or division that commissioned the evaluation
Acknowledgments	1	Prepared by the evaluation team
Table of contents	1	List of chapters, sections and annexes
List of acronyms	1-2	In alphabetical order; these are written out in full the first time they are used in the report
Management response	1-3	General response Response to individual recommendations
Executive summary	1-3	Background of the evaluation (one paragraph) Purpose and scope (one paragraph) Methodology (one paragraph) Main conclusions (one-sentence conclusions with brief explanation if needed) Recommendations (one-sentence recommendations) Other comments or concluding sentence
1. Background, purpose and scope of the evaluation	1-3	1.1 Background of the evaluation and the topic being evaluated 1.2 Purpose, objectives and scope
2. Object of evaluation description and context	1	Describe object of evaluation – location, target group, budget, timing, relevant norms standards and conventions Goals, objectives of intervention Results of intervention to date
3. Methodology	1-3	3.1 Description of methodology: activities, timeframe, changes compared to TOR, and reasons for selecting sample reports, countries, sites, case studies, and interviewees 3.2 Limitations: limitations of the methodology and scope and problems encountered
4. Findings	Varying length	4.1 Overview: supporting information for the performance assessment 4.2 Performance assessment: assessment against relevant evaluation criteria (effectiveness, relevance, efficiency, sustainability, gender and human rights mainstreaming) 4.3 Other assessment: assessment against relevant additional criteria
5. Conclusions	1-4	Main conclusions, both positive and negative, of the evaluation that follow logically from the findings Ratings table with ratings for standard evaluation and additional criteria and a brief justification (optional)
6. Recommendations	1-4	Recommendations based on the conclusions. Can be addressed to ESCAP management, staff, donors and other relevant stakeholders
7. Lessons learnt	1.3	Lessons learnt based on the findings and conclusions.
Annexes		I. Management response (to be completed by ESCAP) II. Terms of reference III. List of documents reviewed IV. List of interviewees V. Data tables and analysis Other annexes as required

Annex III. Quality criteria used to review evaluation reports

The draft and final evaluation reports will be assessed against these quality criteria.

Evaluation title:	
Lead division	
Report content	The report is structured logically and is well written
<input checked="" type="checkbox"/>	<ul style="list-style-type: none"> • The report follows the table of contents outlined in the TOR and includes the relevant annexes • The executive summary is 1-2 pages and highlights the key findings, conclusions and recommendations • The report uses consistent grammar and spelling in line with UN rules, written in good English and is easy to read. • Main messages are clearly distinguished from the text
Purpose, objectives, scope	The report meets the purpose, objectives and scope of the evaluation as stated in the TOR
<input checked="" type="checkbox"/>	<ul style="list-style-type: none"> • The report gives a clear description of the object of evaluation. The expected results chain is clearly outlined. Key stakeholders are listed. • The report clearly explains the evaluation's purpose, objectives and scope, including main evaluation questions, and limitations • The report describes and explains the chosen evaluation criteria • Evaluation objectives and scope address gender and human rights
Evaluation method	The evaluation methodology and its application are explained clearly
<input checked="" type="checkbox"/>	<ul style="list-style-type: none"> • The evaluation methodology is clearly explained and has been applied throughout the evaluation process • The report describes data collection methods and analysis • The report describes the stakeholder consultation process • Methods are appropriate for effective gender and human rights analysis • Amendments to the methodology identified in the inception report are clearly explained • The limitations of the evaluation methodology and their implications for the validity of the findings and conclusions have been clearly explained
Findings	The findings and conclusions are credible
<input checked="" type="checkbox"/>	<ul style="list-style-type: none"> • Findings respond to the evaluation criteria and questions detailed in the scope and objectives section of the report • Findings are based on evidence gathered in data collection using methodology identified in the report • Findings are based on rigorous analysis, are evidence based and objective • Findings are adequately substantiated, balanced and reliable • The relative contributions of stakeholders to the results are explained
Conclusions	Conclusions are relevant, evidence based and insightful
<input checked="" type="checkbox"/>	<ul style="list-style-type: none"> • The conclusions derive from the findings and are evidence based • Conclusions relate to the purpose and key questions of the evaluation • Conclusions are logically connected to evaluation findings
Recommendations	The recommendations are useful

Tool 3: Terms of reference template

<input checked="" type="checkbox"/>	<ul style="list-style-type: none"> • The recommendations are clear and follow logically from the evidence, findings and conclusions • Recommendations are realistic, concrete and actionable within a reasonable timeframe • Recommendations for ESCAP should be clearly within ESCAP's mandate
Gender human rights	Gender and human rights principles are mainstreamed
<input checked="" type="checkbox"/>	<ul style="list-style-type: none"> • The report discusses the extent to which the intervention integrates gender equality and human rights perspectives in: intervention design, implementation and outcomes. • The evaluator collects and analyses data disaggregated by sex and other social groups. • Findings, conclusions, recommendations and lessons learnt provide information on gender equality and human rights • The report uses gender sensitive and human rights based language.

Annex IV: Evaluation Consultants Agreement Form

Evaluation Consultants Agreement Form UNEG Code of Conduct for Evaluation in the UN System

To be signed by all consultants as individuals (not by or on behalf of a consultancy company) before a contract can be issued. This is an agreement to abide by the [Code of Conduct for Evaluation in the UN System](#).¹⁶

Name of Consultant:

Name of Consultancy Organization (where relevant):

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at (place) on (date)

¹⁶ <http://www.unevaluation.org/document/detail/100>

Tool 4 Inception report template



Evaluation Inception Report for the [Title of the Evaluation]

Draft/Final: [Month, year]

Prepared by:
[Name of consultant]

1. INTRODUCTION

1.1 Background and context

[Describe the background and context of the subject being evaluated (project/subprogramme), including context, objective, implementation strategy, partnership, key activities, timeframe and resources. Outline relevant international norms and standards to the intervention being evaluated, including gender and human rights.]

1.2 Purpose and scope of the evaluation

[In line with the TOR and any updates following consultations with the evaluation reference group, describe the purpose, objectives and scope (geographical coverage/timeframe) of the evaluation.]

2. METHODOLOGY

2.1 Evaluation criteria and questions

[The evaluation TOR already provides a set of evaluation criteria and questions. They are not to be regarded as exhaustive and are meant to guide the evaluation team in finding an appropriate evaluation methodology and structure the evaluation to achieve its objectives. Consequently, the section presents the proposed final evaluation criteria and questions following initial review of the documentations and consultants with the reference group and selected stakeholders]

2.2 Indicators

[Usually the project/subprogramme document provides a set of Indicators. If feasible, develop new indicators or specify already existing indicators for the evaluation questions. Please make sure that all indicators match the SMART criteria (specific, measurable, achievable, relevant, time bound)].

2.3 Methods of data collection and data analysis

[Introduce all data collection methods you plan to use in the field (e.g. questionnaires, surveys, interviews, direct observation). Methods that will assess the counterfactual should be preferred where possible. In your elaboration, group methods to the evaluation questions they address. Further explain how you plan to triangulate the data. As a final step, introduce the methods of data analysis that will be applied when processing the obtained data sets.]

2.4 Gender and human rights mainstreaming approach

[Explain how the evaluation will incorporate the gender perspective and human rights based approach. Discuss 1) evaluation approach and data collection and analysis methods (e.g. data disaggregated by sex and other relevant social groups is required; participation of women and men in evaluation team and data collection); 2) analysis of gender and human rights mainstreaming is required on intervention design, conduct and outcomes; and 3) use gender and human rights sensitive language.]

a. Risk and limitations

[Present and give reasons for risks and limitations of the evaluation based on the proposed methodology and the information obtained and analyzed so far. Make efforts to deduce the consequences for and anticipated shortcomings of the Final Evaluation Report from these risks and limitations and make adjustments if necessary.]

3. PRELIMINARY FINDINGS

[Elaborate on the results of the desk study and other preparatory work carried out to this point. Where possible, present the findings in context of the presented evaluation methodology.]

4. WORKPLAN

[Develop a timeline which shows the evaluation phases (data collection, data analysis, and reporting) with key deliverables. Amendments to Evaluation TOR timeline must be justified. Outline evaluation team composition and the distribution of duties and responsibilities. Provide a short report on how far the work of the evaluator/evaluation team has proceeded according to the proposed timeframe. Summarize the work plan as per below matrix.]

TASKS	Schedule	Status
Data collection, including mission to Bangkok, survey questionnaires, interviews with stakeholders		
Prepare a draft evaluation report and obtain preliminary feedback from the evaluation reference group		
Presentation of preliminary findings to ESCAP and key stakeholders		
Incorporate final comments and finalize the evaluation report		
TOTAL		

5. OUTPUTS TO BE DELIVERED

[In line with the TOR, list all evaluation outputs to be delivered]

ANNEXES

1. Evaluation logical framework
2. Terms of reference
3. List of documents reviewed
4. Proposed template for questionnaires (if applicable)

ANNEX 1: EVALUATION LOGICAL FRAMEWORK

Criteria	Questions	Indicators	Source of information	Methods	Risk and limitations
Effectiveness	<ul style="list-style-type: none"> To what extent have the project's planned outputs and outcomes been achieved? How effective was the project in building the capacity of policy-makers? 	<ul style="list-style-type: none"> # of participants Change in knowledge or awareness on green growth Website activity 	<ul style="list-style-type: none"> Project reports Programme/ Project Participants 	<ul style="list-style-type: none"> Review forum and capacity building programme reports Interviews with participants Before/ After survey comparison 	<ul style="list-style-type: none"> Data gathered from baseline regarding the level of knowledge or awareness of participants Availability of reports Willingness to participate
Relevance	<ul style="list-style-type: none"> Did the stakeholders find the objectives and outcomes relevant to their priorities and requirements? To what extent has the intervention consulted the target member States or groups and incorporated their priorities and requirements in the design and implementation of activities 	<ul style="list-style-type: none"> # of countries providing evidences that the project outputs were used Proportion of project stakeholders indicating that the project outputs and activities were useful 	<ul style="list-style-type: none"> All stakeholders 	<ul style="list-style-type: none"> Interviews Survey 	<ul style="list-style-type: none"> Representative sample of stakeholders are available for interviews Acceptable response rate of survey Contact information of stakeholders are available
Efficiency	<ul style="list-style-type: none"> To what extent were human and financial resources used in the best possible way to efficiently deliver activities and outputs, in coordination with the stakeholders 	<ul style="list-style-type: none"> # of similar projects/ activities of stakeholders and/or external partners Cost vs. benefit # and type of alternative projects 	<ul style="list-style-type: none"> Budget reports Participating countries/ Stakeholders Document review 	<ul style="list-style-type: none"> Survey Cost/benefit analysis Content analysis of alternative projects 	<ul style="list-style-type: none"> Accessibility of reports Time and resources to conduct High/low response rate

Tool 4: Inception report template

Criteria	Questions	Indicators	Source of information	Methods	Risk and limitations
	<ul style="list-style-type: none"> • How was the project managed in terms of timeliness? • To what extent did the project involve target beneficiaries and partners in the project planning and implementation process? 				
Sustainability	<ul style="list-style-type: none"> • What is the likelihood that the project outputs will be sustained within the participating countries? 	<ul style="list-style-type: none"> • # of institutions implementing green growth policies • # of institutions allocated funds • # of participants who have committed time/ indirect resources 	<ul style="list-style-type: none"> • Participating country policy reports • Stakeholders/ participants • Participating countries budget • External partners • Media 	<ul style="list-style-type: none"> • Interviews • Document review • Focus groups • Media article review 	<ul style="list-style-type: none"> • Sustained efforts in this programme area will result in benefits (as opposed to an alternative approach) • Participating countries are willing to provide this information
Gender and human-rights based approach	<ul style="list-style-type: none"> • To what extent was gender integrated into the design and implementation of the project? 	<ul style="list-style-type: none"> • # of institutions implementing green growth policies • # of institutions allocated funds • # of participants who have committed time/ indirect resources 	<ul style="list-style-type: none"> • Participating country policy reports • Stakeholders/ participants • Participating countries budget • External partners • Media 	<ul style="list-style-type: none"> • Interviews • Document review • Focus groups • Media article review 	<ul style="list-style-type: none"> • Sustained efforts in this programme area will result in benefits (as opposed to an alternative approach) • Participating countries are willing to provide this information

Tool 5 Evaluation report template

[Title of the Evaluation]

DRAFT / FINAL DRAFT / FINAL

[Month, year]

Evaluators:

[Name of evaluators starting with the lead evaluator]

Commissioned by:

ESCAP / Division

Web page address where report can be found electronically

<http://www.unescap.org/partners/monitoring-and-evaluation/evaluation/reports>

ACKNOWLEDGMENTS

[Insert acknowledgments if appropriate, no more than 1 page]

[Month, year]

[Names of all evaluators]

CONTENTS

LIST OF ACRONYMS

ESCAP United Nations Economic and Social Commission for Asia and the Pacific

MANAGEMENT RESPONSE

[This section provides the response by ESCAP management to the evaluation and includes a response to the overall evaluation and to the specific recommendations made. The management response that includes the follow-up action plan will be included as an annex to the evaluation report. To ensure that recommendations that have been accepted by the ESCAP management are acted upon, an evaluation follow-up action plan with responsible units and expected completion dates is submitted separately to SPMD (See [Tool 7: Management response and follow-up action plan template](#)).]

Management response to the evaluation

[To be inserted by ESCAP management after the content of the evaluation report is finalized]

Management response to recommendations

[To be inserted by ESCAP management after the content of the evaluation report is finalized]

RECOMMENDATIONS	MANAGEMENT RESPONSE
1.	
2.	
Etc.	

EXECUTIVE SUMMARY

[Note: the executive summary should ideally be 1-2 pages and not longer than 3 pages]

[Intro sentence: This report details the findings of the evaluation of (subject) that was conducted between (month - month, year)]

[One sentence / paragraph background or context of the subject under evaluation]

[One sentence / paragraph description of the evaluation purpose and scope]

[One sentence / paragraph description of the methodology]

[Main conclusions of the evaluation, as listed in the conclusion chapter of the report - an explanatory sentence or paragraph may be included if required]

[Main recommendations of the evaluation, as listed in the recommendations chapter of the report - an explanatory sentence or paragraph may be included if required]

[Other comments or concluding sentence as appropriate]

1. INTRODUCTION

[Intro sentence: This chapter describes the background of the evaluation, and the evaluation purpose, objectives, outputs and scope, as outlined in the terms of reference (TOR) of this evaluation].

1.1 Background of the evaluation

[Intro sentence: this is the draft/final draft/final report of the evaluation of (subject) that was conducted between (month – month, year)].

[The evaluation was conducted by (name evaluators and their relation to ESCAP, e.g. independent consultants)]

[Brief background to the subject under evaluation with outline of relevant international norms and standards to the object of evaluation, including gender and human rights – for details refer to annexes if required]

1.2 Purpose, objectives and scope

[The purpose of the evaluation as outlined in the TOR]

[The evaluation objectives are to:

- Objective 1
- Etc, as outlined in the TOR]

[Describe the dissemination of the evaluation report, e.g.: The evaluation report will be printed in hard copy for dissemination within ESCAP and to the donor, and published on [ESCAP's website](#)]

2. OBJECT OF EVALUATION DESCRIPTION AND CONTEXT

[The purpose of the evaluation as outlined in the TOR]

- Describe object of evaluation – location, target group, budget, timing
- Goals, objectives of intervention

- Results of intervention to date

[Identify relevant norms, standards and conventions to the intervention being evaluated. . .]

3. METHODOLOGY

[Intro sentence: This chapter describes the implemented evaluation methodology and limitations of the evaluation].

3.1 Methodology

[Description of methodology, covering, for example:

- Selection of methodological approach and justification
- Data collection methods and timeframe
- Reasons for selecting sample reports, countries, sites, case studies, and interviewed stakeholders as a representation of the topic being evaluated
- Explanation of gender mainstreaming and human rights based approach incorporated into methodology
- Changes to the methodology compared to the TOR]

3.2 Limitations

[Description of the limitations of the evaluation and problems encountered during the evaluation, presented in bullet format]

[Describe the overall implications for the validity of the evaluation findings]

4. FINDINGS

[Introductory sentence: This chapter provides the findings of the evaluation in accordance with the evaluation criteria and questions. . .

Contents: findings are based on well explained data analysis.]

4.1 Overview

[This purpose of this section is to provide supporting information for the performance assessment. This section is only to be included if required and the heading title may be amended. An example is the description of the results framework and implementation process of a project, programme or modality]

4.2 Performance assessment

[Delete / insert subsections as applicable]

4.2.1 Effectiveness

[Introductory sentence, amend as required: The assessment against the effectiveness criterion refers to the extent to which the objective (of a theme/subprogramme) or outcome (of a

project) has been achieved, and resulted in changes and effects, positive and negative, planned and unforeseen, with respect to the target groups. It examines the results framework, processes and contextual factors and determines the results achieved by an intervention. An intervention is considered effective when its activities and outputs produce the desired objective or outcome.]

[Description of findings - how do the findings answer the evaluation questions?]

4.2.1 Relevance

[Introductory sentence, amend as required: The assessment against the relevance criterion refers to the extent to which the objective (of a theme/subprogramme) or outcome¹⁷ (of a project) is suited to the priorities and policies of the target groups. Relevance assesses the usefulness of activities and outputs delivered to the target group. It also assesses the quality of design, implementation and coherence of an intervention vis-à-vis the specific needs of the target groups.]

[Description of findings - how do the findings answer the evaluation questions?]

4.2.2 Efficiency

[Introductory sentence, amend as required: The assessment against the efficiency criterion refers to the extent to which human and financial resources were used in the best possible way to implement activities, deliver outputs and achieve objectives/outcomes. It assesses the administrative and operational arrangements of implementation and whether the outputs delivered and outcomes achieved justified the cost incurred.]

[Description of findings - how do the findings answer the evaluation questions?]

4.2.4 Sustainability

[Introductory sentence, amend as required: The assessment against the sustainability criterion refers to the likelihood that the positive outcomes of the [intervention] will continue in the future.]

[Description of findings - how do the findings answer the evaluation questions?]

4.2.5 Gender and human rights mainstreaming

[Introductory sentence, amend as required: The assessment against the gender and human rights mainstreaming criterion refers to the extent to which gender and human rights

¹⁷ **Outcomes** are the likely or achieved short-term and medium-term effects of an intervention's outputs. They can be either intended or unintended, and desired (positive) or un-wanted (negative). They reflect the changes in the behavior or practices of the target group(s) that ESCAP intends to influence, including through actions taken collectively with its development partners. They describe how the target groups use the outputs delivered by the project/subprogramme.

Tool 5: Evaluation report template Evaluation title- Draft/Final draft/Final month, year

considerations have been incorporated in the design, implementation and outcomes of the subject of the evaluation.]

[Description of findings - how do the findings answer the evaluation questions?]

4.3 Other assessments

[Delete / insert subsections as applicable]

4.3.1 UN System Coherence

[Introductory sentence, amend as required: The assessment against the 'UN system coherence' criterion refers to the extent to which different UN agencies and other development partners have been involved in the design and implementation of the subject of the evaluation.]

[Description of findings - how do the findings answer the evaluation questions?]

4.3.3 Environmental sustainability

[Introductory sentence, amend as required: The assessment against the environmental criterion refers to the Extent to which environmental sustainability considerations have been incorporated in the design and implementation of the subject of the evaluation.]

[Description of findings - how do the findings answer the evaluation questions?]

5. CONCLUSIONS

[Introductory sentence: This chapter provides the conclusions of the evaluation, based on the data analysis, including general conclusions and conclusions relating to the specific performance and other criteria]

[Introductory sentence to the main conclusions: The main conclusions are as follows:]

[One sentence conclusion]

[One sentence / paragraph description]

[One sentence conclusion]

[One sentence / paragraph description]

Etc.

6. RECOMMENDATIONS

[Intro sentence: This chapter provides recommendations based on the conclusions of the evaluation]

Tool 5: Evaluation report template Evaluation title- Draft/Final draft/Final month, year

[Provide one-sentence numbered recommendations, followed by a brief explanation. Recommendations should be concrete and action-oriented. It is also possible to provide more specific actionable recommendations underneath each general recommendation]

[Recommendation 1: [one sentence recommendation]

[One sentence / paragraph description or more specific recommendations]

[Recommendation 2: [one sentence recommendation]

[One sentence / paragraph description or more specific recommendations]

Etc.

7. LESSONS LEARNT

[Intro sentence: This chapter provides lessons learnt based on the findings of the evaluation]

[Provide one-sentence numbered lessons learnt, followed by a short explanation. Lessons learnt should be concrete and action-oriented.]

[Lesson Learnt 1: [one sentence]

[One sentence / paragraph description]

[Lesson Learnt 2: [one sentence]

[One sentence / paragraph description]

Etc.

ANNEXES

Annex I. Management Response

Annex II. Terms of Reference

Annex III. List of Documents Reviewed

Annex IV. List of Interviewees

Annex V. Data tables and analysis

Annex V. Etc.

Tool 6 Quality checklist for evaluation report

Evaluation title:		
Name of reviewer:		Reviewer's comments
Report content	The report is structured logically and is well written	
<input checked="" type="checkbox"/>	<ul style="list-style-type: none"> • The report follows the table of contents outlined in the TOR and includes the relevant annexes • The executive summary is 1-2 pages and highlights the key findings, conclusions and recommendations • The report uses consistent grammar and spelling in line with UN rules and written in good English and is easy to read • Main messages are clearly distinguished from the text 	
Purpose, objectives & scope	The report meets the purpose, objectives scope of the evaluation as stated in the TOR	
<input checked="" type="checkbox"/>	<ul style="list-style-type: none"> • The report gives a clear description of the object of evaluation. The expected results chain is clearly outlined. Key stakeholders are listed. • The report clearly explains the evaluation's purpose, objectives and scope, including main evaluation questions, and limitations • The report describes and explains the chosen evaluation criteria • Evaluation objectives and scope address gender and human rights 	
Evaluation method	The evaluation methodology and its application are explained clearly	
<input checked="" type="checkbox"/>	<ul style="list-style-type: none"> • The evaluation methodology is clearly explained and has been applied throughout the evaluation process • The report describes data collection methods and analysis • The report describes the stakeholder consultation process • Methods are appropriate for effective gender and human rights analysis • Amendments to the methodology identified in the inception report are clearly explained • The limitations of the evaluation methodology and their implications for the validity of the findings and conclusions have been clearly explained 	
Findings	The findings and conclusions are credible	

Tool 6: Quality checklist for evaluation report

<input checked="" type="checkbox"/>	<ul style="list-style-type: none"> • Findings respond to the evaluation criteria and questions detailed in the scope and objectives section of the report • Findings are based on evidence gathered in data collection using methodology identified in the report • Findings are based on rigorous analysis, are evidence based and objective • Findings are adequately substantiated, balanced and reliable • The relative contributions of stakeholders to the results are explained 	
Conclusions	Conclusions are relevant, evidence based and insightful	
<input checked="" type="checkbox"/>	<ul style="list-style-type: none"> • The conclusions derive from the findings and are evidence based • Conclusions relate to the purpose and key questions of the evaluation • Conclusions are logically connected to evaluation findings 	
Recommendations	The recommendations are useful	
<input checked="" type="checkbox"/>	<ul style="list-style-type: none"> • The recommendations are clear and follow logically from the evidence, findings and conclusions • Recommendations are realistic, concrete and actionable within a reasonable timeframe • Recommendations for ESCAP should be clearly within ESCAP's mandate 	
Gender human rights	Gender and human rights principles are mainstreamed	
<input checked="" type="checkbox"/>	<ul style="list-style-type: none"> • The report discusses the extent to which the intervention integrates gender equality and human rights perspectives in: intervention design, implementation and outcomes. • The evaluator collects and analyses data disaggregated by sex and other social groups. • Findings, conclusions, recommendations and lessons learnt provide information on gender equality and human rights • The report uses gender sensitive and human rights based language. 	

Tool 7 Management response and follow up action plan template

The Management response and follow-up action template is included as an annex to the evaluation report. The detailed follow-up action plan with responsible units and expected completion dates should be submitted to SPMD.

Publication of the management response is required as an insert at the beginning of the evaluation report, however responsible units, expected completion date and indicator of completion are not included in evaluation report. (See [Tool 5: Evaluation report template](#))

Tool 7: Management response and follow up action plan template

Title of Evaluation:					
	Signature			Date	
Executive Secretary					
Director, Strategy and Programme Management Division					
Director/Head of Division/Office					
General Remarks by Management					
Report Recommendation	Management Response	Follow-up Action	Lead Unit/Collaborating Units	Expected completion date	Indicator of completion of follow-up action ¹⁸
1.					
2.					
Etc.					

¹⁸ * This information provides evidence of completion of action. Examples include issuance of an official memo, completion of a study or report, launching of a website, etc.

Tool 8 Common evaluation limitations

The table below provides examples of common limitations encountered and potential means for addressing each limitation.

Limitation	Potential means for addressing the limitation
Political	
<ul style="list-style-type: none"> • The evaluation topic is politically sensitive • Challenges when evaluation findings determine future funding • Political pressures on the selection of evaluation topic, scope and methodology • Unrealistic expectations as to what the evaluation can achieve • Reconciling divergent stakeholder information needs and expectations of the evaluation • Difficulties in involving stakeholders in the evaluation planning • Lack of incentive by stakeholders to participate in an evaluation • Working with stakeholders with little experience with or understanding of evaluation 	<ul style="list-style-type: none"> • Through active engagement of stakeholders identify potential barriers to wider stakeholder involvement and discuss ways to overcome the challenges • Engage stakeholders from the very beginning to ensure that all agree upon the topic under evaluation and the means or strategy for evaluating • Involve a reference group of external partners who can help to ensure a credible topic, scope and methodology • Avoid use of jargon and simplify language. When something is not understood additional resources, such as sample evaluation reports, are provided
Organizational	
<ul style="list-style-type: none"> • Staff involved in a project / subprogramme have left • Staff involved in the evaluation have limited experience with evaluations • Evaluation fatigue or resistance from ESCAP management or staff whose input is required for the evaluation • Evaluation manager, OIOS/PMD providing quality assurance, and stakeholders involved in the evaluation are based at different locations 	<ul style="list-style-type: none"> • Involve stakeholders in designing the evaluation and reconstructing the baseline when needed • Ensure that organizational support mechanisms are in place: guidelines, tool-kits, training, and that time is allocated to supporting staff • Emphasize the importance of evaluation as a learning tool not as a means for assessing individual performance • Ensure that senior-level management expresses support for the evaluation • Utilize web/satellite-based communication programs to ensure that all stakeholders involved with the evaluation can communicate effectively.
Budget, time and resources	
<ul style="list-style-type: none"> • Balancing demand for detailed coverage with resource constraints • Resources too limited to apply a rigorous evaluation methodology • Timeframes to complete the evaluation are unrealistic 	<ul style="list-style-type: none"> • Ensure that the evaluation is not overly ambitious by identifying the purpose and intended use of the evaluation • Simplify the evaluation approach by minimizing the evaluation criteria and limiting the number of evaluation questions

Tool 8: Common evaluation limitations

<ul style="list-style-type: none"> • Not enough time for adequate consultant selection process • Multiple or competing tasks combined with limited resources to carry out the evaluation • Pressure to produce results too soon or in time for certain decision points or meetings 	<ul style="list-style-type: none"> • In evaluation “rigor” is not synonymous with “expensive”. Discuss ways for ensuring rigor through data collection and analysis techniques • Ask for an extension or more resources
Data	
<ul style="list-style-type: none"> • Problems of data quality, availability, reliability • Lack of baseline data or information to determine if a change occurred • Failure to collect data disaggregated by sex and social category during implementation of intervention or during evaluation Limited resources for data or information collection • Indicator constraints (e.g. because the evaluation was not considered during the project planning stage) • Low response rate from stakeholders to surveys when they do not receive any benefit • Over-reliance on interviews with limited stakeholders resulting in risk of bias 	<ul style="list-style-type: none"> • Invest time during the development of the TOR to ensure that the data collection methods are appropriate • Try to reconstruct the baseline through alternative data collection methods. If this is not possible refrain from making statements that attribute a specific change or result directly to the project/programme and focus on the contribution of the project/programme towards that specific change or result • Go back to the evaluation logic model and ensure disaggregated data collection • Discuss the limitations in the report and refrain from making generalized statements • Ensure stakeholders are informed that responses are confidential and will help improve the delivery of programmes/projects • In order to minimize bias and build strong validity, ensure that multiple methods of data collection are utilized so that information can be triangulated, or compared against each other
Attribution / contribution	
<ul style="list-style-type: none"> • Lack of comparison group to determine if change occurred in areas / countries where ESCAP was not involved • Difficult to demonstrate ESCAP’s contribution with increasingly complex partnerships • Difficult to demonstrate ESCAP’s contribution when there are many steps between ESCAP’s activities (e.g. capacity building workshops) and outcomes (e.g. policy change) 	<ul style="list-style-type: none"> • Ensure from the beginning that the TOR is not too ambitious in terms of demonstrating specific behavioral change or impact • Utilize alternative sources of information to establish whether there was a change within the target group • ESCAP’s contribution towards results can be analyzed through multiple lenses (social, political, institutional etc.)
Other	
<ul style="list-style-type: none"> • Cultural • Language 	<ul style="list-style-type: none"> • Ensure that cultural sensitivity and language abilities of evaluators are considered when establishing the evaluation team

Tool 9 Mainstreaming gender and human rights in evaluation

What

The promotion and protection of Human rights is one of the core purposes of the United Nations, reflected in the UN Charter. The three pillars of the UN system, human rights, development, and peace and security, are interlinked and mutually reinforcing.

In 2003, the UN adopted a Common Understanding of the Human Rights-Based Approach to programming (HRBA). This has since been reinforced by the 2030 Agenda and the 2012 quadrennial comprehensive policy review which encouraged the UN system to strengthen links between normative and operational work.¹⁹ The Common Understanding provides that:

1. All programmes of development cooperation, policies and technical assistance should further the realization of human rights as laid down in the Universal Declaration of Human Rights and other international human rights instruments.
2. Human rights standards contained in, and principles derived from, the Universal Declaration of Human Rights and other international human rights instruments guide all development cooperation and programming in all sectors and in all phases of the programming process.
3. Programmes of development cooperation contribute to the development of the capacities of duty-bearers to meet their obligations and of rights-holders to claim their rights.

Achieving gender equality and eliminating all forms of discrimination are at the heart of a Human Rights-Based Approach. Achieving gender equality means that women's and men's rights, responsibilities and opportunities will not depend on whether they were born male or female. Gender mainstreaming is one of the key strategies of UN-supported analysis and strategic planning and ensures that the interests, needs and priorities of both men and women are taken into consideration.

Why

ESCAP follows UN Evaluation Group norms and standards in conducting evaluation. Norm 8 on human rights and gender equality of the 2016 UNEG norms and standards states that:

The universally recognized values and principles of human rights and gender equality need to be integrated into all stages of an evaluation. It is the responsibility of evaluators and evaluation managers to ensure that these values are respected, addressed and promoted, underpinning the commitment to the principle of 'no-one left behind'.

Using the Human Rights Based Approach and mainstreaming gender equality in development programming lead to better and more sustainable results throughout the project cycle. The two programming principles address the root causes of development problems and socio-economic inequalities.

Fully harnessing RBM means both human rights and gender goals and standards are translated into time-bound achievable goals and outcomes. Evaluation provides lessons and evidence to make sure that happens. Placing Human Rights Up Front means the UN system plays a strong role to prevent human rights crises and views human rights and the protection of civilians as central to both its development and humanitarian work.

How

¹⁹ A/RES/67/226, Para. 58.

Tool 9: Mainstreaming gender and human rights in evaluation

Evaluation plays the vital role of analyzing the successes, challenges and lessons learned in the process of mainstreaming human rights and gender equality. Recommendations and lessons learned result in institutional changes that improve the ways in which the UN realizes its mandate.

In mainstreaming human rights and gender equality evaluations can look clearly at who benefits and how. They examine the extent to which rights-holders benefit from interventions and similarly the extent to which the capacity of duty bearers is strengthened in fulfilling their obligation to respect, protect and fulfill human rights. Since ESCAP works mainly with duty bearers, project and programme outcomes focus primarily on closing capacity gaps and promoting institutional and behavioral change. Mainstreaming the HRBA in evaluation ensures that the views and interests of rights holders are also taken into account in orienting project outcomes.

The 2017 ESCAP Evaluation Policy and Guidelines have mainstreamed gender and human rights in line with UNEG guidance. Guidelines and tools provide pointers and reminders for mainstreaming during evaluation preparation, conduct and use. As a general resource encapsulating references from tools 1-9 please see below checklist.

Summary checklist for human rights and gender equality in evaluation

Evaluability	Was an assessment to determine the evaluability level of HR & GE in the intervention performed?
	How will HR & GE evaluability challenges be addressed during the evaluation, based on the results of the evaluability assessment?
Stakeholder analysis	Was a HR & GE stakeholder analysis performed?
	Was a diverse group of stakeholders identified from the stakeholder analysis, including women and men, as well as those who are most affected by rights violations and groups who are not directly involved in the intervention?
	How will the evaluation team reach out to stakeholders to be engaged in the evaluation?
Criteria	Were evaluation criteria defined which specifically address HR & GE?
	Were additional criteria specific to the context of the intervention to be evaluated identified?
	Were evaluation questions that specifically address HR & GE framed?
Methodology	Does the evaluation methodology employ a mixed methods approach, appropriate to addressing HR & GE?
	Does the evaluation methodology favour stakeholders' right to participation, including those most vulnerable?
Reference group and evaluation team	Was a reference group and evaluation team with knowledge of and commitment to HR & GE selected?
	Are the reference group and evaluation team diverse, in terms of gender, types of expertise, age, geographical origin, etc.?
	Are the reference group and evaluation team ethically responsible and balanced with equitable power relations, in line with the concepts of HR & GE?

Tool 9: Mainstreaming gender and human rights in evaluation

Collecting and analyzing data	Were all stakeholder groups identified in the stakeholder analysis consulted during the evaluation?
	Were all stakeholder groups consulted at the end of the data collection stage to discuss findings and hear their views on the conclusions and recommendations of the evaluation?
ToR, report and reporting	Does the evaluation report address HR & GE issues?
	Does the evaluation report address HR & GE issues, including in the recommendations section?
	How will the recommendations in the report affect the different stakeholders of the programme?
	Are there plans to disseminate the evaluation report to a wide group, in particular stakeholder groups who have an interest in and/or are affected by HR & GE issues?
	Was a management response prepared which considers the HR & GE issues raised in the report?
	Did the preparation of the management response and discussion of action points involve a diverse group of stakeholders, including those who have an interest in and/or are affected by HR & GE?

Resources

[The UN Inter-Agency Common Learning Package on HRBA: A 'one-stop facility' on human rights-based approaches to programming](#)

[UNDG Guidance Note on Human Rights for Resident Coordinators and UN Country Teams](#)

[Gender Mainstreaming in Development Programming: Guidance Note](#)

[I Know Gender: An Introduction to Gender Equality for UN staff](#)

[Integrating Human Rights and Gender Equality in Evaluations](#)