7

TOOLKIT

7.1 EVALUATION TOOLS FOR USE DURING THE DESIGN AND FIELD PHASES

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

The toolkit is organized in three **categories of tools**:

- Tools for **structuring information**[27]
- Tools for **data collection**
- Tools for a **gender- and human rights-responsive evaluation**.

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

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

The plum-coloured box designates that the tool is drawn up and/or used during the **design** phase.

The dark green colour designates that the tool is drawn up and/or used during the **field** phase.

Use of both colours indicates the tool is drawn up in the design phase and used in both or only in the field phase.

TABLE 18 *Summary of tools included in the toolkit*

Tool	Category and name of the tool	Design phase	Field phase
Tools for structuring information			
Tool 1	The evaluation matrix	Obligatory	Obligatory
Tool 2	The effects diagram	Optional	
Tool 3	List of UNFPA interventions by country programme output and strategic plan outcome	Obligatory	Optional
Tool 4	The stakeholders mapping table	Obligatory	Optional
Tool 5	The evaluation questions selection matrix	Optional	

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

Tool	Category and name of the tool	Design phase	Field phase
Tool 6	The CPE agenda	Obligatory	Obligatory
Tools for data collection			
Tool 7	Field phase preparatory tasks checklist	Optional	
Tool 8	Checklist for the documents to be provided by the evaluation manager to the evaluation team	Obligatory	
Tool 9	Checklist of issues to be considered when drafting the agenda for interviews	Optional	Optional
Tool 10	Guiding principles to develop interview guides	Optional	Optional
Tool 11	Checklist for sequencing interviews		Optional
Tool 12	How to conduct interviews: interview logbook and practical tips	Optional	Optional
Tool 13	How to conduct focus groups: practical tips	Optional	Optional
Tools for a gender- and human rights-responsive evaluation			
Tool 14	Summary checklist for a human rights and gender equality evaluation process: UNEG 2011, *"Integrating Human Rights and Gender Equality in Evaluation – Towards UNEG Guidance"*, Annex 1 at http://www.uneval.org/document/detail/980	Optional	Optional
Tool 15	United Nations SWAP Individual Evaluation Performance Indicator Scorecard (Excel spreadsheet) at http://www.unevaluation.org/document/detail/1452	Optional	Optional

7.1.1 Tools for structuring information

TOOL 1: THE EVALUATION MATRIX

Obligatory	Obligatory

What is the evaluation matrix?

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

When to use it and why?

At the *design phase*, the matrix further delineates the focus of the evaluation. It reflects the process that starts with the definition of the **evaluation criteria** and ends with determining the **data requirements** in terms of the sources and collection methods used to respond to the **evaluation questions**.

The matrix specifies: the evaluation questions; the particular assumptions to be assessed under each question; the indicators, the "sources of information" (where to look for information) that will be used to answer the questions; and the methods and tools for data collection that will be applied to retrieve the data.

In short, it is a tool to help evaluators determine what type of information will be needed to answer the evaluation questions and how it will be collected. The evaluation matrix must be included in the design report as an annex.

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

Nota bene: The evaluation matrix drawn up in the design phase and included in the design report may not be the same as the one included in the final report as there may be adjustments during the field phase (see Adjusting *and refining the evaluation matrix* in *section 4.1* of the handbook).

How to use the evaluation matrix

The matrix has five columns: evaluation questions; assumptions to be assessed; indicators; sources of information, and methods and tools for data collection. These are explained below.

Evaluation questions
Include the final evaluation questions.
Assumptions to be assessed
This column is an interface between the evaluation question and the data sources. It narrows the evaluation question further by specifying what evaluators should focus on and what they should check precisely when attempting to answer the question.
Indicators
Includes those indicators to be used to inform the elements listed in the "assumptions to be assessed" column.
Sources of information
This column specifies the documents and informants that will provide the data and information the evaluators will analyse in order to answer the questions. The use of the stakeholders mapping table (*Tool 4*) is a good starting point to identify and pre-select the key informants.
Methods and tools for data collection

This column indicates the techniques that will be used to collect data from the sources. The methods usually used in a CPE are the study of documentation, individual interviews, group discussions and focus groups. The next section, *Tools for data collection*, describes and analyses the features, advantages and disadvantages of these methods.

Data and information gathered during the field phase

Evaluators must fill the evaluation matrix will all relevant data during the field phase in relation to the elements listed within the "assumptions to be assessed" column and the corresponding indicators.

Since the completed matrix will become the main annex of the final evaluation report, the evaluation team leader and evaluation manager must ensure that all of the information displayed:

- Is directly related to the indicators listed above
- Is drafted in a readable and understandable manner
- Makes visible the triangulation of data
- References the relevant source(s) in footnotes.

The standard evaluation matrix can be found in *Template 5*. The following page presents an example of how to fill in the matrix. The purpose is to show the internal logic of the matrix (between columns; and between columns and rows). Note that in reality, an evaluation matrix is much larger,[28] with more assumptions to be assessed, more data sources and more data-collection methods for the selected evaluation questions.

BOX 14: STRENGTHENING THE GENDER AND HUMAN RIGHTS RESPONSIVENESS OF THE EVALUATION

To improve the gender and human rights responsiveness of the evaluation matrix – the central organizing tool in an evaluation – consider consulting:

UNEG 2011: "Integrating Human Rights and Gender Equality in Evaluation – Towards UNEG Guidance", *Annex I* (Criteria, Questions and Indicators) at http://www.uneval.org/document/detail/980

UNEG 2014: "Integrating Human Rights and Gender Equality in Evaluations" (particularly Chapter 6 and Chapter 7) at: http://www.unevaluation.org/document/detail/1616

28 See the example of the evaluation matrix for Madagascar CPE at https://www.unfpa.org/sites/default/files/admin-resource/MadagascarReport1_FR_7.pdf

Sample Evaluation Matrix

EQ1: To what extent was the UNFPA country programme in Country X able to: (i) address the (heterogeneous) needs of the population, including vulnerable and marginalized groups; (ii) align with the priorities set by relevant national policy frameworks as well as the UNFPA strategic plan; and (iii) respond to changes in the national development context during its period of implementation?	
Assumptions to be assessed	The (heterogeneous) needs of the population, in particular those of vulnerable groups, were taken into account during the programming process
Indicators	• Evidence for an exhaustive and accurate needs assessment, identifying the varied needs of diverse stakeholder groups prior to the programming of the RHR, P&D and gender components of the CPD and AWPs • The selection of target groups for UNFPA-supported interventions in the three components of the programme is consistent with identified needs (as detailed in the needs assessment) as well as national priorities in the CPD and AWPs • Extent to which the interventions planned within the AWPs (across the components of the programme) were targeted at the most vulnerable, disadvantaged, marginalized and excluded population groups in a prioritized manner
Sources of information	• CPD • AWPs • National policy/strategy documents • Needs assessments • Surveys (including DHS) and census data • Other relevant studies used to understand the HR and GE context, including those produced by the government, national gender or human rights mechanisms, academia, the United Nations, including the universal periodic review, reports produced by Office of the United Nations High Commissioner for Human Rights (OHCHR), reports produced by international human rights organizations, and reports produced by community-based/ local organizations
Methods for data collection	• Documentary analysis • Interviews with UNFPA country office staff • Interviews with implementing partners • Interviews/focus groups with final beneficiaries • Interviews with NGOs, including local organizations, working in the same mandate area as UNFPA but not partners of UNFPA

Assumptions to be assessed	The objectives and strategies of the components of the programme are consistent with the priorities put forward in the UNDAF, in relevant national strategies and policies and in the UNFPA strategic plan
Indicators	• The objectives and strategies of the CPD and the AWPs in the components of the programme are in line with the goals and priorities set out in the UNDAF • ICPD goals are reflected in the P&D component of the programme • The CPD (across all components) aims at the development of national capacity • Extent to which south-south cooperation has been mainstreamed in the country programme • Extent to which a human rights-based approach (with the integration of gender equality) has been used to develop the country programme, including a specific focus on the needs of vulnerable and marginalized communities • Extent to which specific attention has been paid to adolescents and youth, heterogeneously understood, in the three components of the programme • Extent to which objectives and strategies of each component of the programme are consistent with relevant national and sectorial policies • Extent to which the objectives and strategies of the CPD (both initial and revised) have been discussed and agreed upon with the national partners
Sources of information	• CPD • UNDAF • AWPs • National policies and strategies • UNFPA strategic pl an
Methods for data collection	• Documentary analysis • Interviews with UNFPA country office staff • Interview with government officials

Assumptions to be assessed	The country office has been able to adequately respond to shifts in the national context (and, in particular, to the consequences of a humanitarian crisis) while maintaining a human rights-based approach to programming
Indicators	• Quickness of the country office response • Country office capacity to reorient/adjust the objectives of the CPD and the AWPs • Extent to which the response was adapted to emerging national priorities and (varied) needs and demands of the population, including those of vulnerable and marginalized communities • Extent to which the reallocation of funds towards new activities (in particular humanitarian ones) is justified • Extent to which the country office has managed to ensure continuity in the pursuit of the initial objectives of the CPD while responding to emerging needs and demands and maintaining a human rights-based approach
Sources of information	• CPD • AWP • Country office staff • UNCT • Final beneficiaries • Implementing partners • Other actors advancing SRHR/working on UNFPA mandate areas (not formally partnering with UNFPA)
Methods for data collection	• Documentary analysis • Interviews with UNFPA country office staff • Interviews with other United Nations agencies • Interviews/focus group discussions with final beneficiaries • Interviews with implementing partners • Interviews with other development actors (i.e., NGOs/groups working in the areas in which UNFPA works, but that do not partner with UNFPA)

EQ2: To what extent did UNFPA-supported interventions contribute (or are likely to contribute) to sustainably increasing the access to and utilization of high-quality reproductive health services, particularly in underserved geographic areas, with a focus on adolescents and young people (in their diversities) and vulnerable and marginalized groups?	
Assumptions to be assessed	Comprehensive, gender-sensitive, high-quality reproductive health services are in place and accessible in underserved areas with a focus on the (varied needs of) young people and vulnerable and marginalized groups
Indicators	• Essential SRH service package (including emergency obstetric and neonatal care, and post-unsafe abortion care) is integrated into the normative tools and referral systems of the reproductive health strategy and programme and the annual work plans of the Ministry of Public Health • Gender-sensitive outreach services training are developed and institutionalized • Service providers' capacity is developed in conducting gender-sensitive outreach services • Control of women and men from different stakeholder groups, including groups that are marginalized, over family planning decisions (e.g., number of children, number of abortions) • Change in the number of different marginalized/groups using RH services
Sources of information	• National budget information • National disaggregated statistics related to reproductive health • Reproductive health strategy • Reproductive normative tools, guidelines, strategies • Training modules • Monitoring reports • Field visits • Final beneficiaries/members of the community (including those who use the services and those who do not) • Relevant reports (on SRHR) produced by national/international women's rights groups and human rights bodies/organizations
Methods for data collection	• Interviews with Ministry of Public Health (MOPH), Ministry of Planning, Ministry of Gender and other relevant government ministries • Interviews with WHO and other relevant United Nations agencies • Document review • Interviews with (local/national) societies for obstetrics and gynaecology • Interviews with health professionals • Interviews and focus groups, discussions with service users (and those in the community who do not use the services)

Assumptions to be assessed	SRH commodity security system – which procures/offers commodities that respond to the various needs of the population – is operational
Indicators	• Reproductive health commodity security system is developed and endorsed • A reproductive health commodity security system is operational • Increased availability of a range of RH commodities (responding to varied need) in target delivery points
Sources of information	• RHCS strategy • Monitoring reports • Field visit • Service users of commodities
Methods for data collection	• Document review • Interviews with MOPH, Ministry of Planning, Ministry of Gender and other relevant government ministries • Interviews with WHO and other relevant United Nations agencies • Health professional interview • Meeting with logistics department

Assumptions to be assessed	High-quality reproductive health services available to address related needs in humanitarian settings
Indicators	• Strengthened institutional capacity to address related reproductive health needs in humanitarian settings • National emergency preparedness and response plan reflects the Minimum Initial Service Package (MISP) • Reproductive health emergency preparedness and response plan has been developed in consultation with various stakeholders, including concerned national partners and civil society working on reproductive health • The capacity of health service providers to ensure the delivery of RH services in emergency situation is strengthened • Enhanced reproductive health services are available in areas affected by the humanitarian crisis • Young refugees (boys and girls) benefit from reproductive health information
Sources of information	• RH strategy in humanitarian settings • Emergency preparedness and response plans • National guidelines on responding to RH needs in humanitarian contexts • Monitoring reports • Field visit (if possible)
Methods for data collection	• Document review • Interviews with MOPH, Ministry of Gender, and other relevant government ministries • Interviews with WHO, UNICEF and other relevant United Nations agencies • Health professional interview • Interviews with UNFPA NGO implementing partners • Interview with local organizations, working in the same mandate area as UNFPA but not partners of UNFPA • FGD with service users

Assumptions to be assessed	Improved knowledge, information and services for young people in all their diversities, with a focus on societal and community mobilization and evidence-based advocacy and policy dialogue
Indicators	• Criteria and protocols for providing, and referring youth to, youth-friendly health services are developed (boys and girls) • At least [X] youth-friendly health facilities offer a comprehensive package of reproductive health services in target areas for boys and girls • Life skills RH curriculum are developed • Tools for RH extracurricular education are approved and disseminated • Policy briefs are used for policy dialogue and advocacy • Youth networks and non-governmental organizations – representing youth in their diversity – support the development and implementation of a multisectoral SRHR strategy for youth
Sources of information	• Strategy and protocols • Monitoring reports • Developed curriculum • Field visits • Consultation meeting minutes • Operational study by universities • Policy briefs
Methods for data collection	• Document review • Interviews with MOPH and other relevant government ministries • Interviews with UNICEF and WHO and other relevant United Nations agencies • Health professional interview • FGD with diverse groups of young people • FGD with peer educators • Teachers interview • Meeting with implementing partners • Meeting with school health educators

Assumptions to be assessed	UNFPA reproductive health-related interventions have contributed or are likely to contribute to sustainable effects
Indicators	• Planning of interventions has been done together with partners, including implementing partners working with affected communities, marginalized and vulnerable communities and final beneficiaries • Exit strategies to hand over UNFPA-initiated interventions to (local) partners have been developed during planning process • Partners' capacities have been developed with a view to increasing their ownership of the UNFPA-initiated interventions (integrated health services, commodity security, outreach services, youth-friendly services, life skills curriculum and tools) • A high-quality service culture has been developed among health professionals who benefited from capacity development interventions, including the capacity to address the varied/diverse needs of users • Life skills education and peer education interventions are sufficiently followed up so that quality education is delivered
Sources of information	• Project strategy document • Minutes/reports from planning meetings with partners • Field visits • Partners' work plans • Implementing partners
Methods for data collection	• Document review • Interviews with Implementing partners • Interviews with health professionals • Interviews with teachers • FGD with diverse groups of service users

EQ3: To what extent did UNFPA-supported interventions in the field of population and development contribute in a sustainable manner to a strengthened framework for the planning and implementation of national development policies and strategies?	
Assumptions to be assessed	UNFPA contributed to the development of a functional integrated information system for the formulation, monitoring and evaluation of national and sectorial policies
Indicators	• Disaggregated data produced, analysed and utilized at national and sectorial levels in a timely manner • Large-scale population surveys are conducted and disseminated • A number of professionals and units are trained to apply integration methods and tools • In-depth, policy-oriented (demographic/population) studies released • Functionality of information systems set in place • Database for monitoring the implementation of public policies established and available to the public
Sources of information	• UNFPA P&D section AWPs and workplan progress reports • P&D project reports • Ministry of Social Affairs (MOSA) staff and publications • MOPH staff • Heads of a sample of SDCs • United Nations Statistics Task Force terms of reference • CB training participants • Implementing partners working at the state/district/community level
Methods for data collection	• Document review: including of annual reports from MOSA, SDCs, needs assessments, evaluation and monitoring reports • Planning and programming documents (MOSA) issued during the reference period • Inputs to and deliverables of the information systems • Interviews with MOSA, and municipalities staff to review the implementation modalities of P&D component and achievements

Assumptions to be assessed	UNFPA contributed to the integration of population dynamics, reproductive health and gender equality into development planning at national, sectorial and local levels
Indicators	• Disaggregated data – including on RH and GE – produced and available publically • Mechanisms established for policy analysis and dissemination of policy briefs • Number of national and sectorial plans incorporating population dynamics, reproductive health and gender issues exist • Existence of innovative guidelines for local planning to address priority population issues
Sources of information	• UNFPA P&D section AWPs and workplan progress reports • P&D project reports • Ministry of Social Affairs (MOSA) staff and publications • MOPH staff • Heads of a sample of SDCs • United Nations Statistics Task Force terms of reference • CB training participants • Implementing partners working at the state/district/community level
Methods for data collection	• Annual reports from MOSA, need assessment, evaluation and monitoring reports • Planning and programming documents (MOSA, SDCs) issued during the reference period • Inputs to and deliverables of the information systems • Interviews with MOSA, and municipalities staff to review the implementation modalities of P&D component and achievements • FGD with diverse groups of implementing partners working with communities

Assumptions to be assessed	Ongoing mechanisms for the integration of population data in national and sectorial development planning are in place
Indicators	• Level of budgetary resources allocated (by the government) for integrating population dynamics, reproductive health and gender in development planning • Level of operationalization and institutionalization of policy frameworks, standards, guidelines and administrative procedures for integrating population dynamics, reproductive health and gender in development planning • Existence of cross-sectoral/cross-ministry working groups on data integration
Sources of information	• UNFPA P&D section AWPs and workplan progress reports • P&D project reports • Ministry of Social Affairs (MOSA) staff and publications • MOPH staff • Heads of a sample of SDCs • United Nations Statistics Task Force terms of reference • CB training participants • Implementing partners working at the state/district/community level
Methods for data collection	• Annual reports from MOSA, need assessment, evaluation and monitoring reports • Planning and programming documents (MOSA, SDCs) issued during the reference period • Inputs to and deliverables of the information systems • Interviews with MOSA, and municipalities staff to review the implementation modalities of P&D component and achievements • FGD with diverse groups of implementing partners working with communities

EQ4 : To what extent did UNFPA supported activities contribute, in a sustainable manner, to: (i) the integration of gender equality and the human rights of women and adolescent girls in national laws, policies, strategies and plans; (ii) improvements in the prevention of, protection from and response to gender-based violence at the national level?	
Assumptions to be assessed	Technical capacity of national institutions and NGOs related to women's empowerment and gender equality is increased
Indicators	• Committees (including cross- ministerial) on women's rights and gender equality established and functioning • Gender focal points in national institutions and NGOS in related sectors trained on gender equality and GBV • National Commission for Women (NCW) members trained in life skills • Frequency of and attendance level at the meetings of the NCW • NCW members trained on gender audit and analysis, and budgeting • Number of coaching meetings held by UNFPA country office for NCW members
Sources of information	• UNFPA assistant representative • UNFPA gender focal point and/or team working on gender equality • Parliamentary Committee • MOSA • Ministry of Education • NCW Committee • Relevant NGOs • Relevant implementing partners • Gender focal points in concerned ministries and municipalities • Youth organizations • Y-PEER Network
Methods for data collection	• Document review and analysis • Group meetings with NCW, NGOs, concerned municipalities (women's units) • Interviews with UNFPA gender focal points • Interviews with government implementing partners • FGD with diverse groups of organizations – including implementing partners – on supporting national capacity

Assumptions to be assessed	Policies, strategies and laws that are gender sensitive and responsive are institutionalized
Indicators	• Evidence of policies addressing gender equality and women's rights developed in consultation with diverse stakeholders, including community and local organizations working on advancing gender equality and women's rights across sectors • A national gender equality and women's rights strategy is developed, endorsed and operationalized • A national policy addressing the prevention, response to and elimination of GBV is developed, endorsed and operationalized • An adequate budget is allocated to enable the implementation of policies • A number of new laws that integrate gender equality and women's rights are being discussed at concerned parliamentarian committees • Evidence that underlying drivers undermining gender equality and the rights of women and girls – including socio-cultural norms and beliefs and legal structures – are considered in the drafting of new legislation and policies
Sources of information	• NWC • NGOs (both local/national and international) working to advance gender equality and women's rights • Family Planning Association • Gender focal points of Ministry of Social Affairs, Ministry of Education • Group meetings with Y-PEERS Network • UNFPA country office gender team and focal points • Parliamentary Committee • Recent laws, policies and strategies
Methods for data collection	• Analysis of documents • Analysis of recent legislation • Review of recent ministry policies • Interviews with concerned ministry focal points • Interviews with UNFPA country office gender team and focal points • Interviews with NGOs (both local/national and international) working to advance gender equality and women's rights (implementing partners and non-implementing partners) • UNFPA-related project managers and project teams

Assumptions to be assessed	Increased awareness of GBV and improved legal frameworks and institutional capacity to prevent and respond to women affected by GBV from a continuum approach
Indicators	• Capacities of the national institutions and NGOs in GBV prevention and response are developed • Evidence exists of awareness and integration of *Essential Services Package for Women and Girls Subject to Violence* and *Minimum Standards for Prevention and Response to Gender-Based Violence in Emergencies* in national plans and policies • Evidence of the existence of an institutionalized referral mechanism for those experiencing GBV • A number of beneficiaries (support groups, social health providers) are being trained on preventing and responding to GBV • Tools and guidelines for rehabilitation and reintegration interventions of GBV survivors developed, tested and disseminated • Advocacy and policy dialogue on GBV with key stakeholders promoted by NCW and related groups • Public campaigns on GBV implemented and assessed • Capacities of NGOs for programming GBV in relevant plans and programmes developed • Appropriate information used to convey messages through different communication channels • Type and number of advocacy activities to address GBV conducted by different concerned parties • Change in responsiveness to claims related to GBV in different stakeholder groups (number of cases reported, disaggregated by stakeholder, number of cases adjudicated, disaggregated by stakeholder)
Sources of information	• Support groups (men and women) • GBV NGOs activists (men and women) – implementing and non-implementing partners of UNFPA • Joint Programme (United Nations agencies) • Parliament Legislative Committee • UNFPA field advocates • UNFPA Advocate, Campaign creative designers, artists and planners • Affected populations (including internally displaced and refugees and those living in camps during protracted crisis) • Activists in the Camps • GBV survivors • Related Key stakeholders participating in advocacy and policy dialogue
Methods for data collection	• Analysis of related documents • Focus Group Discussion with trained men and women of support groups • Meeting with NGO activists working on addressing GBV (implementing and non-implementing partners of UNFPA)

	• Meetings with relevant ministries • Review of developed materials (tools and guidelines) • Field visit to RH clinic and HIV units and meeting with service providers (men and women) • Field visit refugee settlements and meeting with targeted women and men benefiting from the programme • Group discussion with GBV support group • Focus group with (diverse) GBV survivors • Field visit to Youth Friendly Services Units and meeting beneficiaries
Assumptions to be assessed	The results of UNFPA supported initiative in the field of gender equality and empowerment of women are likely to last beyond termination of country program
Indicators	• Evidence of budget committed to gender equality and women's rights (both standalone and mainstreamed) • More specifically, evidence that national funds have been allocated to continue UNFPA-supported projects (once UNFPA funded projects end) • Evidence of political commitment and buy-in for dedicated gender focal points/those working on gender equality in national ministries and relevant institutions • Evidence of the existence of an exit strategy in the strategies relating to the gender component of the UNFPA country programme • Evidence of a handover process from UNFPA to the related executing parties regarding the related projects. • Extent of ownership of each project by various collaborating groups/bodies (i.e., national implementing partners, including NGOs and government bodies) • Evidence of maintenance of equipment (counselling rooms, rape kit, dignity kit)
Sources of information	• Parliamentary Committee • National commission(s) on gender equality and women's rights • Relevant government ministries (cross-sectoral) • Y- PEERS Network • Support groups • Providers of youth friendly health service • Women's units at local level/ municipal councils
Methods for data collection	• National budget reviewed for financial sustainability (various sources, fundraising etc.) • Degree of structural integration within budget and structures/processes in national ministries • Document review of guidelines and tools (including referral pathways, adoption of standards of care) • Site visits (e.g., inspection of maintenance of equipment) • Volunteerism • Interviews and FGDs with NGOs (both local/national and international) working to advance gender equality and women's rights (implementing partners and non-implementing partners)

EQ5: To what extent has UNFPA made good use of its human, financial and technical resources in pursuing the achievement of the outcomes defined in the country programme?	
Assumptions to be assessed	Beneficiaries of UNFPA support received the resources that were planned, to the level foreseen and in a timely and sustainable manner
Indicators	• Evidence that the planned resources were received to the foreseen level in AWPs • Evidence that resources were received in a timely manner • Evidence of coordination and complementarity among the programme components of UNFPA and coherence among government ministries • Evidence of progress towards the delivery of multi-year, predictable, core funding delivered to implementing partners
Sources of information	• UNFPA (including finance/administrative departments) • Partners (implementers and direct beneficiaries) • Working group members/multi-stakeholder platforms on gender equality/women's rights and GBV
Methods for data collection	• Documentary review: annual reports from partner ministries, and implementing partners, audit reports and monitoring report • Documentary review: financial documents at the UNFPA (from project documentation) and interviews with administrative and financial staff • Interviews with implementing partners (ministry level/secretariat general-level staff) • Interviews with UNFPA country office staff • Beneficiaries of funding (including NGOs) • FGDs with working group members/multi-stakeholder platforms on gender equality/women's rights and GBV of which UNFPA is a part

Assumptions to be assessed	The resources provided by UNFPA have had a leveraging effect
Indicators	• Evidence that the resources provided by UNFPA triggered the provision of additional resources from the government • Evidence that the resources provided by UNFPA triggered the provision of additional resources from other partners, including other donors or INGOs • Evidence of coordination and complementarity among the UNFPA country programme components and the programme's implementation • Evidence of coherence among government ministries and UNFPA mandate areas
Sources of information	• UNFPA (including finance/administrative departments) • Partners (implementers and direct beneficiaries) • Others activists/groups working on GBV and gender equality in the same space as UNFPA (that are not implementing partners) • Working group members/multi-stakeholder platforms on gender equality/women's rights and GBV
Methods for data collection	• Documentary review: annual reports from partner ministries, and implementing partners, audit reports and monitoring reports • Interviews with ministry level/secretariat general-level staff • Documentary review: financial documents at the UNFPA (from project documentation) and interviews with administrative and financial staff • Beneficiaries of funding (including NGOs) • FGDs with working group members/multi-stakeholder platforms on gender equality/women's rights and GBV of which UNFPA is a part

Assumptions to be assessed	Administrative and financial procedures as well as the mix of implementation modalities allow for a smooth execution of the country programme
Indicators	• Appropriateness of the UNFPA financing instruments, administrative regulatory framework, staff, timing and procedures) for the implementation of the programme, including outputs specifically related to gender and human rights as well as those with gender and human rights dimensions • Evidence of transparent IP selection process • Evidence of appropriateness of the IP selection criteria • Evidence of the coordination and complementarity features of the implementation of the country programme
Sources of information	• UNFPA (including finance/administrative departments) • Partners (implementers and direct beneficiaries)
Methods for data collection	• Annual reports from partner ministries, and implementing partners, audit reports and monitoring reports • Interviews with ministry level/secretariat general-level staff • Documentary review of financial documents at the UNFPA (from project documentation) and interviews with administrative and financial staff • Interviews with a diversity of implementing partners • FGD with beneficiaries of funding (including NGOs)

EQ6: To what extent did the UNFPA country office contribute to the good functioning of coordination mechanisms and to an adequate division of tasks within the United Nations system?	
Assumptions to be assessed	The UNFPA country office has actively contributed to UNCT working groups and joint initiatives
Indicators	• Evidence of active participation in United Nations working groups • Evidence of participation in humanitarian coordination structures, including leading GBV Area of Responsibility (AoR) and GBV working groups at country level • Evidence of the leading role played by UNFPA in the working groups and/or joint initiatives corresponding to its mandate areas • Evidence of exchanges of information between United Nations agencies • Evidence of joint programming initiatives (planning) • Evidence of joint implementation of programmes
Sources of information	• Minutes of UNCT working groups • Programming documents regarding UNCT joint initiatives • Monitoring/evaluation reports of joint programmes and projects • Minutes of Humanitarian Country Team (HCT) and related humanitarian spaces for coordination
Methods for data collection	• Documentary analysis • Interviews with UNFPA country office staff • Interview with the UNRC • Interviews with other United Nations agencies

EQ 7: To what extent are UNFPA interventions and approaches to addressing GBV and HP in humanitarian settings in line with the principles of coverage, coherence and connectedness?	
Assumptions to be assessed	The response to GBV and harmful practices in humanitarian contexts demonstrated coverage, coherence and connectedness
Indicators	• Percentage of countries affected by a humanitarian crisis that have a functioning GBV AoR/sub-cluster as a result of UNFPA guidance and leadership • Evidence of UNFPA leadership/co-leadership of the GBV AoR/sub-cluster at national/subnational levels • Evidence that affected communities are mapped and disaggregated • Evidence that both *Minimum Standards for Prevention and Response to Gender-Based Violence in Emergencies* and the *Essential Services Package for Women and Girls Subject to Violence* are used in programming
Sources of information	• GBV AoR (in Geneva) coordination information (to assess percentage of countries) • Minutes of HCT and related humanitarian spaces for coordination • Minutes of GBV Sub-Clusters meetings • Humanitarian Appeals and Humanitarian Response Plans
Methods for data collection	• Documentary analysis • Interviews with UNFPA country office staff • Interview with the UNHC • Interviews with members of the GBV Sub-clusters • Interviews with other United Nations agencies • Interviews with government ministries responsible for emergency preparedness and involved in humanitarian response • FGD with beneficiaries of funding (including NGOs), including those working within refugee or internally displaced peoples camps (where relevant) • Site visits to refugee or internally displaced peoples camps (where relevant)

TOOL 2: THE EFFECTS DIAGRAM

Optional

What is the effects diagram?

An effects diagram provides an overview of the causal links and contribution relationships between the outputs and outcomes of the country programme, the outcomes of the strategic plan, the outcomes of the UNDAF, and the Sustainable Development Goals (SDGs).

Drawing an effects diagram is not compulsory in a CPE; it is an optional tool that, in a snapshot, facilitates the understanding of the logic of effects. Additionally, it may help evaluators understand whether the outputs of the CPD are coherent with the outcomes of the UNFPA strategic plan and aligned with the objectives of the UNDAF in the country. The diagram depicts the higher-level effects framework into which the country programme is inserted and illustrates how the country programme is linked to its broader strategic framework.

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

When to use it?

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

Why use it?

It allows a clear visualization of the strategic framework at the effects level, and identifies issues for evaluation questions about these effects. It also helps assess the internal coherence of the intervention.

Constructing the effects diagram is a time-consuming exercise. Therefore, evaluators should carefully consider the added value and the actual use of the effects diagram before starting the process of producing one. **Instead, evaluators should consider the list of standard evaluation questions** (see *section 3.2.2*, *Table 6*), **select a set of the most appropriate questions and refine/adjust them to the country programme under evaluation**.

How to construct the effects diagram?

Constructing an effects diagram for a CPE involves four steps:

i. **Consultation of documents**

   Country programming and strategy documents are reviewed to establish how the country programme contributes and is linked to the UNDAF, to the 13 UNFPA strategic plan outcomes, and to the relevant SDGs. The main documents to be reviewed are the CPD, the UNDAF and the UNFPA strategic plan.

ii. **Creation of linkages**

Linkages are then proposed between CPD, UNDAF and the strategic plan for the programmatic areas. These are based on how the reviewed documents portray the UNFPA country programme outputs contribution to UNDAF and UNFPA corporate outcomes. The linkages are presented in the form of a text box diagram, subdivided by document (CPD, UNDAF, strategic plan) and grouped by programmatic areas. The intention is that the country programme outputs link to a selection, but not all, of the strategic plan outcomes. A link to the relevant SDGs through UNDAF should also be included.

iii. **Corroboration with annual work plans (AWPs)**

It is important to verify the established linkages. This is done by analysing how the country office has linked its programming to the UNDAF and UNFPA strategic plan respectively. It is possible to do so by referencing the AWPs (see *Annex II*).

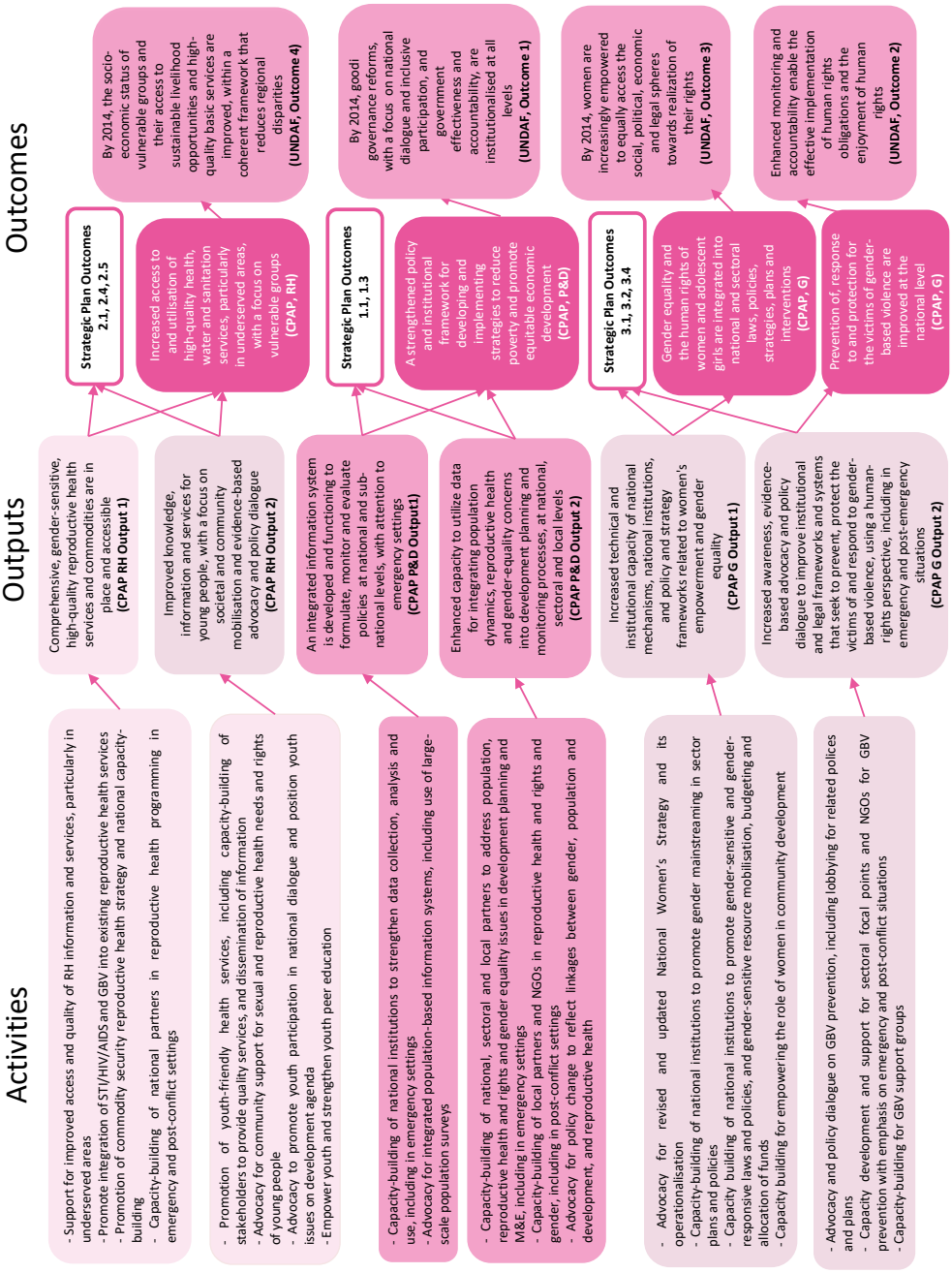
iv. **Finalization of the effects diagram**

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

See example of effects diagrams developed for CPE of Lebanon[29]:

29 These evaluation report is available on the Evaluation Office database at: https://web2.unfpa.org/public/about/oversight/evaluations/documentList.unfpa;jsessionid=2025F1F1099B12CA0E1D7604904871D3

Effects diagram: Lebanon independent CPE[30]



30 Please note that the purpose of this CPE, CPAP was the guiding strategic document.

TOOL 3: LIST OF UNFPA INTERVENTIONS BY COUNTRY PROGRAMME OUTPUT AND STRATEGIC PLAN OUTCOME

Obligatory | Optional

What is it?

The spreadsheet of UNFPA interventions:

- Links expenditure (inputs) – the lowest level of the intervention logic – with the outcomes of the UNFPA strategic plan, one of the highest levels of effects
- Establishes a link between country programme outputs, activities and inputs (budget and expenditure)
- Provides information on implementing and executing agencies, type of funding and the origin of the funds.

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

What is it used for, when and how?

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

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

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

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

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

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

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

Financial information and the implementation rate: The last four columns of the spreadsheet may be used by evaluators to identify:

- Stakeholders associated with both large and small AWPs
- Activities for which the expenditure rate is particularly low – an indication of potential problems in terms of performance
- Stakeholders that may be related to activities that have been cancelled or activities that have been added to the initial AWP.

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

Refer to *Template 3, List of Atlas projects by country programme output and strategic plan outcome*

TOOL 4: THE STAKEHOLDERS MAPPING TABLE

Obligatory	Optional

The table is divided into sections corresponding to the programmatic areas:

- Stakeholders are clustered in five main categories: donors, implementing agencies, other partners, rights-holder (i.e., beneficiaries of UNFPA support) and other organizations or groups working on the same issues as UNFPA but with whom UNFPA does not currently partner (i.e., "other development actors"); implementing agencies and other partners are then disaggregated one level further into seven types of organizations (government, local NGO, international NGO, women's rights organization, other United Nations, academia, other).
- For each programmatic area, stakeholders are grouped by UNFPA strategic plan outcome/CPD output and Atlas/GPS project code (where relevant).

The extract presented below shows a generic format; please feel free to adapt the table accordingly (to reflect the particular stakeholder groups in the context being evaluated).

For example:

- It may be that there is only one Atlas project for a strategic plan outcome/CPD output pair
- There could be more than one CPD output per strategic plan outcome
- The type of organization may differ when further disaggregating "implementing agencies" and "other partners".

The white cells will feature the name of the stakeholders. The first row below includes a example of how these cells could be filled out.

Please note: Data on implementing **partners** as well as other partners is contained in Atlas/GPS and within AWPs. Details about donors can be retrieved from Atlas/GPS. The identification of rights-holders (i.e., final **beneficiaries**), however, is more problematic. Beneficiaries may at times be identified from the text contained in AWPs. However, not all AWPs present a narrative section (some are presented in a schematic table format). It is important to seek the assistance of the country programme officers in order to fill in the beneficiary column, as well as the active support of the evaluation manager to obtain this information by the due date.[31]

31 For examples of stakeholders maps, see annexes to the final reports of CPEs at https://www.unfpa.org/evaluation

Donors	Implementing agencies						Other partners						Rights holders (i.e., beneficiaries of UNFPA support)	Other development actors
	Government	Local NGO	International NGO	Women's Rights Organization	Other UN	Academia	Other	Government	Local NGO	International NGO	Women's Rights Organization	Other UN	Academia	Other		
GENDER EQUALITY																
Strategic Plan (2018-2021) Outcome 3: Gender equality, the empowerment of all women and girls, and reproductive rights are advanced in development and humanitarian settings																
CPD Output: National staff capacity strengthened to mainstream gender in social policy and program formulation, implementation, monitoring and evaluation (3.1)																
CMR5G11A - Integration of gender issues																
Catalonian Agency for Development Aid (ACCD)	Ministry for the promotion of women and family (MPWF)							Ministry of Health, Ministry for the promotion of youth, National Health Institute and Ministry of Justice							Women's associations at provincial, district and village level in the Northern province.	Other organizations or groups working on the same issues as UNFPA but with whom UNFPA does not formally partner (i.e., other development actors working on issues related to sexual and reproductive health and rights, population and development, gender equality, and adolescents and youth)
(...)	(...)							(...)							(...)	
								PROGRAMMATIC AREA								
								UNFPA Strategic Plan outcome: (descriptions as per strategic plan)								
								CPD Output: (descriptions as per CPD)								
								If relevant, Atlas/GPS Project (code and name)								
(...)	(...)							(...)							(...)	
								If relevant, Atlas/GPS Project (code and name)								
(...)	(...)							(...)							(...)	
...																
								PROGRAMMATIC AREA								
								UNFPA Strategic Plan outcome: (descriptions as per strategic plan)								
								CPD Output: (descriptions as per CPD)								
								If relevant, Atlas/GPS Project (code and name)								
(...)	(...)							(...)							(...)	
								If relevant, Atlas/GPS Project (code and name)								
(...)	(...)							(...)							(...)	

TOOL 5: THE EVALUATION QUESTIONS SELECTION MATRIX

Optional

What is it and why use it?

This tool allows evaluators to classify and rank questions according to their feasibility and the degree of usefulness of their answers. It provides a clear, visual reference.

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

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

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

When to use it?

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

How to use it?

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

Step 1 Agree on the classification of the cells (assign colours to cells A to I).

Step 2 Number the evaluation questions.

Step 3 Assign a degree of usefulness and a degree of feasibility to every question.

Step 4 Insert the question into the table.

Step 5 Questions to be further analysed should be examined in detail to see whether they could be moved to a higher rank provided they are reformulated.

Step 6 Ensure that priority questions (cells A and B) include questions that cover all evaluation criteria; if not, formulate new questions.

Step 7 Conduct an iterative process[32] until the team reaches a consensus on the final priority evaluation questions.

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

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

TOOL 6: THE CPE AGENDA

Obligatory	Obligatory

An agenda covering the field phase should be developed and is obligatory for every CPE. Once finalized, it should be included as an annex to the design report. The format below is a suggestion, which the evaluation team may adapt and adjust.

What is it?

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

When to use it?

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

Why use it?

It is used for three reasons:

- At the design phase, it will be used to provide an **overview of the schedule and itinerary** of the evaluation team and **a tentative list of all stakeholders** that will be consulted. It therefore provides transparency – i.e., it contains information on the coverage of the CPE, what will be done and who will be met, when and where. Moreover, the agenda is also intended to inform the country office and the CPE reference group in advance on the **briefing and debriefing sessions** with the evaluation team.
- Between the design and the field phase, the agenda will be the **starting point for drawing up the individual agendas** for every evaluation team member and inform logistics arrangements.
- At the field phase, the CPE team leader and the evaluation manager will use the agenda to get an **overview of the main milestones of the data-collection and analysis phase**.

About the structure of the CPE agenda

The agenda has seven columns, which correspond to the types of information to be provided for each activity or, more often, institution.

Activities correspond mainly to joint evaluation team activities and briefing and debriefing sessions with country office staff and the reference group. Information on logistics will also be included as activities in the agenda – e.g., travel from the capital to regions/provinces, specifying, if possible, the means of transport and the travelling time.

Institution designates meetings with stakeholder institutions as part of the data-collection work.[33]

33 This may include individual structured and semi-structured interviews, group discussions and focus groups.

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

Date
At this stage, the schedule will be mostly tentative. However, in the particular case of teamwork sessions and the briefing sessions with country office staff, it would be advisable to agree on a specific day/time.
Activity/institution
• The name of the activity – e.g., evaluation team working sessions; the general debriefing session; presentations of the country office portfolio by programmatic area; bilateral meetings between evaluation team members and the programmatic area programme officers, etc. • The name/brief description of the logistical arrangement, e.g., travel by plane to the Northern Province; car trip from town A to town B. • The name of the institution/stakeholder to meet - e.g., Ministry of Health, Department of Family Planning; the United Nations Resident Coordinator and members of United Nations Country Team, etc.
People to meet
The names and positions of the people to meet. It is usually difficult to have all of this information at the time of completing the CPE agenda, but information should be entered whenever possible. If the name of the person(s) were not known at this stage, her/his/their position would suffice – e.g., director of the Department of Family Planning and technical officers; head of the village and members of the village council; members of the village women's association; director of the district health bureau.
Location
The name of the place where the meeting will take place. If the name of the exact place is not known, at least the district and/or province/region should be mentioned so that the evaluation team and the country office can assess the overall feasibility of the agenda given the available time.
Link with the country programme
The AWP code and/or the CPD output to which the stakeholder is related (see *Annex II*). In some cases, the selected stakeholder will not be associated with a specific AWP and/or output. This is the case for stakeholders interviewed exclusively for the purpose of assessing strategic positioning, or for actors related exclusively to soft-aid activities of the country office. In such cases the terms "framework/context stakeholder" and "soft-aid activities" may be used.

Selection criteria
Table 7, *Stakeholder selection criteria*, presents a series of 11 criteria that should be applied when selecting the sample of stakeholders to be met during the field visit.[34] This column should refer to the specific selection criterion (or criteria) that has been applied to choose that particular stakeholder – e.g., involvement in activities (AWP) that have already been completed (criterion No. 3); involvement in pilot actions (criterion No. 6); involvement in actions related to soft-aid activities carried out by the country office (criterion No. 9).
Justification
A brief explanation of the main reason why the institution and/or the person/s has been chosen – e.g., this technical officer was chosen instead of the director of the department because she has been working in the institution for over ten years and has the institutional memory while the director has been appointed only recently. Often, the justification will simply be the fact that the institution/person to be met complies with the selection criteria – e.g., the institution is an example of a stakeholder involved in pilot actions.

This is an illustrative (partially fictionalized) version of a CPE agenda from Bolivia CPE[35], which was attached to the design report. The example focuses on the first and last part of the field visit, which are both of crucial importance.

Date	Activity/ institution	People to meet	Location	Link with the CP	Selection criteria	Justification
Week 1						
Day 1	9:00 -13:00 Evaluation team meeting	Evaluation team internal meeting	Country Office	N/A	N/A	Preparation of the briefing session; review of individual agendas; methodology refresher
	14:00-16:00 Meeting with country office senior management	Resident Representative (RR), Deputy RR, heads of programmatic areas	Country Office	N/A	N/A	Presentation of the evaluation team; preliminary discussions; approach to the plenary debriefing session

34 As mentioned in section 3.3, these 11 criteria are minimal requirements that should be taken into account by evaluators in order to avoid bias towards stakeholders associated with specific parts of the programme. The team may add other criteria they deem appropriate.

35 https://web2.unfpa.org/public/about/oversight/evaluations/document.unfpa?page=doclist&method=view&docId=84

Date	Activity/ institution	People to meet	Location	Link with the CP	Selection criteria	Justification
Day 2	9:00–11:00 Portfolio presentation by programmatic area	Heads and technical officers of each programmatic area	Country Office	N/A[36]	N/A	Brief the evaluation team on the actual portfolio being implemented
	11:30–13:00 Meeting with Ministry of Foreign Affairs	Mr Carlos Saenz, Head of the planning division, project managers	Ministry of Foreign Affairs	CPD coordinator on the government side	N/A	Main government counterpart in the implementation of the CPD
	15:00–17:00 General briefing session (plenary)	All country office staff and reference group members	Country Office	N/A	N/A	Presentation of the CPE; validation of the evaluation matrix, the intervention logic and the overall agenda
Day 3	9:00–10:00 Ministry of Health	Mr Pedro Sano, Minister of Health	Ministry of Health	Outputs 2 and 3 of RH and all associated AWP	Criteria 2, 4 and 7	Main beneficiary institution; implementing partner for national execution interventions
	10:30–11:30 Ministry of Health, Family Planning Department	Ms Valeria Nogales, Head of Family Planning, project coordinators	Ministry of Health	BOL4R11A; BOL4R23B, BOL4R14A and output 1 of RH.	Criteria 2, 4 and 7	Implementing partner and beneficiary of capacity building activities
	...	...	...	...	...	...

36 Stands for "non-applicable".

Date	Activity/ institution	People to meet	Location	Link with the CP	Selection criteria	Justification
Day 4	7:00–12:00 Travel by plane La Paz–Sucre and by car Sucre–Tarabuco					Evaluator in charge of population and development, and team leader
	8:00–11:00 Travel by plane to Potosí					Evaluator in charge of reproductive health and gender equality
	14:00–16:00 Meeting with San Carlos Community (Potosí)	Primary health centre staff and users	San Carlos (Potosí)	BOL4R11A, output 1 of RH	Criteria 3 and 4	Interviews and group discussion with final beneficiaries
	14:00–17:00 University of Sucre	Staff of the research department	Sucre	BOL4P22A, output 2 of P&D	Criteria 1, 2 and 4	Selected mainly as an example of a particularly well-performing intervention with a new innovative approach
…						
Week 2						
Week 3						
…						

Date	Activity/ institution	People to meet	Location	Link with the CP	Selection criteria	Justification
Day N-3[37]	9:00–12:00 Focus group on strategic positioning	To be determined (tbd)	Ministry of Foreign Affairs (tentative)	CP external framework	UNFPA development partners e.g. government, civil society, academia	Focus group to gather opinions and validate partial findings on strategic positioning
	Afternoon (time tbd) European Commission delegation	Mr Pierre Brel, Head of Operations, task managers	EC delegation (La Paz)	BOL4R18A, output 2 of RH; BOL4P15B, output 1 of P&D; etc.	Criterion 2 (donor)	One of the main current donors in terms of the scale of funding
	Afternoon (time tbd) UNICEF	Ms Anne Pieper, resident representative; programme officers	UN ICEF premises	United Nations system framework	Criterion 2 (United Nations agencies)	Assessment of coordination issues
Day N-2	Data analysis (individual work)	N/A	Country Office	N/A	N/A	Evaluator team members work individually in data analysis and preparation of their individual findings to the team the next day
Day N-1	Preparation of the presentation of preliminary results (teamwork)	N/A	Country Office	N/A	N/A	Internal team meeting. Internal presentation of preliminary results by each evaluator and preparation of a joint presentation

37 Where "N" designated the last day of the field phase.

Date	Activity/ institution	People to meet	Location	Link with the CP	Selection criteria	Justification
Day N	Morning: debriefing session and plenary discussion	All country office staff and members of the reference group	Country Office	N/A	N/A	Presentation of the CPE preliminary findings and recommendations; open discussions (workshop) with country office staff and RG members
	Afternoon: evaluation team internal wrap-up meeting (Country Office)					Analysis of the outcome of the workshop; distribution of tasks; next steps, etc.

BOX 15: SOME TIPS FOR EVALUATORS WHEN DEVELOPING THE INDIVIDUAL AGENDAS

- Use the checklist in *Tool 9* when preparing the individual agendas. It will help you to choose who to interview and when for each stakeholder.
- It is strongly recommended that the "location" column in the agenda includes brief explanations on the best way to get to the place of the interview as well as the telephone number(s) of the contact person and/or person to be interviewed (seek information from the evaluation manager).
- Do not develop your individual agenda in isolation. Coordinate closely with your teammates:
  - Among the interviews you are planning, there may be interviewees who can answer questions that affect not only your area, but areas on which other evaluators are working. Always keep your teammates informed of your plan to interview a person of interest to them and ask for their recommended questions.
  - It may be the case that different teammates have considered interviewing the same person. Unless different interviews are justified for technical reasons, the approach should be coordinated. In this situation, you should decide which evaluator is in the best position to conduct that particular interview.
  - It could also happen that, due to time limitations, an evaluator has to "give up" a particular region of the country that could provide him/her with complementary information for his/her programmatic area. However, if one of the other evaluators has planned to visit that particular area, s/he could obtain that information if provided with the appropriate questions in advance.

7.1.2 Tools for data collection

TOOL 7: FIELD PHASE PREPARATORY TASKS CHECKLIST

Optional

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

CHECKLIST FOR EVALUATION TEAM– Preparatory tasks before the field phase	
ITEMS	**STATUS**
A. Evaluation framework	
1. Identify main inputs, activities, outputs and outcomes and their logical sequence for the programmatic area you will have to assess.	
2. Review personally, and with the team leader, the objectives and scope of the evaluation as well as the main evaluation questions you will have to work on.	
3. Ensure that your evaluation questions cover all of the required criteria and that you are clear on the "Assumptions to be assessed" column for each question.	
4. Identify what cross-cutting and common areas you will have to contribute to – e.g., gender mainstreaming, vulnerable groups, youth; capacity development and partnerships; strategic alignment.	
5. Identify what questions depend on both your programmatic area and other areas. Identify what inputs you will need from your colleagues and on what aspects.	
6. Make sure you have identified the sample of stakeholders to interview in order to answer the evaluation questions for which you are responsible.	
7. Ensure you are clear on the data-collection sources and methods: where and how to collect information to answer the identified questions – e.g., analysis of existing data/documents, interviews, focus groups – what documentation you require, location and type of interviews needed, where and the sample.	
B. Documentation	
1. Draft checklists for document collection: review which key documents you have and which documents are missing.	
2. Who should you see during the visit?	

3. Check what missing documents you can obtain before starting the interviews. Seek help from the evaluation manager.
C. Stakeholders
1. Conduct preliminary stakeholders mapping and analysis.
2. Who should you see during the visit?
3. Where are they located, will you need to travel to different areas, and how long will this take?
4. Can you contact those stakeholders directly, or does it need to be done formally by the country office?
5. How much notice do these stakeholders need for a meeting? Consult the evaluation manager.
6. Is the sample of interviewees balanced (see issue No. 4 in *Tool 9*)?
7. Are any of these stakeholders useful for somebody else in my team? What are the coordination needs? Discuss with team leader.
D. Interviews or/and focus groups
1. Decide which interviews will be individual or group interviews, and which ones will be focus groups.
2. Decide which interviews will be structured, which semi-structured and which open.
3. Draft the interview guides needed for different kinds of stakeholders.
4. Double-check that no key question within the programmatic area has been left out.
5. Decide on the use of focus group discussions; define objectives, a restricted set of issues that need validation; identify the target participants.
6. Coordinate with the team leader on the need to include additional issues/questions for the final report.
E. Individual agenda
Organize the individual agenda after approval from the team leader and in consultation with the evaluation manager and local stakeholders (based on key documents, evaluation questions and number of stakeholders).
F. Anticipate logistical issues
Is there a need for a translator, local transport, facilities for focus group or other meetings, etc.? Consult the evaluation manager.
And after everything has been carefully planned … be ready for changes!

TOOL 8: CHECKLIST FOR THE DOCUMENTS TO BE PROVIDED BY THE EVALUATION MANAGER TO THE EVALUATION TEAM

Obligatory

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

DOCUMENTS	STATUS	COMMENTS
Programming documents		
Strategic plan		
Business plan		
Office management plan		
Common situation analysis		
UNDAF (including the action plan)		
Current CPD		
Results and resources framework		
Planning and tracking tools		
Country Office monitoring plan		
SIS/MyResults reports		
Relevant national policy documents for each programmatic area		
Annual work plans [for the period under evaluation]		
Workplan progress reports		
Country office annual reports (COARs)		
UNFPA interventions		
Table with a list of all UNFPA interventions during the period under evaluation (generated from Atlas/GPS)		
Evaluation/reviews reports, other reports [for the period under evaluation][38]		
Previous CPEs		
Mid-term review of the current cycle		

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

Evaluation reports		
NEX audit reports Internal audit reports		
Reports on core and non-core resources		
Surveys and studies		
Baseline and end-line survey reports for current CPD		
Other studies in programmatic areas		
Relevant research reports and/or studies on thematic areas being evaluated		
Monitoring		
Field monitoring visit reports in all programmatic areas		
Partners		
IPs: Reports assessing technical capacity of implementing partners Donor reports SDG country reports		
United Nations Country Team: • Documentation regarding joint programmes • Documentation regarding joint working groups, corresponding meeting agendas and minutes		
Other donors: Documentation on donor coordination mechanisms: • List of donor coordination groups in which UNFPA participates • Corresponding meeting agendas and minutes • Co-financing agreements and amendments		

In addition, the evaluators may consult the following table to access information relevant for UNFPA programmatic areas.

TABLE 19: *Accessing Information Relevant for UNFPA Programatic Areas*

Information source	Where to find it
UNFPA (global)	https://www.unfpa.org/public/home/publications
The Population Council (global)	http://www.popcouncil.org/publications/pdr.asp (another access: http://onlinelibrary.wiley.com/journal/10.1111/(ISSN)1728-4457/issues)
World Health Organization (WHO)	http://www.who.int/topics/gender/en/ and http://www.who.int/topics/reproductive_health/en/
Pan American Health Organization (PAHO)	http://new.paho.org/
Population Reference Bureau (PRB)	http://www.prb.org
MEASURE DHS Demographic and Health Surveys	http://www.measuredhs.com/
Women Watch (United Nations system)	http://www.un.org/womenwatch/directory/regions_and_countries_20.htm
Asia Society (regional)	http://asiasociety.org/policy-politics
Committee on the Elimination of Discrimination against Women (CEDAW)	http://www.un.org/womenwatch/daw/cedaw/committee.htm
Social Commission for Asia and the Pacific (ESCAP)	https://www.unescap.org/announcement/asia-pacific-population-journal
African Development Bank Group (AfDB)	http://www.afdb.org/en/documents/project-operations/country-gender-profiles/gender/
Latin American and Caribbean Committee for the Defence of Women's Rights (CLADEM)	http://www.defendingwomen-defendingrights.org/our-work/resources/
The Guttmacher Institute	https://data.guttmacher.org/regions
International Planned Parenthood Federation (IPPF)	https://www.ippf.org/resources
Human Rights Watch	https://www.ippf.org/resources
The Office of the High Commissioner of Human Rights	http://www.ohchr.org/EN/Countries/Pages/HumanRightsintheWorld.aspx
United Nations Statistical Division – Global Gender Statistics Programme	https://unstats.un.org/unsd/demographic-social/gender/
Human Development Report (Gender Inequality Index)	http://hdr.undp.org/en/content/gender-inequality-index-gii

The table below will also be useful to evaluators in terms of learning about the information and data commonly collected during document review.

TABLE 20: *Information and Data Commonly Collected During Doucment Review*

Evaluation question on...	Information to be collected in document review (and possible source documents)	Possible data limitations
Relevance	• Description and analysis of needs among beneficiaries (CCA, UNDAF, third-party needs assessments – e.g., civil society) • Demographic data on health, education, infrastructure, income, disaggregated at subnational level (states, provinces, counties; national Health Management Information System/HMIS, census, Demographic and Health Surveys/DHS, national MDG reports [for data prior to 2016]) • Description of government priorities (national sector strategies, PRSPs) • UNFPA objectives (CPD, UNDAF)	• Not all demographic data disaggregated to the required subnational levels • Analysis of needs in UNDAF and CCA remains general, and does not identify the main drivers of poor health outcomes
Efficiency	• Inputs/resources used (AWP, Atlas) • Activities (AWPs, workplan progress reports, COAR for soft-aid activities, such as policy dialogue) • Planned outputs (CPD, COARs) • Actual (achieved) outputs (workplan progress reports, COAR, previous evaluations, third-party reports)	• Information scattered across many documents (e.g., AWPs) • Difficult to compile overview from large number of individual documents (e.g., achieved outputs across AWPs) • Not all documents available (e.g., gaps in the AWPs) • UNFPA documentation does not report results at outcome level, but primarily at activity and output levels • Third-party data on changes of *health outcomes* (e.g., DHS) describe changes in the overall population, not necessarily among UNFPA beneficiaries
Effectiveness	*All information collected for "efficiency" evaluation question.* • Planned outcomes (CPD, COAR) • Actual achievements at the level of the CPD outcomes (workplan progress reports, COAR, previous evaluations – including from partners – government/third-party monitoring data, on health outcomes) • Information on changes in health outcomes in partner country (national census, SRH/maternal health surveys – e.g., Demographic and Health Surveys/DHS, HMIS data) • Where available: reviews of the usefulness and use made of *UNFPA outputs* to achieve outcomes (third-party evaluations or other types of sector reviews, situation analyses)	

Evaluation question on...	Information to be collected in document review (and possible source documents)	Possible data limitations
Sustainability	*All information collected for "effectiveness" evaluation question (to understand the theory of change of the programme).* • Where available: Descriptions of risk factors for continued benefits from UNFPA support (e.g., UNFPA and third-party reports on administrative capacities of UNFPA partner agencies)	• Suitable reports often not available/not easily found • Reports can be considered as "sensitive", and shared only hesitatingly with evaluators

TOOL 9: CHECKLIST OF ISSUES TO BE CONSIDERED WHEN DRAFTING THE AGENDA FOR INTERVIEWS

Obligatory | Obligatory

Once the sample of stakeholders has been selected, evaluators should decide which stakeholders to interview and when. Evaluators should ensure a diversity of stakeholders are selected from each stakeholder category/group.

	Description of the issue to take into account	Check
1	**Who should I meet in the interview?** To make a preliminary decision regarding the stakeholders you should meet in order to understand and evaluate the programme, it is crucial to be familiar with the outputs and activities with which the stakeholder has been involved. The decision on whom to meet will be based on a number of factors: • With which evaluation questions in the evaluation matrix is the stakeholder associated? • With which outputs/outcomes is the stakeholder associated? • Is it an implementing partner, a supporting partner, a beneficiary institution/community,[39] or an institution providing key context or information on strategic positioning aspects? Depending on the answers to these three questions, evaluators may want to meet senior management, mid-level managers, technical staff, heads of villages, women in a particular community, regular members of a youth association, etc.	✓
2	**Where are they located, will I need to travel to different areas and how long will it take?** This is a question that affects logistics and time allocation. The degree of centralization or decentralization of the programme, and the scope of the programme and of its beneficiaries, will have implications in terms of travel. Make sure you have information on the real distances between places, road conditions (e.g. worsen during rainy season), and if there are any security issues travelling into certain parts of the country. Consult the evaluation manager to assess travel constraints.	✓

39 We may distinguish between direct beneficiaries, the organizations directly receiving UNFPA support, and ultimate beneficiaries, the citizens who benefit from better quality, increased quantity and/or improved access to supported services.

3	**Can I contact the stakeholders directly or does it need to be done formally by the country office?**	✓
	The team leader will establish certain minimum coordination rules and will give evaluators the green light to directly contact the persons to be interviewed once this issue has been discussed with the evaluation manager. Depending on the stakeholders, there will be certain protocols to be followed. Some interviews will need to be prepared with the involvement of the country office or central or local government institutions.	
4	**Do I have a balanced sample of interviewees within each stakeholder institution/group?**	✓
	Make sure the views of all relevant people in the stakeholder institution/group are covered by the interviews in order to avoid bias. This consideration will, at times, be possible only once the evaluator has started conducting data collection in the country and this issue therefore demands a certain degree of flexibility – i.e., the possibility of meeting people who were not initially included in the agenda.	
5	**Can I answer every question relating to that particular stakeholder using the selected group of interviewees?**	✓
	Compare the choice of interviewees with the "sources of information" column of the evaluation matrix and check that all of the information needed is addressed. Additionally, see if some questions can be answered or complemented by a documentation review. In some cases, a component of the programme can be understood by observing how a key activity is implemented. Check if such a key activity is being implemented during your visit.	
6	**Do I have too many interviews aimed at answering the same question?**	✓
	It is justified to ask the same question multiple times as long as it serves the purpose of triangulation and cross-checking of information. However, if an excessive number of interviews address one question whereas others remain unaddressed, you should reconsider the balance among the data-collection tools available for the evaluation (e.g., interviews, focus groups, documentary review, etc.).	
7	**Have I consulted final beneficiaries?**	✓
	Programme managers and implementing agencies can give you very useful secondary information to help you understand how programmes are implemented. However, when assessing outputs, it is essential to meet the final beneficiaries of UNFPA interventions in order to understand their perspective or/and validate your preliminary findings.	

TOOL 10: GUIDING PRINCIPLES TO DEVELOP INTERVIEW GUIDES

Optional | Optional

The **interview guide** is a one- or two-page document containing the main objectives and the sequence of an interview. The evaluator, in coordination with her/his teammates and team leader, needs to design her/his interview guides (one per cluster of stakeholders) before the field visit. The exact content of the interview guides will depend on the evaluation questions and on the type of stakeholders to be interviewed.[40] The evaluator should pay special attention to the following aspects when designing interview guides:

First, write objectives for the interview, not specific questions. Depending on the interviewee's attitude, the context of the interview or previous responses, you may prefer to ask about the same concept in different ways or using alternative formulations. For this reason, it is not advisable to write specific questions in the interview guide, but to focus instead on the issue to be covered during the interview.

For example, an interview guide would include an objective such as "Understand coordination with counterparts" rather than pre-establish concrete questions such as "How is your relationship with UNAIDS?" Establishing interview objectives provides the kind of flexibility that allows for greater adaptation to different interviewees with different characteristics as well as to the nature of the information. It also allows the flexibility to adjust to the natural flow of an interview in which new information is likely to come up and will need to be followed up by the evaluator.

In this same example, the objective "Understand coordination with counterparts" may result in asking a number of questions such as:

- "Who are the main organizations working in this particular field?"
- "Have they been established in the country for a long time?"
- "What is your interest in working with them?"
- "How often do you meet?"

The main advantage of predetermining the objective and not the questions is that if, for example, the interviewee has told you in a previous part of the interview that "Since last year GTZ is one of the main implementers of this kind of programme in rural areas", you can follow up by asking, "Are you working with GTZ in rural areas?", a question that could not have been predetermined. Furthermore, some questions will naturally become irrelevant in the course of the interview.

In conclusion, the main themes and objectives of the interview are predetermined in the interview guide to ensure consistency and prevent the omission of any major points. Yet the decision to emphasize specific questions depends on the flow of the conversation and any new information that comes up in the course of the interview.

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

Second, separate out stakeholders by categories or clusters. The evaluator needs to cluster the different stakeholders in different homogeneous groups. Creating distinct clusters of stakeholders will give a general sense of which information objectives are more appropriate to each cluster, and constitute the basis for organizing each of the interview guides – one per cluster.

- The typical clusters for most field visits are the following:
- Implementers of the programme
- United Nations agencies and other main donors
- Political decision-makers
- Direct beneficiaries of the country programme
- Beneficiaries of the country programme
- Organizations that are not implementing the programme but are key players in the sector.

Within each of these clusters, there will usually be many different organizations and persons. The evaluator will have to determine who specifically s/he should interview depending on the evaluation questions, programme profile, time, resources, etc. Although there are different actors with different features in each cluster, this first breakdown is sufficient to draft the information objectives that should be included in each of your interview guides.

It is important that interviews follow ethical considerations, including taking informed consent and ensuring confidentiality of the interviewee.

Third, draft different interview guides for different groups of stakeholders. Interview guides are not prescriptive: they do not include detailed questions, but instead cover the objectives of the interview so that evaluators can retain greater flexibility to adapt the guides to the specifics of each interviewee. As previously mentioned, different categories of stakeholders possess different kinds of information. Accordingly, your interviews should emphasize different objectives depending on the stakeholder cluster. For example, when you meet with beneficiaries of a service that has been created or supported by UNFPA, the information objectives should be:

- How important is such a new service for them (*relevance*)?
- Do they have real access to that service and to what extent (*effectiveness*)?
- How has it affected their lives and the community as a whole (*impact*)?

However, when you interview an implementing agency, the objective should be to understand the rationale behind the programme (*design*) or the pace of implementation of activities and how to solve any given difficulties (*efficiency*).

The most effective way of approaching the drafting of interview guides is to cluster the stakeholders depending on their role vis-à-vis the programme (e.g., implementers, beneficiaries, other donors, etc.) and then draft one interview guide per cluster. Within each cluster it is useful to keep the same interview guide to facilitate comparability and retrieval of data in the report-writing phase.

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

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

- In general terms, interviews should neither be shorter than 30 or 40 minutes (see below for information on the need to establish rapport, etc.) nor longer than two or three hours for comprehensive interviews. More time can be used in exceptional circumstances, particularly for debriefings. The evaluator needs to draft the information objectives of her/his interview guidelines, taking into account these time frames. On some occasions, multiple interviews may be preferable to one long interview.
- Regardless of the number of objectives, the evaluator should always be prepared for the fact that the interviewee may be available for only a short period of time. Even if the interview guide is designed for the interview to last one or two hours, reflecting before the meeting about what objective or question is the most crucial with this particular stakeholder is a good way to guarantee that the main points will be addressed. This prioritization will depend on elements such as the position of the interviewee and the information already collected from others interviewees.
- It is easier to hold longer interviews with actors directly involved in implementation of the programme than with external actors. However, external actors and beneficiaries bring information and opinions that are of special value to a CPE.
- The evaluator should take into account that the time being used for an interview is taken from other regular activities that the interviewees are implementing. It is good practice for the evaluator to be proactive in taking as little time as possible from the interviewee and prolonging interviews only if it is justified.

Fifth, ensure sequencing. Certain general sequencing is advisable, so as to ensure a good conversational flow in the interview. In this regard, note that time should be allowed for aspects that are not necessarily directed to obtaining information per se, but to show the necessary respect and to establish a human connection.

In those cases, it is essential practice to inform the interviewee of the objective of the interview and ensure that it is well understood. In terms of human connection, it is important to remember that an evaluator is after all a "stranger to the interviewees", who may not be entirely comfortable answering detailed questions related to their work if they are implementers, or about their life if they are beneficiaries. It is therefore important that evaluators reassure interviewees of the confidentiality of sources.

TOOL 11: CHECKLIST FOR SEQUENCING INTERVIEWS

Optional

The following checklist provides a framework for the evaluator to sequence her/his interview guides. Some questions will be less relevant in certain contexts; for example, an explanation about the role of an evaluator is not necessary for UNFPA staff, but it is very necessary for beneficiaries who may not be familiar with the purpose of the visit or what an evaluation is.

1. Human connection

- Spend a few minutes to understand how the interviewee is today. Is the interview convenient or problematic in any way? Is s/he really busy and should you make the interview shorter than agreed?
- Explain briefly something about yourself, where you come from, other interviews you are doing that also frame this present interview, etc.
- Thank the interviewee for the time dedicated to this interview.

2. Inform the interviewee of the objective and context of the interview

- Clarify briefly the purpose of the evaluation.
- Confirm the time available for the interview.
- Stress the confidentiality of the sources or the information collected.
- Explain what the objective of the interview (context) is. This not only shows respect, but is also useful for the evaluator, as it helps the interviewee to answer in a more relevant manner.

3. Opening general questions: refining your understanding of the interviewee's role

- Before addressing the objectives of the interview, the evaluator needs to ensure that s/he understands the role of the interviewee vis-à-vis the organization, the programme, etc., so as to adjust the questions to make them as effective as possible.

4. Core interview: objectives of the interview guide transformed into questions

- Follow the objectives of the interview guide, transforming them into questions adapted to the natural language and context of the interviewee.
- Even if the interview is structured in the evaluator's guide, it should "feel" like a conversation: the evaluator should react to responses with follow-up questions, requests for clarification, etc. Although the evaluator should not express opinions during interviews, it may be useful to express concern on possible contradictions, etc., and invite more explanations.

5. Ending the interview

- If some aspect of the interview was unclear, recheck it with the interviewee before finishing. Confirm that nothing that the interviewee may consider important has been missed: "Have I missed any important point?"
- Finish the interview, confirming any follow-up considerations – e.g., if documents need to be sent and by when, if the evaluator needs to provide any feedback, etc.
- Mention when the report will be issued and who will receive it.
- If relevant, ask the interviewee for suggestions about other key persons (referred to during the meeting) who could also be interviewed.
- Thank the interviewee again for the time dedicated to this interview.

TOOL 12: HOW TO CONDUCT INTERVIEWS: INTERVIEW LOGBOOK AND PRACTICAL TIPS

Optional | Optional

Interview logbook

Tracking findings and conclusions back to evidence is essential for a CPE to ensure that results are evidence-based (as opposed to "impression-based") and are, therefore, credible. The interview logbook is one of the instruments that can assist evaluators in complying with this requirement. The template for an interview logbook included in this handbook (*Template 7*) is a suggestion; evaluators may use the suggested format, adjust it or produce a new template. However, in they opt for the latter, the alternative format, instrument or method should enable them to track findings and conclusions back to evidence.

What is it?

The interview logbook is a written record of the main aspects of a semi-structured interview[41] – i.e., basic data, objectives and issues to be covered, the actual notes taken during the interview, a summary of the conclusions, and the subsequent steps to be taken.

When to use it?

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

Why use it?

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

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

Interview logbooks also make exchanges between evaluation team members easier: they facilitate information sharing; facts, data and findings verification; and allow for an exchange of information.

This will be especially important when evaluators collect data for other members of the team in areas that are not their main area of responsibility. This often happens for UNFA programmatic areas, as they are highly interrelated by nature.

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

The interview code entry in the interview data section links the interview (as a source of evidence) with the evaluation matrix (*Tool 1* and *Template 5*) whenever the source can be clearly identified in a given interview/set of interviews.

The *interview data* of the logbook will be used to assemble all interviews and group discussions conducted, with a view to compiling them in the final report's annex, which presents the *List of interviews conducted or list* of people *met/consulted.*

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

How to use it?

As shown in *Template 7*, the interview logbook has two parts: interview data and interview content.

INTERVIEW DATA

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

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

Position: the job that the interviewee(s) hold(s) in the present organization.

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

Interview date: (date/month/year).

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

Stakeholder type: a brief reference to identify which type of stakeholder the interviewee is – i.e., whether s/he is a direct/indirect beneficiary, or an intermediary beneficiary, an implementing partner, a UNFPA donor, a United Nations agency or a stakeholder associated with the broader framework in which UNFPA operates (e.g., the development partner of a country). Note: when recording this information, try to be as detailed as possible as this will allow for a deeper disaggregation of stakeholder type in the analysis.

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

Area of analysis: An interviewee can often speak to more than one UNFPA programmatic area (e.g. population and development as well as sexual and reproductive health and rights). An interviewee may also be able to speak to strategic positioning of UNFPA. The evaluator must include areas discussed in this data entry field.

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

INTERVIEW CONTENT

Background and key issues

Background

This part could include, for example, a succinct description of the main tasks, roles and responsibilities of the institution and its relation to the country programme.[42] For example: (1) *the Planning Department has been supported by UNFPA for the past ten years; UNFPA is one of the few agencies in the country supporting this department*; (2) and/or a justification for this interview – e.g., *this institution is key to assessing output 2, as the strengthening* of the planning *function in population and development issues takes place in this department*; (3) and/or mention any other previous interviews to which this interview may be related - e.g., *in interview JG12 it was mentioned* that this *department produces an annual report containing data that could be useful to compare against country programme indicators.*

Key issues

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

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

Content

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

Main conclusions

This part will usually be completed after the interview and requires the evaluator to read his/her interview notes. Conclusions should be written in a concise form. For example: (1) *problems with the relevance and effectiveness due to (…)*; (2) *high likelihood of sustainability problems*; (3) *UNFPA perceived as a very responsive partner*; (4)…

Next steps

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

How to conduct interviews: practical tips

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

What we think we should know … and fail to ask

Some evaluators are reluctant to ask certain questions that might make them appear to be insufficiently informed and thus not credible enough.

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

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

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

Furthermore, common terms – such as "participation", "province" or "indicator" – may vary in meaning according to the country and/or organization.

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

What interviewees think we know, and neglect to explain

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

Tip: The evaluator should present her/himself as "new" to the issue being discussed in order to obtain the maximum information from the interviewee.

Jargon as a threat to good communication

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

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

How to make evaluation jargon understandable by all

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

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

Judging too early

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

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

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

Ensuring all evaluation questions are covered

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

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

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

The evaluator must structure his/her interviews based on clearly set objectives (see *Tool 10, Guiding principles* to develop *interview guides*). However, this structure should remain flexible enough to provide the interviewee with the assurance that s/he can express her/himself freely, thus providing the evaluator with quality information.

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

See *Tool 10, Guiding principles to develop interview guides.*

The importance of creating a good atmosphere for the interview

A successful interview starts with establishing a good contact between interviewer and interviewee. To this end, it is necessary to create a favourable atmosphere. The interviewee's first impression of the evaluator is crucial indeed as it may affect the unfolding of the interview and the interviewee's openness in answering questions.

Tip: When introducing themselves, the evaluators should thank the interviewee for the time dedicated to the evaluation. They must recall the objectives of the interview and stress its importance within the overall data-collection process.

Tip: When the interviewee is directly related to the performance of the programme, evaluators should reassure him/her on the purpose of the evaluation: this is not an assessment of his/her individual achievements, but rather an analysis of what has worked/what has not worked well and why, with a view to improving the programme in the future.

Do not forget gender issues

When preparing the interviews, evaluators must ensure that gender issues are systematically addressed. The difficulty consists in moving beyond general discourse on gender equality, to obtaining from the interviewee information on: tangible and concrete actions that offer reflections on the extent to which gender has been mainstreamed in UNFPA support; how gender has been used as an analytical lens; and how UNFPA support addresses the underlying structures and systems that perpetuate rights violations (i.e., a gender- and human rights-based approach to programming) and reflect concrete mainstreaming of gender issues in the intervention(s) being assessed (e.g., the evaluators should enquire about budget allocations, design approaches, inclusion of gender-sensitive indicators, etc.).

It is beyond the scope of this manual to offer a comprehensive methodology on how to integrate gender issues in evaluation and interviews. The following resources are useful in helping evaluators acquire a better understanding of gender mainstreaming:

- *Integrating Human Rights and Gender Equality in Evaluation – Towards UNEG Guidance*
  http://www.uneval.org/document/detail/980
  http://www.unevaluation.org/document/detail/1616
- *Focusing on gender (UNFPA)*
  https://www.unfpa.org/resources/focusing-gender
- *Toolkit on mainstreaming gender equality in EC development cooperation (EC)*
  https://ec.europa.eu/europeaid/sites/devco/files/toolkit-mainstreaming-gender-introduction_en.pdf
- *Gender Evaluation Methodology (APC women)*
  http://www.genderevaluation.net/

Dress code

It is impossible to define a dress code that would be appropriate for every situation. However, evaluators should be aware of the signs that can be sent to interviewees through their way of dressing.

Tip: Elements that can be seen as offensive in the country/context/culture should be identified before the start of the field phase (uncovered shoulders for women, short sleeves for men in some cultures, etc.). Evaluators should ask the country office about the most appropriate attire before field visits.

Typical pitfalls that can be avoided with planning: preventing surprises

A number of situations can seriously affect the conduct – hence the usefulness – of interviews. Some of these situations can be easily prevented by carefully planning the interviews.

Limiting attendance for an interview to key staff

Except for cases where focus groups are more appropriate, the evaluator will often decide that it is important to interview stakeholders individually or in small homogeneous groups (group interviews) to ensure confidentiality and to allow the expression of free/uncensored opinions. Even if the evaluator has requested individual interviews, it is not infrequent to find out, at the last minute, that a third party has (unilaterally) decided to accompany the evaluator. Whatever the reasons invoked (hospitality, protocol, interest in the matter being discussed, etc.), evaluators should be careful to prevent any possibility and/or intention that the third party may influence the course and/or outcome of the interview.

The following box includes a series of tips to avoid this situation.

Steps to ensure that a third party will not attend an interview

Stress the need for interviews to be conducted in an independent manner

At the start of the field phase, alert the evaluation manager to the need for interviews to be conducted without any interference from other stakeholders. Check that this requirement is well understood and agreed upon by all at the country office (representative and programme officers in particular). This should be stressed again when organizing interviews with government staff.

Check in advance whether interpreters will be needed

The evaluation team should check if interpreters are needed and hire them according to needs. Not having an interpreter may entail another stakeholder having to perform the interpretation, hence a risk that: (i) the interviewee will not express him/herself freely; and/or (ii) the "interpreter" will not faithfully/accurately convey the views of the interviewee.

Key advice

a. Explain to the third party that the privacy of the conversation is necessary for the expression of unbiased views by the interviewee. For example: "If I ask the new doctor how good his training was, and he replies 'Excellent', I, as an evaluator, will not be able to distinguish whether this is a real assessment on his part or a mere courtesy reply."
b. Explain to country office staff and other stakeholders that a debriefing will take place at the end of the field phase, during which information stemming from the interviews (as well as other sources) will be shared transparently with them.
c. In case the third party insists on attending the interview out of courtesy, politely decline and indicate that you do not need further assistance.
d. If the third party claims that the interview is a great opportunity for him/her to understand [the object of the interview], propose as an alternative solution – e.g., that a specific debriefing for him/her can take place at a later stage.

If the previous approach does not work

The evaluator should look for an alternative manner to formally accommodate the third party's request while preserving optimal conditions for the interview.

For instance: if trainers and trainees have been called together for an hour-long interview, the evaluator could suggest organizing two separate 30-minute group interviews.

If no solution can be found

If evaluators have not obtained the necessary conditions to conduct interviews according to professional standards, they should mention this in the evaluation report as a serious limitation to their data-collection work. Evaluators must assess the validity of the obtained information against the context in which interviews were conducted.

For explanations on how to choose between individual interviews, group interviews and focus groups, see *section 3.4.2.2, Interviews: individual interviews, group discussions, and focus groups.*

How to keep protocol to a minimum during field visits

During the field visits, it is often useful (if not indispensable) for the evaluation team to be accompanied by dedicated staff from relevant institutions (country office, ministries at central or local level, interpreters, etc.). These staff may help introduce the evaluation team to the stakeholders. However, a group that's too large may result in turning what should be a technical-level meeting useful for the evaluation into a ceremonial/political event, voiding the field visit of its substance.

Tip: Evaluators must request that they are accompanied by only the most essential person(s) on their field visits. This request must be done at the very start of the field phase. Evaluators should stress that they wish to avoid too much protocol. The evaluation manager should ensure that this request will be satisfied.

Field visit bias: when stakeholders tend to show only "the good things" to evaluators

Some stakeholders may consider the evaluation exercise as an opportunity to communicate the positive results of the interventions being assessed. As a result, they may selectively orientate the evaluators to those sites where positive results are visible.

Ways of ensuring that field visits cover a representative sample of UNFPA areas of interventions	
1	Ask explicitly to visit sites where interventions show good results and sites where the programme is facing difficulties.
2	It may be necessary to explain why the evaluator needs to see both areas in which the programme is successful (to learn the reasons, replicate and show to others) and in which the programme is facing problems (to learn and correct). This will help the stakeholders better understand the information needs of the evaluators.
3	At times, stakeholders think an evaluation is being undertaken because "they have done something wrong". The evaluation manager must clarify that a CPE follows a standard approach and is not targeted at particular situations/contexts.

Ensuring the representativeness of the sample of stakeholders

The evaluators should pay particular attention to representativeness when building their sample of stakeholders to interview.

Tip: Evaluators should organize a specific meeting with the evaluation manager and country programme officers to ensure the representativeness of the sample of stakeholders.

For the process of stakeholder sampling, see *section 3.3, Selecting a sample of stakeholders*, and in particular, *Table 7, Stakeholder selection criteria*.

Ensuring that final beneficiaries are consulted

Decision-makers and managers tend to be well represented in the evaluation agenda. Evaluators must also meet and interview final beneficiaries (note that interviewing children requires specific techniques to explain concepts in an appropriate language). The evaluators must, however, bear in mind that the information collected from final beneficiaries through interviews is often limited to their immediate perception of the benefits (or lack thereof) they draw from the programme/intervention. Such information is thus more useful for illustrating specific findings (in particular, regarding relevance) rather than building an in-depth analysis of the performance and sustainability prospects of the programme/intervention. Further, ethical considerations in consulting final beneficiaries must be followed, including informed consent and confidentiality.

Tip: The team leader must brief the evaluators on the purpose (and limitations) of interviewing final beneficiaries. The evaluation manager must ensure that a significant sample of final beneficiaries is included in the agenda

Ensure that reasonable time is allocated for each interview

As already mentioned, building a representative sample of stakeholders is crucial for the success of the data-collection process. Indeed, it allows for an optimal use of the limited time allocated to the field phase (three weeks). The duration of an interview may vary, however, so when scheduling interviews, the evaluators must ensure that they have set aside sufficient time for all points/themes/issues to be addressed.

Tip: The evaluators should foresee a certain level of flexibility in their tentative schedule for interviews in order to: (i) ensure that the time required to travel from one interview to the next is sufficient; and (ii) accommodate the need for extra time with some interviewees.

What is the best location in which to hold an interview?

The location of an interview can affect the quality and quantity of the information collected by the evaluator. It is important to identify a space beforehand (whether it be in an actual room or location outdoors) to allow the interviewee to speak freely and comfortably, and in some cases privately, without distractions (noise, people). The evaluation manager should take steps to help identify such locations in the planning the site visits.

Tip: Generally speaking, it is advisable to see interviewees in their own environment. Meeting the interviewee in her/his environment may make her/him feel more comfortable. This can also provide the evaluator with additional information – e.g., looking at the construction, location, difficulty of access, basic services, etc. – as well as giving the evaluator an opportunity to grasp the context of the intervention.

How to cope with particularly difficult interviews

Previous sections have placed an emphasis on the need for good planning and preparation for interviews. However, unforeseen events may arise that can affect the course of the interview.

When a key interview is cut short

The interviewee may arrive and state that s/he has a short amount of time. In such cases, evaluators must make the most of the time available.

Tip: When preparing the interview guide, evaluators should always identify the most important/crucial questions. Those are the questions evaluators need to ask in the event that the interview is unexpectedly shortened. To identify this set of "priority questions", the evaluators must first rule out those questions that can be answered by other interviewees. Then, the evaluators must sort the remaining questions in order of priority.

When the interviewee gives a speech and leaves

If the interviewee tends to turn the discussion into a monologue, the evaluators should insist as much as possible in raising the themes/topics identified as important in their interview guides.

When interviewees are defensive, or evasive

Evaluators may be faced with an interviewee who seems reluctant to provide them with straightforward and detailed answers, thus refusing to share information. Sometimes the interviewee has difficulties discussing an issue s/he finds particularly sensitive or difficult to express.

Tip: Evaluators should try to reassure the interviewee. In particular, they should adopt a constructive attitude and demonstrate that they do not have any preconceived ideas regarding the programme/intervention under evaluation. They should also explain how the information provided by the interviewee will be used, stressing in particular the confidentiality of sources attached to this exercise. Another way of encouraging the interviewee to express him/herself is to stop taking notes and simply listen, as in an informal conversation.

Tips to collect and code information

Different tools (e.g., tape-recorder, notebook) may be used by evaluators to record information during the interviews.

The use of a tape-recorder is not advisable

Tape-recorders are generally considered invasive by interviewees; they are perceived as a means of producing a permanent record of the conversation, as opposed to notes, and will inevitably affect the quality of the interview. Also, the use of a tape-recorder is conditional on the agreement of the interviewee.

Coding information

Throughout the field phase, evaluators will collect a wealth of information. In order to retrieve and share (within the team) the information needed, both for the end of field phase debriefing meeting and the drafting of the evaluation report, evaluators must adopt a homogeneous coding system. The team leader must ensure that such a coding system is adopted by all team members right from the start of the field phase. The coding system selected by the team will help structure the data/information collected by each evaluator.

Tip: Coding systems may be based on the evaluation criteria (e.g., information related to relevance; information related to sustainability, etc.) or on key evaluation themes/issues (e.g., information related to a controversial issue; information related to gender mainstreaming in different components, etc.).

Information commonly collected in individual interviews

Evaluation question on...	Information to be collected during individual interviews (from potential interviewees)	Possible data limitations
Relevance	Complementary information on appropriateness of needs orientation of UNFPA support; and coherence with government priorities (civil society organizations, line ministries)	• Reliability of information from any individual source is not guaranteed • Statements of interviewees may reflect preferences of their organization or employer • Need to utilize multiple sources/interviewees (data triangulation) to ensure reliability of information; increase validity of findings • Frequent turnover of staff in government agencies and development organizations may limit the extent of institutional memory evaluators can access
Efficiency	Complementary explanations of country programme/associated interventions, logical linkages, soft activities (policy dialogue), etc. (UNFPA country office, implementing partners, development partners)	
Effectiveness	• Complementary explanations of country programme/associated interventions, logical linkages, soft activities (policy dialogue), etc. (UNFPA country office) • Information on uptake/utilization of assets, resources, tools provided with UNFPA support in different technical areas (line ministries, executive agencies and other government bodies, development partners/donors, civil society organizations) • Interpretations of trends in health outcomes, other relevant indicators (development partners, civil society organizations, research organizations) • Solicitation of additional documents/data on utilization assets and resources provided with UNFPA support and associated changes in health outcomes (line ministries, executive agencies and other government bodies, development partners/donors, civil society organizations)	
Sustainability	Information on risk factors threatening the continuation of benefits from UNFPA support (line ministries, executive agencies, other government bodies, development partners, civil society)	

TOOL 13: HOW TO CONDUCT A FOCUS GROUP: PRACTICAL TIPS

Optional | Optional

The general guidelines and practical tips offered for individual interviews are also valid for focus groups. In the present section, the reader will find guidance and practical tips on aspects pertaining to the organization and the conduct of a focus group.

Selection: characteristics of the focus group

Focus groups should be characterized by:

- Similarity: participants are similar in one or more ways with regard to the issue being discussed
- Size: ideally 5–12 participants (to keep the group manageable)
- Absence of hierarchical relations: avoid groups in which hierarchical or other relations impede the open expression of opinions
- Moderators: the discussion is facilitated by skilled moderators who guide the participants along a set of clearly defined topics.

Developing interview guides: particularities of the focus group

See *Tool 10, Guiding principles to develop interview guides*, *Tool 11, Checklist for sequencing interviews.*

In the table below, the evaluators will find a number of practical considerations they need to address when organizing a focus group.

Sequencing: particularities of focus groups

Stages in sequencing interviews/focus groups	Particular aspects for focus groups
Introduction – building a rapport with the interviewee(s)	This stage starts with a brief introduction of all participants in the focus group. The opening of a focus group discussion is a critical moment. The evaluators must create an open/stimulating atmosphere so that all participants feel comfortable and that they can express themselves freely. The evaluators need to set a positive tone by speaking to all members of the group in the same respectful manner.
Inform the interviewee(s) of the objective and context of the interview	The evaluators must explain the objectives of the focus group and establish the ground rules for the discussion. If the evaluators wish to use a tape-recorder, they must obtain the agreement of the participants.

Stages in sequencing interviews/focus groups	Particular aspects for focus groups
Opening questions: refining our understanding of the role/function of the interviewees	For focus groups, these opening questions should be raised when participants are invited to introduce themselves.
Core interview: the objectives set out in the interview guide are turned into questions	This stage typically includes four or five objectives, which the evaluators need to formulate as questions and sub-questions. The formulation of questions needs to be carefully prepared so that all participants understand them unequivocally. *Do:* Listen to all opinions expressed. Also observe who intervenes and who does not; try to gently include everyone in the discussion; contain those participants who try to dominate the debate; summarize the opinions of participants who do not express themselves in a concise manner. *Don't:* agree or disagree with opinions expressed; give personal opinions; cut off answers; let some people dominate the discussion.
Wrap up	Apart from the wrap-up points detailed in the individual interviews section ("Have we missed anything?", etc.), it is advisable to add two additional wrap-up questions: • Ask participants to reflect on the entire discussion and then offer them the possibility to refine their positions and/or opinions • Present a summary of the discussion and the main points debated; seek the agreement of the participants ("Is this an adequate summary of the discussion?").

Basic principles to moderate/conduct a focus group

Conducting a focus group should involve: the interviewer, a moderator and a note-taker. The moderator should pay particular attention to the following points (see table below).

Checklist for focus groups	Check
Preparation and design	
Is a focus group necessary/useful?	
Are the topics of the study clearly identified before the setting-up of the focus group?	
Should some reference documentation be made available to participants?	
Is the facilitator well acquainted with techniques of group interaction?	
Are participants informed of the objectives and the topics to be discussed prior to the focus group?	
Reporting	
Does the reporting clearly distinguish factual information from opinions?	
Does the reporting accurately describe the diversity of points of view and opinions expressed by the various stakeholders?	

See *Template 9, Note of the results of the focus group.*

The table below outlines the information commonly collected in focus groups and other group discussions.

Evaluation question on...	Information to be collected during individual interviews (from potential interviewees)	Possible data limitations
Relevance	Complementary information on appropriateness of needs orientation of UNFPA support; and coherence with government priorities (civil society organizations, beneficiaries)	▪ Preparing focus groups takes time and resources (see below). Insufficient preparation can lead to biased data, as groups might be "hijacked" by people with particular interests ▪ Although information is collected from a small group of respondents, the results are not statistically representative of the larger population from which the participants have been selected ▪ Focus groups cannot generate quantitative information, such as the percentage of respondents who hold certain views etc.
Effectiveness	Information on uptake/utilization of assets, resources, tools provided with UNFPA support in different technical areas (civil society organizations, beneficiaries)	
Sustainability	Information on risk factors threatening the continuation of benefits from UNFPA support (civil society organizations, beneficiaries)	

7.1.3 Tools for gender and human rights evaluation

TOOL 14: SUMMARY CHECKLIST FOR A HUMAN RIGHTS AND GENDER EQUALITY EVALUATION PROCESS

Optional | Optional

This tool is also available at UNEG 2011: *"Integrating Human Rights and Gender Equality in Evaluation –Towards UNEG Guidance"*, *Annex 1*, at http://www.uneval.org/document/detail/980

Summary checklist for integrating the human rights and gender equality dimensions into the evaluation process	
Evaluability assessment	▪ 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 an 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 that specifically address HR & GE? ▪ Were additional criteria specific to the context of the intervention to be evaluated identified?
Questions	▪ Were evaluation questions that specifically address HR & GE framed?
Indicators	▪ Are there indicators already defined by the intervention with available disaggregated data? ▪ Were additional indicators identified for the evaluation of the intervention, specifically addressing HR & GE? ▪ Were plans made on how to collect data to inform the additional indicators?
Team	▪ Was an evaluation team with knowledge of and commitment to HR & GE selected? ▪ Is the evaluation team diverse, in terms of gender, types of expertise, age, geographical origin, etc.? ▪ Is the team ethically responsible and balanced with equitable power relations, in line with the concepts of HR & GE?
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? ▪ Does the evaluation methodology favour triangulation of the information obtained?

Summary checklist for integrating the human rights and gender equality dimensions into the evaluation process	
Collecting and analysing 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?
Report and reporting	• 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 that 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?

TOOL 15: UNITED NATIONS SWAP INDIVIDUAL EVALUATION PERFORMANCE INDICATOR SCORECARD

Optional | Optional

UN SWAP - Individual Evaluation Scoring Tool				
	Scoring criteria	**Annotations**	**Scoring per Criteria (0-3) *do NOT include decimals** *guidance on rating each criterion is provided below*	**Comment on Scoring** *(Explanation of why rating has been given, including data sources)*
1	GEEW is integrated in the Evaluation Scope of analysis and Indicators are designed in a way that ensures GEEW-related data will be collected	If GE responsive, the evaluation will analyze how GEEW objectives and GEEW mainstreaming principles were included in the intervention design and how GEEW results have been achieved. Gender responsive evaluation requires and assessment of the extent to which an intervention being evaluated has been guided by organizational and system-wide objectives on GEEW. Indicators for the evaluation of the intervention should include GEEW dimensions and/or additional indicators are identified specifically addressing GEEW; mixed indicators (including quantitative and qualitative indicators) are preferred. *Further guidance on gender-responsive indicators is provided on p. 45-55 in the UNEG Guidance Integrating Human Rights and Gender Equality in Evaluations; and on p.33-35 in the UNEG Handbook on Integrating Human Rights and Gender Equality in Evaluation.*		
2	Evaluation Criteria and Evaluation Questions specifically address how GEEW has been integrated into the design, planning, implementation of the intervention and the results achieved.	GEEW dimensions are integrated into all Evaluation Criteria and questions as appropriate and/or criteria derived directly from GEEW principles are used (e.g. equality, participation, social transformation, inclusiveness, empowerment, etc.). *Further guidance on integrating GEEW consideration into OECD-DAC criteria and evaluation questions is provided on p. 76-88 in the UNEG Guidance Integrating Human Rights and Gender Equality in Evaluation; p.25-32 in the UNEG Handbook on Integrating Human Rights and Gender Equality in Evaluation.*		

3	A gender-responsive Evaluation Methodology, Methods and tools, and Data Analysis Techniques are selected.	Triangulation of data is done to ensure that the voices of both women, men, boys and girls are heard and used; additional time or resources (time, staff, funds) to implement a gender-responsive approach is considered and planned for, etc. mixed-method approach are preferred to make visible diverse perspectives and promotes participation of both women and men, boys and girls from different stakeholder groups Data collection methods including, desk reviews, focus groups, interviews, surveys, etc. are identified and accompanying tools, e.g. questionnaires, observational tools, interview guides etc. developed integrating GEEW considerations (e.g. interview guides ensure that women and men are interviewed in ways that avoid gender biases or the reinforcement of gender discrimination and unequal power relations, etc.). During data screening and data analysis, special attention is paid to data and information that specifically refer to GEEW issues in the intervention, and making the best possible use of these in the overall assessment of the intervention. *Further guidance on key elements of an appropriate GEEW responsive evaluation methodology, methods, tools and data analysis techniques is provided on p. 91-110 in the UNEG Guidance Integrating Human Rights and Gender Equality in Evaluations, and on p. 37-41 in the UNEG Handbook on Integrating Human Rights and Gender Equality in Evaluation.*		
4	The evaluation Findings, Conclusions and Recommendation reflect a gender analysis	The evaluation report's findings, conclusion and recommendations should reflect a gender analysis. The evaluation report should also provide lessons/challenges/ recommendations for conducting gender-responsive evaluation based on the experience of that particular evaluation. *Further guidance on gender-responsive data analysis is provided on p. 110-114 in the UNEG Guidance Integrating Human Rights and Gender Equality in Evaluations p.42 in the UNEG Handbook on Integrating Human Rights and Gender Equality in Evaluation.*		
			0	

UN entities will use the Scorecard to assess each evaluation report using a four point scale rating system for each criterion. Each of the scoring levels below corresponds to a numbered score:
0 = Not at all integrated. Applies when none of the elements under a criterion are met.
1 = Partially integrated. Applies when some minimal elements are met but further progress is needed and remedial action to meet the standard is required.
2 = Satisfactorily integrated. Applies when a satisfactory level has been reached and many of the elements are met but still improvement could be done.
3 = Fully integrated. Applies when all of the elements under a criterion are met, used and fully integrated in the evaluation and no remedial action is required.

It is important to note that no decimals should be provided in the scoring of criteria, only whole numbers. Since each evaluation report is assessed against 4 criteria the maximum possible number of points that a report can obtain is 12 (by obtaining 3 points in each of the 4 criteria).

To calculate the overall individual evaluation score the total number of points for each criterion will be added up and the overall evaluation rating will be given using the scoring system below:

0-3 points = Missing requirements
4-7 points = Approaches requirements
8-10 points = Meets requirements
11-12 points = Exceeds Requirements

7.2 DETAILED OUTLINE OF REPORTS

7.2.1 How to structure and draft the design report

This part of the CPE methodology guides the evaluation team through the process of drafting the design report. It provides the table of contents for the report as well as brief descriptions of the issues to be covered in each chapter. Design reports **should be structured following the chapters and sections as indicated below**. However, the **evaluation team is free to add sections** and/or subsections as deemed relevant given the particular context of the evaluation.

See *Template 8* for a complete layout of a design report.

As shown in *Template 8*, the design report begins with the cover page and is immediately followed by a map of the country and the name and positions of the evaluation team. The table of contents should follow in the third page.

Table of contents

The table of contents should optimally fit in one page. The table below shows the generic layout of a table of contents, which should also include a list of **annexes**.

Section	Title	Suggested length
CHAPTER 1: Introduction		
1.1	Purpose and objectives or the CPE	1–2 pages max
1.2	Scope of the evaluation	
1.3	Purpose of the design report	
CHAPTER 2: Country context		
2.1	Development challenges and national strategies	4–6 pages max
2.2	The role of external assistance	
CHAPTER 3: United Nations/UNFPA response and programme strategies		
3.1	UNFPA strategic response	5–7 pages max
3.2	UNFPA response through the country programme	
3.2.1	The country programme	
3.2.2	The country programme financial structure	

Section	Title	Suggested length
CHAPTER 4: Evaluation methodology and approach		
4.1	Evaluation criteria and evaluation questions	7–10 pages max
4.2	Methods for data collection and analysis	
4.3	Selection of the sample of stakeholders	
4.4	Evaluability assessment, limitations and risks	
CHAPTER 5: Evaluation process		
5.1	Process overview	3–5 pages max
5.2	Team composition and distribution of tasks	
5.3	Resource requirements and logistic support	
5.4	Work plan	
TOTAL		**20–30 pages max**

ANNEXES

Annex 1 Terms of reference
Annex 2 Evaluation matrix
Annex 3 Interview guides
Annex 4 List of UNFPA interventions
Annex 5 Stakeholders map
Annex 6 CPE agenda
Annex 7 Documents consulted

The following page should present **abbreviations and acronyms**, the **list of tables** and the **list of figures**:

Abbreviations

A list of the abbreviations and acronyms used throughout the report should be provided.

For example:

UNFPA *United Nations Population Fund*

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

List of tables

This is a list of all of the tables presented in the evaluation design report. Tables should be numbered and include the titles as in the example below:

Table 4 Focus and programme areas of support for the last two cycles
Table 5 Evolution of the total budget and expenditure during the period evaluated

List of figures

This is a list of all of the figures presented in the evaluation design report. Figures should be numbered and include the titles as in the example below:

Figure 3 The evaluation process
Figure 4 Time sequence of the relevant programmatic documents during period

Key facts table

This table immediately follows the pages with abbreviations, tables and figures and precedes the Introduction chapter. It is usually a one-page table summarizing key factual country data. The items covered in the table are: key geographical data figures, data on population, government, social indicators and progress towards the Sustainable Development Goals. The main data sources to complete the table may vary from country to country, but in general they are: National Institute of Statistics, the Sustainable Development Goals progress reports, Human Development Report statistics and United Nations programmatic documents for the country (CCA, UNDAF, CPD).

The following page presents an example of a key facts table from CPE in Kenya in 2017[43].

43 https://web2.unfpa.org/public/about/oversight/evaluations/

Key facts table from CPE of Kenya in 2017

Land	
Geographical location	East Africa
Land area	580,609 sq. km.[44]
People	
Population (2017)	47.9 million (KPHS 2009[45])
Urban /Rural Population	32% / 68% (KPHS 2009)
Population growth rate	2.9% (KPHS 2009)
Government	
Type	Democratic Republic
Key political events	Independence from colonial power in 1963 Promulgation of the Constitution 2010
Economy	
GDP per capita 2011 PPP USD	2,901[46]
GDP growth rate	5.8%[47]
Main Economic Activity	Agriculture
Social Indicators	
Human development index, rank	0.555, 146[48]
Unemployment (Total 15-24 years)	22%[49]
Life expectancy and birth, Male / Female (years)	58 / 61[50]
Under 5 mortality (per 1000 live births)	52% (KDHS 2014[51])
Maternal mortality (deaths of women per 100,000 live births)	362 (KDHS 2014)
Births attended by skilled health personnel (%)	62% (KDHS 2014)

44 Kenya National Bureau of Statistics
45 Kenya National Bureau of Statistics, population projection based on Kenya Population and Housing Survey, 2009
46 World Bank - http://data.worldbank.org/indicator/NY.GDP.PCAP.PP.KD
47 Kenya National Bureau of Statistics, Economic Survey 2016
48 UNDP, Human Development Report 2016
49 http://data.worldbank.org/indicator/SL.UEM.1524.MA.ZS?locations=KE
50 Kenya National Bureau of Statistics, Statistical Abstract 2016
51 Kenya National Bureau of Statistics, Kenya Demographic and Health Survey, 2014

Health Expenditure (as a % of GDP)	3.5% (2014)[52]
Contraceptive prevalence rate (modern methods)	53%
Unmet need for family planning (% of currently married women, 15-49 years)	18% (KDHS 2014)
Literacy (% aged 15 – 49 years)	92% men, 87.8% women (KDHS 2014)
Proportion of women aged 15-19 years who have already began childbearing	18.1% (KDHS 2014)
People living with HIV, 15-49 years (%)	1.6 million (KAIS 2012)
HIV Prevalence rate, 15-49 years (%)	5.6% (KAIS 2012)
HIV prevalence, 15-24 years: Male/Female (%)	2.1% (KAIS 2012)

Sustainable Development Goals (SDGs) Status	Indicator and source	Status
Goal 2. End hunger, achieve food security and improved nutrition, and promote **sustainable agriculture**	Proportion of children under 5 years who are underweight (KDHS 2014)	11%
	Proportion of under 5 years severely underweight (KDHS 2014)	2%
Goal 3. Ensure healthy lives and promote well-being for all at all ages	Maternal mortality ratio (per 100,000 live births) (KDHS 2014)	362
	Births attended by skilled health personnel (KDHS 2014)	62%
	Antenatal care coverage (KDHS 2014)	90%
	Infant mortality rate (per 1,000 live births) (KDHS 2014)	39

52 http://data.worldbank.org/indicator/SH.XPD.PUBL.ZS?locations=KE

Sustainable Development Goals (SDGs) Status	Indicator and source	Status
Goal 3. Ensure healthy lives and promote well-being for all at all ages	Under 5 years mortality rate (per 1,000 live births) (KDHS 2014)	52
	HIV prevalence among general population	5.6
	HIV prevalence among 15-24 year olds (KDHS 2014)	2.9%
	Level of comprehensive knowledge about HIV among 15-24 yr olds (KDHS 2014)	60.9%
	Proportion of adult population infected with HIV accessing ARVs (KDHS 2014)	78%
	Proportion of children under 5 years who slept under ITN[11] (KDHS 2014)	54%
	Proportion of pregnant women who slept under ITN (KDHS 2014)	51%
	TB prevalence rate (per 100,000) (KDHS 2014)	300
	TB case detection and treatment (under DOTS Strategy) (KDHS 2014)	88%
	Contraceptive prevalence rate (KDHS 2014)	58%
	Unmet need for family planning (KDHS 2014)	18%
Goal 4. Ensure inclusive and equitable quality education and promote life-long learning opportunities for all	Primary school net enrolment rate (NER) (ES 2017)	89.2%
	Proportion of pupils completing primary school (ES 2017)	83.5%
	Primary to secondary transition rate (ES 2017)	81.3%
	Secondary school NER (ES 2017)	51.3%

Sustainable Development Goals (SDGs) Status	Indicator and source	Status
Goal 4. Ensure inclusive and equitable quality education and promote life-long learning opportunities for all	Ratio of girls to boys in primary school (ES 2017)	0.98
	Ratio of girls to boys in secondary school (ES 2017)	0.89
	Ratio of girls to boys in TIVET institutions (ES 2017)	0.65
	Ratio of girls to boys in private universities (ES 2017)	0.89
	Ratio of girls to boys in public universities (ES 2017)	0.67
	Literacy rates of 15-24 year olds (KDHS 2014)	94.4%
	Literacy level among men aged between 15-49years (KDHS 2014)	97%
	Literacy level among women aged between 15-49 years (KDHS 2014)	88%
Goal 5. Achieve gender equality and empower all women and girls	Proportion of seats held by women in the National Assembly (ES 2017)	19.8%
	Proportion of seats held by women in the Senate (ES 2017)	26.9%
Goal 7. Ensure access to affordable, reliable, sustainable, and modern energy for all	Proportion of electricity generated from renewable sources (ES 2017)	85%
Goal 8. Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all	Annual GDP Growth (ES 2017)	5.8%
	Mobile money subscriptions (CAK 2017)	27.5m
Goal 9. Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation	Mobile penetration rate (CAK 2017)	86.2%
	Internet / data penetration rate (CAK 2017)	89.4%

CHAPTER 1: Introduction

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

1.1 Purpose and objectives of the CPE

This should consist of a brief description of the overall purpose the CPE and a concise presentation of the specific objectives of the CPE in the country covered by the report. This section should also mention that the exercise corresponds to a CPE commissioned by the country office. The information to complete this section can be found in the ToR of the evaluation.

1.2 Scope of the evaluation

The scope consists of a short and straightforward description of what is being assessed – that is, the object of the evaluation and the geographical scope and time scale of the exercise.

See *sections 1.1.2* and *1.1.3* in the handbook for further reference.

1.3 Purpose of the design report

This contains one to two succinct paragraphs on the aim of the design report and its role in the design phase.

Refer to *section 1.2* for further guidance on the purpose of the design report.

CHAPTER 2: Country context

This chapter should be a maximum of four to six pages long, including tables and figures. Most of the information included here will also be contained in the final evaluation report.

2.1 Development challenges and national strategies

This section should address three aspects: the wider country context; the country's situation and challenges in terms of UNFPA programmatic areas; and the country's progress towards the achievement of the relevant Sustainable Development Goals (SDGs) and its progress towards meeting International Conference on Population and Development (ICPD) benchmarks.

The part on the wider country context should provide an overview of basic country features – e.g., its geographical location, cultural traits, demography, languages, political and institutional situation, natural resources, socio-economic situation, poverty and inequality, etc.

Data figures provided in this section should be properly referenced in footnotes throughout the text.

Section 3.1.1, Understanding the country context, includes a comprehensive list of documents and sources of information that may be used when drafting this section.

2.2 The role of external assistance

The purpose of this section is to provide a clear visual snapshot of the scale of external assistance in the country and its evolution over time, as well as to identify the main players and their relative importance in terms of official development assistance (ODA). This information should be presented using tables and graphics (pie charts, histograms, etc.).

The section should include data on ODA amounts by development partner and ODA receipts by thematic sector and year during the period being evaluated. Numerical figures should be provided both in absolute values and percentages. The proportion of ODA in the country's economy should also be mentioned, either as a percentage of the Gross Domestic Product or as a proportion of the national budget.

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

See *Template 18, Basic graphs and tables in Excel.*

CHAPTER 3: UNFPA strategic response and programme

This chapter, which should be five to seven pages long, sets the framework against which the strategic positioning will be assessed during the field phase.

3.1 UNFPA strategic response

The main purpose of this section is to present an overview of the corporate and United Nations system contexts in which the country programme is inserted.

This section should explain the UNFPA corporate framework as well the United Nations system framework in the country, paying special attention to the programmatic flow process, which starts with key global corporate and national documents and ends with the formulation of the country programme and its associated documents (CPD, AWP). Names and brief definitions of the main programmatic documents should be provided and their interrelations briefly explained (SDG reports, the national poverty reduction strategy, national development strategies and plans, CCA, UNDAF, UNFPA strategic plan, CPD, AWP).

See *The UNFPA programmatic response* in *section 3.1.2.2* of the handbook and *Figure 3, Example of overview of the UNFPA response – programming flow*, for explanations on the aspects to be covered in this section.

The section should briefly describe the higher-level effects framework to which the country programme contributes. This framework consists of the linkages between the outputs and outcomes of the country programme with the outcomes of the strategic plan, the outcomes of the UNDAF, and the Sustainable Development Goals (SDGs).

The effects diagram can help evaluators explain this framework in a visual and clear manner. However, this is not a compulsory tool.[53] Once evaluators have produced an in-depth analysis of the country programme that goes beyond a description of its components – e.g., identifying linkages between components, as well as gaps or weak areas in the intervention logic, they may select a set of questions within the standard list proposed by the Evaluation Office (*Table 6*). The evaluators must then adapt/adjust each question to the programmatic areas and specifics of the country programme under evaluation and select the final set of evaluation questions (*see Tool 5*).

3.2 UNFPA response through the country programme

3.2.1 The country programme

This section describes the main elements of the country programme as set forth in the programming documents.

See *The UNFPA programmatic response* in *section 3.1.2.2* for considerations on the main elements of the country programme.

The section should spell out, at least:

- The outcomes and the outputs of the country programme and how the latter are expected to contribute to the achievement of the former, that is, elucidate the intervention strategy
- The main activities UNFPA focuses upon, both in terms of areas of action (e.g., obstetric and neonatal care, fistula prevention) and type of activities (e.g., training, advocacy, provision of goods and/or equipment, etc.)
- The main groups targeted by the programme (e.g., young people, women of child-bearing age, etc.)
- The geographical coverage of the programme
- The UNDAF outcomes and outputs to which the country programme contributes
- The links between the current and previous country programme, placing special attention on identifying whether the current strategies are new, or a continuation or expansion of work started under the previous cycle.

The programmatic evolution of the country programmes may be illustrated by means of a table comparing the outcomes (and/or outputs) of the current programme with those of the previous one.

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

Programmatic areas	Outcomes previous cycle	Outcomes current cycle
Population dynamics		
Reproductive health and rights		
Gender equality		
Other programmatic area		

3.2.2 The country programme financial structure

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

See *The financial structure of the country programme* in *section 3.1.2.3* of the handbook.

This section should, at least, contain data on:

- ODA information by recipient country by donor
- Evolution of budget and expenditure for the country programme
- Total budget and expenditure for the country programme
- Total expenditure by country programme output and implementing partners
- Total expenditure by project
- Total expenditure by project by implementing partners
- Evolution of expenditure by fund group
- Total expenditure by fund group
- Total expenditure by top implementing partners
- Total expenditure by implementing partner group
- Evolution of expenditure by implementing partner group
- Total expenditure by Strategic Plan output
- Total expenditure by Strategic Plan outcome
- Evolution of expenditure by Strategic Plan outcome
- Evolution of expenditure by mode of engagement
- Total expenditure by mode of engagement

It is advisable to combine numerical tables with graphs so that they complement each other: tables provide more detailed information but are less visually clear, whereas graphs are less detailed in terms of data but are more effective in providing a snapshot.

See *Template 18, Basic graphs and tables in Excel.*

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

See *Tool 3, List of UNFPA interventions by country programme output and strategic plan outcome.*

CHAPTER 4: Evaluation methodology and approach

This is the most important chapter of the design report. It contains the core of the design phase and fulfils the main purpose of the report. It:

- Defines the evaluation framework
- Presents an outline of the methodological strategy
- Specifies the main elements and tools to be used in the field phase regarding data collection and analysis.

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

In general, methodological considerations in this section will follow those in *Chapter 3* of the handbook. However, whenever the evaluation team considers it opportune (and as long as it is justified), evaluators may adapt and refine the approaches in light of the particularities of the country. When such deviations from the methodology occur, evaluators should explain them at the beginning of the chapter.

4.1 Evaluation criteria and evaluation questions

Evaluation questions are the "backbone" of the CPE and the final evaluation report will be structured around these questions. This section should present the evaluation questions in a very clear manner. It is advisable to start the section with a table containing the evaluation questions along the structure presented in *section 3.2.2*.

The next step, after having presented the evaluation questions, is to explain the process that led to the selection of those particular questions. This involves touching upon several aspects in the text:

- Briefly introduce the evaluation criteria. Note that the six criteria in the methodology are compulsory. Evaluators are free to incorporate additional sub-criteria if relevant. If so, the rationale for doing so should be explained here.
- Explain how the evaluation questions were selected, that is, explain the methodological sequence for the selection from the initial list and refinement (indicators) of the questions, and the considerations that were used to make the selection. Explanations of the sequence

should also mention who was involved in the process, at which stages, and their roles in selecting the questions.[54]

Whenever possible, it would be advisable to include the evaluation matrix in the main body of the design report. If the matrix is too large, it should be presented as an annex.

See *section 3.2.2* for a detailed overview on how to select evaluation questions and complete the evaluation matrix.

4.2 Methods for data collection and analysis

This section should present the result of the decisions made by the evaluators when addressing the evaluation issues described in *section 3.4*.

See *sections 3.4.2, Methods for data collection*, and *3.4.3, Methods for data analysis*, for a complete review of the issues to be addressed in this section of the design report.

Evaluators should specify the data-collection and data analysis methods they will use when conducting the actual evaluation as well as the reasons why such methods have been chosen over others.

This section should also present the specific tools and templates that will be used for data collection and analysis. These templates and tools could coincide with the ones included in *Chapter 7* of the handbook. However, unless tools are indicated as obligatory, evaluators are free to choose and use the tools they consider useful, adapt and adjust them as deemed relevant, or use different sets of tools from those in the handbook. This section must include a brief explanation on the reasons why the selected tools have been selected as well as how and when they will be used.

The main tools and templates to be used in data collection and analysis should be included in an annex to the design report.

4.3 Selection of the sample of stakeholders

This section should cover four aspects:

- An explanation of the methodological approach for the selection of a sample of stakeholders to meet during the data-collection and analysis phase. This includes a brief description of all of the steps in the selection process
- A brief outline of the specific tools that were used in the selection process
- Particulars of the rationale and/or criteria used to select the sample of stakeholders
- Details of the selected sample of stakeholders.

It is highly recommended that this section includes the stakeholders mapping table as an annex to the report

54 For example: evaluation team members, country office staff, staff at UNFPA headquarters, national counterparts and other organizations participating in the reference group for the evaluation.

for transparency purposes – i.e., so that reader of the design report may compare the sample with the whole population of stakeholders from which the team had to choose.

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

- By name
- Classified by group headings – e.g., central government counterparts, local/regional government counterparts, local communities, implementing agencies, donors, civil society organizations
- By geographical location.

See *section 3.3* for details on the approach, steps, tools and criteria for stakeholder selection.

4.4 Evaluability assessment, limitations and risks

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

This section should close with a description of the measures that will be taken to mitigate such limitations and, in case they cannot be mitigated, the text should contain a brief explanation on the extent to which this could affect the validity and credibility of the evaluation results.

See *section 3.4.4* for more details on how to approach the issues to be covered in this section.

CHAPTER 5: Evaluation process

This chapter should be three to five pages long. The information provided should be very concise and presented in a table whenever possible.

5.1 Process overview

This section should present a brief overview of the entire CPE process so that the reader can have a general picture of the exercise from beginning to end, as well as a clear idea of the position of the design phase and the design report within the process. The objective is to inform the reader about what has already been done and what the next steps are in the evaluation process.

See *section 1.2*, the evaluation process

It would be advisable to include a table featuring the main activities carried out during each phase of the evaluation as well as the main expected outputs, the timelines and the names of the actors responsible for each output/activity – e.g., the evaluation team, the evaluation manager, the country office, UNFPA headquarters, etc.

5.2 Team composition and distribution of tasks

This section should start with a presentation of the members of the team and their responsibilities by area of work. It would be highly advisable to include their respective responsibilities in terms of sections of the final evaluation report – i.e., who will be responsible for each part of the final report. This also includes responsibility for the production of the annexes. This section must also present the specific responsibilities of the evaluation manager.

See *section 3.5.1* for further details of team responsibilities.

5.3 Resource requirements and logistical support

This section should include a brief summary of all of the requirements identified during the design phase – i.e., support in organizing the agenda of interviews, means of transport, meeting facilities, equipment, interpreters, etc., most of which are under the responsibility of the evaluation manager.

See *section 3.5.2* for a review of the issues that should be addressed by the evaluation manager during the design phase in terms of resource requirements and logistics.

5.4 Work plan

This section should also be very succinct. A Gantt chart with the main activities set against a timeline detailed by weeks should suffice. The purpose of this section is to present the work plan from the drafting of the design report onwards, covering the field phase and the reporting phase. The plan should therefore begin with the delivery of the design report (the first activity in the work plan) and finish with the delivery of the final evaluation report.

Section 3.5.3 includes an example of a Gantt chart.

7.2.2 How to structure and draft the final evaluation report

This section guides the evaluation team through the process of drafting the final report. It provides the table of contents and introduces the issues that should be covered in each chapter, placing special emphasis on a number of practical considerations. The final report should follow the sequence and titles of the chapters as shown below. The evaluation team should follow the structure of chapters presented in the table of contents (see below). However, they may add subsections if they are deemed relevant given the particular context of the evaluation.

Regardless of the choices made by the evaluation team in terms of structure, the report must be in line with the Evaluation Quality Assessment (EQA) grid. Indeed, the final report will be assessed against a set of quality criteria featured in the EQA grid. The evaluation team should have the criteria of the grid in mind while writing the report and use it as an internal checklist mechanism before delivering the final draft and the final report. Most of the boxes presenting quality aspects below are based on the EQA grid.

Template 13, Evaluation Quality Assessment grid and explanatory note, lists the quality issues against which the final report will be assessed.

BOX 16: QUALITY ASPECTS OF THE STRUCTURE AND CLARITY OF REPORTING

- The report has to be user-friendly, comprehensive, logically structured and drafted in accordance with international standards.
- The report has to clearly describe the evaluation, how it was conducted, its findings, their analysis, the conclusions and the ensuing recommendations.
- The structure of the report has to be *logical* and the report should be *comprehensive*.
- The information provided throughout the text should be *easily understandable*.

See *Template 10* for a complete layout of a final report.

As shown in *Template 10*, the evaluation report begins with a cover page and is immediately followed by a map of the country and the name and positions of the evaluation team. The third page should be used for the acknowledgements.

Acknowledgements

This section should fit in one page and should briefly mention the main persons and organizations that have supported and facilitated the evaluation exercise, as well as the reasons why the evaluation team is especially grateful to them. It should not be an inventory list repeating the names of all of the people involved in the evaluation; such a list should be included in the annex on *People met/interviewed*.

The range of institutions that could be mentioned may include, but is not be restricted to: UNFPA country office, UNFPA regional offices, government institutions, beneficiaries, non-governmental organizations and other civil society organizations, implementing partners, other United Nations agencies and other development partners (e.g., donors). UNFPA headquarters may also be mentioned whenever relevant, i.e., when they played a role in secondary data collection and administrative support.

In the acknowledgements, the names of people and their positions may also be mentioned and, specifically, the reasons for the team's gratitude towards them – e.g., the areas in which they have supported the evaluation, such as providing they views and/or knowledge of the country context; providing logistical support; organizing the focus groups; making evaluative information available.

Table of contents

The table of contents should fit in one page. The table below shows the generic layout of a table of contents. The table of contents should also present a list of all the annexes.

Section	Title	Suggested length
EXECUTIVE SUMMARY		5 pages max
CHAPTER 1: Introduction		
1.1	Purpose and objectives or the CPE	5–7 pages max
1.2	Scope of the evaluation	
1.3	Methodology and process	
CHAPTER 2: Country context		
2.1	Development challenges and national strategies	5–6 pages max
2.2	The role of external assistance	
CHAPTER 3: United Nations/UNFPA response and programme strategies		
3.1	UNFPA strategic response	5–7 pages max
3.2	UNFPA response through the country programme	
3.2.1	Brief description of UNFPA previous cycle strategy, goals and achievements	
3.2.2	Current UNFPA country programme	
3.2.3	The financial structure of the programme	

Section	Title	Suggested length
CHAPTER 4: Findings: answers to the evaluation questions		
4.1	Answer to evaluation question 1	25–35 pages max
4.2	Answer to evaluation question 2	
4.3	Answer to evaluation question 3	
4.4	Answer to evaluation question X	
CHAPTER 5: Conclusions		
5.1	Strategic level	6 pages max
5.2	Programmatic level	
CHAPTER 6: Recommendations		
6.1	Recommendations	4–5 pages max
(Total number of pages)		55–70 pages

ANNEXES

Annex 1 Terms of reference

Annex 2 List of persons/institutions met

Annex 3 List of documents consulted

Annex 4 The evaluation matrix

Tip: The Evaluation Quality Assessment criterion on the structure and clarity of reporting sets out that the minimum requirements for annexes are: the terms of reference; the list of people consulted/interviewed and the methodological instruments used. Do not forget to add the templates of the methodological tools used when conducting data collection and analysis.

Abbreviations

Immediately after the table of contents, the report should feature a list of all of the acronyms referred to throughout the text.

See *Template 17, Basic list of acronyms.*

Structure of the country programme evaluation report

A summary box presents the structure of the report to the reader in a concise and user-friendly manner. The box should describe in a succinct fashion the main elements contained in each chapter as well as a brief outline of the main annexes.

List of tables and figures

The list of tables and the list of figures should indicate the number of the table/figure, the title and the number of the page where the table/figure is located.

Whenever deemed appropriate, evaluators may replace the list of figures with two separates lists, one for graphs and another for diagrams. The most common types of graphs are line graphs, bar graphs, scatter plots and pie charts. These are usually used to portray financial aspects such as expenditure and budget allocations over time, or to depict the evolution of variables associated with the three programmatic areas, such as birth rates, maternal mortality rates, gender indicators, etc. Diagrams include drawings usually associated with processes and flows. The effects diagram, the key documents timelines and the stages of the evaluation process are examples.

The key facts table

This is a one-page table summarizing key factual country data. The table was already included in the design report. The tables in the design and final report will usually coincide, unless some of the data entries have been adjusted in light of new documentation and secondary data obtained during the field phase.

See *section 7.2.1, How to structure and draft the design report*, for a brief description of the main items to be included in the table. This section includes a practical example.

EXECUTIVE SUMMARY

The executive summary is a crucial part of the report. Most readers will start with the executive summary and read those parts of the report in which they are more interested (on the basis of what they have read in the summary). High-level senior management will tend to focus on the executive summary only.

The executive summary should provide an overview of the CPE, be written as a stand-alone document and clearly present the main results of the evaluation. It should be a maximum of five pages long and should cover the following five topics:

- The purpose of the CPE as well as the target audience
- The objectives of the evaluation (overall and specific) and a brief description of the country programme (the intervention being evaluated)
- The methodology used to conduct the evaluation
- The main conclusions
- The recommendations.

"Written as a stand-alone document" means that the executive summary should be a resource in its own right. It must provide readers with a clear understanding of the evaluation without having to refer to other parts of the report. The main challenge of writing a good executive summary is to keep it brief while ensuring precision.

CHAPTER 1: Introduction

The information provided in this chapter should be concise. The three sections should optimally fit in five to seven pages. The contents of the introductory chapter should coincide with the content of chapters 1, 4 and 5 of the design report.

1.1 Purpose and objectives of the country programme evaluation

This section should present a brief description of the overall purpose of the CPE and a concise presentation of its specific objectives.

The section should also clearly mention that the exercise corresponds to a CPE commissioned by the country office.

The information needed to fill in this section can be found in the ToR of the evaluation.

1.2 Scope of the evaluation

This section should consist of a short and straightforward description on what is being assessed, i.e., the object of the evaluation and the geographical scope and time scale of the exercise.

Take *section 1.2* of the design report as a starting point, and see *sections 1.1.2* and *1.1.3* in the handbook for a deeper insight on what to include in this section.

1.3 Methodology and process

This section should, at least, cover three items: methodology, limitations encountered and a brief outline of the overall evaluation process. These three items could be presented as subsections of this *section 1.3*.

Methodology

This item should describe the evaluation framework in which the CPE has taken place – i.e., the methodological strategy as well as the main approaches, methods and tools used when collecting and analysing data. The following aspects should be covered:

- *Evaluation criteria:* specify the evaluation criteria used for the analysis of the programmatic areas and for the analysis of the strategic positioning.
- *Evaluation questions:* the detailed evaluation questions will be included in the evaluation matrix, which should be included as an annex to the final report. In the methodology section, evaluators should mention whether the initial evaluation questions (design phase) have been adjusted during the in-country field phase and explain the reasons for such adjustments.

- *Methods for data collection and for data analysis:* describe the methods used and the tools applied. The templates for the tools should be included in the annexes. In this section, it is particularly important to describe the methods applied to ensure the credibility, robustness and validity of the findings, judgements and conclusions – e.g., triangulation and validation techniques, as well as evidence-based approaches.
- *Selection of the sample of stakeholders:* specify the selection criteria and provide details on the type of stakeholders and number of people interviewed. This could be reflected by means of a summary table:

Institutions	Number of people interviewed
UNFPA	25
Central government	37
Regional government	78
Final beneficiaries	82
...	...

Tip: Take *sections 4.1*, *4.2* and *4.3* of the design report as a starting point to compile this section of the final report.

Limitations encountered

This item should describe data gaps and drawbacks affecting data quantity and quality, and report the factors that have restricted access to key sources of information. It should also include the measures that have been taken to mitigate such limitations and, in cases where they could not be mitigated, explain the extent to which this affects the validity and credibility of the evaluation results.

Tip: To develop this item, take *section 4.4*, "Evaluability assessment, limitations and risks", of the design report as a starting point and adjust it and update it in light of the real problems and limitations encountered during the field phase.

Evaluation process

The aim of this section is three-fold:

- To provide the reader with a clear snapshot of the entire CPE process so that s/he can have a general picture of the whole exercise
- To explain what has been done and who was involved in each phase of the evaluation (preparatory phase, design phase, field phase: data collection and analysis, and reporting phase)
- To outline briefly the next steps and who will be involved in them (i.e., quality assessment/ review of the report, dissemination and follow-up).

Tip: Take *section 5.1* "Process overview", of the design report as a starting point and update it with information on what has happened at each evaluation phase (up to the drafting of the final report).

Reminder: Although the core substance of the analysis is in chapters 4 to 6, the introductory chapter is important as it presents key quality elements.

CHAPTER 2: Country context

Most of the information to be included in this chapter was already included in *Chapter 2* of the design report.

Tip: Take *Chapter 2* of the design report as a starting point and update/adjust it in light of new documentation and information collected during the field phase.

2.1 Development challenges and national strategies

This section considers the wider country context as well as the country situation and challenges in the programmatic areas pertaining to the UNFPA mandate.

The part on the wider country context should, at least, provide an overview of basic country features – e.g., geographical location, cultural traits, demography, languages, political and institutional situation, natural resources, socio-economic situation, poverty and inequality, etc.

Reminder: Data figures should be properly referenced in footnotes throughout the text.

Take *Chapter 2.1 of the design report* as a starting point (see also *section 3.1.1, Understanding the country context*). The information used in *Chapter 2.1 of the design report* should be complemented with and/or amended by more updated data collected during the field missions.

BOX 17: QUALITY ASPECTS TO CONSIDER IN JUSTIFYING THE DESIGN AND THE METHODOLOGICAL APPROACH

- The methodology used for the evaluation has to be clearly described and the rationale for the methodological choice justified.
- Key processes and elements, such as the methods and tools that will be used for data collection, triangulation techniques, and details of participatory consultation with stakeholders, should be discussed in sufficient detail in the report. Make sure that triangulation is applied throughout the evaluation.
- Constraints and limitations (including limitations applying to interpretations and extrapolations; robustness of data sources, etc.) should be made explicit and discussed in detail in the report.

This section should feature a concise snapshot of the progress made by the country towards achieving the SDGs. This brief outlook could be provided by means of a simple table (e.g., *Progress towards the SDGs*) featuring two columns: one describing the goals and another summarizing achievements to date. The section should also cover progress in meeting the International Conference on Population and Development (ICPD) benchmarks.

Tip: Information on progress towards the SDGs can be found on the United National Development Group's website, http://www.undg.org/ or on https://sustainabledevelopment.un.org/. See also the websites of the UNDP, as they are often involved with either the drafting or the funding of SDG progress reports

2.2 The role of external assistance

Unless new data on external assistance is identified and collected during the field phase, this section will coincide with *section 2.2 of the design report*.

As mentioned in the design report, the purpose of this section is to provide a clear visual snapshot of the scale of external assistance in the country and its evolution over time; it should also identify the main players and their

relative importance in terms of official development assistance (ODA). Evaluations should make use of tables and graphs (pie charts, histograms, etc.) to present data in this section.

The section should include data on ODA amounts by development partner and ODA by thematic sector and year (during the period being evaluated). Figures should be provided in both absolute values and percentages. The weight of ODA in the economy of the country should also be mentioned, either as a percentage of the Gross Domestic Product or of the national budget.

See *Template 18, Basic graphs and tables in Excel*

The evolution of ODA in the country over the past few years should be briefly commented upon. If information is available, ODA trends and future prospects should also be mentioned.

CHAPTER 3: UN/UNFPA response and programme strategies

Tip: As in *Chapter 2*, use *Chapter 3* of the design report as a starting point and update/adjust it in light of new information collected during the field phase.

Given that the majority of the information included in this chapter is based in programmatic documents, there will be little adjustment unless programmatic documents have been revised after the start of the country programme.

Tip: Check whether there has been a mid-term review of the country programme and whether the CPD has been revised, which would imply adjustments in *section 3.2.2* below as compared to *section 3.2.1* of the design report. Also check whether the financial structure of the programme has experienced any changes or whether there have been any updates in the financial data since the submission of the design report, which would imply adjustments in *section 3.2.3* of the final report as compared to *section 3.2.2* of the design report.

3.1 United Nations and UNFPA response

The objective of this section is to offer an overview of the UNFPA corporate framework and the United Nations system framework.

Narrative text should briefly explain the UNFPA corporate framework as well the United Nations system framework in the country, paying special attention to the programmatic process that starts with key global corporate and national documents and ends with the formulation of the country programme and its associated documents (CPD, AWP). Titles and brief definitions of the content of the main programmatic documents should be provided and their interrelations briefly explained (SDG reports, the national poverty reduction strategy, national development strategies and plans, CCA, UNDAF, UNFPA strategic plan, CPD, AWP).

See *Understanding the UNFPA response* in *section 3.1.2* of the handbook and *Figure 3, Example of overview of the UNFPA response – programming flow*, for explanations on the aspects to be covered in this section.

The higher-level effects to which the country programme aims to contribute should be briefly described. This framework is made of the links between the outputs and outcomes of the CPD with the outcomes of the strategic plan, the outcomes of the UNDAF, and the SDGs.

An effects diagram (*Tool 2*) could be inserted here even if it was not included in the design report, as it can assist evaluators by providing a visual explanation of the framework. Note, however, that this is not a requisite.

If evaluators deem it appropriate, this section could be broken down into additional subsections – e.g., *section 3.1.1* explaining the overall programming flow and *section 3.1.2* depicting UNFPA intervention logic explaining the effects diagram (if provided), as detailed in Annex 1 Elements of Theory.

3.2 UNFPA response through the country programme

3.2.1 Brief description of UNFPA previous cycle strategy, goals and achievements

In the design report, the outline of the previous programmatic cycle was provided in a rather brief manner and included a succinct comparison with the current cycle. In the final report, considerations of the previous programme should be expanded to provide a more detailed analysis of the evolution of the country office strategy that will become the framework against which the relevance criterion will be partly assessed.

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

Tip: The sources for information to complete this subsection are the current CPD, which generally includes considerations of previous achievements, the CPD of the previous programme and the CPE final report (in the event that it was conducted and is of good quality).

3.2.2 Current UNFPA country programme

Most parts of this section coincide with *section 3.2.1* on *The country programme* in the design report. It should include a description of the main elements of the country programme as set forth in the programming documents.

See *The UNFPA programmatic response* in *section 3.1.2.2* of the handbook for an overview of the main elements of the country programme.

The section should present, at least:

- The outcomes and outputs of the country programme and how the latter are expected to contribute to the achievement of the former, that is, elucidate the intervention strategy
- The main activities on which UNFPA focuses, both in terms of the areas of action (e.g., obstetric and neonatal care, fistula prevention, etc.) and type of activities (e.g., training, advocacy, provision of goods and/or equipment, etc.)
- The main groups targeted by the programme (e.g., young people, women of child-bearing age)
- The geographical coverage of the programme
- The UNDAF outcomes and outputs to which the country programme aims to contribute

- The links between the current country programme and the previous one, with special attention on whether the current strategies are new, or a continuation or expansion of work started in the previous cycle.

The programmatic evolution of the country programmes may be illustrated by means of a table comparing the outcomes (and/or outputs) of the current programme with those of the previous one.

Programmatic areas	Outcomes previous cycle	Outcomes current cycle
Population and development		
SRHR		
Gender equality		
Other programmatic area		

3.2.3. The financial structure of the programme

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

The snapshot of the financial structure of the programme provided in this section (budget and expenditure by years, programmatic area, and by origin of the funds) may be used as an input when assessing the efficiency criterion and, to some extent, when assessing the relevance criterion.

See *section 3.2.2* of the design report or *section 3.1.2.3* of the handbook, The financial structure of the country programme, for a refresher on the elements to be included in this section.

This subsection should, at least, contain data on three aspects:

- The overall budget, the expenditure and their evolution over time
- The breakdown of budget and expenditure by programmatic area and by year; it is advisable to use a combination of numerical tables and graphs: tables provide more detailed information but are less visually effective, whereas graphs are less detailed in terms of data, yet provide a clearer snapshot (see *Template 18*)
- The yearly budget and expenditure by origin of funds.

This section should also include the breakdown of UNFPA interventions by year, specifying the budget and expenditure attributable to each Atlas project. The list should be attached as an annex to the final report (see *Template 3*).

Tip: The contents of chapters 1, 2 and 3 of the final report are very similar to chapters 1 to 5 of the design report. In this regard, it is recommended that the evaluation team uses the design report as a reference point when drafting the first three chapters of the final report, updating and adjusting them as deemed relevant on the basis of new information obtained during the field phase. Note that the design report is an internal document, while the final report is a public document: use the design report as a tool when drawing up the final report but do not refer the reader to the design report.

CHAPTER 4: Findings – answers to the evaluation questions

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

See *section 5.2 of the Handbook, From data to findings: constructing the answers to evaluation questions* and *Tool 1, The evaluation matrix*, to identify the factors behind the choice in the layout.

Chapter 4 should comply with the following requirements:

- The text should contain the results of the data analysis carried out during the field phase on the programmatic areas: the text should consist of answers to the evaluation questions (i.e. findings) based on well-triangulated evidence and reasoned judgements. The main evidence backing up the findings and judgements should be referred to in the text.
- In the narrative (text or footnotes), there should be no mention of informants (names of interviewees) consulted when collecting data. The Ethical Code of Conduct for UNEG/UNFPA Evaluations[55] clearly establishes that evaluators "should protect the anonymity and confidentiality of individual informants (…) evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source".

Tip: Analysis cannot be based on the opinion of a single person, which is a single data entry that corresponds to a single data source and a single method for data collection (interview). Remember that data has to be cross-checked (triangulation). Moreover, the analysis to be included in the final report is not the analysis made by informants but is the analysis made by the evaluator: it is an interpretation of what has happened according to a logical line of argument based on evidence.

55 The Code is included in the last part of Template 1, *The terms of reference for CPE*.

The presentation of the findings should be as follows:

- Text of the evaluation question
- Short summary of the answer (within a box)
- Detailed answer to the evaluation question.[56]

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

Findings should be supported by evidence and this should be shown in the text. The evaluation matrix used during the field phase could be of use at this stage since it offers an inventory of the main evidence associated with findings by evaluation question. The table could be used to select evidence related to key findings, which could be included in the text.

Tool 1 and *Template 5*, *The evaluation matrix*, can also help when writing *Chapter 4* of the final report, as they offer an inventory of the evidence organized by findings and by evaluation question.

56 See CPE of Madagascar at https://www.unfpa.org/sites/default/files/admin-resource/MadagascarReport1_FR_7.pdf

BOX 18: QUALITY ASPECTS TO CONSIDER ABOUT THE FINDINGS

- Findings should stem from rigorous data analysis: a finding that is not supported by evidence in the form of data (qualitative or quantitative) is not valid. Anecdotal information does not qualify as a finding.
- Findings should be substantiated by evidence: there should be a clear pathway from data to findings, so that all findings are evidence-based.
- Whenever there are biases in findings, this should be stated and discussed in the report.
- Findings should be presented in a clear manner, i.e., they should be understandable, coherent and follow a logical line of argument

CHAPTER 5: Conclusions

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

The conclusions should be organized in clusters. The nature and number of clusters will vary and will be decided by the evaluation team. A two-cluster sequence is suggested: strategic-level and programmatic-level.

- The strategic-level cluster usually includes strategic positioning issues, organizational issues of strategic relevance and other aspects that may have repercussions and implications for the country office strategic response in the country – e.g., structural problems with sustainability.
- The programmatic-level cluster features conclusions associated with the CP programmatic interventions.

BOX 19: QUALITY ASPECTS TO CONSIDER WHEN PRESENTING THE ANALYSIS

- Interpretations of findings, which are inherent in the evaluators' judgements, will often be based on assumptions. Such assumptions should be carefully described. Similarly, extrapolations should be well explained and limitations in both interpretations and extrapolations should be noted and briefly discussed in the text.
- Contextual factors that have an influence on the results presented in the analysis should also be identified, and their particular influence explained in detail.
- Cause-and-effect links between an intervention and its end results (including unintended results) should be explained.
- The analysis presented in *Chapter 4* should respond to all evaluation questions. There should be no omission. In the event that a specific evaluation question cannot be answered or a given evaluation criterion cannot be assessed, evaluators should acknowledge this limitation and provide an explanation.
- The analysis should also feature explanations of the cause-and-effect links between the country programme intervention and its outputs and outcomes, including unintended effects.

Tip: A CPE may generate conclusions associated with issues of corporate interest, that is, issues that may be relevant to the UNFPA headquarters or to regional offices – e.g., issues related to the timing of CPEs, to structural methodological constraints, or to programming processes (CPD, UNDAF, etc.).

Conclusions should be presented as follows:

- They must be numbered consecutively, and the numbering should not restart with each cluster – i.e., the first conclusion under the programmatic cluster should not be numbered as conclusion one even if it is the first conclusion in the cluster; it should be numbered consecutively on the basis of the previous conclusion.
- They must be organized and presented in order of priority: the most important conclusions should come first.
- They should be briefly summarized in a box in bold letters and immediately explained in further detail in one to three paragraphs.

For example:

5.1 Strategic Level

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

Origin: *Evaluation question(s) 9 and X*

Evaluation criteria: *Added value*

Associated recommendation(s): *X*

Main text of the conclusion, e.g., *UNFPA has demonstrated real added value in its programmatic areas. Its recognized technical expertise has allowed UNFPA to act as a facilitator, playing an effective intermediary role between donors and the national counterpart, particularly in the reproductive health component.*

The country office also adds value in engaging actively and effectively in policy dialogue, and particularly in placing sensitive themes on the national agenda. In some cases, the added value of UNFPA lies in the fact that it is the only development partner to intervene; this is particularly true for the issue of the reparation of obstetric fistulae or in the support to the organization of the Census. Although the added value of UNFPA should not to be confused with its financial and material support, this confusion is often made by its partners and beneficiaries.

The following box summarizes the quality aspects that evaluators should bear in mind when formulating conclusions. These aspects will determine the degree of validity of the conclusions.

BOX 20: QUALITY ASPECTS TO CONSIDER ON THE VALIDITY OF THE CONCLUSIONS

Conclusions should be based on credible findings. In this regard, it is very important that statements in a given conclusion are easily linkable to judgements, findings and evidence contained in the analysis in *Chapter 4*.

Conclusions must be assertive and convey evaluators' unbiased judgement of the intervention. In this regard, evaluators – particularly the team leader, as the person responsible for the report – should ensure that judgements are not influenced by preconceptions or assumptions, and are clearly discussed and explained in the text.

Tip: Giving due consideration to the formulation of conclusions and recommendations and ensuring their quality is of utmost importance. They will constitute the part of the report to which most readers will direct their attention.

Evaluators must not formulate conclusions by way of rephrasing statements corresponding to findings and judgements (answers to evaluation questions) presented in chapters 4 to 6. Conclusions may contain references to the main findings, evidence and answers to evaluation questions, but the essence of the conclusion must address a higher level of analysis.

Reminder: Conclusions take the answers to the evaluation questions one step further (or one level higher) to an aggregated level of analysis: they are reasoned evidence-based judgements based on the answers to the evaluation questions.

BOX 21: WHAT ARE THE MAIN DIFFERENCES BETWEEN A FINDING AND A CONCLUSION?

Findings	Conclusions
Findings stem from facts, data and interpretation analysis.	Conclusions are at a higher level of analysis than findings.
Findings are associated with answering specific evaluation questions.[57]	Conclusions are associated with the overall assessment of the country programme and the framework in which it is inserted.
Findings do not involve value judgements.	Conclusions present the unbiased judgement of the evaluator.
Both findings and conclusions are a result, a consequence, of the analysis carried out during the evaluation.	

CHAPTER 6: Recommendations

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

In presenting their recommendations, evaluators should adopt the same clusters as for the conclusions. The presentation is also similar: a summary box featuring a brief formulation of the recommendation in bold letters, followed by a more detailed explanation of the main elements of the recommendation and how it could be implemented.

Recommendations should also be presented in priority order, and should specify the level of priority: high, medium or low. In addition, each recommendation should specify the target audience to which it is directed.

Reminder: Recommendations are usually associated with problems, weaknesses and areas where there is room for improvement. However, recommendations can also be associated with particularly positive aspects and address, for example, the need to scale up or replicate successful practices and approaches, or suggestions on maintaining support in areas where the country office was not fully aware of its tangible added value.

The following example illustrates how to present a high-priority strategic-level and programmatic-level recommendation targeted at the country office:

57 Findings are statements based on empirical evidence that allow evaluation questions or parts/aspects of evaluation questions to be answered.

6.1 Strategic level

Recommendation 2

Create conditions for sustainable effects: *elaborate and integrate an exit strategy at both programming* and implementation *levels and develop a capacity development strategy for the entire programming cycle.*

Priority: *High*

Target level: *Country office*

Based on conclusions: *x, y*

Operational implications

UNFPA in consultation with its partners should include an exit strategy both in the CPD and in AWPs that creates conditions for sustainability of benefits and limits the substitution effect of stepping in for the government in a number of areas, which creates dependency. In addition, efforts should be put in place to develop the capacities of strategic partners or to share knowledge (such as delivering training and workshops, providing long- and short-term technical assistance, positioning national and/or international experts) within an overall capacity development strategy for a five-year time period that will complement the CPD and would be a condition sine qua non to obtain long-lasting effects.

In this particular example, the recommendation was targeted at the country office. Other usual audiences for recommendations in CPE are UNFPA headquarters and regional offices. Recommendations could also be targeted at two different groups simultaneously; this will occur when implementing the recommendation requires the actions of more than one group – e.g., allocation of more financial allocations to specific areas, whether programmatic or not, will require action from both the country office and UNFPA headquarters.

6.2 Programmatic level

Recommendation 18

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

Priority: *High*

Target level: *Headquarters*

Based on conclusions: *x, y*

Operational implications

It is strongly suggested that UNFPA headquarters should prioritize in an urgent manner the development of guidelines and tools (to be included in the Policies and Procedures Manual) for the development of capacities in results-oriented monitoring. In this respect, the most urgent need would be the development of a quality guide for the development and approval of results monitoring frameworks in the country programmes based on a results-based monitoring approach.

The results frameworks for country programmes should systematically undergo quality assurance (i.e. quality control) by the regional office.

Recommendations should be realistic, clear and useful, which in turn means they should be practical and feasible. The following box summarizes the quality aspects evaluators should bear in mind when formulating useful recommendations.

BOX 22: QUALITY ASPECTS IN RELATION TO THE CLARITY AND USEFULNESS OF RECOMMENDATIONS

Recommendations should flow from conclusions – i.e., there should be a clear link between conclusions and recommendations. The order followed when presenting recommendations should be consistent with the order of prioritization of the conclusions.

Tip: To ensure that all recommendations are logically linked to conclusions, draw up a two-column table; put recommendations in the first column and the conclusions with which they are associated in the second column. One recommendation could be linked to a number of conclusions. No recommendation should be presented in the report unless it is clearly linked to at least one conclusion.

Recommendations must be strategic, targeted and actionable. They should be sufficiently detailed to enable the reader to understand what should be done to take the actions required to implement them.

Tip: Avoid generic recommendations and make sure they are context-specific – i.e., make sure they take into account the limitations inherent in the context in which they will be implemented. Remember that, in order to be actionable, recommendations should also take into account UNFPA rules and procedures. Very innovative and well-formulated recommendations that may collide with, or be hindered by UNFPA rules and procedures during implementation are useless.

Recommendations should incorporate the views of the target groups that will have to take action to implement them. Make sure recommendations incorporate these views while remaining impartial.

Tip: Explain in the methodological section in Chapter 1 what has been done (the consultation processes) to ensure that the views of those having to implement recommendations have been incorporated – e.g., the presentation/validation workshop with the country office and the reference group at the end of the field phase. Do not forget to explain how you managed to ensure that such consultation processes did not affect your impartiality when drafting the recommendations.

Recommendations should be presented in priority order.

7.3 TEMPLATES

This section contains a set of ready-to-use templates that can be used throughout the different phases of the evaluation process. These templates are associated with either the tools presented in the Toolkit, or with the key documents that are referred to throughout the text.

TABLE 21: *List of templates*

Template	Name	Preparatory phase	Design phase	Field phase	Reporting phase	Facilitation of use and dissemination phase
Template 1	The terms of reference for CPE	Obligatory				
Template 2	Assessment of consultant CVs	Obligatory				
Template 3	List of Atlas projects by country programme output and strategic plan outcome		Optional	Optional		
Template 4	The stakeholders map		Optional	Optional		
Template 5	The evaluation matrix		Obligatory	Obligatory		
Template 6	The CPE agenda		Obligatory	Obligatory		
Template 7	Interview logbook		Optional	Optional		
Template 8	The design report for CPE		Obligatory			
Template 9	Note of the results of the focus group			Optional		
Template 10	The structure of the final report			Obligatory	Obligatory	
Template 11	Abstract of the evaluation report				Obligatory	
Template 12	Management response				Obligatory	
Template 13	Evaluation Quality Assessment grid and explanatory note				Obligatory	
Template 14	Letter of invitation to participate in a reference group	Optional			Obligatory	

Template 15	Work plan		Optional			
Template 16	Communication plan for sharing evaluation results	Optional	Optional	Optional	Optional	Obligatory
Template 17	Basic list of acronyms		Optional			
Template 18	Basic graphs and tables in Excel		Optional			

TEMPLATE 1: THE TERMS OF REFERENCE FOR CPE

The terms of reference (ToR) of the evaluation define the parameters of the evaluation. Specifically, they outline the purpose, objectives and scope of the evaluation, the methodology to be utilized, the composition of the evaluation team and their respective roles and responsibilities, the expected deliverables, timeline and budget. The ToR also serve as the basis of the contractual arrangement between UNFPA and the evaluator or evaluation team to conduct the evaluation.

The ToR are prepared and drafted by the evaluation manager as a first step in the evaluation process.

The ToR of the evaluation should follow the following structure:

1. Introduction
2. Context
3. Objectives and scope of the evaluation
4. Evaluation criteria and preliminary evaluation questions
5. Methodology and approach
6. Evaluation process
7. Expected outputs
8. Work plan and indicative schedule of deliverables
9. Composition of the evaluation team
10. Management of the evaluation
11. Bibliography
12. Annexes

1. INTRODUCTION

This section outlines the general role of evaluation at UNFPA (i.e. learning, accountability etc.); lists the institutional policies that mandate the conduct of evaluation (UNFPA mandates, Executive Board decisions), and provides the rationale for conducting the CPE.

This section should also include the intended audience and users of the evaluation.

2. CONTEXT

This section should present the subject to be evaluated within the national context. As such, the section could include relevant economic, social and political indicators and relevant aspects of the UNFPA institutional normative and strategic framework.

This section should also provide a description of the UNFPA programmatic interventions within the country vis-à-vis the subject to be evaluated and UNFPA's strategic priorities.

This section should also identify any contextual issues relating to gender equality and human rights that need to be examined.

3. OBJECTIVES AND SCOPE OF THE EVALUATION

This section should state the objectives of the evaluation (both the overall objectives of a CPE and the specific objectives), detail the subject/issues that will be evaluated, and delineate the scope of the evaluation (time frame, geographical coverage).

4. EVALUATION CRITERIA AND PRELIMINARY EVALUATION QUESTIONS

This section should identify the initial evaluation questions and the evaluation criteria, which should include OECD-DAC evaluation criteria (relevance, effectiveness, efficiency and sustainability) as well as additional criteria as relevant (e.g., coordination within the UNCT, added value etc.).

The final evaluation questions and the evaluation matrix will be finalized by the evaluation team in the design report.

5. METHODOLOGY AND APPROACH

This section should describe the evaluation's intended approach and methodology, including the methodological approach, which will be elaborated by the evaluation team during the design phase.

This section should also detail data-collection and analysis methods, data sources, validation methods and stakeholder involvement/participation.

6. EVALUATION PROCESS

This section should describe the evaluation's intended approach and methodology, including the methodological approach, which will be elaborated by the evaluation team during the design phase.

This section should broadly outline the phases of the evaluation and what is expected within each: (i) preparation; (ii) design; (iii) field; (iv) reporting; and (v) facilitation of use and dissemination.

7. EXPECTED OUTPUTS

This section should list the planned outputs of the evaluation:

- *The design report*
- *The debriefing presentation at the end of the field phase*
- *The evaluation report, with annexes.*

This section should also note the language in which the deliverables should be produced.

8. WORK PLAN AND INDICATIVE TIME SCHEDULE OF DELIVERABLES

This section outlines the specific activities and milestones of the evaluation, as well as the deadlines for each of the evaluation's phases and deliverables (including the design report, draft(s) of the evaluation report, and the planned submission date of the final report).

Ideally, the time schedule would be in a table format for easy reference.

9. COMPOSITION OF THE EVALUATION TEAM

This section specifies the composition and qualifications of the evaluation team members. It should consider identifying the number of evaluators and thematic (subject area) experts needed, and provide specific job descriptions for each, including the required skills and experience. The expected responsibilities of each team member should also be detailed, as should information on any conflict of interest. The section should also include the distribution of workdays across the team and payment information.

It is expected that the core evaluation team will be comprised of at least three members:

- *Team leader, with overall responsibility for providing guidance and leadership, and in coordinating the draft and final report*
- *Two team specialists, who will provide thematic expertise (in the core subject area(s) of the evaluation) and evaluation expertise, and be responsible for drafting key parts of the report*
- *Other members as appropriate.*

Note that all team members must be committed to respecting deadlines within the agreed time frame. Team members must also be able to work in a multidisciplinary team and multicultural environment, and should be knowledgeable of issues pertaining to human rights and gender equality.

10. MANAGEMENT OF EVALUATION

This section indicates the roles and responsibilities of the evaluation manager, the evaluation team members and the evaluation reference group.

This section will also present a brief outline of the quality assurance process.

11. BIBLIOGRAPHY

This section includes the initial list of documents and websites to be consulted by the evaluation team.

12. ANNEXES

Annexes may differ, but generally can include:

- *UNEG/UNFPA Ethical Code of Conduct for Evaluations*
- *List of Atlas projects for the period under evaluation*
- *A list of stakeholders by areas of intervention*
- *A short outline of the structure of both the design and final evaluation reports*
- *A template for the evaluation matrix*
- *Evaluation Quality Assessment template and explanatory note*
- *Management response template*
- *United Nations-approved editing guidelines.*

TEMPLATE 2: ASSESSMENT OF CONSULTANT CVS

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

- *Step 1. At least two candidates per position should be pre-selected by the evaluation manager. The evaluation manager at the country office should seek assistance from the regional M&E adviser to identify potential candidates (especially at regional and/or international level).*
- *Step 2. The evaluation manager completes: (a) assessment of CVs: individual grids; (b) summary assessment table.*
- *Step 3. The individual grids and summary assessment table undergo a review by the regional M&E adviser with a view to ensuring that they are sufficiently detailed and precise for an assessment by the Evaluation Office.*
- *Step 4. The evaluation manager submits the summary assessment table to the Evaluation Office together with the CVs of the assessed consultants.*
- *Step 5. The Evaluation Office assesses the quality of the proposed consultants and indicates which experts should be considered as potential candidates for participation in the competitive selection process ("pre-qualification").*
- *Step 6. The evaluation manager proceeds with the interview process and identifies the experts who will conduct the CPE.*

Assessment of consultant CVs – individual grids

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

Personal information	
Candidate #	
Name	
Gender	
Nationality	

Criteria	Maximum points	Score	Reviewers' comments
Advanced degree in social sciences or related fields	10		
Experience leading evaluations in the field of development for United Nations organizations or other international organizations	10		
Experience in conducting complex programme - and/or country-level evaluations including knowledge of evaluation methods and techniques for data collection and analysis[58]	20		
Experience in/knowledge of the region	10		
Excellent ability to communicate and excellent drafting skills in the language of the report	20		
Total points	**70**		

SRHR expert

Personal information	
Candidate #	
Name	
Gender	
Nationality	

Criteria	Maximum points	Score	Reviewers' comments
Diploma in social sciences with specialization in health	10		
Experience conducting evaluations/research in the field of development for United Nations organizations or other international organizations in the area of health	20		
Experience in the area of health	10		

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

Criteria	Maximum points	Score	Reviewers' comments
Experience in/knowledge of the region	10		
Excellent drafting skills in the language of the report and communication ability	20		
Total points	**70**		

Population expert

Personal information	
Candidate #	
Name	
Gender	
Nationality	

Criteria	Maximum points	Score	Reviewers' comments
Diploma in social sciences	10		
Experience conducting evaluations/research in the field of development for United Nations organizations or other international organizations in the area of population and development-related issues	10		
Experience in population and development-related issues	20		
Experience in/knowledge of the region	10		
Excellent drafting skills in the language of the report and communication ability	20		
Total points	**70**		

Gender equality expert

Personal information	
Candidate #	
Name	
Gender	
Nationality	

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

Name	Position	Summary of the skills and experience				Points	Final assessment
	Team leader and/or thematic expert	Academic qualifications and professional courses	Relevant work experience	Experience in/ knowledge of the region and country	Potential conflict of interest: Yes/No		Recommended or not recommended by evaluation manager

TEMPLATE 3: LIST OF ATLAS PROJECTS BY COUNTRY PROGRAMME OUTPUT AND STRATEGIC PLAN OUTCOME

Year N		Year N+1		Year N+2

Fund type	IA group	Implementing agency	Activity description	Geographic location	Atlas budget	Expense	Implementation rate
REGIONAL PROJECTS							
		Activity 01					
		…					
		Activity 01					
		…					
		Activity 01					
		…					
GENDER EQUALITY							
Strategic plan outcome:							
Country Programme Output:							
Annual work plan (*code and name*)							
		Activity 01					
		…					
		Activity 01					
		…					
		Activity 01					
		…					
POPULATION DYNAMICS							
Strategic plan outcome:							
Country Programme Output:							
Annual work plan (*code and name*)							
		Activity 01					
		…					
		Activity 01					
		…					
		Activity 01					
		…					

Fund type	IA group	Implementing agency	Activity description	Geographic location	Atlas budget	Expense	Implementation rate
REPRODUCTIVE HEALTH							
Strategic plan outcome:							
Country Programme Output:							
Annual work plan (*code and name*)							
		Activity 01					
		…					
		Activity 01					
		…					
		Activity 01					
		…					
OTHER PROGRAMMATIC AREA							
Strategic plan outcome:							
Country Programme Output:							
Annual work plan (*code and name*)							
		Activity 01					
		…					
		Activity 01					
		…					
		Activity 01					
		…					
ADMINISTRATION							

TEMPLATE 4: THE STAKEHOLDERS MAP

Donors	Implementing agencies	Other partners	Beneficiaries
GENDER EQUALITY			
Strategic plan outcome: (*descriptions as per CPD*)			
Country programme output: (*descriptions as per CPD*)			
Atlas project (*code and name*)			
…			
Strategic plan outcome: (*descriptions as per CPD*)			
Country programme output: (*descriptions as per CPD*)			
Atlas project (*code and name*)			
…			
POPULATION DYNAMICS			
Strategic plan outcome: (*descriptions as per CPD*)			
Country programme output: (*descriptions as per CPD*)			
Atlas project (*code and name*)			
…			
Strategic plan outcome: (*descriptions as per CPD*)			
Country programme output: (*descriptions as per CPD*)			
Atlas project (*code and name*)			
…			
SRHR			
Strategic plan outcome: (*descriptions as per CPD*)			
Country programme output: (*descriptions as per CPD*)			
Atlas project (*code and name*)			
…			
Strategic plan outcome: (*descriptions as per CPD*)			
Country programme output: (*descriptions as per CPD*)			
Atlas project (*code and name*)			
…			

TEMPLATE 5: THE EVALUATION MATRIX

EQ1: To what extent ...			
Assumptions to be assessed	**Indicators**	**Sources of information**	**Methods and tools for the data collection**
Assumption 1 (see example in *Tool 1*)			
Evaluators must fill in this box with all relevant data and information gathered during the field phase in relation to the elements listed in the "assumptions to be assessed" column and their corresponding indicators. *The information placed here can stem from: documentary review, interviews, focus group discussions, etc.* *Since the filled matrix will become the main annex of the final evaluation report, the evaluation team leader and evaluation manager must ensure that all of the information displayed:* • *Is directly related to the indicators listed above* • *Is drafted in a readable and understandable manner* • *Makes visible the triangulation of data* • *Has source(s) that are referenced in footnotes.*			
Assumption 2 (see example in *Tool 1*)			
Assumption 3 (see example in *Tool 1*)			
EQ2: To what extent ...			
Assumptions to be assessed	**Indicators**	**Sources of information**	**Methods and tools for the data collection**
Assumption 1 (see example in *Tool 1*)			
Assumption 2 (see example in *Tool 1*)			
Assumption 3 (see example in *Tool 1*)			

TEMPLATE 6: THE CPE AGENDA

Date	Activity/ institution	People to meet	Location	Link with the CP	Selection criteria	Justification
WEEK 1						
WEEK 2						
WEEK 3						
WEEK 4 (if applicable)						

TEMPLATE 7: INTERVIEW LOGBOOK

INTERVIEW DATA

Name (s) of the interviewee(s):	Position:	Institution/organization:
Interview date:	Output/AWP/Atlas project:	Stakeholder type:
Interviewer:	Area of analysis:	Interview code

INTERVIEW CONTENT

Background & key issues

Contents

Main conclusions

Next steps

TEMPLATE 8: THE DESIGN REPORT FOR CPE

After an initial review of the relevant documentation, the evaluation team will prepare the design report. The design report provides the conceptual and analytical framework of the evaluation, establishes the key evaluation questions and refines the methodology, including providing specific information on data-collection tools, data sources and analysis methods. The design report is also a means of ensuring a mutual understanding of the conduct of the evaluation between the evaluation manager and the evaluation team.

The design report is prepared and drafted by the evaluation team after their preliminary review of the relevant documentation.

The design/inception report of the evaluation should follow the following structure:

1. Introduction: purpose, objectives and scope of the evaluation
2. Country context
3. UNFPA strategic response and country programme
4. Methodological approach
5. Evaluation phases, work plan, deliverables, management structure and quality assurance
6. Annexes

1. INTRODUCTION: PURPOSE, OBJECTIVES AND SCOPE OF THE EVALUATION

This section should describe and further elaborate on the purpose, objectives and scope of the evaluation presented in the terms of reference.

This section should describe the purpose of CPEs generally and provide a concise overview of the specific objectives of the CPE within the country context.

The scope of the evaluation should be included in this section, consisting of a short and straightforward description of the area of work being evaluated as well as the geographical scope and time frame of the evaluation.

Finally, this section should note that the evaluation was commissioned by the country office, and state the aim of the design report as well as its role in the design phase.

2. COUNTRY CONTEXT

This section should detail the wider country context, including the relevant social, political and economic data, language and cultural traits, demography, geographic location, etc. The situation and development challenges of the country vis-à-vis UNFPA programmatic areas should be included, as should national strategies to respond to these challenges.

This section should also include details of the progress the country is making towards the achievement of relevant internationally agreed development goals (including the SDGs and the ICPD benchmarks).

Finally, information on official development assistance (ODA) and the role of external assistance (currently and over time) should be discussed. The main donors/ODA providers should be included.

3. UNFPA STRATEGIC RESPONSE AND COUNTRY PROGRAMME

This section should situate the country programme within the broader United Nations system framework and the corporate strategic/normative framework of UNFPA.

The response of UNFPA through the particular country programme should be detailed, including the main elements of the country programme as set forth in the programming documents as well as the underlying intervention logic (i.e., the links among activities, outputs and outcomes). The geographical coverage of the programme, as well as the evolution of the programme over time, should also be explained.

A detailed financial analysis of the programme budget by output and outcome should be included, clearly distinguishing between resource targets set out in the country programme document (CPD) and the actual resources mobilized during the programme cycle. Implementation rates should also be included.

4. METHODOLOGICAL APPROACH

This section should provide a clear and detailed description of the evaluation approach and methodology (i.e., a theory-based approach, outlining the intervention logic leading to a reconstructed theory of change of UNFPA support as appropriate). It should also explain how the methodology is gender and human rights-responsive (as well as detailing any limitations in implementing a gender- and human rights-responsive evaluation).

This section should include the evaluation questions and the evaluation criteria to which they respond, noting that an evaluation question may correspond to multiple criteria. OECD-DAC evaluation criteria (relevance, effectiveness, efficiency and sustainability) should be used and, as relevant, two additional criteria: added value and coordination with the UNCT. It should also contain an explanation as to why each question was selected.

Consider referring to Annex I of "Integrating Human Rights and Gender Equality in Evaluation – Towards UNEG Guidance" for advice on criteria and questions that are gender- and human rights-responsive.

An evaluation matrix (the primary analytical tool of the evaluation) should be presented, linking the evaluation questions to the evaluation criteria. Evaluation questions should be broken down into assumptions (aspects to focus upon) and attendant indicators. Evaluation questions should be linked to data sources and data-collection methods.

Data-collection and analysis methods and the stakeholders map (including the methodological approach for stakeholder selection) should be included. A description of how gender and human rights were considered vis-à-vis data-collection and analysis methods, as well as stakeholder selection, should also be included. Consider referring to Table 3.2 (Tailoring common methods to address human rights and gender equality) on page 40 of "Integrating Human Rights and Gender Equality in Evaluation: Towards UNEG Guidance" for advice on how best to tailor data-collection methods. The document can be found here: http://www.uneval.org/document/detail/980

Finally, any limitations and risks to the evaluation should be discussed. This section should explain data gaps and any issues affecting data quantity and quality. Factors that may restrict access to key sources of information should also be listed. Relevant limitations to implementing a gender- and human rights-responsive evaluation should be included as well.

Mitigation measures to address limitations should be detailed and, in cases where limitations cannot be addressed, a brief explanation on the extent to which the validity and credibility of the evaluation results could be affected should be provided.

5. EVALUATION PHASES, WORK PLAN, DELIVERABLES, MANAGEMENT STRUCTURE AND QUALITY ASSURANCE

This section should detail the overall evaluation process and its stages. It should present a detailed work plan for each phase/stage of the evaluation, including the expected deliverables per stage set against appropriate and realistic timelines.

It should also detail the team composition and establish clear roles and responsibilities for the evaluation manager, the team leader and the team itself. As appropriate, details on field work, including specifications on logistic and administrative support, should be included, as should the budget required.

This section should, additionally, outline the management and governance arrangements of the evaluation and clearly describe the approach to quality assurance.

6. ANNEXES

Annexes may differ, but could include:

- *Terms of reference*
- *Evaluation matrix*
- *Templates or outlines of data-collection methods (e.g., interview protocols/guides, logbooks or equivalent, survey questionnaires)*
- *List of Atlas interventions and financial data*
- *Stakeholders map and list of persons consulted*
- *Bibliography/documents consulted*
- *CPE agenda*

TEMPLATE 9: NOTE OF THE RESULTS OF THE FOCUS GROUP

1. Objective of the focus group

2. Methodology

3. List of participants (name, institution)

4. Report on the topics discussed

Topic discussed (*formulated as a question*)
Summary of the discussion

Topic discussed (*formulated as a question*)
Summary of the discussion

Topic discussed (*formulated as a question*)
Summary of the discussion

TEMPLATE 10: THE STRUCTURE OF THE FINAL REPORT

Cover page

UNFPA CPE: *NAME OF THE COUNTRY*
Period covered by the evaluation
FINAL EVALUATION REPORT
Date

Second page

Country map *(half-page)*

Table *(half-page)*

Evaluation team	
Titles/position in the team	Names

Third page

Acknowledgements

Fourth page

Table of contents

Section	Title	Suggested length
EXECUTIVE SUMMARY		5 pages max
CHAPTER 1: Introduction		
1.1	Purpose and objectives or the CPE	5–7 pages max
1.2	Scope of the evaluation	
1.3	Methodology and process	
CHAPTER 2: Country context		
2.1	Development challenges and national strategies	5–6 pages max
2.2	The role of external assistance	

Section	Title	Suggested length
CHAPTER 3: United Nations/UNFPA response and programme strategies		
3.1	UNFPA strategic response	5–7 pages max
3.2	UNFPA response through the country programme	
3.2.1	Brief description of UNFPA previous cycle strategy, goals and achievements	
3.2.2	Current UNFPA country programme	
3.2.3	The financial structure of the programme	
CHAPTER 4: Findings: answers to the evaluation questions		
4.1	Answer to evaluation question 1	25–35 pages max
4.2	Answer to evaluation question 2	
4.3	Answer to evaluation question 3	
4.4	Answer to evaluation question X	
CHAPTER 5: Conclusions		
5.1	Strategic level	6 pages max
5.2	Programmatic level	
CHAPTER 6: Recommendations		
6.1	Recommendations	4–5 pages max
(Total number of pages)		55–70 pages

ANNEXES

Annex 1 Terms of reference

Annex 2 List of persons/institutions met

Annex 3 List of documents consulted

Annex 4 The evaluation matrix

Fifth page

Abbreviation and acronyms

List of tables

List of figures

Sixth page

Key facts table

TEMPLATE 11: ABSTRACT OF THE EVALUATION REPORT

CPE ..... (from-to)

Abstract

Subject of the evaluation

Purpose of the evaluation

Methodology

Note: Short explanation of the evaluation process and methodological approach.

Main conclusions

Note: Summary of the main conclusions.

Conclusions should derive from findings and should be explicit independent judgements; conclusions are the evaluation team's responsibility. Conclusions should be assembled by homogeneous "clusters" (not by evaluation criteria).

Main recommendations

Note: Summary of the main recommendations.

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

TEMPLATE 12: MANAGEMENT RESPONSE

UNFPA management response	**CPE** *(from–to): ..... (name of the country)*

Note: The following management response lists the recommendations as they appear in the evaluation report. Please refer to the report for more details on each recommendation. Recommendations may be organized by clusters (e.g., strategic recommendations and recommendations associated with the country programme). Within each cluster, recommendations should be ranked by priority levels (high, medium, low).

Instructions for completing the management response:

- Boxes in white to be completed upon receiving the present request
- Boxes in grey to be completed one year later.

Cluster 1: Strategic recommendations				
Recommendation#	**To** ..... *(e.g., Office of the Executive Director)*			**Priority level: high, medium, low**
Management response: *Please provide your response to the above recommendation. Where recommendations (or parts of) are not accepted, please provide a detailed justification. Where accepted, please indicate the key actions for implementation:*				
Key action(s)	**Deadline**	**Responsible unit(s)**	**Annual implementation status updates**	
			Status (ongoing or completed)	**Comments**

Recommendation#	**To** ..... *(e.g., Office of the Executive Director)*			**Priority level** .....
Management response: *Please provide your response to the above recommendation. Where recommendations (or parts of) are not accepted, please provide a detailed justification. Where accepted, please indicate the key actions for implementation:*				
Key action(s)	**Deadline**	**Responsible unit(s)**	**Annual implementation status updates**	
			Status (ongoing or completed)	**Comments**

Cluster 2: Recommendations associated with the programme				
Recommendation#	**To**			**Priority level** .....
Management response: *Please provide your response to the above recommendation. Where recommendations (or parts of) are not accepted, please provide a detailed justification. Where accepted, please indicate the key actions for implementation:*				
Key action(s)	**Deadline**	**Responsible unit(s)**	**Annual implementation status updates**	
			Status (ongoing or completed)	**Comments**

TEMPLATE 13: EVALUATION QUALITY ASSESSMENT GRID AND EXPLANATORY NOTE

The importance of quality assurance throughout the evaluation process

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

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

Key quality assurance milestones

Quality assurance occurs at different points throughout the implementation of a CPE. Each step taken to ensure quality builds on the previous steps, with a view to strengthening the entire evaluation process and the ultimate end product (the final evaluation report). Omissions or gaps in the quality assurance process are difficult and, at times, impossible to correct at a later stage. It is therefore important to approach quality assurance with a clear idea of the issues that need to be checked at each milestone throughout the evaluation process and the criteria to be used to perform a quality check.

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

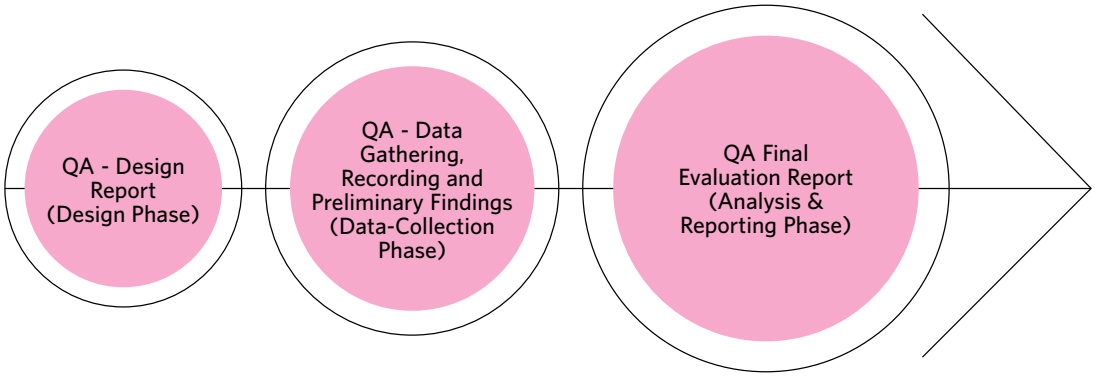
At the end of the design phase of the evaluation, **quality assurance focuses on the design report, as the main product of the design phase of CPEs**. The design report defines the scope of the evaluation (in the form of the list of evaluation questions and indicators) and lays out the specific methodology (evaluation matrix, approach and tools for data collection and analysis, etc.). Lapses in quality assurance at this stage have negative implications for the entire evaluation process and products.

Although the field phase is not associated with a key deliverable, **quality assurance during this period of the evaluation is meant to ensure that evaluators gather data and information** from an appropriate and balanced selection of sources (both documents and interviewees), at the appropriate level of detail. Quality assurance also consists in checking that the **data and information are recorded** in a consistent manner by the different evaluators.

At the end of the analysis and reporting phase, the object of the **quality assurance** is **the draft final evaluation report**. Once the final report is produced and submitted to the evaluation office, it is subject to a quality assessment. Quality depends, in particular, on the reliability of the evidence, the credibility of the evaluation findings, the validity of the conclusions, and the specificity and feasibility of the recommendations.

The evaluation manager is primarily responsible for quality assurance. However, the **leader of the evaluation team** has a major role to play, as well. The team leader should ensure that all members of the evaluation team deliver high-quality contributions to the main deliverables and provide deliverables (design and final reports) that comply with the **quality assessment** criteria (as detailed in the EQA grid and explanatory note produced by the UNFPA Evaluation Office – see template ahead).

FIGURE 12: *KEY QUALITY ASSURANCE MILESTONES DURING THE IMPLEMENTATION OF CPEs*



Evaluation Quality Assessment grid

Organizational unit:			**Year of report:**	
Title of evaluation report:				
Overall quality of report:			**Date of assessment:**	
Overall comments:				
Assessment Levels	**Very Good**	**Good**	**Fair**	**Unsatisfactory**
	strong, above average, best practice	satisfactory, respectable	with some weaknesses, still acceptable	weak, does not meet minimal quality standards

Quality Assessment Criteria	Insert assessment level followed by main comments. (use 'shading' function to give cells corresponding colour)		
1. Structure and Clarity of Reporting	Yes No Partial	Assessment Level:	
To ensure the report is comprehensive and user-friendly		*Comment:*	
1. Is the report easy to read and understand (i.e. written in an accessible language appropriate for the intended audience) with minimal grammatical, spelling or punctuation errors?			
2. Is the report of a reasonable length? (maximum pages for the main report, excluding annexes: 60 for institutional evaluations; 70 for CPEs; 80 for thematic evaluations)			
3. Is the report structured in a logical way? Is there a clear distinction made between analysis/findings, conclusions, recommendations and lessons learned (where applicable)?			
4. Do the annexes contain – at a minimum – the ToRs; a bibliography; a list of interviewees; the evaluation matrix; methodological tools used (e.g. interview guides; focus group notes, outline of surveys) as well as information on the stakeholder consultation process?			
Executive summary			
5. Is an executive summary included in the report, written as a stand-alone section and presenting the main results of the evaluation?			
6. Is there a clear structure of the executive summary, (i.e. i) Purpose, including intended audience(s); ii) Objectives and brief description of intervention; iii) Methodology; iv) Main conclusions; v) Recommendations)?			
7. Is the executive summary reasonably concise (e.g. with a maximum length of 5 pages)?			

2. Design and Methodology	Yes No Partial	Assessment Level:	
To ensure that the evaluation is put within its context		*Comment:*	
1. Does the evaluation describe the target audience for the evaluation?			
2. Is the development and institutional context of the evaluation clearly described and constraints explained?			
3. Does the evaluation report describe the reconstruction of the intervention logic and/or theory of change, and assess the adequacy of these?			
To ensure a rigorous design and methodology			
4. Is the evaluation framework clearly described in the text and in the evaluation matrix? Does the evaluation matrix establish the evaluation questions, assumptions, indicators, data sources and methods for data collection?			
5. Are the tools for data collection described and their choice justified?			
6. Is there a comprehensive stakeholder map? Is the stakeholder consultation process clearly described (in particular, does it include the consultation of key stakeholders on draft recommendations)?			
7. Are the methods for analysis clearly described for all types of data?			
8. Are methodological limitations acknowledged and their effect on the evaluation described? (Does the report discuss how any bias has been overcome?)			
9. Is the sampling strategy described?			
10. Does the methodology enable the collection and analysis of disaggregated data?			
11. Is the design and methodology appropriate for assessing the cross-cutting issues (equity and vulnerability, gender equality and human rights)?			

3. Reliability of Data	Yes No Partial	Assessment Level:	
To ensure quality of data and robust data collection processes		*Comment:*	
1. Did the evaluation triangulate data collected as appropriate?			
2. Did the evaluation clearly identify and make use of reliable qualitative and quantitative data sources?			
3. Did the evaluation make explicit any possible limitations (bias, data gaps etc.) in primary and secondary data sources and if relevant, explained what was done to minimize such issues?			
4. Is there evidence that data has been collected with a sensitivity to issues of discrimination and other ethical considerations?			

4. Analysis and Findings	Yes No Partial	Assessment Level:	
To ensure sound analysis and credible findings		*Comment:*	
1. Are the findings substantiated by evidence?			
2. Is the basis for interpretations carefully described?			
3. Is the analysis presented against the evaluation questions?			
4. Is the analysis transparent about the sources and quality of data?			
5. Are cause and effect links between an intervention and its end results explained and any unintended outcomes highlighted?			
6. Does the analysis show different outcomes for different target groups, as relevant?			
7. Is the analysis presented against contextual factors?			
8. Does the analysis elaborate on cross-cutting issues such as equity and vulnerability, gender equality and human rights?			

5. Conclusions	Yes No Partial	Assessment Level:	
To assess the validity of conclusions		*Comment:*	
1. Do the conclusions flow clearly from the findings?			
2. Do the conclusions go beyond the findings and provide a thorough understanding of the underlying issues of the programme/ initiative/system being evaluated?			
3. Do the conclusions appear to convey the evaluators' unbiased judgement?			

6. Recommendations	Yes No Partial	Assessment Level:	
To ensure the usefulness and clarity of recommendations		*Comment:*	
1. Do recommendations flow logically from conclusions?			
2. Are the recommendations clearly written, targeted at the intended users and action-oriented (with information on their human, financial and technical implications)?			
3. Do recommendations appear balanced and impartial?			
4. Is a timeframe for implementation proposed?			
5. Are the recommendations prioritised and clearly presented to facilitate appropriate management response and follow up on each specific recommendation?			

7. Gender[59]	0 1 2 3 (**)	Assessment Level:	
To assess the integration of Gender Equality and Empowerment of Women (GEEW) (*)		*Comment:*	
1. Is GEEW is integrated in the evaluation scope of analysis and evaluation criteria and questions are designed in a way that ensures GEEW related data will be collected?			
2. Is a gender-responsive methodology used, including gender-responsive methods and tools, and data analysis techniques?			
3. Do the evaluation findings, conclusions and recommendations reflect a gender analysis?			

(*) This assessment criteria is fully based on the UN-SWAP Scoring Tool. Each sub-criteria shall be equally weighted (in correlation with the calculation in the tool and totalling the scores 11-12 = very good, 8-10 = good, 4-7 = Fair, 0-3=unsatisfactory).

(**) Scoring uses a four point scale (0-3).

0 = Not at all integrated. Applies when none of the elements under a criterion are met.

1 = Partially integrated. Applies when some minimal elements are met but further progress is needed and remedial action to meet the standard is required.

2 = Satisfactorily integrated. Applies when a satisfactory level has been reached and many of the elements are met but still improvement could be done.

3 = Fully integrated. Applies when all of the elements under a criterion are met, used and fully integrated in the evaluation and no remedial action is required.

59 Criteria #7 of the EQA grid (gender equality and the empowerment of women) directly mirrors the language of the UN System-wide Action Plan (UN-SWAP) on Gender Equality and the Empowerment of Women Evaluation Performance Indicator. In 2018, this indicator was updated, with the revision reflected in EQA grid. The previous indictor – against which evaluation reports were assessed prior to 2018 – included the following four questions:1. Is GEEW integrated in the evaluation scope of analysis and indicators designed in a way that ensures GEEW-related data to be collected? 2. Do evaluation criteria and evaluation questions specifically address how GEEW has been integrated into design, planning, implementation; of the intervention and the results achieved? 3. Have gender-responsive evaluation methodology, methods and tools, and data analysis techniques been selected? 4. Do the evaluation findings, conclusions and recommendations reflect a gender analysis?

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

(*) (a) Insert scoring points associated with criteria in corresponding column (e.g. - if 'Analysis and findings' has been assessed as 'Good', enter 40 into 'Good' column.

(b) Assessment level with highest 'total scoring points' determines 'Overall assessment level of evaluation report'. Write corresponding assessment level in cell (e.g. 'Fair').

(c) Use 'shading' function to give cells corresponding colour.

If the overall assessment is 'Fair', please explain

• How it can be used?

• What aspects to be cautious about?

Where relevant, please explain the overall assessment Very good, Good or Unsatisfactory

Consideration of significant constraints		
The quality of this evaluation report has been hampered by exceptionally difficult circumstances:	☐ Yes	☐ No
If yes, please explain:		

Explanations regarding scoring and weighing

Scoring the quality of evaluation reports: why and how

The scoring of EQAs serves two main purposes:

- To express an objective judgement on both the overall quality of an evaluation report and each evaluation criterion used in the quality assessment (synchronic approach)
- To assess the progress (or lack thereof) over time, either in the overall quality of UNFPA-funded evaluation reports or for each specific quality criterion (diachronic approach).

As indicated in the EQA grid above, the scoring scale comprises four levels: (1) unsatisfactory; (2) fair; (3) good; (4) very good.

Weighing the different criteria of the EQA grid: why and how

Each EQA criterion has been associated with a weight (or a multiplying factor) that illustrates its relative importance to the overall quality of the report. As you can see in the grid above, **criterion 4 (Analysis and Findings)** carries the most weight of all criteria (40) as a good analysis and credible findings are considered the backbone of a good-quality report.

In fact, a report containing sound analysis and credible findings is useful even if the conclusions and recommendations are poorly formulated, as sound analysis and credible findings provide the reader with accurate information on the evaluated programme as well as potentially useful "lessons learned".

In contrast, conclusions that appear convincing or recommendations that seem well-articulated cannot and should not be used when they are not grounded in a rigorous and sound analysis and robust findings.

As a result, fulfilment of criterion 4 is indispensable to the production of a good-quality report and, for this reason, holds a weight that accounts for nearly half of the total quality assessment score.

TEMPLATE 14: LETTER OF INVITATION TO PARTICIPATE IN A REFERENCE GROUP

[Name of UNFPA Country Office]

Ms/Mr XXXX
Address

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

Dear [insert name or greeting]

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

The objectives of the evaluation are:

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

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

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

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

I therefore hope you will consider it worthwhile to join the reference group and contribute to this valuable work.

I hope that this provides you with all of the information you need and I look forward to your early response. If you have questions or need further information on this evaluation, please do not hesitate to get in touch with [insert name and email address of evaluation manager], who will manage and lead this exercise within the country office.

With best regards,

[Name of UNFPA Country Representative]

Attachments:
Draft terms of reference

TEMPLATE 15: WORK PLAN

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

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

Main activities Field mission	Week										
	Month 1			Month 2				Month 3			
	week 3	week 4	week 5	week 1	week 2	week 3	week 4	week 1	week 2	week 3	week 4
Delivery of the design report											
Approval of the design report											
Completion of the agenda for in-country meetings and interviews		●									
Preparation of the interviews and adjustments in the agenda											
In-depth study of AWP, previous evaluations, etc. (secondary sources)											
Data collection											
Data analysis, triangulation (teamwork)											
Presentation preliminary results to country office						■					
Delivery of first draft of evaluation report									▲		
Comments from the country office											
Delivery of final evaluation report											✖

Legend and milestones:

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

TEMPLATE 16: COMMUNICATION PLAN FOR SHARING EVALUATION RESULTS

Who is the target audience?	For e.g., UNFPA country office senior management	For e.g., policymakers	For e.g., wider public
What are their knowledge needs?	Targeted evaluative evidence to inform decision-making; corporate reporting	Targeted evaluative results to improve their engagement with UNFPA; to support evidence-based policymaking	Targeted evaluation results for advocacy with the government
Which evaluation products will cater to their **knowledge needs?**	Evaluation report; executive summary; presentation	Evaluation report; executive summary; presentation; infographics	Infographics; videos; blogs; photo story
Which dissemination channels and platforms should be put to use?	Workshop; conference; webinar	Workshop; conference; webinar; face-to-face engagement; newsletter; existing knowledge networks	Website; social media
When should the dissemination take place? (timing)			
What are the estimated costs involved?			
Who is the responsible person/unit?			

TEMPLATE 17: BASIC LIST OF ACRONYMS

Below are examples of recurrent acronyms in CPEs			
	ENGLISH	FRENCH	SPANISH
A			
ADB/BAD/BAD	African Development Bank	Banque Africaine de Développement	Banco Africano de Desarrollo
ADR/ERD/ERD	assessment of development results	evaluation des résultats de développement	evaluación de resultados de desarrollo
AIDS/SIDA/SIDA	acquired immunodeficiency syndrome	syndrome d'immunodéficience acquise	síndrome de inmunodeficiencia adquirida
ANC/APN/APN	antenatal care	soins prénataux	atención prenatal
APRO	Asia and the Pacific Regional Office (UNFPA)	Bureau Régional pour l'Asie et le Pacifique (FNUAP)	Oficina Regional para Asia y el Pacífico (FNUAP)
ASRH/SSR/SSR	adolescent sexual and reproductive health	santé sexuelle et reproductive des adolescents	salud sexual y reproductiva de los adolescentes
Atlas	Enterprise resource planning system, for the recording and consolidation of information at global corporate level for all country offices	Système de planification de ressource d'entreprise, pour l'enregistrement et la consolidation d'informations à niveau global d'entreprise pour tous les bureaux de pays	Sistema de registro de gestión, rendición de cuentas y consolidación de la información a nivel corporativo global para todas las Oficinas de País
AWP/PAT/PAT	annual work plan	plan annuel de travail	plan anual de trabajo
B			
BCC/CCC/CCC	behaviour change communication	communication pour le changement de comportement	comunicación para el cambio de comportamiento
BEmONC/SONUB -SONUC	basic emergency obstetric and newborn care	soins obstétricaux et néonataux d'urgence/de base/ complets	cuidados obstétricos y neonatales de urgencia/ de base/trajes

C			
CARMMA	Campaign for the Accelerated Reduction of Maternal Mortality in Africa	Campagne pour la réduction accélérée de la mortalité maternelle en Afrique	Campaña para la Reducción acelerada de la mortalidad materna en África
CBO/OBC	community-based organization	organisation à base communautaire	organización de base comunitaria
CCA	common country assessment	bilan commun de pays	evaluación común de país
CCM/MCP	country coordinating mechanisms	mécanismes de coordination dans les pays	mecanismo de coordinación de país
CEDAW	Convention on the Elimination of All Forms of Discrimination against Women	Convention pour l'élimination de toutes les formes de discrimination à l'égard des femmes	Convención para la Eliminación de todas las formas de discriminación contra la mujer
CO	country office	bureau de pays	oficina de país
COAR	country office annual report	rapport annuel du bureau de pays	informe anual de la oficina de campo
CPAP/PAPP/PAPP	country programme action plan	plan d'action du programme de pays	plan de acción del programa de país
CPD	country programme document	descriptif du programme de pays	documento de programa de aís
CPN	prenatal consultation	consultation prénatale	consulta prenatal
CSO/OSC/OSC	civil society organization	organisation de la société civile	organización de la sociedad civil
CSS	south-south cooperation	coopération sud-sud	cooperación sur sur
D			
DAC/CAD/CAD	Development Assistance Committee (OECD)	Comité d'Aide au Développement (de l'Organisation pour la Coopération et le Développement Economiques)	Comité de Asistencia para el Desarrollo
DEX	direct execution (by UNFPA)	exécution directe	ejecución directa

DHS/EDS/ENDSA	Demographic and Health Survey	Enquête Démographique et de Santé	Encuesta Nacional de Demografía y Salud
E			
ECOSOC	Economic and Social Council of the United Nations	Conseil Economique et social des Nations Unies	Consejo Económico y Social de las Naciones Unidas
EID/EID/DIT	early infant diagnosis	diagnostic précoce chez les nourrissons	diagnóstico infantil temprano
EmONC	emergency obstetric and newborn care	soins obstétriques et néonataux d'urgence	obstétrica de emergencia y atención del recién nacido
eMTCT/eTME/eTMI	elimination of mother-to-child transmission (of HIV)	elimination de la transmission (du VIH) de la mère à l'enfant	eliminación de la transmisión materno infantil (del VIH)
F			
FBO	faith-based organization	organisation confessionnelle	organización basada en la fe
FGM/C / MGF/E	Female Genital Mutilation/Cutting	Mutilations et Ablations Génitales Féminines	Mutilación y Ablación Genital Femenina
MHTF/FTSM	Maternal Health Thematic Funds	Fonds Thématique pour la Santé Maternelle	Fondo Temático para la Salud Materna
G			
GBV/VBG/VRG	gender-based violence	violence basée sur le genre	violencia por razón de género
GDP/PIB/PIC	Gross Domestic Product	Produit Intérieur Brut	Producto Interno Bruto
GHI/GHI/ISG	global health initiative	initiative pour la santé mondiale	iniciativa de salud global
GNI	Gross National Income	Revenu National Brut	Ingreso Nacional Bruto
GPRHCS/SPSR	Global Programme to Enhance Reproductive Health Commodity Security	Sécurité d'approvisionnement en produits de Santé de la Reproduction	Programa Global para aseguramiento de insumos para Salud Reproductiva

H			
H4+	UNFPA, UNICEF, the World Bank, WHO and UNAIDS	FNUAP, UNICEF, Banque Mondiale, Organisation Mondiale de la Santé, ONUSIDA	UNFPA, UNICEF, OMS, Banco Mundial y ONUSIDA
HACT	harmonized approach to cash transfers	politique harmonisée concernant les transferts de fonds	método armonizado para las transferencias en efectivo
HMIS	Health Management Information System	Système d'information de Gestion de Santé	Sistema de Información de Gestión de la Salud
HQ/SS/OC	headquarters	siège social	oficina central
HR/RH/RH	human resources	ressources humaines	recursos humanos
HDI/ IDH/IDH	Human Development Index	Indice de Développement Humain	Índice de Desarrollo Humano
I			
ICPD/CIPD	International Conference on Population and Development	Conférence Internationale sur la Population et le Développement	Confederación Internacional sobre la Población y el Desarrollo
IDP	internally displaced person	personne déplacée internes	persona internamente desplazada
IDU/DIU	intrauterine device	dispositif intra utérin	dispositivo intrauterino
IGA/AGR/AGI	income-generating activities	activités génératrices de revenus	actividades generadoras de ingresos
IMF	International Monetary Fund	Fonds Monétaire International	Fondo Monetario Internacional
INGO/ OING	international non-governmental organization	organisation internationale non-gouvernementale	organización internacional no gubernamental
IPPF	International Planned Parenthood Federation	Fédération Internationale de Planification Familiale	Federación Internacional de Planificación de la Familia
L			
LACRO	Latin America and the Caribbean Regional Office (UNFPA)	Bureau Régional pour l'Amérique Latine et les Caraïbes	Oficina Regional para Latinoamérica y el Caribe

M			
MDG/OMD/ODM	Millennium Development Goals	Objectifs du Millénaire pour le développement	Objetivo de Desarrollo del Milenio
M&E/S&E/MyE	monitoring and evaluation	suivi et evaluation	monitoreo y evaluación
MMR	maternal mortality ratio	ratio de mortalité maternel	porcentaje de mortalidad maternal
MSM/HSH	men who have sex with men	hommes ayant des rapports avec des hommes	hombres que tienen relaciones sexuales con hombres
MTCT	mother-to-child transmission (of HIV)	transmission (du VIH) de la mère à l'enfant	transmisión materno infantil (del VIH)
MTR	mid-term review	revue à mi-parcours	revisión de mitad de trimestre
MVA/AMU/AMEU	manual vacuum aspiration	aspiration manuelle intra-utérine	aspiración manual intra-uterina
MYFF	multi-year funding framework	cadre pluriannuel de financement	marco de financiamiento multianual
N			
NEX	national execution	exécution nationale	ejecución nacional
NGO	non-governmental organization	organisation non-gouvernementale	organización no gubernamental
O			
OCHA	Office for the Coordination of Humanitarian Affairs	Bureau de la Coordination des Affaires Humanitaires	Oficina de la Coordinación de los Asuntos (Negocios) Humanitarios
ODA/APD/APD	official development assistance	aide publique au développement	asistencia oficial para el desarrollo
OECD	Organization for Economic Cooperation and Development	Organisation de Coopération et de Développement Economiques	Organización de Cooperación y de Desarrollos Económico

P			
PBF	performance-based financing	financement basé sur les performances	funcionamiento financiación basada
PHC/SSP/ASP	primary health care	soins de santé primaires	atención primaria a la salud
PLHIV/PVVIH	people living with HIV	personnes vivant avec le VIH	personas que viven con el VIH
PMTCT/PTME/PTMI	prevention of mother-to-child transmission (of HIV during delivery)	prévention de la transmission (du VIH) de la mère à l'enfant	prevención de la transmisión materno-infantil (del VIH)
PRSP/DSRP	Poverty Reduction Strategy Paper	Document de Stratégie de Réduction de la Pauvreté	Documentos de Estrategia de Lucha contra la Pobreza
R			
RBM/GAR/DBR	results-based management	gestion axée sur les résultats	dirección a base de resultados
RC/CR/CR	resident coordinator	coordinateur résident	coordinador residente
RH/CHR	regional hospital	centre hospitalier régional	centro hospitalario regional
RR/DR/DR	reproductive rights	droits de reproduction	derechos reproductivos
S			
SDGs	Sustainable Development Goals		
SMART (indicators)	specific, measurable, achievable, realistic and timely	specifique, mesurable, realisable, realiste et opportun	específico, mensurable, lograble, realista y oportuno
SRH/SR/SSR	sexual and reproductive health	santé de la reproduction	salud sexual y reproductiva
STD/MST/ETS	sexually transmitted disease	maladie sexuellement transmissible	enfermedade de transmisión sexual
STI/IST/ITS	sexually transmitted infection	infection sexuellement transmissible	infección de transmisión sexual
SW/PS/TS	sex worker	professionnel (le) du sexe	trabajadora sexual

SWAp	sector-wide approach	approche sectorielle	enfoque sectorial
T			
TA/AT/AT	technical assistance	assistance technique	asistencia técnica
TB	tuberculosis	tuberculose	tuberculosis
TD/DT/DT	technical division	division technique	división técnica
ToR/TdR/TdR	terms of reference	termes de référence	términos de referencia
U			
UH/CHU/HU	university hospital	centre hospitalier universitaire	hospital universitario
UN	United Nations	Les Nations Unies	Naciones Unidas
UNAIDS/ONUSIDA	Joint United Nations Programme on HIV/AIDS	Programme commun des Nations Unies sur le VIH/SIDA	Programa conjunto de las Naciones Unidas sobre el VIH-SIDA
UNCT	United Nations Country Team	Équipe de pays des Nations Unies	Equipo de las Naciones Unidas en el país
UNDAF/ MANUD	United Nations Development Assistance Framework	Plan Cadre des Nations Unies pour l'Aide au Développement	Marco de Asistencia de las Naciones Unidas para el Desarrollo
UNDG	United Nations Development Group	Groupe des Nations Unies pour le développement	Grupo de Desarrollo de las Naciones Unidas
UNDP	United Nations Development Programme	Programme des Nations Unies pour le développement	Programa de las Naciones Unidas para el Desarrollo (PNUD)
UNEG	United Nations Evaluation Group	Groupe des Nations Unies pour l'Evaluation	Grupo de Evaluación de las Naciones Unidas
UNESCO	United Nations Educational, Scientific and Cultural Organization	Organisation des Nations Unies pour l'éducation, la science et la culture	Organización de las Naciones Unidas para la Educación, la Ciencia y la Cultura
UNFPA	United Nations Population Fund	Fonds des Nations Unies pour la Population	Fondo de Población de las Naciones Unidas

UNHCR	High Commission for Refugees (of UN/United Nations High Commissioner for Refugees) UNHCR	L'agence des Nations Unies pour les Réfugiés	Alta Comisión de Naciones Unidas para Refugiados
UNICEF	United Nations Children's Fund	Fonds des Nations Unies pour l'enfance	Fondo de las Naciones Unidas para la Infancia
UNV	United Nations Volunteers	Volontaires des Nations Unies	Voluntarios de las Naciones Unidas
UN WOMEN	United Nations Entity for Gender Equality and the Empowerment of Women	Entité des Nations Unies pour l'égalité des sexes et l'autonomisation des femmes	Entidad de las Naciones Unidas para la Igualdad de Género y el Empoderamiento de las Mujeres
V			
VAW	violence against women	violence contre les femmes	violencia contra la mujer
W			
WB/BM/BM	World Bank	Banque mondiale	Banco Mundial
WFP/PAM/PMA	World Food Programme	Programme Alimentaire Mondial	Programa Mundial de alimentos
WHO/OMS	World Health Organization	Organisation Mondiale de la Santé	Organización Mundial de la Salud
Y			
YPLHIV/GJVVIH	young people living with HIV	jeunes vivant avec le VIH	gente joven que vive con VIH

TEMPLATE 18: BASIC GRAPHS AND TABLES IN EXCEL

Evaluators may use pre-prepared graphs and diagrams, which they can easily adjust. The evaluation manager should provide the evaluation team leader with the Excel macro file (see link below) at the beginning of the design phase of the evaluation.

The relevant data/years must be entered into the tables and the graphs will be automatically produced based on the entries.

The following graphs are available:

- ODA information by recipient country by donor
- Evolution of budget and expenditure for the country programme
- Total budget and expenditure for the country programme
- Total expenditure by country programme output and implementing partners
- Total expenditure by project
- Total expenditure by project by implementing partners
- Evolution of expenditure by fund group
- Total expenditure by fund group
- Total expenditure by top implementing partners
- Total expenditure by implementing partner group
- Evolution of expenditure by implementing partner group
- Total expenditure by Strategic Plan output
- Total expenditure by Strategic Plan outcome
- Evolution of expenditure by Strategic Plan outcome
- Evolution of expenditure by mode of engagement
- Total expenditure by mode of engagement

The graphs and corresponding tables are available in the document called **Basic graphs and tables in excel for CPE**, available at *http://bit.ly/UNFPAEvalHandbookGraphs*