How to Design and Conduct a Country Programme Evaluation at UNFPA

Foreword

This handbook is an update of the 2013 Handbook on How to Design and Conduct a Country Programme Evaluation at UNFPA. It is designed as a practical guide to help evaluation managers apply methodological rigour to evaluation practices in decentralized units.

While the primary audience of the handbook is UNFPA staff who manage country programme evaluations, it also contains practical tools and hands-on advice that may be of interest to a greater range of users, including evaluators who carry out evaluations commissioned by UNFPA and other stakeholders involved in evaluation processes.

Taking stock of lessons learned from five years of implementing the methodology in decentralized country programme evaluations - which has contributed to continued and steady progress in the quality of evaluation reports - the update of the handbook aims to meet two main objectives. First, it acknowledges important changes in the global context in which UNFPA operates, such as the multiplication of humanitarian crises and the increased emphasis placed on the mainstreaming of human rights and gender equality, as well as the new strategic orientations embodied in the 2030 Agenda for Sustainable Development. Second, this update provides a revised set of evaluation criteria and offers a better articulation of the link between the evaluation criteria and the issues and topics to be assessed through evaluations.

The handbook is part of a broader initiative aimed at the professionalization of evaluation at UNFPA, which also includes the development of an E-learning course on Results Based Management and Evaluation. Along with the 2018-2021 Evaluation Strategy, the 2018-2021 Evaluation Capacity Development Action Plan and the Evaluation Policy, the handbook also contributes to promoting a culture of evaluation that ensures the active use of evaluation results for programming and decision-making.

The handbook builds on the collective efforts of the UNFPA Evaluation Office, together with critical inputs from regional monitoring and evaluation advisers and external experts. It is our hope, within the Evaluation Office, that the handbook will sustain and improve the quality as well as the usability of evaluation reports at UNFPA, and that it reinforces the ability of the organization to account for results achieved and better respond in order to create a world where every pregnancy is wanted, every childbirth is safe and every young person’s potential is fulfilled.

Marco Segone
Director, UNFPA Evaluation Office
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INTRODUCTION
Introduction to the handbook

The United Nations Population Fund (UNFPA) is an international development agency that promotes the right of every woman, man and child to enjoy a life of health and equal opportunity. UNFPA supports countries in using population data for policies and programmes to end gender-based violence (GBV) and all harmful practices, to end preventable maternal deaths and to end the unmet need for family planning.

UNFPA is a subsidiary organ of the United Nations General Assembly. It plays a unique role within the United Nations system: to address population and development issues, with an emphasis on sexual and reproductive health (SRH), reproductive rights (RR) and gender equality, within the context of the International Conference on Population and Development (ICPD) Programme of Action and the Sustainable Development Goals (SDGs), in particular SDGs 3 and 5.

The constant improvement of evaluation practices is essential for UNFPA. In addition to contributing to the greater accountability and transparency of the organization, high-quality evaluation processes and reports also respond to the need to learn lessons from past interventions and support evidence-based decision-making. The purpose is to continuously improve and enhance the quality and credibility of evaluations at UNFPA, in line with the United Nations Evaluation Group (UNEG) Norms and Standards, code of conduct and ethical guidelines for evaluations, as well as UNEG guidance on gender- and human rights-responsive evaluations, and in line with international best practice.

The UNFPA evaluation policy sets out the role of evaluation in the organization and highlights the three main purposes of evaluation: demonstrating accountability to stakeholders on achieving development results; supporting evidence-based decision-making; and contributing key lessons learned to the existing knowledge base on how to accelerate implementation of the ICPD Programme of Action. In pursuit of these aims, the Evaluation Policy issues guidelines on the roles and responsibilities of the UNFPA organizational units, on quality assurance and capacity development and on the dissemination of evaluation findings. The UNFPA Evaluation Office is the custodian of the evaluation function; it has overall responsibility for the implementation of the policy, and develops methodological guidance and tools as well as quality assurance mechanisms.

This handbook was first developed in 2013 through a participatory approach, and has now been updated to accommodate for changed realities both globally and internally at UNFPA.
STRUCTURE AND CONTENTS OF THE HANDBOOK

The handbook is structured as follows:

Chapter 1. The overview of country programme evaluation (CPE) in UNFPA presents the evaluation process step by step. It is intended for those readers interested in obtaining an understanding of the key stages involved in conducting a CPE. It also includes a presentation of the tools, resources and templates to be used throughout the process. Special emphasis is placed on the evaluation matrix as a central tool for the design and conduct of a CPE.

Chapter 2. The preparatory phase covers definitions of the terms of reference (ToR) for the evaluation, the selection of the evaluation team, the establishment of the CPE reference group, the preparation of all pertinent documentation, the list of UNFPA interventions, and the stakeholders map. It walks the reader through all of the initial steps and instances required to lay the groundwork for the evaluation design.

Chapter 3. The design phase delves into components such as contextual analysis; understanding of programmatic and financial frameworks; the selection of evaluation criteria, questions and relevant stakeholders; and the identification of tools for data collection and processing. It also takes a deeper look at the different sources of information that can be used – interviews, desk reviews, focus groups and others – the necessary human and financial resources (including the division of labour), and the definition of a work plan.

Chapter 4. The field phase connects all of the preparation and design work with the actual context or programmatic interventions to be assessed. That includes the deployment of the evaluation team, data collection (via interviews and other mechanisms), site visits and preliminary analyses.

Chapter 5. The reporting phase involves the analysis of all data and observations gathered throughout the evaluative exercise, transforming key insights into findings, conclusions and actionable recommendations. This body of knowledge is then consolidated into briefings and reports to be shared with key internal and external stakeholders.

Chapter 6. The facilitation of use and dissemination phase focuses on the release of evaluation reports, but also encourages a more strategic approach to communicating evaluation knowledge for learning, decision-making and accountability.

Chapter 7. Finally, the handbook contains a toolkit that offers practical tools, checklists, templates and tips for designing and conducting a CPE.

HOW TO NAVIGATE THE HANDBOOK

The handbook offers step-by-step practical guidance to the evaluators throughout the different stages of the evaluation process. It also provides the evaluation manager with the information required to be able to supervise the evaluation process and ensure the quality of deliverables. The evaluation managers and evaluators should gain an in-depth knowledge of several crucial topics as a prerequisite to designing and conducting CPEs.

Evaluators and evaluation managers who are not well versed in evaluation methodologies (terminology, methods, tools and processes), who have little evaluation practice (notably in conducting data collection and analysis, and drafting reports) and who are not yet familiar with the UNFPA programming and operational framework, should read the entire handbook in the chronological order of the evaluation process. Conversely, those who are well acquainted with evaluation concepts and the CPE process may prefer to go directly to Chapter 7 which provides tools and templates, as well as guidance on how to structure the design and final reports.

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

| The reader is the evaluation manager | • Read the entire handbook in a sequential way, i.e., the overview, the five phases, then the toolkit. • S/he should pay particular attention to the Detailed outline of reports, in section 7.2. |
| The reader is the team leader | • S/he should be familiar with the entire handbook, so s/he can direct the evaluation team members to relevant specific sections and/or tools for their respective tasks. • S/he should pay particular attention to the Detailed outline of reports in section 7.2. |
| The reader has previous experience in evaluation | • S/he should nonetheless read sections 3.2, Drafting and selecting the evaluation questions, 3.3, Selecting a sample of stakeholders, and 3.4, Planning data collection and analysis. |

TABLE 2 Evaluation topics of particular importance

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<th>Where to find them in the handbook</th>
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Visual aids to navigate the handbook

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

- Refers to sections and chapters of the handbook where the reader can find more information on a particular topic.
- Provides references to external documents and sources on particular topics.
- Presents information on practical issues related to the implementation of UNFPA CPEs.
- Refers to tips and reminders that include practical suggestions, advice and/or warnings.
1.1 CPEs AND THE UNFPA EVALUATION FRAMEWORK

Evaluation at UNFPA serves three main purposes that support the organization’s drive to achieve results. It:

- Demonstrates accountability to stakeholders on performance in achieving development results at country level, and on invested resources (for example, with respect to governing bodies, donor governments, partner governments, other United Nations organizations and UNFPA beneficiaries)
- Supports evidence-based decision-making
- Contributes important lessons learned to the existing knowledge-base on how to accelerate implementation of the ICPD Programme of Action; in particular, on how best to advance SRHR, and on how UNFPA can best support the achievement of SDGs.

As per the UNFPA evaluation policy, evaluations fall under two main categories: (i) centralized evaluations; and (ii) decentralized evaluations.

Centralized evaluations are independent exercises undertaken by the Evaluation Office in order to assess issues that contribute to achieving the goals of the UNFPA strategic plan with regard to development effectiveness and organizational performance. Centralized evaluations address organization-wide issues, and include thematic, institutional, joint and United Nations system-wide evaluations and synthesis studies, as well as evaluations of major UNFPA-wide programmes, global trust funds and partnerships at the request of funding partners.

Decentralized evaluations – of which CPEs and regional programme evaluations are the most common – are managed by the respective business unit commissioning the evaluation, which is responsible for the programme being evaluated. Independent external evaluators pre-qualified by the Evaluation Office conduct these evaluations according to terms of reference (ToR) approved by the Evaluation Office. These evaluations assess progress towards outcomes at country or regional level, respectively, generating learning and informing the design and implementation of forthcoming programmes.

At UNFPA, centralized and decentralized evaluations (including CPEs) are planned on a quadrennial basis and presented by the Evaluation Office within the quadrennial budgeted evaluation plan to the Executive Board.

CPEs are conducted by country offices at least once in every two cycles to inform the development of the subsequent programme.

The Evaluation Office plays an important role in decentralized CPEs, notably through the provision of methodological guidance. The Evaluation Office also performs the pre-qualification of consultants, and approves the ToR. Finally, the Evaluation Office assesses the quality of the final evaluation reports and manages the UNFPA evaluation database.

Standards and guidance for evaluation in the United Nations system:

1.1.2 The objectives of the CPE

The overall objectives of a CPE are (i) enhancing the accountability of UNFPA for the relevance and performance of its country programmes and (ii) broadening the evidence base for the design of the next programming cycle. In terms of specific objectives, CPEs are meant to:

- Provide an independent assessment of the relevance, effectiveness, efficiency and sustainability of UNFPA support and progress towards the expected outputs and outcomes set forth in the results framework of the country programme, including in humanitarian settings.\(^1\)
- Provide an assessment of the role played by the UNFPA country office in the coordination mechanisms of the United Nations Country Team (UNCT) with a view to enhancing the United Nations collective contribution to national development results.
- Draw key lessons from past and current cooperation and provide a set of clear and forward-looking options leading to strategic and actionable recommendations for the next programming cycle.

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

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

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

1.1.3 The object of the evaluation

UNFPA CPEs are intended to provide an independent assessment of the relevance, effectiveness, efficiency, sustainability and coordination of UNFPA support\(^2\) in a specific programme country, over a period of either one or two programme cycles. At the centre of the scope of each CPE stands one specific country programme document (CPD), together with the corresponding documents that UNFPA uses to operationalize its country programmes and develop annual implementation strategies.

The performance of UNFPA in any given country is influenced by a variety of factors. Some of these pertain to the UNFPA country programme itself – i.e., its design, the resulting thematic scope and the implementation of the programme by the country office. Contextual factors also play an important role in influencing the performance of UNFPA support:

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

For more detailed information on how to plan for the analysis of the CPE components, see sections 3.1.2, Understanding the UNFPA response, 3.2.1, The evaluation criteria, and 3.2.2, The evaluation questions.

1.2 The evaluation process

A CPE unfolds in five phases: 1) preparatory phase, 2) design phase, 3) field phase, 4) reporting phase, and 5) facilitation of use and dissemination phase.

FIGURE 1 The phases of a CPE

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1 The assessment of humanitarian interventions requires two additional criteria: connectedness and coverage (see 3.2.1, The evaluation criteria).
2 With the addition of connectedness and coverage for the assessment of humanitarian interventions.
1. During the preparatory phase, the UNFPA country office monitoring and evaluation (M&E) officer becomes the evaluation manager of the CPE. In the event that there is no M&E officer, it is the responsibility of the representative, in consultation with the regional M&E adviser, to nominate an evaluation manager, ensuring that this person is not involved in the implementation of the country programme interventions. The first tasks for the evaluation manager are as follows:

   i. The evaluation manager captures the specific elements of the country context and programme, conducts consultations with relevant stakeholders and rights-holders, and prepares the ToR for the evaluation, in consultation with the RO M&E adviser.

   ii. Once final, the regional M&E adviser sends the ToR to the Evaluation Office for approval.

   iii. With the support of the regional M&E adviser, the evaluation manager identifies potential evaluators (using the UNFPA consultant roster) and assesses their suitability, upon which the regional M&E adviser submits these assessments to the Evaluation Office for pre-qualification.

   iv. The evaluation manager compiles a preliminary list of background information and documentation on both the country context and the UNFPA country programme and lists these in an Annex of the ToR.

   v. The evaluation manager establishes a reference group for the evaluation, which will accompany the evaluation manager throughout the conduct of the evaluation.

   vi. The evaluation manager prepares a first stakeholders mapping of the main partners relevant for the CPE.

   vii. The evaluation manager prepares the “list of all interventions” implemented during the period under evaluation (list of activities/projects).

Section 7.3, Templates, provides guidance on drafting ToR, a template for the pre-qualification of consultants, and a sample letter to invite stakeholders to become members of the reference group for the evaluation.

Chapter 7, Toolkit, provides guidance on preparing the stakeholders map and the “list of all interventions”.

2. Once the external evaluators have been selected, the CPE enters its design phase, dedicated to the structuring of the evaluation process. At this stage, the evaluators gain an in-depth understanding of both the UNFPA country programme and the country context. They select and adapt the evaluation questions and propose the most appropriate methods for data collection and analysis. From a sampling framework/comprehensive stakeholders map, the evaluators also select a sample of stakeholders to interview during the field phase. The methodological approach to sampling should be well described. The evaluators draft a design report, which is reviewed by the evaluation manager and approved by the regional M&E adviser.

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

Towards the end of the field phase, the evaluators analyse the collected data and produce a set of preliminary findings, complemented by tentative conclusions and emerging, preliminary recommendations. These provisional evaluation results are presented to the evaluation reference group and the country office staff during a debriefing meeting to be scheduled at the end of the field phase. This exercise is particularly important to satisfy the “often strong – demand from the country office to be ‘reassured’ that the evaluation will actually lead to the formulation of useful and realistic recommendations, and to allow the evaluators to formulate and test some hypotheses that may guide their analysis. In addition, this exercise also helps to get feedback and validation from the evaluation reference group on preliminary results.

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

4. During the reporting phase, the evaluators submit a draft final evaluation report to the evaluation manager. The evaluation manager reviews and quality assures the draft report; the criteria outlined in the “Evaluation Quality Assessment (EQA) grid” can be used to quality assure the report. When the evaluation manager considers the draft evaluation report to be of adequate quality, s/he shares it with the reference group for comments (factual mistakes, omissions, misrepresentations, contextual factors) while respecting the independence of the evaluation team in expressing its judgement. Based upon the evaluation manager and the reference group’s comments (including comments from the regional M&E adviser), the evaluators proceed with the production of the final evaluation report.

Template 13 of the handbook features the EQA grid and explanatory note. Please note the EQA template must be attached to the ToR.

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3 https://www.unfpa.org/unfpa-consultant-roster

4 An evaluation reference group is usually composed of country office senior managers, a representative of the regional office management (e.g., the M&E regional adviser) and representatives of national counterparts, including government and implementing partners. It may also include representatives from academia and of civil society organizations, community groups and/or final beneficiaries.

5 Once submitted to the Evaluation Office, the Office conducts an independent quality assessment of the final evaluation report using the same criteria outlined in the “Evaluation Quality Assessment grid”.
5. During the facilitation of use and dissemination phase, the evaluation manager, together with communication/knowledge management officer in the country office, develops and rolls out a communication plan to share evaluation results with country and regional offices, relevant divisions at headquarters and external audiences. The evaluation manager ensures the final report and other evaluation knowledge products are shared with relevant stakeholders and rights-holders through the evaluation reference group and through other relevant channels and communication and knowledge-management platforms. S/he also makes sure the final evaluation report, is communicated to the relevant units at UNFPA and invites them to submit a management response.

The evaluation manager will consolidate all responses in a final management response document. The UNFPA Policy and Strategy Division (PSD) is responsible for monitoring and overseeing the implementation of the recommendations. The PSD also ensures the evaluation findings are integrated into strategic policy and planning. The Evaluation Office makes available all CPE reports and accompanying independent EQA grids in the UNFPA evaluation database.6 The UNFPA country office is responsible for posting the evaluation report, the final evaluation quality assessment conducted by the Evaluation Office and the management response on the country office website.

Building on the stakeholders map, a communication plan for sharing evaluation results should preferably be developed during the preparatory phase. As evaluation progresses, any new opportunities for communication and dissemination should be identified and the communication plan should be updated accordingly. By embedding a focus on communication and learning at all stages of the evaluation process, the communication plan will be ready for quick implementation at the final facilitation of use and dissemination phase.

Template 12 of the handbook presents the format of the management response. Template 16 of the handbook includes a format for planning communications to share evaluation results.

6 See the evaluation database at http://web2.unfpa.org/public/about/oversight/evaluations
### TABLE 3  Summary of responsibilities of the evaluation manager, evaluators, reference group, regional M&E adviser and evaluation office in the conduct of a CPE

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<th>Roles and responsibilities</th>
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<td>Evaluation manager</td>
<td>The manager of a CPE oversees the entire process of the evaluation, from its preparation to the dissemination and use of the final evaluation report. S/he:</td>
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<td></td>
<td>• Prepares the ToR of the evaluation with support from the RO M&amp;E adviser, who thereafter sends them to the Evaluation Office for approval. Constitutes the reference group.</td>
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<tr>
<td></td>
<td>• Constitutes the reference group.</td>
</tr>
<tr>
<td></td>
<td>• Chairs the evaluation reference group.</td>
</tr>
<tr>
<td></td>
<td>• Manages the interaction between the team of evaluators and the reference group; serves as an interlocutor between both parties.</td>
</tr>
<tr>
<td></td>
<td>• Launches the selection process for the team of evaluators, leading the selection of and preparing the contract for the consultants, in consultation with the regional M&amp;E adviser.</td>
</tr>
<tr>
<td></td>
<td>• With the assistance of the regional M&amp;E adviser, identifies potential candidates to conduct the evaluation, and prepares the summary assessment table with the input of the regional M&amp;E adviser, who thereafter sends the table to the Evaluation Office for pre-qualification of consultants.</td>
</tr>
<tr>
<td></td>
<td>• Sets up the initial meeting for the evaluation and provides the team of evaluators with a first set of background documents and other materials.</td>
</tr>
<tr>
<td></td>
<td>• Ensures the quality control of deliverables submitted by the evaluators throughout the evaluation process, paying particular attention to ensuring that the UNEG Norms and Standards, code of conduct and ethical guidelines for evaluations, as well as guidance on integrating human rights and gender equality into evaluations, are adhered to.</td>
</tr>
<tr>
<td></td>
<td>• Assists the evaluators with logistical support in setting up the data-collection arrangements - e.g., for project visits, focus groups, interviews with key informants.</td>
</tr>
<tr>
<td></td>
<td>• Prevents any attempts to compromise the independence of the team of evaluators during the evaluation process.</td>
</tr>
<tr>
<td></td>
<td>• Coordinates comments on, quality assures and approves the deliverables of the evaluators, including the final evaluation report.</td>
</tr>
<tr>
<td></td>
<td>• Sends final report to the Evaluation Office.</td>
</tr>
<tr>
<td></td>
<td>• Ensures the development and implementation of a communication plan for sharing evaluation results, focusing on the dissemination of the final evaluation report and the main findings, conclusions and recommendations (through a published knowledge product and other modalities), independent quality assessment and the management response on the country office website.</td>
</tr>
<tr>
<td>Evaluation team</td>
<td></td>
</tr>
<tr>
<td>Evaluation reference group (ERG)</td>
<td>• Provides input to the ToR of the evaluation and to the selection of the team of evaluators.</td>
</tr>
<tr>
<td></td>
<td>• Contributes to the selection of evaluation questions.</td>
</tr>
<tr>
<td>Regional M&amp;E adviser</td>
<td>• Provides support (backstopping) to the evaluation manager at all stages of the evaluation.</td>
</tr>
<tr>
<td></td>
<td>• Reviews and provides comments to the ToR for the evaluation.</td>
</tr>
<tr>
<td></td>
<td>• Sends the ToR of the evaluation to the Evaluation Office for approval.</td>
</tr>
<tr>
<td></td>
<td>• Assists the evaluation manager in the country office in identifying potential candidates and reviews the summary assessment table prior to sending it to the Evaluation Office.</td>
</tr>
<tr>
<td></td>
<td>• Normally, participates in the evaluation reference group.</td>
</tr>
<tr>
<td></td>
<td>• Provides support in the quality assurance of the draft and final evaluation reports.</td>
</tr>
<tr>
<td></td>
<td>• Provides support to the dissemination and use of evaluation results.</td>
</tr>
<tr>
<td>Evaluation Office</td>
<td>• Reviews and approves the final draft ToR for the evaluation after the review and comments by the regional M&amp;E adviser (to be included in the draft ToR sent to the Evaluation Office).</td>
</tr>
<tr>
<td></td>
<td>• Pre-qualifies consultants.</td>
</tr>
<tr>
<td></td>
<td>• Updates and maintains the UNFPA consultant roster with identified qualified evaluators.</td>
</tr>
<tr>
<td></td>
<td>• Undertakes independent quality assessment (EQA) of the final evaluation report.</td>
</tr>
<tr>
<td></td>
<td>• Publishes the final evaluation report and the EQA in the evaluation database.</td>
</tr>
</tbody>
</table>

### 1.3 TOOLS AND TEMPLATES TO BE USED THROUGHOUT THE EVALUATION PROCESS

Each phase of the evaluation process entails a set of specific tasks for evaluators. With a view to accompanying the evaluation manager and facilitating the work of the evaluation team, the handbook provides a number of readily usable tools, resources and templates. The table below links the main tasks for each phase of the evaluation process with the related tools, resources and templates.
## TABLE 4 Tools, resources and templates available throughout the evaluation process

<table>
<thead>
<tr>
<th>CPE phases and tasks</th>
<th>Tools and resources</th>
<th>Templates</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Preparatory phase</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Drafting the ToRs</td>
<td>Tool 7 – The evaluation matrix</td>
<td>Template 5</td>
</tr>
<tr>
<td>Pre-qualification of consultants</td>
<td>UNFPA consultant roster (<a href="https://www.unfpa.org/unfpa-consultant-roster">https://www.unfpa.org/unfpa-consultant-roster</a>)</td>
<td></td>
</tr>
<tr>
<td>Desk review</td>
<td>Tool 8 - Checklist for the documents to be provided by the evaluation manager to the evaluation team</td>
<td></td>
</tr>
<tr>
<td>List of all UNFPA interventions</td>
<td>Tool 3 - List of UNFPA interventions by country programme output and strategic plan outcome</td>
<td></td>
</tr>
<tr>
<td>Letter of invitation to participate in a reference group</td>
<td></td>
<td>Template 14</td>
</tr>
<tr>
<td>Stakeholders map</td>
<td>Tool 4 – The stakeholders mapping table</td>
<td>Template 4</td>
</tr>
<tr>
<td><strong>Design phase</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Understanding the UNFPA strategic response</td>
<td>Tool 2 – The effects diagram</td>
<td></td>
</tr>
<tr>
<td>Understanding the UNFPA programmatic response</td>
<td>Tool 3 - List of UNFPA interventions by country programme output and strategic plan outcome</td>
<td>Template 3</td>
</tr>
<tr>
<td>Drafting and selecting evaluation questions</td>
<td>Section 3.2 – Drafting and selecting evaluation questions, and Tool 5</td>
<td></td>
</tr>
<tr>
<td>Drafting the CPE agenda and individual agendas</td>
<td>Tool 7 – The evaluation matrix</td>
<td>Template 5</td>
</tr>
<tr>
<td>Choosing data-collection methods</td>
<td>Tool 6 – The CPE agenda</td>
<td>Template 6</td>
</tr>
<tr>
<td>Choosing data analysis methods</td>
<td>Tool 7 – Field phase preparatory tasks checklist</td>
<td></td>
</tr>
<tr>
<td>Reporting phase</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Drafting the design and the final reports</td>
<td>Section 7.2.1 – How to structure and draft the final evaluation report</td>
<td>Template 10</td>
</tr>
<tr>
<td>Conducting data collection</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Field phase</td>
<td>Tool 1 – The evaluation matrix</td>
<td>Template 5</td>
</tr>
<tr>
<td>Conducting data analysis</td>
<td>Tool 7 – Field phase preparatory tasks checklist</td>
<td></td>
</tr>
<tr>
<td>Facilitation of use and dissemination phase</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Management response</td>
<td></td>
<td>Template 12</td>
</tr>
<tr>
<td>Communication plan for sharing evaluation results</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Strengthen human rights and gender responsiveness of CPE throughout the evaluation process (across phases)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Section 3.2 – Drafting and selecting evaluation questions, and Tool 5

Section 3.4 – Methods for data analysis
1.3.1 The evaluation matrix in a nutshell

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

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

Evaluators must use the evaluation matrix as a:

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

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

<table>
<thead>
<tr>
<th>CPE phases and tasks</th>
<th>Tools and resources</th>
<th>Templates</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNEG 2018: UN-SWAP</td>
<td>Tool 15</td>
<td></td>
</tr>
</tbody>
</table>

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

**WHO SHOULD PREPARE THE EVALUATION MATRIX?**

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

**REFINING THE EVALUATION MATRIX**

The evaluation matrix will be drafted at design phase and must be included in the design report. However, it may be necessary to revise the matrix at the beginning of the field phase. The evaluation manager must ensure that the evaluation matrix is annexed to the design and final reports.

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7 This situation is described in more detail in section 4.1, Starting the field phase.
Chapter 1
Overview of CPE in UNFPA

2
PREPARATORY PHASE
2.1 DRAFTING THE TERMS OF REFERENCE

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

<table>
<thead>
<tr>
<th>BOX 1: OUTLINE OF TERMS OF REFERENCE FOR UNFPA CPEs</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Introduction (explanation of the evaluation mandate, rationale and purpose of the CPE)</td>
</tr>
<tr>
<td>- Context (presentation of the country programme)</td>
</tr>
<tr>
<td>- Objectives and scope of the evaluation (objectives of the CPE and the timeframe covered)</td>
</tr>
<tr>
<td>- Evaluation questions (pre-selection of the evaluation questions to be covered by the CPE)</td>
</tr>
<tr>
<td>- Methodology and approach (describes the intended approach and methodology)</td>
</tr>
<tr>
<td>- Evaluation process (outline of the evaluation phases and steps)</td>
</tr>
<tr>
<td>- Expected outputs (description of the main deliverables of the CPE)</td>
</tr>
<tr>
<td>- Work plan (detailing specific activities, milestones and dates, including the planned submission date of the final report)</td>
</tr>
<tr>
<td>- Composition of the evaluation team (make-up, size and required qualifications of the evaluation team)</td>
</tr>
<tr>
<td>- Management and conduct of the evaluation (description of the roles and responsibilities of the evaluation manager, reference group and evaluation team, and outline of the quality assurance process)</td>
</tr>
<tr>
<td>- Evaluation audience (intended users of the evaluation report, and their responsibilities in terms of its use)</td>
</tr>
<tr>
<td>- Bibliography and resources (initial list of documents and information resources to be consulted by the evaluation team)</td>
</tr>
<tr>
<td>- Annexes</td>
</tr>
</tbody>
</table>

Template 1 provides details of the content of the individual chapters for the ToR for a CPE.

---

8 The ToR should abide by the UNEG guidelines on drawing up ToR and must include a description of both the overall and the specific objectives of the CPE, as well as the structure, staffing requirements and key deliverables. See [http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=608](http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=608)
2.2 SELECTING AND RECRUITING THE EVALUATION TEAM

During the preparatory phase, the evaluation manager must reflect on the composition of the team of evaluators. The team of evaluators for UNFPA CPEs typically consists of one team leader and at least two additional team members. Teams may be multidisciplinary, with both thematic expertise (e.g., SRHR, gender equality/women’s empowerment, population dynamics, adolescents and youth, other relevant programmatic area) and experience and skills relating to evaluation methodology, including, to the extent possible, experience in conducting gender- and human rights-responsive evaluations.

The evaluation manager should strive to create a gender-balanced team, and to the extent possible, include national and/or regional consultants. S/he must ensure that all requirements related to the independence and the prevention of conflicts of interest defined by UNEG Ethical Code of Conduct, Ethical Guidelines, as well as Norms and Standards for Evaluation in the United Nations system and the UNEG guidance on integrating human rights and gender equality in evaluations (see below) are duly observed.

It is of paramount importance that all members of the team, and in particular the team leader, can demonstrate strong writing and presentation skills. This is necessary to produce a good-quality evaluation report (see Template 13).

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

The required thematic and methodological expertise can be provided by a combination of members of the evaluation team – i.e., all team members do not have to be equally strong in each thematic area of expertise. The role of the evaluation team leader is preferably assigned to an expert with a strong evaluation methodological background. Note that the evaluation team leader does not necessarily have to possess expertise in SRHR, gender or population dynamics or any of the other UNFPA programmatic areas. In that case, it will be important to fill the remaining positions in the team with evaluators who have strong subject-matter expertise in the thematic areas covered by the country programme.

The evaluation team must be able to demonstrate a degree of knowledge of the social, economic and cultural context of the programme country, with at least one or two members of the evaluation team having significant working experience in the programme country. However, to avoid a conflict of interest, none of the team members should have worked on the design and/or implementation of UNFPA-supported interventions during the period covered by the evaluation.

The evaluation manager should be familiar with the UNEG Norms and Standards for evaluation in the United Nations system, UNEG Code of Conduct and UNEG Ethical Guidelines, as well as Guidance on Integrating Gender and Human Rights. These are available here:

- http://www.unevaluation.org/ethicalguidelines
- http://www.unevaluation.org/unegevaluation/updated/unescodeofconduct

2.3 ESTABLISHING THE REFERENCE GROUP FOR UNFPA CPEs

The reference group is a body made up of staff from UNFPA (country office, regional office, headquarters) as well as other relevant stakeholders (representatives from the partner government, non-government organizations, development partners and national experts, as well as other relevant stakeholders).

Establishing a well-balanced reference group helps to ensure that the CPE covers the issues relevant to and important for the key stakeholders of the country programme.

The following stakeholders should be represented in the reference groups for CPEs:

- The UNFPA country office whose country programme is covered by the CPE, including staff members from the different sub-programmes/programmatic areas
- The UNFPA regional office with, at least, the regional M&E officer
- National government counterparts and key non-governmental implementing partners, including representatives of marginalized groups and young people.

### BOX 2: RESPONSIBILITIES OF THE REFERENCE GROUP THROUGHOUT THE CPE

<table>
<thead>
<tr>
<th>Preparatory phase:</th>
<th>Field phase:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provides input to the ToR of the evaluation, including the first selection of evaluation questions to be covered by the CPE</td>
<td>Facilitates access of the evaluation team to information sources (documents and interviewees) to support data collection.</td>
</tr>
<tr>
<td>Provides input for selection of the team of evaluators</td>
<td>Provides comments on the main deliverables of the evaluation, in particular the (draft) final report (in this regard, timely distribution of documents by the evaluation manager is essential).</td>
</tr>
</tbody>
</table>

Design phase:

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

In creating the reference group, the evaluation manager must identify the relevant organizations and individuals and prepare a letter of invitation. This letter must explain the role played by the reference group and include the draft ToR. It should be sent by, or on behalf of, the country office representative.

See Template 14, Letter of invitation to participate in a reference group.
2.4 PREPARING THE INITIAL DOCUMENTATION

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

**BOX 3: DOCUMENTS TO BE COMPILED DURING THE PREPARATORY PHASE OF THE CPE**

**UNFPA country programme:**
- Country programme document (CPD)
- List of UNFPA interventions by country programme output and strategic plan outcome (see below)
- Copies of annual work plans (AWPs) for the period covered by the CPE
- Workplan progress reports, quarterly reports on programme outputs (SIS), country office annual reports (COARs) and donor reports, if any.

**Strategic context of UNFPA country programme:**
- Common country assessment (CCA) and United Nations Development Assistance Framework (UNDAF)
- UNFPA strategic plan(s) for the years covered by the CPE
- Relevant national policy and strategy documents for the different outcome areas of the UNFPA strategic plan
- Relevant external reviews or evaluation reports covering development on the outcome areas of the CPD

**Wider country context relevant to population and development, SRHR and gender:**
- References to documentary sources for more information on demographic, social, political, economic context in programme country are listed in Table 19.

2.5 PREPARING A LIST OF UNFPA INTERVENTIONS

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

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

For this purpose, during the preparatory phase of the CPE, the evaluation manager must compile a list of all intervention budgets and expenditures for the period covered by the CPE. S/he must make this information available to the evaluators in Excel format. To this end, the evaluation manager is required to use the Excel template called “List of UNFPA interventions by country programme output and strategic plan outcome” (Tool 3). When completed, this spreadsheet offers detailed information that can also be used for other purposes.9

See Tool 3, List of UNFPA interventions by country programme output and strategic plan outcome. This tool enables the evaluation manager to present a wide range of data otherwise not readily retrievable as it is spread throughout a number of AWPs.

2.6 PREPARING A STAKEHOLDERS MAP

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

See section 3.3, Selecting a sample of stakeholders, and use the stakeholders mapping table (Tool 4).

9 E.g., the spreadsheet can be used: for the selection of the sample of stakeholders; when assessing the efficiency criteria; in interviews (when evaluators want to know precisely which activities implementing agencies have been involved in).
## Chapter 2: Preparatory phase

### TABLE 5: The responsibilities of the evaluation manager at the preparatory phase

<table>
<thead>
<tr>
<th>Main activities</th>
<th>Responsibility</th>
</tr>
</thead>
</table>
| Development of terms of reference (ToR)              | • Determines required scope and methodological requirements of the CPE  
• Defines the staffing requirements for the evaluation  
• Drafts first version of the ToR in consultation with the regional M&E adviser and circulates the ToR to the reference group (see below)  
• Finalizes the ToR based on feedback from the reference group  
• Sends the ToR to the regional M&E adviser, who shares it with the Evaluation Office for approval |
| Compilation of preliminary list of background documents and other materials | • Prepares list of UNFPA interventions  
• Compiles list of other documents and materials for the CPE  
• Prepares the stakeholders map |
| Establishing the reference group for the evaluation   | • Identifies relevant services and qualified participants to take part in the reference group  
• Prepares and sends invitations to identified participants to join the reference group  
• Circulates relevant documents to the reference group in a timely manner  
• Calls meetings and leads the work of the reference group |
| Selecting the evaluation team                         | • Identifies potential candidates to compose the evaluation team in consultation with the regional M&E adviser  
• Prepares the summary assessment table with the input of the regional M&E adviser, who then sends it to the Evaluation Office for pre-qualification of consultants  
• Undertakes the competitive selection process of consultants  
• Proceeds with the recruitment of consultants |
3.1 UNDERSTANDING THE COUNTRY PROGRAMME

3.1.1 Understanding the country context

The country context must be analysed at two different levels: the wider country context and the country challenges within the specific programmatic areas supported by UNFPA.

1. First level: the wider country context

Evaluators must familiarize themselves with the development, socio-economic and political situation of the country and context, including by reviewing disaggregated indicators (gender, race, socio-economic class, caste, disability etc.). To this end, the evaluation manager must ensure that the following documents are provided to, and reviewed by, the evaluators:

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

- The country national development strategy is usually contained in the National Development Plan. This document is generally available on the internet site of the Ministry of Planning or equivalent.

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

- The United Nations common country assessment (CCA) includes the demographic, socio-economic and political features of the country. It often contains a section on the implementation status of internationally agreed development goals including the SDGs in the country.

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

3.1.2.1 The UNFPA strategic plan

All UNFPA interventions are guided by a global corporate strategy set out in the UNFPA strategic plan. The 2018–2021 Strategic Plan is the first of three UNFPA strategic plans leading to 2030. It describes the transformative results that will contribute to the achievement of the SDGs and, in particular, to good health and well-being, the advancement of gender equality, and the empowerment of women and adolescent girls, with a focus on eradicating poverty.

The 2030 Agenda provides an opportunity to pursue the UNFPA goal and to implement the Programme of Action of the ICPD. By aligning the strategic plan to the SDGs, most directly to Goal 3 (Ensure healthy lives and promote well-being for all at all ages); Goal 5 (Achieve gender equality and empower all women and girls); Goal 10 (Reduce income inequality within and among countries); Goal 16 (Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels); and Goal 17 (Strengthen the means of implementation and revitalize the global partnership for sustainable development), UNFPA will advance the work of the Programme of Action, contribute to achieving the goals of its strategic plan and, ultimately, to the eradication of poverty.

The present handbook should apply to all CPEs. For each UNFPA programme country, priorities and approaches are derived from the outcome areas and programming principles set out in the global strategic plan.

UNFPA country offices should identify, within the integrated results framework of the UNFPA Strategic Plan, those outcome areas that best reflect the priorities as identified within the country United Nations Development Action Framework (UNDAF). The UNDAF is the United Nations-wide programming framework that presents the collective response of the United Nations Country Team (UNCT) to the national development priorities.

Why should you examine the UNFPA strategic plan? UNFPA corporate requirements included in the strategic plan cover a wide range of issues that fall under the scope of a CPE.

Why should you analyse the UNDAF?

The United National Development Assistance Framework (UNDAF) sets out the joint strategy for all United Nations agencies including UNFPA. The evaluation team must gain a clear understanding of how the UNFPA country programme fits into the UNDAF (as the main “United Nations programme document”). Studying the UNDAF in detail is necessary in the design phase.

- The UNDAF will be used as a reference when assessing the appropriateness of the objectives, a key aspect of the relevance criterion used in the analysis by programmatic areas.
- The UNDAF will also be the starting point for the analysis of UNFPA strategic response in a country. This will be captured in the design and the final reports in chapter 3.

For the period corresponding to the Millennium Development Goals (MDG) era (i.e., before 2015), refer to national reports on MDGs.
The UNFPA strategic plan and the UNDAF present the broader expected effects of the country programme:

- The outputs of the country programme are linked to the outcomes of the strategic plan.
- The outcomes of the country programme are, in turn, linked to the outcomes of the UNDAF.

The strategic plan establishes that country offices should choose at least one UNFPA strategic plan outcome and determine the focus of the UNFPA contribution through clearly formulated outputs. Indeed, a country programme is not linked to all outcomes of the strategic plan but only to selected relevant outcomes, which, in turn, become an integral part of the country programme in support of the UNDAF.

At the design phase, evaluators should have a clear understanding of the main outputs and outcomes of the country programme and how these relate to the outcomes of both the UNDAF and the strategic plan. These “output-outcome” relationships can be illustrated by way of using an effects diagram. This diagram is a tree-type representation illustrating the correspondence and contribution links between the country programme, the strategic plan, the UNDAF and the SDGs.

3.1.2.2 The UNFPA programmatic response

The UNFPA programmatic response is presented in the CPD, in addition to the AWPs, that guide the implementation of the country programme.

The rationale of the country programme is to satisfy population needs, solve problems and tackle challenges – vis-à-vis SRHR, gender equality, adolescents and youth, and population and demographics – identified as joint priorities by the partner government and the UNFPA country office in the joint country response provided by the United Nations Country Team (UNCT).

An additional methodological guidance, for more information on how to account for overly ambitious country programme outputs when analysing the country programme logic, in addition, refer to the components of the intervention logic: needs, inputs, activities, outputs and outcomes, in Annex I, Elements of theory.

Each evaluator should also examine in detail all AWPs associated with the programmatic areas for which s/he is responsible. AWPs operationalize the CPD, while the CPD sets forth what should be produced and achieved. AWPs describe the activities to be carried out during a specific year and the inputs to be provided for the achievement of a programme output(s) outlined in the CPD. To obtain a comprehensive overview of the planned activities, the evaluation team must study all AWPs corresponding to the period under evaluation.

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

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

Refer to Annex II for information on what to be aware of when working with AWPs.

It is important to note that some UNFPA activities may not be included in AWPs for the following reasons:

- The funds to carry them out were committed and assigned after the signature of the AWP.
- They consist of “soft activities”, i.e., actions not related to any AWP in particular, yet which are important to achieve CPD outputs. Soft activities are usually performed by UNFPA senior management and programme officers in the country office.

In order to get an overview of all of the activities that have really been implemented in the period under evaluation, evaluators should complement the review of AWPs with the study of Atlas data on budgeted activities and actual expenditure. Indeed, all of the activities that have been carried out during the period may not necessarily be included in AWPs, while all will be registered in Atlas. For those new activities added in response to specific demands from the counterparts, or cancelled activities, while not reflected in the AWPs, when costed, they can be inferred from Atlas budget and expenditure records.

Evaluators will find this information in the Excel spreadsheet called “List of UNFPA interventions by country programme output and strategic plan outcome”, which will be compiled and provided to them by the evaluation manager. This spreadsheet contains a great deal of information and can also be used for other purposes.¹¹ UNFPA SIS/MyResults reports could also be used as an additional qualitative source on results achieved by output.
Tool 3, List of UNFPA interventions by country programme output and strategic plan outcome, presents a wide range of data not readily retrievable since it is generally scattered throughout a number of AWPs.

Why should you analyse the workplan progress reports and COARs?

Two additional documents will help evaluators gain a more comprehensive overview of the country programme intervention logic: workplan progress reports and COARs.

- Workplan progress reports are produced on a quarterly basis; they help to keep track of implementation progress and for the implementing partner to provide UNFPA with an accurate update on the progress of the implementation of the workplan activities.
- COARs are mainly used to report to headquarters on progress towards expected outputs and outcomes. They can help evaluators clarify the logic of intervention at the level of outcomes (links with the strategic plan).

The evaluation manager at the country office will provide the evaluators with the workplan progress reports and COARs.

Why should you analyse the programmatic response?

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

The documents used throughout the UNFPA programming process – the CCA, UNDAF, UNFPA strategic plan, CPD and AWP – are presented in Figure 3.
### 3.1.2.3 The financial structure of the country programme

Atlas is the main source of data regarding the financial reporting of the programme. At design phase, evaluators should get an understanding of how financial resources have been budgeted and disbursed by programmatic area. In 2014, a new module was introduced in Atlas, the Global Programming System (GPS). Information from GPS can be utilized to prepare tables containing the basic information required. In particular, evaluators must assess:

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

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

iii. The breakdown of budget and expenditures should also be done by programmatic area: how much of the funds were budgeted and spent by year and by programmatic area during the period under analysis. Expenditure by programme country output by year.

iv. Expenditure by project title by year. Expenditure by project title by programme country output by year.

v. Expenditure by strategic plan outcome and output by year. Expenditure by project title by strategic plan outcome and output by year.

vi. Expenditure by mode of engagement by year. Expenditure by project title and mode of engagement by year.

vii. Expenditure by implementing partner for all years being evaluated. Expenditure by project title and implementing partner by year.

viii. Funds for the management of the country office should also be included to provide an overview of the overall programme financial envelope.

See Template 18, Basic graphs and tables in Excel.

Why should you analyse the country programme financial structure?

- It will be used as a main source of raw data to assess the efficiency criterion applied in the analysis of each programmatic area (see section 3.2.3).
- The assembled data will also be used for drawing up section 3.2.2 of the design report and section 3.2.3 of the final report.

### 3.1.3 Main constraints and methodological challenges for UNFPA CPEs

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

See Annex II for Additional methodological guidance.

### 3.2 Drafting and Selecting the Evaluation Questions

Evaluation questions are at the core of the methodology for UNFPA CPEs: (i) they allow the delineation of the thematic scope of the evaluation; and (ii) they determine which data evaluators need to collect throughout the evaluation. Indeed, the goal of evaluators throughout the CPE is to provide substantiated answers to a selected number of evaluation questions in a credible and evidence-based manner. In turn, the answers to the evaluation questions (i.e., the findings of the CPE) determine the conclusions and recommendations the evaluators are able to formulate, as well as the lessons UNFPA can learn from the evaluation. The process of selecting evaluation questions is therefore one of the most important tasks of the design phase.

Evaluation questions are associated with evaluation criteria. The first part of this section (3.2.1) introduces the evaluation criteria applied in a CPE. The second part of the section (3.2.2) guides the evaluation manager and evaluators through the process of selecting and adapting evaluation questions and translating them in terms of data requirements. This last stage of the process is reflected in the evaluation matrix.

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

#### 3.2.1 The evaluation criteria

The evaluation criteria correspond to various ways of looking at a programme and:

- Define the broad aspects of the country programme that will be assessed in the analysis of the programmatic areas and in the analysis of the strategic positioning
- Constitute the framework used to formulate the evaluation questions
- In turn, narrow down the wide range of aspects covered by the evaluation criteria and focus the evaluation exercise on a series of key points.
The evaluation criteria encompass a rather broad perspective of the intervention (the country programme); the evaluation questions (and the assumptions to be assessed column in the evaluation matrix) allow evaluators to “zoom in” on specific aspects and features of the evaluation criteria.

CPEs systematically use the following four OECD-Development Assistance Committee (DAC) criteria: relevance, effectiveness, efficiency and sustainability, as well as coordination, a criterion specific to UNFPA.

The present handbook is essentially meant for the evaluation of development assistance interventions and, in this context, the above-mentioned set of evaluation criteria is adequate for the assessment of most country programmes. However, with the multiplication of humanitarian crises, more and more country offices are required to provide humanitarian assistance, the assessment of which is based on specific evaluation criteria. For the assessment of humanitarian interventions, two additional evaluation criteria need to be considered, namely, coverage and connectedness. When assessing humanitarian interventions, the evaluators will not only consider the ability of UNFPA to respond to humanitarian crises but the extent to which the country office has been able to apply a resilience approach by linking prevention, preparedness, response and early recovery with national capacity building.

### FIGURE 4 Evaluation criteria

<table>
<thead>
<tr>
<th>OECD-DAC criteria</th>
<th>Additional criteria for the assessment of humanitarian interventions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Relevance</td>
<td>Coverage and Connectedness</td>
</tr>
<tr>
<td>Effectiveness</td>
<td></td>
</tr>
<tr>
<td>Efficiency</td>
<td></td>
</tr>
<tr>
<td>Sustainability</td>
<td></td>
</tr>
<tr>
<td>Coordination</td>
<td></td>
</tr>
</tbody>
</table>

It should be noted that the assessment of humanitarian interventions within the framework of a CPE is possible only for crises that are geographically localized and/or limited in time and intensity. Large-scale and/or protracted humanitarian crises are out of the scope of a standard CPE. They require a specific methodological approach, details of which can be found in the ALNAP evaluation guide.14

14 The criterion of impact is not considered within the framework of UNFPA CPEs. Box 23 provides the rationale for the exclusion of the assessment of impact in UNFPA CPEs.


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**Relevance**

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

The criterion of relevance brings into focus the correspondence between the objectives and support strategies of the country programme, on the one hand, and population needs (with a focus on the most disadvantaged), government priorities, and UNFPA global policies and strategies on the other. Evaluators need to consider: (a) the extent to which the UNFPA country office has correctly analysed and interpreted the ongoing needs in the country; (b) whether and how the UNFPA support strategy has appropriately taken into account the priorities of the partner government; and (c) whether the country programme is in line with the mandate and priorities of UNFPA as an organization.

In discussing the alignment of the country programme with the mandate and priorities of UNFPA, the evaluators will also consider the strategic positioning and “niche” of the organization.

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

**Effectiveness**

The extent to which country programme outputs have been achieved, and the extent to which these outputs have contributed to the achievement of the country programme objectives.

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

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

**Efficiency**

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

The efficiency criterion captures how resources (funds, expertise, time, etc.) have been used by the country office and converted into results along the results chain. For instance, evaluators have to assess: (a) if UNFPA outputs were developed or produced at a reasonable cost, or over a reasonable time period; (b) the extent to which the country office took advantage of existing opportunities for synergies; and (c) how UNFPA-funded interventions compare to similar projects supported by other organizations on the basis of unit costs or other suitable efficiency-related benchmarks.
Sustainability

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

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

Sustainability relates to the likelihood that benefits from the country programme continue after UNFPA funding is terminated and the corresponding interventions are closed. Evaluators need to consider: (a) the actual flow of benefits after the interventions have ended; and (b) the overall resilience of benefits to risks that could affect their continuation.

Coordination

The extent to which UNFPA has been an active member of, and contributor to, the existing coordination mechanisms of the UNCT.

Evaluators will dedicate attention to the contribution of the country office to the UNCT and assess how it has positioned itself vis-à-vis the UNCT. The criterion requires evaluators to assess the extent to which UNFPA has been an active member of, and contributor to, the existing coordination mechanisms of the UNCT. Aspects of this criterion include: (a) the record of participation of UNFPA representatives in UNCT coordination meetings (such as minutes of UNCT meetings); (b) the responsibilities assumed during these meetings; and (c) the contributions made.

Coverage

The extent to which major population groups facing life-threatening suffering were reached by humanitarian action.

Evaluators need to assess the extent of inclusion bias – that is, inclusion of those in the groups receiving support who should not have been (disaggregated by sex, socio-economic grouping and ethnicity); as well as the extent of exclusion bias, that is exclusion of groups who should have been covered but were not (disaggregated by sex, socio-economic grouping and ethnicity).

Connectedness

The extent to which activities of a short-term emergency nature are carried out in a context that takes longer-term and interconnected problems into account.

Connectedness has been adapted from the criterion of sustainability used for the assessment of development interventions. Evaluators need to consider: (a) the establishment of linkages between the relief and the recovery phases; and (b) the extent to which local capacity has been supported and developed. The connectedness criterion allows the evaluators to assess the contribution of UNFPA to the humanitarian-development-peace nexus.

3.2.2 The evaluation questions

Evaluation questions focus on translating the broad information demands as expressed in the terms of reference into a set of clearly delineated issues.

Evaluation questions must be specific to the country programme, developing questions that meet good-quality standards and correctly capture the main elements of UNFPA country programmes requires considerable practice and experience.

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

Step 1: Select a set of evaluation questions

The evaluation manager (in agreement with the reference group) should select and adapt evaluation questions, using, as a reference, the examples provided in Table 6. Evaluation questions aim to translate the abstract analytical perspectives of evaluation criteria into the concrete language and conceptual components of UNFPA country programmes.

While evaluation questions must be specific to the country programme, developing questions that meet good-quality standards and correctly capture the main elements of UNFPA country programmes requires considerable practice and experience.

The table below provides examples of standard evaluation questions for CPEs.

It should be noted that certain themes appear in both the list of programmatic interventions and among the cross-cutting issues – e.g., "gender equality" and the "improvement of the situation of young people". The difference in scope of the two types of questions (programmatic interventions vs cross-cutting issues) can be illustrated by the example of gender. The evaluation question for "gender equality" as a country programme outcome asks for the contribution of UNFPA support to gender equality to the improvement of SRH. Its scope thus touches on only two country programme outcomes. On the other hand, the evaluation question on "gender equality" as a cross-cutting issue examines the extent to which country offices have mainstreamed provisions to advance gender equality across all country programme interventions.
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When selecting the set of evaluation questions, evaluators, the evaluation manager and the reference group need to choose how these themes should be treated in the particular CPE, based on the characteristics and the focus of the country programme under evaluation. In cases where a country programme treats these themes both as outcomes and cross-cutting issues, evaluators can decide to include both types of questions in the final set of evaluation questions.

**TABLE 6 List of examples of evaluation questions for CPE**

The evaluation questions should be selected and adapted according to the programmatic areas of the country programme under evaluation.

<table>
<thead>
<tr>
<th>Evaluation questions</th>
<th>Comments</th>
<th>Evaluation criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. To what extent is UNFPA support in the field of [reproductive health and rights]: (i) adapted to the varied needs of the population, including the needs of marginalized and vulnerable groups; and (ii) in line with the priorities set by relevant international and national policy and normative frameworks, including international human rights agreements?</td>
<td></td>
<td>Relevance</td>
</tr>
<tr>
<td>2. To what extent do planned interventions adequately reflect the goals stated in the CPD and align more broadly with the UNFPA strategic plan?</td>
<td></td>
<td>Relevance</td>
</tr>
<tr>
<td>3. To what extent have UNFPA-supported interventions contributed (or are likely to contribute) to a sustained increase in the use of disaggregated (by, inter alia, gender, age, location, caste/class, ethnicity) demographic and socio-economic data in the evidence-based development and implementation of plans, programmes and policies to improve access to sexual and reproductive health (SRH) services, including by marginalized and vulnerable groups?</td>
<td></td>
<td>Relevance</td>
</tr>
<tr>
<td>4. To what extent has UNFPA supported interventions contributed to the [reproductive health and rights-based framework] of marginalized/vulnerable groups?</td>
<td>Evaluators should check, whether, inter alia, human rights and gender equality analyses were conducted to inform the design and implementation of UNFPA support.</td>
<td>Relevance</td>
</tr>
<tr>
<td>5. To what extent has the country office been able to respond to changes in national needs and priorities, including those of vulnerable or marginalized communities, or to shifts caused by crisis or major political changes? What was the quality of the response?</td>
<td></td>
<td>Relevance</td>
</tr>
<tr>
<td>6. To what extent has the country office been able to respond to specific/ad-hoc/urgent requests of partner country counterparts including those due to humanitarian crisis?</td>
<td>Quality aspects to be checked by evaluators include timeliness and appropriateness of the response and the balance struck between short- and long-term objectives.</td>
<td>Relevance</td>
</tr>
</tbody>
</table>

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<table>
<thead>
<tr>
<th>Evaluation questions</th>
<th>Comments</th>
<th>Evaluation criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>7. To what extent has UNFPA made good use of its financial and administrative resources, and used an appropriate combination of tools and approaches to pursue the achievement of the outcomes defined in the country programme?</td>
<td>Were resources combined in a manner that allowed for/facilitated a gender-responsive and human rights-based approach to be implemented across the country programme?</td>
<td>Efficiency</td>
</tr>
<tr>
<td>8. To what extent did the intervention mechanisms (financing instruments, administrative regulatory framework, staff, timing and procedures) foster or hinder the achievement of the programme outputs, including those specifically related to advancing gender equality and human rights as well as those with gender and human rights dimensions?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9. To what extent does the allocation of resources across the UNFPA country programme reflect the varied needs of vulnerable and marginalized groups, prioritizing those most marginalized within?</td>
<td>This evaluation question must be adapted to the programmatic areas for the country programme under evaluation. Examples include: to what extent have interventions to address GBV (i) been developed in concert with those who have experienced rights violations? (ii) contributed to raising awareness on GBV and its varied forms and impacts on different groups; and (iii) positioned GBV on the national agenda through a human rights-based framework?</td>
<td>Effectiveness, Sustainability</td>
</tr>
<tr>
<td>10. To what extent has UNFPA support helped to ensure that SRHR (including access to family planning) is coherently integrated into and across national development instruments and sector policy frameworks with the (varied) needs of vulnerable and marginalized communities, gender equality and relevant population dynamics reflected?</td>
<td>Questions 11 and 12 examine the contributions of UNFPA support to improved access to quality SRH services (including family planning) in programme countries. Questions 11 and 12 can also be used to assess the UNFPA contribution to the SRHR of vulnerable and marginalized groups, (including adolescents and young people). Alternatively, the evaluators can decide to treat the effect of UNFPA support on the SRHR of young people (or vulnerable and marginalized groups more generally) in a separate question.</td>
<td>Effectiveness, Sustainability</td>
</tr>
<tr>
<td>11. To what extent have interventions supported by UNFPA contributed to (or are likely to contribute) to sustainably improved access to and use of quality services in the field of reproductive health and family planning including for vulnerable and marginalized populations?</td>
<td></td>
<td>Effectiveness, Sustainability</td>
</tr>
<tr>
<td>12. To what extent did UNFPA support eliminate barriers to access (e.g. social, economic, legal, location, language, cultural) to reproductive health services (or GBV services) for vulnerable and marginalized populations?</td>
<td>This evaluation question must be adapted to the programmatic areas for the country programme under evaluation. Examples: • To what extent has the country programme contributed to improving the quality and affordability of SRH services provided, particularly for the management of delivery and of its complications, including the surgical repair of obstetrical fistulae, for women from marginalized/vulnerable groups/locations?</td>
<td>Effectiveness, Sustainability, Coverage</td>
</tr>
</tbody>
</table>
• To what extent has UNFPA supported services appropriately targeted at the varied needs of different groups (e.g., women, adolescents and youth, those with disabilities, indigenous communities, sexual diversities), particularly those within groups that are “furthest behind”?
• To what extent are population data (demographic statistics, census data, etc.) taken into account in national development and poverty reduction strategies, policies, plans and programmes? Which groups are not captured in the data and to what extent has UNFPA country office supported the production of (improved) disaggregated data to address these gaps?

13. To what extent has UNFPA support helped to increase the access of young people (including adolescents) to quality SRH services and comprehensive sexuality education (CSE)? Are there specific groups of young people who are not being reached (by services or CSE)?

14. To what extent has UNFPA support in the area of HIV/AIDS contributed to improvements in SRHR, in particular by: (i) helping to increase access to quality HIV- and STI-prevention services for young people (including adolescents) and (other) vulnerable and marginalized groups; (ii) helping to prevent mother–child transmission of HIV?

15. To what extent has UNFPA support strengthened policy, legal and accountability frameworks – ensuring their alignment with international human rights frameworks – to advance gender equality and reproductive rights, (as well as curtail harmful practices), for all women/girls, including those from marginalized communities?

16. To what extent have UNFPA-supported interventions contributed to (or are likely to contribute to) a sustained increase in the use of disaggregated (by, inter alia, gender, age, location, class/caste) demographic and socio-economic information and data, in the evidence-based development and implementation of plans, programmes and policies?

17. To what extent has UNFPA support contributed to improved disaggregation to ensure that evidence-based development and implementation of plans, programmes and policies reflect the needs of a variety of stakeholders, including those furthest behind?

18. To what extent has UNFPA involved those directly impacted by rights violations, including vulnerable and marginalized communities and the beneficiaries of UNFPA support, in the design of programmes on SRHR?

19. To what extent has UNFPA been able to support implementing partners and beneficiaries (rights-holders), in developing capacities and establishing mechanisms to ensure ownership and the durability of effects?

20. To what extent have interventions supported by UNFPA contributed to (or are likely to contribute to) a sustainably improved access to and use of quality services in the field of reproductive health and family planning?, in particular for (young people and other) vulnerable groups of the population?

21. To what extent has UNFPA ensured that the needs of young people (including adolescents) in all their diversities (age, location, gender, sexual orientation, ability, employment, marital status etc.) have been taken into account in the planning and implementation of all UNFPA-supported interventions under the country programme?

22. To what extent has UNFPA successfully mainstreamed gender equality and human rights in: (i) the development of the country programme (with particular attention to participation in developing the country programme); and (ii) the implementation of the programme (with particular attention to non-discrimination/ equality in reach/results)?

23. To what extent has the country office successfully partnered (through different types of partnerships – with civil society, including local NGOs, other United Nations agencies, academia, parliamentarians etc.) to ensure that UNFPA makes use of its comparative strengths in the achievement of the country programme outcomes across all programmatic areas?

This evaluation question must be adapted to the programmatic areas for the country programme under evaluation.

This question examines the extent to which UNFPA has successfully ensured that its interventions across programmatic areas were developed and implemented in a way that has considered the diverse needs, interests and experiences of different groups (men and women, girls and boys, marginalized groups) and the (varied) impact (both intended and unintended) of UNFPA support. The question also provides an opportunity for evaluators to assess the cause-and-effect relationships between UNFPA-supported efforts to advance gender equality, and progress in the achievement of other objectives of UNFPA support.
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See the section in Annex I on Evaluation questions related to UNFPA support in humanitarian settings.

**Step 2: Translate the selected evaluation questions into data requirements**

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

- What are the assumptions to be assessed?
- What are the indicators?
- What are the sources of information?
- What are the methods and tools for data collection?

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

**Tool** provides guidance on and examples of how to complete the evaluation matrix available in Template 5.

If you want to know more, see Annex I, Elements of theory, the section on Evaluation questions.

### Evaluation questions

<table>
<thead>
<tr>
<th>Evaluation questions</th>
<th>Comments</th>
<th>Evaluation criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>24. To what extent have the partnerships with the partner government specifically (e.g., ministries, agencies and other representatives) allowed the country office to make use of the comparative strengths of UNFPA while, at the same time, safeguarding and promoting national ownership of supported interventions, programmes and policies?</td>
<td></td>
<td>Relevance, Effectiveness, Sustainability</td>
</tr>
<tr>
<td>25. To what extent has UNFPA contributed to improved emergency preparedness in [programme country] in the area of SRHR, including maternal health?</td>
<td></td>
<td>Effectiveness, Sustainability</td>
</tr>
<tr>
<td>26. To what extent has UNFPA contributed to improved emergency preparedness in [programme country] in the area of response to GBV specifically?</td>
<td></td>
<td>Effectiveness, Sustainability</td>
</tr>
<tr>
<td>27. To what extent has UNFPA supported [south-south cooperation] across all of its programmatic areas to facilitate the exchange of knowledge to build national capacity in [programme country]?</td>
<td>UNFPA has pledged to increasingly rely on the exchange of technical know-how and assistance among organizational partners in the global south (i.e. among developing countries themselves) to support the implementation of country programmes. This approach is captured in the concept of “south-south cooperation”. The strategic plan sees particular potential for this approach in middle-income countries. This question allows evaluators to examine the progress UNFPA has made in this regard in programme countries.</td>
<td>Effectiveness, Sustainability</td>
</tr>
<tr>
<td>28. To what extent has the UNFPA country office contributed to the functioning and consolidation of UNCT coordination mechanisms?</td>
<td></td>
<td>Coordination</td>
</tr>
<tr>
<td>29. To what extent is the UNFPA country office coordinating with other United Nations agencies in the country, particularly in the event of potential overlaps, while maintaining its mandate and a human rights-based approach (HRBA) to programming?</td>
<td>This question examines the extent to which UNFPA participates in existing UNCT coordination mechanisms as well as the quality of that participation. While the UNFPA country office alone cannot ensure the proper functioning of these mechanisms, coordination requires the regular/ongoing participation of UNFPA staff in UNCT coordination meetings and their contributions during the drafting of the coordination framework (i.e., the UNDAF) itself, to give a few examples. When addressing questions related to the United Nations country team, pay particular attention to (any) barriers to coordination.</td>
<td>Coordination</td>
</tr>
<tr>
<td>30. To what extent does the UNDAF fully reflect the interests, priorities and mandate of UNFPA in the country? Have any UNDAF outputs or outcomes which clearly belong to the UNFPA mandate not been attributed to UNFPA?</td>
<td></td>
<td>Coordination</td>
</tr>
</tbody>
</table>
3.3 SELECTING A SAMPLE OF STAKEHOLDERS

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

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

Indeed, the element to be considered for the sampling will not be the project\footnote{At UNFPA, a “project” is a financial concept used to designate UNFPA interventions, not interventions in the traditional sense of the term. The UNFPA programming framework is results-based; the focus is placed on outputs and outcomes, not on projects (see also Table 6).} but rather the stakeholder and, in particular, the stakeholder/output relationship.

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

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

**Step 1:** Conduct stakeholders mapping

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

\footnote{See Tool 6 for brief guidance on how to fill out the suggested format for the CPE agenda (the overall agenda for the entire evaluation).}

**Step 2:** Decide on the selection criteria for the stakeholder sample

The evaluators should develop a comprehensive stakeholders map and detail the approach to stakeholder sampling (the criteria listed below could be used). It is also important to detail which groups were not included/consulted and why (as well as the impact of this on the evaluation). A sample of stakeholders should then be selected. The evaluators should not aim to obtain a statistically representative sample, but rather an illustrative sample.

The stakeholders mapping table (Tool 4) in Tools for structuring information provides an inventory of the implementing agencies, other partners and beneficiaries classified by strategic plan outcomes, country programme outputs and UNFPA interventions.

**Step 3:** Fill out the “sources of information” column in the evaluation matrix.

The evaluation team in consultation with the evaluation manager, fill out the ‘sources of information’ column in the evaluation matrix. This would allow the evaluators to establish a correspondence between the information requirements and the selected stakeholders.

**Step 4:** Produce first draft agenda. This is done by the evaluation team, who produce it and send it to the evaluation manager for input from the country office.

**Step 5:** Finalize the CPE. The evaluators revise and finalize the CPE agenda based on the feedback from and additions made by the evaluation manager.

### TABLE 7 Stakeholder selection criteria

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Stakeholders involved in seemingly well-performing and poorly performing interventions of the country programme.</td>
<td></td>
</tr>
<tr>
<td>2. All types of stakeholders for each given output/outcome – i.e., implementing partners, execution agencies, other partners, direct and indirect beneficiaries (including marginalized groups and young people) and donors.</td>
<td></td>
</tr>
<tr>
<td>3. For each output/outcome, stakeholders associated with ongoing activities as well as with activities (AWPs) that have already been completed.</td>
<td></td>
</tr>
<tr>
<td>4. Stakeholders related to both parts of the programme implemented in the country capital and other parts implemented in separate regions/provinces/districts.</td>
<td></td>
</tr>
<tr>
<td>5. Stakeholders associated with both financially large and financially modest AWPs.</td>
<td></td>
</tr>
<tr>
<td>6. Stakeholders associated with both regular actions and pilot interventions.</td>
<td></td>
</tr>
<tr>
<td>7. Stakeholders involved with the national execution (NEX) modality and with the direct execution modality.</td>
<td></td>
</tr>
<tr>
<td>8. Stakeholders associated with soft-aid activities carried out by the country office.</td>
<td></td>
</tr>
<tr>
<td>10. Stakeholders working on the same issues as UNFPA/in the same spaces but that are not partnering/implementing partners (other actors working on SRHR, maternal health, GBV, for example).</td>
<td></td>
</tr>
<tr>
<td>11. Whenever relevant, stakeholders that have been involved with interagency projects.</td>
<td></td>
</tr>
</tbody>
</table>
### 3.4 PLANNING DATA COLLECTION AND ANALYSIS

#### 3.4.1 Drafting the overall and individual agendas of the evaluation

As shown in Tool 6, the agenda has seven columns:

<table>
<thead>
<tr>
<th>Date</th>
<th>Activity/institution</th>
<th>People to meet</th>
<th>Location</th>
<th>Link with country programme</th>
<th>Selection criteria</th>
<th>Justification</th>
</tr>
</thead>
</table>

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

The evaluation team should then send this first draft of the CPE agenda to the evaluation manager for input. The evaluation manager should play an active role and work very closely with the evaluation team so that evaluators are informed swiftly on the number, as well as the names and positions of the people suggested for the meetings.

**Tip:** When evaluators send the draft CPE agenda to the evaluation manager, they could already include in “people to meet” some indications of the profile and subgroups of people they wish to meet (within that particular institution) in order to provide the country office with clear/precise information.

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

Developing individual agendas will be the result of a joint effort between the evaluation manager/country office and the evaluation team. However, the evaluation manager and staff at the country office will play a more prominent role given their knowledge of, and access to, the contact details of stakeholders identified for interviews.

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#### 3.4.2 Methods for data collection

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

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

- The evaluation questions (with the corresponding "assumptions to be assessed" and sources of information in the evaluation matrix)
- The budget available for the evaluation
- The time available for data collection
- The availability of data and the type of data available (quantitative or qualitative, primary or secondary).

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20 This column provides information on the AWP and CPD output with which the selected stakeholder is related.
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The period available for data collection generally does not exceed three weeks. During this time, evaluators have to compile information from a variety of sources and stakeholders. Much of the information will not be centrally available, making data collection time-intensive as it will involve travel. Data availability may also be poor. Evaluators need to take these constraints into account in their selection of data-collection approaches and instruments. In those circumstances, the most common methods for data collection are documentary review, individual interviews, group discussions and focus groups.

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

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

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

Is it possible to conduct surveys as part of a UNFPA CPE?

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

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

BOX 6: STRENGTHENING THE GENDER AND HUMAN RIGHTS RESPONSIVENESS OF THE EVALUATION

Capturing the voices of a range of stakeholders takes time, human and financial resources, and commitment; it is, however, essential to ensure the evaluation is gender- and human rights-responsive. A mixed methods approach to data collection is recommended; the evaluation manager and team should ensure that both the methods chosen (e.g., focus groups, interviews, documentary review, etc.) and the ways in which they are applied are gender- and human rights-responsive. This includes, inter alia, systematically collecting gender focal points in ministries and municipalities, women’s human rights organizations, youth groups and individuals/communities directly impacted by rights violations. To this end, the following guidance may help:

• General resources on gender- and human rights-responsive data collection, see, for example: The Association for Women’s Rights in Development (AWID) Monitoring and Evaluation Wiki here: https://awidme.pbworks.com/w/page/36050854/FrontPage
• Most Significant Change toolkit here: https://www.betterevaluation.org/en/plan/approach/most_significant_change

See Tool 7, Field phase preparatory tasks checklist.

3.4.2.1 Document review

The documentary review is useful in understanding the country context and UNFPA country programme, identifying the sample of stakeholders, collecting qualitative and quantitative secondary data, identifying specific interview questions, completing the evaluation matrix, and validating and cross-checking preliminary findings.

There is a wide range of documents containing data and information. The most common are programming documents; previous evaluation (good-quality) reports; project documents such as progress and monitoring reports, technical studies and technical reports; statistical digests and reports, etc.

Besides the documentation provided by the evaluation manager (Tool 8), evaluators will also collect and review additional documentation throughout the field phase.

In many cases, evaluators will find that the information is scattered across several documents and that the documents themselves are hard to locate. While CFDs and information from Atlas are accessible electronically, AWPs are often stored as paper copies or are available only electronically from the UNFPA country office.
UNFPA Evaluation Handbook

Chapter 3
Design phase

Therefore, evaluators need to dedicate sufficient time to locating and retrieving all documents needed at the beginning of the evaluation – i.e., the design and field phases.

Secondary data obtained through documentary review will complement primary data (obtained through interviews and focus groups) in order to conduct triangulation, that is: to verify and cross-check the validity of preliminary findings (see section 4.2 for more details).

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

3.4.2.2 Interviews: individual interviews, group discussions and focus groups

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

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

- Put this information into context
- Ask for interpretations of statements in the documents
- Solicit feedback on aspects of the performance of UNFPA that might not have been discussed in official reports.

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

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

During the design phase, the evaluation team has to decide on the types of interviews to be conducted. Types of interviews are linked to both the evaluation questions and the nature of stakeholders to be interviewed. In a UNFPA CPE, a great deal of the evaluators’ access to high-value information depends on interviews. However, interviews are subject to certain limitations regarding the reliability of the information collected – i.e., the extent to which statements and feedback solicited from interviewees provide an accurate picture of the situation. To control for the bias that any individual interviewee and also any single interviewer conducting the interview is likely to introduce into the data-collection process, it is helpful to follow a few simple rules when preparing and conducting interviews for UNFPA CPES:

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

In research and evaluation, the term “reliability” means “repeatability” or “consistency”. The data-collection approach is considered reliable if it produces the same result in repeated measurements of the same unchanged object or condition. Interviews are subject to certain threats to the reliability of the information they produce. First, interviewees are likely to filter their observations on the basis of their pre-existing opinions. These preconceptions often reflect the values or goals of their environment (such as the organizations to which they belong, or the communities in which they live), or are affected by other privately held beliefs. In addition, even knowledgeable key informants can have false or incomplete information about the object of the interview. Finally, the evaluators who are conducting the evaluation can introduce bias into the interviews, by asking leading questions, or by recording answers only selectively, based on their own preconceptions about the topics at hand.

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Structured, semi-structured and unstructured interviews

An interview is a data-collection tool used to:

- Confirm or check facts learned from the documentation or from other interviews
- Collect new data to complement the documentary review
- Collect opinions, perceptions and analysis from a reasonable number of varied stakeholders.

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

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

An **unstructured or open-ended interview** consists of an informal conversation on a topic (or topics). It does not require predefined questions and provides the interviewer with flexibility over how to lead the conversation. It allows for empathy and mutual understanding with a view to facilitating the exchange of information. Unstructured interviews are used in situations where the evaluator wants to explore the opinion of interviewees in a fully open-ended manner. Within the context of UNFPA CPEs, unstructured interviews may prove useful in situations such as unplanned meetings and/or meetings taking place with end beneficiaries of the programme (notably vulnerable groups: refugees, adolescents/children, GBV victims, etc.).

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

**BOX 8: WHICH TYPE OF INTERVIEW SHOULD YOU SELECT: STRUCTURED, SEMI-STRUCTURED OR UNSTRUCTURED?**

These three types of interviews are not mutually exclusive. Evaluators may use them all in the course of the evaluation exercise. However, semi-structured interviews are recommended for UNFPA CPEs since they provide a good balance between rigour and flexibility, both of which are necessary given the nature of the themes under evaluation and the related variety of stakeholders.
Focus groups

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

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

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

- The size of the group is limited to about eight to ten people.
- They are led by evaluators with experience in moderating focus groups or external skilled moderators to achieve the balanced and equal participation of all group members in the discussion.
- In a focus group, interactions between stakeholders allow participants to:
  - Comment on each other’s opinions
  - Bring up new topics inspired by the interventions of others
  - Contradict or support others.

This makes focus groups a useful instrument for validating information on preliminary findings or hypotheses stemming from the documentary review and individual interviews.

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

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

At the design phase, evaluators must select the methods for analysing data. By data analysis, we refer to the process of assessing the evaluative information gathered by means of documentary review, interviews and focus groups.

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

Considering the limited availability of quantitative data in most country offices (due, in particular, to ineffective results-oriented monitoring and reporting systems), the type of data collected in a CPE will consist mostly of primary qualitative data. Short timelines and limited financial resources allocated to CPEs exclude the possibility of resorting to sophisticated methods for data analysis (such as cost-benefit analysis, cost-effectiveness analysis and econometric-based models such as regression analysis). However, evaluators should consider applying quantitative methods for data analysis when the country office monitoring and evaluation system is in place and when national statistical data is readily available.

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

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

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

Evaluators must link preliminary findings (by evaluation question) with the evidence that supports such findings as well as with the sources of the evidence. The evaluation manager must ensure that the evaluators present the techniques that will be used to ascertain that the results of the data analysis are credible and evidence-based (see Section 7.2, Detailed outline of reports, Chapter 4 of the design report, Evaluation methodology and approach).

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

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

BOX 10: STRENGTHENING THE GENDER AND HUMAN RIGHTS RESPONSIVENESS OF THE EVALUATION

Analytical frameworks and techniques that allow for an examination of shifts in power and resources - and are able to illustrate how groups differently situated vis-à-vis the realization of human rights and gender equality are impacted in different ways by UNFPA support - strengthen the analysis and improve the gender and human rights responsiveness of the evaluation.

For general resources on gender- and human rights-responsive analysis techniques, see, for example:

- Gender@Work Framework (http://genderatwork.org/analytical-framework/) adapted by and, together with the Gender Responsiveness Effectiveness Scale (GRES), utilized in the evaluation of the UNDP contribution to gender equality, here (Chapter 5, page 45): http://web.undp.org/evaluation/evaluations/thematic/gender.shtml

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

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

- **Internal team-based reviews:** Convening a series of internal team meetings (during the field and analysis phases) to share and discuss preliminary findings/conclusions, hypotheses and evidence. In UNFPA programmes, programmatic areas are highly interrelated, which means that an evaluator will collect evidence on the areas for which s/he is responsible, but also on other evaluators’ area(s) of expertise. Sharing and discussing the validity of preliminary findings and their supporting evidence for each programmatic area constitutes a validation process. The most important team-based review is the one that will take place prior to the presentation of the preliminary findings to the country office.

- **Presenting and discussing preliminary findings with the country office and the reference group.** This presentation should ideally take place during a workshop.

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

To check the validity and robustness of the findings, evaluators should not wait until the field phase. This control must be performed throughout the evaluation process. In this manner, evaluators can assess whether they should keep on working on specific hypotheses (lines of argument) or disregard them when there are indications that these are weak (contradictory findings or lack of evidence).

### 3.4.4 Limitations and ways to mitigate them

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

- **The availability of data and information is often constrained by the lack of a results-oriented monitoring and reporting system in the country office and/or poor national statistical data, as well as insufficient disaggregation by gender, location, class, etc.**

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

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

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

Identifying limitations is critical, including specifically those related to stakeholder consultation and data-collection methods. Once limitations have been identified, the assessment should conclude with a clear description of the mitigating measures. Some examples of mitigation approaches are:

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

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

- **Ad-hoc proxies:** To offset the lack of current values for indicators
3.5 ORGANIZING THE WORK

3.5.1 Team responsibilities and the distribution of tasks

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

Allocation of responsibilities by area of work

Each evaluator should:

• Lead the evaluation work on evaluation questions associated with her/his area of expertise
• Provide input when relevant on other evaluators’ programmatic areas.22

Allocation of responsibilities for sections of the final evaluation report

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

<table>
<thead>
<tr>
<th>Sections of the final evaluation report (including annexes)</th>
<th>Responsible person</th>
<th>Inputs/support required from</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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

3.5.2 Resource requirements and logistical support

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

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

A special note on planning for the engagement of rights-holders: strong coordination, organization and planning well in advance of site visits/data collection is particularly important when engaging with rights-holders and communities directly impacted by rights violations, particularly those outside the capital. Extra travel time, additional logistical support, including to select the appropriate time and location for gatherings and human/financial resources (including language/translation), is often required. To facilitate genuine engagement with rights-holders, this should be properly reflected in the agenda. When organizing the agenda, ensure enough time is scheduled between meetings. Additional financial and human resources may be required or resources reallocated to capture and reflect the perspective(s) of rights-holders and impacted communities. See also Preparing the logistics for the site visits, in section 4.3.2.2. The importance of site visits.

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

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

• Equipment such as overhead projector, printer, etc.

• Whenever appropriate, interpreters for international consultants and for national consultants in multilingual countries. To the extent possible, the interpreters should be aware of and be sensitive to the issues on which UNFPA works (SRHR/GBV/gender equality).

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

22 E.g., gender and monitoring issues are often to be assessed across the programme, hence involve all of the evaluators.
3.5.3 Work plan

The team should agree on, and draw up a work plan to be shared with the evaluation manager. This plan should reflect the timelines (as per the ToR) 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:

<table>
<thead>
<tr>
<th>Main activities</th>
<th>Field mission</th>
<th>Week</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Month 1</td>
</tr>
<tr>
<td></td>
<td></td>
<td>week 1</td>
</tr>
<tr>
<td>Delivery of the design report</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Approval of the design report</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Completion of the agenda for in-country meetings and interviews</td>
<td>●</td>
<td></td>
</tr>
<tr>
<td>Preparation of the interviews and adjustments in the agenda</td>
<td></td>
<td></td>
</tr>
<tr>
<td>In-depth study of AWP, previous evaluations, etc. (secondary sources)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Data collection</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Data analysis, triangulation (teamwork)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Presentation preliminary results to country office</td>
<td>■</td>
<td></td>
</tr>
<tr>
<td>Delivery of first draft of evaluation report</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Comments from the country office</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Delivery of final evaluation report</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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

3.6 ENSURING THE QUALITY OF THE EVALUATION DESIGN AND METHODOLOGY

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

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

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

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

Section 7.2.1 provides the annotated outline for a CPE design report and explains in detail the purpose and expectations for each chapter. The evaluation team leader, as well as the evaluation manager, should compare the design report to this template throughout the quality assurance process.

The annotated outline of design reports for CPEs can be found in section 7.2.1 and Template 8. The template can be used by the evaluation team leader as a guide for drafting the design report, and by the evaluation manager to guide his/her assessment of the design report during the quality assurance process.
The box below summarizes the main quality assurance questions to be answered at the end of the design phase, and relates them to the relevant sections of the design report. For each chapter, the box also proposes a few key issues to be assessed during the quality assurance process of the design phase.

**BOX 11: SUMMARY OF THE MAIN QUALITY ASSURANCE QUESTIONS, ASSOCIATED DESIGN REPORT ELEMENTS AND SPECIFIC ISSUES TO CHECK**

<table>
<thead>
<tr>
<th>Main quality assurance questions</th>
<th>Associated elements of the design report</th>
<th>Specific issues to check</th>
</tr>
</thead>
<tbody>
<tr>
<td>Have evaluators understood why UNFPA is doing this evaluation?</td>
<td>Chapter 1: Purpose and objectives of CPE, scope of the evaluation</td>
<td>Does the report correctly describe the intended purpose and objectives of the evaluation?</td>
</tr>
<tr>
<td>Does the design report correctly present what is being evaluated?</td>
<td>Chapter 2: Country context</td>
<td>Does the chapter offer a description of the country context focused on elements that are relevant for the UNFPA country programme?</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Are components of the country programme logically related to the country context?</td>
</tr>
<tr>
<td></td>
<td></td>
<td>This section should also include the country’s progress towards the achievement of relevant internationally agreed development goals (including the SDGs and the ICPD benchmarks).</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Does the report describe the country programme comprehensively, (including evaluations over time) without omitting important components and situating it within the broader United Nations system’s framework and the corporate strategy/normative framework of UNFPA?</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Do the evaluators propose an analysis of the country programme that goes beyond a description of its components – e.g., does the report identify linkages between components? Does it identify gaps or weak areas in the intervention logic?</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Does the report take into account the cross-cutting issues covered by the country programme, including the integration of a gender-responsive and human rights-based approach (HRBA) to programming?</td>
</tr>
</tbody>
</table>

**Chapter 3: UNFPA strategic response and programme: Description of programme and intervention logic; Effects diagram (not compulsory)**

- Is a detailed financial analysis of the programme budget by output and outcome included, clearly distinguishing between resource targets set out in the country programme document (CPD) and the actual resources mobilized during the programme cycle? Are implementation rates also included?

**Chapter 4: Evaluation questions; indicators**

- Do the evaluation questions respond to specific evaluation criteria (relevance, effectiveness, efficiency and sustainability, as well as others) and cover the main topics, themes and issues covered by the country programme (and identified in Chapter 3, see above)?

- Do the indicators contribute to focusing the standard evaluation questions while addressing the priorities, main topics, themes and issues covered by the country programme and allow for the ability to collect data that speaks to the gender and human rights responsiveness of the country programme?

- Is this section provide a clear and detailed description of the evaluation’s approach and methodology (i.e., a theory-based approach, outlining the intervention logic leading to a reconstructed theory of change of UNFPA support). Does it also identify how the methodology is gender- and human rights-responsive, noting any limitations towards implementing a gender- and human rights-responsive evaluation, as well?

- Is an evaluation matrix (the primary analytical tool of the evaluation) 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.

- Does the report suggest appropriate tools for data collection and analysis that will allow evaluators to collect information/data for all of the indicators identified in the report?

- Will the collected data allow the evaluators to develop a valid (credible) answer to the evaluation question(s)?

**Chapter 4: Evaluability assessment, limitations and risks**

- Has the report identified the limitations of the evaluation, including the most serious risks and constraints, as well as the extent to which the evaluation is (or is not) gender- and human rights-responsive?

- Have the evaluators proposed mitigation measures to address limitations? In cases where limitations are unable to be addressed, is a brief explanation on the extent to which the validity and credibility of the evaluation results would be affected provided?
The field phase consists of a three- to four-week mission in order to complete the data collection and proceed with the analysis. Evaluators will collect additional data through field visits.

### 4.1 STARTING THE FIELD PHASE

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

**FIGURE 6** *Main tasks at the start of the field phase*
The evaluation team must carry out four main tasks:

- **Security briefing**
- **Internal evaluation team meeting**
- **General briefing with the country office**
- **Individual briefings with the country office programme officers by programmatic area:** overview of each programmatic area of the country programme, finalization of evaluators’ individual agendas and related logistics matters.

**Security briefing**

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

**Evaluation team meeting**

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

<table>
<thead>
<tr>
<th>TABLE 8</th>
<th>Evaluation team meeting</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Overview</strong></td>
<td>The team leader should chair the meeting and go through the following issues:</td>
</tr>
<tr>
<td></td>
<td>• Briefly review the main objectives and goals of the evaluation exercise</td>
</tr>
<tr>
<td></td>
<td>• Ask if any aspect of the field phase is unclear to any of the evaluators</td>
</tr>
<tr>
<td></td>
<td>• Provide an overview of the main steps of the field phase</td>
</tr>
<tr>
<td></td>
<td>• Outline what is expected from each member of the evaluation team</td>
</tr>
<tr>
<td></td>
<td>• Agree the rules regarding internal communication during the field visits, and communication with the evaluation manager and other country office staff</td>
</tr>
<tr>
<td></td>
<td>• Explain the expected product of the field phase: a debriefing to the country office and main stakeholders on the preliminary findings and recommendations.</td>
</tr>
<tr>
<td><strong>Tip:</strong> Before the start of data collection, it should be decided which evaluator will be responsible for each section of the final report. This will allow team members to plan their respective work. This should also facilitate coordination between team members</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Methodological aspects</th>
<th>The team leader should ensure that all evaluators are fully familiar with the methodological framework and approach, in particular:</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Arrangements about sharing information of common interest</strong></td>
<td>The team should discuss how to proceed when the data to be collected are relevant for various team members</td>
</tr>
<tr>
<td></td>
<td>Once common data sources are identified, the team leader should ensure that the information needs of each concerned evaluator are reflected within the interview guides and/or interview logbooks.</td>
</tr>
<tr>
<td><strong>Agendas and logistics</strong></td>
<td>The team should review the agenda of the general briefing with the country office – usually scheduled for the next day.</td>
</tr>
<tr>
<td></td>
<td>The team should review the agenda of the general briefing with the country office – usually scheduled for the next day.</td>
</tr>
<tr>
<td><strong>General briefing with the country office</strong></td>
<td>Prior to the start of the field phase, the team leader should discuss a date and agenda for the general briefing meeting with the evaluation manager.</td>
</tr>
<tr>
<td></td>
<td>On the second day of the field phase, a general briefing should be held with the country office to present the objectives, process and deliverables of the evaluation. The aim of the meeting is to reach a common understanding on the content of the evaluation matrix and agree upon the overall agenda of the field phase.</td>
</tr>
<tr>
<td></td>
<td>The evaluation manager must ensure that the meeting is attended by:</td>
</tr>
<tr>
<td></td>
<td>• All members of the evaluation team</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Representative(s) of the relevant UNFPA regional office</td>
</tr>
<tr>
<td></td>
<td>• Members of the evaluation reference group other than UNFPA staff.23</td>
</tr>
</tbody>
</table>

---

23 For example: government bodies (ministries, agencies), academia, civil society organizations, other United Nations agencies, etc.
The table below suggests an outline for the briefing meeting.

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

<table>
<thead>
<tr>
<th><strong>Evaluation team</strong></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>The evaluation team members (and their respective responsibilities) are introduced to participants</td>
<td></td>
</tr>
<tr>
<td>Presentation of the scope and objectives of the evaluation</td>
<td></td>
</tr>
<tr>
<td>Presentation of the methodology for CPEs, including a detailed review of the evaluation matrix</td>
<td></td>
</tr>
<tr>
<td>Presentation by the evaluation team of planned field visits and necessary support from the country office</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Country office</strong></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Briefing from the country office on the general context (including political aspects) of the programme</td>
<td></td>
</tr>
<tr>
<td>Presentation of country office’s expectations regarding the CPE</td>
<td></td>
</tr>
<tr>
<td>Presentations of the programme portfolio by programmatic area</td>
<td></td>
</tr>
<tr>
<td>Presentation of the main challenges faced by the country programme</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Main issues regarding the agenda and logistics</strong></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Joint discussion</td>
<td></td>
</tr>
<tr>
<td>Based on the discussion between the main stakeholders (country office and reference group), adjust and refine the evaluation matrix. This may involve, for example, the inclusion of new evaluation questions, the reformulation or deletion of existing evaluation questions, and related adjustments in the assumptions to be assessed, the sources of information and the methods and tools in the data-collection columns of the matrix (see below)</td>
<td></td>
</tr>
<tr>
<td>Agree on the parameters against which the assessment will be made (see below)</td>
<td></td>
</tr>
<tr>
<td>Validate the overall CPE agenda</td>
<td></td>
</tr>
</tbody>
</table>

Tip: It is advisable to discuss issues such as refinement of the evaluation matrix and the parameters of the assessment with senior management prior to the general briefing meeting. Such discussion could be held in the meeting with senior management, which usually takes place on the first day of the mission (see Tool 6, The CPE agenda).

**Adjusting and refining the evaluation matrix**

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

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

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

When the evaluators are faced with a poor CPD results framework – e.g., when indicators are not adequately defined, targets are either absent or unrealistic and/or baselines are missing – it becomes necessary to design an alternative reference framework for the assessment of the country programme.

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

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

**FIGURE 7  Adjusting and refining the evaluation matrix**
The evaluation manager should encourage the reference group to provide comments on the evaluation matrix before the joint discussion.

When receiving comments, the evaluation team should avoid:

- A lack of information identified at this early stage, which leads to the exclusion of key evaluation questions. In such cases, it is advisable to keep the evaluation question(s) and look for alternative sources of information.
- Being directed to evaluation question(s) prioritized merely on the basis of the information available.

Reminder: Although the evaluation matrix should incorporate inputs from the evaluation reference group, it remains the responsibility of the evaluation team, which makes the final decisions on its content.

Individual briefings with the programme officers in country offices: individual agendas, logistics and programme overview

Each evaluator should hold an individual interview with the programme officer(s) in charge of the programmatic area to which s/he is assigned. At this point, evaluators should use the checklist provided in Tool 8. These meetings should cover the following aspects, identified in Table 10.

<table>
<thead>
<tr>
<th>TABLE 10</th>
<th>Aspects to be covered during the individual interviews with programme officers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aspects related to the individual agendas</td>
<td></td>
</tr>
<tr>
<td>Individual agendas should be organized prior to the beginning of the field phase. However, some key aspects need to be reviewed with the relevant programme officer in the country office:</td>
<td></td>
</tr>
<tr>
<td>- Timing of interviews</td>
<td></td>
</tr>
<tr>
<td>- Practical arrangements regarding field visits (should additional field visits be organized?)</td>
<td></td>
</tr>
<tr>
<td>- Rationale for each interview and link(s) with related information needs (should additional stakeholders be consulted?).</td>
<td></td>
</tr>
<tr>
<td>Detailed overview of the programme and its context</td>
<td></td>
</tr>
<tr>
<td>- It is very important for the evaluation team to meet the relevant programme officers before undertaking field visits and meeting other stakeholders.</td>
<td></td>
</tr>
<tr>
<td>- Programme officers can provide valuable information regarding the context information that does not appear in the CPD, AWPs, COARs or workplan progress reports. This is especially useful in highlighting potential gaps between “what is in the CPD” and “what is implemented”.</td>
<td></td>
</tr>
<tr>
<td>Specific questions related to the evaluation</td>
<td></td>
</tr>
<tr>
<td>- Programme officers are also stakeholders in the UNFPA country programme as they are involved in its implementation (as such, they also appear in the sources of information column of the evaluation matrix). In order to ensure efficient use of time, the evaluators should also take advantage of this first meeting to obtain information to enable them to start filling in the information matrix.</td>
<td></td>
</tr>
<tr>
<td>The programme officer’s expectations for the evaluation</td>
<td></td>
</tr>
<tr>
<td>- This first meeting should also be an opportunity for the programme officer to express his/her expectations and concerns regarding the evaluation exercise.</td>
<td></td>
</tr>
</tbody>
</table>

Tool 7, Field phase preparatory tasks checklist, provides a list of the key steps and tasks evaluators should have gone through prior to the start of collecting data.
4.2 COLLECTING AND ENSURING THE VALIDITY OF DATA

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

Methods for collecting data are selected at the design phase. Optimizing the time of the field phase requires early planning (interviewees must be informed well in advance) and practical arrangements (logistics); to this end, the active role of the evaluation manager is crucial. At the start of the field phase, evaluators have access to more detailed information and need to adjust the approach to data collection accordingly.

Methodological explanations on data collection can be found in section 3.4.2, Methods for data collection. Section 7.1.2 contains all of the tools for data collection.

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

**FIGURE 8  Triangulating data sources and data-collection methods**

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

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

- Look for further data and/or information with a view to validating/invalidating the data/information collected
- In cases where the evaluator is faced with contradictory data/information stemming from two equally reliable sources, it is advisable to display the data/information from both sources, while highlighting subsequent limitations in their use for the purpose of the evaluation.
### 4.3 FIELD PHASE

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

Data collection for UNFPA CPEs commonly has six stages:

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

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

<table>
<thead>
<tr>
<th>Main stages</th>
<th>Main activities</th>
<th>Location</th>
<th>Duration</th>
</tr>
</thead>
</table>
| Preparation | • Preparation of evaluation matrix  
• Preliminary interview schedule  
• Development of interview guides/other materials for data collection | Home base of evaluators | 1 day |
| Launch | • United Nations security briefing  
• Internal meeting of evaluation team  
• Launch of field phase with a general briefing of country office on scope and approach of CPE  
• Individual briefings with UNFPA country office programme officers by outcome area: overview of each outcome area of country programme; completing the collection of documents in UNFPA country office  
• Finalization of evaluators’ individual agendas and related logistics matters | Capital (UNFPA country office) | 2 days |
| First round of data collection - capital | • Interviews with key informants among government, donors, civil society, research organizations in the capital; collection of additional documentation where possible | Capital (UNFPA country office, offices of main stakeholders) | 5 days |
| Site visits | • Interviews with key informants at subnational level/project sites (e.g., local authorities, NGOs, health centre staff, patients, etc.)  
• Focus groups with beneficiaries (e.g., doctors, nurses, midwives, patients, communities, patients, youth etc.)  
• Observations at project sites/utilization of provided assets and tools | Field (sites of UNFPA-supported projects/ interventions) | 6 days |
| Complementary data collection - capital | • Internal team meeting upon return from site visits; identification of data gaps (evaluation matrix); determining best use of the remaining days  
• Focus groups with representatives of civil society organizations  
• Complementary interviews with key informants (closing of data gaps)  
• Complementary document reviews (closing of data gaps) | Capital (UNFPA country office, offices of main stakeholders) | 5 days |
| Finalization and debriefing | • Analytical team workshop (internal); preparation of debriefing of UNFPA country office  
• Debriefing meeting with UNFPA country office staff; presentation of preliminary findings | Capital (UNFPA country office) | 2 days |

Total | 21 days |

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

- **The preparations for data collection through the set-up of the evaluation matrix**
- **The utilization of existing secondary information and data, in particular during the first and second rounds of data collection in the capital**
- **The collection of primary information through interviews and focus groups in the capital and at project sites**
- **The finalization of data collection, and the debriefing at the UNFPA country office.**
4.3.1 Preparing for the field phase: completing the evaluation matrix

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

- Connect/link all incoming information with the evaluation questions and their corresponding indicators
- Assess the relevance and significance of the collected data
- Over the course of the field and analysis phases of the evaluation, identify the information that constitutes credible and compelling evidence to support the formulation of evidence-based answers to the evaluation questions.

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

**TABLE 12 Summary of responsibilities of the evaluation manager and evaluators during the field phase**

<table>
<thead>
<tr>
<th>Main activities</th>
<th>Division of responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Evaluation team</td>
</tr>
<tr>
<td>Preparation of the field phase</td>
<td>• Complete evaluation matrix.</td>
</tr>
<tr>
<td></td>
<td>• Develop interview guides and other tools for data collection.</td>
</tr>
<tr>
<td></td>
<td>• Liaise with evaluation manager to develop preliminary interview schedule.</td>
</tr>
<tr>
<td></td>
<td>• Review all available materials and documentation.</td>
</tr>
<tr>
<td></td>
<td>• Prepare presentation and all other required materials for the launch meeting in the UNFPA country office.</td>
</tr>
<tr>
<td>Launch of field phase</td>
<td>• First internal team briefing on the evaluation approach and scope.</td>
</tr>
<tr>
<td></td>
<td>• Present purpose, scope and approach to country office managers and staff during launch meeting.</td>
</tr>
<tr>
<td></td>
<td>• Organize security briefing/other prerequisites for the safe stay and work of the evaluation team.</td>
</tr>
<tr>
<td></td>
<td>• Set up launch meeting and ensure participation of all relevant country office managers and staff.</td>
</tr>
</tbody>
</table>

**Interviews (capital city) – first round**

- Conduct interviews with key informants (if possible in pairs).
- Collect documents from partner organizations/key informants.
- Select sites for visits to UNFPA-supported facilities (typically outside of capital), in coordination with evaluation manager.
- Begin preparation of focus groups at project sites (in coordination with evaluation manager; and UNFPA staff in the field).
- Agree on division of labour among evaluators during site visits.
- Internal team meeting towards end of first week of data collection (review of data and emerging findings).
- Update evaluation matrix on ongoing basis.
- Conduct interviews with key informants.
- Collect documents from partner organizations/key informants.
- Where necessary: facilitate official introduction of evaluation team to UNFPA partner organizations (in particular, government partners).
- Visit and evaluate all project sites.
- Facilitate compilation of key documents for evaluators (follow up with colleagues at country office, and in partner organizations to obtain copies of key documents).
- Assist in preparation of site visits, including preparation of focus groups (site and participant selection, arranging for translators etc.).
- Continued support of evaluation team to arrange interviews and solve logistical challenges (for work in capital and for field visits).
- Conduct interviews with key informants (if possible in pairs).
- Collect documents from partner organizations/key informants.
- Select sites for visits to UNFPA-supported facilities (typically outside of capital), in coordination with evaluation manager.
- Begin preparation of focus groups at project sites (in coordination with evaluation manager; and UNFPA staff in the field).
- Agree on division of labour among evaluators during site visits.
- Internal team meeting towards end of first week of data collection (review of data and emerging findings).
- Update evaluation matrix on ongoing basis.
- Logistic support of evaluation team during site visits.
- Assist evaluation team in arranging follow-up interviews (and, if applicable, focus groups) with UNFPA partners for their return to the capital.
Chapter 4
Field phase

How to Design and Conduct a Country Programme Evaluation at UNFPA

4.3.2 Making use of existing, secondary data and information

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

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

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

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

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

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

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

See Tool 1 and Template 5 for the evaluation matrix.
Collecting primary data and information

Readers interested in tools and methods available to collect primary data during UNFPA CPEs should also consult the respective parts of section 3.4, Planning data collection and analysis. This section provides information on the significance, approach and limitations of different data-collection methods and tools.

Evaluators will collect primary data during interviews with UNFPA staff and managers, governmental officials, development partners and other relevant organizations in the capital, as well as by conducting interviews, focus groups and observations at project sites.

4.3.2.1 Data collection in the UNFPA country office

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

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

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

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

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

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

How to Design and Conduct a Country Programme Evaluation at UNFPA

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

- To learn about the portfolio that each staff member oversees
- To collect all relevant documentation for that portfolio
- To cross-check and complete the list of key stakeholders for subsequent individual interviews.

The evaluation manager should ensure that evaluators can collect the available documents on the spot; for those documents that are not yet available, evaluators should agree to collect them during the subsequent days. The evaluation manager should ensure that information will be made available when due.

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

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

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

Section 3.4.2.2 provides more information on the role and significance of individual interviews (and the other data-collection tools and approaches) for UNFPA CPEs. In particular, this section discusses the comparative strengths and added value of individual interviews in relation to other data-collection approaches (focus groups, document reviews).

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

For an overview of the typical timetable and process of the field phase, see Table 11.

The evaluators will conduct interviews with the stakeholders identified:

- In the stakeholders mapping table
- In the evaluation matrix.

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

The stakeholders mapping table has been introduced in section 2.6 as part of the discussion of the Preparatory phase in Chapter 2. More information on the stakeholders map can also be found in the sections on evaluation tools in this handbook. In particular, see Tool 4, The stakeholders mapping table. For more information, see Tool 1, The evaluation matrix.

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

The importance of excellent data management and timely processing of interview finding

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

- Evaluators should make time every evening during the field phase to review their notes, and to reflect on the events of the day.
- Each member of the evaluation team needs to record the information collected in the interview logbook (Tool 12).
- The evaluators have to ensure that the preliminary summary findings table (Tool 1 and Template 5) is updated regularly.

Tools to support the planning and implementation of individual interviews during a UNFPA CPE: Tools 10, 11, 12 and Template 7.

4.3.2.3 The importance of site visits

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

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

Evaluators need to select those sites for field visits that have the potential to illustrate and deepen the understanding of important strategic components of the UNFPA country programme and its implementation. Note that it is important that the methodology used to select the site visits is clearly detailed/explained in the methodology section of the evaluation report. The evaluators, in cooperation with the evaluation manager, should make a preliminary selection of field visits that:

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

Evaluators should consult Chapter 1 and Tool 1, The evaluation matrix, Tool 3, List of UNFPA interventions by country programme output and strategic plan outcome, and Tool 4, The stakeholders mapping table, to identify the main outcome areas, the main types of interventions for each of these, and the main types of stakeholder to be interviewed during the field visits.

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

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

Preparing the logistics for the site visits

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

- How much time is needed for travelling to and from the sites
- How individual meetings and visits need to be timed to account for distance and road conditions between the sites
- What accommodation is available, and so on.

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

4.3.2.4 Logistical aspects of organizing focus groups

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

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

Preparing a focus group in the context of a CPE

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

For information on the significance and approach for launch meetings and bilateral meetings at the beginning of the field phase, see section 4.1.
The evaluation manager is an important facilitator and intermediary for the evaluators. The evaluators rely on him/her to:

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

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

- The nature of focus groups
- Their thematic scope for the particular CPE
- The significance of the associated selection criteria for participants.

Evaluators need to carefully brief the evaluation manager on these aspects. They should provide a short description of the focus groups approach (see Box 9 for a list of main attributes), including:

- The types of participants they intend to target
- The main criteria for selection (citing both inclusion and exclusion criteria)
- The importance of the relative homogeneity of each individual group
- The creation of a safe environment for open discussions, to ensure that no participant can unduly influence others.

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

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

- Participants have been selected and screened in line with the discussed criteria
- All requested group discussions have been organized
- Possible difficulties have been anticipated and dealt with – e.g., addressing the risk that community leaders participating in a focus group adversely affect the group discussion due to the imbalance of power in the group by organizing a separate individual interview with leaders.

Anticipating “no-shows”: the importance of over-recruitment for focus groups

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

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

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

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

- Evaluators should always arrive at the site of the focus group in advance of the arranged starting time. Arriving sufficiently early will allow them to deal with inadequate facilities and, if necessary, will give them time to divide large or heterogeneous groups.
- In addition to the moderator (and possibly a translator), each focus group should ideally be staffed with an additional member of the evaluation team, who can act as note-taker. Alternatively, s/he can also serve as back-up moderator for a second focus group, should a large or heterogeneous group of participants need to be divided into smaller groups. The second evaluator could also invite potential community leaders (who might want to join a particular focus group) for an individual interview.
- This also means that each moderator should be prepared to act as her or his own note-taker, or have the equipment to record the focus group discussion.
4.3.3 Finalizing the focus group: preliminary analysis and debriefing

Evaluators should use the last week of the field phase (typically upon the return of the team from field locations) to conduct follow-up interviews with key informants in the UNFPA country office, and among government partners and the development community (see section 4.3.2.2 on the two periods for interviews with UNFPA partners in the capital).

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

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

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

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

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

- Conclusions that identify patterns or other systemic aspects across findings from the different evaluation questions
- Corresponding recommendations for actions UNFPA could take to improve or change these patterns.

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

4.4 QUALITY ASSURANCE DURING THE FIELD PHASE

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

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

- Ensuring that all members of the evaluation team use the evaluation matrix for the formulation of appropriate interview guides and other data-collection tools. In some instances, the team leader may prepare all or most of the data collection tools her/himself. Yet this might prove to be too labour-intensive and impossible within the days allocated to the team leader according to the CPE budget and work plan. In this case, the team leader should provide guidance to individual team members for the development of the tools, and s/he will closely check and review them before they are being used.
- Reviewing the selection of interviewees and other (documentary) sources of information with the team. Bias in the selection of information sources can significantly affect both the quality and credibility of the evaluation. Therefore, the team leader must ensure that the selection of interviewees and other sources of data/information have been performed in a balanced manner with a view to taking into account differing viewpoints and interests.
- Ensuring that interview protocols and entries into the evaluation matrix reflect the required level of detail for the subsequent data analysis. Different experts typically have different ways to document and record their findings. In order to support a joint analysis of all the data collected by the different members of the team, the information must be recorded in a uniform and consistent way by all evaluators. To this effect, it is the responsibility of the team leader to set up common rules for the recording of data. S/he must also review the notes of her/his teammates at different points to ensure that the notes provide a sufficient level of detail/precision to enable the writing of a high-quality report.
- The evaluation manager plays a lesser role during the field phase compared to the evaluation team leader, yet his/her responsibilities in quality assurance remain significant. In particular:
  - Reviewing and checking the evaluators’ selection of interviewees and other data sources. The evaluation manager is responsible for supporting the evaluators in arranging interviews and accessing other data sources. The quality assurance role is part of this larger responsibility. The evaluation manager is expected to use his/her knowledge of the context as well as of the stakeholders of the country programme to ensure that all of the main interest groups and stakeholders are taken into account during data collection.
  - Assessing the validity of hypotheses (preliminary findings) presented at the end of the field phase. The evaluation manager is tasked with assessing the validity of the preliminary findings and answers to the evaluation questions as presented by the evaluators during the debriefing session at the end of the field phase. S/he should point out weaknesses in the reasoning of the evaluators and point out those findings, conclusions or preliminary recommendations that do not appear to be sufficiently backed by evidence.
Chapter 4
Field phase

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

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

5.1 CONSOLIDATING THE EVALUATION MATRIX

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

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

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

At the end of the field phase, and with the commencement of the review and analysis of all gathered information, the evaluators have to ensure that the data and information for each evaluation question are properly consolidated. The final document needs to contain all of the data and information that the team collected for each evaluation question.
5.2 FROM DATA TO FINDINGS: CONSTRUCTING THE ANSWERS TO EVALUATION QUESTIONS

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

- Evaluators need to review all of the data in the consolidated evaluation matrix and decide what information is: (a) necessary; and (b) of sufficient quality to inform each evaluation question indicator. Data that is found to be unnecessary or unreliable should be removed from the evaluation matrix.
- The findings should logically flow from the information related to indicators.
- Finally, evaluators need to construct complete chains of reasoning: from evidence to findings to answers to the evaluation questions as shown in the figure below.

The quality of answers to evaluation questions is typically assessed on the basis of their validity – i.e., the extent to which the answers are "well-grounded in logic, truth or fact"[24] (i.e., evidence-based answers).

Adapted from WordNet at http://wordnet.princeton.edu/

TABLE 13 Overview of the most important threats to validity during the analysis phase of UNFPA CPEs

<table>
<thead>
<tr>
<th>Analytical steps</th>
<th>Significance for validity of evaluation questions</th>
<th>Threats to validity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Filter out data of low reliability or irrelevant to chain of reasoning</td>
<td>Identifies the evidence to inform each indicator.</td>
<td>• Collected information has low/no logical connection to indicator(s), and, therefore, cannot inform the indicators.</td>
</tr>
<tr>
<td>Interpret evidence and formulate valid, evidence-based findings</td>
<td>Allows evaluators to formulate their findings – i.e., a reasoned assessment of the UNFPA interventions.</td>
<td>• Evaluators do not discuss and resolve contradictions stemming from data and information.</td>
</tr>
<tr>
<td>Formulate answers to evaluation questions based on complete chains of reasoning</td>
<td>Combines the findings into coherent and comprehensive answers to the evaluation questions.</td>
<td>• Evaluators do not have evidence to explain how UNFPA is logically connected to the observed changes (e.g., in the availability of midwives in health centres).</td>
</tr>
</tbody>
</table>

Each of the three analytical steps (see Figure 9) explained above represents a unique challenge for evaluators in ensuring that their answers to the evaluation questions can be accepted as "valid".

The table below shows how the analytical work at each of these steps is linked to specific threats to validity.
5.3 FORMULATING CONCLUSIONS AND RECOMMENDATIONS

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

5.4 DEVELOPING CONCLUSIONS

Conclusions are meant to point out the “factors of success and failure of the evaluated intervention” and do so by drawing on “data collection and analyses, woven together in a transparent chain of arguments”. For UNFPA CPEs, this means that conclusions have to logically flow from the findings (drawing on the data collected and analysed up to that point). It also means that conclusions are an opportunity for evaluators to identify the factors of success and failure, which are cross-cutting, and “systemic” – e.g., rooted in the planning process of UNFPA or of individual country offices, the status of organizational resources and the way they are used, organizational culture, implementation arrangements, etc.


FIGURE 10 Conclusions on “systemic” topics and themes

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

- Common patterns in different thematic areas
- Possible common causes of weaknesses in the UNFPA programme
- Specific success or failure factors.

Over time, these individual issues will allow the team to identify overarching themes and topics for the conclusions - and subsequently for the recommendations (see Figure 10).

5.5 DEVELOPING ACTIONABLE RECOMMENDATIONS

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

Although recommendations are meant to be based on the results of the evaluation, their formulation also requires information about UNFPA, the programmatic alternatives and the organizational context, all of which go beyond the knowledge that evaluators have gained throughout the CPE process (see Figure 11). This is particularly true since recommendations are required to be specific and actionable, which in turn requires a working knowledge of UNFPA programming and operations.

FIGURE 11 The degree of operationality of recommendations and related information requirements

As shown in Figure 11, global recommendations can be based solely on the knowledge that the evaluators acquired throughout the evaluation process. The data and information they collected provide them with:

- A good understanding of the intervention logic of the programme
- Details of the past/historical performance of the programme and its components
- An insight into the applicable risks and constraints rooted within UNFPA, the country office or its environment.

This information allows evaluators to recommend possible options for future support (such as the suggestion to invest more into one particular sub-sector - e.g., maternal health, emergency obstetric and newborn care/EmONC, etc.), albeit without going into the details of implementation.
More specific, actionable recommendations require additional knowledge about matters that are beyond the scope of a specific CPE:

- While evaluators will have learned about some aspects of the organizational and political context of the country programme, other elements will be unknown to them (as outsiders to the organization and, possibly, to the programme country). It will thus be difficult for them to clearly assess the operational, political, social and economic risks and constraints for programming changes.

- Moreover, evaluators are not necessarily familiar with the latest developments in the field they are evaluating, or with specific “best practices” for the activities that need to be refined; this will limit their ability to propose specific changes.

- Finally, certain operational information, such as the costs of alternative programming options or associated human resource requirements, is well outside the reach of evaluators.

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

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

- Throughout the evaluation, and in particular during the field phase, evaluators should discuss practical options for programming alternatives with relevant stakeholders; first and foremost with UNFPA managers and staff, but also with the main implementing partners.

- Towards the end of the field phase, the evaluators should discuss the emerging concrete ideas for recommendations and review them for utility, feasibility and required conditions for success. Subsequently, the evaluators should also share and discuss the more developed (more concrete) draft recommendations with UNFPA managers and staff.

- Finally, the evaluators and the evaluation manager need to consider how best to use the feedback and comments from the reference group on the draft final report as an opportunity to refine their recommendations, and to make them more concrete and actionable. For this purpose, the evaluation manager should specifically encourage members of the reference group to consider the feasibility of the recommendations, and make concrete suggestions for their refinement.

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

### 5.6 DELIVERING THE FINAL EVALUATION REPORT

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

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

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

---

26 See example of recommendations in the CPE Madagascar located at: https://www.unfpa.org/sites/default/files/admin-resource/MadagascarReport_FR_7.pdf
### How to Design and Conduct a Country Programme Evaluation at UNFPA

**Reporting phase**

**Chapter 5**

**Title**

**Suggested length**

**CHAPTER 4: Findings: answers to the evaluation questions**

<table>
<thead>
<tr>
<th>Section</th>
<th>Title</th>
<th>Suggested length</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.1</td>
<td>Answer to evaluation question 1</td>
<td>25–35 pages max</td>
</tr>
<tr>
<td>4.2</td>
<td>Answer to evaluation question 2</td>
<td></td>
</tr>
<tr>
<td>4.3</td>
<td>Answer to evaluation question 3</td>
<td></td>
</tr>
<tr>
<td>4.4</td>
<td>Answer to evaluation question X</td>
<td></td>
</tr>
</tbody>
</table>

**CHAPTER 5: Conclusions**

<table>
<thead>
<tr>
<th>Section</th>
<th>Title</th>
<th>Suggested length</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.1</td>
<td>Strategic level</td>
<td>6 pages max</td>
</tr>
<tr>
<td>5.2</td>
<td>Programmatic level</td>
<td></td>
</tr>
</tbody>
</table>

**CHAPTER 6: Recommendations**

<table>
<thead>
<tr>
<th>Recommendation #1, #2, #3</th>
<th>4–5 pages max</th>
</tr>
</thead>
</table>

| 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
- Annex 5 Methodological tools

---

For more detailed information on each of the sections and chapters in the outline of the final report of UNFPA CPEs, and guidance on writing them, see section 7.2.2.

---

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

---

**BOX 12: OVERVIEW OF QUALITY CRITERIA FOR FINAL EVALUATION REPORTS**

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

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

---

For the complete EQA grid, and the associated explanatory note, see Template 13.
### 5.7 SUMMARY: RESPONSIBILITIES OF THE EVALUATION MANAGER AND THE EVALUATORS DURING ANALYSIS AND REPORTING

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

**TABLE 15** Summary of responsibilities of the evaluation manager and evaluators during analysis and reporting

<table>
<thead>
<tr>
<th>Main activities</th>
<th>Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Consolidation of the evaluation matrix</strong></td>
<td>• Compile information from all individual matrices into one consolidated evaluation matrix.</td>
</tr>
<tr>
<td></td>
<td>• Assist evaluation team in the collection of remaining information; liaise with appropriate UNFPA staff and contacts as required.</td>
</tr>
<tr>
<td></td>
<td>• Respond to any substantive questions from evaluation team (e.g., on structure of UNFPA/country office; factual questions on country programme), or refer questions to specific staff in country office, or to the reference group.</td>
</tr>
<tr>
<td><strong>Constructing answers to evaluation questions</strong></td>
<td>• Review/filtering of data, analysis of evidence, development of evidence-based findings and answers to evaluation questions.</td>
</tr>
<tr>
<td></td>
<td>• Facilitate exchange of evaluators with relevant stakeholders (reference group, other internal and external parties) on utility, practicability and feasibility of recommendations.</td>
</tr>
<tr>
<td><strong>Formulation of conclusions and recommendations</strong></td>
<td>• Develop cross-cutting judgements on the main factors for success or weaknesses of country programmes, on the basis of evaluation findings and answers to evaluation questions.</td>
</tr>
<tr>
<td></td>
<td>• Develop concrete and operational recommendations (in consultation with UNFPA managers and staff).</td>
</tr>
<tr>
<td><strong>Writing final evaluation report (draft)</strong></td>
<td>• Develop draft version of final evaluation report, in accordance with UNFPA outline, and quality criteria for CPE final reports.</td>
</tr>
<tr>
<td></td>
<td>• Respond to substantive questions of evaluation team or refer them to reference group.</td>
</tr>
<tr>
<td></td>
<td>• Ensure that the draft final evaluation report is provided in line with outline (Table 14) and in accordance with the agreed deadline.</td>
</tr>
<tr>
<td></td>
<td>• Check completeness of report, and basic quality (using the EQA grid), and forward to reference group for review.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Main activities</th>
<th>Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Commenting and review of final evaluation report (draft)</strong></td>
<td>• N/A</td>
</tr>
<tr>
<td></td>
<td>• Solicit timely feedback from reference group and regional M&amp;E adviser on draft final evaluation report.</td>
</tr>
<tr>
<td></td>
<td>• Consolidate feedback from reference group with own feedback, and forward to evaluators.</td>
</tr>
<tr>
<td></td>
<td>• Agree on deadline for delivery of final version of evaluation report.</td>
</tr>
<tr>
<td><strong>Writing of final evaluation report (final)</strong></td>
<td>• Review comments from evaluation manager and reference group.</td>
</tr>
<tr>
<td></td>
<td>• Integrate relevant comments into evaluation report; produce final version of evaluation report.</td>
</tr>
<tr>
<td></td>
<td>• Provide justification for comments from reference group and evaluation manager that were not integrated into evaluation report.</td>
</tr>
<tr>
<td></td>
<td>• Clarify comments from reference group and other parties, where necessary.</td>
</tr>
<tr>
<td></td>
<td>• Ensure that final evaluation report (final version) is delivered according to agreed outline and deadlines.</td>
</tr>
<tr>
<td></td>
<td>• Share report with regional M&amp;E adviser and solicit his/her EQA.</td>
</tr>
<tr>
<td></td>
<td>• After EQA, forward final evaluation report to reference group.</td>
</tr>
<tr>
<td></td>
<td>• Prepare report for dissemination (see Chapter 6 for more details).</td>
</tr>
</tbody>
</table>
5.8 QUALITY ASSURANCE AND ASSESSMENT DURING REPORTING AND ANALYSIS

The quality of the final evaluation report is assessed on the basis of the EQA grid of the UNFPA Evaluation Office. The leader of the evaluation team should use this grid to quality assure the evaluation report during the analysis and reporting phase as well as to assess the quality of the draft final report prior to submitting it to the evaluation manager. The quality assurance process then continues along the following stages:

- The evaluation manager performs quality assurance of the draft final report and also sends the draft final report to the regional M&E adviser for his/her quality assurance (using the Evaluation Office grid)
- Based on the assurance performed by the regional M&E adviser and the comments from the evaluation manager and those of the evaluation reference group, the evaluators produce the final evaluation report
- Once all comments are addressed and a final report has been produced, the evaluation manager sends the final evaluation report to the Evaluation Office
- The Evaluation Office performs a quality assessment of the final evaluation report, using the same EQA grid. The Evaluation Office EQA is published in the UNFPA evaluation database, along with the final evaluation report.

The EQA grid for the final evaluation report and an accompanying explanatory note can be found in Template 13.

Division of labour for quality assurance

Table 16 summarizes the responsibilities of the team leader (evaluation team) and the evaluation manager for quality assurance at the different stages of the evaluation process.

<table>
<thead>
<tr>
<th>Main activities</th>
<th>Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Evaluation team leader</strong></td>
<td></td>
</tr>
<tr>
<td>Design report</td>
<td>• Check contributions from team members for adherence to quality criteria and design report template.</td>
</tr>
<tr>
<td>Data collection</td>
<td>• Ensure that the team uses the evaluation matrix to produce appropriate interview guides and other data-collection tools.</td>
</tr>
<tr>
<td></td>
<td>• Ensure a balanced selection of interviewees and other information sources.</td>
</tr>
<tr>
<td></td>
<td>• Ensure that interview protocols are adequate, and that other records reflect the required level of detail.</td>
</tr>
<tr>
<td>Final evaluation report</td>
<td>• Ensure adequate quality of contributions from all team members.</td>
</tr>
<tr>
<td></td>
<td>• Draft the evaluation report in accordance with the quality criteria outlined in the EQA grid.</td>
</tr>
</tbody>
</table>

| **Evaluation manager**      |                                                                                                   |
| Design report               | • Comprehensive quality assurance of the draft design report, all chapters (see above).           |
| Data collection             | • Review and check the selection of interviewees and information sources.                         |
|                             | • Provide preliminary feedback on the validity of hypotheses/preliminary answers to evaluation questions. |
| Final evaluation report     | • Review quality of draft evaluation report against the EQA grid and explanatory note.           |
|                             | • Share report with regional M&E adviser for quality assurance (using the EQA grid).             |
|                             | • Finalize quality assurance of final report.                                                   |
|                             | • Send final report for quality assessment.                                                      |
Chapter 5
Reporting phase

FACILITATION OF USE AND DISSEMINATION PHASE
The dissemination of the final evaluation report and the utilisation of the findings, conclusions and recommendations are important steps in the evaluation process. For stakeholders to take into account evaluation findings in future programming, they have to be informed of the key results of the CPE, and their implications for UNFPA support in the programme country. Moreover, they have to understand the rationale and the evidence base for the findings, and be able to translate the evaluation results into concrete and operational changes in the way programmes and activities are designed and implemented. Evaluation results should also be extensively communicated to audiences beyond UNFPA and its immediate stakeholders, as doing so can facilitate the use of UNFPA evaluation results in important ways.

### 6.1 OPTIONS FOR THE DISSEMINATION OF EVALUATION FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

The dissemination of evaluation findings should be adapted to the specific circumstances of each evaluation. Dissemination is the responsibility of the country office, and evaluation manager is in charge of leading the dissemination process. The dissemination plan should be developed at the onset of the evaluation, preferably collectively with a range of stakeholders (from the national reference group).

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

- One common step is to hold a stakeholder workshop with implementing partners, donors, UNCT staff, staff from the UNFPA regional office and headquarters (where feasible), as well as other relevant stakeholders. The stakeholder workshop is hosted by the UNFPA country office, possibly in partnership with the partner government where appropriate. The evaluation team leader presents (in a PowerPoint presentation) the main findings, answers to the evaluation questions, conclusions and recommendations. The country office should, in turn, present its response to the evaluation recommendations, and discuss the implications for UNFPA programming, taking stock of the evaluation results.

- In combination with the stakeholder workshop, the country office should distribute the evaluation report (to those groups listed above) with an accompanying letter. The UNFPA country representative can, in this covering letter, present the main results of the evaluation, discuss the response of the country office to the evaluation findings, and highlight the likely adjustment the country office will make in the upcoming new programming cycle.

- The country office may also hold an additional (specific/separate) workshop with its implementing partners to discuss the concrete programming implications of the evaluation recommendations. Such a workshop format provides more opportunities for in-depth discussions of the operational implications of changes in programming, and can therefore facilitate and support the adoption of the recommendations in the country programme.
6.2 DIVISION OF TASKS BETWEEN THE EVALUATION MANAGER AND EVALUATION TEAM DURING THE DISSEMINATION PHASE

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

<table>
<thead>
<tr>
<th>Main activities</th>
<th>Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Design of dissemination strategy/</td>
<td>• Respond to request for information from evaluation manager during design of</td>
</tr>
<tr>
<td>approach</td>
<td>strategy, and set-up of individual events.</td>
</tr>
<tr>
<td></td>
<td>• Prepare substantive inputs (PowerPoint) for stakeholder workshop/workshops.</td>
</tr>
<tr>
<td>Set-up of individual dissemination</td>
<td>• Lead design of dissemination strategy and main events.</td>
</tr>
<tr>
<td>events</td>
<td>• Discuss strategy and events with country office managers and staff.</td>
</tr>
<tr>
<td></td>
<td>• Review the PowerPoint presentation to ensure it is clear and of suitable quality.</td>
</tr>
<tr>
<td></td>
<td>• Logistical preparations.</td>
</tr>
<tr>
<td></td>
<td>• Prepare invitation letter for participants; ensure it is sent in a timely manner by UNFPA country representative; follow it up.</td>
</tr>
<tr>
<td></td>
<td>• Decide on scope of presentation of results; focus of discussions.</td>
</tr>
<tr>
<td>Hosting of dissemination events</td>
<td>• Present main findings, conclusions and recommendations.</td>
</tr>
<tr>
<td></td>
<td>• Respond to questions during discussions.</td>
</tr>
<tr>
<td></td>
<td>• Co-host event with UNFPA country representative; lead discussions among participants based on knowledge of evaluation process.</td>
</tr>
<tr>
<td></td>
<td>• Organize compilation of feedback from event; channel feedback to evaluators.</td>
</tr>
<tr>
<td>Follow-up to dissemination of</td>
<td>• Organize dissemination workshop and a planning session for operational planning.</td>
</tr>
<tr>
<td>evaluation</td>
<td>• Prepare management response and ensure it is finalized when due.</td>
</tr>
<tr>
<td></td>
<td>• Send final report to Evaluation Office for EQA.</td>
</tr>
<tr>
<td></td>
<td>• After receiving the results of the EQA, communicate them to the evaluators.</td>
</tr>
<tr>
<td></td>
<td>• Initiate one-year follow-up on progress in the implementation of recommendations in coordination with the regional M&amp;E adviser (whose role is to systematically monitor and support the country-level follow-up and to ensure the integration of evaluation findings in regional and country-level programming).</td>
</tr>
</tbody>
</table>

**Table 17 Summary of responsibilities of the evaluation manager and evaluators during dissemination**

---

**BOX 13: COMPREHENSIVE APPROACH TO COMMUNICATING KNOWLEDGE RESULTING FROM EVALUATION**

The UNFPA Evaluation Policy and 2018–2021 Evaluation Strategy encourage moving beyond the conventional focus on “dissemination of evaluation results” to include a more strategic approach to communicating evaluation knowledge for learning, decision-making and accountability. This requires identifying a broader audience for the evaluation results, determining their knowledge needs, and then building interactive engagement using a mix of traditional and contemporary communication tools and platforms that are most suitable for each audience and context. Such an approach to communicating evaluation knowledge is most effective when built into evaluation planning from the start. While the evaluation manager may lead the process and coordinate activities to build a communication plan for sharing the evaluation results, s/he should be supported by the communication and/or knowledge management officer.

There are several ways to package evaluation results into knowledge products that are user-friendly, targeted and accessible to different audiences. For example, the evaluation report and PowerPoint presentation can be accompanied by a succinct executive summary that packages the evaluation results (in multiple languages) in an easy-to-understand way. To enable wider outreach of the evaluation results, infographics can be developed that present key findings in a visual storytelling format. A photo story on the evaluation findings and a blog by the evaluation team during key moments of the evaluation can also help generate interest in the evaluation results and facilitate their use.

These knowledge products can be disseminated through several channels and platforms. For example, by:

- Organizing stakeholder workshops (as mentioned above), conferences and other face-to-face engagement opportunities with the target audience(s)
- Uploading evaluation reports and other knowledge products to UNFPA evaluation web pages and the evaluation database
- Disseminating key messages from the evaluation, in plain language, through UNFPA social media platforms
- Incorporating evaluation findings in existing UNFPA newsletters, bulletins and annual reports
- Sharing evaluation results and lessons through existing knowledge networks and communities of practice (both internally within UNFPA and externally)

To facilitate communication planning for evaluation results, refer to Template 16.
How to Design and Conduct a Country Programme Evaluation at UNFPA

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
- Tools for data collection

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>
<thead>
<tr>
<th>Tool</th>
<th>Category and name of the tool</th>
<th>Design phase</th>
<th>Field phase</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tool 1</td>
<td>The evaluation matrix</td>
<td>Obligatory</td>
<td>Obligatory</td>
</tr>
<tr>
<td>Tool 2</td>
<td>The effects diagram</td>
<td>Optional</td>
<td></td>
</tr>
<tr>
<td>Tool 3</td>
<td>List of UNFPA interventions by country programme output and strategic plan outcome</td>
<td>Obligatory</td>
<td>Optional</td>
</tr>
<tr>
<td>Tool 4</td>
<td>The stakeholders mapping table</td>
<td>Obligatory</td>
<td>Optional</td>
</tr>
<tr>
<td>Tool 5</td>
<td>The evaluation questions selection matrix</td>
<td>Optional</td>
<td></td>
</tr>
</tbody>
</table>

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 1: The Evaluation Matrix

**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.

<table>
<thead>
<tr>
<th>Tool</th>
<th>Category and name of the tool</th>
<th>Design phase</th>
<th>Field phase</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tool 6</td>
<td>The CPE agenda</td>
<td>obligatory</td>
<td>obligatory</td>
</tr>
</tbody>
</table>

### Tools for data collection

<table>
<thead>
<tr>
<th>Tool</th>
<th>Category and name of the tool</th>
<th>Design phase</th>
<th>Field phase</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tool 7</td>
<td>Field phase preparatory tasks checklist</td>
<td>optional</td>
<td>obligatory</td>
</tr>
<tr>
<td>Tool 8</td>
<td>Checklist for the documents to be provided by the evaluation manager to the evaluation team</td>
<td>obligatory</td>
<td>obligatory</td>
</tr>
<tr>
<td>Tool 9</td>
<td>Checklist of issues to be considered when drafting the agenda for interviews</td>
<td>optional</td>
<td>optional</td>
</tr>
<tr>
<td>Tool 10</td>
<td>Guiding principles to develop interview guides</td>
<td>optional</td>
<td>optional</td>
</tr>
<tr>
<td>Tool 11</td>
<td>Checklist for sequencing interviews</td>
<td>optional</td>
<td>optional</td>
</tr>
<tr>
<td>Tool 12</td>
<td>How to conduct interviews: interview logbook and practical tips</td>
<td>optional</td>
<td>optional</td>
</tr>
<tr>
<td>Tool 13</td>
<td>How to conduct focus groups: practical tips</td>
<td>optional</td>
<td>optional</td>
</tr>
</tbody>
</table>

### Tools for a gender- and human rights-responsive evaluation

<table>
<thead>
<tr>
<th>Tool</th>
<th>Category and name of the tool</th>
<th>Design phase</th>
<th>Field phase</th>
</tr>
</thead>
</table>

### 7.1.1 Tools for structuring information

**TOOL 1: THE EVALUATION MATRIX**

| Evaluation questions | 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.
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 with 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, 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:


---

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

### Sources of information

- CPD
- UNDAF
- AWPs
- National policies and strategies
- UNFPA strategic plan

### 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
- AWPs
- 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

- 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

<table>
<thead>
<tr>
<th>Indicators</th>
<th>Sources of information</th>
<th>Methods for data collection</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Planning of interventions has been done together with partners, including implementing partners working with affected communities, marginalized and vulnerable communities and final beneficiaries</td>
<td>• Project strategy document&lt;br&gt;• Minutes/reports from planning meetings with partners&lt;br&gt;• Field visits&lt;br&gt;• Partners’ work plans&lt;br&gt;• Implementing partners</td>
<td>• Document review&lt;br&gt;• Interviews with Implementing partners&lt;br&gt;• Interviews with health professionals&lt;br&gt;• Interviews with teachers&lt;br&gt;• FGD with diverse groups of service users</td>
</tr>
<tr>
<td>• Exit strategies to hand over UNFPA-initiated interventions to (local) partners have been developed during planning process</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• 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)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• 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</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Life skills education and peer education interventions are sufficiently followed up so that quality education is delivered</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Indicators

- 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

<table>
<thead>
<tr>
<th>Indicators</th>
<th>Sources of information</th>
<th>Methods for data collection</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Disaggregated data produced, analysed and utilized at national and sectorial levels in a timely manner</td>
<td>• UNFPA P&amp;D section AWPs and workplan progress reports&lt;br&gt;• P&amp;D project reports&lt;br&gt;• Ministry of Social Affairs (MOSA) staff and publications&lt;br&gt;• MOPH staff&lt;br&gt;• Heads of a sample of SDCs&lt;br&gt;• United Nations Statistics Task Force terms of reference&lt;br&gt;• CB training participants&lt;br&gt;• Implementing partners working at the state/district/community level</td>
<td>• Document review: including of annual reports from MOSA, SDCs, needs assessments, evaluation and monitoring reports&lt;br&gt;• Planning and programming documents (MOSA) issued during the reference period&lt;br&gt;• Inputs to and deliverables of the information systems&lt;br&gt;• Interviews with MOSA, and municipalities staff to review the implementation modalities of P&amp;D component and achievements</td>
</tr>
</tbody>
</table>
### Chapter 7 Toolkit

#### 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.

<table>
<thead>
<tr>
<th>Indicators</th>
<th>Sources of information</th>
<th>Methods for data collection</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Disaggregated data – including on RH and GE - produced and available publically</td>
<td>• UNFPA P&amp;D section AWPs and workplan progress reports</td>
<td>• Annual reports from MOSA, need assessment, evaluation and monitoring reports</td>
</tr>
<tr>
<td>• Mechanisms established for policy analysis and dissemination of policy briefs</td>
<td>• P&amp;D project reports</td>
<td>• Planning and programming documents (MOSA, SDCs) issued during the reference period</td>
</tr>
<tr>
<td>• Number of national and sectorial plans incorporating population dynamics, reproductive health and gender issues exist</td>
<td>• Ministry of Social Affairs (MOSA) staff and publications</td>
<td>• Inputs to and deliverables of the information systems</td>
</tr>
<tr>
<td>• Existence of innovative guidelines for local planning to address priority population issues</td>
<td>• MOPH staff</td>
<td>• Interviews with MOSA, and municipalities staff to review the implementation modalities of P&amp;D component and achievements</td>
</tr>
</tbody>
</table>

#### 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

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### EQ5: To what extent did UNFPA supported activities contribute, in a sustainable manner, to: (i) the integration of gender equality and women’s empowerment into national policies, laws and regulations; (ii) improvements in the adoption of, and accountability to, national human rights instruments?

#### 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).

### 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

## How to Design and Conduct a Country Programme Evaluation at UNFPA

<table>
<thead>
<tr>
<th>Assumptions to be assessed</th>
<th>The resources provided by UNFPA have had a leveraging effect</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indicators</td>
<td>Evidence that the resources provided by UNFPA triggered the provision of additional resources from the government</td>
</tr>
<tr>
<td></td>
<td>Evidence that the resources provided by UNFPA triggered the provision of additional resources from other partners, including other donors or INGOs</td>
</tr>
<tr>
<td></td>
<td>Evidence of coordination and complementarity among the UNFPA country programme components and the programme’s implementation</td>
</tr>
<tr>
<td></td>
<td>Evidence of coherence among government ministries and UNFPA mandate areas</td>
</tr>
</tbody>
</table>

### 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)

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### 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?

<table>
<thead>
<tr>
<th>Assumptions to be assessed</th>
<th>The UNFPA country office has actively contributed to UNCT working groups and joint initiatives</th>
</tr>
</thead>
</table>

- 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
How to Design and Conduct a Country Programme Evaluation at UNFPA

**TOOL 2: THE EFFECTS DIAGRAM**

**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:

1. **Consultation of documents**

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

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**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?

<table>
<thead>
<tr>
<th>Assumptions to be assessed</th>
<th>The response to GBV and harmful practices in humanitarian contexts demonstrated coverage, coherence and connectedness</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indicators</td>
<td>Percentage of countries affected by a humanitarian crisis that have a functioning GBV AoR/sub-cluster as a result of UNFPA guidance and leadership</td>
</tr>
<tr>
<td></td>
<td>Evidence of UNFPA leadership/co-leadership of the GBV AoR/sub-cluster at national/subnational levels</td>
</tr>
<tr>
<td></td>
<td>Evidence that affected communities are mapped and disaggregated</td>
</tr>
<tr>
<td></td>
<td>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</td>
</tr>
<tr>
<td>Sources of information</td>
<td>GBV AoR (in Geneva) coordination information (to assess percentage of countries)</td>
</tr>
<tr>
<td></td>
<td>Minutes of HCT and related humanitarian spaces for coordination</td>
</tr>
<tr>
<td></td>
<td>Minutes of GBV Sub-Clusters meetings</td>
</tr>
<tr>
<td></td>
<td>Humanitarian Appeals and Humanitarian Response Plans</td>
</tr>
<tr>
<td>Methods for data collection</td>
<td>Documentary analysis</td>
</tr>
<tr>
<td></td>
<td>Interviews with UNFPA country office staff</td>
</tr>
<tr>
<td></td>
<td>Interview with the UNHC</td>
</tr>
<tr>
<td></td>
<td>Interviews with members of the GBV Sub-clusters</td>
</tr>
<tr>
<td></td>
<td>Interviews with other United Nations agencies</td>
</tr>
<tr>
<td></td>
<td>Interviews with government ministries responsible for emergency preparedness and involved in humanitarian response</td>
</tr>
<tr>
<td></td>
<td>FGD with beneficiaries of funding (including NGOs), including those working within refugee or internally displaced peoples camps (where relevant)</td>
</tr>
<tr>
<td></td>
<td>Site visits to refugee or internally displaced peoples camps (where relevant)</td>
</tr>
</tbody>
</table>
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

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29 These evaluation report is available on the Evaluation Office database at: https://web2.unfpa.org/public/about/evaluation/documentList.unfpa?jsessionid=a395f0698b3a56ed6690a4b4b7y

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

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

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 an 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.

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For examples of stakeholders maps, see annexes to the final reports of CPEs at [https://www.unfpa.org/evaluation](https://www.unfpa.org/evaluation)
### TOOL 5: THE EVALUATION QUESTIONS SELECTION MATRIX

**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.

<table>
<thead>
<tr>
<th>Feasibility</th>
<th>High</th>
<th>Medium</th>
<th>Low</th>
</tr>
</thead>
<tbody>
<tr>
<td>Usefulness</td>
<td>A</td>
<td>B</td>
<td>C</td>
</tr>
<tr>
<td>Medium</td>
<td>D</td>
<td>E</td>
<td>F</td>
</tr>
<tr>
<td>Low</td>
<td>G</td>
<td>H</td>
<td>I</td>
</tr>
</tbody>
</table>

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.

**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:

1. Agree on the classification of the cells (assign colours to cells A to I).
2. Number the evaluation questions.
3. Assign a degree of usefulness and a degree of feasibility to every question.
4. Insert the question into the table.
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.
6. Ensure that priority questions (cells A and B) include questions that cover all evaluation criteria; if not, formulate new questions.
7. Conduct an iterative process32 until the team reaches a consensus on the final priority evaluation questions.

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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

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 informing 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

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

<table>
<thead>
<tr>
<th>Date</th>
<th>Activity/institution</th>
<th>People to meet</th>
<th>Location</th>
<th>Link with the CP</th>
<th>Selection criteria</th>
<th>Justification</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Day 1</strong></td>
<td>9:00 -13:00</td>
<td>Evaluation team internal meeting</td>
<td>Country Office</td>
<td>N/A</td>
<td>N/A</td>
<td>Preparation of the briefing session; review of individual agendas; methodology refresher</td>
</tr>
<tr>
<td></td>
<td>14:00-16:00</td>
<td>Meeting with country office senior management</td>
<td>Country Office</td>
<td>N/A</td>
<td>N/A</td>
<td>Presentation of the evaluation team; preliminary discussions; approach to the plenary debriefing session</td>
</tr>
<tr>
<td><strong>Day 2</strong></td>
<td>9:00-11:00</td>
<td>Portfolio presentation by programmatic area</td>
<td>Country Office</td>
<td>N/A</td>
<td>N/A</td>
<td>Brief the evaluation team on the actual portfolio being implemented</td>
</tr>
<tr>
<td></td>
<td>11:30–13:00</td>
<td>Meeting with Ministry of Foreign Affairs</td>
<td>Ministry of Foreign Affairs</td>
<td>CPD coordinator on the government side</td>
<td>N/A</td>
<td>Main government counterpart in the implementation of the CPD</td>
</tr>
<tr>
<td></td>
<td>15:00-17:00</td>
<td>General briefing session (plenary)</td>
<td>Country Office</td>
<td>N/A</td>
<td>N/A</td>
<td>Presentation of the CPE; validation of the evaluation matrix, the intervention logic and the overall agenda</td>
</tr>
<tr>
<td><strong>Day 3</strong></td>
<td>9:00-10:00</td>
<td>Ministry of Health</td>
<td>Ministry of Health</td>
<td>Outputs 2 and 3 of RH and all associated AWP</td>
<td>Criteria 2, 4 and 7</td>
<td>Main beneficiary institution; implementing partner for national execution interventions</td>
</tr>
<tr>
<td></td>
<td>10:30-11:30</td>
<td>Ministry of Health, Family Planning Department</td>
<td>Ministry of Health</td>
<td>BOL4R11A; BOL4R23B, BOL4R14A and output 1 of RH.</td>
<td>Criteria 2, 4 and 7</td>
<td>Implementing partner and beneficiary of capacity building activities</td>
</tr>
</tbody>
</table>

---

34 As mentioned in section 3.3, these 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.


36 Stands for “non-applicable”.
### Chapter 7 Toolkit

#### How to Design and Conduct a Country Programme Evaluation at UNFPA

<table>
<thead>
<tr>
<th>Date</th>
<th>Activity/institution</th>
<th>People to meet</th>
<th>Location</th>
<th>Link with the CP</th>
<th>Selection criteria</th>
<th>Justification</th>
</tr>
</thead>
<tbody>
<tr>
<td>Day 4</td>
<td>7:00-12:00</td>
<td>Travel by plane La Paz–Sucre and by car Sucre–Tarabuco</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td></td>
<td>8:00-11:00</td>
<td>Travel by plane to Potosí</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>Day 4</td>
<td>14:00-16:00</td>
<td>Meeting with San Carlos Community (Potosí)</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td></td>
<td>14:00-17:00</td>
<td>Staff of the research department Sucre</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
</tr>
</tbody>
</table>

**...**

#### Week 2

**...**

#### Week 3

**...**

---

**Where “N” designated the last day of the field phase.**
Chapter 7 Toolkit

UNFPA Evaluation Handbook

How to Design and Conduct a Country Programme Evaluation at UNFPA

7.1.2 Tools for data collection

TOOL 7: FIELD PHASE PREPARATORY TASKS CHECKLIST

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?

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 interviewees 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.

Day N

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

Optional
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**

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

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

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

<table>
<thead>
<tr>
<th>Information source</th>
<th>Where to find it</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNFPA (global)</td>
<td><a href="https://www.unfpa.org/public/home/publications">https://www.unfpa.org/public/home/publications</a></td>
</tr>
<tr>
<td>The Population Council (global)</td>
<td><a href="http://www.popcouncil.org/publications/pdr.asp">http://www.popcouncil.org/publications/pdr.asp</a></td>
</tr>
<tr>
<td></td>
<td>(another access: <a href="http://onlinelibrary.wiley.com/journal/10.1111/(ISSN)1728-4457/issues">http://onlinelibrary.wiley.com/journal/10.1111/(ISSN)1728-4457/issues</a>)</td>
</tr>
<tr>
<td>Pan American Health Organization (PAHO)</td>
<td><a href="http://new.paho.org/">http://new.paho.org/</a></td>
</tr>
<tr>
<td>Population Reference Bureau (PRB)</td>
<td><a href="http://www.prb.org">http://www.prb.org</a></td>
</tr>
<tr>
<td>MEASURE DHS Demographic and Health Surveys</td>
<td><a href="http://www.measuredhs.com/">http://www.measuredhs.com/</a></td>
</tr>
<tr>
<td>Asia Society (regional)</td>
<td><a href="http://asiasociety.org/policy-politics">http://asiasociety.org/policy-politics</a></td>
</tr>
<tr>
<td>Social Commission for Asia and the Pacific (ESCAP)</td>
<td><a href="https://www.unescap.org/announcement/">https://www.unescap.org/announcement/</a> and asia-pacific-population-journal</td>
</tr>
<tr>
<td>The Guttmacher Institute</td>
<td><a href="https://data.guttmacher.org/regions">https://data.guttmacher.org/regions</a></td>
</tr>
<tr>
<td>International Planned Parenthood Federation (IPPF)</td>
<td><a href="https://www.ippf.org/resources">https://www.ippf.org/resources</a></td>
</tr>
<tr>
<td>Human Rights Watch</td>
<td><a href="https://www.ippf.org/resources">https://www.ippf.org/resources</a></td>
</tr>
<tr>
<td>The Office of the High Commissioner of Human Rights</td>
<td><a href="http://www.ohchr.org/EN/Countries/Pages/">http://www.ohchr.org/EN/Countries/Pages/</a></td>
</tr>
<tr>
<td></td>
<td>HumanRightsintheWorld.aspx</td>
</tr>
</tbody>
</table>
### TABLE 20: Information and Data Commonly Collected During Document Review

<table>
<thead>
<tr>
<th>Evaluation question on...</th>
<th>Information to be collected in document review (and possible source documents)</th>
<th>Possible data limitations</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Relevance</strong></td>
<td>• Description and analysis of needs among beneficiaries (CCA, UNDAF, third-party needs assessments - e.g., civil society)</td>
<td>• Not all demographic data disaggregated to the required subnational levels</td>
</tr>
<tr>
<td></td>
<td>• 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])</td>
<td>• Analysis of needs in UNDAF and CCA remains general, and does not identify the main drivers of poor health outcomes</td>
</tr>
<tr>
<td></td>
<td>• Description of government priorities (national sector strategies, PRSPs)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• UNFPA objectives (CPD, UNDAF)</td>
<td></td>
</tr>
<tr>
<td><strong>Efficiency</strong></td>
<td>• Inputs/resources used (AWP, Atlas)</td>
<td>• Information scattered across many documents (e.g., AWPs)</td>
</tr>
<tr>
<td></td>
<td>• Activities (AWPs, workplan progress reports, COAR for soft-aid activities, such as policy dialogue)</td>
<td>• Difficult to compile overview from large number of individual documents (e.g., achieved outputs across AWPs)</td>
</tr>
<tr>
<td></td>
<td>• Planned outputs (CPD, COARs)</td>
<td>• Not all documents available (e.g., gaps in the AWPs)</td>
</tr>
<tr>
<td></td>
<td>• Actual (achieved) outputs (workplan progress reports, COAR, previous evaluations, third-party reports)</td>
<td>• UNFPA documentation does not report results at outcome level, but primarily at activity and output levels</td>
</tr>
<tr>
<td><strong>Effectiveness</strong></td>
<td>All information collected for “effectiveness” evaluation question.</td>
<td>• Third-party data on changes of health outcomes (e.g., DHS) describe changes in the overall population, not necessarily among UNFPA beneficiaries</td>
</tr>
<tr>
<td></td>
<td>• Planned outcomes (CPD, COAR)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• 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)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Information on changes in health outcomes in partner country (national census, SRH/maternal health surveys – e.g., Demographic and Health Surveys/DHS, HMIS data)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>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)</td>
<td></td>
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</tbody>
</table>

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

**Description of the issue to take into account**

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, 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.

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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.
TOOL 10: GUIDING PRINCIPLES TO DEVELOP INTERVIEW GUIDES

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 where new information is likely to come up and 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.

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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.
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TOOL 11: CHECKLIST FOR SEQUENCING INTERVIEWS

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

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 the interest of 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 – 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 UNFPA programmatic areas, as they are highly interrelated by nature.

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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.
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INTERVIEW DATA

Name(s) of the interviewee(s): Mr Carlos Saenz

Interviewer: John Goodman

Interview date: 12/11/2011

Interview code: 09JG

Position: Director of the Planning Department

Institution/organization: Ministry of Planning

Area of analysis: Population & Development

Output/ AWP/ Atlas project: 8LOI22A, Output 1 of P&D

Stakeholder type: Direct beneficiary

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. 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.
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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?”
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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.

- 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.).
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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/3980
- Focusing on gender (UNFPA)
  http://www.unfpa.org/resources/focusing-gender
- Toolkit on mainstreaming gender equality in EC development cooperation (EC)
- 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.
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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.

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.
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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.

How to Design and Conduct a Country Programme Evaluation at UNFPA

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

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

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

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

<table>
<thead>
<tr>
<th>Stages in sequencing interviews/focus groups</th>
<th>Particular aspects for focus groups</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction - building a rapport with the interviewee(s)</td>
<td>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.</td>
</tr>
<tr>
<td>Inform the interviewee(s) of the objective and context of the interview</td>
<td>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.</td>
</tr>
</tbody>
</table>
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).
### TOOLS FOR GENDER AND HUMAN RIGHTS EVALUATION

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

<table>
<thead>
<tr>
<th>Component</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Evaluability assessment</strong></td>
<td>• Was an assessment to determine the evaluability level of HR &amp; GE in the intervention performed?</td>
</tr>
<tr>
<td></td>
<td>• How will HR &amp; GE evaluability challenges be addressed during the evaluation, based on the results of the evaluability assessment?</td>
</tr>
<tr>
<td><strong>Stakeholder analysis</strong></td>
<td>• Was an HR &amp; GE stakeholder analysis performed?</td>
</tr>
<tr>
<td></td>
<td>• 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?</td>
</tr>
<tr>
<td></td>
<td>• How will the evaluation team reach out to stakeholders to be engaged in the evaluation?</td>
</tr>
<tr>
<td><strong>Criteria</strong></td>
<td>• Were evaluation criteria defined that specifically address HR &amp; GE?</td>
</tr>
<tr>
<td></td>
<td>• Were additional criteria specific to the context of the intervention to be evaluated identified?</td>
</tr>
<tr>
<td><strong>Questions</strong></td>
<td>• Were evaluation questions that specifically address HR &amp; GE framed?</td>
</tr>
<tr>
<td><strong>Indicators</strong></td>
<td>• Are there indicators already defined by the intervention with available disaggregated data?</td>
</tr>
<tr>
<td></td>
<td>• Were additional indicators identified for the evaluation of the intervention, specifically addressing HR &amp; GE?</td>
</tr>
<tr>
<td></td>
<td>• Were plans made on how to collect data to inform the additional indicators?</td>
</tr>
<tr>
<td><strong>Team</strong></td>
<td>• Was an evaluation team with knowledge of and commitment to HR &amp; GE selected?</td>
</tr>
<tr>
<td></td>
<td>• Is the evaluation team diverse, in terms of gender, types of expertise, age, geographical origin, etc.?</td>
</tr>
<tr>
<td></td>
<td>• Is the team ethically responsible and balanced with equitable power relations, in line with the concepts of HR &amp; GE?</td>
</tr>
<tr>
<td><strong>Methodology</strong></td>
<td>• Does the evaluation methodology employ a mixed methods approach, appropriate to addressing HR &amp; GE?</td>
</tr>
<tr>
<td></td>
<td>• Does the evaluation methodology favour stakeholders’ right to participation, including those most vulnerable?</td>
</tr>
<tr>
<td></td>
<td>• Does the evaluation methodology favour triangulation of the information obtained?</td>
</tr>
</tbody>
</table>

TOOL 15: UNITED NATIONS SWAP INDIVIDUAL EVALUATION PERFORMANCE INDICATOR SCORECARD

UN SWAP - Individual Evaluation Scoring Tool

Scoring criteria Annotations

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. 91-100 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 report’s findings, conclusions and recommendations 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. 70-104 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.

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:

<table>
<thead>
<tr>
<th>Scoring per Criteria (0-3)</th>
<th>Optional</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 = Not at all integrated. Applies when none of the elements under a criterion are met.</td>
<td></td>
</tr>
<tr>
<td>1 = Partially integrated. Applies when some minimal elements are met but further progress is needed and remedial action to meet the standard is required.</td>
<td></td>
</tr>
<tr>
<td>2 = Satisfactorily integrated. Applies when a satisfactory level has been reached and many of the elements are met but still improvement could be done.</td>
<td></td>
</tr>
<tr>
<td>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.</td>
<td></td>
</tr>
</tbody>
</table>

Scoring per Criteria (0-3) *do NOT include decimals

Comment on Scoring

Each of the scoring levels below corresponds to a numbered score:

0 = Missing requirements
1-3 points = Meets 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.

<table>
<thead>
<tr>
<th>Section</th>
<th>Title</th>
<th>Suggested length</th>
</tr>
</thead>
<tbody>
<tr>
<td>CHAPTER 1: Introduction</td>
<td>1.1 Purpose and objectives or the CPE</td>
<td>1-2 pages max</td>
</tr>
<tr>
<td></td>
<td>1.2 Scope of the evaluation</td>
<td>1-2 pages max</td>
</tr>
<tr>
<td></td>
<td>1.3 Purpose of the design report</td>
<td></td>
</tr>
<tr>
<td>CHAPTER 2: Country context</td>
<td>2.1 Development challenges and national strategies</td>
<td>4-6 pages max</td>
</tr>
<tr>
<td></td>
<td>2.2 The role of external assistance</td>
<td></td>
</tr>
<tr>
<td>CHAPTER 3: United Nations/UNFPA response and programme strategies</td>
<td>3.1 UNFPA strategic response</td>
<td></td>
</tr>
<tr>
<td></td>
<td>3.2 UNFPA response through the country programme</td>
<td>5-7 pages max</td>
</tr>
<tr>
<td></td>
<td>3.2.1 The country programme</td>
<td></td>
</tr>
<tr>
<td></td>
<td>3.2.2 The country programme financial structure</td>
<td></td>
</tr>
<tr>
<td>CHAPTER 4: Evaluation methodology and approach</td>
<td>4.1 Evaluation criteria and evaluation questions</td>
<td>7-10 pages max</td>
</tr>
<tr>
<td></td>
<td>4.2 Methods for data collection and analysis</td>
<td></td>
</tr>
<tr>
<td></td>
<td>4.3 Selection of the sample of stakeholders</td>
<td></td>
</tr>
<tr>
<td></td>
<td>4.4 Evaluability assessment, limitations and risks</td>
<td></td>
</tr>
<tr>
<td>CHAPTER 5: Evaluation process</td>
<td>5.1 Process overview</td>
<td>3-5 pages max</td>
</tr>
<tr>
<td></td>
<td>5.2 Team composition and distribution of tasks</td>
<td></td>
</tr>
<tr>
<td></td>
<td>5.3 Resource requirements and logistic support</td>
<td></td>
</tr>
<tr>
<td></td>
<td>5.4 Work plan</td>
<td></td>
</tr>
</tbody>
</table>

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 | Evaluation 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 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:

<table>
<thead>
<tr>
<th>Land</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Geographical location</td>
<td>East Africa</td>
</tr>
<tr>
<td>Land area</td>
<td>580,609 sq. km.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>People</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Population (2017)</td>
<td>47.9 million (KPHS 2009)</td>
</tr>
<tr>
<td>Urban/Rural Population</td>
<td>32% / 68% (KPHS 2009)</td>
</tr>
<tr>
<td>Population growth rate</td>
<td>2.9% (KPHS 2009)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Government</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Type</td>
<td>Democratic Republic</td>
</tr>
<tr>
<td>Key political events</td>
<td>Independence from colonial power in 1963 Promulgation of the Constitution 2010</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Economy</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>GDP per capita 2011 PPP USD</td>
<td>2,901</td>
</tr>
<tr>
<td>GDP growth rate</td>
<td>5.8%</td>
</tr>
<tr>
<td>Main Economic Activity</td>
<td>Agriculture</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Social Indicators</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Human development index, rank</td>
<td>0.555, 146</td>
</tr>
<tr>
<td>Unemployment (Total 15-24 years)</td>
<td>22%</td>
</tr>
<tr>
<td>Life expectancy and birth, Male / Female (years)</td>
<td>58 / 61</td>
</tr>
<tr>
<td>Under 5 mortality (per 1000 live births)</td>
<td>52% (KDHS 2014)</td>
</tr>
<tr>
<td>Maternal mortality (deaths of women per 100,000 live births)</td>
<td>362 (KDHS 2014)</td>
</tr>
<tr>
<td>Births attended by skilled health personnel (%)</td>
<td>62% (KDHS 2014)</td>
</tr>
</tbody>
</table>

---

43 https://web2.unfpa.org/public/about/oversight/evaluations/
44 Kenya National Bureau of Statistics
49 http://data.worldbank.org/indicator/SL.UEM.TOTL.ZS?locations=KE
UNFPA Evaluation Handbook

Chapter 7 Toolkit

How to Design and Conduct a Country Programme Evaluation at UNFPA

UNFPA Evaluation Handbook

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

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

### Sustainable Development Goals (SDGs) Status

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

### How to Design and Conduct a Country Programme Evaluation at UNFPA

#### 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. **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.

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.

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.

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).

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.

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.
How to Design and Conduct a Country Programme Evaluation at UNFPA

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.

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.

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.

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.

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.

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

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

<table>
<thead>
<tr>
<th>ANNEXES</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Annex 1 Terms of reference</td>
<td></td>
</tr>
<tr>
<td>Annex 2 List of persons/institutions met</td>
<td></td>
</tr>
<tr>
<td>Annex 3 List of documents consulted</td>
<td></td>
</tr>
<tr>
<td>Annex 4 The evaluation matrix</td>
<td></td>
</tr>
</tbody>
</table>

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 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.

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.

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.
UNFPA Evaluation Handbook

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Chapter 7 Toolkit

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.

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:

<table>
<thead>
<tr>
<th>Institutions</th>
<th>Number of people interviewed</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNFPA</td>
<td>25</td>
</tr>
<tr>
<td>Central government</td>
<td>37</td>
</tr>
<tr>
<td>Regional government</td>
<td>78</td>
</tr>
<tr>
<td>Final beneficiaries</td>
<td>82</td>
</tr>
<tr>
<td>...</td>
<td>...</td>
</tr>
</tbody>
</table>

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.

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.
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.

- This brief outlook could be provided by means of a simple table (e.g., Progress towards the SDGs).

CHAPTER 3: UN/UNFPA response and programme strategies

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 as 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.

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.

3.1 United Nations and UNFPA response

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 amended by more updated data collected during the field missions.
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 3.2.2 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 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 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.

<table>
<thead>
<tr>
<th>Programmatic areas</th>
<th>Outcomes previous cycle</th>
<th>Outcomes current cycle</th>
</tr>
</thead>
<tbody>
<tr>
<td>Population and development</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SRHR</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Gender equality</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other programmatic area</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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 Evaluations55 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.

56 See CPE of Madagascar at https://www.unfpa.org/sites/default/files/admin-resource/MadagascarReports_FR_2.pdf
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 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.

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

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.
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.

**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.

**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?**

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

**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:

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

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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.
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**

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

**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)**

<table>
<thead>
<tr>
<th>Candidate #</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Name</td>
<td></td>
</tr>
<tr>
<td>Gender</td>
<td></td>
</tr>
<tr>
<td>Nationality</td>
<td></td>
</tr>
</tbody>
</table>
### Criteria for SRHR Expert

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

### Criteria for Population Expert

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Maximum points</th>
<th>Score</th>
<th>Reviewers' comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Diploma in social sciences with specialization in health</td>
<td>10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>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</td>
<td>10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Experience in population and development-related issues</td>
<td>20</td>
<td></td>
<td></td>
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<tr>
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<tr>
<td>Excellent drafting skills in the language of the report and communication ability</td>
<td>20</td>
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<tr>
<td><strong>Total points</strong></td>
<td><strong>70</strong></td>
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</table>

### SRHR Expert Personal Information

- Candidate ID
- Name
- Gender
- Nationality

### Population Expert Personal Information

- Candidate ID
- Name
- Gender
- Nationality

---

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.
Gender equality expert

Personal information

Candidate #

Name

Gender

Nationality

<table>
<thead>
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<th>Maximum points</th>
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<th>Reviewers’ comments</th>
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<tr>
<td>Diploma in social sciences with specialization in health</td>
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<td>Experience conducting evaluations/research in the field of development for United Nations organizations or other international organizations in the area of gender</td>
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<td>Experience in gender issues, in particular gender-based violence issues</td>
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<td>Experience in knowledge of the region and country</td>
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<td>Excellent drafting skills in the language of the report and communication ability</td>
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Name | Position | Summary of the skills and experience | Points | Final assessment

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<th>Summary of the skills and experience</th>
<th>Points</th>
<th>Final assessment</th>
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<td>Team leader and/or thematic expert</td>
<td>Academic qualifications and professional courses</td>
<td>Experience in/knowledge of the region and country</td>
<td>Potential conflict of interest: Yes/No</td>
<td>Recommended or not recommended by evaluation manager</td>
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How to Design and Conduct a Country Programme Evaluation at UNFPA

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

<table>
<thead>
<tr>
<th>Year N</th>
<th>Year N+1</th>
<th>Year N+2</th>
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<td>Fund type</td>
<td>IA group</td>
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<tr>
<td>Activity description</td>
<td>Geographic location</td>
<td>Atlas budget</td>
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REGIONAL PROJECTS

Activity 01

Activity 01

Activity 01

GENDER EQUALITY

Strategic plan outcome:

Country Programme Output:

Activity 01

Activity 01

Activity 01

POPULATION DYNAMICS

Strategic plan outcome:

Country Programme Output:

Activity 01

Activity 01

Activity 01
### How to Design and Conduct a Country Programme Evaluation at UNFPA

#### TEMPLATE 4: THE STAKEHOLDERS MAP

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<thead>
<tr>
<th>Donors</th>
<th>Implementing agencies</th>
<th>Other partners</th>
<th>Beneficiaries</th>
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<td>Country programme output: (descriptions as per CPD)</td>
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<tr>
<td>Atlas project (code and name)</td>
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<td>Country programme output: (descriptions as per CPD)</td>
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| **ADMINISTRATION** |
|-------------------|-------------------|-------------------|-------------------|-------------------|
| **SRHR** |
| Strategic plan outcome: (descriptions as per CPD) |
| Country programme output: (descriptions as per CPD) |
| Atlas project (code and name) |
| ... |

---

**UNFPA Evaluation Handbook**

<table>
<thead>
<tr>
<th>Fund type</th>
<th>IA group</th>
<th>Implementing agency</th>
<th>Activity description</th>
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<th>Atlas budget</th>
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<tr>
<td>Annual work plan (code and name)</td>
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<table>
<thead>
<tr>
<th>OTHER PROGRAMMATIC AREA</th>
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<table>
<thead>
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### TEMPLATE 5: THE EVALUATION MATRIX

**EQ1: To what extent ...**

<table>
<thead>
<tr>
<th>Assumptions to be assessed</th>
<th>Indicators</th>
<th>Sources of information</th>
<th>Methods and tools for the data collection</th>
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<tbody>
<tr>
<td>Assumption 1</td>
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<td></td>
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<tr>
<td>(see example in Tool 1)</td>
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</tbody>
</table>

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 ...**

<table>
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<tr>
<th>Assumptions to be assessed</th>
<th>Indicators</th>
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<tr>
<td>Assumption 1</td>
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<tr>
<td>(see example in Tool 1)</td>
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</table>

| Assumption 2              |            |                        |                                          |
| (see example in Tool 1)   |            |                        |                                          |

| Assumption 3              |            |                        |                                          |
| (see example in Tool 1)   |            |                        |                                          |

### TEMPLATE 6: THE CPE AGENDA

<table>
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<tr>
<th>Date</th>
<th>Activity/institution</th>
<th>People to meet</th>
<th>Location</th>
<th>Link with the CP</th>
<th>Selection criteria</th>
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</table>
How to Design and Conduct a Country Programme Evaluation at UNFPA

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

<table>
<thead>
<tr>
<th>Section</th>
<th>Title</th>
<th>Suggested length</th>
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<tbody>
<tr>
<td>EXECUTIVE SUMMARY</td>
<td></td>
<td>5 pages max</td>
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<tr>
<td>CHAPTER 1: Introduction</td>
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<td>2.2 The role of external assistance</td>
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**How to Design and Conduct a Country Programme Evaluation at UNFPA**

**UNFPA Evaluation Handbook**

### Chapter 7: Toolkit

<table>
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<tr>
<th>Chapter 3: United Nations/UNFPA response and programme strategies</th>
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<tr>
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<td><strong>3.2</strong> UNFPA response through the country programme</td>
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<td><strong>3.2.1</strong> Brief description of UNFPA previous cycle strategy, goals and achievements</td>
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<td><strong>3.2.2</strong> Current UNFPA country programme</td>
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<td><strong>3.2.3</strong> The financial structure of the programme</td>
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<td><strong>4.2</strong> Answer to evaluation question 2</td>
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<td><strong>4.3</strong> Answer to evaluation question 3</td>
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<td><strong>4.4</strong> Answer to evaluation question X</td>
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<td><strong>5.2</strong> Programmatic level</td>
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<th>Total number of pages</th>
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<tbody>
<tr>
<td>55-70 pages</td>
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</table>

### ANNEXES

- Annex 1: Terms of reference
- Annex 2: List of persons/institutions met
- Annex 3: List of documents consulted
- Annex 4: The evaluation matrix

### 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

<table>
<thead>
<tr>
<th>Recommendation#</th>
<th>To .......... (e.g., Office of the Executive Director)</th>
<th>Priority level: high, medium, low</th>
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</table>

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 |
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</tr>
</thead>
<tbody>
<tr>
<td>Status (ongoing or completed)</td>
<td>Comments</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Cluster 2: Recommendations associated with the programme

<table>
<thead>
<tr>
<th>Recommendation#</th>
<th>To ..........</th>
<th>Priority level ..........</th>
</tr>
</thead>
</table>

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 |
<table>
<thead>
<tr>
<th></th>
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</tr>
</thead>
<tbody>
<tr>
<td>Status (ongoing or completed)</td>
<td>Comments</td>
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</tbody>
</table>

UNFPA Evaluation Handbook
How to Design and Conduct a Country Programme Evaluation at UNFPA

UNFPA Evaluation Handbook

Chapter 7

Toolkit

Chapter 7

Chapter 1  Chapter 2  Chapter 3  Chapter 4  Chapter 5  Chapter 6

Annexes

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).
### Quality Assessment Criteria

Insert assessment level followed by main comments. (use ‘shading’ function to give cells corresponding colour)

<table>
<thead>
<tr>
<th>1. Structure and Clarity of Reporting</th>
<th>Yes</th>
<th>No</th>
<th>Partial</th>
<th>Assessment Level:</th>
</tr>
</thead>
<tbody>
<tr>
<td>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?</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>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)</td>
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<tr>
<td>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)?</td>
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<tr>
<td>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?</td>
<td></td>
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<tr>
<td>5. Is an executive summary included in the report, written as a stand-alone section and presenting the main results of the evaluation?</td>
<td></td>
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<tr>
<td>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)?</td>
<td></td>
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<tr>
<td>7. Is the executive summary reasonably concise (e.g. with a maximum length of 5 pages)?</td>
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</tbody>
</table>

### 2. Design and Methodology

To ensure that the evaluation is put within its context

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>Partial</th>
<th>Assessment Level:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Does the evaluation describe the target audience for the evaluation?</td>
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<tr>
<td>2. Is the development and institutional context of the evaluation clearly described and constraints explained?</td>
<td></td>
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<tr>
<td>3. Does the evaluation report describe the reconstruction of the intervention logic and/or theory of change, and assess the adequacy of these?</td>
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<tr>
<td>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?</td>
<td></td>
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<tr>
<td>5. Are the tools for data collection described and their choice justified?</td>
<td></td>
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<tr>
<td>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)?</td>
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<tr>
<td>7. Are the methods for analysis clearly described for all types of data?</td>
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<tr>
<td>8. Are methodological limitations acknowledged and their effect on the evaluation described? (Does the report discuss how any bias has been overcome?)</td>
<td></td>
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<tr>
<td>9. Is the sampling strategy described?</td>
<td></td>
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<tr>
<td>10. Does the methodology enable the collection and analysis of disaggregated data?</td>
<td></td>
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<tr>
<td>11. Is the design and methodology appropriate for assessing the cross-cutting issues (equity and vulnerability, gender equality and human rights)?</td>
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</tbody>
</table>
To ensure quality of data and robust data collection processes

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?

To ensure sound analysis and credible findings

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?

To assess the validity of conclusions

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?

To ensure the usefulness and clarity of recommendations

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

<table>
<thead>
<tr>
<th>D</th>
<th>0</th>
<th>1</th>
<th>2</th>
<th>3 (***)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assessment Level:</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

To assess the integration of Gender Equality and Empowerment of Women (GEEW) (*):

1. Is GEEW 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 indicator – 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 assessed as ‘Good’, enter 40 into ‘Good’ column. 3. Has 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?
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

---

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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:

<table>
<thead>
<tr>
<th>Main activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Field mission</td>
</tr>
<tr>
<td>Week</td>
</tr>
<tr>
<td>Month 1</td>
</tr>
<tr>
<td>Week</td>
</tr>
<tr>
<td>Week 2</td>
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<td>Week 3</td>
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<td>Month 2</td>
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<td>Week 1</td>
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<td>Week 2</td>
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<tr>
<td>Week 3</td>
</tr>
<tr>
<td>Week 4</td>
</tr>
</tbody>
</table>

- 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

<table>
<thead>
<tr>
<th>Who is the target audience?</th>
<th>For e.g., UNFPA country office senior management</th>
<th>For e.g., policymakers</th>
<th>For e.g., wider public</th>
</tr>
</thead>
<tbody>
<tr>
<td>What are their knowledge needs?</td>
<td>Targeted evaluative evidence to inform decision-making; corporate reporting</td>
<td>Targeted evaluative results to improve their engagement with UNFPA; to support evidence-based policymaking</td>
<td>Targeted evaluation results for advocacy with the government</td>
</tr>
<tr>
<td>Which evaluation products will cater to their knowledge needs?</td>
<td>Evaluation report; executive summary; presentation</td>
<td>Evaluation report; executive summary; presentation; infographics</td>
<td>Infographics; videos; blogs; photo story</td>
</tr>
<tr>
<td>Which dissemination channels and platforms should be put to use?</td>
<td>Workshop; conference; webinar</td>
<td>Workshop; conference; webinar; face-to-face engagement; newsletter; existing knowledge networks</td>
<td>Website; social media</td>
</tr>
<tr>
<td>When should the dissemination take place? (timing)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>What are the estimated costs involved?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Who is the responsible person/unit?</td>
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</tbody>
</table>
### TEMPLATE 17: BASIC LIST OF ACRONYMS

Below are examples of recurrent acronyms in CPEs

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

<table>
<thead>
<tr>
<th>C</th>
<th>CAMPAIGN FOR THE ACCELERATED REDUCTION OF MATERNAL MORTALITY IN AFRICA</th>
<th>CAMPAIGN FOR THE ELIMINATION OF ALL FORMS OF DISCRIMINATION AGAINST WOMEN</th>
<th>CAMPAÑA PARA LA REDUCCIÓN ACCELERADA DE LA MORTALIDAD MATERNA EN ÁFRICA</th>
</tr>
</thead>
<tbody>
<tr>
<td>CARMMA</td>
<td>Campaign for the Accelerated Reduction of Maternal Mortality in Africa</td>
<td>Campagne pour la réduction accélérée de la mortalité maternelle en Afrique</td>
<td>Campaña para la Reducción acelerada de la mortalidad materna en África</td>
</tr>
<tr>
<td>CBO/OBC</td>
<td>community-based organization</td>
<td>organisation à base communautaire</td>
<td>organización de base comunitaria</td>
</tr>
<tr>
<td>CCA</td>
<td>common country assessment</td>
<td>bilan commun de pays</td>
<td>evaluación común de país</td>
</tr>
<tr>
<td>CCM/MCP</td>
<td>country coordinating mechanisms</td>
<td>mécanismes de coordination dans les pays</td>
<td>mecanismo de coordinación de país</td>
</tr>
<tr>
<td>CEDAW</td>
<td>Convention on the Elimination of All Forms of Discrimination against Women</td>
<td>Convention pour l’élimination de toutes les formes de discrimination à l’égard des femmes</td>
<td>Convenión para la Eliminación de todas las formas de discriminación contra la mujer</td>
</tr>
<tr>
<td>CO</td>
<td>country office</td>
<td>bureau de pays</td>
<td>oficina de país</td>
</tr>
<tr>
<td>COAR</td>
<td>country office annual report</td>
<td>rapport annuel du bureau de pays</td>
<td>informe anual de la oficina de campo</td>
</tr>
<tr>
<td>CPAP/PAPP/PAP</td>
<td>country programme action plan</td>
<td>plan d’action du programme de pays</td>
<td>plan de acción del programa de país</td>
</tr>
<tr>
<td>CPD</td>
<td>country programme document</td>
<td>descriptif du programme de pays</td>
<td>documento de programa de aís</td>
</tr>
<tr>
<td>CPN</td>
<td>prenatal consultation</td>
<td>consultation prénataine</td>
<td>consulta prenatal</td>
</tr>
<tr>
<td>CSO/OSC/OSC</td>
<td>civil society organization</td>
<td>organisation de la société civile</td>
<td>organización de la sociedad civil</td>
</tr>
<tr>
<td>CSS</td>
<td>south-south cooperation</td>
<td>coopération sud-sud</td>
<td>cooperación sur</td>
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</tbody>
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<table>
<thead>
<tr>
<th>D</th>
<th>DEVELOPMENT ASSISTANCE COMMITTEE (OECD)</th>
<th>COMITÉ D’AIDE AU DÉVELOPPEMENT (DE L’ORGANISATION POUR LA COOPÉRATION ET LE DÉVELOPPEMENT ÉCONOMIQUES)</th>
<th>COMITÉ DE ASISTENCIA PARA EL DESARROLLO</th>
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<tbody>
<tr>
<td>DAC/CAD/CAD</td>
<td>Development Assistance Committee (OECD)</td>
<td>Comité d’Aide au Développement (de l’Organisation pour la Coopération et le Développement Économiques)</td>
<td>Comité de Asistencia para el Desarrollo</td>
</tr>
<tr>
<td>DEX</td>
<td>direct execution (by UNFPA)</td>
<td>exécution directe</td>
<td>ejecución directa</td>
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</tbody>
</table>
### How to Design and Conduct a Country Programme Evaluation at UNFPA

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

### Glossary

- **DHS/EDS/ENDSA**: Demographic and Health Survey
- **ECOSOC**: Economic and Social Council of the United Nations
- **EID/EID/DIT**: early infant diagnosis
- **EmONC**: emergency obstetric and newborn care
- **eMTCT/eTME/eTMI**: elimination of mother-to-child transmission (of HIV)
- **FBO**: faith-based organization
- **FGM/C / MGF/E**: Female Genital Mutilation/Cutting
- **MHTF/FTSM**: Maternal Health Thematic Funds
- **GBV/VBG/VRG**: gender-based violence
- **GDP/PB/PIC**: Gross Domestic Product
- **GHI/GHI/ISG**: global health initiative
- **GNI**: Gross National Income
- **GPRHCS/SPSR**: Global Programme to Enhance Reproductive Health Commodity Security

### Annexes

- **DHS/EDS/ENDSA Demographic and Health Survey**
- **Enquête Démographique et de Santé**
- **Encuesta Nacional de Demografía y Salud**
- **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)**
- **eliminación de la transmisión materno infantil (del VIH)**
- **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**
- **GBV/VBG/VRG gender-based violence**
- **violence basée sur le genre**
- **violencia por razón de género**
- **GDP/PB/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**
# How to Design and Conduct a Country Programme Evaluation at UNFPA

<table>
<thead>
<tr>
<th>M</th>
<th>MDG/OMD/ODM</th>
<th>Millennium Development Goals</th>
</tr>
</thead>
<tbody>
<tr>
<td>M</td>
<td>M&amp;E/S&amp;E/MyE</td>
<td>monitoring and evaluation</td>
</tr>
<tr>
<td>M</td>
<td>MMR</td>
<td>maternal mortality ratio</td>
</tr>
<tr>
<td>M</td>
<td>MSM/HSH</td>
<td>men who have sex with men</td>
</tr>
<tr>
<td>M</td>
<td>MTCT</td>
<td>mother-to-child transmission (of HIV)</td>
</tr>
<tr>
<td>M</td>
<td>MTR</td>
<td>mid-term review</td>
</tr>
<tr>
<td>M</td>
<td>MVA/AMU/AMEU</td>
<td>manual vacuum aspiration</td>
</tr>
<tr>
<td>M</td>
<td>MYFF</td>
<td>multi-year funding framework</td>
</tr>
<tr>
<td>N</td>
<td>NEX</td>
<td>national execution</td>
</tr>
<tr>
<td>N</td>
<td>NGO</td>
<td>non-governmental organization</td>
</tr>
<tr>
<td>O</td>
<td>OCHA</td>
<td>Office for the Coordination of Humanitarian Affairs</td>
</tr>
<tr>
<td>O</td>
<td>ODA/APD/ADP</td>
<td>official development assistance</td>
</tr>
<tr>
<td>O</td>
<td>OECD</td>
<td>Organization for Economic Cooperation and Development</td>
</tr>
</tbody>
</table>

| P | PBF | performance-based financing |
| P | PHC/SSP/ASP | primary health care |
| P | PLHIV/PVVIH | people living with HIV |
| P | PMTCT/PTME/PTMI | prevention of mother-to-child transmission (of HIV during delivery) |
| P | PRSP/DSRP | Poverty Reduction Strategy Paper |

| R | RBM/GAR/DBR | results-based management |
| R | RC/CR/CR | resident coordinator |
| R | RH/CHR | regional hospital |
| R | RR/DR/DR | reproductive rights |

| S | SDGs | Sustainable Development Goals |
| S | SMART (indicators) | specific, measurable, achievable, realistic and timely |
| S | SRH/SR/SSR | sexual and reproductive health |
| S | STD/MS/ETS | sexually transmitted disease |
| S | STI/IST/ITS | sexually transmitted infection |
| S | SW/PS/TS | sex worker |

**Abbreviations:**
- **MDG/OMD/ODM**: Millennium Development Goals
- **M&E/S&E/MyE**: monitoring and evaluation
- **MMR**: maternal mortality ratio
- **MSM/HSH**: men who have sex with men
- **MTCT**: mother-to-child transmission (of HIV)
- **MTR**: mid-term review
- **MVA/AMU/AMEU**: manual vacuum aspiration
- **MYFF**: multi-year funding framework
- **NEX**: national execution
- **NGO**: non-governmental organization
- **OCHA**: Office for the Coordination of Humanitarian Affairs
- **ODA/APD/ADP**: official development assistance
- **OECD**: Organization for Economic Cooperation and Development
- **PBF**: performance-based financing
- **PHC/SSP/ASP**: primary health care
- **PLHIV/PVVIH**: people living with HIV
- **PMTCT/PTME/PTMI**: prevention of mother-to-child transmission (of HIV during delivery)
- **PRSP/DSRP**: Poverty Reduction Strategy Paper
- **RBM/GAR/DBR**: results-based management
- **RC/CR/CR**: resident coordinator
- **RH/CHR**: regional hospital
- **RR/DR/DR**: reproductive rights
- **SDGs**: Sustainable Development Goals
- **SMART (indicators)**: specific, measurable, achievable, realistic and timely
- **SRH/SR/SSR**: sexual and reproductive health
- **STD/MS/ETS**: sexually transmitted disease
- **STI/IST/ITS**: sexually transmitted infection
- **SW/PS/TS**: sex worker
# How to Design and Conduct a Country Programme Evaluation at UNFPA

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
<th>Acronym</th>
<th>Description</th>
<th>Acronym</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>SWAp</td>
<td>sector-wide approach</td>
<td>T</td>
<td>tuberculosis</td>
<td>ToR/TdR/TdR</td>
<td>terms of reference</td>
</tr>
<tr>
<td>TA/AT</td>
<td>technical assistance</td>
<td>TB</td>
<td>tuberculosis</td>
<td>TD/DT/DT</td>
<td>technical division</td>
</tr>
<tr>
<td>VAW</td>
<td>violence against women</td>
<td>VAW</td>
<td>violence against women</td>
<td>VAW</td>
<td>violence against women</td>
</tr>
<tr>
<td>WBF/WM</td>
<td>World Bank</td>
<td>WBP/PM/PM</td>
<td>World Bank Programme</td>
<td>WHO/OMS</td>
<td>World Health Organization</td>
</tr>
<tr>
<td>WFP/PA</td>
<td>World Food Programme</td>
<td>WFP/PA</td>
<td>World Food Programme</td>
<td>WFP/PA</td>
<td>World Food Programme</td>
</tr>
<tr>
<td>WHO/OMS</td>
<td>World Health Organization</td>
<td>YPLHI/GIVHI</td>
<td>young people living with HIV</td>
<td>YPLHI/GIVHI</td>
<td>young people living with HIV</td>
</tr>
<tr>
<td>UN</td>
<td>United Nations</td>
<td>UN</td>
<td>United Nations</td>
<td>UN</td>
<td>United Nations</td>
</tr>
</tbody>
</table>

**Translation:**
- SWAp: sector-wide approach
- TA/AT: technical assistance
- TB: tuberculosis
- TD/DT/DT: technical division
- ToR/TdR/TdR: terms of reference
- ULI/CHU/HU: university hospital
- UN: United Nations
- UNAIDS/ONUSIDA: Joint United Nations Programme on HIV/AIDS
- UNCT: United Nations Country Team
- UNDAF/MANUD: United Nations Development Assistance Framework
- UNDG: United Nations Development Group
- UNDP: United Nations Development Programme
- UNICEF: United Nations Children's Fund
- UNEF: United Nations Educational, Scientific and Cultural Organization
- UNFPA: United Nations Population Fund
- UNHCR: High Commission for Refugees
- UNICEF: United Nations Children's Fund
- UNV: United Nations Volunteers
- UN WOMEN: United Nations Entity for Gender Equality and the Empowerment of Women
- UNFPA: United Nations Population Fund
- VAW: violence against women
- UNDP: United Nations Development Programme
- UNICEF: United Nations Children's Fund
- UNESCO: United Nations Educational, Scientific and Cultural Organization
- YPLHI/GIVHI: young people living with HIV

**Languages:**
- French
- Spanish
- English
**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

Chapter 1

Annex 1: Elements of theory

This section provides further explanation on evaluation concepts, approaches and techniques.

INTERVENTION LOGIC

The rationale behind the country programme can be described in terms of its intervention logic. The logic of intervention describes, by means of hypothetical cause-effect linkages, how the programme is expected to attain its objectives. In the design phase, evaluators should study and examine in detail the logic of intervention for each programmatic area. The main elements of an intervention logic in the UNFPA context are illustrated in Figure 13.

**FIGURE 13: The components of the intervention logic**

The UNFPA intervention

Inputs, activities and outputs are under the direct responsibility and control of UNFPA

Effects

Impact

SDGs, ICPD

Outcomes

What governments and other counterparts achieve in terms of bringing about changes in the lives of the population (partly as a result of UNFPA efforts)

The achievement of outcomes and impact and the direct responsibility of the government and other counterparts

What governments and other counterparts do differently (partly as a result of UNFPA efforts)

Needs

Objectives

Expected/planned effects

Inputs

Outputs

Activities

What UNFPA provides in terms of human and financial resources

What UNFPA does, i.e., training, technical assistance, providing equipment, etc.

What UNFPA delivers i.e., products and services
**Needs** correspond to the demands, problems or challenges to be addressed by UNFPA-funded interventions and the objective(s) (i.e. the planned effects) should respond to the needs. Evaluators may find information on the initial needs in the CPD. The CCA and the UNDAF also contain information on the main country priorities and needs, but their scope goes beyond UNFPA programmatic areas. Further information on needs will be retrieved during the field phase.

**Inputs** are the financial, human and material resources made available by UNFPA to carry out activities. The evaluators will find information on inputs in the AWPs and in Atlas.60

**Activities** are actions carried out or work performed, by means of which inputs are mobilized to produce specific outputs. In UNFPA country programmes, activities may consist of: training sessions, provision of technical assistance, procurement of equipment and medicines, support for consultation and government planning processes, etc. AWPs should provide information on the planned activities.

**Outputs** correspond to the deliverables – i.e., the products and services that result directly from interventions funded by UNFPA. As such, outputs are fully attributable to the country office interventions. The description of the expected country office outputs can be found in the CPD and in AWPs.61

**Outcomes** are short-term and medium-term effects stemming from UNFPA programme outputs combined with interventions from other development actors. Outcomes are also affected by external factors that are outside the control of the country office (national socio-economic and political context, climatic events, etc.). They correspond to tangible improvements compared to the baseline situation of target beneficiaries. They imply an improvement in the quality of life of beneficiaries and/or the extent to which beneficiaries do things differently (in a better way). The description of the expected outcomes can be found in the CPD.

**Impact** corresponds to higher-level effects, usually described in terms of progress towards the achievement of the Sustainable Development Goals or progress towards the fulfilment of the commitments adopted at the International Conference on Population and Development (ICPD).

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60 Atlas is the integrated management information system used by UNFPA.

61 It is easier to use the CPD because it includes all of the outputs in a single document. AWPs include information on the output(s) to which they (the AWPs) contribute.

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**EVALUATION CRITERIA FOR THE ANALYSIS OF THE PROGRAMMATIC AREAS**

**Relevance**

In Figure 14, relevance would be the correspondence between the needs and the objectives boxes. In a CPE, evaluators will usually be assessing relevance in a dynamic manner: they will verify the continuous correspondence between the programme objectives and evolving needs. It is important that evaluators define the point when relevance is assessed given that needs may change over time. Evaluators should place special emphasis on assessing the present relevance of the programme; in other words, comparing the objectives of the programme with the present needs (at the time of the evaluation).

Evaluators need to look at a wide range of aspects and features of relevance:

- Relevance towards the needs of final beneficiaries must be assessed in a distinct or separate manner since their needs may not be reflected in national government priorities. Moreover, evaluators may want to distinguish between beneficiaries at different levels. For example, evaluators may want to assess the relevance of the programme towards: (i) the needs of pregnant women living in communities; (ii) the needs of their village representatives; and (iii) the needs as perceived by staff working at district-level primary health centres. Indeed, perceptions of what the needs are may not be the same for different beneficiary groups.
- Relevance of the programme’s objectives towards the priorities of the government.
- Relevance may also include the consistency of the programme in terms of international agendas, policies and plans.

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**BOX 23: WHY DOES UNFPA EXCLUDE THE ASSESSMENT OF IMPACT FROM ITS CPEs?**

UNFPA CPEs do not require the assessment of the long-term societal effects of UNFPA support, but instead focus on the identification of the more immediate results of its assistance. This is done for the following reasons:

- **The challenge of attributing impact (or showing contribution to impact):** The intended impacts of UNFPA support (and that of other development partners) generally concern changes in high-level societal conditions, such as reduced poverty or other improvements in the socio-economic situation of women (or other beneficiary groups). These changes are often hard to measure and even harder to link to the support of a single development actor, such as UNFPA. The increased use by UNFPA of joint programmes and other aid harmonization mechanisms to deliver its assistance exacerbates this attribution challenge. Under these conditions, CPEs are not the appropriate tool to try to assess the impact of UNFPA country programmes.
- **The focus of CPEs on generating programming lessons for the next country programme:** CPEs are primarily intended to produce concrete findings and conclusions as well as actionable recommendations for the subsequent country programme. CPEs are supposed to improve the programming of UNFPA over time and highlight approaches that have worked well, identify the concrete UNFPA practices that have contributed to this success and promote these practices for adoption in other country programmes. However, learning from impact assessments is difficult as societal changes are far removed from UNFPA programming decisions.
Other aspects that may be examined under the relevance criterion are:

- Whether geographical strategies and the distribution of interventions across the country are consistent with the needs of the UNFPA main target group - i.e., the most vulnerable and disadvantaged. If not, find out whether there is a legitimate reason for this.
- Whether the programme takes account of regional disparities - e.g., underserved and marginalized groups - and also whether it takes account of imbalances (in access to services, for example) rooted in ethnic and cultural factors.
- Whether there is a balance between policy-level and project-level initiatives, and a balance between interventions at the central level (capital city) and local level.

**Effectiveness**

The minimum set of aspects that evaluators should look at when assessing effectiveness includes: (1) the degree of achievement of outputs and outcomes; (2) the breadth and depth of outputs and outcomes; and (3) the unintended effects.

1. **The degree of achievement of outputs (and if possible, the contribution of outputs to outcomes),** which involves a two-step process:
   - Assess the degree of achievement of the outputs as set out in the CPD.
   - Analyse and explain how actual outputs have contributed to the achievement of the outcomes: (i) examining whether there has been a (positive) contribution; (ii) and then, whenever possible, assess the extent of such contribution.

2. **Breadth and depth of outputs (and if possible, outcomes),** which includes several topics:
   - Check to what extent UNFPA support has effectively reached the intended beneficiary target groups. This implies examining to what extent beneficiaries have been taking advantage of the benefits provided by UNFPA interventions and assess whether there have been any significant and tangible changes for them as a consequence of the interventions.
   - An aspect of particular importance is to assess the factors behind access and use: check whether all planned beneficiaries have actually taken advantage of UNFPA support. If that is not the case, examine why. If beneficiaries have access to services, examine whether they are using them/benefiting from them as formulated in the planned outputs and outcomes. It is also important to look at the different degrees of access and use within beneficiary groups. For example, when assessing an outcome such as "increased utilization of high-quality reproductive health services", evaluators should examine whether the increase in utilization has affected the quality of the activities and, ultimately, the quality of the outputs, the outreach of the benefits provided by UNFPA interventions and assess whether there have been any significant and tangible changes for them as formulated in the planned outputs and outcomes.
   - Whether there is a balance between policy-level and project-level initiatives, and a balance between interventions at the central level (capital city) and local level.
   - Whether there is a balance between policy-level and project-level initiatives, and a balance between interventions at the central level (capital city) and local level.
   - Whether there is a balance between policy-level and project-level initiatives, and a balance between interventions at the central level (capital city) and local level.
   - Whether geographical strategies and the distribution of interventions across the country are consistent with the needs of the UNFPA main target group - i.e., the most vulnerable and disadvantaged. If not, find out whether there is a legitimate reason for this.
   - Whether the programme takes account of regional disparities - e.g., underserved and marginalized groups - and also whether it takes account of imbalances (in access to services, for example) rooted in ethnic and cultural factors.
   - Whether there is a balance between policy-level and project-level initiatives, and a balance between interventions at the central level (capital city) and local level.

60 The depth of the analysis of this “extent” will depend on the availability of data on indicators of output and outcome.

3. **Check whether there have been any unintended effects.**

The analysis of effectiveness should not be limited to identifying effects that correspond to those foreseen in the formulation of the CPD. When identifying and assessing actual outputs and outcomes, it is very important to identify unintended effects - positive or negative, direct or indirect - and attempt to find out why they were generated and with what consequences.

**Efficiency**

Efficiency is the relationship between: (i) inputs - expressed as costs - and outputs: or (ii) between inputs and outcomes, depending on the scope of the definition.

For efficiency, evaluators should consider the relationship between what has been achieved and the costs of achieving it. Evaluators should look at the process that generates the outputs: "inputs (costs) → activities → outputs". The scope of the efficiency criterion is centred on the relation between inputs and outputs.

1. **Assessing how inputs are converted into activities involves analysing how appropriately and adequately available resources (funds and staff) are being managed and used to carry out activities.** The main issues to be covered here are:
   - Assess the financial structure of the programme in terms of the resource allocation, that is, how resources have been allocated by: (i) programmatic area; (ii) priority within each programmatic area; and (iii) type of implementation modality (distribution of equipment and commodities, training, technical assistance, etc.) and examine whether this distribution has been conducive to producing good-quality outputs. This includes looking at whether there has been a concentration or a dispersion of funds and the extent to which this has affected the quality of the activities and, ultimately, the quality of the outputs, the outreach of the outcomes and the optimization of the overheads.
   - Check whether resources have been provided in a timely manner or, if there have been delays, the reasons why and the implications of such delays.
   - Check whether there have been cost overruns and deviations from the planned budget, the reasons why and the possible repercussions.
   - Check whether workflow and records have been smooth or whether there have been bottlenecks in any areas.
   - Check whether the number of staff and their capacity has been adequate to ensure smooth implementation and monitoring of inputs and activities.
How to Design and Conduct a Country Programme Evaluation at UNFPA

Reminder: The central focus of the evaluation is on outputs and how these contribute to the achievement of the outcomes. CPEs are neither project-level evaluations nor performance audits of country offices. Evaluators should delve into the analysis of organizational aspects only when these appear to be the main factors behind the good or poor quality of the outputs.

2. Assessing how activities are converted into outputs requires analysing the extent to which activities are being managed to ensure the delivery of outputs. The main issues to be addressed are:

- Check whether any planned activities have been cancelled, the reasons why and the implications in terms of producing good-quality outputs
- Check whether there have been any newly added activities, the reasons why and the implications in terms of producing good-quality outputs
- Check whether any of the planned activities have been reformulated or (partially) redesigned, the reasons why and the implications for producing good-quality outputs
- Check how well activities have been managed and supervised – by both implementing partners and the country office – to ensure the delivery of outputs
- Check the role and contribution of soft activities in producing the outputs.

Sustainability

Sustainability can be assessed only if the effects of the intervention have been generated for a reasonable period of time. Given that the time span covered by CPEs ranges from three to four years of implementation, sustainability will often be assessed in a prospective manner64 – i.e., evaluators will analyse the prospects for sustainability (of the effects of the country programme) rather than actual sustainability. However, there will be cases where evaluators can look into the actual sustainability of specific interventions when these have been terminated prior to the end of the CP.

The main broad question to be answered here is “to what extent are the benefits of the country programme likely to continue beyond the programme completion?” An answer to this question should incorporate an analysis of factors such as: political decisions, economic and financial aspects, environmental factors, national ownership and national capacity.

Evaluators should consider the following two aspects when assessing sustainability:

1. Check whether the programme design incorporates sustainability factors.

This involves examining the extent to which factors affecting sustainability have been incorporated from the beginning, in the design of the country programme, that is, in its activities and its outputs. Evaluators should:

- Check whether risks and assumptions were identified at the design phase of the programme – e.g., the potential consequences of political developments, changes in legislative frameworks, institutional restructuring processes, etc.
- Assess whether factors ensuring ownership were factored into the design of interventions
- Check whether country programme interventions foresaw a handover or exit strategies64 and assess the consequences of the approach taken with regard to sustainability.

2. Assess whether national capacity development considerations are being taken into account.

The extent to which the benefits generated by UNFPA interventions will continue after funding has ceased is associated highly with the capacity of the national counterparts. Assessing how UNFPA has contributed to build such capacity is not only a core aspect of the UNFPA corporate strategy, as set forth in the strategic plan, but also a very important dimension to be analysed under the sustainability criterion. Evaluators should:

- Assess the extent to which the country office has supported its partners and beneficiaries in developing their institutional capacity to ensure the durability of outputs and outcomes
- Check what measures and coping strategies have been taken to minimize the effects of external factors affecting national capacity (such as high staff turnover in beneficiary institutions or the existence of a “brain drain” phenomenon in the country)
- Check to what extent the government and the implementing partners have planned sufficient financial resources for continued support whenever this is required – e.g., maintenance of facilities, procurement of medicines, conducting refresher training sessions, etc.
- In the event of shortcomings in this regard, assess whether UNFPA has taken mitigating measures/strategies
- Analyse the in-house capacity of the UNFPA country office in areas in which the organization is supposed to transfer expertise to the national counterparts – e.g., planning systems and methodologies, results-based management approaches, monitoring and evaluation systems

EVALUATION QUESTIONS

The evaluation questions are used to refine the focus of the evaluation. They are at the core of the CPE exercise. Answers to the evaluation questions will constitute the main body of analysis in the evaluation report and will provide the main inputs that the evaluation will offer for the next programming cycle.

63 See the last set of tables in Annex III, Glossary, for a consideration of the retrospective and prospective analysis of evaluation criteria.

64 An exit strategy is a set of measures and arrangements aimed at minimizing the consequences on the completion of interventions once funding is discontinued.
While evaluation criteria encompass a wide range of aspects and features, the evaluation questions are used to focus the evaluation on specific aspects. Evaluators should use the evaluation questions to further narrow the evaluation criteria, enabling them to focus the evaluation work on a limited number of key points. Establishing a set of evaluation questions will allow for a more targeted data-collection process, a more concentrated and in-depth analysis and, eventually, a more focused and useful evaluation report.

Formulating evaluation questions is a crucial step in determining with more precision what evaluators should assess when conducting the data-collection and analysis phase. The evaluation questions function as the reference point to specify the type of data to be collected, the sources and, in turn, what methods should be used by the evaluators to collect the data.

**FIGURE 14: Evaluation Questions for the Programmatic Areas**

Evaluation questions can be formulated for one or more programmatic areas and evaluation criteria. Whenever evaluation questions for two or more programmatic areas coincide, they may be grouped together. However, evaluators should be very careful when grouping questions as there is a risk of formulating questions that are too generic, resulting in answers that are less useful for the next programming cycle.

**Note: Types of evaluation questions:**

**Descriptive:** these relate to “what has happened”, without implying any judgement or analysis of how or why it happened - e.g., “What measures have been introduced to mitigate any undesirable negative effects in the area of gender equality?”

**Causal:** these are associated with the cause-effect relationships between the effects and the intervention, or between elements of the interventions - e.g., inputs and activities or inputs and outputs. “Through which mechanisms have UNFPA-funded interventions contributed to enhance the capacity of national service providers to promote behaviour change for improved reproductive health?”

**Normative:** these ask whether the effect is satisfactory or not and thus imply a judgement - e.g., “Has the technical capacity of national counterpart staff in charge of integrated management information systems in the area of population and development been strengthened as planned?” This question could also end with “Has the (...) been strengthened to a satisfactory extent?” or formulated as “To what extent has the objective of strengthening the technical capacity (...) been achieved?” Answering the question implies establishing a benchmark separating what would be “to a good extent” from “to a poor or unsatisfactory extent” in order to make a judgement. Using objective benchmarks - as opposed to subjective ones - and indicators will enable evaluators to make objective and evidence-based judgements/assessments.

In practice, evaluation questions are often a combination of these types of questions, that is, they may have both a descriptive and a causal element - e.g., “In the event of unintended effects, what were those effects and what measures were adopted to mitigate negative consequences?” Or they combine a causal and a normative element at the same time - e.g., “To what extent has the utilization of high-quality reproductive health services increased and how did UNFPA contribute to that?”

In the design phase, evaluators should not only identify and select evaluation questions but also use them as a means to determine the data requirements. Evaluation questions will help:

- Determine what type of data (i.e., quantitative, qualitative, primary, secondary) evaluators will look for during the data and analysis phase
- Identify the sources of this data
- Determine, on the basis of the type of data needed, the most suitable collection methods.

**FIGURE 15: The three steps from evaluation questions to data requirements**

1. **STEP 1** Identify initial list of evaluation questions
2. **STEP 2** Select a feasible number of priority questions
3. **STEP 3** Translate selected questions in terms of data requirements
Identify evaluation questions

An initial list of evaluation questions should be drawn up. This step implies that evaluators have previously identified the needs, objectives, inputs, activities, outputs and outcomes as well as their logical cause-effect relationship sequence.

In the ToR of the evaluation, the evaluation manager should include a first list of evaluation questions based on issues identified by the country office, and by the reference group where present. The evaluation team should review them and add or replace questions as appropriate. Additions and withdrawals should be justified in the design report.

The main documentary sources upon which evaluation managers can draw when producing the initial list of evaluation questions are:

- The list of evaluation questions proposed by the UNFPA Evaluation Office
- The analysis of the country programming documents (CPD, AWPs) as well as framework documents related to strategic positioning, e.g., UNFPA strategic plan, UNDAF, national development strategy, previous evaluations
- The analysis of progress reports such as the workplan progress reports and the COAR.

During the design phase, evaluators should first identify the most useful questions and then assess whether or not they are feasible.

FIGURE 16: The process of selecting the evaluation question

To assess the potential usefulness of the questions, evaluators should:

- Check who will use the answer and what the answer will be used for. Questions put forward by either the country office or by national counterparts addressing issues related to the next programming cycle are particularly useful in the context of a CPE. Questions providing feedback on strategic issues of relevance to headquarters should also be considered.
- Check whether the question deals with an issue that is particularly urgent or important to address. For example, this includes questions related to controversial aspects, to the identification of best practices, or to the effects of pilot interventions.

When it is clear that the usefulness of the answers will be high, evaluators should, however, ensure that there are no redundancies or overlaps. In this regard, evaluators should check:

- Whether the answer to the question is already known. This applies particularly to questions that have been added by the evaluators (prior to receiving feedback from the country office or the reference group)
- Whether there is any other assessment (evaluation, review, study), either ongoing or to be launched in the near future, that is likely to provide an answer to the question.

Evaluators should then assess the feasibility of the evaluation questions

The way in which evaluation questions are formulated (their scope) has direct implications in terms of the data required to answer them in an objective and evidence-based manner. Data requirements will, in turn, determine the time and resources needed. Choosing a feasible set of questions means selecting questions that may be realistically answered given the time and resources available for the evaluation.

There are several aspects that make evaluation questions more or less feasible. Evaluators should consider the following:

- The availability of data, which in turn will depend on whether the country office has functional internal monitoring and information management systems producing data on implementation aspects as well as on outputs and outcomes
- The amount of data needed to answer the questions in a credible manner
- Whether answering the question requires predominantly primary data or secondary data. Primary data is usually more expensive and time-consuming to gather than secondary data, but it is more up to date and free from previous interpretation.
- Access to key informants whose availability may vary
- Whether the intervention has produced tangible effects at the time of the CPE. Some questions on the degree of effectiveness, for example, may not be feasible if effects have not been generated

65 Usually, primary sources provide the raw data and secondary sources help understand it.
UNFPA Evaluation Handbook

• The complexity of the question: questions that enquire about intricate cause-effect relationships may be too cumbersome to assess given the time, availability of data, expertise and financial resources available for the evaluation.

Tip: Checking the feasibility of the questions implies considering them in terms of resources. The evaluation matrix may be used as a supporting tool during this process. Evaluators could use the “assumptions to be assessed”, the “sources of information” and the “methods and tools for data collection” columns in the matrix to assess how feasible it will be to answer the questions. Often, two or more questions may be associated with the same sources of data and/or use the same data-collection methods. Using the evaluation matrix can help visualize these considerations.

In order to facilitate discussions during the selection process, it would be advisable to classify the evaluation questions as high, medium or low feasibility. Combining the feasibility and potential usefulness classifications in a double-entry table would help the selection process as it provides a quick snapshot of the distribution of the initial list of questions according to both characteristics.

Evaluation questions related to UNFPA support in humanitarian settings

The list of evaluation questions for UNFPA support in humanitarian settings (in Table 6: list of examples of evaluation questions for CPE) is derived from the “Humanitarian Response Strategy - Second Generation” of UNFPA adopted in January 2012 (the content of which is reflected in the humanitarian related outcomes, outputs and indicators of the UNFPA Strategic Plan 2018-2021).

More specifically, the evaluation questions for humanitarian programming cover the six outputs from the results framework of the Humanitarian Response Strategy, which outline the areas in which the capacity of UNFPA and its partners for humanitarian programming and assistance is meant to be strengthened.

### Outcomes and outputs from the UNFPA Humanitarian Response Strategy (2012)

<table>
<thead>
<tr>
<th>Outcomes</th>
<th>Related outputs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Outcome 1: Increased access to and utilization of quality maternal and newborn health services</td>
<td>Output 1: Increased capacity of UNFPA regional, subregional, country offices and partners to implement the Minimum Initial Service Package (MISP) in humanitarian settings</td>
</tr>
<tr>
<td>Outcome 2: Increased access to and utilization of quality HIV- and STI-prevention services especially for young people (including adolescents) and other key populations at risk</td>
<td>Output 2: Enhanced capacity of country offices for planning, implementation and monitoring of prevention programmes to reduce the transmission of STI and HIV/AIDS in humanitarian settings</td>
</tr>
<tr>
<td>Outcome 3: Gender equality and reproductive rights advanced particularly through advocacy and implementation of laws and policy</td>
<td>Output 3: Strengthened country office capacity for implementation of international agreements, national legislation and policies in support of gender equality and reproductive rights in humanitarian settings</td>
</tr>
<tr>
<td>Outcome 4: Improved access to SRH services and sexuality education for young people (including adolescents)</td>
<td>Output 4: Strengthened national capacity for addressing gender-based violence (GBV) and provision of quality services, including in humanitarian settings</td>
</tr>
<tr>
<td>Outcome 5: Improved data availability and analysis around population dynamics, SRHR (including family planning) and gender equality</td>
<td>Output 5: Strengthened programming for essential SRH services for marginalized adolescents and young people in humanitarian settings</td>
</tr>
<tr>
<td>Outcome 6: Enhanced capacity of regional, subregional, country offices for the production, utilization and dissemination of quality demographic data on population dynamics, youth, gender, SRHR, in humanitarian programming</td>
<td></td>
</tr>
</tbody>
</table>
Annex II: Additional methodological guidance

How to account for overly ambitious country programme outputs when analysing the country programme intervention logic

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

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

Correcting for overly ambitious outputs in the design of UNFPA CPEs

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

• Interview all programme officers and gather all necessary documentation to obtain an accurate overview of the actual interventions and expected outputs with respective indicators
• Discuss the final reconstructed intervention logic with, and receive validation from, the evaluation reference group
• Select the evaluation questions, indicators and appropriate data-collection methods on the basis of this new reconstructed and logically consistent version of the intervention logic
• Present the reconstructed programme intervention logic in the design report
• Cite the programmatic flaws (i.e., inconsistencies in the levels of the chain of effects of the programme) identified by the evaluators as part of the findings and conclusions, leading to a specific recommendation in the final evaluation report.

What to be aware of when working with AWPs

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

• Whereas each output in the CPD should have at least one associated AWP, de facto one AWP may contribute to more than one output. Evaluators may thus encounter either AWPs associated with a single output and/or AWPs linked to more than one output.
• When several implementing partners work on a specific output, the country office may sign one AWP with multiple implementing partners or choose to sign a separate AWP with each implementing partner. Consequently, evaluators may find, for example, three AWPs for the same year, with each one being signed with a different implementing partner.
• The UNFPA Policies and Procedures Manual for the implementation of country programmes strongly recommends that when an implementing partner is involved in the achievement of several outputs, a separate AWP should be prepared for each output.69

Not all activities carried out during a programming period are necessarily included in AWPs. New activities are often added and/or adjustments take place in response to demands from counterparts after an AWP has been signed, yet often the AWP is not updated in light of such changes. Also, AWPs do not list the un-costed “soft activities”, such as advocacy, policy dialogue, national consultations and institutional mediation (see below).

Challenges and constraints related to UNFPA CPEs

<table>
<thead>
<tr>
<th>Challenges and constraints</th>
<th>Implications for CPEs</th>
</tr>
</thead>
<tbody>
<tr>
<td>At UNFPA, the term “project” is a financial concept used to designate projects in Atlas rather than development projects in the traditional sense of the term. This means that annual work plan (AWPs, the UNFPA equivalent of project documents) do not clearly stipulate and delineate their underlying intervention logic and theory of change linking activities to results.</td>
<td>The study of AWPs and CPDs alone will not allow evaluators to fully understand the intervention logic and theory of change of a UNFPA country programme. Most significantly, the evaluators will not be able to readily understand how individual activities (presented in AWPs) were meant to contribute to the achievement of the different outputs and outcomes in the CPD. Evaluators will therefore need to complement the desk study of these documents with interviews of UNFPA staff in country offices to be able to understand and reconstruct the intervention logic of the programme.</td>
</tr>
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</table>

68 When this happens, the AWP contains the description of all of the outputs to which it contributes.

69 The rationale of this recommendation lies in the fact that when activities are transcribed into Atlas, the financial information is recorded per output, not by implementing partner.
### Annex III: Glossary

#### Definitions of the Main Methodological Terms

<table>
<thead>
<tr>
<th>Terms</th>
<th>Definitions</th>
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</thead>
<tbody>
<tr>
<td><strong>Intervention logic</strong></td>
<td>A reasoned description of how the programme is expected to attain its objectives. It uses hypothetical cause-effect linkages to show the chain of expected effects between inputs, activities, outputs, outcomes and, ultimately, impact.</td>
</tr>
<tr>
<td><strong>Needs</strong></td>
<td>The demands, problems or challenges to be addressed by the UNFPA-funded interventions.</td>
</tr>
<tr>
<td><strong>Objectives</strong></td>
<td>Expected planned effects.</td>
</tr>
<tr>
<td><strong>Inputs</strong></td>
<td>The financial, human and material resources UNFPA makes available to carry out activities.</td>
</tr>
<tr>
<td><strong>Activities</strong></td>
<td>Actions taken or work performed through which inputs are mobilized to produce specific outputs. In UNFPA country programmes, activities may consist of: training sessions, provision of technical assistance, procurement of equipment and medicines, support for consultation and government planning processes, etc. AWPs should provide information on the planned activities.</td>
</tr>
<tr>
<td><strong>Effects</strong></td>
<td>Intended or unintended changes due directly or indirectly to an intervention. Effects correspond to the actual outputs, outcomes and impacts.</td>
</tr>
<tr>
<td><strong>Outputs</strong></td>
<td>The deliverables (products and services) that result directly from interventions funded by UNFPA. The generation of outputs is under the full responsibility and control of the country office. Outputs are first-level immediate effects.</td>
</tr>
</tbody>
</table>

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### Challenges and constraints

The outputs in CPDs often resemble development outcomes, in the sense that these are at too high a level (in terms of effects) in the (implicit) chain of effects to be directly connected to any set of UNFPA-supported activities. This adds to the challenge of appropriately understanding and reconstructing the intervention logic of UNFPA country programmes.

In many country offices, the monitoring systems for UNFPA support are weak. Data is either not available, is insufficiently disaggregated, or does not appropriately document the entire logical chain between UNFPA-supported activities and sought-after societal changes. Frequently, baselines specific to the scope of UNFPA-supported activities are not available. It is therefore more challenging to determine the contributions of UNFPA-supported activities to societal changes.

The time and resource constraints in UNFPA CPEs do not allow the use of field surveys to collect representative data from UNFPA beneficiaries.

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### Implications for CPEs

Evaluators need to “fill in the gaps” in the stated hierarchy of effects in UNFPA programme documents. In cooperation with UNFPA managers and staff, evaluators have to try to logically link the higher-level (societal) effects of UNFPA support and the concrete activities UNFPA has supported or intends to support. Filling in the missing links will often require identifying the particular deliverables (e.g., a new curriculum) or assets (e.g., equipment, training materials) associated with UNFPA-supported activities; and describing the desired changes in behaviour that the provision of these assets was meant to trigger (e.g., adapting the content of training courses for health cadres based on the new curriculum, or using the new equipment to provide improved health services to patients).

UNFPA CPEs have to rely on the collection of primary qualitative and quantitative data to fill the gap in the UNFPA monitoring data.

CPEs are based primarily on secondary quantitative information, using existing data sets from national surveys and censuses, or from surveys that were carried out by members of the development community. Information on health outcomes at community level can be collected only through interviews and focus groups. While these can provide useful illustrations of changes at the beneficiary level, and can examine the contributing causal mechanisms, this data is not statistically representative of the entire population of UNFPA beneficiaries.
DEFINITIONS

Outcomes
The deliverables (products and services) that result directly from interventions funded by UNFPA. The generation of outputs is under the full responsibility and control of the country office. Outputs are first-level immediate effects.

Tip: In the UNFPA context, an output is not the result of a single AWP but the result of implementing several AWPs plus soft-aid activities over the five-year period of a country programme. When we refer to outputs we mean outputs as they are formulated in the CPD results framework.

Impact
Higher-level effects usually described in terms of progress towards the achievement of the Sustainable Development Goals or progress towards the fulfilment of the commitments adopted in the International Conference on Population and Development. CPEs do not encompass the assessment of impact.

Development results
Development results mean sustained improvement in the lives of people in developing countries - e.g., more children educated, fewer infants dying, more families lifted out of poverty. In the UNFPA framework, development results are strategic objectives and intended high-level effects as defined in UNFPA strategic documents and determined by the country context and national development challenges.

Tip: “Impact” is a generic word for development results. In the context of a CPE, these can be regarded as equivalent terms.

CLARIFICATIONS
On methodological concepts and approaches

The importance of the distinction between actual and planned
An important part of any evaluation consists of comparing what was planned or expected with what happened in reality. In other words, comparing actual outputs, outcomes, activities, inputs with those planned at the start of the country programme.

Evaluators will find planned outputs, outcomes, activities and inputs in the programming documents (CPD, strategic plan, UNDAF and in AWPs). The term “objectives” in programming documents is used to designate expected outcomes and expected outputs. On the other hand, the actual outputs and the actual outcomes (effects) can be observed and assessed only during the data-collection and analysis phase, and not by simply looking at programming documents during the design phase. Data collection is about retrieving information on actual outputs, outcomes, activities and inputs.

The focus of CPE is on outputs, not on activities
The degree of achievements of the outputs – and their contribution to the outcomes – is at the core of CPEs. Evaluators should be acquainted with activities and inputs, yet CPEs are not project-level evaluations and therefore do not entail using activity checklists to verify meticulously whether activities have been implemented or not. Activities and inputs should be examined while bearing in mind that the focus is the outputs and their contribution to the planned outcomes (provided outcomes have already been generated at the time of the CPE).

Tip: Analyse activities to the extent that they explain the quantity and quality of the outputs. Never lose the focus on outputs. Details of a particular training session conducted in one district or the number of kits provided by UNFPA in a particular community are not relevant.

70 The only exception would be looking at past evaluations and end-of-project reports. However, this implies looking at past secondary data and could only provide partial evidence of the overall picture for the actual outcomes.
Should evaluators assess the degree of achievement of outcomes under the effectiveness criterion?

Assessing the degree of achievement of outcomes is beyond the scope of CPEs. Evaluators will assess the degree of achievement of outputs and, if possible, the contribution of the outputs to the planned outcomes.

Whenever it is possible to assess the contribution of the outputs to the planned outcomes, evaluators should try to find out the extent to which positive changes (outcomes) are a consequence (at least in part) of UNFPA interventions. Evaluators should not attempt to conduct an attribution analysis; instead, they should explore whether there are indications of the UNFPA contribution.

Moreover, when assessing the contribution of the outputs to the planned outcomes, evaluators should also look at the extent to which the quality and value of UNFPA partnerships (with other development partners, including other United Nations agencies) has contributed to the achievement of planned outcomes.

Reminder: Whereas outputs are the full responsibility of the country office and are under UNFPA control, outcomes are outside of the control of UNFPA. The mandate of country offices is to support governments and other direct counterparts in undertaking actions that ultimately have an impact on beneficiaries. Achieving the outcomes will require partner country actions and decisions, as well as support from other development partners.

Retrospective and prospective analysis and the evaluation criteria

Some evaluation criteria allow only for backward-looking assessments (retrospective analysis) whereas others allow both backward- and forward-looking assessments (prospective analysis). Evaluators may assess the extent to which effects have been sustainable – provided that the effects have been already generated – but also look at the prospects for sustainability, i.e., the likelihood that the effects of UNFPA interventions will continue once the funding comes to an end.

The same happens with effectiveness: evaluators may assess the extent to which objectives have been achieved or the extent to which objectives are likely to be achieved.

Relevance and efficiency allow only for retrospective assessments because future needs cannot be assessed and the actual/real costs incurred cannot be inferred beforehand.

In CPEs, evaluators are expected to conduct retrospective assessments for the most part, i.e., analyse what has happened and the reasons why, but prospective assessments are also an option. However, whenever evaluators choose to conduct prospective assessments, they should explicitly indicate this in the methodological chapters of the design and final reports. Evaluators should also explain the reason for choosing a prospective assessment.

An attribution analysis would entail explaining which part of the achievement of the outcomes is directly attributable to UNFPA.