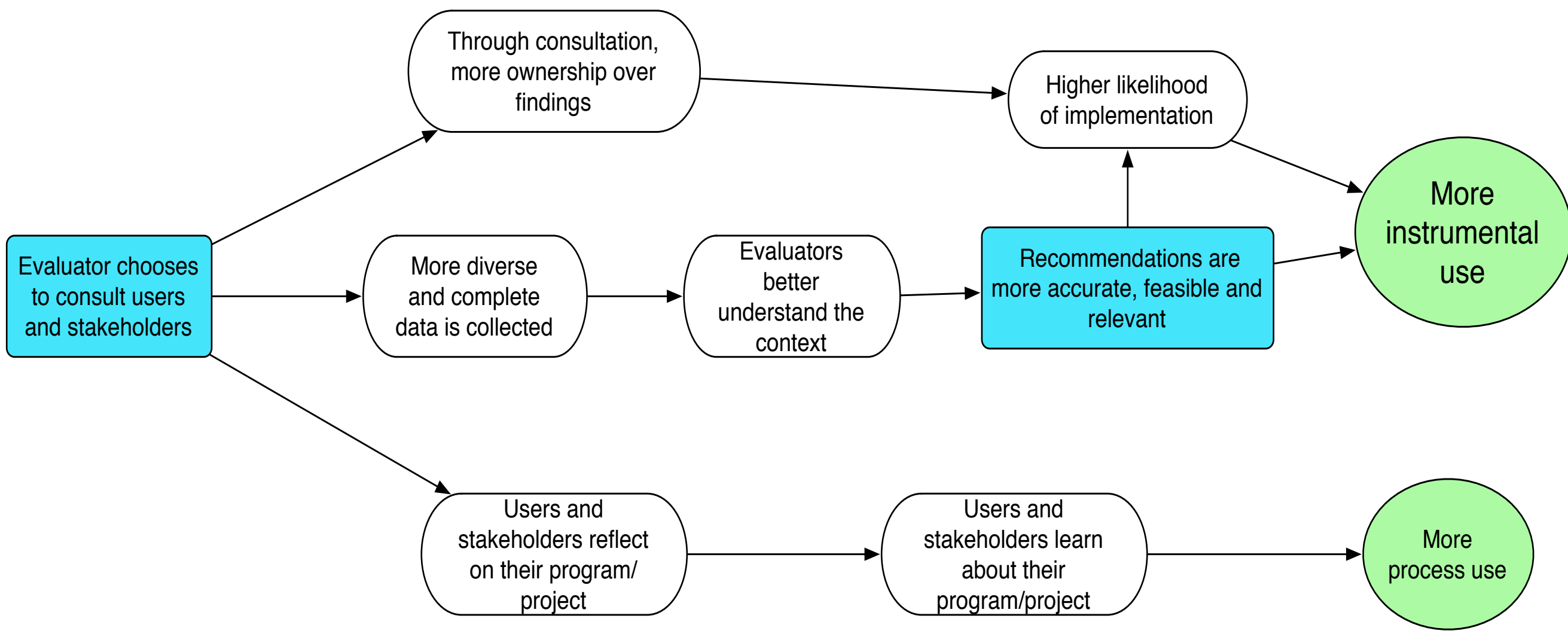


# Evaluation Use – Summary of Key Messages

## Users and stakeholders should be involved and consulted throughout the evaluation process

Evaluators have long known about the importance of involving users and stakeholders in the evaluation process. This has been a focus of the evaluation literature for the past decades, and the message seems to have been understood. There are several reasons why stakeholders should be involved in all aspects of the evaluation process. First, their involvement and consultation means they develop more ownership over the findings. Second, the consultation process improves the quality of the recommendations. Third, consultations and engagement increase process use.

In the accompanying handouts, you will find the following case studies supporting Key Message 1.

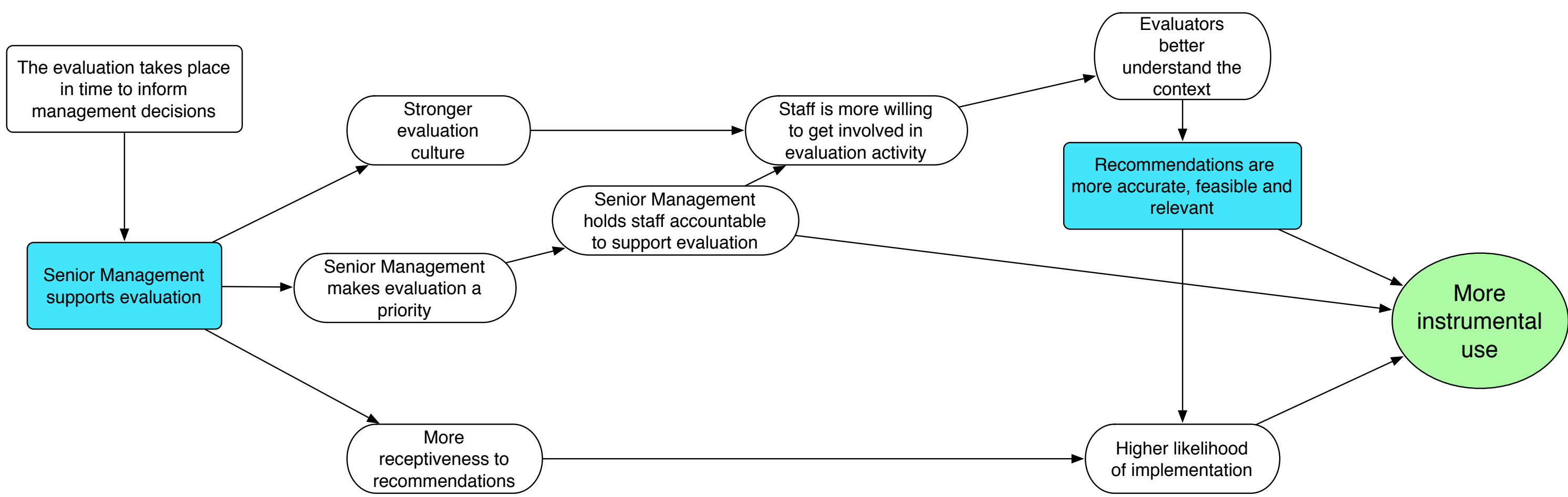


Case Study Number	Agency	Case Study
3	GEF	Country-Level Evaluations
9	UN WOMEN	Regional Mechanisms to Protect the Human Rights of Women and Girls
12	UNEP	Formative evaluation of the UNEP's Program of Work
13	UNEP	Midterm Evaluation of the Project for Ecosystem Services
17	UNICEF	National Child Protection Agenda in Thailand
18	UNICEF	Global Education Cluster
20	UNICEF	Progress Evaluation of the Education in Emergencies and Post-Crisis Transition Program
26	UNRWA	Steering Committee
28	UNRWA	Evaluation of Agency Medium Term Strategy
32	WIPO	Knowledge Sharing Evaluation

## The support of senior decision-makers is key, and so is their commitment to implementing the recommendations.

In all organizations, support from the top helps drive change; the evaluation world is no different. Within most UN agencies, evaluation offices are not well positioned to make executive decisions, and often need to rely on champions outside of the evaluation office to support their activities. Evaluation support from senior decision-makers helps (1) strengthen the evaluation culture and (2) make management more receptive to evaluation recommendations.

In the accompanying handouts, you will find the following case studies supporting Key Message 2.



Case Study Number	Agency	Case Study
1	ESCAP	Trust Fund for Tsunami
5	ICAO	Evaluation of Results Based Management
14	UNESCO	Evaluation of UNESCO's Standard-setting Work of the Culture Sector
19	UNICEF	Independent Review of UNICEF's Operational Response to the January 2010 Earthquake in Haiti
26	UNRWA	Steering Committee
28	UNRWA	Evaluation of Agency Medium Term Strategy
29	WFP	Transition from food aid to food assistance
30	WFP	Food Assistance in Bangladesh
32	WIPO	Knowledge Sharing Evaluation

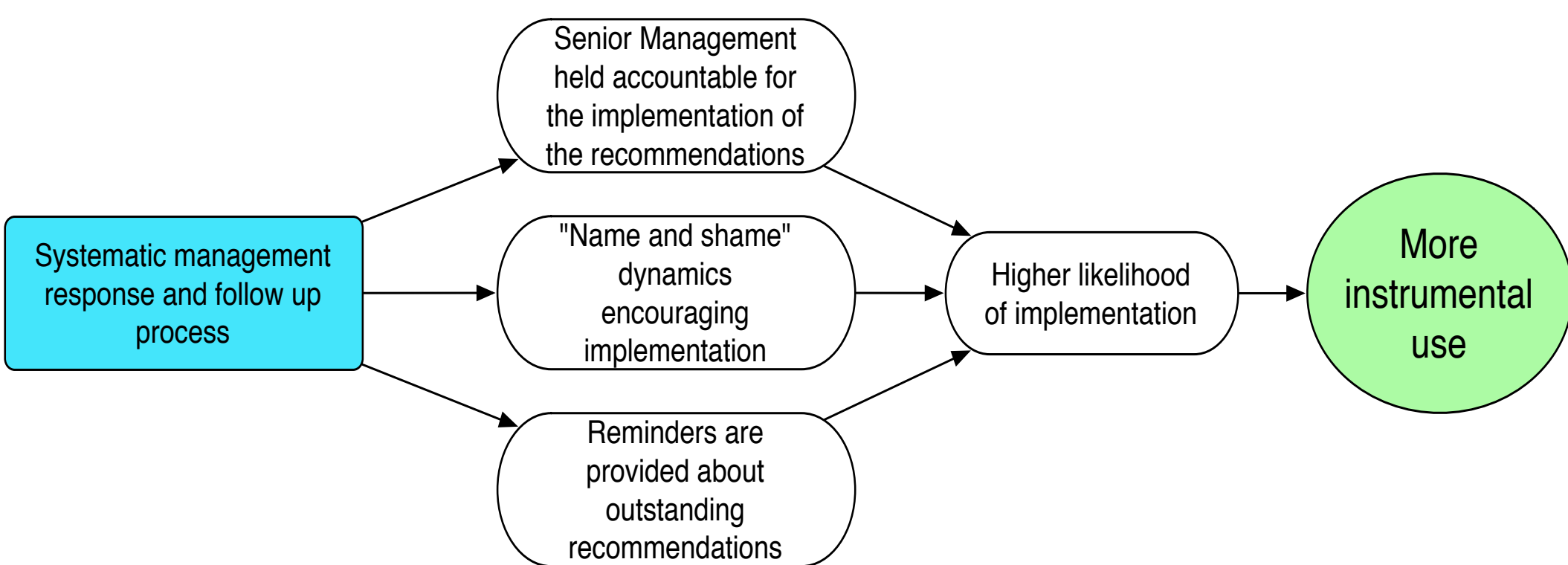
## Management responses and follow-up processes must take place and be adequately supported.

In the United Nations system, the most important mechanism for the implementation of evaluation recommendations is the Management Response, as well as its associated follow-up process. Many UN organizations appear to have standardized, systematic ways to produce management responses. However, this does not yet seem to be universal.

Systematic management responses and follow up processes increase the likelihood of implementation. Processes for management responses and follow up ensure there is a systematic way to nudge the organization into implementing the changes proposed in evaluations, and prevents uncomfortable findings and recommendations to go unaddressed or swept under the carpet.

In the accompanying handouts, you will find the following case studies supporting Key Message 5.

Case Study Number	Agency	Case Study
16	UNFPA	Joint Evaluation of the UNFPA-UNICEF Joint Program on Female Genital Mutilation
27	UNRWA	Interactive recommendation follow up





# Evaluation Use – Key Messages

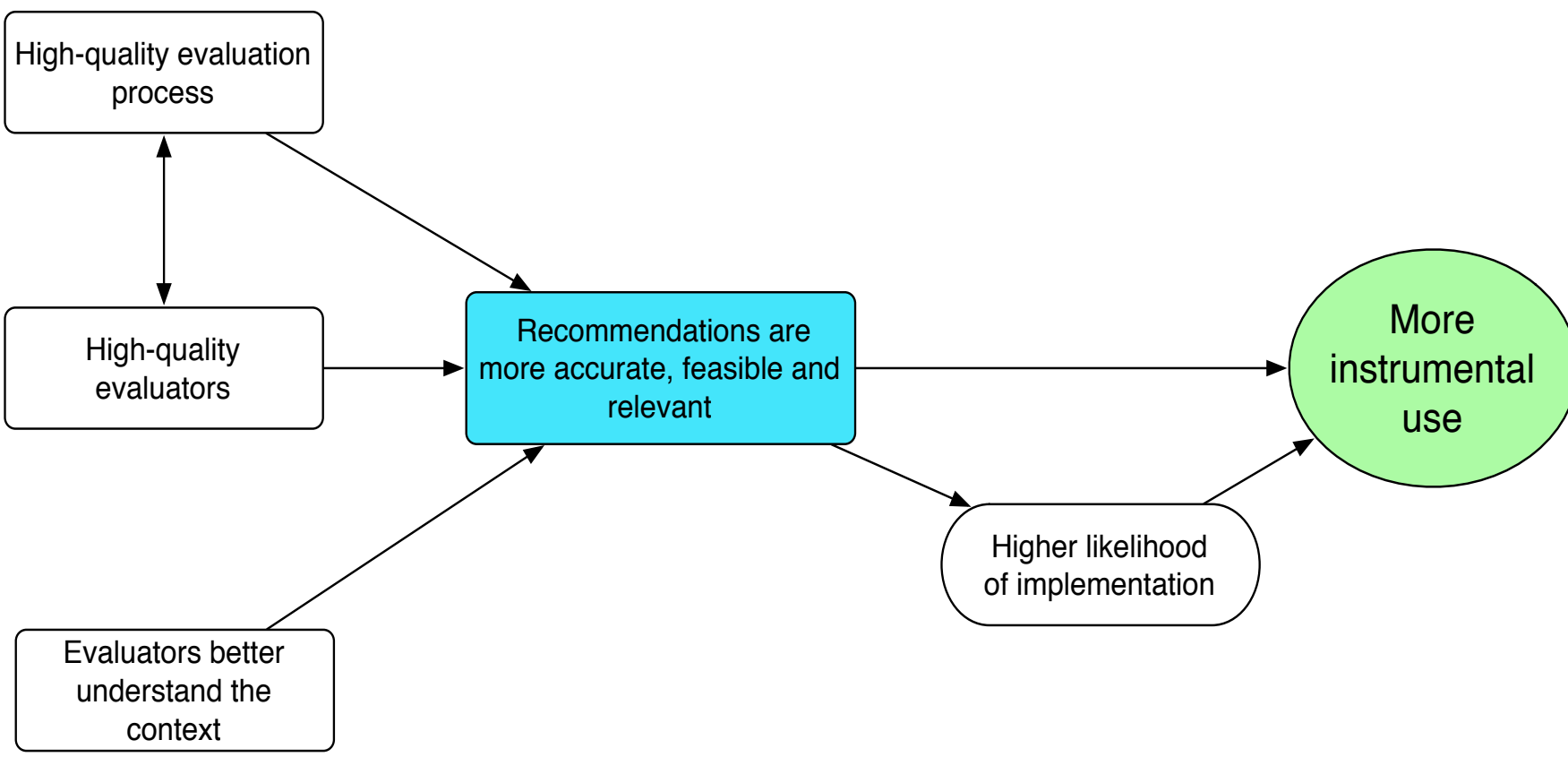
## Evaluators need to ensure recommendations are feasible and relevant.

Leaving aside process use, if evaluation is ever going to be useful, it needs to generate relevant and feasible recommendations. In other words, high quality recommendations are a prerequisite for most types of use. Indeed, higher-quality recommendations increase the likelihood that they will be accepted and implemented, and thereby increase the potential use of an evaluation.

However, proposing high-quality recommendations is not easy and depends on several other factors. Most importantly, it depends on (1) user/stakeholder involvement; (2) the presence of a high-quality evaluation methodology and (3) the presence of high-quality evaluators.

In the accompanying handouts, you will find the following case studies supporting Key Message 3.

Case Study Number	Agency	Case Study
1	ESCAP	Trust Fund for Tsunami
6	ILO	Better Factories in Cambodia
8	IOM	Evaluation of Gender Mainstreaming
10	UN WOMEN	Kenya Evaluation of the Gender and Governance Program
12	UNEP	Formative evaluation of the UNEP's Program of Work
17	UNICEF	National Child Protection Agenda in Thailand
25	UNRWA	Background Paper
33	WIPO	Recommendations from IOD evaluation reports



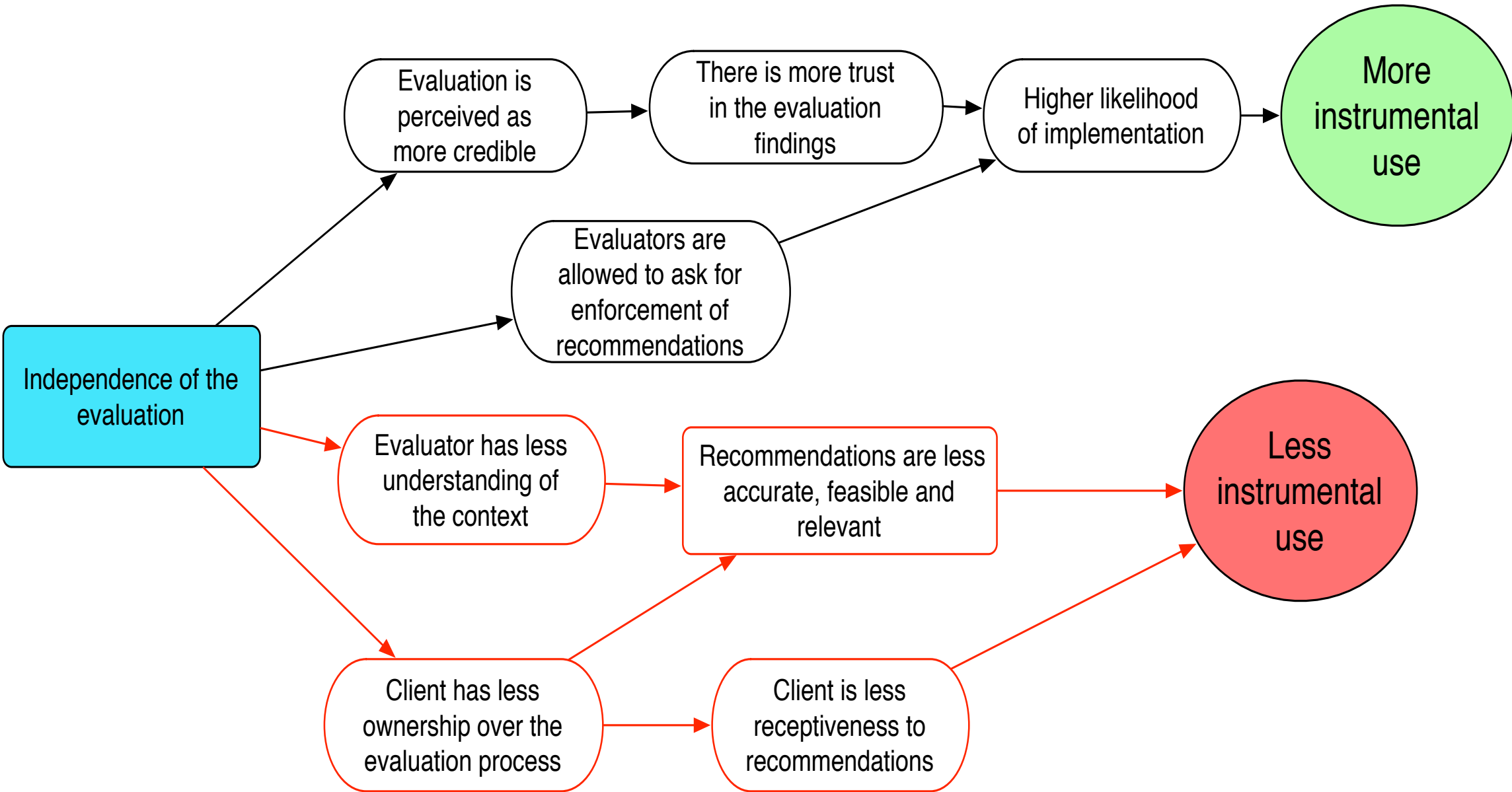
## Maintaining independence while remaining close to the realities of the agency can be challenging.

Most professional evaluators agree that evaluation independence is a useful and fundamental principle of evaluation. All over the world, independence as a key criterion for evaluation quality appears to be gaining momentum. Independence is core principle of the OECD DAC Quality Standards for Development Evaluation, and international organizations – UN and others – are increasingly setting up Independent Evaluation Offices.

Independence enhances the impartiality and credibility of evaluations, thereby increasing the trust in and support for the recommendations that come out of evaluations. However, agencies moving towards greater independence face the risk of reducing the evaluators’ understanding of the context they are evaluating, thereby making recommendations less feasible and relevant.

In the accompanying handouts, you will find the following case studies supporting Key Message 4.

Case Study Number	Agency	Case Study
19	UNICEF	Independent Review of UNICEF's Operational Response to the January 2010 Earthquake in Haiti
25	UNRWA	Background Paper

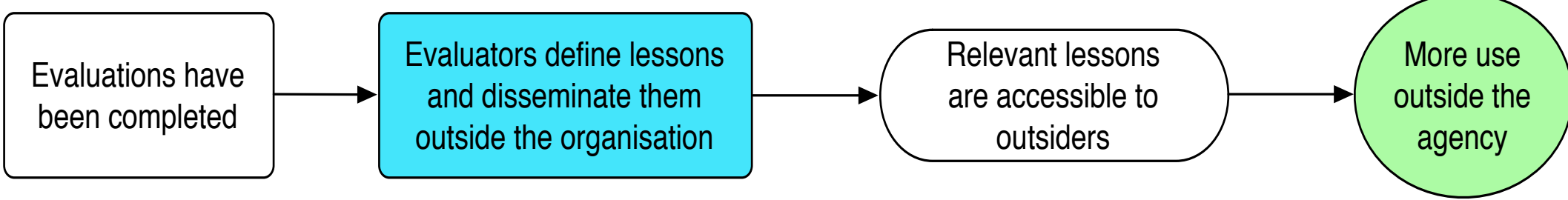


## More needs to be done to share findings and enable cross-organizational learning.

Generally, lessons learnt as part of evaluation activities tend to stay locked within an organization, either as part of their knowledge management systems or as part of their staff’s institutional memory. In this context, freeing up lessons and findings from the confines of the individual organization would create the possibility of evaluations being used outside the agency in which they took place.

In the accompanying handouts, you will find the following case studies supporting Key Message 6.

Case Study Number	Agency	Case Study
8	IOM	Evaluation of Gender Mainstreaming



The key messages above were defined as part of the UNEG’s Strategic Objective Two: UN entities and partners use evaluation in support of accountability and program learning . A working group was created, the objective of which was to better understand how UN agencies use evaluation and to identify the factors that support and hinder evaluation use. In order to meet this objective, four data gathering exercises were undertaken:

- 1. A literature review of most relevant pieces of academic and organizational writing about evaluation use
- 2. An online survey of UN evaluation users and practitioners, as well as of external evaluation practitioners.
- 3. Semi-structured interviews with UN evaluation users and practitioners
- 4. Preparation of case studies of several instances where evaluation was useful and used

The six Key Messages presented above are a result of this exercise.

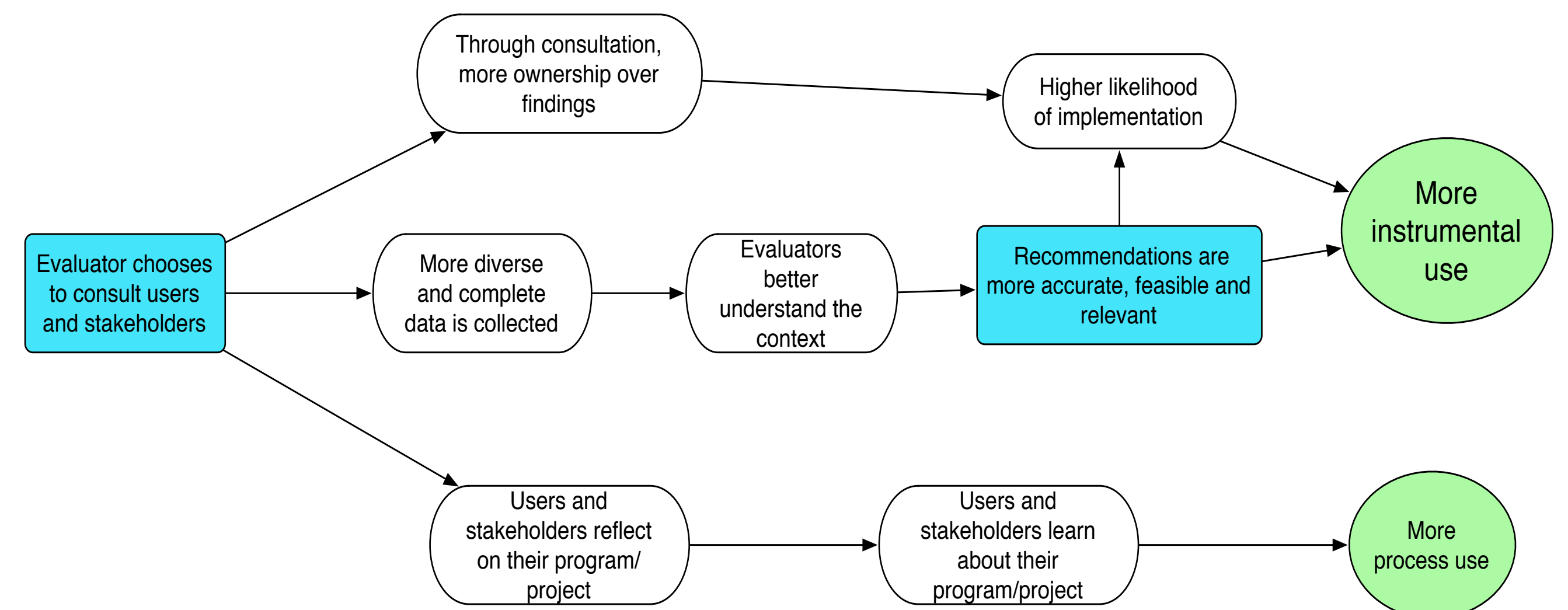


# Evaluation Use – Key Message 1

Users and stakeholders should be involved and consulted throughout the evaluation process

## Key Mechanisms

Evaluators have long known about the importance of involving users and stakeholders in the evaluation process. This has been a focus of the evaluation literature for the past decades, and the message seems to have been understood. There are several reasons why stakeholders should be involved in all aspects of the evaluation process. First, their involvement and consultation means they develop more ownership over the findings. Second, the consultation process improves the quality of the recommendations. Third, consultations and engagement increase process use.

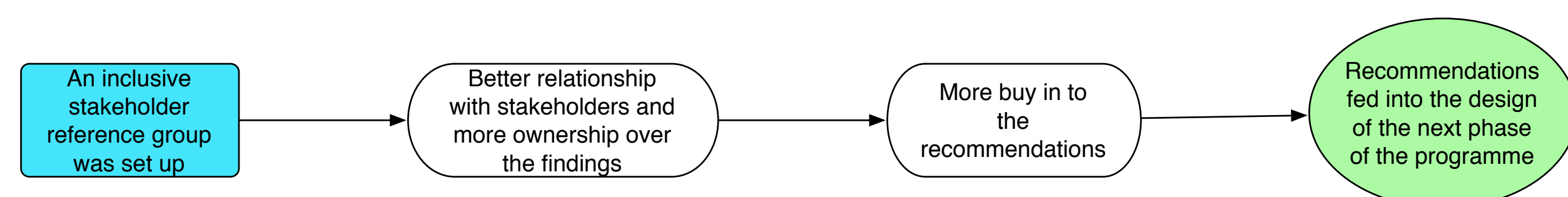


## Related Case Studies

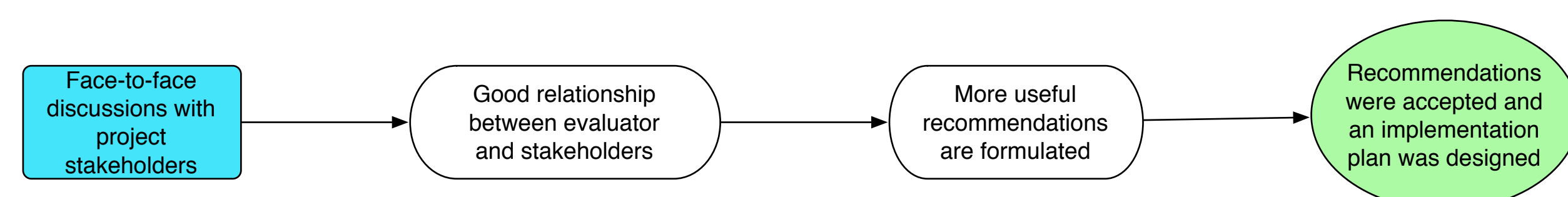
Case Study Number	Agency	Case Study
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28	UNRWA	Evaluation of Agency Medium Term Strategy
32	WIPO	Knowledge Sharing Evaluation

## A Few Examples

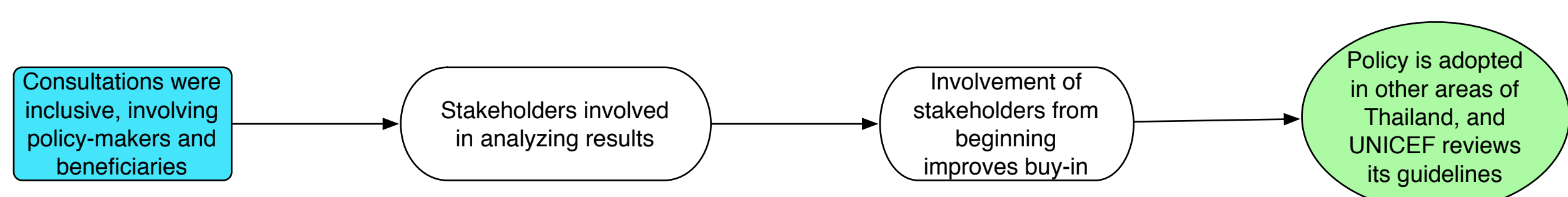
### #9 UNWOMEN: Regional Mechanisms to Protect the Human Rights of Women and Girls



### #13 UNEP - Midterm Ealuation of the Project for Ecosystem Services



### #17 - UNICEF: National Child Protection Agenda in Thailand



## Case Study: Country-Level evaluations at the GEF

### Objectives of the Evaluation

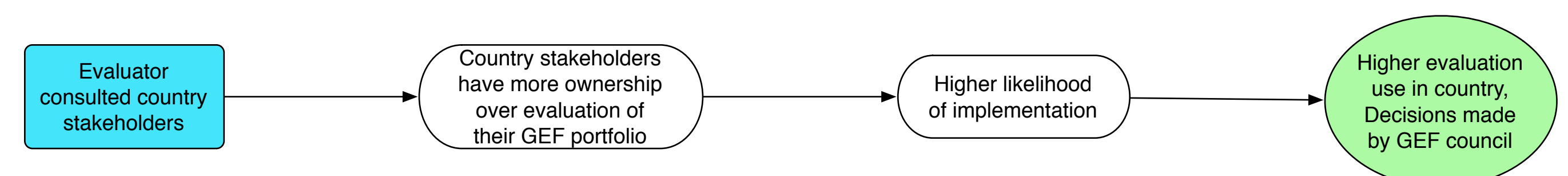
Country-level evaluations cover the GEF support across GEF Agencies, projects, and programs in a given country or in a cluster of countries. These evaluations assess the performance and results of GEF support at country level, and how this support is linked to national environmental and sustainable development agendas, as well as to the GEF mandate of generating global environmental benefits within its focal areas. The target audiences for country-level evaluations are the GEF Council, the national stakeholders, including the GEF Focal Points in the countries involved, the GEF Agencies, and the GEF Secretariat. Since 2008, results of country-level evaluations have been aggregated in Annual Country Portfolio Evaluation Reports (ACPERs) presented yearly to the Council. Since the introduction of country-level evaluations in 2006, the Office has conducted 23 country-level evaluations across all the GEF geographic regions in the world. Through these evaluations and alongside thematic, performance, and impact evaluations, the Office has helped shape and contribute to new policies that define the GEF today.

### How was the evaluation used?

A main feature of country-level evaluations is the focus on issues that are important from the perspective of country stakeholders. For example, the Turkey and Moldova CPEs, summarized in the ACPER 2010 elevated the issue of involvement of GEF Operational Focal Points (OFPs) in project Monitoring and Evaluation (M&E). OFPs tended to be actively involved by GEF Agencies until obtaining the OFP project endorsement letter, a requirement for submitting the project proposal to the GEF. OFPs were not involved further during implementation. M&E information did not always flow from GEF Agencies to national partners and vice versa, and the role of the national partners in M&E processes was limited. Based on recommendations of ACPER 2010, the Council requested GEF Agencies to systematically involve OFPs in M&E. Subsequently a new minimum requirement was added in the revision of the GEF M&E Policy, on engagement of OFPs in M&E plans, activities, mid-term reviews, and terminal evaluations. The quality at entry review of GEF projects presented in the Office's APR 2012 found that new projects started to specify how OFPs would be informed and involved in M&E activities.

Another example of a core issue for country stakeholders has been the limited resources available to support countries in tackling land degradation. The Cameroon, Egypt, and Syria CPEs, summarized in the ACPER 2009, concluded that there was a significant gap in resources available for combating land degradation in those countries. The ACPERs showed that countries didn't receive the resources and support in land degradation they were expecting, including directly through land degradation focal area allocations as well as multifocal area projects. Parallel to that, the mid-term review of the Resource Allocation Framework (RAF) of the GEF discussed the need to introduce one integrated resource allocation system for all GEF focal areas per country. All these evaluations were instrumental to inform the Council discussions and decision-making at a time when the resource allocation system, the RAF, was to undergo a major revision in preparation of GEF-5.

### Why was the evaluation used?



One of the main factors facilitating the influence of country-level evaluations is the inclusiveness of the process, especially when it comes to hearing the voices of country stakeholders. The Office approach to country-level evaluations includes the systematic engagement of GEF stakeholders throughout the whole evaluation. Engagement starts from discussing the scope of the terms of reference. It continues during the data gathering and analysis phase and culminates in discussing preliminary findings and concrete areas for improvement before the evaluation independently reaches firm conclusions and recommendations. This inclusive process allows country stakeholders to have ownership over the evaluation of their GEF portfolio. It also increases significantly the evaluation use in the country while at the same time – as we have seen above – recommendations to the GEF lead to decision making by the GEF Council, which results in institutional change. The Office is currently exploring new modalities for further engaging stakeholders in its ongoing country-level evaluations (i.e. through online stakeholder consultation platforms and ad hoc webinars during the evaluation phase), as well as joint country-level evaluation modalities with country governments to further increase the use of those evaluations at country level.

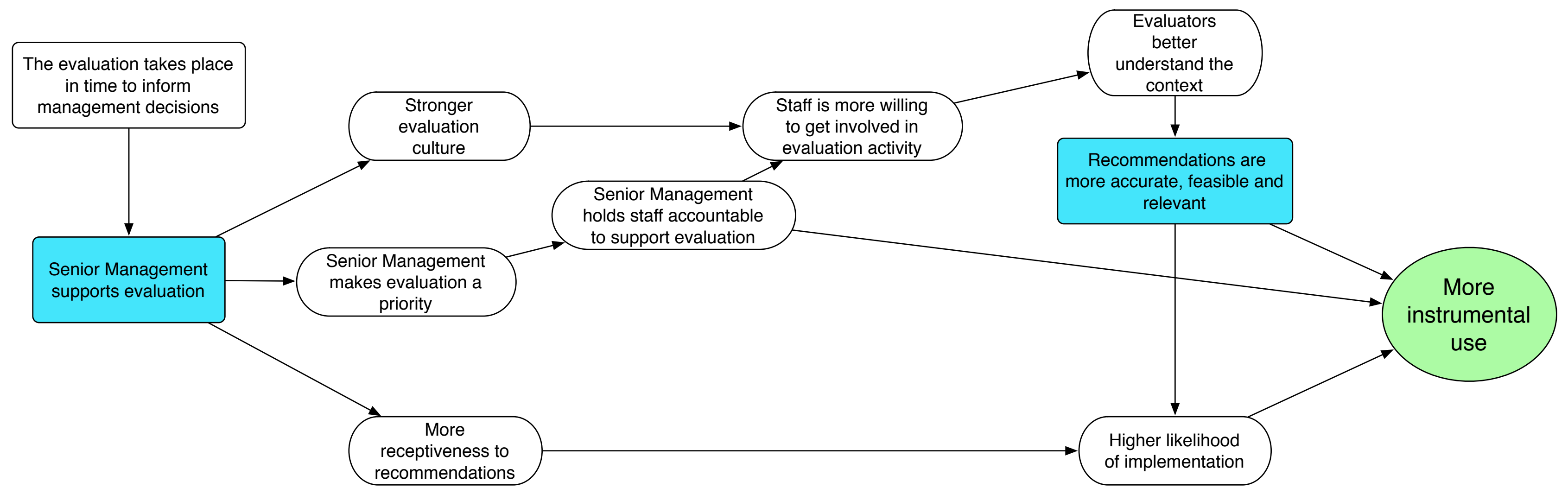


# Evaluation Use – Key Message 2

The support of senior decision-makers is key, and so is their commitment to implementing the recommendations.

## Key Mechanisms

In all organizations, support from the top helps drive change; the evaluation world is no different. Within most UN agencies, evaluation offices are not well positioned to make executive decisions, and often need to rely on champions outside of the evaluation office to support their activities. Evaluation support from senior decision-makers helps (1) strengthen the evaluation culture and (2) make management more receptive to evaluation recommendations.

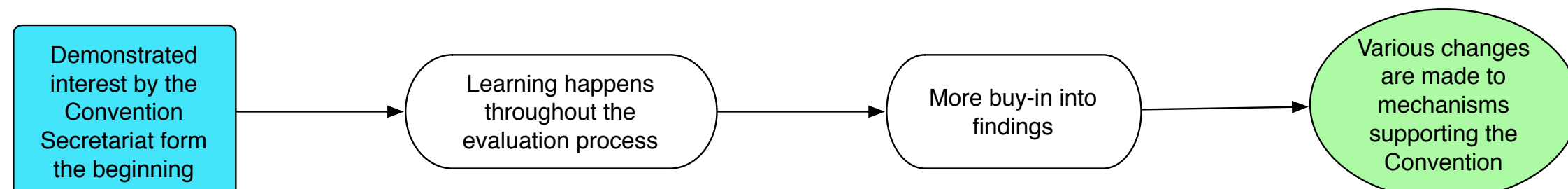


## Related Case Studies

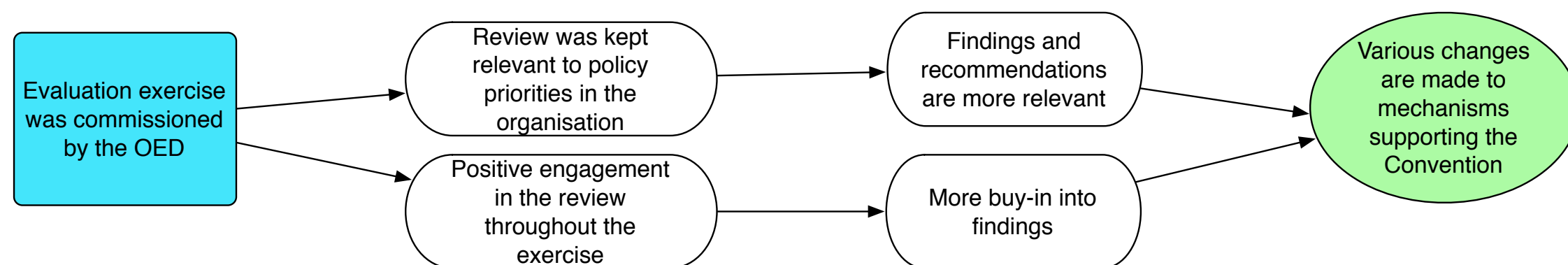
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## A Few Examples

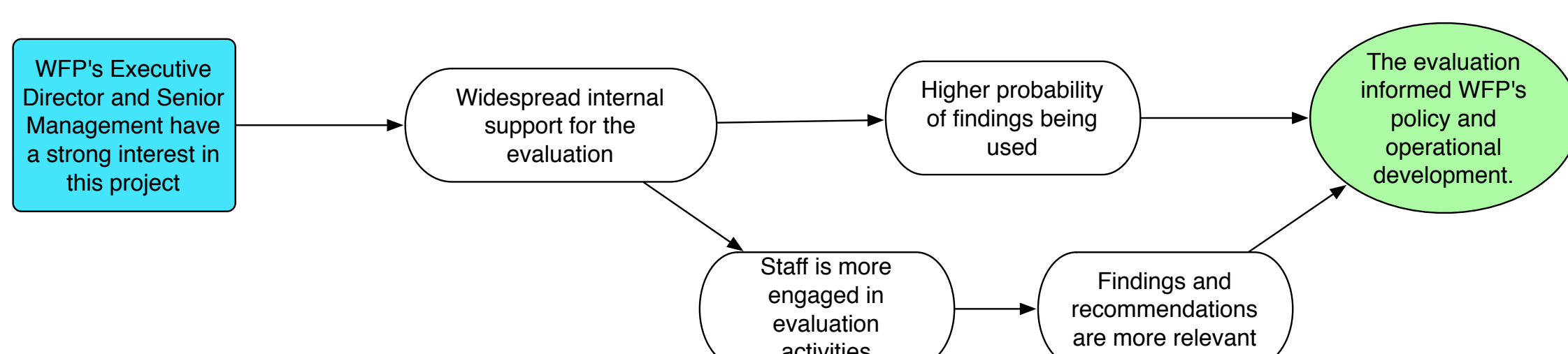
### #14 UNESCO: Evaluation of UNESCO's Standard-setting Work of the Culture Sector



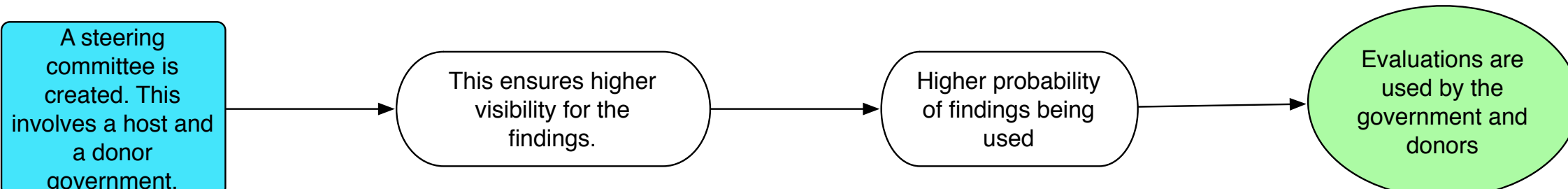
### #19 UNICEF: Independent Review of UNICEF's Operational Response to the January 2010 Earthquake in Haiti



### #29 WFP : Transition from food aid to food assistance



### #26 UNRWA: Steering Committee



## Case Study: Evaluation of RBM at ICAO

### Objectives of the Evaluation

The evaluation was intended to provide a review to the ICAO governing body and senior management on progress made in implementing Results Based Management (RBM) at ICAO since a resolution of the ICAO Assembly in 2004. The period covered by the evaluation was from 2004 to 2013, that is, the period since the issuance of a resolution of the ICAO Assembly requiring the Organization to introduce a more strategic, results oriented approach to business planning, as a basis for developing the Organization's budget. The intended primary users of the evaluation were the ICAO Council and the Secretary General.

### How was the evaluation used?

Following the completion of the evaluation, the evaluation recommendations were presented to and discussed by the ICAO Finance Committee and the Council. This led to an Organization-wide effort, facilitated by the Finance Branch, to formulate performance indicators for each major organizational unit, as the first step in creating a Corporate Performance Management System at ICAO. The Organization's planning and budget document and process have also been improved as a result of the evaluation.

#### Formulation of performance indicators

The organizational units were asked to dedicate time to formulate performance indicators and submit these to the Finance Branch, which coordinated the process. A user-friendly orientation guide on performance management using RBM was developed by the Finance Branch and disseminated to staff. A network of focal points for all organizational units was established, which facilitated the process within the respective units. In addition, workshops facilitated by the Strategic Planning Officer were held with each organizational unit to raise awareness on performance management, to assist with the formulation of performance indicators and to provide quality assurance. Although the initial stage in the formulation is to submit indicators at the output level, units were encouraged to internally measure and consider outcome indicators. A final list of key performance indicators (KPIs) is to be submitted to the ICAO Council in 2015, which will be invited to select some or all KPIs that it may wish to monitor. It is expected that measurements of organizational performance that will be collected thereafter will feed into the planning of the subsequent budgetary cycle (i.e. the 2017-2019 triennium).

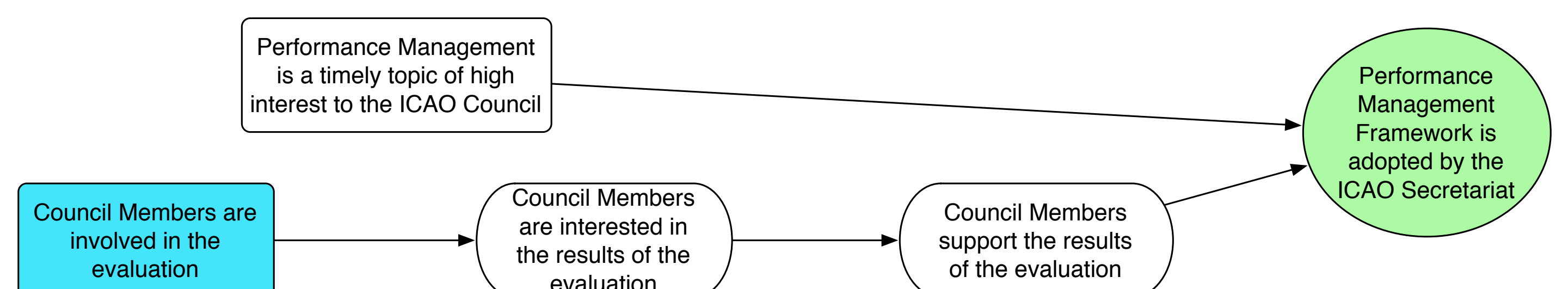
#### Planning document and process improvements

The planning and budget document will consolidate the performance indicators submitted. The process was facilitated by the accompanying workshops, the orientation guide on performance management using RBM and by the Secretary General's endorsement of the performance management framework. The framework is being rolled out progressively as a joint effort between the Secretariat and the Council, and it is acknowledged to be a resource intensive but worthwhile exercise.

Whereas it is too premature to assess the impact of the evaluation, and some recommendations were not accepted, a number of positive and concrete steps were implemented immediately following the completion of the evaluation.

The key recommendations of establishing a performance management framework and providing performance management training were accepted and expected progress has been made in these areas since the evaluation. For example, performance management workshops were held for Council and Secretariat staff, facilitated by the Director of Cabinet of the Secretary General and the Strategic Planning Officer of the Finance Branch

### Why was the evaluation used?



The fact that the evaluation used the Joint Inspection Unit's (JIU) results based management model, which ICAO has endorsed in 2004, as the benchmarking framework ensured an accountability link with the JIU and of the Secretariat to the Council, and strengthened the credibility of the evaluation.

The evaluation included Council Members among other stakeholders who were appreciative to have been consulted as part of the evaluation. These Council Members represented influential stakeholders who championed performance management in the Organization. In particular, two Council Members were considered to have championed performance management and helped bring attention to and raise awareness on the importance of improving performance management at ICAO. They have supported the evaluation and its results. In particular, they have advocated that ICAO establishes a performance management framework, which was the key recommendation of the evaluation, and was subsequently accepted by the ICAO Secretariat.

The timing of this evaluation at ICAO was also appropriate for several reasons. With the arrival of an additional Evaluation Officer, expectations for evaluation output by the Evaluation and Audit Advisory Committee and the Council were heightened. Also, considering the zero-nominal growth of the Organization's budget and a mindset of "doing more with less", this topic related to performance management was of particular interest to the ICAO Council.



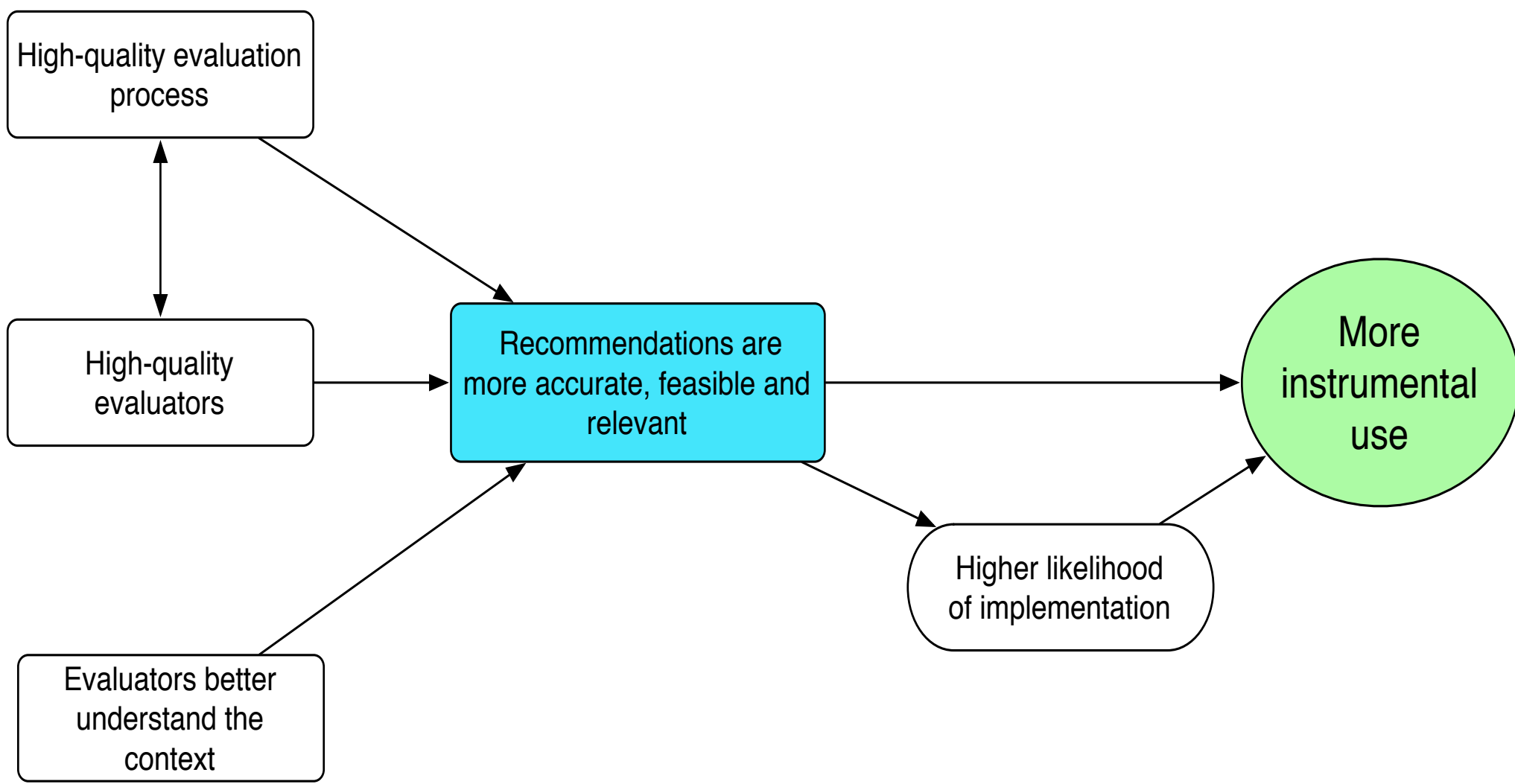
# Evaluation Use – Key Message 3

Evaluators need to ensure recommendations are feasible and relevant.

## Key Mechanisms

Leaving aside process use, if evaluation is ever going to be useful, it needs to generate relevant and feasible recommendations. In other words, high quality recommendations are a prerequisite for most types of use. Indeed, higher-quality recommendations increase the likelihood that they will be accepted and implemented, and thereby increase the potential use of an evaluation.

However, proposing high-quality recommendations is not easy and depends on several other factors. Most importantly, it depends on (1) user/stakeholder involvement; (2) the presence of a high-quality evaluation methodology and (3) the presence of high-quality evaluators.

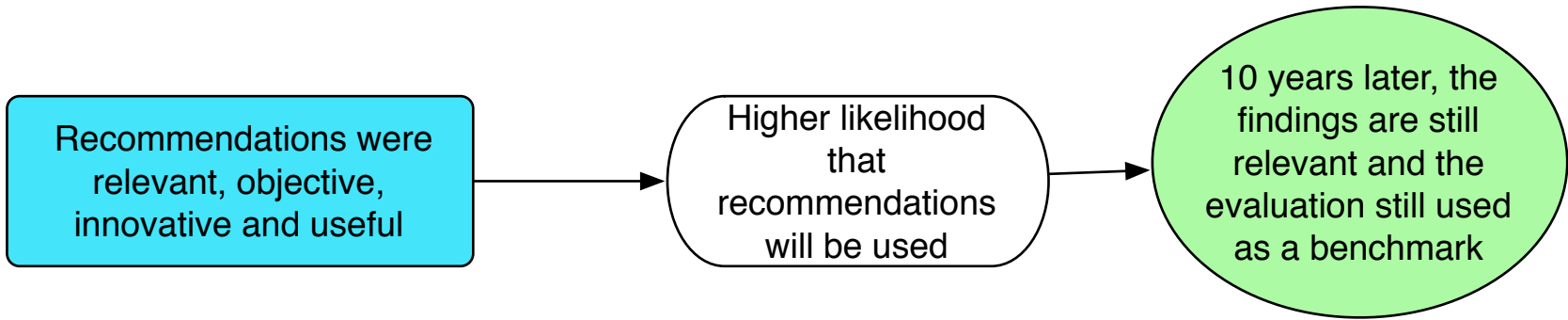


## Related Case Studies

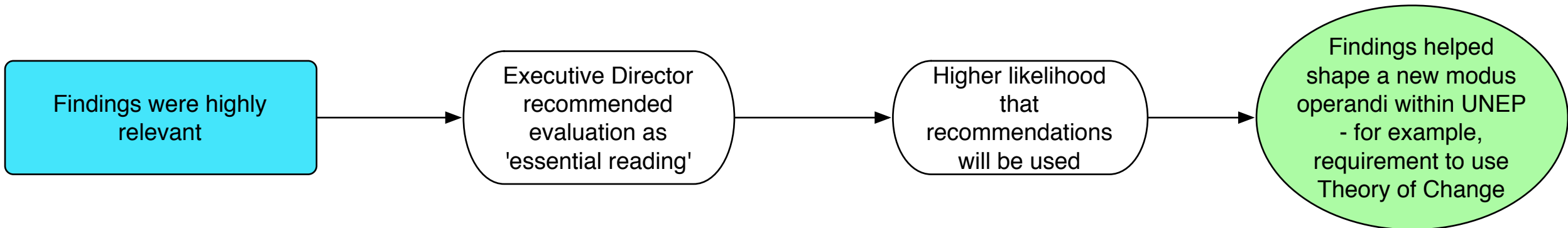
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25	UNRWA	Background Paper
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## A Few Examples

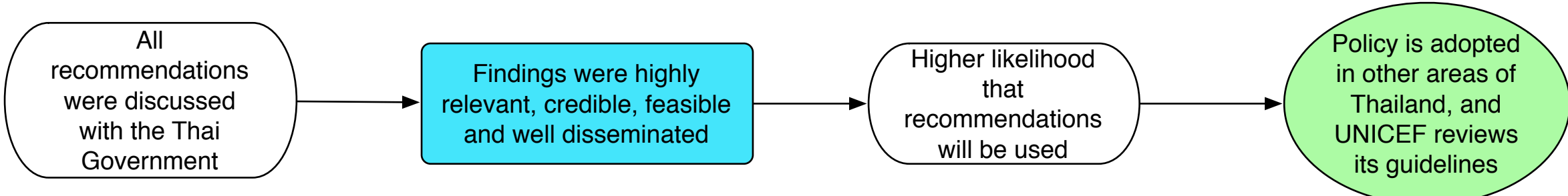
### #8 IOM: Evaluation of Gender Mainstreaming



### #12 UNEP: Formative Evaluation of UNEP’s Program of Work



### #17 - UNICEF: National Child Protection Agenda in Thailand



## Case Study: ESCAP Trust Fund for Tsunami, Disaster and Climate Preparedness

### Objectives of the Evaluation

The evaluation assessed the ESCAP-established Multi-donor Voluntary Trust Fund on Tsunami Early Warning Arrangements in the Indian Ocean and Southeast Asia. This fund had been established in late 2005 when the lack of a tsunami early warning system for the Indian Ocean was made evident through the Indian Ocean tsunami of December 2004. An Advisory Council makes policy and funding decisions for the Fund.

The intended primary users of the evaluation were, firstly, the donors, comprising the Government of Thailand, as foundation donor, and the Governments of Sweden, Turkey, Bangladesh, and Nepal, and secondly, ESCAP.

The purpose of the evaluation was threefold: to account for results to stakeholders of the Fund; to assess future scenarios for the Fund in terms of focus, role, funding and governance; and to generate useful recommendations related to policy issues and management of the Fund, including scenarios for possible future donations and governance.

### How was the evaluation used?

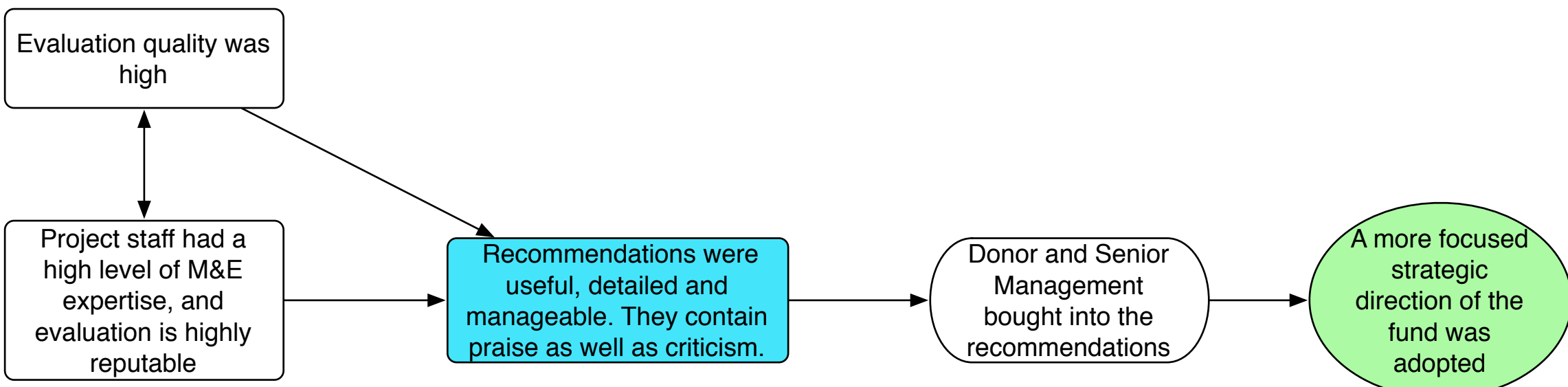
Following the evaluation, the advisory council of the fund was briefed on the recommendations. ESCAP formulated a management response with follow-up actions, which was endorsed by ESCAP’s Executive Secretary.

In response to the evaluation recommendations, ESCAP took several actions to establish a more focused strategic direction for the fund, and to increase cohesiveness and coherence across the various projects, donors, program managers, and implementers. Among the actions taken are:

- meetings between selected key stakeholders are now convened to build trust and explore synergies
- a joint calendar is now compiled each quarter for all projects to support joint collaboration where possible;
- a strategy summary was prepared by ESCAP and agreed to by the Advisory Council;
- a concrete resource mobilization and communication plan is implemented.

On the whole, the evaluation showed positive performance of the trust fund and was therefore used for advocacy purposes.

### Why was the evaluation used?



Several factors came together to contribute to a successful outcome. First, the quality of the evaluation was high. It thoroughly consulted the relevant stakeholders, which established the necessary trust and ownership. The recommendations were useful, and while detailed enough, manageable, lending themselves to implementation. The quality of the evaluation was due to the high level of M&E expertise of the project staff involved in managing the evaluation, the fact that the project staff prioritized the evaluation process among competing management tasks, and the profile and skills of the evaluator, who was a recognized authority in disaster risk reduction with significant evaluation as well as senior management experience.

Second, the evaluation was demand-driven and welcomed. Stakeholders shared the assumption that the trust fund would need to change and evolve over time, and it had therefore been a management decision to regularly conduct evaluation of the trust fund. The evaluation was a welcome tool to manage the direction and process of the change. Through its strong summative focus, the evaluation succeeded in quantifying some of the benefit of the Indian Ocean Tsunami Early Warning system, and could point to concrete results for the Fund. This, along with the fact that the results not only pointed to areas for improvement, but also contained praise for the trust fund, was important in gaining enthusiasm, credibility and buy-in among donors and senior management. Acceptance of the evaluation was further facilitated by the evaluator’s overall profile, and her standing among disaster risk reduction experts.

Third, the conditions for implementing the changes were favorable, on the one hand because the group of staff working on the trust fund is small and could therefore flexibly adjust, and on the other hand because ESCAP’s top management backed the process and helped ESCAP implement the changes.



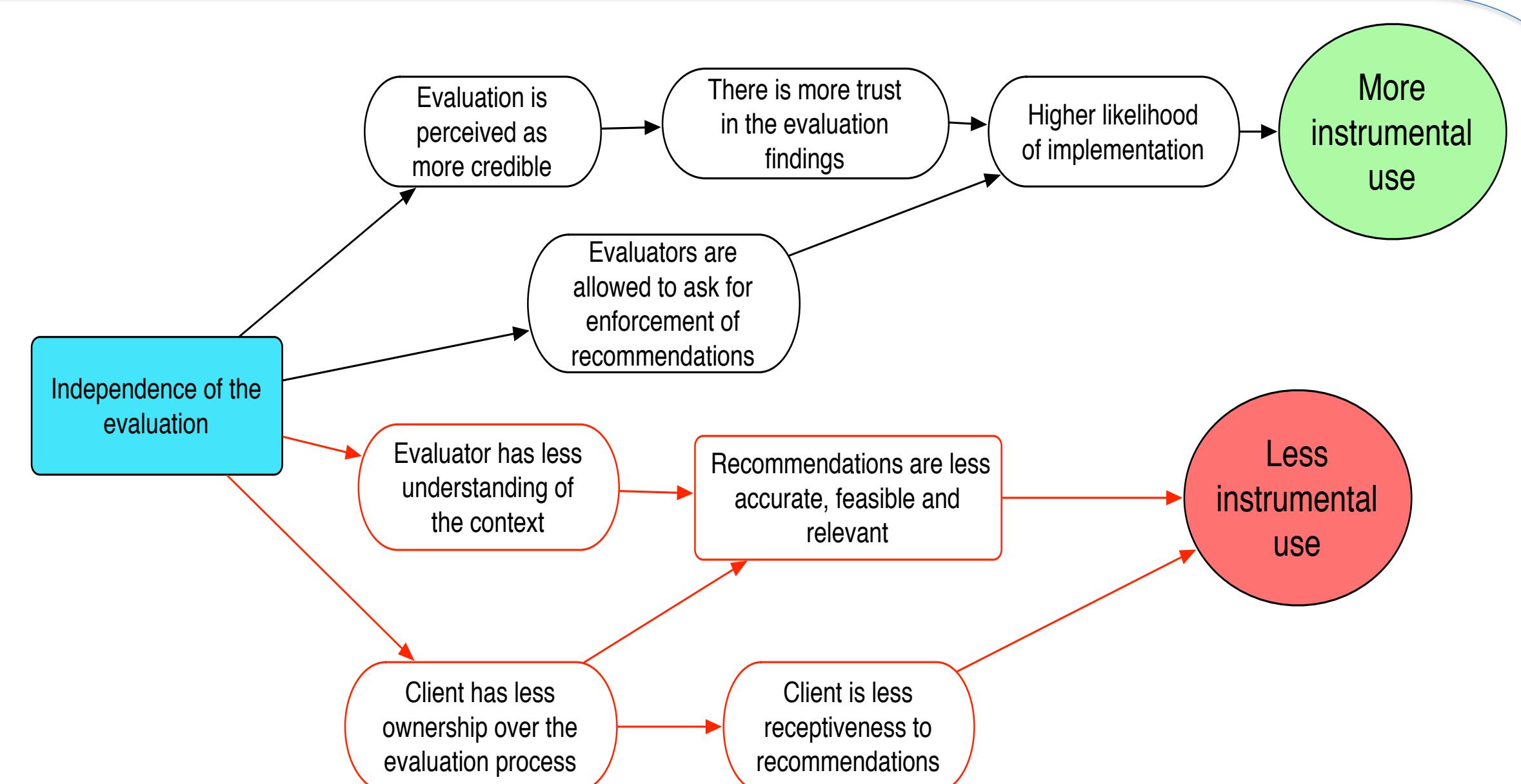
# Evaluation Use – Key Message 4

Maintaining independence while remaining close to the realities of the agency can be challenging.

## Key Mechanisms

Most professional evaluators agree that evaluation independence is a useful and fundamental principle of evaluation. All over the world, independence as a key criterion for evaluation quality appears to be gaining momentum. Independence is core principle of the OECD DAC Quality Standards for Development Evaluation, and international organizations – UN and others – are increasingly setting up Independent Evaluation Offices.

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25	UNRWA	Background Paper

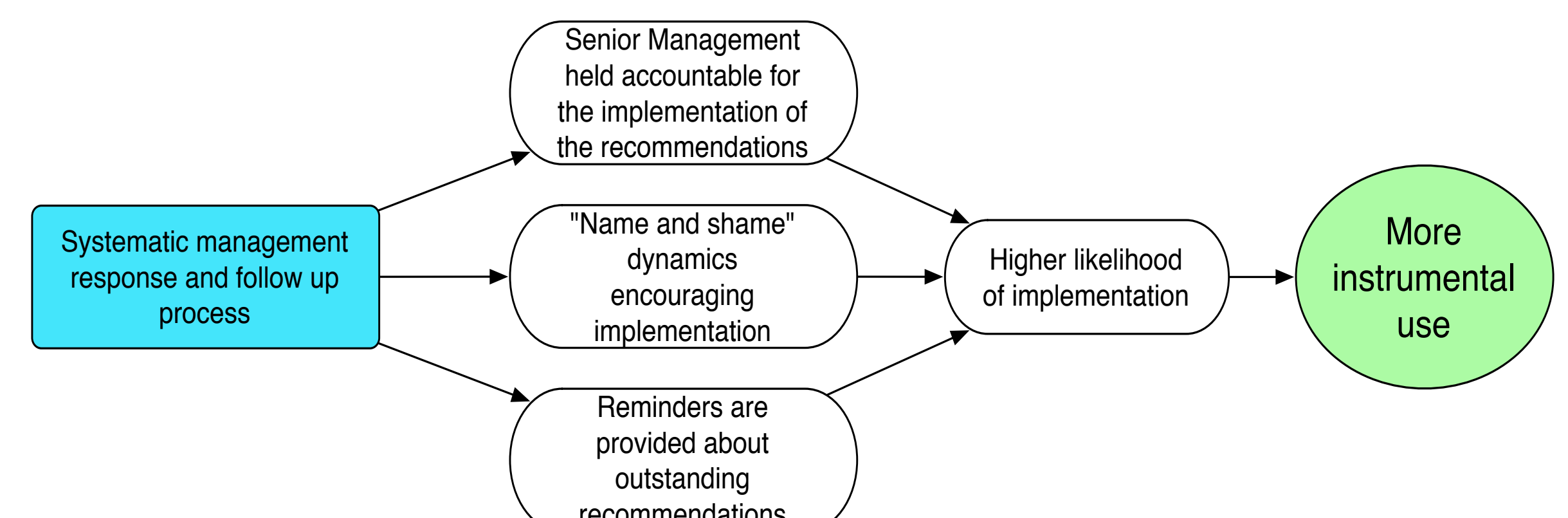
# Evaluation Use – Key Message 5

Management responses and follow-up processes must take place and be adequately supported.

## Key Mechanisms

In the United Nations system, the most important mechanism for the implementation of evaluation recommendations is the Management Response, as well as its associated follow-up process. Many UN organizations appear to have standardized, systematic ways to produce management responses. However, this does not yet seem to be universal.

Systematic management responses and follow up processes increase the likelihood of implementation. Processes for management responses and follow up ensure there is a systematic way to nudge the organization into implementing the changes proposed in evaluations, and prevents uncomfortable findings and recommendations to go unaddressed or swept under the carpet.



## Related Case Study

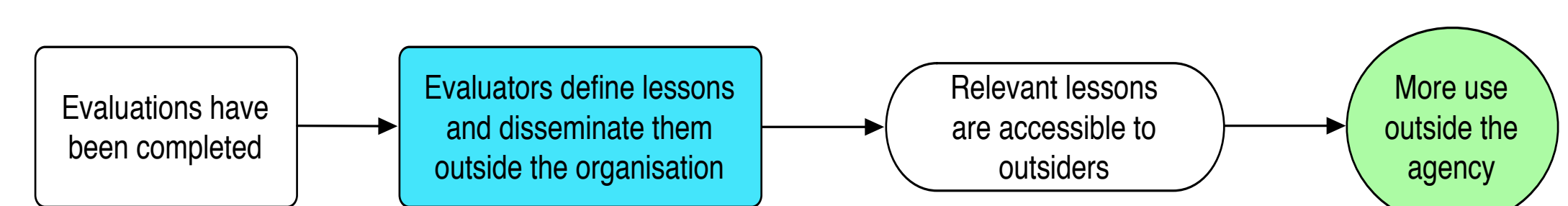
Case Study Number	Agency	Case Study
16	UNFPA	Joint Evaluation of the UNFPA-UNICEF Joint Program on Female Genital Mutilation
27	UNRWA	Interactive recommendation follow up

# Evaluation Use – Key Message 6

More needs to be done to share findings and enable cross-organizational learning.

## Key Mechanisms

Generally, lessons learnt as part of evaluation activities tend to stay locked within an organization, either as part of their knowledge management systems or as part of their staff's institutional memory. In this context, freeing up lessons and findings from the confines of the individual organization would create the possibility of evaluations being used outside the agency in which they took place.



## Related Case Study

Case Study Number	Agency	Case Study
8	IOM	Evaluation of Gender Mainstreaming