

OIOS-IED Manual

United Nations Office of Internal Oversight Services
Inspection and Evaluation Division

March 2023

OIOS-IED Manual

Inspection and Evaluation Division

The Inspection and Evaluation Division (IED) aims to help the Organization be more relevant, efficient and effective in accordance with its mandate (A/RES/48/218 B). IED strives to be the best source of information for helping the United Nations work better.



United Nations
Office of Internal
Oversight Services

Acronyms

AFP	Agencies, funds and programmes	OIOS	Office of Internal Oversight Services
AI	Artificial Intelligence	OUSG	Office of the Under-Secretary-General
AP	Administrative Professional	PES	Post-Evaluation Survey
BOA	United Nations Board of Auditors	PKO	Peacekeeping Operation
BTAD	Business Transformation and Accountability Division	PPBME	Regulations and Rules Governing Programme Planning the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation
CPC	Committee for Programme and Coordination	QAS	Quality Assurance System
DCO	Development Coordination Office	QCA	Qualitative Comparative Analysis
DGACM	Department for General Assembly and Conference Management	RBB	Results-Based Budget
DMSPC	Department of Management Strategy, Policy and Compliance	SDG	Sustainable Development Goal
DOS	Department of Operations Support	SG	Secretary-General
DSG	United Nations Deputy Secretary-General	SPM	Special Political Mission
FAO	Food and Agriculture Organization of the United Nations	ST/AI	Administrative Instruction
GA	United Nations General Assembly	TOC	Theory of Change
IAAC	Independent Audit Advisory Committee	UE2	Umoja Extension 2
IAD	Internal Audit Division	UN	United Nations
ID	Investigations Division	UNCT	United Nations Country Team
IED	Inspection and Evaluation Division	UNDP	United Nations Development Programme
IP	Inception Paper	UNEG	United Nations Evaluation Group
JIU	Joint Inspection Unit	UNHCR	United Nations High Commissioner for Refugees
NLP	Natural Language Processing	WHO	World Health Organization

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Foreword

It is my pleasure to share with you the updated and revised Inspection and Evaluation Manual of the Inspection and Evaluation Division of the United Nations Office of Internal Oversight Services (OIOS-IED). The Manual reflects the results of a collaborative process involving OIOS-IED colleagues, and benefits from their collective experience and wisdom undertaking diverse and complex inspections and evaluations across a range of contexts, within and outside the Organisation.

Several notable changes have occurred since the last OIOS-IED manual was published in 2014. For one, with the management reforms of the Secretary-General resulting in the delegation of authority initiative, the number of Secretariat entities included in the OIOS-IED oversight universe has expanded significantly. Instead of an evaluation universe of 32 entities, OIOS-IED is responsible for evaluating 76 Secretariat entities. Secondly, the vision of the Under-Secretary General of OIOS, Ms. Fatoumata Ndiaye, has steered the Division's evaluations toward an examination of subprogramme outcomes, framing evaluation questions around the extent to which the work of the Organisation is achieving its mandates. A third development has been the mainstreaming of disability inclusion and environmental considerations, along with the mainstreaming of gender and human rights considerations, to its assessment criteria.

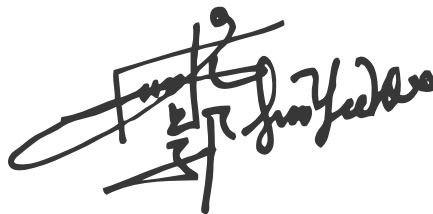
With the advent of the COVID-19 pandemic, digitization has accelerated and digital access across many of the countries where the Organisation works has increased significantly. Along with the rest of the world, we have come to first rely on, and later harness, digital technology and tools to expand our outreach, to collect better data, and to do so more efficiently.

Within the Organisation, while Secretariat entities have been subject to the requirements to conduct internal evaluation since 2000, the

Secretary-General's reform has placed renewed emphasis on the importance of evaluation as an integral part of its work. OIOS-IED, together with DMSPC-BTAD, have been jointly tasked to work in partnership to help Secretariat entities as they endeavor to conduct and use evaluation in support of programme design, decision-making, accountability and lesson learning. OIOS-IED has enhanced its central role in supporting and ensuring that all entities – including substantive programmes, normative offices, management and support departments, peacekeeping and special political missions – receive the advice and methodological guidance they need to effectively evaluate their work. The promulgation of the new Administrative Instructions on Evaluation (ST/AI/2021/3) in 2021 was a watershed event towards the establishment of evaluation culture and practice in the United Nations Secretariat.

This Manual further helps explain and guide United Nations Evaluators and Secretariat staff in understanding how OIOS-IED conducts its evaluation work, and it is hoped to help point the way toward a stronger UN built on the foundations of evaluative evidence in the years to come.

(Eddie) Yee Woo Guo



Director Inspection and Evaluation Division
UN Office of Internal Oversight Services

New York, March 2023

1. Introduction

1.1 OIOS-IED Mandates

The Office of Internal Oversight Services (OIOS) was established in 1994, under General Assembly (GA) resolution 48/218 B, to enhance internal oversight in respect of the resources and staff of the United Nations (UN). Its internal oversight mandate includes the departments, offices, funds, and programmes of the UN Secretariat.¹ The mandate does not include non-Secretariat UN System entities and the primarily voluntarily funded agencies, funds and programmes (AFPs), such as the United Nations High Commissioner for Refugees (UNHCR) and the United Nations Development Programme (UNDP), and specialized agencies, e.g., World Health Organization (WHO) and the Food and Agriculture Organization of the United Nations (FAO).

The GA has mandated OIOS to conduct internal audits, inspections and evaluations, as well as investigations into reports of violations of UN rules and regulations. To carry out its oversight mandate, OIOS is organised into three divisions: the Internal Audit Division (IAD), the Investigations Division (ID) and the Inspection and Evaluation Division (IED).² OIOS-IED is headquartered in New York with a satellite office in Entebbe, Uganda. OIOS-IED conducts independent inspections and evaluations on behalf of the Secretary-General (SG) and Member States on Secretariat entities as well as on thematic topics relevant to multiple departments or programmes. Evaluation is defined in the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation (PPBME) [ST/SGB/2018/3](#) as follows:

- To determine as systematically and objectively as possible the relevance, efficiency, effectiveness and impact of the Organization's activities in relation to their objectives.
- To enable the Secretariat and Member States to engage in systematic reflection, with a view to increasing the effectiveness of the main programmes of the Organization by altering their content and, if necessary, reviewing their objectives.

According to the PPBME (2018) all programmed activities of the Secretariat are to be evaluated over a fixed time period and evaluation findings shall be communicated to Member States through intergovernmental bodies and to heads of departments and offices in order to facilitate the reconsideration of existing mandates, policies, strategies and objectives, the substantive content of programmes and its utility to the users. The GA has subsequently endorsed OIOS proposal that Secretariat programmes and subprogrammes are to be evaluated at least once every eight years by OIOS-IED.

Procedures for the implementation of evaluation section (Chapter VII) of the PPBME (2018) are provided in the Administrative Instruction on Evaluation in the United Nations Secretariat ([ST/AI/2021/3](#)). The list of entities comprising the oversight universe for OIOS-IED (as of 2022) is included in Annex C.

1.2 OIOS-IED products

The main products of IED are as follows:

- Programme or subprogramme evaluations
- Thematic evaluations
- Inspections

¹ [ST/SGB/2015/3](#) Organization of the Secretariat of the United Nations.

² An organizational structure is presented in Annex A while an Approval and Accountability Matrix is presented in Annex B.

- Ad hoc inspections and evaluations
- Biennial Reports on the state of evaluation in the Secretariat
- The Evaluation Dashboard
- Triennial Reviews
- Advisory Reports

Programme Evaluations

Programme evaluations, also referred to as *in-depth evaluations*, may be mandated by the UN [Committee for Programme and Coordination \(CPC\)](#) and/or the GA. They assess a single Secretariat programme, subprogramme, peace-keeping operation (PKO) or component, or special political mission (SPM) through established evaluation criteria, which most often include relevance, effectiveness, efficiency, coherence, sustainability and impact. Typically, programme evaluations focus on outcomes. However, in some cases, they may take a formative orientation focusing on process, e.g., to inform senior leadership on the implementation of reforms or changing organizational contexts.

Thematic Evaluations

Thematic evaluations typically assess a cross-cutting theme or activity (e.g., the implementation of a gender mainstreaming policy or knowledge management) across multiple Secretariat programmes, subprogrammes, PKOs or SPMs. They may also assess the cumulative effects of multiple programmes sharing common objectives and purposes (e.g., the Secretariat's contribution to the Sustainable Development Goals -SDGs).

Inspections

Inspections are shorter, more focused and more targeted assessments of an organisational unit, function or practice, in order to determine the extent to which it adheres to established norms or other pre-determined criteria and to identify corrective action as needed. In practice, IED inspections and evaluations are similar in

methodology, differing mainly in their scope and duration.

Ad Hoc Inspections and Evaluations

Ad hoc inspections or evaluations outside of the normal planning cycle may be requested by any of the Organisation's stakeholders, including Member States, the Secretary-General or Secretariat programme managers. They are undertaken subject to IED review of the proposed topic's strategic importance, urgency and potential risk to the organisation, and consideration of the resource implications of fulfilling the request.

Biennial Reports on the State of Evaluation in the Secretariat

In accordance with ST/SGB/2000/8, OIOS-IED is mandated to submit to the GA, through the CPC, Biennial Reports on "strengthening the role of evaluation and the application of evaluation findings on programme design, delivery and policy directives." They typically include the following sections:

- An assessment of the current capacity, quality and utility of the evaluation function within the Secretariat;
- A synthesis of key results, conclusions and recommendations from evaluation reports finalized in the biennium covered; and
- A presentation of the OIOS-IED work plan for the coming biennium.

Evaluation Dashboard

Evaluation Dashboards provide an entity-level assessment of Secretariat evaluation capacity and practices, based on indicators emanating from the UNEG norms and standards. The Biennial Report and the Evaluation Dashboard are key components of OIOS-IED work to strengthen evaluation capacity within the UN Secretariat.

Triennial Reviews

Triennial Reviews are follow-up exercises, undertaken three years after every GA-mandated inspection and/or evaluation, in accordance with a decision by the UN Committee for Programme and Coordination (CPC) at its 22nd session.³ The purpose of the review is to assess the implementation of the recommendations made in the reports. The reviews involve the collection of evidence to verify implementation of recommendations and to describe how recommendations were implemented. A Triennial Review usually starts in December and is completed in March of the following year to be presented to the CPC in June. Peacekeeping reports are not generally reviewed by the CPC and therefore not subject to Triennial Reviews.

Other Products

IED produces several other products intended to strengthen the timeliness, objectivity, credibility, relevance or utility of the division's main products. These include, for example, **Inception Papers** which define the scope, design, methods and dissemination strategies for inspections as well as programme and thematic evaluations. To contribute towards transparency, they also convey the rationale for the envisioned approach and design. Some inspections and evaluations may be preceded by a **'Terms of Reference'** which involves a shorter scoping and planning phase. Additionally, IED may undertake **internal advisory engagements** when a programme or initiative has just been introduced and there is a need and/or request for a formative analysis.

1.3 Secretariat Evaluation Support

As per the Administrative Instruction on Evaluation in the United Nations Secretariat (ST/AI/2021/3), Section 2.4, all Secretariat entities are required to conduct evaluations of their

programmes/subprogrammes, or equivalent components, within six years, and according to the following parameters: impartial management arrangements, development of Inception Paper or terms of reference, and reflection of results, lessons learned and recommendations in the planning and budget documents to inform strategic and transparent programme delivery. OIOS-IED, in conjunction with the Business Transformation and Accountability Division (BTAD) of the Department of Management Strategy, Policy and Compliance (DMSPC), has a mandate to provide evaluation support to Secretariat entities. The support provided includes maintaining a Secretariat Evaluation Knowledge Management Platform with tools, resources and a repository of Secretariat evaluation reports; providing individual consultations on building evaluation capacity; providing methodological and technical guidance and support; and assisting with quality assurance in conducting evaluations.

1.4 UNEG norms and standards

The UN Evaluation Group ([UNEG](#)) is a professional inter-agency network that brings together the evaluation units of the UN system, including specialized agencies, funds and programmes, and affiliated organisations. In 2022, UNEG had 50 members and observers. OIOS-IED has been a member of UNEG since its inception, with its management and staff serving as chairs, vice-chairs or members of UNEG working groups. In April 2005, the UN endorsed the UNEG norms and standards for evaluation in the United Nations system. These UNEG norms, most recently updated in 2016, help ensure that evaluation entities within the UN follow agreed-upon basic principles. They provide a reference for strengthening, professionalizing, and improving the quality of evaluation in all entities of the UN system (See Box 1). UNEG norms and

³ (A/37/38 (Supp), para. 362)

standards provide non-binding guidance on the establishment of the institutional framework, the management, conduct, quality, and ethics of evaluations.

UNEG norms

1. Principles, goals, and targets
2. Utility
3. Credibility
4. Independence
5. Impartiality
6. Ethics
7. Transparency
8. Human rights and gender equality
9. National evaluation capacities
10. Professionalism
11. Enabling environment
12. Evaluation policy
13. Responsibility for the evaluation function
14. Evaluation use and follow up

Box 1. UNEG norms (2016)

and human rights. Mainstreaming mandates include the following GA resolutions and SG priorities:

- [A/RES/53/120](#) (para 3), [A/RES/60/1](#) (paras 59 and 166), [A/RES/70/1](#) (para 20), [A/RES/71/243](#) (para 13) on gender equality;
- [A/RES/75/154](#) on disability inclusion;
- [ST/SGB/2019/7](#) on environmental issues;
- [A/51/950](#) and [A/RES/60/1](#) on human rights;
- All mainstreaming areas: [A/RES/70/1 - Transforming our world: the 2030 Agenda for Sustainable Development](#); [ST/AI/2021/3 on evaluation in the Secretariat](#); and [A/76/6\(Sect.30\)](#).

IED guidelines to ensure the standardization of these considerations across evaluations is presented in Annex D.

1.5 The Secretary General priority areas

OIOS-IED evaluations consider cross-cutting issues pertaining to gender equality, disability inclusion, the environment and human rights at key stages of the evaluation cycle. This requirement stems from GA resolutions, Secretary General bulletins, and related guidance such as the Administrative Instruction on Evaluation in the United Nations Secretariat (ST/AI/2021/3). OIOS has committed in its programme plan to considering the extent of UN Secretariat entities' mainstreaming of gender equality considerations, disability inclusion, environmental issues

2. Work planning

In carrying out its oversight evaluation mandate, the OIOS-IED work plan is divided along its two funding lines – the Regular Budget funded work plan and the Peacekeeping Support Account funded work plan. OIOS-IED develops its work plans using a risk-based approach. Risk-based work planning ensures the identification of priority evaluation assignments for regular budget and peacekeeping activities. OIOS-IED work plans are developed on a rolling basis with the proposed work plan for the immediate year and indicative topics for the following two years. These indicative topics are further confirmed through updates of the risk assessment in subsequent years. While the regular budget and the peacekeeping risk assessment processes are conducted separately due to their different budgetary timeframes and requirements, the OIOS-IED risk-based work planning approach ensures coherence of the two sets of plans.

2.1 Regular Budget Risk Assessment

The regular budget risk assessment exercise commences with the identification of the evaluation universe. OIOS-IED prioritizes the evaluation of the substantive subprogrammes of the Secretariat, which covers roughly half the subprogrammes of Secretariat entities.⁴

The substantive subprogrammes are assessed using a two-tier risk assessment model. The first tier focuses on three key quantitative criteria:

- 1 Entity budget,
- 2 Evaluation coverage including the entities self-evaluation capacity, and

- 3 Other oversight coverage including exercises conducted by OIOS, the Joint Inspection Unit (JIU) or the Board of Auditors (BOA).

Subprogrammes are ranked on a three-point scale for each criterion (i.e., scores of 1 for low risk, 2 for medium risk and 3 for high risk). Subprogrammes identified as high-risk in the first-tier assessment are then further assessed using four qualitative criteria. This second-tier assessment focuses on strategic considerations such as:

- Relevance to UN reforms,
- Relevance to SDGs,
- Subprogramme design and outcome orientation,
- Other strategic considerations (e.g., GA or SG request, or other OIOS priorities).

Based on this second-tier assessment, subprogrammes identified as high-risk, are reviewed for opportunities to cluster related subprogrammes for thematic evaluations and are included in the Division's three-year rolling work plan. Results are validated by the OIOS-IED management team, who further assess for opportunities for complementarity across subprogrammes, and for harmonization with the peacekeeping work planning exercise.

IED undertakes a separate work planning process consisting mainly of a scoping process for its evaluations of the Development Coordination Office (DCO), which includes the global Resident Coordinator System. The DCO provides IED with two posts every year (one P4 and one P3) to undertake an annual evaluation from January to December of each year.

⁴ The overall number of subprogrammes in the Secretariat entities changes often. In 2020, there were 334 subprogrammes across 75 entities.

2.2 Peacekeeping Risk Assessment

A two-phased approach is used to select the peacekeeping work assignments. In the first phase, a peacekeeping mission as an organizational unit is selected based on three proxy risk criteria:

- Annual budget,
- Nature of the operation (multi-dimensional or traditional, civilian-headed or military-headed), and
- Total personnel size (civilian and uniformed).

A rotational approach is taken to ensure all components of peacekeeping missions are subject to outcome evaluations in an eight-year cycle without prejudice to smaller missions and to avoid oversight fatigue for larger, multidimensional missions.

The second phase involves two tracks. Track A identifies the Results-Based Budget (RBB) components for outcome evaluation⁵ and track B identifies topics for thematic evaluations.⁶

Assessment criteria used under Track A for identifying the RBB components are:

- Strategic relevance,
- Implementation maturity,
- Risk profile, and
- Evaluability (timing, programme logic, data availability, influence/utility, ethical issues).

Track B uses two of the above criteria - strategic reliance and evaluability - for identifying themes. Rubrics defining performance levels for each criterion at *high*, *medium* and *low*, are used to assign a single score across each criterion. To be considered a high-risk area, an RBB component should have at least two *high* ratings and no

low rating across the applicable criteria. In case more than one RBB component or theme scores the same, options are provided to OIOS senior management for a final decision.

2.3 Ensuring coordination

Draft work plans based on the risk assessments are shared with the Office of the Under-Secretary General (OUSG) and OIOS-IAD for strategic coordination and complementarity across OIOS Divisions. The plans are subsequently submitted to the Independent Audit Advisory Committee (IAAC) and shared with the respective heads of entities through annual work plan memos. They are also discussed in annual tripartite meetings with the JIU and BOA for Secretariat wide coordination, complementarity, and avoidance of duplication in oversight work.

5 An RBB component is defined as unique groupings within each peacekeeping operation of its substantive mandate and organization units (i.e., divisions, units, sections etc.) working towards common expected accomplishments. In line with the IED focus on outcome evaluation, IED peacekeeping evaluation will focus on RBB components as identified and defined by the missions in their strategic frameworks and budget documents. In 2020, the aggregate number of RBB components across all 12 peace operations was 38. Of these, 26 substantive RBB components represent the IED peacekeeping evaluation universe under Track A.

6 The most current review of official documents indicates that the universe of IED peacekeeping evaluation themes stand at 20.

3. Quality Assurance

The OIOS-IED Quality Assurance System (QAS) ensures consistent high quality across all OIOS-IED evaluations. The QAS includes ten elements:

- 1 Quality Checklists identify minimum quality standards for each step of the inspection and evaluation process. Checklists are filled out by the Team Leader and certified by the Section Chief and reviewed by the Director. All the QAS Checklists can be found in Annex E.
- 2 Brainstorming sessions ensure that Evaluation Teams benefit from the insights and experience of all OIOS-IED staff and are undertaken during the scoping phase and then again toward the end of the analysis phase, to discuss preliminary evaluation results. Teams may also convene brainstorming or consultation sessions at other points during the evaluation process.
- 3 Tours de table - brief updates from Evaluation Teams, are scheduled at the end of monthly division meetings, with the opportunity to raise project challenges, and discuss issues and good practices.
- 4 Mainstreaming team (composed of IED focal points for cross-cutting issues) reviews of inception reports to ensure the appropriate incorporation of cross-cutting issues.
- 5 Section Chief review and approval of project documents according to an agreed upon schedule. Documents for review include Inception Papers, data collection instruments, summaries of data analyses and draft reports.
- 6 Directorate review and approval of Inception Papers, draft and final evaluation reports.
- 7 Evaluation specific advisory panels or reference groups may be set-up by Evaluation Teams to provide their input at critical stages, such as during scoping, development of the Inception Paper, data collection and drafting of the evaluation report.
- 8 Independent expert advice is provided to the OIOS-IED Director by the Evaluation Advisory Committee on the planning, conduct and use of evaluations.
- 9 External review of all final OIOS-IED evaluation reports is undertaken at the end of each biennium as part of OIOS-IED programme performance reporting and includes a technical review of the quality of the reports.
- 10 Feedback from the evaluand and stakeholders on the team's engagement.

4. Evaluation work cycle

OIOS-IED work on every evaluation is split across four phases, and is tracked across twenty-seven numbered milestones, or steps, shown in box 2. Sections 5 through 8 of this Manual describe each of these phases of work in detail. The consistency of the work cycle is imperative, as it enables OIOS-IED teams to maintain the rigour of their evaluations, the usefulness of their outputs, and the efficiency of working together as a division. Teams have the independence to select research designs most appropriate to topic, scope and context, but must ensure the rigour, reliability, validity and timeliness of their findings, and usefulness of their work. Evaluation Teams should develop a Team Compact at the start of each evaluation assignment. The Team Compact serves to guide a discussion among team members about their contributions and expectations of the evaluation assignment.

OIOS-IED teams are typically small, comprising a Team Leader, one or two Team Members, and one or more consultants with specific skills and expertise. Two or more teams comprise a Section, and report to a Section Chief. There are four Section Chiefs who report to the Director of

OIOS-IED. Since 2023 there is a Deputy Director position. Annex F describes the roles and responsibilities of each staff member. SOPs for OUSG clearance at various stages of the evaluation are presented in Annex G.

Phase 1 of the work cycle starts with a preliminary desk review and ends with the issuance of the Inception Paper (IP). Including the scoping and inception work that precedes data collection, this phase lasts around three months. Section 5 presents further details.

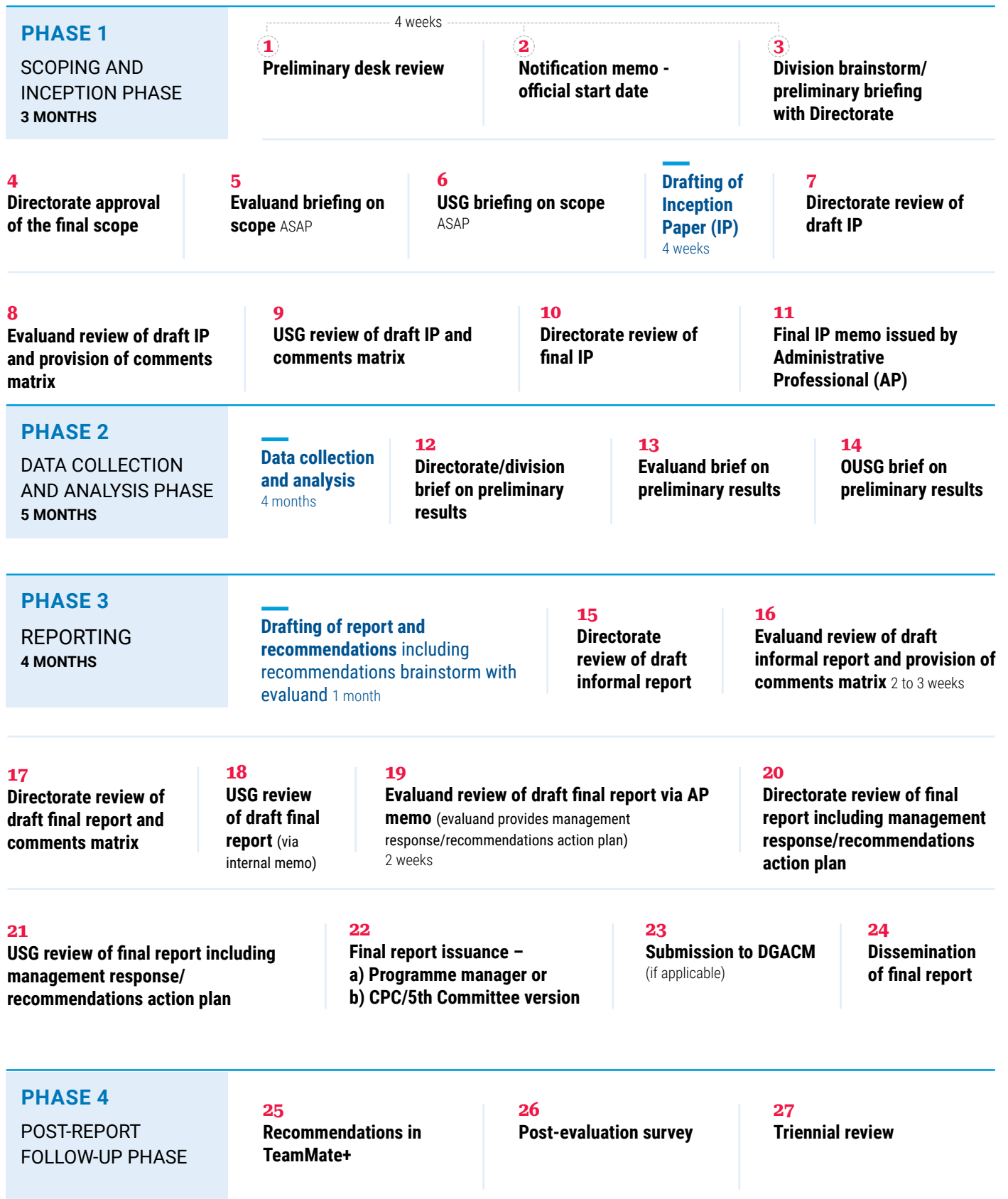
As elaborated in section 6, Phase 2 – data collection and analysis – continues for around five months. The OUSG briefing on preliminary results marks the end of this phase of work.

Section 7 presents details and best practice undertaken during, phase 3, the reporting phase. This lasts around four months and ends with the dissemination of the final report. As detailed in section 8, phase 4 – ‘Post Report Follow-Up’ – will last until the triennial review of the evaluation is completed.

PHASE	PRODUCT	DIRECTORATE	EVALUAND	OUSG	ISSUANCE
1	Scoping	✓	✓	✓	
1	Inception Paper	✓	✓	✓	By AP*
2	Preliminary results	✓	✓	✓	
3	Draft informal report	✓	✓		
3	Draft final report	✓		✓	By AP
3	Final report			✓	By AP

Table 1: Review Process.
*AP: Administrative Professional

Box 2: IED evaluation work cycle



5. Scoping and inception

(3 months)

5.1 Scoping

Preliminary Desk Review and Informal Engagement with Evaluand

Subsequent to the finalization of the Division work plan, the concerned Section Chief and the designated Team Leader informally contact the head of the evaluation unit of the slated entity (or the evaluation focal point, if no unit exists) to discuss preliminary issues of a technical and strategic nature.⁷ This provides an opportunity for the evaluand to inform OIOS-IED of factors affecting the evaluation (e.g., evaluations currently underway, recent change of leadership), and for OIOS-IED to request materials for due diligence that are not publicly available.

Formal Notification Memo

Following the preliminary desk review and informal consultations with the evaluand, the Team Leader drafts the formal notification memo which the Director sends to the USG or Head of Department of the entity being evaluated. The Director copies the OIOS USG, the Director of IAD, the BOA and JIU, as well as the heads of DMSPC, the Department of Operational Support (DOS), IAAC, and the respective evaluation focal points. The notification memo includes a brief description of the evaluation, the Evaluation Team and how OIOS-IED conducts its work. It also requests the

head of the entity to nominate a focal point for the entire duration of the evaluation.

An aide memoire or brochure that underscores OIOS-IED mandate and other pertinent

background information, may be attached to the Notification memo. This may contain: OIOS and OIOS-IED background and mandate, indicative evaluation questions, indicative scope and methodology, expected timeline, type of report to be issued and the names and brief background of Evaluation Team members.

The official start date for the evaluation is the date of issuance of the notification memo.

Conducting the Scoping Process

The overarching goal of the scoping process is to delimit the boundaries of the evaluation - what it will and will not focus on - considering key practical, methodological and strategic considerations. The process of scoping identifies evaluation criteria and questions, design and methodology, and dissemination strategy, including but not limited to the mandated evaluation report. The Scoping and Inception QAS Checklists in Annex E, present the elements to be considered during scoping and inception. Consideration of these elements should be ensured by the relevant Section Chief and shared with the Director upon submission of the Draft IP.

In addition to the preparation of the IP, the goals of the scoping process include the following:

- Cultivation of rapport, positive engagement and credibility with the evaluand,
- Identification of potential strategies and opportunities for ensuring high utilization of the evaluation,
- Mapping key stakeholders, including rights holders, partners and evaluation users,
- Identification of high priority evaluation topics that should be addressed through

⁷ Information on designated evaluation focal points in entities is updated every two years as part of the Biennial Study.

internal evaluation or other external evaluation actors,

- Developing a theory of change in conjunction with the evaluand (if none exists),
- Duly vetted sources of relevant primary data, including United Nations Country Team (UNCT), academia, NGOs, and others
- Reviewing findings, recommendations and their implementation from previous evaluations by OIOS-IED,
- Articulation of a risk management strategy for addressing any factors that may hinder the timely completion of the evaluation,
- Other aspects that the Team Leader, in consultation with the Section Chief and team members, deems relevant.

The scoping process typically includes a detailed desk review, consultations with the evaluand, and possibly, one or more scoping missions. Typical sources of information for the detailed desk review may include the following:

- SG reports to GA and/or UN Security Council
- GA and UN Security Council resolutions
- Relevant SG bulletins
- Strategic Frameworks and Reviews
- Budget proposals, fascicles and work plans
- Programme performance reports
- Corporate policies and strategies
- The Umoja Extension 2 (UE2) strategic planning, budgeting and performance management
- Recent OIOS-IAD reports on the programme/topic
- Relevant JIU and BOA reports
- Entity's self-evaluation reports
- Reliable external evaluations, reviews, and studies published by experts in the field

Informal and formal consultations with the evaluand are a critical mechanism of the scoping phase. These consultations help develop rapport with the evaluand and determine how the evaluation can offer them the greatest opportunity for introspection and learning. Co-creating the

theory of change or stakeholder mapping may be a useful way for the team and the evaluand to identify the most important evaluation topics. At a minimum, evaluand feedback should be sought on drafts of each of these elements. Early collaboration sets the stage for the mutual trust and rapport that underlie strong evaluations.

Division Brainstorm and Other Consultations

The Evaluation Team may begin formal and informal consultations with subject matter experts. It may also convene an advisory or reference panel, if one is engaged, to help inform its scope. The team will reach out to OIOS colleagues in the IAD to share scoping options to avoid undue overlap. Other OIOS-IED colleagues will be consulted through one or more internal division-wide brainstorming sessions. These brainstorming sessions help ensure that the team, in identifying its scope and overall approach, takes advantage of the available knowledge that OIOS-IED staff may possess regarding the evaluand, potential topics, subject experts and reliable sources of primary and secondary data. Division-wide brainstorming also serves as a Preliminary Briefing to the OIOS-IED Director on initial proposals from the scoping phase and selection of evaluation topic.

Scoping Missions

Evaluation Teams may undertake short and targeted virtual or field-based scoping missions to achieve the objectives of the scoping process. Unlike a data collection mission, the purpose of a scoping mission is to better understand the work of the evaluand to shape the contours of the evaluation, and not to collect data to address the evaluation criteria or questions. This difference must be clearly communicated to the evaluand prior to the mission itself, possibly through the aide memoire that accompanies the notification memo.

Nailing the balance: independence and consultation during scoping

Balancing OIOS-IED mandated operational independence with its commitment to a consultative approach may present a challenge. As an independent oversight body, OIOS-IED must scope the evaluation according to what presents the greatest risk. However, the utility of the evaluation for the evaluand is an important consideration in making this determination. OIOS-IED independently identifies high risk and high priority topics from an accountability perspective through systematic analysis of relevant documents, published literature and other data collected during preliminary research. It then engages with the evaluand and other stakeholders, during the scoping process, discussing these, and other potential topics. These consultations present an opportunity to engage with the evaluand in a conversation about what would be most useful from a learning perspective. Whatever the chosen topic, OIOS-IED takes a transparent approach, detailing the rationale for alternative topics that were considered, but not selected for evaluation in the Inception Paper.

Box 3. Balancing independence and consultation

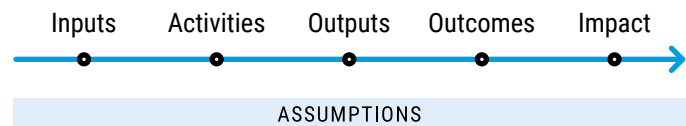
5.2 Inception

Theory of Change and Stakeholder Mapping

A Theory of Change (TOC) helps to explain how a given intervention, or set of interventions, is expected to lead to a specific change, or impact. It draws on available evidence and uses causal analysis to infer expected pathways of change

and includes a consideration of the assumptions for this expectation to remain credible. A good theory of change explains how an intervention is understood to work and may be represented in several ways. Figure 1 depicts a linear theory of change, where often multiple boxes are used to further explain and clarify different levels of inputs, activities and outputs that influence outcomes and impact.

Figure 1: Theory of change



A theory of change model is useful for evaluation in its representation of theorised causal relationships, but also because the process of developing the TOC, undertaken together with stakeholders, including programme managers, is an important means of identifying testable hypotheses and defining useful and important evaluation questions. Thus, the process of developing the theory of change is as important as the model itself. If the evaluand is already using a TOC, the Evaluation Team may consider using it as a basis for discussion and consultation to understand more about the theorised approach to meeting objectives.

An in-depth stakeholder mapping exercise usually accompanies the development of the TOC. There are several approaches that may be taken, ranging from a *basic analysis technique*, which identifies the interests of stakeholders in the intervention, to a more complex *purpose network technique*, which engages the evaluand in developing a hierarchy of interests and incentives of various stakeholders.

UNEG principles highlight the importance of consultation and collaboration, requiring TOC and stakeholder mapping to be designed in consultation with stakeholders and the evaluand, grounded in and tested against robust evidence, and contributing to learning and improvement throughout the evaluation cycle. Further

information can be found in the following resource: [Theory of Change Companion](#).

Evaluation Criteria and Questions

Evaluation criteria and questions derive from the evaluation purpose and its core theme. UNEG mentions relevance, effectiveness, efficiency, impact and sustainability as commonly used criteria to help frame an evaluation.⁸ OIOS-IED evaluations typically address at least four criteria, including relevance, effectiveness, sustainability, and coherence. Developing and refining associated evaluation questions (and sub-questions) is central to OIOS-IED evaluations, and forms the prerequisite for developing the evaluation indicators and methodology. OIOS-IED Evaluation Teams should consider the following:

- Define effectiveness at the outcome or impact level, in relation to results achieved or not achieved;
- Include “why” questions to identify key internal and external contributing factors that influence the achievement of results of the theme or programme under evaluation;
- Include effectiveness questions related to unintended as well as intended consequences outcomes;
- Include questions that explicitly address SG priority areas;
- Include questions to ascertain outcomes from the implementation of recommendations from earlier OIOS-IED evaluations.

Selecting the Evaluation Design

An evaluation design is the architecture for the overall approach to an evaluation, and connects its evaluation purpose, audience, criteria, questions, with methodology, sampling, and analytical framework. Evaluation literature refers to three broad categories of evaluation designs to collect and analyse data - experimental,

quasi-experimental and non-experimental (descriptive or correlational) designs. The selected evaluation design must be that which is most appropriate to address the evaluation’s key questions.

Non-experimental studies, either descriptive or correlational, provide an in-depth description of a phenomenon or the relationships between two or more phenomena. They attempt to determine whether or not the programmes and policies are producing the desired outputs and outcomes and/or are operating as planned. Non-experimental designs rely on triangulation or corroboration of all available qualitative and quantitative sources of data, often scattered across time and format, into a coherent whole. Non-experimental evaluation designs are most often used in OIOS-IED.

Quasi-experimental designs can be used to obtain measurements before and after an intervention, such as the establishment of a peacekeeping mission, when it is not possible to randomly construct experimental and control groups. In quasi-experimental designs, individuals are assigned to ‘comparison groups’ based on a few essential characteristics, such as whether they lived near a peacekeeping mission base. This involves the identification of a group of individuals assessed as being similar (comparable) to beneficiaries of an intervention, but who have not been exposed to the intervention. Changes in particular variables (such as exposure to armed conflict) may then be measured and compared in both groups.

Experimental and quasi-experimental studies help provide evidence of a causal or correlational relationship between interventions and observed outcomes or impacts. They help the evaluator assess whether a desired result would have been achieved without a particular intervention. While experimental designs are considered the optimum approach for excluding the possibility that something other than a particular intervention led to an observed change, they

⁸ UNEG, [Norms and Standards for Evaluation](#), 2017, para 1. A new criterion, coherence, was later adopted in 2021.

are generally not feasible due to the nature of interventions evaluated by OIOS-IED and related data-access constraints.

Types of Data Sources

OIOS-IED Evaluation Teams typically use both primary and secondary data wherever it is available, and is sufficiently valid and reliable, to answer the evaluation questions. The types of data needed are ultimately determined by the indicators selected. OIOS-IED relies on several types of evidence which are detailed in the next section, including physical evidence collected through observations; documentary evidence, including data in the form of memos, reports, financial records, etc.; analytical evidence, including computations, comparisons and rational arguments; and testimonial evidence - obtained through interviews and surveys. Qualitative testimonial evidence is particularly useful in understanding and identifying causal relationships.

The scoping phase involves an exploration of partners – universities, think tanks, non-governmental organizations, other UN entities – who may possess relevant secondary data that can be used by the evaluation. Consultants with a specific geographic or subject-matter expertise may be contracted to establish partnerships for data collection. Triangulation during data analysis requires several sources of data to be used to address an evaluation question, to maximize the reliability of the evaluation findings.

Drafting the Inception Paper

Inception Papers are prepared by the Evaluation Teams under the guidance of the respective Section Chiefs, who provide their review and approval prior to submission to the Directorate. Inception Papers include the following sections:

- Background on the evaluand, including Theory of Change, a stakeholder analysis, and assessment of monitoring data and self-evaluation capacity;
- Methodology OIOS-IED adopted during the Inception phase;

- Objective of the evaluation and selected evaluation topic;
- Scope of the evaluation (what will and will not be covered);
- Review of previous evaluations, reviews or audits and other relevant literature;
- Selected evaluation criteria and questions;
- Selected evaluation design, and evaluation design matrix;
- Identification of primary and secondary data collection methods;
- Sampling design, if any, and rationale including case study criteria and selection strategy;
- Data analysis plan with the approaches that will be used to analyse the different data sources;
- Consideration of mainstreamed themes: gender equality, human rights, environment, and disability inclusion, along with other SG priority areas;
- Use of consultants, timeline, and allocation of available resources;
- Evaluation risk management strategy, including working arrangements with the evaluand;
- A use and dissemination strategy.

After final review by the Section Chief and the Mainstreaming Team (see below), Inception Papers are submitted to the OIOS-IED Directorate for review. They are subsequently shared with the evaluand for comments for final review and clearance by the OUSG. Evaluation Teams must give fair consideration to the comments received and incorporate them as appropriate, but are not obliged to incorporate all suggestions made. The Inception Paper is then submitted again to the OIOS-IED Directorate for final approval and issued via memo by the Director.

Review by the OIOS-IED Mainstreaming Team

A group of OIOS-IED staff members serve as focal points for mainstreaming issues with a view to systematically mainstream SG priority

areas. In conjunction with specialized working groups at UNEG, the Mainstreaming Team has developed specialized guidance to ensure that gender equality, human rights, environment and disability are addressed in the work of the Division, and highlighted for the evaluand, regardless of the topic of the evaluation or the evaluand's nature of work. This guidance is attached as Annex D. The Evaluation Team should ensure that the guidance has been considered and incorporated in the evaluation design. The Mainstreaming Team provides support by reviewing all Draft Inception Reports before they are submitted to the Directorate for review.

6. Data collection and analysis

(5 months)

6.1 Data collection

The Evaluation Team will have already considered data collection and analysis during the Scoping and Inception phase, and articulated its choices in the Inception Paper. Sampling choices depend on the data collection methodology selected. The QAS Checklists for the Data Collection and Data Analysis Phase are presented in Annex E.

Due to the rapidly evolving nature of methodologies available to evaluators, and the wide variety of programmes, topics and themes that the Division is responsible for evaluating, OIOS-IED Evaluation Teams use a wide variety of data collection and analysis techniques in their work. Some of these are discussed in this section. Both qualitative data and quantitative data are useful and have their pros and cons; one is not “better” than the other, and when combined, form a powerful source of evaluation evidence. Teams are encouraged to push the boundaries of their analytical approaches, striving to find more reliable and meaningful results. The selection of evaluation methods depends on several factors:

- Evaluation questions and their corresponding indicators;
- Resources allocated to the evaluation;
- Time available for data collection;
- Availability and quality of independent and reliable secondary data.

Interviews

Interviews can be structured and semi-structured conversations between the evaluator and stakeholder(s), involving an interviewer administering questions to one (or more) persons

resulting in qualitative information. There are several external resources that summarize good practice for interviews. The main advantages of interviews include:

- Gaining in-depth information and understanding of the evaluation subject and identifying key issues;
- Collecting different attitudes, opinions and perceptions from a wide range of stakeholders;
- Collecting data on stakeholder experiences;
- Ensuring that all voices are heard and no one is left behind;
- Comparing and contrasting stakeholder perspectives;
- Collecting data on perceptions and attitudes; and
- Identifying additional data sources.

Interviews can yield valuable data on perceptions, experiences, attitudes, and opinions. Interviewees may hold back in sharing their views candidly in a face-to-face, non-anonymous environment. There may also be a potential for bias and “contamination” in the selection of interviewees, and a risk of influencing responses through poor interviewing techniques. Every interview conducted should have a transcript or interview notes to capture the data collected.

Focus Group Discussions

Focus Group Discussions are used to gain a more nuanced understanding of the evaluation issues than individual interviews alone might provide. A focus group discussion is a facilitated discussion by a moderator, between focus group participants, framed around the evaluation questions, which aims to gain greater insight

into how people think about a specific issue or topic and why, and to understand behaviours and motivations. Its main objective is to arrive at a deeper understanding of the programme or theme at hand by encouraging participants to talk to each other rather than to the evaluator regulating the discussion. Every focus group conducted should have a transcript of focus group discussion notes to capture the data collected. In this sense, focus groups differ from group interviews.

The main strength of focus groups is that they:

- Give greater insight into how people think about a specific issue or topic and why, and assist in understanding behaviours and motivations;
- Understand how stakeholders interact;
- Solicit a range of opinions and perceptions (and not always consensus);
- Help separate fact from opinion (in that, through talking with each other, group participants often arrive at a consensus of what is the perceived truth and what is not, or at least what is a matter of subjective interpretation); and
- Initiate a creative process that can help generate ideas for recommendations.

Some limitations of focus group may be that certain members would dominate the discussion, while members who are more reluctant to express openly their opinion would go along the prevailing discourse. Therefore, the role of the moderator is critical to navigate the complexities of group dynamics.

Self-Administered Surveys

Self-administered surveys are deployed to collect information from a large number of respondents, typically using web-based software. Surveys are a potentially powerful tool for establishing the magnitude of a given phenomenon or sentiment from a sample that can be generalized to the larger population.

Surveys typically obtain data on various types of information, including background, descriptive data, behaviours, attitudes and beliefs, opinions, satisfaction and knowledge. Toward this end, surveys ask individuals both closed-ended and open-ended questions. Closed-ended questions offer a limited range of responses and produce information that can be quantitatively summarized - and, where necessary, disaggregated on key variables such as gender, geographical location or staff level. Open-ended questions produce qualitative data that, if and when aggregated through the process of data coding, they can also provide a valuable quantitative overview of the magnitude of respondents' views.

With self-administered surveys, control of the data collection instrument, or questionnaire, rests with the respondent. The opportunity for clarifying or explaining questions is no longer available. It is therefore extremely important that Evaluation Teams ensure that there is no ambiguity in the survey questionnaire - and that they pre-test questionnaires before deploying them more widely. Poorly designed questionnaires not only cost respondents' valuable time; they also limit the validity and reliability of the data they contain.

When executed properly, surveys provide an important source of statistically valid and reliable source of information on stakeholders' views and experience.

The main strengths of self-administered surveys include yielding systematic and comparable data; reaching a large population; providing useful summaries of qualitative data through open ended questions, and allowing for the anonymity of respondents. However, response rates can be low, rendering labour-intensive follow-up and making it difficult to generalize results for the survey population.

Some ways to enhance response rates include:

- Carefully selecting the timing of the survey,
- Limiting the length of the survey questionnaire and the number of open-ended questions;

- Pre-testing the questionnaire to make sure the questions are easy to understand relevant for the survey population;
- Targeting respondents' awareness of the survey and its closing date;
- Working out any technical issues such as connectivity and programming “bugs” (in web-based surveys);
- Convincing members of the survey population that their responses will be used and will add value to the evaluation;
- Building the trust of survey respondents with regard to the confidential handling of their responses;
- Designing the questionnaire in a way that it is easy to navigate and understand the questions.

When conducting any survey, it is important to consider the four types of possible survey error - i.e., factors that reduce the quality of survey data:

- Sampling error (also margin of error) - the result of the fact that the survey was conducted among one particular sample of the universe;
- Measurement error - the result of imperfect data collection such as poor question wording or flawed rating scales;
- Coverage error - the result of not all units of the population having an equal chance of being sampled for participation in the survey; and
- Non-response error - the result of people who respond to a survey being different from sampled individuals who did not respond, in a way relevant to the study.
- Data from surveys with low response rates should be used with caution. In these cases, it is not possible to draw valid inferences to the general population since the sampling error (margin of error) is too high. It is imperative that teams communicate survey response rates clearly in the evaluation report.

Field-Based Surveys

Field-based surveys (also called “population surveys”) are deployed to obtain information from programme beneficiaries. These surveys are useful in measuring the effects and/or impacts of a given programme on the population(s) whom the programme is intended to benefit.

There are several external resources that summarize good practice for field-based surveys. For field-surveys to succeed, it is important to pay close attention to sampling strategies and survey administration protocols.

The main strengths of field-based surveys are that they generate up-to-date primary data on the direct and indirect impacts of the programme and the extent to which the programme is making a difference in the lives of those whom it is targeting.

However, they may be time consuming and potentially costly, and cultural and logistic constraints may make it necessary to rely on local consultants, making it difficult to control quality and reliability of data.

Direct Observation

In this process, data are generated through the direct observation of a situation, group, or event.

Direct observation is often identified as a qualitative data collection method. However, when used with a structured observational guide, it can also produce quantitative data. Depending on the time and resource constraints of the evaluation, the use of direct observation can look at a few activities, events or phenomena that are central to answering the evaluation questions.

Some examples include observing inter-governmental processes, programme training and/or outreach programmes, and the delivery of operational activities in the field.

The major advantage of direct observation is that it relies less of the perceptions of respondents and more on the real situation being observed,

including the nature of discussion, behaviours and body language.

However, like surveys, observations can be labour-intensive and costly and unless sites are carefully sampled, there may be bias in site selection and it can be difficult to identify or exclude observer bias, which is why using a common observation guide is important.

Desk Review

Desk reviews of documents are an important source of data and very useful when analysed in conjunction with field-based sources. OIOS-IED evaluators collect a broad range of documentation on the evaluation topic from both primary and secondary document sources. These include legislative documents, policies, strategies, self-evaluations, UMOJA data, financial records, work plans, project documents and photographs, among others. The use of systematic desk review (also known as document review) will enable the extraction of rich qualitative and quantitative data on the programme from a variety of sources.

Systematic desk review entails the structured review of key documents - whether to look for specific data points or to identify a sample of documents from a much larger universe - using a data collection tool to answer specific evaluation questions across a series of documents of the same type.

Case Studies

Case studies attempt to learn about and understand a complex issue through an extensive description and analysis of that issue as represented by one or more particular “cases” or units, in their entirety. Case studies apply the data collection methods described above - interviews, surveys, direct observation, and desk review - in order to obtain in-depth and comprehensive information on the case(s) being examined.

The first step typically is to determine what the “case” is (for example, a country or an activity),

and to establish a set of sampling criteria according to which cases are selected. A particularly powerful method, increasingly used in country case study selection, is cluster analysis. Cluster analysis is an exploratory data analysis method that enables Evaluation Teams to sift through large numbers of variables on a large number of cases (such as countries) to detect patterns among these cases that are difficult for the naked eye to detect. Cluster analysis reveals underlying typologies of a programme’s work at country level, enabling a more nuanced comparison of its global operations.

Cases may be (i) illustrative, entailing descriptive, in-depth accounts of the programme; (ii) exploratory to generate hypotheses about the programme that can later be tested, using quantitative or qualitative methods; and/or (iii) critical, that focus on specific problems and strengths in each context. Cases may be analysed individually, or cumulatively, utilising evidence from several data sources to answer a full range of evaluation questions.

The main advantages of case studies are that they are a highly flexible approach that can be applied in many situations and often when other approaches are impractical. However, like with other methods, the approach may not be as useful if not sampled carefully and undertaken systematically with a clear plan for comparing, contrasting and aggregating disparate case studies chosen. Moreover, the specific and disparate contexts may make it difficult to generalize the results to the larger programme.

Field Missions

As a rule of thumb, the Evaluation team should try to collect as much data as possible through remote means, in light of its resource and time constraints and its desire to be as cost-effective, also considering having a low carbon footprint. This is becoming increasingly streamlined as online meeting platforms are becoming more widely used since the beginning of the COVID-19 pandemic. That said, field missions are often indispensable as they:

- Provide an opportunity to interview stakeholders who would otherwise be difficult or impossible to reach via remote data collection means - e.g., ministerial officials, beneficiaries, community-based organizations;
- Allow evaluators to undertake direct observation of programmes in their day-to-day work;
- Contribute to utilization of the evaluation by continuing to generate interest in and demand for the evaluation by key stakeholders; and
- Contribute to the credibility of the evaluation through in-person engagement with programme beneficiaries.

Field missions involve the use of interviews, focus groups, direct observation and/or document review. In planning for a field visit, the following steps are taken:

- Coordinate with evaluand focal point regarding the timing and logistics of the mission;
- Identify groups and individuals for interviews/focus group discussions during the mission;
- Sample sites and/or events for direct observation;
- Identify any documents to collect and/or review while on site;
- Work with the evaluand focal point to establish a meetings schedule, including an entry meeting with the mission focal point upon arrival to go over evaluation objective, mission programme and any logistical or security matters; and
- Prepare for interviews, focus group discussions and direct observation.

The planning of field missions is an area in which OIOS-IED, specifically the Evaluation Teams, must often be most vigilant in balancing its mandated independence with its commitment to evaluand consultation. The inputs and advice of the evaluand focal point and others are vital to a developing a feasible mission itinerary. However, the Evaluation Team must also independently identify (through an independently drawn sample, if necessary) those stakeholders it

considers a need to meet, as well as those direct observations it wishes to conduct. Given the large number of countries in which some programmes operate, it is often necessary to strategically select those that will be included for field missions and those that will be excluded.

Big Data Analytics and Social Media Listening

Big data analytics involves statistical algorithms and predictive models, while drawing on very large datasets, such as data from social media, digital data from cell phone towers, data on electricity usage etc. These sources often can be used to provide proxies for the kinds of variables that OIOS-IED evaluations typically use, such as attitudes and perceptions, digital connectivity, and population density. Social media listening for evaluation is a branch of big data which involves monitoring conversations on social media platforms to collect and analyze real-time data for insights into how to improve experiences. This is also used to help track the extent to which a topic has generated interest and engagement over time, and identify what is being discussed, nodes of information and dissipation of information through social networks.

Several tools are available with major social media platforms such as Google analytics, YouTube analytics, Facebook insights and Twitter analytics. However, there are several third-party applications that are available for either free or on subscription. These tools can be used for both qualitative and quantitative data collection and assist with analysis of outcomes from including normative interventions, capacity development and direct service delivery.

As with any data collection tool, in-depth social media listening will either require the purchase of a license of available tools or careful programming to allow advanced data compilation and analytics. Furthermore, OIOS-IED evaluators should be careful about inherent sample selection bias (such as language), and diligently weed out irrelevant information.

Social media listening has been used by OIOS-IED in various evaluation reports. It ranges from tabulation of basic statistics such as number of likes or retweets to deeper sentiment analysis. Information derived from social media listening works best as a complement to other sources of information or research and can be used to triangulate data.

Independent Expert Assessments

Independent expert assessments are used to obtain expert review of products and activities of the UN Secretariat programmes being evaluated. This includes the convening of an expert panel or a reference group to review flagship documents and the use of an individual expert to benchmark a key programme function against similar functions in national governments and the private sector. Owing to their expertise and their non-UN status, independent experts can carry considerable credibility as a source of external validation of (or counterpoint to) OIOS-IED analysis.

As with any other type of systematic desk-based analysis, independent expert assessments must be carefully managed to ensure the integrity of the analysis. By virtue of their expertise, some reviewers might have prior contact with the programme in a way that biases their assessment negatively or positively. In other cases, experts might differ in their appraisal compared to OIOS-IED.

Because independent experts often come from different backgrounds and have different degrees of familiarity with evaluation methods, it is important to control for any potential bias. To do so, Evaluation Teams should develop a standard assessment tool that all reviewers use in their assessment. This ensures uniformity in for the analytical lens used by the various assessors. If used, such tools entail a responsibility to brief reviewers on the instrument and what is and is not expected of them. Wherever possible, Evaluation teams should pilot the instrument being used in the review and ensure all assessors

have a shared understanding of the evaluation terminology and criteria.

Remote Monitoring

Remote monitoring is an approach used in contexts where there is restricted or limited access to the programme area. It has been employed by humanitarian agencies working in conflict areas and can also be used in situations where limited resources prohibit travel. Remote monitoring methods aim to collect sufficient data, and to verify existing information from local partners, when in-person visits are not possible. While remote monitoring shifts risks and responsibility to local data collection partners, these organizations generally have a better understanding of the programme context. Local capacity building is often a key component of many remote monitoring plans.

Remote monitoring methods vary according to context, but may include: use of third parties for data collection and verification; beneficiary-led monitoring; cross-monitoring amongst local implementers; and correlation of data across sectors. In addition, widespread mobile phone usage has allowed for new and efficient methods of collecting data, including photo and video evidence. Technologies such as SMS and crowd-sourcing mapping platforms such as [Ushahidi](#) can provide a large amount of information organised geographically or by need, and can be managed remotely.

While remote monitoring is commonly used in routine programme monitoring situations, its methods apply for evaluation data collection as well, particularly when evaluations cover a UN Secretariat programme spanning many countries.

Outcome Harvesting

[Outcome harvesting](#) is a participatory monitoring and evaluation approach to collect evidence of what has changed (outcomes) and then, working backwards, determine whether and how an intervention contributed to these

changes. It focuses on what has changed and helps understand how a programme contributed to outcomes. Outcome harvesting has been proven to be especially useful in complex situations when it is not possible to define concretely most of what an intervention aims to achieve, or what specific actions will be taken over a multi-year period.

However, while outcome harvesting offers several advantages such as its flexibility to suit programmes and contexts, it has a steep learning curve. It requires establishing trust with, and the ongoing participation of stakeholders who are aware of outcomes. It also has potential for bias by evaluators in establishing causality while interpreting results.

Artificial Intelligence and Machine Learning

Artificial intelligence (AI) refers to a theory and development of computer systems that can perform tasks that normally require human intelligence. Applications of AI systems are numerous and is a fast-growing sector for further research. AI significantly reduces human error with high efficiency. However, it suffers with challenges related to hardware requirements and introducing programmer bias into decision making.

Natural Language Processing (NLP) refers to the branch of AI that is concerned with giving computers the ability to understand text and spoken words in much the same way human beings can. The scope of NLP in evaluations is tremendous. It can potentially not only allow for better analysis of interview notes and programme documents, but it can also help with sifting through massive troves of data to identify information relevant to the evaluation. For instance, NLP can be used for text classification, text extraction, machine translation and natural language generation. This has specific [case use](#) in academic research and analysis where AI is able to analyse large amounts of academic material and research papers not just based on the metadata of the text, but the text itself.

6.2 Data Analysis

Data analysis strategies are based on the choice of data collection method and the nature of the indicator being assessed. However, certain criteria for analysis must be considered by Evaluation Teams for robust findings. These include developing an analysis plan, assessing data validity, credibility, transferability and reliability, data compilation, and triangulation. This is in addition to using sound methods and relevant software to perform relevant and replicable quantitative and qualitative analyses.

Developing a Data Analysis Plan

An overall evaluation data analysis plan should be rooted directly in the evaluation design matrix and guide the process systematically and strategically. This helps to maintain clarity and efficiency, and ensure inter-rater reliability.

Qualitative Comparative Analysis

Qualitative Comparative Analysis (QCA) is a method to establish causality by bridging qualitative and quantitative analysis in examining the individual ‘conditions’ or factors necessary to achieve an outcome, along with the combinations of these necessary conditions sufficient to engender the achievement of the outcome. This method respects the diversity of cases and their heterogeneity in terms of their different causally relevant conditions and contexts.

This method provides a robust framework to compare case studies using free open-source software available in the market. However, it is more effective if there are 10 or more case studies to compare, and the open-source analysis software is not intuitive to use. It also requires some understanding of set theory and might deliver perverse results without human intuition and judgement.

Contribution Analysis

Contribution Analysis is an approach for assessing causal questions and inferring causality in real-life programme evaluations. It offers a step-by-step approach designed to help managers, researchers, and policymakers arrive at conclusions about the contribution their programme has made (or is currently making) to particular outcomes. The essential value of contribution analysis is that it offers an approach designed to reduce uncertainty about the contribution the intervention is making to the observed results through an increased understanding of why the observed results have occurred (or not) and the roles played by the intervention and other internal and external factors.

Contribution analysis is particularly useful in situations where the programme is not experimental, i.e., not in trial projects but in situations where the programme has been funded based on a relatively clearly articulated theory of change and where there is little or no scope for varying how the programme is implemented. Contribution analysis helps to confirm or revise a theory of change; it is not intended to be used to surface or uncover and display a hitherto implicit or inexplicit theory of change. The report from a contribution analysis is not definitive proof, but rather provides evidence and a line of reasoning from which we can draw a plausible conclusion that, within some level of confidence, the programme has made an important contribution to documented results.

The advantages of this method are that it requires no baselines, addresses complex environments where sole attribution is not possible, and helps organize data collection and triangulation. However, the process is iterative and, therefore, time consuming to map out complexity. Additionally, variation in programme implementation across countries can limit drawing broader or global level conclusions.

Assessing Validity and Reliability

To maximize the credibility of their analysis, Evaluation Teams should ensure that data are valid and sufficiently reliable before they analyse each primary and secondary evaluation data set.

- Internal validity - threats to internal validity compromise our confidence in saying that a relationship exists between the independent and dependent variables (e.g., by suggesting that there is insufficient evidence for causal claims being made, owing to alternative explanations to explain the dependent variable); and
- External validity - threats to external validity compromise our confidence in stating whether the study's results are applicable to other groups (e.g., by calling into question the sampling methods, response rates or other aspects of the data collection effort).

Key questions to ask include the following:

- When using random samples, were response rates and sample sizes sufficiently high to warrant a 90 per cent level of confidence in making statistical claims?
- When using non-random samples, are results to be reported in terms of the respondents and not generalized to the population?
- Are secondary data collected for the analysis sufficiently valid? What, if any, limitations do they entail for the analysis?
- When considering evidence to be used for causal arguments, such as arguments related to the programme's effectiveness or ineffectiveness in contributing to observed results, what, if any, alternative explanations might be at play other than the "causal" variable being explored?

Data are considered reliable when they are accurate and complete. Data accuracy and completeness are achieved when the data collection tools and processes are consistent across all evaluators and all settings.

Data accuracy is the extent to which data were obtained in a clear and well-defined manner across cases, space and time as well as the extent to which they truthfully reflect facts such as dates, percentages and numbers of persons interviewed. Testing for accuracy helps establish that any variations in the data originate from differences in the actual situation. Lines of exploration could include:

- Did the evaluators maintain an independent, balanced and objective attitude and approach toward each and every stakeholder interviewed?
- Did survey respondents understand terms or questions in the same way or is it possible that they used different interpretations?
- Were observational guides and desk review instruments used consistently by all Evaluation Team members, ensuring maximum fidelity to the instrument?
- Did all enumerators use the field-based survey in the same way, ensuring maximum fidelity to the survey instrument?
- Were coding rules consistently applied?
- If appropriate, were confidence intervals for key survey estimates analysed?
- Wherever appropriate, were relevant weighting schemes applied to adjust for over- or under-sampling?

Sometimes attempts to gather data are unsuccessful. This could be because data were found to be unavailable or unobtainable. At other times, individuals may be unavailable or unwilling to participate in surveys or interviews. Such gaps in the data are relevant if they hinder the achievement of the planned quality, quantity or representativeness of the data. It may mean that results could be biased towards the views of those who participated, which may not be the same as the views of those who did not participate.

One particular problem associated with incomplete data is that of non-response. As individuals who have not responded may be distinctly different from those who have, non-response error is an issue that Evaluation Teams should address

when response rates are low. A number of steps can be undertaken at the data analysis stage to strengthen data reliability. For example, once the extent of any gaps or inadequacies in data become known, it may still be possible to plan and undertake some supplementary data collection depending on budget and other resources.

In cases of non-response, the Evaluation Team should consider undertaking a non-response analysis to test for the likelihood of bias in the sample. Non-response analysis is a comparison of the respondents' demographic attributes against those of non-respondents, to the extent any of these is captured and available. If there is little or no evidence that these groups differ, then one can more safely assume that the distribution of results is likely to be substantially unchanged even with a higher response rate. In rare cases, data imputation can be used to account for missing data. As well as being considered during the data analysis itself, any substantial inadequacies encountered should also be declared in the limitations section of the evaluation report.

Data Compilation

Evaluation Teams should gather the complete data into files on the OIOS-IED electronic filing system - considering IED's confidentiality policy - e.g., by password-protecting files indicating individual stakeholders' identities - in order to ultimately make available a comprehensive and quality-checked evidence base for the evaluation. The transparent availability of such a record is critical should others wish to verify or examine the evidence compiled in support of the evaluation results.

Data compilation goes beyond mere file organization, however. It is also about "aggregating up" the raw data into more manageable sources of information that are more readily analysable by the Evaluation Team. This can already begin during data collection. For example, team members' individual aide memoires, document summaries and other items of relevance to country case studies can be summarized into a

single spreadsheet or other file for ease of comparison by the full team during data analysis. Frequency distributions for all survey data, desk reviews, direct observations and other methods can be distilled down into summary tables once they are completed, so that they are ready for data analysis. In addition, important individual data points, observations or questions of relevance to the analysis can be stored in a “parking lot” file, to be used later on during data analysis.

supplemental outputs, to allow for an organic inclusion of elements of analysis that are of particular interest to the evaluand.

Triangulation

The moment at which the Evaluation Team comes together to begin reviewing the data collected from various sources against the evaluation questions is the most crucial part of the data analysis. The Evaluation Team should organize one or more brainstorming sessions, in which the team members, having read the portfolio of evidence separately on their own, should meet to review and synthesize the collective evidence together, and to uncover what the evidence is telling them with regard to the key evaluation questions. At the end of these sessions, the team converges around the main “story” the evidence is revealing about the evaluand’s relevance, effectiveness, impact and efficiency in the form of succinct results statements.

In practice, an integrated analysis begins with the creation of an evidence summary table with the key evaluation questions and any subsidiary questions. Against these are listed what the different data sets say (interim analysis). This enables the detection of patterns across different data sets, which is called triangulation.

Triangulation also identifies contradictions among data sources that require reconciliation and/or further exploration.

The analysis phase culminates with the identification of key results, which are presented by the Evaluation Team to the OIOS-IED Director, the evaluand, and the OUSG. Their comments and inputs are noted as the team begins the drafting phase. Results brainstormed with the evaluand can also be used to revert to earlier discussion about additional data, analysis, and

7. Reporting

(4 months)

The typical period to draft the final report is one month, followed by about three months of review by the Directorate, the evaluand, and OUSG. The Evaluation Team is responsible for revising the draft report based on comments and suggestions received, and liaising with the evaluand to enhance the ownership and uptake of recommendations, but those three months may also be used to develop supplemental products for the evaluand. A Report Drafting QAS Checklist is provided in Annex E.

7.1 Primary Report

- At a minimum, the Evaluation Team should produce the primary output from the evaluation: the mandated report, which should adhere to the following guidance:
- Report length must not exceed 7,000 words. The word limit includes footnotes and any non-essential annexes. The Management Response (formal comments) from the evaluand is exempted from inclusion in the word limit, however, efforts are made to consult with the evaluand to ensure that the Management Response does not go beyond 1,500 words, so that the total word count is within the 8,500-limit set by the Department for General Assembly and Conference Management (DGACM).
- The report should include the following main sections: Executive Summary, Introduction, Methodology, Background, Results, and Recommendations. The team may choose to include a Conclusions section if deemed necessary. In the interest of brevity, reports should not include a table of contents or theory of change.
- Evaluation Teams may choose to annotate the report with details that will be extracted before final submission, such as detailed footnotes and annexes. These should be

clearly marked, e.g., in a different colour or font, to indicate that they are to be removed prior to finalization of the report. Such elements are exempted from the word limit. Removal of these elements should not disrupt the logical flow of the report.

- The primary report should include normally up to five recommendations of a strategic nature, which are to be tracked by OIOS in Teammate+ system. Evaluation Teams must systematically consult with evaluands when drafting the recommendations (during the drafting stage) to ensure buy-in and acceptance. Recommendations may be designated as “important” or “critical” as described in Section 7.2.

The following is a more detailed description of the content of a typical evaluation report:

- An Executive Summary: which encapsulates the overall narrative of the evaluation report in a clear, concise and compelling way. It includes the following sub-sections:
- A description of the evaluation, including why it was conducted;
- A brief discussion of the evaluation methodology;
- A summary of main results; and
- A summary of recommendations (in bullet form)
- Introduction
- Subject and scope of the evaluation
- Evaluation purpose and objective
- Evaluation criteria and key questions
- Evaluation duration and timeline
- Structure of report
- Methodology and limitations
- Evaluation design and data sources
- Data analysis methods
- Limitations

- Background of the evaluand
- Results, which should be:
- Coherent, easily identifiable, and relevant to the evaluation questions
- Substantive, precise, persuasive, analytical, and objective
- Using sufficient text/visual evidence.
- Recommendations (see section 7.2)
- Management response (annexed to the main report)- See Annex H for details on its format.

The presentation of evidence is one of the most challenging tasks of an evaluator. The challenge is to present sufficient but not excessive evidence. The following principles help address these challenges:

- Distinguish between background information required to understand a result from evidence supporting a result. Consider moving background information to the background section;
- Balance the presentation of evidence (quantitative and qualitative) and rely on multiple data sources;
- Identify and present key evidence only;
- Aggregate evidence as much as possible (e.g., aggregated survey results or examples); and
- Use text and visuals to present supporting evidence.

7.2 Drafting Recommendations

[UNEG guidance](#) on quality recommendations suggests the following:

- The formulation of recommendations must be inclusive. Staff likely to be tasked with implementing the recommendation, must be brought on board and engaged in a conversation around the utility and feasibility of the recommendation;
- Should be relevant to the object and purposes of the evaluation;

- Should be limited in number (OIOS-IED recommends up to five recommendations);
- Must be firmly based on evidence and analysis and should logically follow from the evaluation findings;
- Must be clear on who is responsible for their implementation.

Evaluation Teams should ensure that recommendations include indicators of achievement which are concrete, objectively verifiable and time bound. Recommendations are marked as either 'important' or 'critical'.

Critical recommendations are those that address significant and/or pervasive deficiencies in governance, risk management or internal control processes, such that reasonable assurance cannot be provided regarding the achievement of programme objectives. They should be used infrequently and only applied when failure to implement the recommendation would result in programme failure. Any critical recommendations rejected by the evaluand may be elevated to the UN Deputy Secretary-General (DSG) or SG, if necessary. Critical recommendations that are due or past due are followed up quarterly, in January, April, July and October.

Important recommendations address reportable deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance might be at risk regarding the achievement of programme objectives.

Important recommendations are followed up semi-annually, in January/February and July/August.

7.3 Supplemental Outputs

As noted above, in addition to the primary evaluation report, all Evaluation Teams should consider the feasibility of producing supplemental outputs, based on the availability of evidence data. For example, longer versions of the primary report, evaluation briefs which expand on one or more of the evaluation results, data outputs such

as detailed write-ups of case studies, composites of aggregated survey data and so on. Also, as an analysis of the mainstreaming of all four SG priority areas must be undertaken, supplemental outputs may be used as a vehicle to present findings from the analysis of these aspects, if those findings are not included in the draft report.

Consideration of supplemental outputs must be undertaken at the results brainstorming, and the preliminary results briefing to evaluand (step 10). Which, if any, supplemental outputs to be produced is determined on a case-by-case basis. Such supplemental products will be considered as part of OIOS-IED outputs and resource allocations. Therefore, necessary time allocation should be determined with the Section Chief and Director after deciding which supplemental products are to be produced (i.e., following the results brainstorming or preliminary results briefing to the evaluand). The relevant Section Chief should inform the Directorate so that those outputs may be factored into the overall outputs for the division. Supplemental outputs are typically not public documents. They are agreed upon and shared between the evaluand, Evaluation Team and Chief of Section, and are not subject to review by the Directorate or OUSG.

To facilitate proactive advocacy by the OUSG, including exploring other avenues for sharing GA reports with Member States, Evaluation Teams may wish to raise any specific dissemination strategy to the USG on a case-by-case basis. For wider dissemination, the Evaluation Team may consider drafting an article for iSeek or for inclusion in the IED Evaluation newsletter, providing a summary of the evaluation, its major results and recommendations, and any noteworthy early outcomes. Repackaged public dissemination products developed based on an OIOS-IED report would need to be vetted and approved by the OUSG. OIOS-IED reports may also be added to the [Evaluation Knowledge Management Platform](#) by OIOS-IED Directorate.

7.4 Editorial Processes and Reviews

The various levels of review are noted in box 2 and Annex G. [The United Nations editorial guidelines](#) are to be adhered to while drafting the primary report.

The Evaluation Team must ensure timely correspondence with the evaluand; this is of greater significance during this stage, as the evaluand is responsible for providing informal comments on the draft report (using the OIOS-IED prepared informal comments matrix). The evaluand must also provide a management response and recommendations action plan, after reviewing the final report and IED response to its informal comments. The guidance to be shared with the evaluand on the review process should be updated periodically by a designated OIOS-IED staff member.

8. Post-evaluation

The Evaluation Team is responsible for a few elements after the report is finalized. These include further dissemination, file management, lessons learned session, feedback questionnaires, and tracking of OIOS-IED recommendations in Teammate+.

8.1 Dissemination

In keeping with UNEG guidelines, Evaluation Teams must develop a plan for dissemination. Some elements of this plan are dictated by the standard operating procedure, especially in the case of evaluation reports mandated by the GA. Other elements are determined on a case-by-case basis. Wherever possible, the Evaluation Team should think through its dissemination strategy and state as much of this plan as can be foreseen in the Inception Paper.

Aspects of report dissemination that are followed as standard operating procedure are as follows:

- The final report is issued to the evaluand and also shared with the OUSG, IAD, ID, JIU, BOA, IAAC, DMSPC, DOS and the evaluand by way of an official memorandum. As a rule, all final reports, GA reports and non-GA reports alike, are placed on the [OIOS-IED website](#) by OUSG one month after the issuance of the report.
- GA reports are public documents, and as such are also placed on the public website of the General Assembly.
- To help promote utilization, Evaluation Teams may engage with evaluands at least once after the evaluation is completed to further discuss the evaluation - typically providing data that did not make it into the report - and providing advice and consultation on how to address issues raised in the evaluation as well as how to implement the recommendations.
- Reports may be shared with Permanent Missions of Member States as they become available.
- Reports may be shared with inter-governmental bodies other than the CPC and the Fifth Committee, as appropriate. These could include the governing bodies of the evaluand.
- The report should also be shared in the context of a Post Evaluation Survey (PES) which is to be disseminated within a short period after the issuance of a report (see Section 8.4 for more information about the PES).

Special procedures apply to the presentation of reports submitted to intergovernmental bodies, including the Security Council, the GA Fifth Committee and the CPC:

- The final report is sent to DGACM for editing, formatting and translation. During its processing of the report, DGACM might revert to the relevant Section Chief with questions for clarification. Reports submitted to DGACM are assigned a “slot date” by when the report must be submitted, or it is considered late with consequences for OIOS performance reporting. Such submission must be provided in the designated template with all figures, tables and charts in editable format to facilitate professional editing and translation into the official languages.
- The Team Leader ensures that the report is fully annotated with supporting evidence.
- The Evaluation Team meets to review possible questions from, and answers to, Member States and briefs the Director on any anticipated issues that may arise.
- The Evaluation Team prepares an introductory statement for the OIOS USG (or other senior OIOS staff member) to introduce the report at the relevant session of the intergovernmental body.

- During the GA Fifth Committee and CPC sessions, one or more OIOS-IED staff members are assigned minute-taking responsibilities. OIOS-IED is responsible for drafting the CPC report sections on the discussions of its reports. These are typically due to be submitted to the CPC Secretariat within two days (or 48 hours) after the conclusion of the formal session discussing the report.

In addition to the standard operating procedures discussed above, other elective approaches to enhance dissemination could include:

- Throughout the evaluation, Evaluation Teams should encourage the evaluand to share the report with its respective governing body and even suggest a presentation by OIOS-IED to the governing body as a means of enhancing its report's utilization.
- The Evaluation Team may use the results brainstorming sessions and preliminary results briefing with the evaluand, to discuss feasible supplemental products that may be useful for the evaluand, subject to data availability.
- Supplemental products may include longer versions of the primary evaluation report; evaluation briefs which expand on one or more of the evaluation results; data outputs such as a case study write up or composite of the aggregated survey data, etc.
- Note that a deliberate consideration of whether each priority area (gender equality, human rights, disability inclusion and the environment) incorporated meaningfully in the evaluation is mandatory for all teams, in all evaluations. Supplemental outputs may be used to present mainstreaming analysis if it is not included in the draft report.
- The Evaluation Team may also consider designing a brief fact sheet on the evaluation, written in more accessible layperson language than official reporting conventions allow and use infographics to enhance visual impact, for use by both OIOS-IED as well as the evaluand to promote the evaluation.

It may also be possible for the participation of OIOS-IED staff in non-UN fora to present official evaluation results. However, the identification of strategic opportunities for dissemination should be raised to the Section Chief during the scoping and/ or reporting phases, bearing in mind resource constraints and OUSG approval. There are several [external resources](#) aimed at equipping Evaluation Teams with strategies to enhance the utilization of evaluations.

8.2 File Management

In 2008, OIOS-IED developed an internal file management structure to ensure that all information in the Division is maintained in a consistent and efficient manner. Evaluation Teams must ensure that all materials critical to evaluations are saved in a clearly identifiable manner. This ensures that the Evaluation Team can access relevant documents easily should the need arise, and helps future Evaluation Teams to do so as well.

Evaluation Team Leaders should ensure that the following documents are saved on the OIOS-IED electronic filing system:

- Evaluation notification memo
- Team compacts
- Inception Paper and any associated annexes
- Evaluation budget
- All data collection instruments
- All raw data gathered through various data collection methods
- All data analysis summaries
- All drafts of the evaluation report
- All quality assurance (QAS) Checklists
- CVs for all consultants
- All consultant contracts and other types of contracts such as interns
- All critical correspondence with the evaluand and other significant stakeholders
- Management response and recommendation action plan.

8.3 Lesson Learning Sessions

At the conclusion of each evaluation, the Evaluation Team, together with the relevant Section Chief, should conduct a lesson learned session to discuss what went well and what went less well in the conduct of the project. Other staff members of OIOS-IED may be invited to these sessions. During the sessions, teams should consider framing their discussion around the following questions:

- How impactful was our evaluation (or how impactful is it likely to be) in terms of helping to improve the UN Secretariat programme, subprogramme, or theme, as far as we know?
- How successful were we in ensuring that our evaluation did not do any harm?
- How effectively did we handle threats to the independence of OIOS-IED, if applicable?
- How could we have been more impactful? More thorough? More productive?
- Did we meet our deadlines?
- Did we stay within our budget?
- To what extent did we adhere to the QAS Checklists? Why did we need to deviate?
- To what extent did we pursue the most relevant lines of inquiry?
- To what extent did we produce the most credible analysis possible? How would we rate the quality of our evaluation report?
- How effective were we in engaging key stakeholders so that the evaluation report, its conclusions and recommendations, would be utilized?
- How efficient were we in getting the job done?
- How clear was our internal communication with each other, and our external communication with others - e.g., the OUSG and the evaluand?
- How clearly delineated were individual team members' roles and responsibilities, as per the team compact?

- How successfully did we adhere to these agreed roles and responsibilities?
- How clear and helpful was the guidance provided by the Section Chief and the Directorate?
- How successfully did we engage consultants in order to benefit from their expertise?
- How effectively did we incorporate the SG priority areas into our conduct of the evaluation? What were the reasons for leaving one or more out?
- How professionally did we comport ourselves as evaluators - e.g., exhibiting integrity and independence, avoiding conflicts of interest, and flagging them when they occurred?
- How systematically did we explore the impact of previous OIOS-IED evaluations on this topic?

Evaluation Teams should document lessons learned by answering these questions in a summary document stored on the OIOS-IED SharePoint folder for future reference. OIOS-IED synthesizes these lessons learned summaries every year. This annual recapitulation of key success stories and shortcomings helps reflect on its process and performance so that it can undertake concrete actions to capitalize on its good practice and avoid future pitfalls.

8.4 Post Evaluation Survey (PES)

Soon after the issuance of the evaluation report, the OIOS-IED Directorate disseminates a brief survey to the evaluand. The population for these surveys is comprised of: all evaluation focal points, individuals interviewed, survey respondents and any other relevant stakeholders which might have had close interaction with the evaluation team. The purpose of the survey is to gather feedback about OIOS-IED evaluations to help the Evaluation Teams continuously improve. The Team Leader of each evaluation is responsible for ensuring that the contact list for the feedback survey is provided in a timely fashion.

The survey is distributed via the prevalent online survey platform by a designated staff member assigned by the Director. All responses to the survey should be handled with complete confidentiality. The detailed responses should only be seen by the Director and designated staff administering the survey. The results are analysed and reported in aggregated form for internal discussions and sharing with the IAAC.

8.5 Following up on OIOS-IED Recommendations

When an evaluation report is finalized, the evaluator is responsible for completing and sending to OIOS-IED an action plan for implementing the agreed upon recommendations. Once this action plan is received, all accepted recommendations are entered into a recommendation import table for uploading on to the OIOS recommendation tracking database Teammate+.

The import table is filled out by both the OIOS-IED Teammate+ focal point and the Evaluation Team Leader (or other designated responsible staff member) within two weeks of report finalization. The import table is then sent to the OUSG to enter it into the Teammate+ database. All “important” evaluation recommendations are tracked semi-annually in January/February and July/August, while “critical” recommendations that are classified as overdue (recommendations that remain open beyond their target dates) are tracked quarterly. The OUSG initiates the tracking process with all OIOS clients.

Evaluation Team Leaders are responsible for responding to all client updates within two weeks of receiving the update. These updates can be provided throughout the year and not just during the formal OUSG follow-up period. For these more ad hoc updates, the Team Leader is nevertheless required to respond within two weeks. The Team leader can close a recommendation in consultation with the responsible Chief of Section, and this should be done within 3 days of the notification of the final recommendation implementation.

Triennial Reviews

A triennial review is conducted at least three years after completion of an evaluation report. It follows the same phases as an evaluation or inspection with the issuance of a notification memo, followed by desk review, data collection, data analysis and reporting. Specifically, the following steps are followed in the conduct of a triennial review:

- Review the CPC report that endorsed the evaluation recommendations to determine whether any of these were altered;
- Review all Teammate+ entries since the report was issued;
- Meet with the main report author (if still available within IED) to obtain an accurate understanding of the intent and substance of the recommendations;
- Develop a matrix to outline, by recommendation, the follow-up action and evidence that is required to verify the implementation of each recommendation;
- To obtain evidence or follow up on any prior evidence collected, use any of the following methods: interviews, document or website reviews, and/or surveys/questionnaires;
- Collect evidence and assess the status of implementation for each recommendation;
- For recommendations not implemented, assess the reason(s) and implications of non-implementation. For implemented recommendations, assess the impact of implementation (if feasible).
- Draft the triennial report following the same quality assurance protocols of a primary evaluation report.

Reports of the Triennial Reviews are often GA documents and publicly available on the OIOS public website.

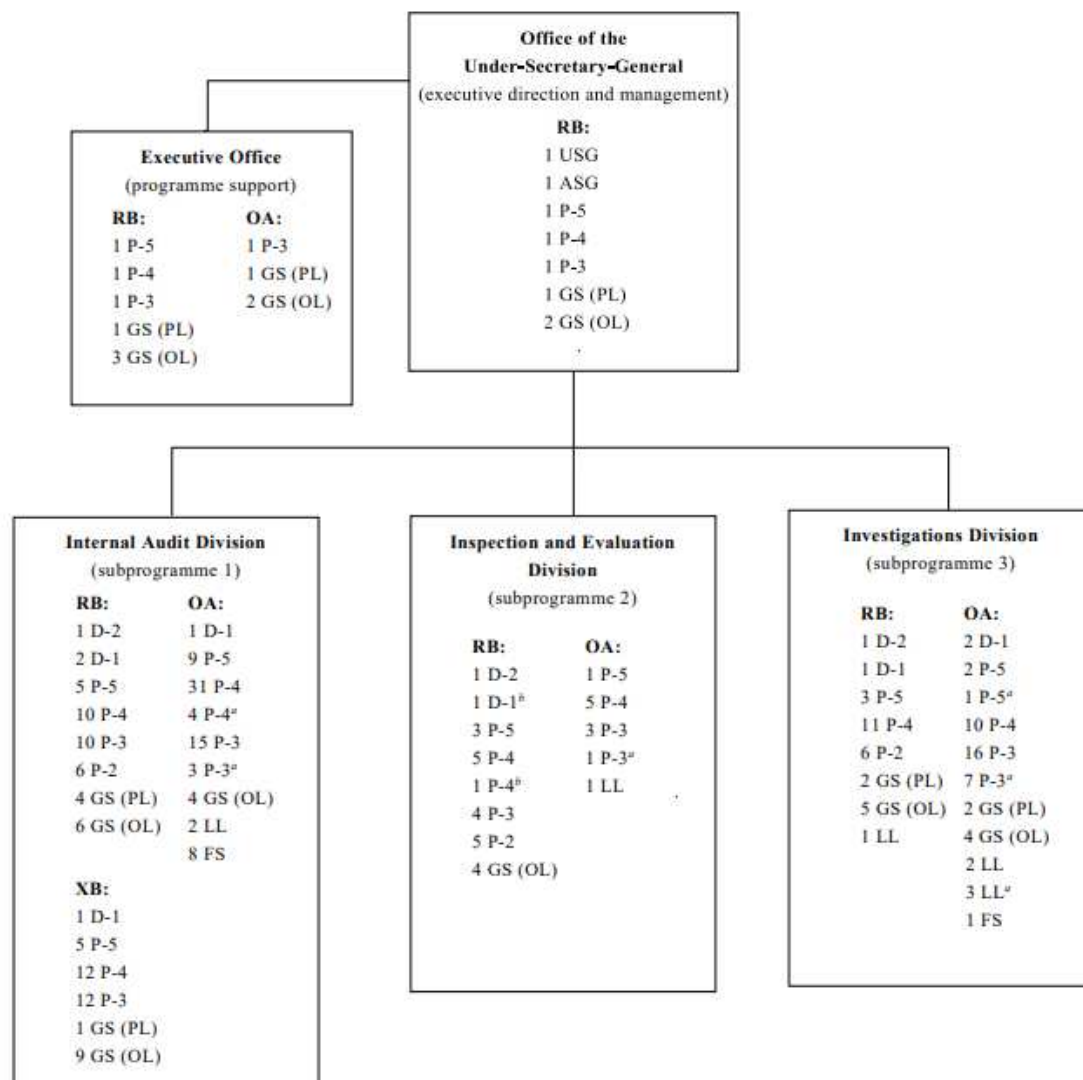
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Annex A: Organizational Structure (2021-2022)

as of 2022, A/76/6(Sect.30)/Corr.1

A/76/6 (Sect. 30)/Corr.1



Abbreviations: ASG, Assistant Secretary-General; FS, Field Service; GS (PL), General Service (Principal level); GS (OL), General Service (Other level); LL, Local level; OA, other assessed; RB, regular budget; USG, Under-Secretary-General; XB, extrabudgetary.

^a As proposed in the report of the Secretary-General on the budget for the support account for peacekeeping operations for the period from 1 July 2021 to 30 June 2022 (A/75/785), 19 general temporary assistance positions (1 P-5, 5 P-4, 10 P-3, 3 Local level) are proposed for conversion to posts; 1 post (1 P-3) is proposed for reassignment from the Internal Audit Division to the Inspection and Evaluation Division as from 1 July 2021; and redeployments are proposed within the Investigations Division to better align information technology-related functions with operational requirements (1 Senior Information Technology Assistant (General Service (Principal level)) from Vienna to New York, and 1 Information Technology Assistant to Investigations Assistant (General Service (Other level)) in Vienna).

^b New post.

Annex B: Approval and Accountability Matrix (November, 2020)

(This matrix will be updated according to the new OIOS-IED Deputy Director position which has been filled as of January 1st, 2023)

	Responsibility within IED	Approval within IED	Accountability within OIOS
Financial Resources			
Division Regular Budget and Peacekeeping (QSA) Budget Planning (i.e. Division wide Consultancy and Travel resource requirements for all assignments under Division, as well as Division wide activities such as Training, Retreats, ICT, etc.)	Director	Director	Director to USG
Evaluation Project Plan and Budget Proposal (i.e. Consultancy and Travel resource requirements for assignment)	Chief	Director	Chiefs to Director Director to USG
Project monitoring	Project Leader	Chief	PL to Chief Chiefs to Director
Division Expenditures (i.e. Consultancy and Travel expenditures made for assignments)	Director	Director	Director to USG
Human Resources			
Recruitment	Director with support of designated Hiring Manager	Director	Hiring Manager to Director Director to USG
Assignment of Staff to Sections	Director (in consultation with Chiefs)	Director	Director to USG
Selection and recruitment of Consultants	Project Leader	Chief	Project Leader to Chief

			Chief to Director Director to USG
Selection of Interns	Project Leader	Chiefs	Project Leader to Chief Chief to Director Director to USG
Assignment of Evaluation Projects to Staff	Director (in consultation with Chiefs)	Director	Director to USG
Staff development	Chief	Chief	Chief to Director
Work Assignment			
Assignment of Divisional Tasks	Director (in consultation with Chiefs)	Chief (via Epas) Director (via Epas)	Director to USG
Assignment of Section Tasks	Chief	Chief (via Epas) Director (via Epas)	Chief to Director
Assignment of Administrative Tasks in Sections	Chief	Chief (via Epas) Director (via Epas)	Chief to Director
Assignment of Administrative Tasks in Division	Director (in consultation with Chiefs)	Chief (via Epas) Director (via Epas)	Mgt Team to Director
Assignment of Evaluation Tasks within Team	Project Leader	Chief	Project Leader to Chief
Evaluation and Inspection Projects			
Scoping	Project Leader	Chief (Draft scope to Director) Director (Draft scope to USG)	Project Leader to Chief Chief to Director Director to USG

Draft inception paper	Project Leader	Chief (Draft inception paper to Director) Director (Draft inception paper to USG)	Project Leader to Chief Chief to Director Director to USG
Final inception paper	Chief	Director	Project Leader to Chief Chief to Director Director to USG
Data collection and analysis	Project Leader	Chief	Project Leader to Chief
Draft report	Project Leader	Chief (Draft report to Director) Director (Draft report to USG)	Project Leader to Chief Chief to Director Director to USG
Final report	Chief	Director	Project Leader to Chief Chief to Director Director to USG
Performance Assessments (i.e., ePAS)			
P5s	Director	Director as FRO USG as SRO	Director to USG
P2s to P4s	Chief (Project Leader input)	Chief as FRO Director as SRO Project Leader as AS	Chief to Director Director to USG
APs (G5-G6)	Chief	Chief as FRO,	Chief to Director

	(Project Leader input)	Director as SRO Project Leader as AS	Director to USG
Consultants	Project Leader	Chief	Project Leader to Chief Chief to Director Director to USG

Annex C: OIOS-IED Oversight Universe (2022)

BINUH	Integrated Office in Haiti
DCO	Development Coordination Office
DESA	Department of Economic and Social Affairs
DGACM	Department for General Assembly and Conference Management
DGC	Department of Global Communications
DMSPC	Department of Management Strategy, Policy and Compliance
DOS	Department of Operational Support
DPO	Department of Peace Operations
DPPA	Political and Peacebuilding Affairs
DSS	Department for Safety and Security
ECA	Economic Commission for Africa
ECE	Economic Commission for Europe
ECLAC	Economic Commission for Latin America and the Caribbean
ESCAP	Economic and Social Commission for Asia and the Pacific
ESCWA	Economic and Social Commission for Western Asia
GCO	Global Compact Office
IRMCT	International Residual Mechanism for Criminal Tribunals
ITC	International Trade Centre
MINURSO	Mission for the Referendum in Western Sahara
MINUSCA	Multidimensional Integrated Stabilization Mission in the Central African Republic
MINUSMA	Multidimensional Integrated Stabilization Mission in Mali
MONUSCO	Stabilization Mission in the Democratic Republic of the Congo
OCHA	Office for the Coordination of Humanitarian Affairs
ODA	Office of Disarmament Affairs
OHCHR	Office of the High Commissioner for Human Rights
OHRLS	Office of Least Developed Countries, Landlocked Developing Countries and Small Island Developing States
OICT	Office of Information and Communications Technology
OLA	United Nations Office of Legal Affairs
OOSA	Office of Outer Space Affairs
OSAA	Office of the Special Advisor on Africa
OSC SEA	Office of the Special Coordinator on improving the UN's response on Sexual Exploitation and Abuse
OSESG Great Lakes Region	Office of the Special Envoy for the Great Lakes
OSESG Horn of Africa	Office of the Special Envoy for the Horn of Africa
OSESG MYR	Office of the Special Envoy of the Secretary-General on Myanmar
OSESG Syria	Office of the Special Envoy of the Secretary-General for Syria
OSESG Yemen	Office of the Special Envoy of the Secretary-General for Yemen
OVRA	Office of the Victims' Rights Advocate
PBSO	Peacebuilding Support Office
OSRSG CAAC	Office of the Special Representative on the Secretary-General for Children and Armed Conflict

OSRSG SVC	Office of the Special Representative of the Secretary-General on Sexual Violence in Conflict
OSRSG VAC	Office of the Special Representative of the Secretary-General on Violence Against Children
UNAMA	Assistance Mission in Afghanistan
UNAMI	Assistance Mission for Iraq
UNCTAD	Conference on Trade and Development
UNDOF	Disengagement Observer Force
UNDRR	Disaster Risk Reduction
UNEP	Environment Programme
UNFICYP/OSASG-Cyprus	Peacekeeping Force in Cyprus
UN-HABITAT	Human Settlement Programme
UNIFIL	Interim Force in Lebanon
UNISFA	Interim Security Force for Abyei
UNITAD	Investigative Team to Promote Accountability for Crimes Committed by Da'esh/ISIL
UNITAMS	Integrated Transition Assistance Mission in Sudan
UNMHA	Mission to support the Hudaydah Agreement
UNMIK	Interim Administration Mission in Kosovo
UNMISS	Mission in South Sudan
UNMOGIP	Military Observer Group in India and Pakistan
UNOAU	Office to the African Union
UNOCA	Regional Office for Central Africa
UNOCT	Office of Counter-Terrorism
UNODC	Office on Drugs and Crime
UNOG	United Nations Office at Geneva
UNON	United Nations Office at Nairobi
UNOP	Office of Partnerships
UNOV	United Nations Office in Vienna
UNOWAS/CNMC	Office for West Africa and the Sahel
UNRCCA	Regional Centre for Preventive Diplomacy for Central Asia
UNRGID	Representative to the Geneva International Discussions
UNSCO	Special Coordinator for the Middle East Peace Process
UNSCOL	Special Coordinator for Lebanon
UNSMIL	Support Mission in Libya
UNSOM	Assistance Mission in Somalia
UNSOS	Support Office in Somalia
UNTSO	Truce Supervision Organization
UNVMC	Verification Mission in Colombia

Annex D: Mainstreaming Guidance (October 2022)

OIOS-IED Mainstreaming Guidelines and Checklist for Evaluations

Last updated 24 October 2022

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Statement of Intent

OIOS-IED evaluators are governed by, and required to adhere to, minimum standards for mainstreaming human rights, gender, disability inclusion and environmental issues in all evaluations. OIOS-IED evaluators must ensure that mainstreaming issues are considered in the scope, design, implementation and reporting of evaluations by consulting with this evaluation checklist during the planning and inception phase of each evaluation.

OIOS-IED evaluators must also adhere to the minimum ethical standards in the conduct of evaluation.

Section 1: OIOS-IED mainstreaming mandate and standard inception paper text

OIOS-IED evaluations must consider issues pertaining to gender, disability inclusion, the environment and human rights at key stages of the evaluation lifecycle (detailed below in section 2). This requirement stems from General Assembly resolutions, Secretary General bulletins and related guidance and is additionally embodied in the

[ST/AI/2021/3 on evaluation in the Secretariat](#).¹ Further, OIOS has committed in its budget to considering the extent of UN Secretariat entities' mainstreaming of gender perspectives, disability inclusion, environmental issues and human rights in programming. Mainstreaming focal points in each of the four core areas have been established to support implementation.

OIOS-IED mainstreaming mandate should be clearly articulated in the inception paper. A suggested summary paragraph to include in inception papers is as follows:

Standard inception paper text on IED mainstreaming:

In line with UN Secretariat guidance, OIOS has committed to consider, where feasible, entities' mainstreaming of gender perspectives, disability inclusion, environmental issues and human rights.² As mandated by General Assembly resolutions and Secretary-General Bulletins, human rights (A/RES/60/1; A/RES/76/6), gender (A/RES/71/243), disability inclusion (A/RES/75/154) and environment (ST/SGB/2019/7) must be mainstreamed in all UN policies and programmes. UNEG Norms and Standards further require the explicit inclusion of these considerations in evaluations.³

In this regard, standards and issues relating to these four cross-cutting, core areas have been incorporated into both the design and conduct of the present evaluation. This includes conducting the evaluation in adherence to strict ethical standards and ensuring that these four core areas have been considered in the evaluation scope and design of evaluation questions and indicators.

Further details on mainstreaming (also expanded on in section 3.3)

Mainstreaming mandates include, but are not limited to, the following:

- **Gender:** General Assembly resolutions [A/RES/53/120](#) (para 3), [A/RES/60/1](#) (paras 59 and 166), [A/RES/70/1](#) (para 20), [A/RES/71/243](#) (para 13)
- **Disability Inclusion:** [A/RES/75/154](#)
- **Environmental Issues:** [ST.SGB.2019.7 - Environmental policy for the UNS.docx | HR Portal](#) ;
In paragraph 19 of its resolution [72/219](#) of 20 December 2017, the General Assembly endorsed the Secretary-General's action plan for integrating sustainable development practices into Secretariat-wide operations
- **Human Rights:** [A/51/950](#) (A/RES/52/12 A/A/RES/52/12 B); [A/RES/60/1](#); [A/RES/60/251](#); [A/RES/70/1](#); [A/RES/76/6](#)
- **All Mainstreaming Areas:** [A/RES/70/1 - Transforming our world: the 2030 Agenda for Sustainable Development](#); [ST/AI/2021/3 on evaluation in the Secretariat](#)⁴; Our Common Agenda [A/75/982](#) adopted by [A/RES/76/6](#); [A/76/6 \(Section 30\)](#)

¹ See, in particular, paragraph 5.5(b)

² [A/76/6 \(Sect. 30\)](#) Evaluation teams to update with current year budget document as needed

³ See UNEG [Norms and Standards for Evaluation](#) (2017), guidance on [Integrating Human Rights and Gender Equality in Evaluation](#) (2014) and [Guidance on Integrating Disability Inclusion in Evaluation](#) (2022)

⁴ See in particular: ST/AI on eval, para 5.5(b).

Section 2: Evaluation mainstreaming checklist

As noted above, OIOS-IED evaluators must ensure that mainstreaming issues are considered in the scope, design, implementation and reporting of evaluations by consulting with the following checklist during the planning and implementation phases of all evaluations.

The checklist includes considerations and tasks to be undertaken during the following stages:

- i. Planning and inception (checklist item 1)
- ii. Scope (checklist item 2)
- iii. EDM design (drafting evaluation questions and indicators) (checklist item 3)
- iv. Data collection (checklist item 4)
- v. Analysis (checklist item 5)
- vi. Reporting and recommendation drafting (checklist item 6)

The checklist is guided by three principles:

- a) **Consideration of mainstreaming issues at all stages of the evaluation:** The universally recognized values and principles associated with gender equality, disability inclusion, environmental considerations and a human rights-based approach should be considered at all stages of an evaluation. It is the responsibility of evaluators and evaluation managers to ensure that these values are respected, addressed and promoted, underpinning the commitment to “leaving no one behind” (LNOB).
- b) **Adoption of the LNOB principle:** Assessing if the impacts of interventions are experienced equally by the groups in situations of vulnerability and identifying why. ([LNOB guidance](#) 2019)
- c) **Twin-track approach to mainstreaming for gender, disability inclusion, environment and human rights:** Mainstreaming should be considered for programmes that target cross-cutting issues directly, and those that do not.⁵ The twin track approach means that entities should be following these principles in both the conduct of their day-to-day operations and in the design and implementation of specific interventions/programmes.

- **Checklist item 1: Planning and inception**



Checklist Item 1: Include mainstreaming considerations in the planning and inception phase: Ensure that mainstreaming issues are considered in evaluation planning and process, including design and conduct according to professional ethical standards.

Determine if/how the evaluand considers cross-cutting issues (gender equality, disability inclusion, environmental and human rights considerations, as well as issues related to other relevant disadvantaged

⁵ The twin track approach is often cited with respect to mainstreaming. For example, the [UNDIS technical guidance](#) (2020) on evaluation states “Disability inclusion should be considered in the terms of reference of evaluations, including for those that do not have a specific focus on disability inclusion” (p. 82); and the [UNEG guidance on human rights and gender mainstreaming](#) (2014) states that “gender mainstreaming is a ‘twin track strategy’ that involves (1) integrating women and men’s needs and interests into all development policies, programmes and projects and (2) developing interventions oriented at empowering women” (p.29).

groups e.g., those economically, socially, spatially and/or politically excluded) in the design of its sub-programme/intervention.

Suggestions on how to implement:

- **Consult UNEG professional standards:** The UNEG Norms and Standards require that evaluations are “conducted with the highest standards of integrity and respect for the beliefs, manners and customs of the social and cultural environment; for human rights and gender equality; and for the ‘do no harm’ principle for humanitarian assistance”.⁶ The UNEG Ethical Guidelines for Evaluations provide further guidance in conducting evaluations with due consideration of integrity, accountability, respect and beneficence, and provide a useful checklist of ethical issues to be considered at each stage of an evaluation in line with a human rights-based approach to evaluation conduct.⁷ The Guidelines should be consulted at the evaluation outset to ensure that an ethical lens informs day-to-day evaluation practice.
- **Augment evaluation teams with relevant expertise:** The evaluation team should include, where necessary, expertise in gender equality, disability inclusion, environment and/or human rights in order to assist in framing questions and preparing sound analysis and findings. Sufficient expertise may be found within OIOS-IED or sourced externally as needed. Chiefs/team leaders should ensure a gender-balanced, culturally diverse and culturally competent team, making use of national evaluation expertise where possible.
- **Consider mainstreaming issues in initial background research:**
 - **Evaluand/programme initial document review:** The initial document review should identify the extent to which the sub-programme/intervention explicitly references and considers the four cross-cutting issues in its programme design⁸, planning, budget and policy documents (and any other relevant documentation pertaining to the evaluand/programme under review). If these documents do not exist, ask the evaluand why; this will already provide useful information to frame crosscutting issues in the evaluation.
 - **Stakeholder mapping** should identify all stakeholders involved in and engaged by the evaluand/programme being evaluated, with particular attention to duty-bearers and rights-holders involved. Evaluations responsive to human rights, gender, disability inclusion and the environment should include due consideration of the inequalities, discriminatory practices and unjust power relations that are central to development problems. This includes assessing the extent to which power relations have changed as a result of the intervention. Evaluators must also be sensitive to power dynamics in the conduct of an evaluation.
- **Include crosscutting issues in scoping interviews:** Ask sub-programme/intervention management about their stakeholders and if/how gender, disability inclusion, environment and human rights considerations, as well as issues related to other disadvantaged groups, are considered.

⁶ Norms and Standards for Evaluation. UNEG. 2017. <http://www.unevaluation.org/document/detail/1914>

⁷ UNEG Ethical Guidelines for Evaluations. UNEG. 2020. <http://www.unevaluation.org/document/detail/2866>

⁸ Programme/intervention design documents may include intervention activities, log frames, indicators, risk registers, monitoring and evaluation systems and reporting mechanisms and documents.

- Checklist item 2: Scope



Checklist Item 2: Prioritize cross-cutting issues during scoping: Assess the applicability and relative importance of cross-cutting issues of gender, disability inclusion, environment and human rights considerations, as well as issues related to other relevant disadvantaged groups (e.g. economically, socially, spatially and/or politically excluded), to determine which, if any, should have a greater focus in the evaluation. The intention is not to exclude any cross-cutting issue, but rather to determine if any issues are more relevant and would merit greater focus than others, recognizing resource limitations.

Suggestions on how to implement:

- **Ensure consideration of the cross-cutting issues during theory of change design.** When analyzing the results chain, explore how it incorporated groups in situations of vulnerability and/or environmental considerations. Make explicit these considerations or lack thereof, by including them in writing the theory of change.
- **At the stage of outcome selection, review the theory of change** to determine if any of the outcomes could benefit from deeper assessment of one or more particular cross-cutting issue. This will inevitably be informed by the initial document review, stakeholder mapping exercise and scoping interview analysis.

- Checklist item 3: EDM design (evaluation questions and indicators)



Checklist Item 3: EDM design (drafting evaluation questions and indicators): At a minimum, at least one evaluation question pertaining to all four mainstreaming issues must be included in all OIOS-IED evaluations. However, the ideal is that evaluations include separate questions and/or indicators on each mainstreaming issue to ensure depth of assessment.

Suggestions on how to implement:

- **Ensure consideration of cross-cutting issues in evaluation question design:** Include at least one evaluation question and indicator that commits the evaluation team to identifying (a) the extent to which cross-cutting issues have been considered in the programme/intervention design (including the extent to which stakeholders have been engaged in the programme/intervention design process) and (b) the extent to which stakeholders have/have not benefitted from the sub-programme/intervention outputs. The evaluation team may consider the following options:
 - **Option 1: Develop specific evaluation questions for cross-cutting issues:** The evaluation team may focus on cross-cutting issues by developing separate evaluation questions and indicators. This may be especially helpful for programmes that do not have a direct focus on these issues. Sample evaluation questions can be found in Section 3.1.
 - **Option 2: Develop an overarching evaluation question:** In lieu of separate evaluation questions and indicators on each cross-cutting issue, teams may draft an overall evaluation question to capture the extent to which cross-cutting issues are considered in programming.

- **Option 3: Embed crosscutting issues in broader questions:** The evaluation team may choose to embed cross-cutting issues into relevant evaluation questions and indicators if breaking these out is duplicative.

- Checklist item 4: Data collection



Checklist Item 4: Inclusive data collection: The evaluation team should ensure that data collection embeds cross-cutting issues and considers accessibility and inclusion needs of stakeholders in line with the ethical standards for the conduct of evaluations.⁹ Inclusive stakeholder engagement modes should be considered when detailing data collection methods (e.g., surveys, case studies, focus groups etc.) to be employed for each question and indicator.

Suggestions on how to implement:

- **Consider inclusive stakeholder engagement modes when selecting data collection methods:** Evaluation teams should detail in the inception paper how stakeholders, including both duty bearers and rights holders, will be engaged in the evaluation process, giving due consideration to participation barriers (for example, including accessibility, language and literacy, time, location and communication modes).
- **Mainstream cross-cutting issues in instrumentation:** Data collection instruments (e.g. surveys, interview guides, document review frameworks and protocols) should include cross-cutting issues where applicable and relevant (in line with EDM questions and indicators).
- **Ensure inclusive consultations:** The evaluation team should ensure that consultations are inclusive, participatory and respectful of all stakeholders, which includes a deliberate effort to consult marginalized and traditionally excluded respondents. This may include women, people with disabilities and minority groups. In the case of evaluations whose main stakeholders are UN Secretariat staff, the evaluation team should make a deliberate effort to include staff who are harder to reach where relevant. For example, this may include staff from field/local offices, staff from administrative categories, staff from countries that are under-represented and staff whose main language is not English.
- **Adhere to ethical standards:** Evaluators must treat all stakeholder groups with integrity, respect and cultural sensitivity. Interviews must be conducted according to the principle of informed consent and evaluators should inform stakeholders about how data will be used.
- **Conduct accessible data collection:** The evaluation team should ensure that evaluation methods and instruments are universally accessible. For example, electronic surveys should be machine readable¹⁰, there should be physical access for in-person focus groups and interviews and translation or interpretation made available for non-English speaking respondents.

⁹ [UNEG Ethical Standards for Evaluators](#)

¹⁰ See guidance from Qualtrics on accessibility

- Checklist item 5: Analysis



Checklist Item 5: Data analysis: The evaluation team should ensure data disaggregation where relevant and conduct analyses to highlight any important differences in intervention/programme outcomes based on gender, disability inclusion, environment and human rights considerations, as well as related to other relevant disadvantaged groups (e.g. those economically, socially, spatially and/or politically excluded).

Suggestions on how to implement:

- **Conduct power analyses:** The evaluation team could consider conducting a power analysis to identify and document differences in outcomes for women/girls, men/boys, people with disabilities and other disadvantaged groups. This should include consideration of resources, norms, roles and interests associated with the interventions.
- **Ensure data disaggregation:** Wherever possible, data should be disaggregated by gender, ethnicity, age, disability and/or other relevant factors.
- **Triangulate and validate data for inclusion:** Teams should ensure that a diverse range of data sources and processes are employed (i.e. triangulation and validation) to guarantee accuracy and credibility.

- Checklist item 6: Reporting and recommendations



Checklist Item 6: Reporting and recommendations: Evaluation reports must include at least one result statement or sub-result statement (at least one sentence) that articulates mainstreaming findings. Where deficiencies are identified, evaluation reports should include a recommendation on the incorporation of gender equality, disability inclusion, environment and human rights considerations. Dependent on resource availability, teams are encouraged to develop supplemental products to communicate mainstreaming findings in more detail.

Suggestions on how to implement:

- **Some options for the inclusion of a result of sub-result statement:**
 - **Ensure extent of mainstreaming features in result statement:** If individual cross-cutting issue evaluation questions have been designed (option 1 in checklist item 3 above), the result or sub-result statement should describe the extent to which the cross-cutting issue(s) was prioritized and mainstreamed in programming.
 - **Embed mainstreaming results in broader results statements:** The evaluation team may embed relevant cross-cutting issues in results statements as appropriate. These issues may, for example, be related to programme design and/or outcome gaps for some stakeholders.

- **Include a stand-alone recommendation where relevant:** Consider including a recommendation of the cross-cutting issue(s), if found critical for attaining the outcome or result sought by the intervention.
- **Ensure absence is reported in cases where evidence indicates a lack of mainstreaming in programming:** If there is no data indicating mainstreaming efforts, this is a finding in itself and should be included in the report. If possible, include gaps and limitations found, as well as any effects derived from the lack of mainstreaming these issues.
- **Provide supplemental analyses where useful:** Ideally, an expanded analysis on one or more of these issues could be developed and provided to the evaluand as a supplemental product.

Section 3: Additional resources to support mainstreaming

3.1. Evaluation question bank¹¹

The question bank below will be updated periodically with questions and indicators from reviewed OIOS-IED inception papers.

3.1.1. Evaluation questions encompassing all cross-cutting issues

Assessing Inclusiveness

- To what extent have interventions/programmes become more participatory and supported the inclusion of the most marginalized rights holders?
- To what extent have evaluands/duty bearers created conditions for the groups in situations of vulnerability/marginalization to be included in intervention/programme design, implementation, monitoring, evaluation and reporting?
- To what extent have groups in situations of vulnerability (for example, women, youth and persons with disabilities), who may have been disproportionately affected by the intervention/programme, been engaged in design, planning and implementation?
- To what extent have all beneficiaries, including those traditionally excluded, benefitted from the intervention/programme?
- To what degree were the outcomes achieved equitably and distributed among the stakeholder groups?

Assessing Results

- What, if any, tangible results have been achieved through the integration of mainstreaming issues into the work of the entity?
- Were there any unintended results on mainstreaming issues in the intervention? Were they positive or negative and in which ways did they affect the different stakeholders?

¹¹ Source: IED Inception Papers; UNEG 2014, Integrating Human Rights and Gender Equality in Evaluations.

- To what extent did the intervention/programme enhance national policymaker capacity to integrate gender, disability inclusion, environmental and/or human rights considerations into national policy and programming? What outcomes did they contribute to?¹²
- To what extent, and in what ways, did the groups in situations of vulnerability that were identified in the intervention/programme benefit from the programme?

Assessing Organizational Aspects

- How effectively has the evaluand/programme supported the integration of gender, equity and human rights into the work of the Organization?
- To what extent, and in what ways, has the evaluand/programme worked in partnership with internal and external stakeholders?
- What factors, if any, have affected the evaluand's ability to meaningfully integrate gender, disability inclusion, environmental considerations and human rights into its work?

3.1.2. Environment-related evaluation questions

- Beyond consideration of human systems, to what extent, is this entity factoring in consideration of impacts on natural systems?
- In what ways, if any, has the entity mainstreamed environmental issues into its work planning and/or the operationalization of its mandate?
- In what ways, if any, did the work of X entity positively, or adversely, contribute to environmental issues?
- To what degree, if any, did the work of X entity unintentionally contribute to harming the environment? What lessons can be learned that might be applied in the future to reduce, or eliminate, any harmful environmental outcome?
- To what extent, if any, did X entity plan for positive environmental impact, for example, via environmental assessments?

¹² To the extent that data is available, this analysis will seek to include focus on the evaluand entity support to national governments in the area of SDG implementation.

3.1.3 Human rights-focused and gender-based questions aligned to evaluation criteria¹³

	Assessing design and planning	Assessing implementation	Assessing results
Relevance Extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies	<ul style="list-style-type: none"> Was the intervention formulated according to international norms and agreements and to national and local strategies to advance human rights (HR) & gender equality (GE)? Was the intervention formulated according to the needs and interests of all targeted stakeholder groups? How were these assessed? Were HR & GE analyses conducted at the design stage? Did they offer good quality information on the underlying causes of human rights violations, inequality and discrimination to inform the intervention? 	<ul style="list-style-type: none"> Did the activities undertaken operationalize a HR & GE approach? Did the activities undertaken meet the needs of the various groups of stakeholders, including those who are most likely to have their rights violated? 	<ul style="list-style-type: none"> Are the intervention results contributing to the realization of international HR and GE norms and agreements (e.g. CEDAW, UDHR, CRPD), as well as national and local strategies to advance HR & GE? Do the intervention results respond to the needs of all stakeholders, as identified at the design stage?
Effectiveness Extent to which the development intervention's objectives were achieved, or are expected to be achieved	<ul style="list-style-type: none"> Did the intervention's theory of change incorporate the HR & GE dimensions? Are HR & GE objectives clearly stated in the results framework, including short, medium and long-term objectives? Is the responsibility for ensuring adherence to HR & GE objectives well-articulated in the performance monitoring framework and implementation plans? Does the intervention have specific quantitative and qualitative indicators and baselines to measure progress on HR & GE? 	<ul style="list-style-type: none"> During implementation, were there systematic and appropriate efforts to include various groups of stakeholders, including those who are most likely to have their rights violated? Did the intervention implementation maximize efforts to build the capacity of rights holders and duty bearers? Was monitoring data collected and disaggregated according to relevant criteria (sex, age, ethnicity, location, income etc.)? Was sufficient information collected on specific indicators to measure progress on HR & GE? Was monitoring information adequately shared with stakeholders? 	<ul style="list-style-type: none"> What were the main results achieved by the intervention towards the realization of HR & GE? Do the results validate the HR & GE dimensions of the intervention's theory of change? To what degree were the results achieved equitably distributed among the targeted stakeholder groups? Do the intervention results contribute to changing attitudes and behaviours towards HR & GE? Do the intervention results contribute to reducing the underlying causes of inequality and discrimination? Did the intervention contribute to the empowerment of rights holders to

¹³ Integrating human rights and gender equality in evaluations. UNEG. 2014. <http://www.uneval.org/document/detail/1616>

		<p>(duty bearers, rights holders, women, men)?</p> <ul style="list-style-type: none"> • How was monitoring data on HR & GE used to improve the intervention during its implementation? 	<p>demand and duty bearers to fulfil HR & GE norms?</p>
<p>Efficiency Measure of how economically resources / inputs (funds, expertise, time etc.) are converted to results</p>	<ul style="list-style-type: none"> • Are there sufficient resources (financial, time, people) allocated to integrate HR & GE in the design, implementation, monitoring and evaluation of the intervention? • To what extent are HR & GE a priority in the overall intervention budget? • • What are the costs of not addressing HR & GE adequately from the design stage? 	<ul style="list-style-type: none"> • Were the intervention resources used in an efficient way to address HR & GE in the implementation (e.g. participation of targeted stakeholders, collection of disaggregated data, etc.)? • Were there any constraints (e.g. political, practical, bureaucratic) to addressing HR & GE efficiently during implementation? What level of effort was made to overcome these challenges? 	<ul style="list-style-type: none"> • Was the use of intervention resources to address HR & GE in line with the corresponding results achieved? • Would a modest increase in resources to address HR & GE in the intervention have made possible a substantive increase in corresponding results (e.g. a small increase in monitoring budget to collect disaggregated data, instead of general information; allocation of staff time to look at HR & GE aspects of programme activities)?
<p>Sustainability Continuation of benefits from a development intervention after major development assistance is completed. The probability of continued long-term benefits. The resilience of risk of net benefit flows over time</p>	<ul style="list-style-type: none"> • Did the intervention design include an appropriate sustainability and exit strategy (including promoting national/local ownership, use of local capacity, etc.) to support positive changes in HR & GE after the end of the intervention? • To what extent were stakeholders involved in the preparation of the strategy? • Did the planning framework build on an existing institutional and organizational context that is conducive to the advancement of HR & GE? If not, did the intervention design address the institutional and organizational challenges to advancing the HR & GE agenda? 	<ul style="list-style-type: none"> • Were the elements of the intervention exit strategy addressed during implementation? • To what extent were national and local organizations involved in different aspects of the intervention implementation? • Did the intervention activities aim at promoting sustainable changes in attitudes, behaviours and power relations between the different stakeholder groups? • How was monitoring data on HR & GE used to enhance sustainable change on these issues? 	<ul style="list-style-type: none"> • To what extent do stakeholders have confidence that they will be able to build on the HR & GE changes promoted by the intervention? • To what degree did participating organizations change their policies or practices to improve HR & GE fulfilment (e.g. new services, greater responsiveness, resource re-allocation, improved quality etc.)?
<p>Impact Positive and negative, primary and secondary long-</p>	<ul style="list-style-type: none"> • Did the intervention envisage any specific impact on HR & GE? Is it clearly articulated in the results framework? 	<ul style="list-style-type: none"> • How did the intervention activities relate to the intended long-term results on HR & GE? 	<ul style="list-style-type: none"> • Did the intervention clearly lead to the realization of targeted HR & GE norms for the stakeholders identified? • Were there any unintended results on HR & GE in the intervention? Were they

term effects produced by a development intervention, directly or indirectly, intended or unintended	<ul style="list-style-type: none"> • Did the intervention design consider how impact on HR & GE could be assessed at a later stage? • To what extent were the potential unintended impacts on the various stakeholder groups identified during the design stage? • 	<ul style="list-style-type: none"> • Did the intervention monitoring systems capture progress towards long-term results on HR & GE? • Were there any positive or negative unintended effects on HR & GE identified during implementation? How were they addressed? 	<p>positive or negative and in which ways did they affect the different stakeholders?</p> <ul style="list-style-type: none"> • Did the intervention activities and results in HR & GE influence the work of other organizations and programmes?
Participation and inclusion	<ul style="list-style-type: none"> • Was the intervention designed in a participatory manner, including all relevant stakeholders? • Were there measures to guarantee that women and the most marginalized and/or discriminated against stakeholders had conditions to participate in the intervention design? 	<ul style="list-style-type: none"> • Did the intervention use participatory processes during its implementation? • What has been done to guarantee that women and the most marginalized and/or discriminated against stakeholders had conditions to participate in the activities developed by the intervention? • What was the overall level and quality of participation by different stakeholders during the intervention? • Were there mechanisms in place for stakeholders to present opinions or complaints and were these considered? 	<ul style="list-style-type: none"> • Was the intervention successful in promoting a culture of participation and inclusion? • Did the intervention create the conditions for participation and inclusion among stakeholders in other spheres of social life? • Did the intervention influence participating organizations to become more participatory and to create conditions for the most marginalized and/or discriminated against to be included in their processes?
Equality and non discrimination	<ul style="list-style-type: none"> • Was the intervention designed in a way that respected all stakeholders, and did not discriminate based on sex, age, origin, disability, etc.? 	<ul style="list-style-type: none"> • Were the processes and activities implemented during the intervention free from discrimination to all stakeholders? • Did the intervention promote processes to tackle discriminatory practices among its stakeholders? • Did the activities address the underlying causes of inequality and discrimination? 	<ul style="list-style-type: none"> • Did the intervention contribute to a change in discriminatory practices among its stakeholders? • Did all stakeholders benefit from the results of the intervention, regardless of their sex, origin, age, disabilities, etc.? • Do the results of the intervention point to better conditions for all to enjoy their rights, without discrimination? • Are there any groups excluded from the results of the intervention?
Social transformation	<ul style="list-style-type: none"> • Was the implementation designed with a view to promoting social transformation within its beneficiary community? 	<ul style="list-style-type: none"> • To what extent did the processes and activities implemented during the intervention focus on promotion changes in social relations and power structures? 	<ul style="list-style-type: none"> • Do the results of the intervention point to changes in social relations and power structures among its stakeholders? • Are there clear changes in attitudes and behaviours that demonstrate a fairer

			distribution of power among the stakeholders of the intervention?
Empowerment	<ul style="list-style-type: none"> • Did the intervention design contemplate measures to empower its stakeholders, particularly women and individuals from marginalized and/or discriminated groups? • Were different groups of stakeholders part of the decision-making process during the design stage of the intervention? 	<ul style="list-style-type: none"> • Did the processes and activities implemented by the intervention promote the empowerment of different stakeholder groups, particularly women and individuals from marginalized and/or discriminated groups? • Were structures created during the intervention to allow all stakeholders to participate in decision-making? • Were there any particular capacity development activities focusing on stakeholders' capacity to make decisions? 	<ul style="list-style-type: none"> • Are there groups that have become more empowered as a result of the intervention? How can this be demonstrated?

3.2. Sample indicators¹⁴

Evaluation Question	Indicator(s)	Related Method(s):
<p>To what extent did capacity building activities, meetings and seminars enhance national policymaker abilities to integrate gender, disability inclusion, environmental and human rights considerations? What outcomes, if any, did they contribute toward?</p>	<p>*Extent to which policymakers perceived that their capacities to integrate gender, human rights, environmental and disability considerations were strengthened</p> <p>*Extent to which contributions to outcomes can be identified (e.g. through review of national policies triangulated with other data in case study countries)</p>	<p>*Case studies which include review of national policies geared toward identifying any inclusion of these mainstreaming areas; related analyses</p> <p>*Stakeholder interviews and /or focus groups similarly oriented</p> <p>*Stakeholder survey questions similarly oriented</p>
<p>To what extent do Women, Peace and Security (WPS) activities during elections and political transitions consider and reflect the experiences of those living with disabilities, especially women and girls with disabilities?</p>	<p>*Degree to which projects and activities are inclusive of persons with disabilities to vote, stand for elections, and hold office on an equal basis with others.</p>	<p>*Case studies which include review of project documents, interviews, and data on quotas or other temporary special measures to support candidates and elected officials with disabilities</p>
<p>To what extent do WPS policies and activities engage women in addressing gender-differentiated risks and opportunities of climate change impacts in fragile contexts?</p>	<p>*Presence of assessments on climate-related risks and opportunities for womens' participation and leadership.</p>	<p>*Evidence of gender-responsive conflict analysis conducted by entity</p> <p>*Case studies which include review of project documents and interviews</p>

3.3. Mainstreaming mandates: Expanded references

The following is a list of relevant mandates with details supporting the summary paragraph in Section 1:

Gender	-According to several General Assembly resolutions, including A/RES/53/120 (para 3), A/RES/60/1 (paras 59 and 166), A/RES/70/1 (para 20), and A/RES/71/243 (para 13), gender perspectives must be mainstreamed into all UN policies and programmes.
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¹⁴ Source: IED Inception Papers

	<p>-Gender mainstreaming is a longstanding UN requirement that was first established as a global strategy for the promotion of gender equality in the 1995 Beijing Platform for Action, as well as being made a UN requirement by ECOSOC (A/52/3 Chapter IV) in 1997. The Millennium Declaration and subsequently the 2030 Agenda for Sustainable Development also commit the UN to promoting gender equality in its development efforts, including through the gender mainstreaming approach.</p> <p>-The Secretariat Administrative Instruction (ST/AI/2021/3 para. 5.5) requires all Heads of Entities to ensure the integration of respect for gender equality and disability inclusion in evaluation procedures and practices.</p>
<p>Disability Inclusion</p>	<p>-The original mandate comes from the Convention on the Rights of Persons with Disabilities (CRPD, 2006), in which all state parties agree “to take into account the protection and promotion of the human rights of persons with disabilities in all policies and programmes” (article 4, 1c), amongst other general obligations.</p> <p>A/RES/75/154 (16 Dec 2020): Inclusive development for and with persons with disabilities. In paragraphs 6, 7 and 8 the GA specifically urges that all United Nations programmes and policies mainstream disability inclusion.</p> <p>The United Nations Disability Inclusion Strategy (UNDIS) (October 2019) and the Accountability Framework, which applies to all UN system entities, require mainstreaming disability inclusion into programmes and policies in order to support member states in implementation of the CRPD.</p> <p>The UNDIS Strategy and Accountability framework go into further detail that entities are to adopt a twin track approach to mainstreaming disability inclusion. Pg 76 of the Accountability Framework reads: “The twin-track approach combines mainstream programmes and projects that are inclusive of persons with disabilities as well as programmes and projects that are targeted towards persons with disabilities.”</p> <p>For Peacekeeping - S/RES/2475 (2019): Addresses persons with disabilities in armed conflict. In paragraph 7, the Council “emphasizes the importance of building capacity and knowledge of the rights and specific needs of persons with disabilities across United Nations peacekeeping and peacebuilding actors and urges Member States to play a central role in this regard”.</p>
<p>Environment</p>	<p>-A/RES/70/1 - Transforming our world: the 2030 Agenda for Sustainable Development puts significant emphasis on the need for increased Climate Action. For example, a minimum of six Sustainable Development Goals (SDGs) include a climate action orientation: SDGs 13, 14, 15, 12, 11 and 7¹⁵.</p>

¹⁵ SDGs 13 (Climate Action), 14 (Life Below the Sea), 15 (Life on Land), 12 (Responsible Consumption and Production), 11 (Sustainable Cities), and 7 (Affordable Clean Energy).

	<p>-More specific to IED evaluation work, the following two Secretariat documents address actions which entities are expected to take regarding the “mainstreaming of environmental sustainability considerations into the Secretariat activities worldwide.”</p> <ul style="list-style-type: none"> a. S-G bulletin: Environmental policy for the UN Secretariat (ST/SGB/2019/7-4 September 2019) (see link in IED mainstreaming para at beginning of this document) b. Report of SG: Action Plan for Integrating Sustainable Development Practices into Secretariat-wide Operations and Facilities Management: (un.org) (A/72/82 – 27 April 2017) <p>-As per the SG bulletin: “The Secretariat commits itself, through [its environmental policy], to five guiding principles: (a) stewardship of the environment with respect to all operations; (b) efficiency in resource use and operations; (c) continuous improvement of environmental performance; (d) stakeholder engagement at all levels; and (e) adaptation and resilience.” Related to this, IED staff are expected to mainstream environmental issues into on-going programmatic work.</p> <p>-Detailed guidance on implementing the Secretariat environmental policy is being developed by DMSPC Sustainability and Resilience Unit in conjunction with DOS. Plans are also in place to develop an accountability/ monitoring framework.</p>
<p>Human Rights</p>	<ul style="list-style-type: none"> - 1997: A/51/950 (UN Program For Reform) (A/RES/52/12 A/A/RES/52/12 B): In 1997, in the context of the UN organizational reforms, the Secretary-General called on all entities of the UN system to mainstream human rights into their various activities and programmes and designated human rights as a cross-cutting issue across all pillars of UN work (peace and security, economic and social affairs, development cooperation and humanitarian affairs).¹⁶ - 2005: A/RES/60/1: 2005 World Summit Outcome: “We resolve to integrate the promotion and protection of human rights into national policies and to support the further mainstreaming of human rights throughout the United Nations system.”¹⁷ - 2006: A/RES/60/251 established the Human Rights Council to “promote the effective coordination and the mainstreaming of human rights within the United Nations system” and address human rights violations, including gross and systematic violations, and make recommendations thereon.¹⁸ - 2015: A/RES/70/1: While no specific mention of mainstreaming as such is made, the Agenda is “grounded in the Universal Declaration of Human Rights,

¹⁶ A/51/950 <https://documents-dds-ny.un.org/doc/UNDOC/GEN/N97/189/79/IMG/N9718979.pdf?OpenElement>

¹⁷ A/RES/60/1 <https://documents-dds-ny.un.org/doc/UNDOC/GEN/N05/487/60/PDF/N0548760.pdf?OpenElement>

¹⁸ A/RES/60/251 https://www2.ohchr.org/english/bodies/hrcouncil/docs/a.res.60.251_en.pdf

	<p>international human rights treaties, the Millennium Declaration and the 2005 World Summit Outcome”.¹⁹</p> <ul style="list-style-type: none"> - 2021: A/RES/76/6²⁰ adopts Our Common Agenda (A/75/982) which notes the upholding of human rights as an obligation for all States and calls for the implementation of the full spectrum of human rights.
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3.4. Additional resources

- **Gender Mainstreaming in Evaluations:**
 - [UN Women 2022, Handbook on Gender Mainstreaming for Gender Equality Results](#)
 - [UN Women Evaluation Handbook \(2015\): How to manage gender-responsive evaluation](#)
 - [UN Women 2020, Good practices in gender-responsive evaluations.](#)
 - [UNEG 2014, Integrating Human Rights and Gender Equality in Evaluations.](#)
- **Disability Inclusion Mainstreaming in Evaluations:**
 - [UNEG Guidance on disability inclusion in evaluations \(Jan 2022\)](#); The guidance contains practical advice and examples for disability inclusion as well as disability inclusion specific evaluation questions, drawn from good practices in other UN and non-UN evaluations.
- **Environmental Mainstreaming in Evaluations:**
 - [Action Plan for Integrating Sustainable Development Practices into Secretariat-wide Operations and Facilities Management: \(un.org\) \(A/72/82; April 2017\)](#)
 - [UNITED NATIONS Secretariat Climate Action Plan 2020-2030](#)
 - UNEG Guidance: [Detail of Stock-Taking Exercise on Policies and Guidance of UN Agencies in Support of Evaluation of Social and Environmental Considerations \(Main Report and Annex\) \(uneval.org\) \(July 2020\)](#)
 - UNEG EPE: Integrating Environment into Evaluations <http://unevaluation.org/event/detail/570> (Nov 2021) (click on “+” for 4 relevant EPE session documents)
 - Environmental Policy for UN Field Missions in 2009 and the Environment Strategy in January 2017 (https://peacekeeping.un.org/sites/default/files/171116_dfs_exec_summary_environment_0.pdf)
- **Human rights mainstreaming in evaluations:**
 - [UNDP 2012. Mainstreaming Human Rights in Development Policies and Programming: UNDP Experiences.](#)
 - [OHCHR 2012. Human Rights Indicators. A Guide to Measurement and Implementation](#)
 - [UNEG 2014, Integrating Human Rights and Gender Equality in Evaluations.](#)

¹⁹ A/RES/70/1

https://www.un.org/en/development/desa/population/migration/generalassembly/docs/globalcompact/A_RES_70_1_E.pdf

²⁰ A/RES/76/6: <https://documents-dds-ny.un.org/doc/UNDOC/GEN/N21/342/14/PDF/N2134214.pdf?OpenElement>

- UNDG 2016. [Mainstreaming Human Rights in Development](#)
- UNEG 2017. [Norms and Standards for Evaluation](#)
- UNEG 2020. [Ethical Guidelines for Evaluation](#)

Annex E: Quality Assurance Checklists (January 2023)²¹

Quality Checklist for Scoping

A. The Consultation Process

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
1. Did the evaluation team organize an entry meeting with the evaluand(s) (e.g., IED team with the focal points, head of evaluation and/or evaluand head of subprogramme or thematic areas)?						
2. Were key internal and external stakeholders of the evaluand consulted throughout the scoping process?						
3. During consultations, was the need for OIOS independence balanced with any expressed client preferences?						
4. Were subject-matter experts identified and consulted during the scoping phase, if needed?						
5. Was the report follow-up stage explained to the evaluand at the beginning of the evaluation process,						

²¹ Rev. 15 1.10.23 Version

including triennial reviews for CPC reports?						
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B. Defining the programme, subprogramme, mission component or Thematic Theory of Change

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
1. Was the General Assembly-approved Strategic Framework and parallel strategic planning documents for evaluand's respective governing bodies reviewed in developing the Theory of Change (TOC)?						
2. Does the TOC include inputs, activities, outputs, immediate, intermediate and long-term outcomes and impacts?						
3. Does it specify enabling factors and assumptions?						
4. Was the TOC developed and discussed with the evaluand/s and other key stakeholders?						

C. Focusing the Evaluation

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
1. For outcome evaluations, were the adequacy of existing frameworks, key performance indicators and other outcome data considered and assessed?						

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
1.a. For formative evaluations, were emerging questions and issues on nascent programmes considered?						
2. Were general scoping issues examined (e.g., what can and will be explored and what cannot or won't, and why)?						
3. Was consideration given to the most appropriate means of ensuring maximum relevance, credibility, and utilization of the evaluation?						
4. Were main risks to the subprogramme/programme/mission component/thematic issue identified, including any apparent evaluation gaps or priorities, as well as reputational, financial, programmatic and human risks associated them?						
5. Was consideration given to how to enhance the evaluation's utility beside the report itself?						

D. Framing the Evaluation Questions

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
1. Are the evaluation questions directly and clearly grounded in the TOC?						
2. Were the number of evaluation questions kept to						

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
a reasonable number given the evaluation objective and time and resource considerations?						
3. Are the evaluation questions clearly organized around the evaluation criteria?						
4. Are the evaluation questions clearly linked to the key programme or policy decision, actions, or improvements the evaluation seek to assess?						
5. In framing the evaluation questions, were primary or secondary data sources identified to answer them?						
6. In framing the evaluation questions, was the following TOC logic used? <ul style="list-style-type: none"> • Impacts should not be looked for unless there is evidence of outcomes • Outcomes should not be looked for unless there is evidence of outputs • Outputs should not be looked for unless there is evidence of activities being implemented 						

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
<p>7. In framing the evaluation questions, were the following points considered?</p> <ul style="list-style-type: none"> • Is the evaluand(s) doing the right things, how do they know, and how do they measure it (effectiveness)? • Is the evaluand(s) doing these things right, are those things coherent, how do they know, and how do they measure it (efficiency and coherence)? • Is the evaluand(s) doing these things on the right scale to make a difference, how do they know, and how do they measure it (effectiveness and sustainability)? 						
8. Are “why” questions asked to identify the key contributing factors that influence the evaluand’s performance?						
9. Are mainstreaming areas related to gender, environment, human rights and disability inclusion integrated into the questions and design?						
10. Are the questions presented in a logical order?						

Acknowledgement and signature by the Team Leader and Chief of Section (CoS)

TL:

CoS:

Sign off by the Director of IED

Quality Checklist for Inception Paper

A. Content of Inception Paper (IP)

Does the report include...	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
1. Background - resources, organizational structure, leadership, and other relevant information?	✓	✗				
2. A Theory of Change (TOC) which was developed in consultation with the evaluand's focal points?						
3. Evaluand's evaluation function and capacity (summary of their M&E)?						
4. Overall evaluation objective (relevance, efficiency, effectiveness, impact, sustainability, and/or coherence)?						
5. Whether the evaluation is summative, formative or both?						
6. Specific purposes of the evaluation (e.g., what specific decisions or actions the evaluation will seek to influence, and how the evaluand will use the evaluation further)?						
7. Scope of evaluation (full programme, partial programme, single or multiple subprogramme(s), mission component, issues and/or topics), time frame and a						

Does the report include...	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
rationale for why the scope was selected?						
8. Key evaluation questions, and sub-questions as relevant?						
9. A stakeholder analysis?						
10. Methodology, including potential data sources and indicators that are consolidated in an evaluation design matrix (EDM)?						
11. A timeline?	✓	✗				
12. Resources required (financial and human; travel; consultants)?						
13. A discussion of the evaluation advisory panel and/or subject-matter experts or reference group, as relevant and necessary)?						
14. Mainstreaming considerations and issues related to gender, environment, human rights and disability inclusion?						
15. An evaluation risk management strategy, including working arrangements with the evaluand, as appropriate?						
16. A use and dissemination strategy						

B. Overall Presentation

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
1. Is the report 10-15 pages in length?	✓	x				
2. Is the report clearly written, with a logical flow within and among sentences and paragraphs?						

C. Clearance

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
1. Was the inception paper shared with the evaluand for comment and where they incorporated in the final version?	✓	x				
2. Was the inception paper shared with and cleared by the Director of IED?						
3. Was the inception paper shared with and cleared by the USG?						

<p>Acknowledgement and signature by the Team Leader and Chief of Section (CoS)</p> <p>TL:</p> <p>CoS:</p>	<p>Sign off by the Director of IED</p>
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Quality Checklist for Data Collection

A. Overall Data Management

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
1. Was the Evaluation Design Matrix (EDM) used in developing specific data collection instruments?						
2. Where relevant, were sampling strategies, sampling frames, selection criteria and sampling techniques for each data collection modality developed and samples selected accordingly?						
3. Was a system designed for keeping track of the data (e.g., physical recording devices such as index cards, or documenting different sources and types of analysis and methodologies used stored in SharePoint) to ensure ready availability when drafting begins?						

B. Interviews

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
1. Were interview guide(s) developed and used in accordance with good practices outlined in IED Manual?						

2. Were interview guides pre-tested before being finalized?						
3. Was there an interview transcript/notes maintained and stored on SharePoint after every interview conducted?						

C. Surveys

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
1. If sampling, was the appropriate confidence level (minimum 90%) used to determine sample size?						
2. Were survey(s) designed and used in accordance with good practices outlined in IED Manual?						
3. Were surveys pre-tested before being finalized?						
4. Was the survey sampling strategy appropriately aligned with evaluation objectives and purpose (e.g., oversampling where necessary, key demographic groups represented)?						
5. If needed, was translation arranged?						
6. Was the survey instrument entered into Qualtrics (or alternative)?						

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
7. Did the project leader coordinate with the OUSG for issuance of surveys to Member States through Note Verbales or other agreed means?						
8. Was the response rate monitored and necessary follow-up conducted to ensure maximum response rate?						
9. Was there a discussion about usability of data if response rate is low, and how to treat incomplete surveys?						

D. Direct Observation

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
1. Was a structured review sheet or checklist developed to record observations?						
2. Were supplementary means of recording observations (e.g., photos) considered?						
3. Were confidentiality or related issues addressed?						
4. Were observation notes drafted and stored on SharePoint after the event?						

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off

E. Document Review

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
1. Was a broad range of documentation included (e.g., mandates, operational and financial records, performance documents, Intergovernmental reports and work plans)?						
2. Was a structured review instrument based on the evaluation questions developed?						
3. Was the information in documents verified against a separate source where warranted and possible?						

F. Secondary Data

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
1. Were the validity and credibility of secondary data sources assessed, and limitations considered?						
2. Were sample data points reviewed to determine						

reliability, validity and veracity of data?						
3. Was there triangulation of secondary data with other data sources where warranted and possible?						

G. Focus Groups

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
1. Were focus groups conducted in accordance with good practices outlined in IED Manual?						
2. Was there a focus group transcript/notes maintained and stored on SharePoint for every focus group conducted?						

<p>Acknowledgement and signature by the Team Leader and Chief of Section (CoS)</p> <p>TL:</p> <p>CoS:</p>	<p>Sign off by the Director of IED</p>
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Quality Checklist for Data Analysis

A. Preliminary Data Analysis

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
1. Did the team develop an overall evaluation data analysis plan rooted directly in the Evaluation Design Matrix (EDM) and identifying the approach(es) taken for the analyses?						

B. Analysis of Different Data Collection Methods

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
1. For initial desk review, is there a written analysis of the key issues identified?						
2. For all interviews, is there a written summary of salient themes? (e.g., have NVivo coding used to produce the written summaries?)						
3. For focus groups, are areas of stakeholder convergence and divergence coded?						
4. For surveys, were closed-ended responses tabulated and open-ended questions coded?						
5. For structured direct observation, were the results from the observation						

instrument summarized and/or tabulated?						
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C. Overall Data Analysis Standards

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
1. Prior to analysis, were all datasets cleaned and necessary preliminary analyses conducted (e.g., non-response analysis)?						
2. Are all data analyses clearly documented?						
3. Are all data analyses accessible on the SharePoint?						
4. Are the results of the data analysis results traceable to the original data and the analysis framework?						
5. If appropriate, were additional analyses conducted, such as confidence intervals for key survey estimates and non-respondent analyses for low response rates?						
6. Wherever appropriate, were appropriate weighting schemes applied to adjust for over- or under-sampling?						
7. Was data triangulation performed adequately in that multiple data sets were combined for an integrated analysis?						

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
8. Was the analysis credible (the findings are plausible and trustworthy), confirmable (there is a clear link between the data and the findings) and dependable (the assessment can be replicated in similar conditions)?						

<p>Acknowledgement and signature by the Team Leader and Chief of Section (CoS)</p> <p>TL:</p> <p>CoS:</p>	<p>Sign off by the Director of IED</p>
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Quality Checklist for Report Drafting and Recommendations

A. Brainstorming

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
1. Was a structured team brainstorm conducted following the conclusion of the data collection and analysis phases?						
2. Did the brainstorm yield a report outline (including draft result statements) and a plan for drafting the report (including team assignments)?						
3. Were the preliminary results shared with the Director, the evaluand(s) and the OUSG prior to drafting the report?						
4. Were any issues not listed in the TOR that were identified during the evaluation included?						

B. Report Drafting

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
1. Was the report annotated by listing references and supporting data/information for the claims made?						
2. Was all data crossed checked for accuracy?						

3. Were the subject-matter experts/ advisory panel, if any, consulted when drafting the report?						
4. Is the report logical, coherent, clear and easy to read?						

C. Recommendations

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
1. Was it determined whether recommendations were necessary?						
2. Were recommendations clearly based on, and explicitly linked to, results?						
3. Were the appropriate body/ies to which the recommendations should be addressed identified?						
4. Were recommendations short and clear about the action expected?						
5. Were excessive prescriptiveness or vagueness in recommendations avoided?						
6. Was the evaluand fully consulted in the development of the recommendations?						

D. Content of Report

Does the report include...	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
1. An Executive Summary that encapsulates the overall story of the evaluation report in a clear, concise, and compelling way?						
2. A Background section spelling out the most important information to convey about the evaluand?						
3. An explicit statement of the evaluation objective?						
4. A brief presentation of the evaluation scope – what was and was not included and why?						
5. A Methodology section that discusses the specific methods used, with which stakeholder groups and in what numbers, and how these were triangulated?						
6. A discussion of any methodological or practical limitations or challenges and, where applicable, any creative or innovative approaches used to tackle these?						
7. Results Statements that capture the “bottom line” in a descriptive but succinct way?						
8. Results that flow logically from supporting evidence with						

Does the report include...	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
sound analysis for major assertions (e.g., they: are based on facts, consider alternative explanations, take underlying assumptions into account, etc.)?						
9. Mainstreaming issues that include gender, human rights, environment, and disability inclusion?						
10. Is the report easy to understand, clearly written with a logical flow within and among sentences and paragraphs?						

F. Clearance

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign-off
1. Was the report shared informally with the evaluand for comment?						
2. Was the report shared with the USG for clearance?						
3. Did the evaluand submit a formal management response and an action plan including target dates for all accepted recommendations, either at the same time or shortly after submitting the management response?						

<p>Acknowledgement and signature by the Team Leader and Chief of Section (CoS)</p> <p>TL:</p> <p>CoS:</p>	<p>Sign off by the Director of IED</p>
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Quality Checklist for Report Follow-Up

A. After report completion

	Yes	No	Date	Comments	Project Leader sign-off	Section Chief sign off
1. After report completion, did the team have a lessons learned session to discuss what went well/did not go well in the evaluation and save the lessons on the shared drive?						
2. After the report completion, are the lessons learned circulated to the rest of the Division for sharing and learning purposes?						
3. After report completion, does the team offer the evaluand a meeting to discuss the implementation of recommendation, including the tracking mechanisms that will be used for the purpose?						
4. Has the project leader (or designated IED focal point) filled in a recommendation import table and sent to the IED Teammate+ focal point within 2 weeks of a report finalization?						
5. Has the project leader (or designated IED focal point) responded to all recommendation updates within 2 weeks of receipt from the evaluand(s)?						
6. Has the project leader (or designated IED focal point) closed out Teammate+ within 3 days of						

the final recommendation implementation?						
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<p>Acknowledgement and signature by the Team Leader and Chief of Section (CoS)</p> <p>TL:</p> <p>CoS:</p>	<p>Sign off by the Director of IED</p>
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Annex F: Roles and Responsibilities Matrix (December 1, 2020)

(This matrix will be updated according to the new OIOS-IED Deputy Director position which has been filled as of January 1st, 2023)

- Reference document for clarifying roles to increase efficiency and eliminate duplication
- Based on experience of roles in typical IED work cycle
- Does not replace approved job descriptions, contractual agreements, or team compacts
- Team sizes vary by nature of assignment; these roles are based on a PL, TM and possibly a consultant, working under Section Chief supervision.

	Team Member (TM)	Project Leader (PL)	Section Chief	Director	Administrative professional (AP)
EVALUATION AND INSPECTION PROJECT TASKS					
Project selection and announcement Scoping	<ul style="list-style-type: none"> • Expresses interest in project(s) based on work plan • Drafts or assists PL with drafting the notification memo 	<ul style="list-style-type: none"> • Expresses interest in project(s) based on work plan • Leads the team in preliminary scoping to determine a tentative subprogramme or peacekeeping mandate component focus of the evaluation • Drafts notification memo to evaluand announcing project, tentative subprogramme/mandate component/theme and requesting focal point 	<ul style="list-style-type: none"> • In collaboration with Director, considers what programme of work would be most strategic for IED to take on during a given year (including what decisions could be supported by OIOS evaluations identified by risk assessment process for the coming cycle) • As part of management team, has input on work plan decisions • Contributes suggestions towards project and team composition based on consideration of the capacities and career development of prospective PLs and TMs, as well as own capacities and career development 	<ul style="list-style-type: none"> • Takes the lead on risk assessment for IED which helps to guide work plan • Considers overall resources and determines what can be produced by the Division during a given year • Consults with Chiefs in determining project and team assignments 	<ul style="list-style-type: none"> • Formats and distributes notification memo

	Team Member (TM)	Project Leader (PL)	Section Chief	Director	Administrative professional (AP)
			<ul style="list-style-type: none"> Guides the team in team-building, establishment of team compacts, and preliminary scoping to determine focus of evaluation, ensuring relevant risks and factors are taken into consideration Provides comments, edits, final review and clearance of notification memo before sending to Director 	<ul style="list-style-type: none"> Makes final decision on workplan and Chief and team assignments Communicates with staff on the criteria used to assign projects and reminds them of process and standards to be followed for scoping 	
Scoping Preparation of inception paper	<ul style="list-style-type: none"> Contributes to development of scoping plan Participates fully in the preliminary desk review, programme data analyses and scoping interviews under guidance of PL Can take lead responsibility for discrete research topics, under guidance of PL 	<ul style="list-style-type: none"> Develops scoping plan and gives discrete scoping tasks to TMs Participates fully in the preliminary desk review, programme data analyses and scoping interviews under guidance of Chief Engages directly with evaluand focal point regarding data requests Organizes brainstorming within IED to discuss the evaluation scope and approach 	<ul style="list-style-type: none"> Provides guidance on the development of scoping plan Participates in the preliminary desk review, programme data analyses and scoping interviews Provides on-going guidance and support to project team with regard to possible evaluation scope 	<ul style="list-style-type: none"> Contributes to strategic thinking on evaluation scope Ensures consistency in scoping protocol across sections 	<ul style="list-style-type: none"> Assists with preliminary desk review and scheduling of scoping interviews as needed
Preparation of inception paper	<ul style="list-style-type: none"> Brainstorms with PL, other TMs and Chief on evaluation objectives, scope, methodology and 	<ul style="list-style-type: none"> Brainstorms with TMs and Chief on evaluation objectives, scope, methodology and questions, as well as Evaluation Design Matrix 	<ul style="list-style-type: none"> Provides on-going guidance and support to project team with regard to evaluation objectives, scope, methodology and questions 	<ul style="list-style-type: none"> Ensures common quality standards in inception paper across sections 	<ul style="list-style-type: none"> Formats final inception paper

	Team Member (TM)	Project Leader (PL)	Section Chief	Director	Administrative professional (AP)
Recruiting and managing consultants	<p>questions, as well as Evaluation Design Matrix</p> <ul style="list-style-type: none"> • Drafts some sections of the inception paper, as assigned by PL 	<ul style="list-style-type: none"> • Drafts some sections of the inception paper • Delegates sections of the inception paper to TMs for drafting and provides guidance to TMs for this task • Consolidates the different sections of the inception paper and is responsible for finalizing before submitting for Section Chief's review • Ensures the inception paper clearly identifies any upcoming decision-making needs of evaluand 	<ul style="list-style-type: none"> • Brainstorms with PL and other TMs on evaluation objectives, scope, methodology and questions, as well as Evaluation Design Matrix • Provides comments, edits, final review and clearance of inception paper before sending to Director • Ensures the inception paper clearly identifies any upcoming decision-making needs of evaluand 	<ul style="list-style-type: none"> • Provides final review and clearance of inception paper before being sent to evaluand and OUSG 	<ul style="list-style-type: none"> • Issues final inception paper to evaluand with relevant memos
Recruiting and managing consultants Preparation of project budget	<ul style="list-style-type: none"> • As agreed with PL, assists with the consultant recruitment process (which may include drafting the TOR, reviewing PHPs and conducting interviews) 	<ul style="list-style-type: none"> • Drafts TOR for the consultant and other required paperwork for consultant recruitment 	<ul style="list-style-type: none"> • Reviews and approves consultant TORs 	<ul style="list-style-type: none"> • Ensures consistency in consultant recruitment across sections and adherence to relevant policies and regulations 	<ul style="list-style-type: none"> • Assists PL in posting, disseminating, and managing consultant opportunities on relevant websites and platforms

	Team Member (TM)	Project Leader (PL)	Section Chief	Director	Administrative professional (AP)
		<ul style="list-style-type: none"> • Leads the consultant recruitment process (reviewing PHPs and conducting interviews) • Undertakes primary role in managing consultants • Undertakes assessments of the consultants after deliverables completed in order for payments to be processed 	<ul style="list-style-type: none"> • As agreed with PL, assists with the consultant recruitment process (which may include drafting the TOR, reviewing PHPs and conducting interviews) • Ensures selection of consultant candidates follows required regulations • Offers guidance to PLs on selection of consultant candidates • Reviews/signs off consultant assessments prepared by the PL 	<ul style="list-style-type: none"> • Signs off on contract and payment memos 	<ul style="list-style-type: none"> • Supports PL in ensuring administrative process is followed and approvals are received from the EO • Assists in follow-up to obtaining required recruitment documents once initial request has been made by PL • Processes paperwork when all required documents have been obtained from PL • Arranges grounds pass and encoding for OIOS floor access • Organizes telephones, PCs, and email account for consultant • Assists consultant with travel documents and security clearance • Prepares payment request memo

	Team Member (TM)	Project Leader (PL)	Section Chief	Director	Administrative professional (AP)
					<ul style="list-style-type: none"> • Monitors and processes payments when PL indicates payment is due • Manages access to SharePoint files
Preparation of project budget Evaluand interaction	<ul style="list-style-type: none"> • Assists PL with discrete project budget tasks 	<ul style="list-style-type: none"> • Develops the overall project budget within the allocated amount, including consultant and mission requirements • Adjusts scope of project to available resources as needed 	<ul style="list-style-type: none"> • Guides PL in development of project budget and approves project budget proposal • Monitors project budget expenditures in consultation with PLs • Monitors Section project expenditures and makes adjustments as needed in consultations with teams • Makes proposals as necessary to Director regarding any emerging needs and opportunities for shifting resources within own Section and/or suggests transfers to/from other Sections 	<ul style="list-style-type: none"> • Gives broad indicative budget amount to Chief and PL at project start • Approves final project budgets prepared by Sections • Monitors overall budget expenditures for the Division with support of assigned Chiefs and Admin support for RB and QSA budgets, and consults with Chiefs on any budget reduction/reallocation 	<ul style="list-style-type: none"> • Assists Director/Section Chief with Division/Section budget requests and monitoring • Provides Director with budget estimates on division-wide items, such as IT

	Team Member (TM)	Project Leader (PL)	Section Chief	Director	Administrative professional (AP)
Evaluand interaction OUSG interaction	<ul style="list-style-type: none"> Engages in evaluand contact as discussed and decided upon within the team, such as liaising with focal point and arranging meetings, under PL guidance Participates in all evaluand briefings, including preliminary scoping approach and evaluation results 	<ul style="list-style-type: none"> Acts as the main evaluand contact during conduct of evaluation, unless protocol and/or political sensitivity requires Chief to be the primary contact Leads evaluand briefings, including preliminary scoping approach and evaluation results 	<ul style="list-style-type: none"> Provides guidance on how to engage evaluands effectively and coaches project team on such engagement Serves as primary contact with evaluand when high-level engagement is called for Chairs evaluand briefings, including preliminary scoping approach and evaluation results Once evaluation is completed, continues to monitor for opportunities to provide additional OIOS support 	<ul style="list-style-type: none"> Participates in evaluand briefings on preliminary scoping approach and evaluation results 	<ul style="list-style-type: none"> Engages in communication with evaluand as needed, such as follow-up to notification and draft report memos
OUSG interaction Data collection	<ul style="list-style-type: none"> Participates in project team meetings and briefings with OUSG Assists with the development of project presentations, as directed by PL 	<ul style="list-style-type: none"> Participates in project team meetings and briefings with OUSG Takes the lead on developing project presentations for OUSG briefings 	<ul style="list-style-type: none"> Takes the lead on project team meetings and briefings with OUSG Provides guidance to PLs on developing project presentations for OUSG briefings 	<ul style="list-style-type: none"> Participates in all Division project meetings and briefings with OUSG 	<ul style="list-style-type: none"> Ensures that correspondence with USG meets established requirements Keeps calendar of Division meetings with OUSG updated

	Team Member (TM)	Project Leader (PL)	Section Chief	Director	Administrative professional (AP)
Data collection Mission planning	<ul style="list-style-type: none"> • Directly participates in all phases of data collection work • Assumes responsibility for discrete data collection tasks, such as developing data collection instruments 	<ul style="list-style-type: none"> • Develops the overall project data collection plan • Leads the team in data collection, including assigning specific tasks for TMs and consultants and associated timelines for completion • Directly participates in all phases of data collection work • Mentors TMs in all data collection methodologies 	<ul style="list-style-type: none"> • Provides support, coaching and guidance to TMs and the PL on all phases of data collection work • Quality reviews all data collection instruments before they are finalized • Conducts some data collection directly, such as typically but not limited to conducting senior level interviews 	<ul style="list-style-type: none"> • May attend senior level data collection interviews as needed • Ensures consistency and adherence to quality standards in data collection across the division 	<ul style="list-style-type: none"> • Assists with data collection tasks (such as scheduling interviews) as agreed with project team when needed and feasible
Mission planning Roles during a mission	<ul style="list-style-type: none"> • Supports PL in the mission planning process, such as setting up meetings and arranging travel 	<ul style="list-style-type: none"> • Plans and budgets for mission and undertakes primary organizational role, such as liaising with focal points and coordinating the mission schedule • Prepares and submits mission plan for approval 	<ul style="list-style-type: none"> • Provides guidance to PLs on mission planning • Reviews and approves Section mission plans before seeking final Director approval 	<ul style="list-style-type: none"> • Approves final mission plans for all projects • Considers overall Division mission plans, and ensures consistency in criteria used for mission planning and selection across sections (while considering individual project needs) 	<ul style="list-style-type: none"> • Supports consultant travel (such as visas and certificates)
Roles during a mission Data analysis	<ul style="list-style-type: none"> • Conducts interviews and/or focus groups and takes notes 	<ul style="list-style-type: none"> • Takes the mission lead role when in the field 	<ul style="list-style-type: none"> • Supervises and guides work of PLs and TMs while on mission 	<ul style="list-style-type: none"> • May participate in missions where senior-level representation is desired, or for purpose of performance 	<ul style="list-style-type: none"> • If participating in mission (when needed and agreed with project team),

	Team Member (TM)	Project Leader (PL)	Section Chief	Director	Administrative professional (AP)
	<ul style="list-style-type: none"> • May take on lead mission role when PL is not traveling 	<ul style="list-style-type: none"> • Coordinates work of mission team • Conducts interviews and/or focus groups and takes notes 	<ul style="list-style-type: none"> • Conducts interviews and/or focus groups and takes notes 	<p>and quality monitoring; will serve as part-time member for discrete tasks such as conducting interviews and note-taking</p>	<p>assists on site with logistics</p> <ul style="list-style-type: none"> • Participates in some interviews as note-taker and/or interviewer, when feasible
Data analysis Report drafting	<ul style="list-style-type: none"> • Supports PL with data analysis and undertakes discrete data analysis tasks, as agreed with PL • Participates in results/recommendations brainstorming session and briefing on preliminary results to Director and evaluand 	<ul style="list-style-type: none"> • Leads the data analysis and provides guidance to TMs on discrete data analysis tasks • Quality assures TMs' data analysis • Leads results/recommendations brainstorming session and briefing on preliminary results to Director and evaluand 	<ul style="list-style-type: none"> • Provides support, coaching and guidance to teams on data analysis tasks • When the agreed scope of the assignment requires, or when team resources are inadequate to cover agreed scope, support the team through data analysis tasks directly, such as analyzing a specific data source • Provides quality assurance to data analysis 	<ul style="list-style-type: none"> • Reviews and approves preliminary results when briefed by project teams • Participates in preliminary results briefing to evaluand • Ensures consistency and adherence to quality standards in data analysis across the division 	<ul style="list-style-type: none"> • For those projects to which the AP has been assigned as a substantive team member – assists with specific data analysis tasks • Participates in brainstorming session, when applicable

	Team Member (TM)	Project Leader (PL)	Section Chief	Director	Administrative professional (AP)
			<ul style="list-style-type: none"> • Participates in results/recommendations brainstorming sessions and briefing on preliminary results to Director and evaluand 		
Report drafting Finalization of reports	<ul style="list-style-type: none"> • Drafts one or more sections of the report 	<ul style="list-style-type: none"> • Drafts one or more sections of the report • Consolidates report once all sections have been written, and ensures coherence and tone to the overall report • Finalizes the draft report that will be submitted to the Section Chief for review • Supports the Section Chief in responding to editors and processing the report against DGACM guidelines 	<ul style="list-style-type: none"> • Provides direction and feedback to team in overall drafting. • When the agreed scope of the assignment requires, or when team resources are inadequate to cover agreed scope, support the team by drafting one or more sections of the report • Serves as primary focal point with DGACM when GA reports are being edited and translated 		<ul style="list-style-type: none"> • Provides assistance with graphics as needed
Finalization of reports Recommendations follow-up	<ul style="list-style-type: none"> • Assists with incorporating evaluand comments, editing and proofreading 	<ul style="list-style-type: none"> • Takes lead role in finalizing report, including incorporating evaluand comments, editing and proofreading 	<ul style="list-style-type: none"> • Ensures quality of draft reports meets UNEG and Division norms and standards; with particular attention to quality standards for evidence used in supporting results, coherence and organization of the overall narrative, and standard length. 	<ul style="list-style-type: none"> • Provides final review and approval of all Division reports before they are finalized 	<ul style="list-style-type: none"> • Formats both GA and non-GA reports

	Team Member (TM)	Project Leader (PL)	Section Chief	Director	Administrative professional (AP)
		<ul style="list-style-type: none"> Ensures that the final report is fully annotated in preparation for CPC discussions Drafts introductory statement for GA reports for presentation to intergovernmental body 	<ul style="list-style-type: none"> Provides quality assurance for all reports in the Section by reviewing and giving final approval for reports to be sent to Director Ensures evaluand comments are appropriately addressed and incorporated Ensures that all necessary preparation is completed for presentation of GA reports to intergovernmental body Responds to questions raised by Member States when GA reports are presented to intergovernmental bodies 	<ul style="list-style-type: none"> Ensures common quality standards in reports across sections Ensures consistency in report length and format across sections Responds to questions raised by Member States when GA reports are presented to intergovernmental bodies 	<ul style="list-style-type: none"> Ensures that outgoing correspondence when reports are sent out are correct and addressed to the correct recipients
Recommendations follow-up	<ul style="list-style-type: none"> Participates in recommendations follow-up as agreed with PL and Chief 	<ul style="list-style-type: none"> Follows up with evaluand for recommendation action plan with deadlines for implementation Takes the lead in responding to evaluand follow-ups and provides responses for TeamMate+ Makes preliminary decision on closing recommendations 	<ul style="list-style-type: none"> Provides guidance to PL on responding to evaluand follow-up Approves closing of recommendations in the reports completed under his/her supervision Takes over lead on project recommendations follow-up when PL unavailable 	<ul style="list-style-type: none"> Decides what to include in OIOS Annual Reports in consultation with Chiefs 	<ul style="list-style-type: none"> Assigned AP for recommendations follow-up: contacts evaluands for updates, enters Division responses into TeamMate+, and liaises with OUSG on all Division follow-up

	Team Member (TM)	Project Leader (PL)	Section Chief	Director	Administrative professional (AP)
MANAGEMENT AND CROSS-CUTTING TASKS					
Project management Managing project teams	<ul style="list-style-type: none"> Contributes to development of project work plan and troubleshooting challenges Ensures that deadlines for assigned project tasks are met 	<ul style="list-style-type: none"> Leads projects and ensures that overall project deadlines are met, including through the development of a work plan with clear responsibilities and timelines agreed in consultation with TMs and Chief Coordinates the on-going project progress Anticipates and troubleshoots challenges to the project as they arise Provides guidance and direction to TMs Completes all quality checklists in a timely manner for each assignment phase 	<ul style="list-style-type: none"> Provides overall project guidance and supervision, such as ensuring that projects assigned to his/her section are moving along appropriate timelines and within the allocated budgets, assisting teams with trouble shooting, and developing solutions to challenges that may emerge Approves quality checklists at the end of each assignment phase 	<ul style="list-style-type: none"> Provides overall guidance and support to all Division projects as needed Ensures equitable distribution of team and financial resources commensurate with project requirements Ensures consistency in projects with regard to quality and timeliness across sections Ensures clarity and consistency of review and approval process for key project milestones through development of SOPs 	<ul style="list-style-type: none"> Manages assigned division-wide tasks (such as recruitment and recommendation follow-up)
Managing project teams Division-wide assignments (e.g., budget, work groups, UNEG task forces)	<ul style="list-style-type: none"> May guide consultants and/or interns Contributes to development of Team Compacts 	<ul style="list-style-type: none"> Takes primary responsibility for leading, coordinating and directing the project team, including consultants and interns Takes the lead in the Team Compact discussion and finalization 	<ul style="list-style-type: none"> Supervises all project teams in the section Participates in all Team Compact discussions 	<ul style="list-style-type: none"> Directly manages the Chiefs as part of the management team 	<ul style="list-style-type: none"> Contributes to development of team compacts

	Team Member (TM)	Project Leader (PL)	Section Chief	Director	Administrative professional (AP)
			<ul style="list-style-type: none"> • Provides guidance to project team if it is not working effectively • Supports project team in overall achievement of results • Provides guidance to project team on issues related to evaluation ethics 		
<p>Division-wide assignments (e.g., budget, work groups, UNEG task forces)</p> <p>Staff development and training</p>	<ul style="list-style-type: none"> • Performs division-wide assignments as agreed to with PL, Chief and Director • Consults with PL and Chief with regard to prioritizing among multiple assignments • Establishes clear understanding with PL, Chief about relative time commitments and priorities of division-wide versus project assignments 	<ul style="list-style-type: none"> • Performs division-wide assignments as agreed to with Chief and Director • Consults with Chief with regard to prioritizing among multiple assignments • Establishes clear understanding with Chief and Director about relative time commitments and priorities of division-wide versus project assignments 	<ul style="list-style-type: none"> • Performs division-wide assignments as agreed to with Director • Provides guidance to TMs and PLs with regard to prioritization among division-wide and project assignments • Monitors time and prioritization of competing assignments within the Section 	<ul style="list-style-type: none"> • Establishes and communicates overall priority among division assignments, including project and division-wide tasks • Consults with Chiefs when making assignments for division-wide tasks • Makes decisions on any conflicts among project and division-wide assignments 	<ul style="list-style-type: none"> • Performs specifically assigned division-wide roles as agreed to with Chief and Director • Consults with PLs, Chiefs and Director with regard to prioritizing among multiple assignments • Establishes clear understanding with PLs, Chiefs and Directorate about relative time commitments and priorities of division-wide versus project assignments

	Team Member (TM)	Project Leader (PL)	Section Chief	Director	Administrative professional (AP)
			<ul style="list-style-type: none"> • Consults with Director when project and division-wide assignments require prioritization 	<ul style="list-style-type: none"> • Ensures equitable distribution of Division-wide assignments taking into account substantive work assignments 	
Staff development and training Lesson learning	<ul style="list-style-type: none"> • Provides substantive and technical guidance to interns during all project stages and gives regular feedback • Informs PL and Chief about own competency development and career development goals 	<ul style="list-style-type: none"> • Provides substantive and technical guidance to TMs, consultants and interns during all project stages and gives regular feedback • Discusses career development and interests of TMs and takes these into account when distributing project tasks • Informs Chief about own competency development and career development goals 	<ul style="list-style-type: none"> • Provides substantive and technical guidance to PLs and TMs during all project stages and gives regular feedback • Discusses career development and interests of PLs and TMs • Provides direct skills development to staff in the section • Ensures the professional development of staff in the section is taken into account when staff are assigned tasks • Provides substantive onboarding guidance to new staff • Informs Director about own competency development and career development goals 	<ul style="list-style-type: none"> • Provides substantive and technical guidance to Chiefs, PLs and TMs during all project stages and gives regular feedback • Establishes onboarding procedures • Discusses competency and career development goals of Chiefs, PLs and TMs 	<ul style="list-style-type: none"> • Informs Chief about own competency development and career development goals • Supports onboarding of new staff • For new staff: arranges grounds pass and encoding for OIOS floor access; organizes telephones, PCs, and email account(s)

	Team Member (TM)	Project Leader (PL)	Section Chief	Director	Administrative professional (AP)
Lesson learning SharePoint drive management	<ul style="list-style-type: none"> • Contributes to project lessons learned sessions 	<ul style="list-style-type: none"> • Schedules and leads project lessons learned sessions • Takes primary responsibility for ongoing documentation of lessons learned and ensuring availability to other members of the team 	<ul style="list-style-type: none"> • Promotes lesson learning in the Section • Participates with project teams in project lesson learning sessions • Participates in Division lessons learned sessions 	<ul style="list-style-type: none"> • Promotes and ensures consistency in lesson learning in the Division • Participates in the Division lessons learned sessions • Determines which lessons learned emerging from projects and sections are relevant to IED practice and communicates this to Division staff 	<ul style="list-style-type: none"> • Participates in project lessons learned sessions in his/her section
SharePoint drive management Conflict resolution	<ul style="list-style-type: none"> • Works in collaboration with PL on SharePoint drive management • Maintains one or more parts of the SharePoint drive folders in line with tasks assigned by PL 	<ul style="list-style-type: none"> • Takes primary responsibility for project SharePoint drive management or delegates this task to TM, making clear what is delegated (e.g. responsibility for saving documents etc.) 	<ul style="list-style-type: none"> • Ensures that division standards for SharePoint drive management are maintained, while also allowing for adaptation to individual evaluation circumstances • Reviews overall structure/architecture of SharePoint drive folders for projects in the Section 	<ul style="list-style-type: none"> • Ensures integrity and consistent usage of SharePoint 	<ul style="list-style-type: none"> • Ensures division-wide folders, such as admin folder, is well maintained • Creates initial project folder structure (at broad level) • Assists project teams as needed when questions arise about SharePoint drive
Conflict resolution Contribution to innovation	<ul style="list-style-type: none"> • Actively contributes to conflict resolution in project team 	<ul style="list-style-type: none"> • Takes the lead in resolving conflict in project team 	<ul style="list-style-type: none"> • Takes the lead in resolving conflict in the section that cannot be resolved at the project team level 	<ul style="list-style-type: none"> • As needed, actively addresses conflicts after attempts have been taken to first handle at the team and 	<ul style="list-style-type: none"> • Contributes to team conflict resolution if needed

	Team Member (TM)	Project Leader (PL)	Section Chief	Director	Administrative professional (AP)
	<ul style="list-style-type: none"> • Develops trust and maintains credibility with project staff in order to be effective in resolving conflict 	<ul style="list-style-type: none"> • Develops trust and maintains credibility with project staff in order to be effective in resolving conflict 	<ul style="list-style-type: none"> • Develops trust and maintains credibility with Section staff in order to be effective in resolving conflict 	<p>Section level do not yield resolution</p> <ul style="list-style-type: none"> • Develops trust and maintains credibility with Division staff in order to be effective in resolving conflict 	
<p>Contribution to innovation</p> <p>Office environment</p>	<ul style="list-style-type: none"> • Actively engages in mentoring, training and capacity building opportunities • Learns and applies skills in new technologies and approaches such as data analytics, visualization, etc. in evaluation assignments • Tests and implements new technologies and other methodological innovations to identify pros and cons and how these may benefit evaluation assignments and IED at large 	<ul style="list-style-type: none"> • Actively engages in mentoring, training and capacity building opportunities for the project • Encourages and supports innovation in the project • Actively identifies new technologies and other methodological innovations for evaluation assignments 	<ul style="list-style-type: none"> • Actively offers mentoring, training and capacity building opportunities for the section • Encourages and supports innovation in the section • Tests and implements new technologies and other methodological innovations to identify pros and cons and how these may benefit evaluation assignments and IED at large 	<ul style="list-style-type: none"> • Leads new technology and other evaluation innovations planning and strategies for the Division • Is abreast of new technologies and evaluation methods • Encourages and supports innovation in the division 	<ul style="list-style-type: none"> • Uses broad knowledge of new technology to support divisional tasks and evaluation assignments, when applicable • Directly contributes to innovation in the division with new ideas and approaches

	Team Member (TM)	Project Leader (PL)	Section Chief	Director	Administrative professional (AP)
	<ul style="list-style-type: none"> • Directly contributes to innovation in the division with new ideas and approaches 	<ul style="list-style-type: none"> • Tests and implements new technologies and other methodological innovations to identify pros and cons and how these may benefit evaluation assignments and IED at large • Directly contributes to innovation in the division with new ideas and approaches 	<ul style="list-style-type: none"> • Directly contributes to innovation in the division with new ideas and approaches 	<ul style="list-style-type: none"> • Directly contributes to innovation in the division with new ideas and approaches 	
Office environment	<ul style="list-style-type: none"> • Fosters a positive and professional work environment • Ensures civil and respectful communication for a harmonious workplace 				

Annex G: SOP for OUSG Review and Clearance (January 2023)

IED Products	Audience	Notify Evaluand	OUSG Approval of Scope	OUSG Review of Inception Draft	Issuance	Present results to OUSG	Issuance of Draft Informal Report	OUSG Review of Draft Final Report	Issuance of Draft Final Report	OUSG Review of Final Report	Issuance by:
			(Briefing)								
1. Evaluations	CPC/GA/SC	Director	Yes	Yes	Director	Yes	Chief/ TL	Yes	Director through USG (Cc ASG)	Yes	Director through USG* (Cc ASG)
	ProgMgrs	Cc USG & ASG			Cc USG & ASG						
2. Inspections	CPC/GA/SC	Director	Yes	Yes	Director	Yes	Chief/ TL	Yes	Director through USG (Cc ASG)	Yes	Director through USG* (Cc ASG)
	ProgMgrs	Cc USG & ASG			Cc USG & ASG						
3. Triennial Reviews	CPC/GA	Director	Yes	Yes	Director	Yes	Chief/ TL	Yes	Director through USG (Cc ASG)	Yes	Director through USG* (Cc ASG)
	ProgMgrs	Cc USG & ASG		(ToR only)	Cc USG & ASG						
4. Advisory Assignments	ProgMgrs	Director	Yes	Yes	Director	Yes	Chief/ TL	Yes	Director through USG (Cc ASG)	Yes	Director through USG* (Cc ASG)
		Cc USG & ASG		(ToR only)	Cc USG & ASG						
5. Synthesis reports	ProgMgrs	N.A.	Yes	Yes	N.A.	Yes	Chief/TL	Yes	Director through USG (Cc ASG)	Yes	Director through USG* (Cc ASG)
				(ToR only)	(Brief framework)						
	ProgMgrs	Director	Yes	N.A.	N.A.	Yes	Chief/ TL	Yes		Yes	

6. Advisory Memoranda		Cc USG & ASG							Director through USG (Cc ASG)		Director through USG* (Cc ASG)
7. Supplementary data and/or analyses	ProgMgrs	N.A.	No	N.A.	N.A.	N.A.	N.A.	No	Chief cc Director	No	Chief cc Director
	Staff										
8. ISeek stories	All Secretariat staff	N.A.	No	N.A.	N.A.	N.A.	N.A.	Yes (as part of Draft)	N.A.	Yes (as part of Final)	Director (direct) cc USG & ASG

*Except in the case of issuance to EOSG, which should go from USG to CdC or relevant EOSG manager

Annex H: Agreement with DGACM on Standardized Treatment of Annexes Containing Management Response(s) in GA Reports

(updated April, 2022)

1. The annex titles will read “Comments received from [name of entity or “entities” if there is more than one entity] on the draft report”. In the reports submitted this week, for example: in the annex to A/76/698, the heading reads “Management response”, which will be changed to read “Comments received from the United Nations Multidimensional Integrated Stabilization Mission in Mali on the draft report”; and in annex II to A/76/667, the heading will read “Response of the Office of Internal Oversight Services to comments received from the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo.”
2. If there is an introductory paragraph in an annex (see, for example, A/76/697, annex I), it will be replaced by a footnote reading “In the present annex, the Office of Internal Oversight Services sets out the full text of comments received from the [name of entity/entities]. The practice has been instituted in line with General Assembly resolution 64/263, following the recommendation of the Independent Audit Advisory Committee.”
3. The acronyms in the annexes will be expanded at first mention in the comments.
4. The paragraphs of text will be indented and not numbered.
5. The memo-style box (To, From, Subject, date, cc’s, etc.) will be deleted.

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