



**UNEG**  
United Nations Evaluation Group

UNEG  
Reference  
Document

# Mapping & Review of Evaluation Ethics

## Final Report

This report was prepared by the UNEG Task Force on Ethics and Code of Conduct and approved for publication at the UNEG AGM 2019. The report was written by Gabrielle Berman, independent consultant, with overall guidance from Gabrielle Duffy, WFP, and Tina Tordjman-Nebe, UNICEF (co-conveners), Simon Bettighofer, ITC, and Deqa Ibrahim Musa/Arild Hauge, UNDP (Task Force members). The UNEG Task Force on Ethics and Code of Conduct is grateful to all those who participated in the surveys, focus groups and key informant interviews, and who gave their time to share their unique insights and perspectives.

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## Acronyms

<b>ACFID</b>	Australian Council for International Development
<b>ADB</b>	Asian Development Bank
<b>ADC</b>	Austrian Development Cooperation
<b>AEA</b>	American Evaluation Association
<b>AfREA</b>	African Evaluation Association
<b>ADB</b>	Asian Development Bank
<b>CIOMS</b>	Council for International Organizations of Medical Science
<b>DEIG</b>	Decentralised Evaluation Interest Group
<b>ECG</b>	Evaluation Cooperation Group
<b>ELRHAP</b>	Enhancing Learning and Research for Humanitarian Assistance Programme
<b>FAO</b>	Food and Agricultural Organization of the United Nations
<b>FRC</b>	Financial Reporting Council
<b>GCF</b>	Green Climate Fund
<b>HEIG</b>	Humanitarian Evaluation Interest Group
<b>IAEA</b>	International Atomic Energy Agency
<b>IDI</b>	International Organization of Supreme Audit Institutions Development Initiative
<b>IFA</b>	International Federation of Accountants
<b>IIA</b>	Institute of Internal Auditors
<b>ILO</b>	International Labour Organization
<b>INGO</b>	International Non-Government Organisations
<b>ITC</b>	International Trade Centre
<b>IOM</b>	International Organisation for Migration
<b>JIU</b>	The Joint Inspection Unit of the United Nations
<b>MSF</b>	Médecins Sans Frontiers
<b>OCHA</b>	Office for the Co-ordination of Humanitarian Affairs
<b>OECD DAC</b>	The Organization for Economic Co-operation and Development's Development Assistance Committee
<b>OIOS</b>	Office of Internal Oversight Services of the United Nations
<b>StC</b>	Save The Children
<b>UNDP</b>	United Nations Development Programme
<b>UNESCO</b>	United Nations Educational, Scientific and Cultural Organisation
<b>UNEG</b>	United Nations Evaluation Group
<b>UNFPA</b>	United Nations Population Fund

<b>UNHCR</b>	United Nations High Commission for Refugees
<b>UNICEF</b>	United Nations Children’s Emergency Fund
<b>UNITAR</b>	The United Nations Institute for Training and Research
<b>UNV</b>	United Nations Volunteers
<b>WFP</b>	World Food Programme
<b>WHO</b>	World Health Organization
<b>WIPO</b>	World Intellectual Property Organization

## Executive Summary

This report summarizes the findings of research designed to inform the revision of the UNEG Ethics Guidelines and Code of Conduct. It aims to consider and reflect on: state-of-the-art practices within organisations undertaking evaluations; the practical application and usefulness of the current 2008 UNEG guidelines for its diverse membership base; and the relationship of these guidelines to the more contemporary UNEG Norms and Standards.

The findings highlight the need to ensure greater consistency to account for the time lag between versions of the three key UNEG reference documents, namely, the [UNEG Norms and Standards](#) (2016) and the 2008 [UNEG Ethical Guidance](#) and [Code of Conduct](#). They also suggest the need to simplify the current documents and reframe the structure for greater ease of use, distinguishing between the obligations of various stakeholders, and quality assurance and ethical issues. This paper also highlights the need for additional standards/obligations that address ethical issues arising from contemporary contextual factors that evaluators within or contracted by UNEG members are being exposed to, particularly in the field.

It should be noted that each of the recommendations included in this report that relate to the content of any future guidelines (rather than the structure) specifically identify the relevant high-level ethical principle to which it would apply. This was designed to allow for greater ease of translation in the subsequent review of the guidelines, should the principles-based approach recommended in the paper be adopted. Finally, this report recommends that the review of the UNEG Ethical Guidelines and Code of Conduct be undertaken within a broader agenda to support ongoing reflection on the practical implementation of ethical principles in the complex contexts that UNEG member organisations are frequently working in and in light of the increasing adoption and consideration of new and emerging data-based technologies to support evaluation processes.

## Evidence Base

This paper is based on a ‘light touch’ literature review of 50 academic and grey reports and, normative guidance documents from 35 UNEG member agencies and observers and comparator organizations. The findings were complemented by surveys, key informant interviews and focus groups. In total, 95 staff took part in the UNEG member and observer survey, and 32 completed the survey tailored for external evaluation consultants. To complement the survey, three focus groups and seven interviews were undertaken.

## Key Recommendations

(includes reference to detailed recommendations [DR])

**Recommendation 1:** The UNEG Ethical Guidelines should include a definition of Ethics, Guidelines and Codes of Conduct to better support understanding of the various documents and their purpose (DR1).

**Recommendation 2:** The UNEG Ethical Guidelines and Code of Conduct should be translated and be made available at least in the official UN languages (DR2).

**Recommendation 3:** The format of the UNEG Ethical Guidelines should be changed to better align with the UNEG Norms and Standards and structured according to a principle-based approach based on the four principles (directly derived from the UNEG Norms and Standards) namely: respect; beneficence; integrity and independence, and transparency and accountability (DR3). Further, the guidelines should:

- Separately reflect on the considerations/standards for each of the various stakeholders in the evaluation process (DR4);
- Include a brief discussion of each consideration as necessary;
- Include a checklist of considerations at the end of each stakeholder section (DR5); and
- Remove current references to quality assurance-based standards such as timeliness and value for money that cannot be considered ethical norms within the Ethical Guidelines.

**Recommendation 4:** The Code of Conduct should be included in the Ethical Guidelines and slightly adapted to be used as a standalone agreement or added to pre-existing contracts to be signed by persons who will undertake evaluations on behalf of UNEG members including new staff (during onboarding processes) and external contractors. Further, that the requirement for relevant persons to sign the Code of Conduct be noted in the Ethics Guidelines. Finally, that the Code of Conduct distinguish between Ethical Standards and Quality Assurance Standards by having two separate sections setting out the list of standards for evaluation ethics and quality assurance respectively (DR6).

**Recommendation 5:** In recognition of the primacy and time constraints in relation to the revision of the UNEG Guidelines and Code of Conduct, these seminal documents should be reviewed as per recommendations as a priority. Further work should determine the nature, content, process and resources for the creation of a broader guidance package that could reasonably include online and offline training, collation of case studies, the development of decision-making algorithms/trees and other supporting products, to be considered and explored post the review process.

**Recommendation 6:** The UNEG Guidelines should include additional guidance points or adapt existing guidance/standards to include or strengthen:

- Consideration of **environmental impacts** (DR8);
- **Informed consent** (DR9);
- **Informal or formal ethical review** processes when working in sensitive contexts or with potentially vulnerable persons (see DR10);
- **Reporting on ethics** and mitigation strategies in both inception and final evaluation reports (DR11);
- **Human rights-based issues** and social obligations (DR12, DR13);

- Links to **relevant references** in the Ethical Guidelines (DR13);
- Explicit reference to **Safeguarding and Prevention of Sexual Harassment, Abuse and Exploitation**; (DR14)
- **Institutional commitments and mechanisms** to ensure independence and avoid conflicts of interest (DR15-18);
- Ethical concerns relating to **humanitarian contexts** and engagement with armed non-state actors (DR19, DR20);
- Greater elaboration on **data ethics** issues (including data sharing, transfer, storage destruction and data breaches) (DR21); and
- Ethical considerations when using **interpreters** (DR22).

# 1. Introduction

1. The United Nations Evaluation Group (UNEG) is an interagency professional network of evaluation units and offices of the UN system, including UN departments, specialized agencies, funds and programmes, and affiliated observers. It currently has 50 such members and observers (UNEG, 2019) that represent a broad spectrum of mandates. The variation in these agencies extends to differences in mission (operational vs. normative agencies), structures (centralized vs. decentralized), in the contexts for the work (development, humanitarian) and in the nature of evaluations that are undertaken (oversight/accountability focused vs. evaluation as part of planning/programme units).
2. As a professional network bringing together these diverse organisations and agencies, UNEG provides broad guidance for standards and supporting ethical practice across its membership. To this end, in 2008, UNEG issued the UNEG Ethical Guidelines and the UNEG Code of Conduct for Evaluation in the UN system, based on the 2005 Norms and Standards. Concurrent to these standards, several UN organizations and UNEG observers also developed their own specific ethical guidelines. A number of these ethical guidelines exclusively pertain to evaluation (e.g. IOM, 2006; WB, 2007), with UNICEF (2014) providing ethical guidance for both research and evaluation. In addition, some have adopted new or revised Evaluation Policy frameworks which explicitly (WHO, 2018; ILO, 2013) or indirectly (OCHA, 2010; IAEA, 2011) (via reference to UNEG Guidelines) refer to ethical concerns and codes of conduct for staff.
3. These developments can be conceived within the broader environment of agencies, associations and organisations involved in or focusing exclusively on evaluations. Within these contexts, critical reflection on, and revised guidelines pertaining to, ethics in evaluation have emerged (ADB; 2005; Duggan and Bush, 2013; AfrEA, 2006-2007; AEA, 2018). These critiques and guidelines reflect the contemporary reality and increasing complexity of the environments in which evaluations are undertaken. Organisations are needing to respond to rapidly changing global contexts, which include complex and protracted humanitarian crises, rapidly emerging technological systems and developments and environmental changes and challenges (ACFID, 2007; Curry, et al, 2014; MSF, 2013; WFP, 2016; UNHCR; 2015). It is these circumstances and situation which UNEG and other agencies, organisations and networks must grapple with if ethical evaluations are to be undertaken within these shifting legal, political, social and technological landscapes.
4. The ethical issues that are raised for different types of organisations undertaking different types of evaluation in differing contexts provide a significant challenge for the revision of the UNEG Ethical Guidelines and requires consideration of: state-of-the-art practices across organisations undertaking evaluations; the practical application and usefulness of the current 2008 guidelines for its diverse membership base; and the relationship of any guidelines to pre-existing organizational standards and codes of conduct.



## 2. Objectives, Scope and Key Questions

5. The objectives of the mapping and review were to:

- Critically review the existing literature to determine state of the art thinking in relation to evaluation ethics;
- Map available guidance documents from within the evaluation community, with a particular focus on UN agencies, evaluation networks, NGOs and bilateral agencies, focusing on international development and humanitarian contexts with a view to understanding the translation of ethical guidelines and codes of conduct into organisational practice and determine approaches, gaps and innovations;
- Explore the awareness, use, utility, accessibility and adequacy of the UNEG Ethical Guidelines and Code of Conduct within the wider UN evaluation community;
- Understand the needs and preferences of in-house and external evaluators from different UN sectors including, development, and humanitarian and peace/security, for guidance materials to support their ethical practice; and
- Critically assess the current Guidelines and Code of Conduct and provide recommendations for the subsequent review of these documents.

### Scope of the Mapping and Review

6. The mapping and review covered normative and operational frameworks relating to three distinct areas of ethical practice:

- Ethics in evidence generation
- Professional conduct of evaluators
- Handling real or perceived conflict of interest

7. It reflected on both development and humanitarian settings and include responses to current ethical challenges such as innovation and use of technologies, data protection, institutional review boards, duty of care, safeguarding of rights-holders, protection from sexual exploitation and abuse, engaging with non-State armed groups, etc. While the focus is on contemporary guidance frameworks primarily from 2008 onwards, other, older guidance products have been included and reflected upon where relevant and perceived to add value and nuance.

### Key Questions

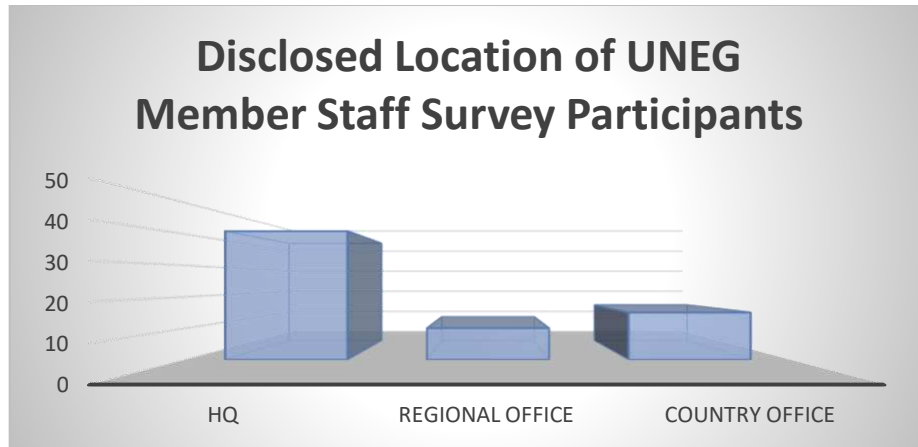
8. The following were the Key Questions framing the project:

- What are current critiques and reflections on the nature of ethics in evaluation, and, the content and structure of ethical guidelines for evaluations highlighted in the literature?
- What is the nature, content and structure of UNEG agencies and comparator organisations' ethics guidelines, codes of conduct, standards and policies for evaluation?

- What is the use, knowledge and perceptions of UNEG Agencies in relation to current UNEG guidelines, ethical challenges, and guidance requirements?
- What are the key changes to both the structure and the content that should be considered in the revised version of the UNEG Ethical Guidance and Code of Conduct?

### 3. Research Methodology

9. Stage 1 involved a literature review to ascertain the state of the art in normative and operational frameworks pertaining to ethics in evidence generation, professional conduct and conflict of interest in both development and humanitarian evaluation contexts. The literature review comprised desk-based research and was conducted solely in English. The literature was sourced from both the pre-existing initial e-library for this project created by task team members and from further scoping of the literature by the consultant. Using online search engines and databases, a combination of keywords were used to search for relevant resources such as: ‘evaluation ethics guidelines’; ‘research ethics guidelines’; ‘evaluation and conflict of interest’; ‘informed consent’; ‘duty of care’; ‘institutional review boards’; ‘data protection’; ‘confidentiality’; ‘privacy’ and ‘ethics humanitarian’; ‘safeguarding’; ‘ethics research sexual violence/sexual exploitation’; ‘ethics engaging with non-State armed groups’; ‘evaluation, conflict of interest and professional development’; ‘environment’ and ‘sustainability’.
10. Information was primarily sourced from English language journal articles, guidelines, grey reports and publications from 13 comparator organizations including bilateral and multilateral agencies, INGO’s, and, where relevant, national evaluation and other relevant professional associations. The literature review was drafted as a separate document though the key findings have been included in this report. In total, 35 normative guidance documents and approximately 50 academic and grey reports were selected and included for relevance.
11. Stage 2 involved disseminating two relatively short (10 minute) web-based surveys to UN evaluation staff and evaluation consultants respectively (see Annex A4.1). The first survey was sent to UNEG members and subsequently distributed to relevant staff internally with response times limited to a six-week period. A separate but similar survey was also sent to external evaluation consultants working for UNEG members. The structure for the questionnaire followed the format for this paper, namely: structure, content and contemporary ethical issues arising in evaluations. Questions pertaining to structure assessed the accessibility and current formats of the guidance, as well as understanding and use of the three documents. In relation to the content of the guidelines, the survey asked more open-ended questions to interrogate contemporary ethical issues and perceived potential gaps in current guidance (see Annex A4.1 for survey questionnaires).
12. In total, 95 surveys were completed by UNEG member and observer organization staff and 32 evaluation consultants. Of those who responded 33 were male, 58 were female and 4 declined to indicate.
13. Of the 95 survey respondents from UNEG member and observer organisations, only 34 persons noted their affiliation. These respondents came from 11 different agencies, the most significant proportion coming from UNICEF.



14. Of those UNEG member staff participating in the survey, 29 chose not to disclose their location. Of the total participants only two survey responses were from observer organisations.
15. In relation to the survey for external consultants, there were 32 responses of which approximately half identified as female (46%) and half as male (43%). Only 9 out of 32 external consultants identified their organization.
16. In light of the relatively short timeframes the survey data was supplemented by seven semi structured Key Informant Interviews (KIIs) (see Annex A4.2) and three focus groups (FGDs) (see Annex A4.3) with UNEG member staff, external experts and consultants which sought to elaborate on issues raised in the literature and survey. The key interviewees and focus groups were determined in collaboration with the UNEG Ethics Task Force, and attempted to capture a cross section of evaluation stakeholders to allocate KII's and focus groups across the following stakeholder groups:
- UNEG Executive Group Members (x2 KII)
  - Evaluation managers from central offices/HQ /regional offices/country offices (x3 focus groups), UNEG Humanitarian Evaluation Interest Group, UNEG Decentralised Evaluation Interest Group, UNEG Ethics Task Force) (x1 KII regional office)
  - External evaluators from comparator international organisations (x2 KII) (1 development bank, 1 multilateral)
  - External experts/ evaluators (x2 KII)
17. During Stage 2 a number of measures were taken to ensure confidentiality and protect data. These measures included (a) no requests for names of respondents either in the interviews, focus groups or the surveys; (b) it was made clear in both the interviews and the surveys that participants can provide information relating to their organisation and/or their role and/or the country location, however providing any of this information was entirely voluntary; (c) key Informant Interviewees and focus groups were asked if they were comfortable having their discussion recorded with the right to ask for the discussion not to be recorded; (d) the researcher was the only person with access to the primary transcripts and recordings which were stored on a single, multiple password protected computer; (e) data files of individual KII and focus group transcripts were only identified via an allocated code; (f) any later request for access to transcripts and files by the Task Force will be provided in de-identified

form; (g) participants were notified that they had the right to ask to withdraw their consent to the use of their data at any point during or after interviews or focus groups up until the publication of the final document; and (h) all transcripts and recordings will be destroyed three months post the final report. At the beginning of the interviews and focus groups, verbal informed consent was sought.

## **Potential shortcomings, risks and limitations of the methodology adopted**

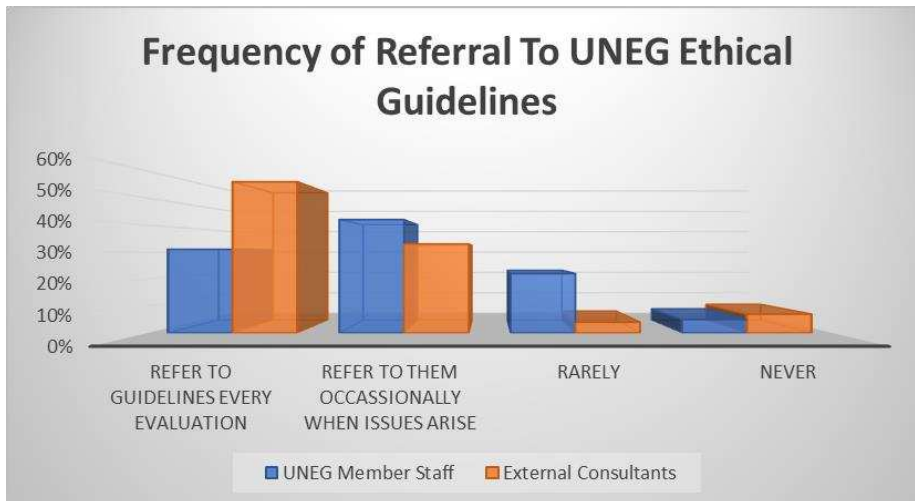
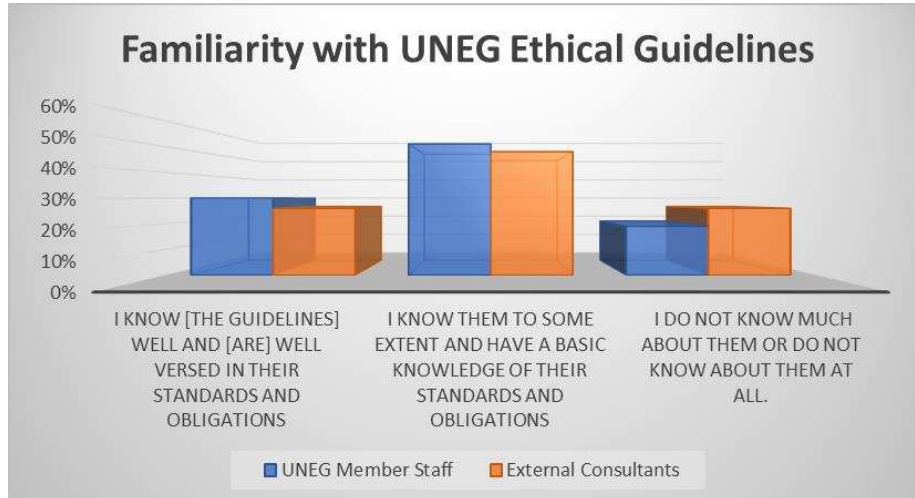
- a. The literature review is only a scoping review and therefore not comprehensive nor systematic. Consequently, the exploration of the literature cannot be considered exhaustive but rather indicative.
- b. The literature review consisted only of documents in English and therefore did not reflect perspectives documented in other languages.
- c. The survey is not likely to be representative given the inherent self-selection bias in participation and potential social desirability bias in responses. This may have resulted in skewing of responses to more extreme positions on evaluation ethics. The impact of this bias on the results however is difficult to ascertain but may overstate or understate the need for substantive changes to the current guidelines. The likelihood that the response rate was appropriately diverse to secure a representative sample is not possible to discern and the findings should be considered as indicative rather than representative. It should also be noted that within the surveys, close to 15% of all responses came from UNICEF staff and consultants, a significantly greater proportion than any other organization across both surveys. This may be qualified by the fact that close to 60% of respondents across both surveys did not identify their organization.
- d. The purposive sampling strategy for key informants will have introduced some bias into the results though there has been an attempt to allow for appropriate representation of various stakeholder groups.
- e. The author herself has worked in the field of ethics within UNICEF in the past and, as such, may bring her own subconscious or conscious bias, perspectives and experience related to the organisation and its practices to the design, analysis and recommendations. Further, during the course of the research, the author was hired as the UNICEF Senior Advisor for Ethics in Evidence Generation, to commence post completion of this report. This potential bias however, was mitigated by broader oversight and review of the work by the Task Force and subsequently the broader UNEG oversight group.
- f. The survey and key informant interviews were undertaken exclusively in English and therefore non-English speakers were excluded. This bias may be limited as most UN agencies require basic to medium fluency in English.

## **4. Use of guidelines within UNEG member and observer organisations**

18. The following summarises the key findings from the surveys, KII's and focus groups with respect to the awareness of and use of the guidance documents. Survey findings appear to indicate that awareness of the Ethical Guidelines and Code of Conduct was relatively high and that they are considered to be

key resources for ethical guidance in evaluations in UNEG member organisations. Unsurprisingly, awareness and use are also relatively high for external consultants, but slightly less so.

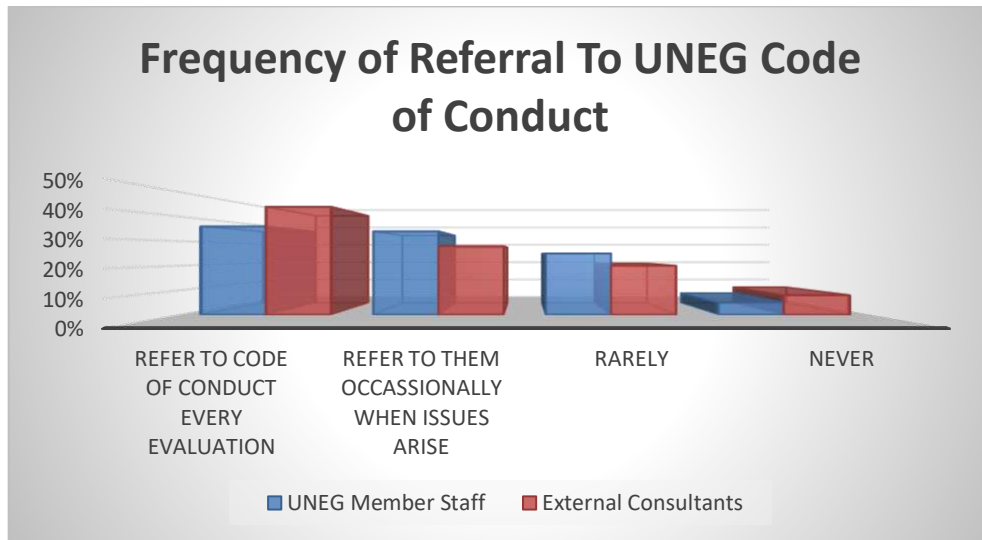
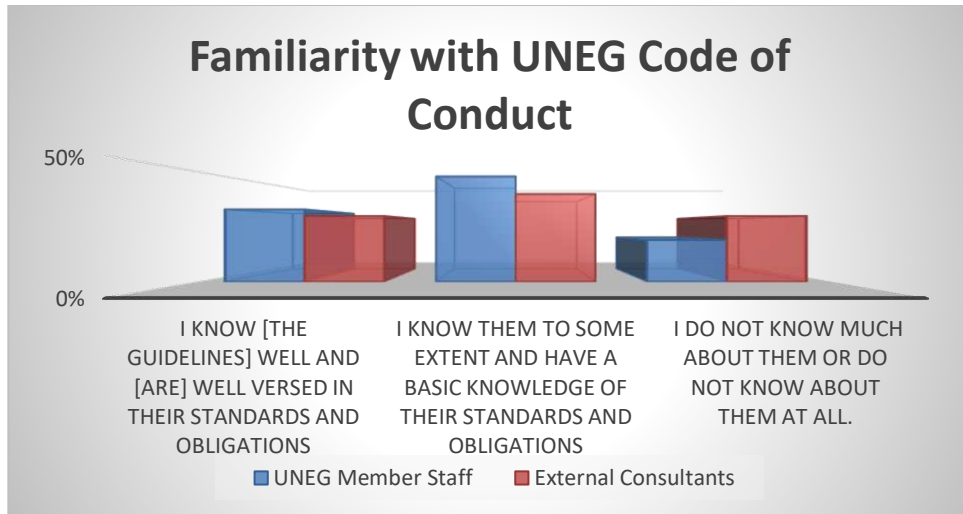
### UNEG Ethical Guidelines



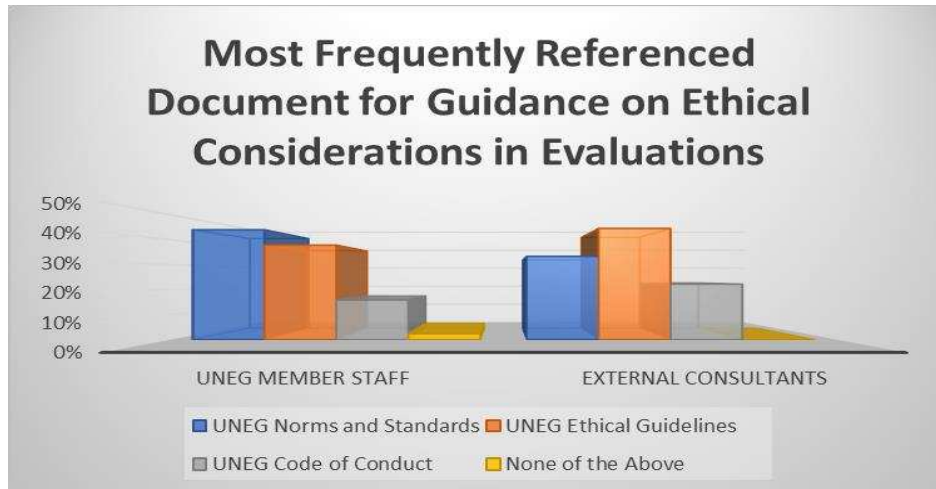
19. A caveat to the above findings is that there may be some social desirability bias inherent in the results.

### UNEG Code of Conduct

20. It should be noted that awareness of and referral to the UNEG Code of Conduct is less than for the UNEG Ethical Guidelines, particularly for external consultants. As noted above however, the findings should be considered indicative only as there may be some social desirability bias inherent in the results.



21. In terms of the most referenced documents for ethics guidance UNEG member or observer staff noted that they most frequently referred to the UNEG Norms and Standards (40%), followed by the UNEG Ethical Guidelines (34%) whilst only 14% referred to the Code of Conduct. It was somewhat different for external consultants who more frequently referenced the Guidelines (50%), with 37% referring to the Norms and Standards and 25% to the Code of Conduct.



22. It is further worth noting that **25% of UNEG member** or observer staff primarily refer to other guidelines, rather than the UNEG documents. The guidelines noted were primarily organisational evaluation guidance documents. This compares with **46% of external consultants** who refer to guidance documents such as organisational codes of conduct, the code of conduct for the International Red Cross and Red Crescent movement and NGOs in disaster relief, and the CIOMS ethical guidelines.

## 5. Definitions and the relationship between key UNEG Guidance Documents

### Definitions of Ethics in Evaluations

23. When considering ethical standards in evaluation there are a number of issues that need to be untangled in order to ensure clarity of purpose for any revision of UNEG guidelines. As noted by Groves Williams (2016) Review of Ethics Principles and Guidance in the UK Department for International Development’s (DFID) Evaluation and Research:

*“there appears to be a lack of shared understanding, both within the literature reviewed and amongst survey and interview respondents, of what ethics are and their role within international development evaluation and research...” (Executive Summary)*

24. This was reinforced by members of the UNEG Ethics in Evaluation Focus Group:

*There is no clear definition of ethics. There is different understanding on what constitutes an ethical issue in evaluation. We are missing common understanding. We need to be very clear what it means in the evaluation context. [We need to] try to differentiate what constitutes issues of integrity, quality and rigorous evaluations (Female (F), UNEG Ethics in Evaluation Task Force)*

#### *A Definition of Ethics in Evaluation*

25. When considering the ethics of evaluation, “first principles” require an appropriate definition. Definitions of ethics focus on principles, values and morals that are determined as right and wrong

actions, behaviours and conduct (Oxford Dictionary, NP; Unite for Sight, NP; Duggan and Bush, 2014). Groves Williams (2016) goes further to emphasize that the decision making and selection between choice sets is determined within culturally-defined, institutional contexts in which a practice is being carried out. More specifically, she adopts the following definition of ethics for research and evaluation:

*“culturally driven choice making around the moral values that drive behaviour in the specific context of commissioning and undertaking evaluation and research....the term ‘ethical’ [is used] to refer to ‘right’ or agreed practice within the specific, culturally defined, institutional context in which the practice is being carried out” (Groves Williams, 2016, p.2)*

26. This latter definition has particular salience for ethics in evaluations undertaken in development and humanitarian contexts as it highlights the relativity of norms and values in specific contexts and for specific disciplines. When reflecting on ethics in evaluations, cognisance of contexts and acknowledgement of the specificities of the purposes of evaluation and the profession more generally remain key to formulating and reflecting on the relevance of ethical guidelines, standards and norms and codes of conduct.
27. Further, as highlighted by Groves Williams (2016), UNEG does not have an agreed definition of ethics. To allow for clarity and acknowledge the complex contexts in which UNEG member agencies work, and in consideration of the profession specific ethical challenges that arise in evaluations, the following definition based on Groves Williams (2016) will be adopted throughout this paper:

*“Ethics are the principles, standards and norms relating to right or agreed practice within the specific, culturally defined, institutional context in which evaluations are commissioned or undertaken”.*

### *The Difference between Standards and Norms, Codes of Conduct and Guidance*

28. As highlighted above, a significant proportion of UNEG members seek ethical guidance from the three key UNEG documents. However, while the Norms and Standards were updated in 2016, the Code of Conduct and the Ethical Guidelines are now over 10 years old, suggesting that a wholesale review is timely to ensure they are not only relevant and useful, but also consistent.
29. Despite their relatively frequent use, the literature and the findings in this report clearly show that there is a degree of confusion with regard to the definitions, purposes, differences and indeed the value of UNEG Norms and Standards relative to the Ethical Guidelines and Code of Conduct:

*interviews with practitioners and commissioners suggest considerable confusion around ethical principles, standards and norms (Munslow and Hale 2015, Groves Williams, 2016).*

30. Consistent with Groves Williams (2016) and for clarification purposes the following definitions will be applied;
- **Norms and Standards** are the exposition of basic principles and applied best practices in managing, conducting and using evaluations (UNEG, 2016). Within this context principles may be defined as organisational values that support staff decision making around what broadly constitutes correct behaviour.



- **Codes of Conduct** lay down organisational rules as to what constitutes agreed ‘ethical’ behaviours and approaches to evaluations in their specific context.
- **Guidelines** supports decision making where specific contextual situations mean that rules conflict and unique responses are required (Newman and Brown 1996 referenced in Grove Williams, 2016). Guidelines should provide greater clarity and specificity than principles and codes of conduct and provide advice or information aimed at resolving a problem or difficulty. Guidelines are not prescriptive but rather instructive.

31. According to the literature review the following are the key findings in relation to definitions and the relationships between UNEG ethical guidance documents

- The current UNEG Ethical Guidelines do not provide a clear definition of ethics within the evaluation contexts in which UNEG member agencies work (UNEG, 2016, 2008; Groves Williams, 2016).
- The current structure of the Ethical Guidelines and Code of Conduct may lead to some confusion with regards to their purpose and relationship, and to the interplay between Norms and Standards, Ethical Guidelines and Code of Conduct (UNEG, 2016, 2008; Groves Williams, 2016).

## 6. Structure and Format of the UNEG Ethical Guidelines

32. The following presents possible considerations for the structure and format of the UNEG Ethical Guidelines and Code of Conduct, taking into account the literature as well as suggestions by participants in surveys, KIIs and FGDs.

### Key Findings from the Literature

33. Based on relevant evaluation literature guidelines, policies and codes of ethics, there are a number of considerations and alternatives for the structure of any UNEG ethical guidance for evaluations. The most appropriate form should be informed by the feedback from surveys and key informant interviews noted in this paper, with consideration of the accessibility and utility for UNEG members. The following are approaches and suggestions on possible formats and structures for the guidance documents arising from the literature:

- Consistent with research ethics guidelines, combining principles, codes of conduct and guidelines in a single document, providing the code of conduct/principles up front followed by a subsequent, more detailed discussion and guidance of each of the principles and obligations (World Bank, 2007; IFA, 2019; Curry et al., 2014).
- A simple code of conduct focused on key principles and with supporting materials and/or embedded links to relevant references, including specific guidance on relevant topics, templates, checklists etc. on a publicly available online repository (UNICEF, 2014; IIA, 2016; ACFID, 2007)
- Using a single document consisting exclusively of a checklist of questions to highlight and determine compliance with ethical standards and considerations (MSF, 2013).

- In addition to guidelines, creating a checklist of questions to highlight and determine compliance with ethical standards and considerations to be included either within a broader guidance document or as a separate document (Berman et al, 2016).
- To facilitate the accessibility of the UNEG evaluation ethics documents, the structure of the Code of Conduct and Guidelines could distinguish between, and reflect on the obligations of various parties involved in the management and delivery of evaluations including: (a) evaluator obligations; (b) evaluation manager obligations; (c) organisational obligations; and (d) methodological/quality assurance obligations (O’Flynn et al., 2016) (see Annex 3 for example of mapping of obligations using the more contemporary UNEG Norms and Standards).
- The guidance documents could be made available in all UN Languages (Arabic, Chinese, English, French, Russian and Spanish), an approach adopted by the American Evaluation Association which makes its guidance available in 46 languages (AEA, 2018).

### *Ethics as a Moral Code: Deriving Ethics from the UNEG Norms and Standards*

34. Consistent with the definitions proposed and considering the need for consistency across documents and greater focus on ethics and ethics principles *per se* rather than quality assurance requirements, the following attempts to take the UNEG Norms and Standards that explicitly reflect UNEG values and moral codes and consolidate them into **four key ethical principles**. This not only encourages a simpler approach, but also allows for greater flexibility, accessibility and contextual application for those in the field.
35. **Respect:** Evaluation must be 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 (Norm 6: Ethics):
- Relevant Standard: Interactions with participants: engaging appropriately and respectfully with participants in evaluation processes, upholding the principles of confidentiality and anonymity and their limitations; dignity and diversity; human rights; gender equality; and the avoidance of harm (Standard 3.2)
  - Relevant Standard: Evaluation processes and products: ensuring accuracy, completeness and reliability; inclusion and non-discrimination; transparency; and fair and balanced reporting that acknowledges different perspectives (Standard 3.2)
  - Relevant Standard: The evaluation design should include considerations of the extent to which the United Nations system’s commitment to the human-rights based approach and gender mainstreaming strategy was incorporated in the design of the evaluation subject. (See full elaboration in Standard 3.2)
36. **Integrity and Independence:** Independence of evaluation is necessary for credibility, influences the ways in which an evaluation is used and allows evaluators to be impartial and free from undue pressure throughout the evaluation process. The independence of the evaluation function comprises two key aspects — behavioural independence and organizational independence. Behavioural independence entails the ability to evaluate without undue influence by any party. Evaluators and evaluation managers

must have the full freedom to conduct their evaluative work impartially, without the risk of negative effects on their career development, and must be able to freely express their assessment. The independence of the evaluation function underpins the free access to information that evaluators should have on the evaluation subject (Norm 4: Independence)

- **Relevant Standard:** Conflict of interest: exercising the commitment to avoid conflicts of interest in all aspects of their work, thereby upholding the principles of independence, impartiality, credibility, honesty, integrity (Standard 3.2)

37. **Beneficence (maximising benefits and limiting harms):** Beneficence includes the ‘do no harm’ principle for humanitarian assistance. When evidence of wrongdoing is uncovered, it must be reported discreetly to a competent body (such as the relevant office of audit or investigation) (Norm 6: Ethics). Evaluators must respect the rights of institutions and individuals to provide information in confidence; ensure that sensitive data is protected and that it cannot be traced to its source; and validate statements made in the report with those who provided the relevant information. Evaluators should obtain informed consent for the use of private information from those who provide it (Norm 6: Ethics)

- **Relevant Standard:** Consider the utility and necessity of an evaluation at the outset (Standard 3.2)
- **Relevant Standard:** Discovery of wrongdoing: discreetly reporting the discovery of any apparent misconduct to a competent body (Standard 3.2)

38. **Accountability and Transparency:** Evaluation requires an enabling environment that includes an organizational culture that values evaluation as a basis for accountability, learning and evidence-based decision-making; a firm commitment from organizational leadership to use, publicize and follow up on evaluation outcomes; and recognition of evaluation as a key corporate function for achieving results and public accountability. Creating an enabling environment also entails providing predictable and adequate resources to the evaluation function (Norm 11: Enabling Environment). Transparency is an essential element of evaluation that establishes trust and builds confidence, enhances stakeholder ownership and increases public accountability. Evaluation products should be publicly accessible (Norm 7: Transparency).

39. As can be seen from the above, a focus on moral principles and values, as opposed to professional quality assurance, provides a structure for considering ethical guidelines. As noted in key informant interviews and survey findings:

*[What we need is] a clear set of principles that everyone could remember, can fit into their pocket in the field, that they can apply to their context as you simply cannot provide guidance for each issue, and that we can all sign up to. (F, External Consultant).*

## Key Findings from Surveys, KIIs and FGDs

### *Understandings of the relationship between UNEG Evaluation Guidance Documents*

40. According to the survey, 24% and 51% of UNEG members or observers who responded to the survey respectively are either absolutely clear on the difference between the UNEG Norms and Standards for

Evaluation, the UNEG Code of Conduct for Evaluation in the UN System and the UNEG Ethical Guidelines for Evaluation or, have a general appreciation of the difference. This compares to external consultants, 33% of whom are absolutely clear on the difference while 29% have a general appreciation of the difference. However, there was still a substantial proportion of both UNEG members and observers (25%) and external consultants (37.5%) who were unclear about the difference between these documents, a finding supported by comments made in KIIs and FGDs:

*I am confused by the fact that Ethics are covered in the Norms and Standards and that there are Ethical Guidelines and a Code of Conduct. The similarity of these 3 documents that are separate is confusing (F, decentralised function office)*

41. This confusion and lack of clarity was also attributed to the inclusion of quality assurance standards within the ethical guidelines. This was reiterated in a number of KIIs and FGDs.

### *Principles and the UNEG Guidance*

42. In addition to ensuring consistency across documents and adopting guidelines that are based on key principles, findings from both the survey and FGDs support:

- Consolidating the Code of Conduct and the Ethical Guidelines into one document;
- Additional discussion of each guideline;
- Reflection on ethical considerations in each of the stages of the evaluation process; and
- Distinguishing between the ethical obligations of evaluators, institutions, and evaluation commissioners and managers (see Annex 3 which highlights the different obligations arising from the Norms and Standards and, those that are relevant primarily for quality assurance processes).

### *Principles and the Code of Conduct*

43. With the key principles of respect, integrity, beneficence, and accountability and transparency, the Code of Conduct would necessarily reflect behavioural obligations of stakeholders to the evaluation process, categorised under each of the principles. This could be incorporated as a section upfront or in an Annex in a single UNEG Ethical Guidance document, and be formalised through a guideline within the broader document requiring its inclusion (a) in the contracting process, or (b) in a separate liability charter/memorandum of understanding signed by relevant parties involved at the beginning of any new evaluation.

44. The value of creating and including a Code of Conduct that requires a signature and is binding for evaluation stakeholders in a UNEG document is that it may reinforce the necessity and legitimacy of altering standard contracting arrangements to address ethical issues that are specific to the evaluation process and commit those involved to the values espoused in the Norms and Standards. This may be valuable and necessary in light of issues highlighted in surveys and interviews relating to tensions with organisational contracting arrangements when trying to introduce formal requirements for adherence to ethical principles.

## *Supporting Materials: Case Studies, FAQs, Checklists and Templates*

45. According to the survey findings there was also demand for supporting materials and further guidance. The following highlights demand and requests for potential changes, addition and support to strengthen current ethical guidance and practice.

### Templates

- Seventy percent of consultants and 75% of UNEG member and observer staff noted that including templates (such as informed consent, a conflict of interest declaration form, affidavit stating compliance with Ethical Guidelines) would be useful to include as part of any Ethical Guidelines document.

### Checklists

- 51% of respondents from UNEG and observer organisations and 72% of external consultants noted that having a checklist as well as guidance would be useful, while 35% and 24% respectively preferred just a checklist. The value of a checklist was also frequently noted in Surveys, KIIs and FGDs.

### Frequently Asked Questions (FAQ) and References to Context or Cohort Specific Guidance Documents

- 40% of respondents from UNEG and observer organisations and 35% of external consultants noted that an FAQ would be useful.
- 37% of UNEG member and observer staff and 35% of external consultants noted that references to other key guidance documents providing further detail in relation to particular cohorts and contexts would be useful.

### Case Studies

46. A further recommendation that was also frequently raised was the need for case studies.

*Case studies could liven up [the Ethical Guidelines] and give a sense of the issues that may arise, provide information on what a manager should do or consider. Like a child protection policy would do (DEIG Focus Group Member).*

*It is probably a good idea to provide real examples of where each ethical principle is violated, so that readers can understand how they are applied in practice (Male (M), Central Evaluation Office).*

### Flow Charts and Decision Trees

47. Another suggestion raised in focus groups was the inclusion of a decision tree or flowchart to help with decision making when ethical issues arose.

*It would be good to have a decision tree or considerations structured through the lifecycle of an evaluation (DEIG Focus Group Member)*

*We just need a flow chart /decision tool that shows and allows for a systematic assessment as to what to consider at what point in terms of working with vulnerable groups and what ethical issues to consider (DEIG Focus Group Member)*

## Training

48. Surveys, FGDs and KIIs also frequently emphasized and raised the importance and value of training.

*We need to move away from a paper document, online and offline that is easily accessible. We need a guidance package, including guidelines but also have ways where you can dig deeper in certain areas and supported by a training package. This would include online training, because apart from the guidelines there is also the issue as to how they are understood across a broad range of organisations (UNEG Ethics Task Force member).*

*Training [would be valuable] through UN Staff college on managing evaluations and managing ethics, or webinars (different formats). At least a webinar, or a mediated short course with case studies. In webinars we could have people present case studies (DEIG Focus Group Member)*

## 7. Considering the Content of Guidelines

*It is above all complicated to compose a framework that can ensure clear guidelines for ethical evaluation practice in specific contextual situations and in complex operational environment with conflicting role expectations (Huotari, 2010, p.114)*

49. Ethics is complex and no set of standards or guidelines will be sufficiently comprehensive to cover all the ethical issues that may arise in evaluations; resolve conflicts resulting from the application of principles in practice; or provide explicit guidance for all agencies, evaluation roles, geographic, social and legal environments in which UNEG member and observer agencies and staff involved in evaluations may find themselves. As noted by Barnett and Camfield (2016), ethical practice in evaluation is frequently constrained by competing interests, may be poorly scrutinized and left to the professionalism of the individual evaluator.

*When we commission evaluations we have no way of verifying evaluators are walking the talk...It is very important to have a way to verify how [the Guidelines and the Code of Conduct are] applied and to understand how [they] should be applied and what are the corrective measures that need to be taken (M, decentralised function office)*

50. The role of any UNEG guidelines should be to provide general guidance that may be applied and, if necessary, adapted to the contexts, mandates and target populations of its member agencies. The following section therefore outlines considerations in relation to the current content of the UNEG Ethical Guidelines and Code of Conduct, taking into account practices across UNEG agencies; comparator organisational ethics frameworks; and contemporary thinking in relation to environmental, social, political and technological changes and challenges. It will also attempt to reflect on the ethical implications of evaluations impacting or engaging with specific marginalised and/or vulnerable actors.

### *Application of the UNEG Ethical Guidelines and Code of Conduct in Practice*

51. Despite any confusion about definitions and the relationship between and inconsistency in language across the three UNEG guidance documents, findings from the survey, reinforced by KIIs and FGDs highlight that the Ethical Guidelines and Code of Conduct were relatively easy to understand. Only

four respondents from the UNEG member or observer survey and no external consultants found the Guidelines themselves were not easy to understand.

52. With respect to the ease of applying the Guidelines, 80% of respondents from the UNEG member or observer survey and 79% of external consultants noted that they more or less found them easy to apply. Whilst, approximately 11% of participants in both surveys found them not easy to apply.

Those who found the guidelines were not easy to apply indicated:

- Difficulties interpreting them in context;
- The need for greater detail;
- Confusion regarding the similarity and relevance of the three documents; and,
- Instances where their application were undermined by authoritative stakeholders, including evaluation managers and senior staff.

53. The ethical standards most frequently found to be ‘the most difficult to understand, apply or interpret in their work’ by respondents from the UNEG member or observer survey were: responsible use of power (42%); omissions and wrong doing (35%); conflicts of interest (29%); respect for dignity and diversity (25%); and avoidance of harm (14%).

54. External consultants noted that responsible use of power (37.5%); avoidance of harm (29%); omission and wrong doing (29%); ensuring credibility (25%); and independence (25%) were the most difficult guidelines to understand, apply or interpret in their work.

Difficulties understanding, applying and interpreting standards such as responsible use of power; omissions and wrong doing, conflicts of interest (29%) and avoidance of harm were said to be influenced by:

- Limited timeframes and budgets;
- Tensions between expertise and experience resulting in the potential for conflicts of interest;
- The subjectivity of conflicts of interest;
- Pressure to produce positive findings;
- The dilution of findings resulting from numerous stakeholders involved in the review process; and,
- The increasing participation and intervention of UNEG member staff throughout the evaluation process.

55. The following section therefore explores in more detail the contemporary innovations and gaps in the current guidelines and the need for further and more in-depth exposition of obligations noted in the 2008 documents that may inform the future revision of the UNEG guidance.

## A. Sustainable Development

### *Key Finding from the Literature*

56. In light of the clear reference to the SDG's in the UNEG Norms and Standards, the critical importance of evaluation to benchmarking and achieving the SDG's, and the commitments and policies of UNEG agencies and observers to environmental standards and policies, there is support for consideration of the need for evaluation ethics principles to be inclusive and reflective of the impacts of evaluation activities on the physical environment and ecological systems (United Nations General Assembly, 2015; Salvioni et al., 2014). This is consistent with a broader understanding and application of the principle of beneficence and reflects a commitment not only to current but also to future stakeholders that may directly or indirectly be impacted by an evaluation.

### *Key Findings from Surveys, KIIs and FGDs*

57. The survey findings show that 53% of UNEG member and observer staff, and 50% of external consultants believe that ethics guidelines should include reference to respect for environmental issues, including considerations such as the carbon footprint and impacts of travel arrangements and logistics; and the energy consumption of data collection and storage methods and technologies. This finding was reiterated in KIIs and Focus Group discussions:

*I think consideration of the environment should be included, in light of the SDG's and accountability to future generations. It shouldn't take much prominence though because organisations each have their own approach to corporate environmental monitoring (F, UNEG Ethics in Evaluation Task Force)*

*If your standard is to do no harm, then if you are doing harm to the environment, then this is a moral value and an ethical issue. [Ethics] are about moral decisions. Environmental Sustainability is a value (F, external consultant)*

58. Some people, however, did not believe it was relevant for ethical guidelines.

*I would not put [sustainability and the environment] under ethics. I think you would confuse people. Having them in the OECD DAC Evaluation criteria is the correct place to put them (DEIG Focus Group).*

However, as one KI noted;

*Given the current crisis, every evaluation needs to address environmental sustainability, all evaluations should have obligations towards environmental sustainability. It ought to be everywhere in all guidelines (M, External Consultant)*

## B. Research Ethics, Informed Consent and Ethical Review

*Thus, control for ethical conduct becomes a check box. While the notion of establishing an ethics panel to oversee the evaluation could potentially address this challenge, the cost implications for*



*such an approach would be prohibitive and not feasible for the majority of evaluations (M, Central Evaluation Office)*

### *Key Findings from the Literature*

59. Evaluation and research ethics intersect in relation to the duty of care for participants, communities and broader stakeholders. Though this duty of care may be in tension with evaluation norms such as transparency and accountability, ethics frameworks may still be instructive (Barnett and Camfield, 2016; O’Flynn et al., 2016; UNICEF, 2014; Groves Williams, 2016).
60. More specifically, requirements around informed consent (noted in the UNEG Norms and Standards (2016), but not currently reflected in the Code of Conduct (2008) and only indirectly and briefly referenced in the UNEG Ethical Guidelines (2008) under the ‘right to self determination’) and consideration of compensation for financial/economic costs of participation would be consistent with other evaluation principles (UNICEF, 2014; United States, 1978; UNICEF, 2014; CIOMS and WHO, 2008).
61. Finally, consideration of utilisation of ethics review processes (whether formal or informal) could support greater and more consistent ethical reflection and practice across all evaluations (UNICEF, 2014; United States, 1978; UNICEF, 2014; CIOMS and WHO, 2008), and, importantly, is recognised in the current Norms and Standards which notes that ‘the evaluation design might also include some process of ethical review of the initial design of the evaluation subject’ (UNEG, 2016, Standard 4.7, para 72).

### *Key Findings from Surveys, KIIs and FGDs: Research Ethics, Informed Consent and Ethical Review*

#### *Informed Consent*

62. As highlighted above, 70% of consultants and 75% of UNEG member and observer staff indicated that including templates on informed consent would be useful. While this was not explicitly explored in KIIs and FGDs, the fact that it has been referenced in the UNEG Norms and Standards provides a strong argument for its inclusion in the Guidelines.

#### *Ethical Review Processes*

63. With respect to current utilisation of formal ethical review processes, survey findings of UNEG member and observer staff showed that 32% of respondents indicated that they, or their organization, use an ethics review board/Institutional Review Board to review the ethics of an evaluation. However, 60% of these respondents noted that they only access a Board occasionally for evaluations. Thirty one percent noted that it was organisational practice to appoint a focal point or a reference group to provide advice on potential ethical issues pre and during an evaluation, whilst 59% noted that it was not.
64. Importantly, 51% survey respondents noted that they believed that either formal and informal ethics review processes could be a useful mechanism for ensuring that evaluations anticipate and mitigate against foreseeable ethical issues, while 47% noted that it should depend on the level of familiarity of

the evaluation manager and evaluation team with ethics issues. Interestingly, 92% of external consultants noted that the review process would be useful.

65. Findings from surveys, KIIs and FGD's tended to be relatively supportive of ethical review boards or ethical review processes for evaluations.

*I think [Ethics Review Boards] are fundamental. It's a very important thing to do, though [the use of a board] is not systematically applied in evaluations. Some agencies have this approach, have strong procedures around the ethical review process though this is primarily for research. But this is a big issue as we have very large projects and some of the sample sizes are incredibly large (M, Centralized Function Office)*

*[Ethical Review is important for the] same reason as it is important in research itself – no different from data collection. There are the same issues so why would evaluation be exempt from global good practice? (DEIG Focus Group Member)*

66. There were however, two clear caveats to this support for ethics review processes. First, that the process for submitting to a formal ethical review board could be overly time consuming and bureaucratic.

*National Ethics Review Boards take a long time to clear an evaluation, thus sometimes delaying projects (F, Centralized Function Office, CO).*

*Please don't introduce another loop in the evaluations, swiftness and timeliness may be compromised and the more loops it just gets longer and longer. These aspects should be in the guidelines or within QA processes. Only in specific contexts, as exception rather than rule (M, UNEG Evaluation in Ethics Task Force).*

67. The second issue raised is the criteria for ethical review, which not all evaluations require and may compromise their independence.

*Not all research or evaluations have to go through ethical review, but I wouldn't know when to go through ethical review? What is the responsibility of the commissioning agency and what is the responsibility of the contractor? (F, Comparator Organisation).*

*I would only welcome ethical review requirement for evaluations involving vulnerable populations or fragile contexts or conflict zones (F, UNEG Ethics in Evaluation Task Force).*

An example where a UNEG member requires ethical review for evaluations only where vulnerable persons or contexts are involved is UNICEF in its *Procedure for Ethical Standards* (2014). The organisation only requires ethical review for evidence generation that:

- Involves vulnerable cohorts whose personal agency is limited due to age, situation or capabilities.
- Involves primary data collection which has the potential to result in direct harm to the participant during the course of the programme (through physical or psychological tests, measures or lines of questioning).
- Has the potential to compromise the privacy of subjects and the confidentiality of data resulting in direct harms.
- Has the potential to compromise the safety and well-being of individuals in their context. This includes primary and secondary data collection that involves questions on socially or politically sensitive issues.

68. The findings of Stage 2 of this research provided recommendations to avoid unnecessary bureaucracy and delays to evaluations noting that this could be mitigated by requiring at minimum, that ethics review form a core component of pre-existing, preferably external quality assurance reviews where at least one panel member has relevant ethics knowledge and expertise.

*[Use an] external QA panel and that could be a way to build a review in a more informal way (F, UNEG Ethics in Evaluations Task Force).*

*QA is not the same as ethics, there is no assumption that they are ethics experts, or that they understand potential ethical issues, they usually ask only if considered ethics (DEIG Focus Group Member).*

## **C. Reporting on Ethics in Key Evaluation Reports**

*The systematization and sharing of such knowledge [arising from evaluations] is critical for protecting the rights and interests of all evaluation stakeholders and for continuing the professionalization of evaluation as an area of research and practice (Duggan and Bush, 2014)*

### *Key Findings from the Literature*

69. According to UNICEF (2014), ethical practice in evaluations may be strengthened through review and knowledge dissemination made possible by reporting ethical issues and mitigation strategies within key evaluation documents, including inception and final reports.

### *Key Findings from Surveys, KIIs and FGDs*

70. Only 25% of respondents from UNEG member and observer organisations noted that ethics were regularly included and reflected upon in the inception, while 45% noted it was not done at all. Within KII and FGDs this was qualified by those stating that in the cases where it was not mandatory it was entirely dependent on the individual undertaking the evaluation. With respect to the final report, only 22% noted that it was an organisational requirement to include reflections on ethical issues, while 49% noted that it was not. Research findings from this report highlighted that the absence of these requirements had implications for monitoring the follow up of ethical issues and mitigation strategies throughout the evaluation process and not just at commencement.

*I often come across TOR indicating that the evaluation will follow the guidelines but then, in practical terms, how do we apply? When we write the report, there is no guidance on the level of detail required, how is it applied or not applied in practice. How do we show how they have been applied and in what level of detail? (F, UNEG Ethics in Evaluation Task Force).*

*Ethics is required to be mentioned in the TOR, but there are no further efforts required to give an adequate explanation to what extent the evaluation met ethical requirements. (F, UNEG Ethics in Evaluation Task Force)*

71. The requirement for the inclusion of ethical issues and mitigation strategies, where relevant, in both inception and final reports would not only support a broader learning agenda around good practice and

other issues, but would also serve to support more rigorous ethical review processes for relevant evaluations where vulnerable persons and contexts are involved.

## D. Human Rights and Social Obligations

*A second approach to broadening the application of ethics to the evaluation field is to move beyond a duty to the respondent to a duty to society..... (Barnett and Camfield, 2016, p.532)*

### *Key Findings from the Literature*

72. The policies, guidelines and codes of conduct of UNEG and comparator organisations offer examples of ways to provide greater guidance on key issues pertaining to human rights and social justice that are not currently reflected in the UNEG Ethical Guidelines. This includes reflections on:

- Understanding and considerations of both social and political dynamics, and the power dynamics that exist between evaluators and participants (AEA, 2018; UNICEF, 2014);
- Clear links or reference guides to seminal human rights and other documents related to ethically working with specific vulnerable (by virtue of circumstance or competencies) persons, cohorts and groups (e.g. children, persons exposed to violence, LGBTIQ, persons with disabilities, persons in institutions etc.) included in ethics guidance (ACFID, 2007; WHO, 2007; UNICEF, 2014);
- The need for appropriate participation, inclusion and representation of stakeholders throughout the evaluation process (IOM, 2013; AfrEA, 2006-7; StC, 2012);
- Competencies, training and consent when working with vulnerable parties, such as children, persons with a disability and those exposed to,] or at risk of violence (UNICEF, 2014; WHO, 2007; United States, 1978; CIOMS/WHO, 2002; Graham et al., 2013; Dalton and McVilly, 2004; CDRP, 2014; Roffe and Waling, 2016);
- Clear strategies to determine the need for and provision of relevant physical, psychological and medical supports for vulnerable or at risk cohorts identified during evaluations (WHO, 2007; UNICEF, 2014);
- Social justice and benefits to stakeholders (AEA, 2018); and
- The impact of negative findings (MSF, 2013; UN-Habitat, 2013).

### *Key Findings from Surveys, KIIs and FGDs*

73. There was strong support across the surveys, FGDs and KIIs for a greater emphasis on human rights and social obligations, and a requirement to untangle the independence of process versus evaluation as an intervention designed to support positive social outcomes and achieve the SDG's.

*The UN is funded to do good, as evaluators we should not just do no harm but also do good. With the SDG's there is a clear requirement to do good. The idea is that evaluators are neutral and impartial. Which denies that we all have values, and that organisations have values. Why is do no*

*harm good enough? We should be brave. We have an obligation to leave behind positive impacts (F, external consultant)*

74. Most particularly, there were repeated calls for:

- A stronger position on doing good (beneficence) and not just mandating ‘to do no harm’;
- Greater reflection on the impacts of evaluations on marginalised communities; and
- The need for explicit recognition of power dynamics both between evaluators and participants, and within participants and stakeholder communities themselves in ethical guidelines.

*Knowing the role and responsibilities of evaluators in exposing harm [is difficult] even though it may not be part of the scope of evaluation but it is still important to ensure it is brought to attention of those that deal with these matters (M, centralised function office)*

75. Staff and evaluation consultants alike acknowledged that, while there is the need for objectivity in the methods and approaches applied in evaluations a more explicit articulation of the need to promote human rights and reflect on social obligations is required including; clear identification of benefits and feedback to communities, greater reflection on means to reciprocate and give back to participants and their communities, inclusion of stakeholders where relevant, and ensuring genuine and equitable representation of the voices of all relevant stakeholders in findings. In short, and consistent with research principles, there was strong support for explicit articulation of the need to consider and maximise to the greatest extent possible, the benefits for communities potentially impacted by an evaluation.

*We need to do better on downward accountability towards 'beneficiaries' both during program implementation and in M&E (F, decentralised function office)*

*The challenge is usually that limited budgets and time for evaluations allocated by the contracting agencies make it difficult to ensure that all relevant groups of beneficiaries are included and that they can be provided with relevant feedback (i.e. accountability to them). Usually this is out of the hands of the evaluator (F, External Consultant)*

76. Further, there were consistent calls for greater reflection on the impacts of evaluations on marginalised communities. In particular, the need for explicit requirements for evaluator competencies in relation to working with, and possible impacts on, potentially vulnerable or marginalised communities (including persons with disabilities, LGBTQI communities, children and persons exposed to violence) was highlighted. There was also strong support for referencing and providing links in the guidelines to relevant documents detailing specific ethical issues presented in various contexts (e.g. humanitarian) and specific communities that may be vulnerable due to competencies or their environments (e.g. persons with disabilities, women, LGBTQI etc.)

77. Surveys, KIIs and FGD’s also noted the need for explicit recognition of power dynamics both between evaluators and participants, and within participants and stakeholder communities themselves in ethical guidelines.

*I have seen very few evaluators who have a strong understanding of positionality and reflexivity, maybe in gender related projects, more likely in research. There should be guidance to support understanding power dynamics (F, Comparator Organisation)*

## **E. Safeguarding and Prevention of Sexual Harassment, Abuse and Exploitation**

### *Key Findings from the Literature*

78. Contemporary events, and UN and donor organisational responses to examples of sexual harassment, abuse and exploitation within the development and humanitarian sector have resulted in a re-iteration and reinforcement of UN institutional positions in relation to:
- a. Zero tolerance to sexual harassment, abuse and exploitation: and
  - b. The requirement for reporting mechanisms and processes for professional investigations and disciplinary measure to be known, accessible and trusted by staff and partners throughout the UN system (UN Women, 2018; UNDP, 2018; UNICEF 2018; WFP, 2018; UNHCR, 2018)
79. Those involved in commissioning, managing or undertaking evaluations involving UN organisations are bound by these statements, policies and procedures, although this is currently implicit rather than explicit in relation to sexual harassment, abuse and exploitation in the UNEG Ethical Guidelines and Code of Conduct (UNEG, 2016; 2008).

## **F. Independence and Conflicts of Interest in Evaluations**

80. One frequently cited issue raised in the literature on ethics in evaluation is the need for independence and the avoidance of conflicts of interest. These issues present one of the defining features that distinguish ethics in evaluation from research-based ethical frameworks, and are consistently raised in the literature as one of the most challenging ethical issues in evaluations.

### *Key Findings from the Literature*

81. As noted above, independence and conflicts of interest continue to be one of the primary ethical issues faced by evaluators globally. The literature argues that it is the commissioner of the evaluation (donors for external evaluations and stakeholders within the organization for internal evaluations) that frequently hold the greatest power and influence in the process (Sager and Pleger, 2016; Scott, 2016; Turner, 2003; Morris & Cohn, 1993; Morris & Clark, 2009; Baastel, 2014).
82. In response to the complex and difficult challenge of trying to ensure the independence of evaluations in multi-stakeholder environments, a number of organizations now require disclosure of conflicts of interest by an evaluator pre, during and post evaluations before beginning an evaluation (ADB, 2012; AfrEA, 2006/7; IDI, 2016). While such contracting arrangements are likely to be useful, they will not address one of the primary sources of conflicts of interest highlighted in the literature, namely the inherent power dynamics experienced by both internal and external evaluators. This requires systems-

based approaches that strengthen the ethical culture and independence of an organisation's evaluation office and its processes, and provides appropriate support mechanisms in cases where an internal or external evaluator may feel compromised.

83. Based on the literature, the following are suggestions for systems/organizational-based approaches to strengthen the structural independence of the evaluation function within UNEG members:

- Rotation policies for key staff and consultants to avoid over-familiarity with specific evaluation sites (IDI, 2016); and
- Policies that reinforce the independence of evaluation units which allow (but not necessarily require) the use of separate processes for assessing evaluation staff for changes in compensation, promotions, and job tenure, and for handling human resource issues (ECG, 2012).

84. The literature also notes potential approaches to ensure that complaints are appropriately managed including:

- Clear processes for complaints (AEA, 2018; FRC, 2016; IDI 2016);
- Delegation of a sufficiently senior member of the evaluation unit to be a focal point for complaints (FRC, 2016); and
- Empowerment of both internal and external evaluators to do so (FRC, 2016; IDI 2016).

85. Finally, the literature also notes that structural independence and ethical approaches to evaluations more generally may be supported by:

- Formal ethical and technical review processes for evaluations (UNICEF, 2014; GCF, 2018; ACFID, 2007; UN Habitat, 2013; IDI, 2016); and
- Creating and nurturing an ethical evaluation culture both internally and externally including:
  - Evaluation ethics embedded in induction programmes, professional training and continuing professional development for all staff involved in commissioning and undertaking evaluations (FRC, 2016; IDI, 2016);
  - Clear leadership evidenced by establishing ethics advisors, leading by example and reinforcing this priority by clear, consistent and regular messages (IDI, 2016); and
  - Processes for sharing of experience and expertise in implementation of ethics with other external organisations (IDI, 2016).

### *Key Findings from Surveys, KIIs and FGDs*

86. Consistent with the literature, the surveys, KII and FGDs clearly highlight that many evaluators and evaluation managers are likely to struggle with maintaining independence in a number of contexts and that a significant proportion of respondents have experienced conflicts of interest. The survey shows that 68% of UNEG member and observer staff indicated that they felt compromised or pressured to

ignore or act counter to any ethical standards during the course of commissioning or undertaking an evaluation. This compares with 36% of consultants. This discrepancy may be indicative of greater internal pressures on UNEG member and observer staff and/or potential self-reporting bias.

### **Conflicts of Interest and Tensions resulting from Organisational Pressures**

87. Staff and external consultants noted making the greatest compromise or facing the most pressure when drafting conclusions, recommendations (in collaboration with stakeholders) and findings. For consultants, the source of the potential compromise was predominantly the commissioning organisation (87.5%) or the persons responsible for the object of evaluation (e.g. project staff or managers) (62.5%). For UNEG member and observer staff one of the primary sources was also persons responsible for the object of evaluation (e.g. programme managers) (66.6%), other internal evaluation staff or own supervisors (46%).

88. Qualitative feedback from surveys, KIIs and FGD's highlight the concerns of external consultants, particularly in relation to commissioning or managing staff actively intervening in evaluations and broader pressures for positive findings.

*UNEG should critically review the need for genuinely independent evaluations and the increasing trend on the part of UN agency evaluation management staff to insert themselves throughout the evaluation process (F, external consultant)*

*As an evaluator, I found myself frequently under intense pressure by the (UN) Agency client to give evaluation findings a more positive spin and to suppress any negative findings. I had to compromise many times in order to avoid the entire evaluation to be rejected and buried. Some UN Agencies have been more aggressive in this respect than others (M, external consultant)*

89. It was noted that tensions also arose when consultants did not incorporate comments from the commissioning agency.

*[It is a challenge] trying to maintain the independence of an evaluation when a consultant fails/refuses to incorporate comments from the agency commissioning the evaluation (F, decentralised function office)*

90. The findings show clear tensions and differences in perspectives and understandings of independence between external consultants and evaluation staff within UNEG member organisations. As such, greater clarification is required about the roles both evaluation managers and external evaluators should play in the evaluation process. These issues may be resolved by clear documentation and agreement on roles and responsibilities of the various stakeholders prior to contracting and implementation of evaluations. Institutional arrangements to strengthen independence and establish contractual and other arrangements for consultants that require adherence to ethical standards were also noted as important steps towards ensuring the independence of the evaluation and avoiding conflicts of interest or wrong doing.

91. With respect to internal evaluators, a number of UNEG member and observer staff noted that they had experienced internal pressures from organisational management to water down the findings.

*My role is that of evaluation manager and it is clear that implementation of the guidelines is a shared responsibility. I find it often difficult to apply the guidelines when the head of the evaluation unit does not and instead passes down a mix of corporate agendas and sometimes purely personal*



*agendas in their approach. As a manager, you cannot separate yourself from the hierarchy and power relations that exist within the organizational structure and culture and apply them on all on your own. They must always remain aspirational in this sense, but can be a useful tool for discussion (M, centralised function office)*

92. UNEG member staff also highlighted that support for independence from institutional structures, including the head of the evaluation office, was critical.

*Office structures have to support ethical work, independence and impartiality. If the manager or head of office does not understand and have strong ethical standards, it is difficult for staff members to implement ethics. In fact, there can also be negative repercussions for them trying to do so (F, centralised function office)*

## **G. Humanitarian Contexts and Ethics**

*[Many] of the ethical issues that are present in other settings remain relevant and applicable in the context of humanitarian settings.... Importantly though, humanitarian contexts present extreme circumstances where each of the issues noted are likely to present greater challenges and complexities (Berman et al., 2016).*

93. Many ethical issues raised in evaluations are relevant to humanitarian contexts. However, the data collection process, impacts of the evaluation findings, and safety and reputational issues for organisations, evaluators and the communities engaged in the evaluation process, are likely to present or be exposed to far greater risks. Inappropriate evaluation processes and methodologies have significant potential to exacerbate tensions, place stakeholders and evaluators at physical and psychological risk, and compromise future access to affected populations (Christoplos, 2018).

### *Key Findings from the Literature*

94. There are explicit ethical considerations that need to be considered by UNEG agencies involved in evaluations in humanitarian contexts that are not currently reflected in the UNEG Ethical Guidelines and Code of Conduct, and which do not adequately reflect the broad humanitarian principles of humanity, neutrality, impartiality and independence (UN General Assembly, 1991/2003). These include:
- Reflections and consultations with relevant stakeholders and agencies as to whether or when conditions are conducive to ethical primary data collection and field visits and the ethical implications of alternate means of data collections (Christoplos et al., 2018; Cronin-Furman and Lake, 2018; MSF, 2013; UNHCR, 2016);
  - The need for clear protection strategies and data protocols to ensure the protection of evaluators and participants and their communities their safety in the field (Berman et al., 2014; MSF, 2013; Cronin-Furman and Lake, 2018; WFP, 2016; UNHCR, 2015);
  - The need to ensure the competencies of evaluators in relation to working in humanitarian and fragile contexts (Berman et al., 2014; WHO, 2007);
  - The necessity of ensuring neutrality and perceived neutrality (Cronin-Furman and Lake, 2018);

- The need for mechanisms and strategies to respond to evidence and requests for immediate medical or material assistance, or more general requests for professional assistance (Cronin-Furman and Lake; 2018); and
  - The need for appropriate psychosocial supports for evaluators (Berman et al., 2016; ICRC, NP; MSF, 2013).
95. In contexts where engagement with non-state armed groups will be required during the course of evaluations a number of additional ethical issues need to be considered (Hofmann and Schneckener, 2011; McHugh and Bessler, 2006; McQuinn and Oliva, NP). These include:
- The implications and means of engaging with non-state armed groups;
  - International legal and normative frameworks for dealing with non-state armed groups;
  - Awareness and consultation with relevant organisations engaged in negotiations with non State-armed groups; and
  - Security considerations and safeguarding humanitarian spaces.

### *Key Findings from Surveys, KIIs and FGDs*

96. The findings from Stage 2 of the project consistently reiterated the need for the guidelines to consider the specificities of ethical issues which arise when undertaking evaluations in humanitarian contexts and when working with vulnerable populations. As was noted in KIIs, undertaking evaluations in these contexts and working with persons in these circumstances is becoming more prevalent than in the past.

*We are working more and more in environments that are riskier (unstable contexts), we are engaging more and more with emergency situations and refugees. Five years ago the agency wasn't working in these areas (M, centralised function office)*

*There is a need to broaden out and update [the Guidelines and Code of Conduct] with recent evolution in evaluation practice - especially conduct of evaluation in fragile and conflict affected environments (M, centralised function office)*

97. While it may not be possible to include detailed guidelines for each specific context or vulnerable population, as noted above, a number of basic guidelines can be introduced into the broader guidelines package to acknowledge these complexities, supplemented by supporting materials and approaches. Approaches noted earlier in this paper include links to relevant, more in-depth guidelines for these situations and contexts; requiring experience, competencies and training to undertake evaluations within these circumstances; and formal or informal ethical review of inception reports for humanitarian contexts. Other approaches noted in the literature include clear protection protocols, the availability of psychological support services for evaluators and, mechanisms and strategies to respond to evidence and requests for immediate medical or material assistance. Finally, the guidelines could make explicit the need for neutrality and, if deemed necessary include guidance specifically when working or engaging with armed non-state actors.

## H. Data Ethics, ICT's, Privacy, Confidentiality and Legal Requirements

98. With the increasing use and advances in data technologies, the importance of data ethics has increasingly been recognised not only by development and humanitarian agencies but also by global evaluation associations (AEA, 2018). This has led to the establishment of comprehensive data policies (UNHCR, 2015; WFP, 2016) and various guidance pieces on data ethics from within UNEG member agencies.

### *Key Findings from the Literature*

99. Both the Code of Conduct and the Ethical Guidelines, by virtue of age, do not reflect contemporary thinking in relation to data ethics frequently underpinned and informed by current and emerging technologies adopted in this domain (UNHCR, 2015; WFP, 2016; Berman et al., 2016; Berman and Albright, 2017; UN High Level Committee on Management, 2018). Importantly, there are no explicit reflections on:

- Data transfer, sharing and ownership;
- Proportionality and necessity;
- Informed consent;
- The tenure of data storage and the means of destruction of the data;
- Securing data in electronic environments;
- Procedures in case of data breach; and
- Lawful collection and processing of data in line with current and increasing data privacy legislation being enacted globally.

### *Key Findings from Surveys, KIIs and FGDs*

100. Key findings from surveys, KIIs and FGDs highlight the importance of updating current guidelines to reflect the complexity of the current data environment. Survey findings showed that 79% of respondents from UNEG member and observer organisations believed that the guidelines should make greater reference to data privacy regulations and 68% said there should be reference to ethical issues pertaining to data technologies. For external consultants, 82% believed that the guidelines should make greater reference to data privacy regulations and 77% said there should be reference to ethical issues pertaining to data technologies.

*It would be good to speak about "storage" of data. Who owns the data? Who archives the data? How? In which form? (F, centralised function office)*

*At the moment there are a lot of issues related to big data and informed consent. ...We need a coherent approach, how to gain informed consent, how do we ethically use big data that is available for evaluations? Some people are using crowd seeding and crowd sourcing, that could put informants at risk. It could be a very big risk where those that accessing platforms are parties to a conflict (M, decentralised function office)*

*Ethical issues related to technologies are not just about privacy but also about protection against harm and risks with regards to tech, those risks have changed and are greater. Beneficiary data could be leaked, evaluators are now collecting data using mobile technology and there are ethical issues, the principles need to have language to consider what tech to use and in what context, without being specific and going into detail about the particular technology (F, UNEG Ethics in Evaluation Task Force).*

## I. Interpreters

101. One issue raised in the surveys and corroborated in the research literature (Tiselius, 2018; Drugan, 2017; Berman et al., 2016; García-Beyaert et al. NA) is the need for specific ethical guidelines on the use of interpreters in evaluations or the consideration of interpreters within pre-existing evaluation ethical guidelines.

*We need to have guidelines in relation to the use of translators/interpreters (in the case of using translators in evaluations) (F, centralised function office)*

102. Key ethical issues raised in the literature concerning the use of interpreters during data collection are: ensuring the independence of interpreters by hiring interpreters that are external to the communities in which interviews or surveys are being undertaken – unless unfeasible or not appropriate for context; inclusion of interpreters in ethics training for field work, including training related to privacy and confidentiality; appropriately budgeting for interpreters and limiting, to the greatest degree possible, the use of non-professional interpreters (particularly family members); and establishing MOUs with interpreters to ensure adherence to ethical standards (Tiselius, 2018; Drugan, 2017; Berman et al., 2016; García-Beyaert et al. NA).

## 8. Conclusion

103. This paper attempted to capture some of the structural and content-based issues and approaches that need to be considered to support practitioners within UNEG member and observer organisations and reflect on and consider the contemporary ethical issues that are raised within evaluations, particularly those undertaken in development and humanitarian contexts. Given time constraints it should be emphasized that the research adopted a light touch approach and that the literature review and the surveys, KIIs and FGD therefore should be considered indicative rather than representative. However, despite this limitation there were very clear themes that emerged throughout the research, such as the need for: greater clarity and consistency across guidance documents; guidance which reflects on the ethical implications of the contemporary political, social and physical environments in which UNEG members are operating in and the data technologies they are adopting; greater guidance, tools or institutional mechanisms to support and strengthen ethical practice in evaluations and ethical cultures in UN organisations; the need for case studies and examples of approaches to mitigate against ethical issues in evaluations; mechanisms to address evidence relating to the frequency of conflicts of interests and the sensitivity and politically problematic nature of independence; and, importantly, a desire to see a stronger normative position adopted by UNEG in relation to going beyond harm to using evaluations to ‘do good’.

104. In reflecting on these findings, this paper was intended to inform the UNEG Ethical Guidance/Code of Conduct review. To this end, it suggests reformatting the guidance based on four key principles derived from the UNEG Norms and Standards, namely: respect; beneficence; integrity and independence, and transparency and accountability, and that guidance on upholding these principles be provided for each of the different stakeholders (evaluators, evaluation managers and UN member institutions). It also argues that references to quality assurance requirements should be removed from the Guidelines and included, but separated, in the Code of Conduct, and that checklists be added providing a list of the key considerations required of each stakeholder group. It also notes a number of additional guidelines that could be added to ensure consistency with the more recent UNEG Norms and Standards, and to account for the contemporary conditions and environments in which member institutions are increasingly working.
105. Finally, this paper recommends that the review UNEG Ethical Guidance/Code of Conduct be undertaken as part of a broader agenda to support ongoing reflection on the practical implementation of ethical principles to the context specific complexities presented by both internal and external evaluations.

## 9. Recommendations

**Recommendation 1:** The UNEG Ethical Guidelines should include a definition of Ethics, Guidelines and Codes of Conduct to better support understanding of the various documents and their purpose (DR1).

**Recommendation 2:** The UNEG Ethical Guidelines and Code of Conduct should be translated and be made available at least in the official UN languages (DR2).

**Recommendation 3:** The format of the UNEG Ethical Guidelines should be changed to better align with the UNEG Norms and Standards and structured according to a principle-based approach based on the four principles (directly derived from the UNEG Norms and Standards) namely: respect; beneficence; integrity and independence, and transparency and accountability (DR3). Further, the guidelines should:

- Separately reflect on the considerations/standards for each of the various stakeholders in the evaluation process (DR4);
- Include a brief discussion of each consideration as necessary;
- Include a checklist of considerations at the end of each stakeholder section (DR5); and
- Remove current references to quality assurance-based standards such as timeliness and value for money that cannot be considered ethical norms within the Ethical Guidelines.

**Recommendation 4:** The Code of Conduct should be included in the Ethical Guidelines and slightly adapted to be used as a standalone agreement or added to pre-existing contracts to be signed by persons who will undertake evaluations on behalf of UNEG members including new staff (during onboarding processes) and external contractors. Further, that the requirement for relevant persons to sign the Code of Conduct be noted in the Ethics Guidelines. Finally, that the Code of Conduct distinguish between Ethical Standards and Quality Assurance Standards by having two separate sections setting out the list of standards for evaluation ethics and quality assurance respectively (DR6).

**Recommendation 5:** In recognition of the primacy and time constraints in relation to the revision of the UNEG Guidelines and Code of Conduct, these seminal documents should be reviewed as per recommendations as a priority. Further work should determine the nature, content, process and resources for the creation of a broader guidance package that could reasonably include online and offline training, collation of case studies, the development of decision-making algorithms/trees and other supporting products, to be considered and explored post the review process.

**Recommendation 6:** The UNEG Guidelines should include additional guidance points or adapt existing guidance/standards to include or strengthen:

- Consideration of **environmental impacts** (DR8);
- **Informed consent** (DR9);
- **Informal or formal ethical review** processes when working in sensitive contexts or with potentially vulnerable persons (see DR10);
- **Reporting on ethics** and mitigation strategies in both inception and final evaluation reports (DR11);
- **Human rights-based issues** and social obligations (DR12, DR13);
- Links to **relevant references** in the Ethical Guidelines (DR13);
- Explicit reference to **Safeguarding and Prevention of Sexual Harassment, Abuse and Exploitation**; (DR14)
- **Institutional commitments and mechanisms** to ensure independence and avoid conflicts of interest (DR15-18);
- Ethical concerns relating to **humanitarian contexts** and engagement with armed non-state actors (DR19, DR20);
- Greater elaboration on **data ethics** issues (including data sharing, transfer, storage destruction and data breaches) (DR21); and
- Ethical considerations when using **interpreters** (DR22).

## Detailed Recommendations

**DR 1:** The UNEG Guidelines should include a definition of ethics for evaluations, namely:

*Ethics are the principles, standards and norms relating to right or agreed practice within the specific, culturally defined, institutional context in which evaluations are commissioned or undertaken.*

and highlight the purpose and use of the Guidelines as:

*...supporting decision making where specific contextual situations mean that rules conflict and unique responses are required. Guidelines should provide greater clarity and specificity than principles and codes of conduct and provide advice or information aimed at resolving a problem or difficulty. Guidelines are not prescriptive but rather instructive.*

**DR2:** To improve the accessibility of the UNEG Ethics Guidelines and Code of Conduct, both documents should be translated and made available, at minimum, in the official UN languages (i.e. Arabic, Chinese, English, French, Russian and Spanish).

**DR3:** The UNEG Guidelines should clearly indicate that they are derived from the 2016 Norms and Standards, reflected in four key ethical principles (respect; beneficence; integrity and independence; and transparency and accountability). They should exclude quality assurance requirements such as timeliness, cost, etc. (see Annex 6 for Quality Assurance Guidance to be removed from Guidelines).

**DR4:** The UNEG Guidelines should be restructured with clear sections for each of the key stakeholders involved in the establishment, management and implementation of evaluations (e.g. commissioning organisation or institution, evaluation manager, and evaluator) identifying their obligations, and reflecting and discussing the application and implications of each of the four principles for each stakeholder.

**DR5:** At the end of the guidance sections for each stakeholder, a checklist should be included that notes the actions and activities to be undertaken to ensure practices and processes are consistent with ethical principles. For ease of use, these checklists could be divided into considerations for each of the four evaluation stages (planning, implementation, reporting, dissemination) for evaluation managers and evaluators (see Annex 7: Example of Recommended Format of UNEG Ethical Guidelines).

**DR6:** The Code of Conduct should be converted into a UNEG authorised, signable template to be used as a standalone agreement or as an addition to a standard contract that summarises the key behavioural obligations of evaluation commissioners, managers and evaluators, reflecting on the four principles and included as an Annex in the broader UNEG Ethical Guidelines distinguishing between ethical obligations and quality assurance obligations.

**DR7:** A template for informed consent /assent should be included as an Annex in the UNEG Ethical Guidelines.

**DR8:** Environmental sustainability should be included in the guidelines as a reflection of the principle of beneficence. In accordance with Norm 6 of the UNEG Norms and Standards the inclusion of the physical environment could be as follows:

Evaluations must be conducted with the highest standards of integrity and respect for: the physical environment, and the beliefs, manners and customs of the social and cultural environment; human rights and gender equality; and the ‘do no harm’ principle (beneficence/respect).

**DR9:** In line with UNEG Norms and Standards, the requirement for informed consent should be considered within the guidelines (respect).

**DR10:** To address significant ethical issues that may arise when evaluations involve vulnerable persons or contexts, a requirement should be included in the UNEG guidelines for ethical review when dealing with specific vulnerable persons or volatile or highly sensitive contexts. Whilst this would require some ethics expertise, it could, at a minimum be undertaken within pre-existing QA processes where at least one reviewer has the relevant ethics expertise to appropriately consider any ethical issues that may arise (accountability and transparency).

**DR11:** The guidelines should require any relevant ethical issues and mitigation strategies to be noted in both the inception reports (potential) and final evaluation reports (actual) (accountability and transparency).

**DR12:** In reflecting on human rights and equity, the Code of Conduct and the Ethical Guidelines should explicitly articulate:

- a. The importance of reflecting on the broader benefits of the evaluation and the need to assess the potential benefits versus the potential harms of evaluations. This would include explicitly considering any potential negative impact of result findings;
- b. The need to recognise and attempt to address potential power imbalances through appropriate methods and approaches;
- c. The need to ensure appropriate inclusion, representation and feedback to communities, particularly potentially vulnerable communities and persons, within the scope of the evaluation;
- d. The need to recruit and/or train evaluators to ensure appropriate experience, attitudes and competencies with respect to working within vulnerable contexts or with potentially vulnerable persons. This includes providing references to seminal guidelines and guidance on ethical considerations when working in these contexts or with these groups; and
- e. The requirements for developing specific strategies during the preparation of the inception report in relation to determining the need for and provision of relevant physical, psychological and medical supports for vulnerable or at-risk persons that may be identified during the course of evaluations.

**DR13:** The Guidelines should explicitly provide hyperlinks to key guidance documents on ethical issues and principles in specific contexts and when undertaking evaluations and working with specific partners that may be vulnerable by virtue of their competencies or circumstances (see Annex 7 for examples of key documents);

**DR14:** A statement should be included in the Guidelines stipulating zero tolerance for sexual harassment, abuse and exploitation, and the need for clear measures to raise awareness to ensure both evaluation staff and external consultants are familiar with relevant organisational reporting mechanisms and processes for professional investigations and disciplinary measures (beneficence);

**DR15:** The Guidelines should clearly note the need to explicitly articulate the roles and responsibilities of both internal and external evaluators in ToRs and contracting documents for consultants.

**DR16:** The Guidelines should note the need for clear and accessible complaints processes for evaluations. A sufficiently senior manager should be appointed ethics focal point to whom evaluation managers and evaluation consultants can refer/defer to in order to address complaints and provide support and advice to address potential compromises to integrity directly or inadvertently arising from powerful internal and external stakeholders. The appointment and contact details of said staff member, and complaints processes must be made clear and available to all new staff and external consultants. (Integrity and Independence)

**DR17:** The Guidelines should include a template Statement of No Conflict of Interest for external consultants to sign or to be included in standard evaluation contracts. The Code of Conduct should also be signed as part of the contracting process (integrity and independence).

**DR18:** The Guidelines should clearly note the need to create and nurture an ethical evaluation culture both internally and externally by:



- Embedding evaluation ethics in induction programmes, professional training and continuing professional development for all staff involved in commissioning and undertaking evaluations;
- Establishing clear leadership through appointed ethics advisors, leading by example and reinforcing this priority through clear, consistent and regular messages; and
- Sharing experience and expertise with other external organisations.

**DR19:** The Guidelines should include reference to broad ethical considerations when undertaking evaluations in humanitarian contexts. This could include:

- Taking in to account impacts of the evaluation process on pre-existing programmes and services;
- Production of protection protocols to include issues relating to supports, protections and services for both vulnerable populations and staff; and
- Ethical reviews of inception reports prior to commencement of the evaluation in the field (beneficence).

**DR20:** The Guidelines should briefly and explicitly refer to and reflect on contexts where armed non-state actors will need to be engaged in the evaluation in some form. Guidance should note the need to:

- Understand the implications and consider the means of engaging with non-state armed group;
- Ensure actual and perceived neutrality;
- Consider international legal and normative frameworks for dealing with non-state armed groups;
- Ensure awareness of and undertake consultation with relevant organisations engaged in negotiations with non-state armed groups; and
- Take in to account security considerations and safeguarding humanitarian spaces (beneficence).

**DR21:** The revised Guidelines should expand on issues pertaining to data and technologies, making explicit reference to the need for clear organisational protocols and guidelines relating to:

- a. Data transfer, sharing and ownership;
- b. Proportionality and necessity;
- c. Informed consent;
- d. The tenure and security of data storage and the means of destruction of the data;
- e. Procedures in case of data breach; and
- f. Lawful collection and processing of data in line with current data privacy legislation being enacted globally (respect/accountability and transparency).

**DR22:** The Guidelines should consider including a brief section on the use of interpreters including reflections on the need for:

- a. Independence of interpreters from the communities in which data is being collected (integrity and independence);
- b. Ethics training for field work including training related to privacy and confidentiality (beneficence);
- c. Budgeting for professional interpreters and limiting the use of non-professional interpreters (beneficence);
- d. Establishing a Code of Conduct for interpreters to abide by ethical codes (integrity and independence); and
- e. Inclusion of references within guidelines that outline ethical considerations when using interpreters (see Annex 7 for example).

# Annex 1: Terms of Reference

## Terms of Reference for Consultant: “Mapping & Review of Evaluation Ethics”

### UNEG Ethics and Code of Conduct Task Team

December 2018

#### *Background*

The [United Nations Evaluation Group \(UNEG\)](#) is a professional network that brings together the units responsible for evaluation in the UN system. It aims to promote the independence, credibility and usefulness of the evaluation function and evaluation across the UN system. The [UNEG Norms and Standards for Evaluation in the United Nations](#) ensure that UNEG members adhere to shared basic principles and apply best practices in managing, conducting and using evaluations. First published in 2005, they were updated in 2016 and include specific norms and standards on “ethics”.<sup>i</sup>

Based on the 2005 Norms and Standards, UNEG issued the [UNEG Ethical Guidelines](#) as well as the [UNEG Code of Conduct for Evaluation in the UN system](#) in 2008. It is unknown to what extent these documents have been used and how well they have served the UN evaluation community. At the same time, several UN Organizations have developed their own specific ethical guidelines for evaluation. Also, a few UN entities have since 2008 adopted new or revised Evaluation Policy frameworks; some of which are centred upon independence and integrity.

In 2017, a UNEG task team was created to review and revise the ethical guidelines and code of conduct. The purpose of these revisions is to ensure a common understanding of what ethics in evaluation means and that UNEG is providing appropriate guidance and tools to support ethical evaluations. Such guidance should reflect recent developments in key areas that affect the ethical management and conduct of evaluation, in both development and humanitarian settings.

To lay the groundwork for these revisions, the UNEG Ethics and Code of Conduct Task Team is commissioning a mapping study to identify current good practice with regard to evaluation ethics and to pinpoint the issues that need to be reflected in the new UNEG ethics guidance/code of conduct. The task team is seeking the services of a consultant to conduct this mapping and review. This document outlines the terms of reference for the assignment.

#### *Scope of the Consultancy*

The consultancy involves three elements:

- A literature review to ascertain the state of the art in normative and operational frameworks that pertain to ethics in evidence generation, professional conduct and conflict of interest for both development and humanitarian evaluation contexts. This should include comparator organizations’ (evaluation units in Development Banks, bilateral development agencies, ICRC, INGOs, etc.)

responses to current ethical challenges such as protection from sexual exploitation and abuse, data protection, engaging with non-State armed groups, etc. and a discussion on how these organizations handle conflict of interest, institutional review boards, duty of care, etc. The review will also consider handling of evaluators' actual or perceived conflict of interest in respect of career advancement outside the evaluation field. An initial e-library for this project has been created by task team members and can be built on.

- A review of de facto practices within the UNEG community establishing how the 2008 guidelines/code of conduct have been used. This component should be light-touch, including e.g. a short online survey and selected key informant interviews.
- Critical appraisal of the 2008 UNEG ethics guidelines/code of conduct to identify key gaps and areas requiring updating with regard to the above state of the art and practice review.

On the basis of the above, the consultant will prepare the mapping report. The report should be no longer than 20 pages in length, supported by ample Annexes and examples/illustrations. Its key feature should be forward-looking recommendations towards future UNEG guidance and norms on ethics, code of conduct, management of conflict of interest and related issues. Recommendations regarding the format of ethical guidance are also expected. The report of the consultancy will be used as part of the ethics task team's presentation to UNEG at the upcoming 2019 Annual Meeting. It is also expected serve as a basis for discussion in determining if ethical considerations should be embedded into other UNEG foundation documents.

#### ***Deliverables and Deliverable Timeline***

<b><i>Deliverable</i></b>	<b><i>Date</i></b>	<b><i>Estimated Number of work days</i></b>
Inception report, including annotated bibliography and data collection tools	14 February 2019	6
Literature review: Establishing the state of the art in evaluation ethics	11 March 2019	12
Practice review: Online survey and key informant interviews	March 2019	8
Draft report for task team review	Early April 2019	8
Draft final report for submission to UNEG	End-April 2019	4
Final report	31 May 2019	2
		<b>TOTAL: 40</b>

### ***Duration & Location***

The consultancy of maximum 40 days will be undertaken from January to May 2019. The consultancy is home-based (Florence, Italy). Up to two trips to WFP HQ Rome for face-to-face meetings maybe required, with related travel costs and DSA.

### ***Reporting***

The consultant will be supervised by the two co-conveners of the UNEG Ethics and Code of Conduct Task Team (evaluation staff members of WFP and UNICEF). The task team itself will serve as a reference group. Final editing and proofing support will be made available through the Task Team.

### ***Payment***

Payment is lump-sum and based on deliverables. It is due in three installments: Upon completion of the inception report (20%), upon delivery of the draft report (40%) and upon approval of the final report (40% of contract amount).

### ***Qualifications and experience***

- Advanced University degree in academic discipline(s) relevant to evaluation
- In-depth understanding of ethical concerns in evidence generation, in particular when working with vulnerable populations
- Sound knowledge of current development/humanitarian evaluation policies and practices; knowledge of UNEG, the UN system or UN organizations an advantage.
- Strong qualitative and quantitative research skills
- Ability to synthesize and summarize information
- Excellent written and oral communication skills
- Successful track record working in teams and involving multiple stakeholders.

i Norm 6 reads: “Evaluation must be 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. Evaluators must respect the rights of institutions and individuals to provide information in confidence, must ensure that sensitive data is protected and that it cannot be traced to its source and must validate statements made in the report with those who provided the relevant information. Evaluators should obtain informed consent for the use of private information from those who provide it. When evidence of wrongdoing is uncovered, it must be reported discreetly to a competent body (such as the relevant office of audit or investigation)”. Standard 3.2. reads: “All those engaged in designing, conducting and managing evaluations should conform to agreed ethical standards in order to ensure overall credibility and the responsible use of power and resources. Ethical principles for evaluation include obligations on the part of evaluators to behave ethically in terms of *Intentionality*: giving consideration to the utility and necessity of an evaluation at the outset; *Conflict of interest*: exercising the commitment to avoid conflicts of interest in all aspects of their work, thereby upholding the principles of independence, impartiality, credibility, honesty, integrity and accountability; *Interactions with participants*: engaging appropriately and respectfully with participants in evaluation processes, upholding the principles of confidentiality and anonymity and their limitations; *dignity and diversity*; *human rights*; *gender equality*; and *the avoidance of harm*; *Evaluation processes and products*: ensuring accuracy, completeness and reliability; *inclusion and non-discrimination*; *transparency*; and *fair and balanced reporting that acknowledges different perspectives*; and *Discovery of wrongdoing*: discreetly reporting the discovery of any apparent misconduct to a competent body.

## Annex 2: Summary of Evaluation Ethics Guidelines, Codes of Conducts and Frameworks

Organisation Network	or	Nature of Org	Type of Framework or Code	Structure: Key Relevant Issues / Content (e.g. Conflict of Interest, Professional Conduct, Consent, Privacy and Confidentiality etc..)	Contemporary innovations, guidance on contemporary issues. Comments
UNEG		Multi Agency	UNEG Ethical Guidelines For Evaluations (2008)	<p>Principles framed as purpose:</p> <ul style="list-style-type: none"> <li>• Responsible use of power</li> <li>• Ensuring Credibility</li> <li>• Responsible use of resources</li> </ul> <p>Substantive guidelines</p> <p><i>Intentionality of Evaluation</i></p> <ul style="list-style-type: none"> <li>• Utility</li> <li>• Necessity</li> </ul> <p><i>Obligations of Evaluators</i></p> <ul style="list-style-type: none"> <li>• Independence</li> <li>• Impartiality</li> <li>• Credibility</li> <li>• Conflicts of Interest</li> <li>• Honesty and Integrity</li> <li>• Accountability</li> </ul> <p><i>Obligations to participants</i></p> <ul style="list-style-type: none"> <li>• Respect for Dignity and Diversity</li> <li>• Rights</li> <li>• Confidentiality</li> <li>• Avoidance of Harm</li> </ul> <p><i>Evaluation Process and Product</i></p> <ul style="list-style-type: none"> <li>• Accuracy, Completeness and Reliability</li> <li>• Transparency</li> <li>• Reporting</li> <li>• Omissions and wrongdoing</li> </ul> <p><i>Obligations of Evaluation Managers and Commissioners</i></p>	<p>Explicitly accounts for professional evaluator conduct</p> <p>Provides more detail than biomedical research guidelines on processes, responsible use of resources and obligations of evaluators.</p>
UNEG		Multi Agency	Code of Conduct (2008)	<ul style="list-style-type: none"> <li>• Independence</li> <li>• Impartiality</li> </ul>	Innovations

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			<ul style="list-style-type: none"> <li>• Credibility</li> <li>• Conflicts of Interest</li> <li>• Honesty and Integrity</li> <li>• Competence</li> <li>• Accountability</li> <li>• Obligation to Participants</li> <li>• Confidentiality</li> <li>• Avoidance of Harm</li> <li>• Accuracy, Completeness and Reliability</li> <li>• Omissions and wrongdoing</li> </ul>	<ul style="list-style-type: none"> <li>• Provides short-hand summary of obligations of evaluators (plus additional obligation of competence) and obligations of participants.</li> <li>• Includes a form for establishing agreements with evaluation staff that they will meet the standards set in the Code of Conduct.</li> </ul>
UNEG	Multi Agency	UNEG Norms and Standards for Evaluation (2016)	<p><b>Norms</b></p> <ul style="list-style-type: none"> <li>• Utility</li> <li>• Credibility</li> <li>• Independence (behavioural independence and organizational independence)</li> <li>• Impartiality</li> <li>• Ethics <ul style="list-style-type: none"> <li>○ Intentionality – utility and necessity,</li> <li>○ Conflict of Interest – independence, credibility, honesty and integrity and accountability,</li> <li>○ Interaction with participants – respect, confidentiality, anonymity and limits</li> <li>○ Evaluation products - accuracy, completeness and reliability; inclusion and non-discrimination; transparency; and fair and balanced reporting that acknowledges different perspectives</li> <li>○ Discovery of wrong doing.</li> </ul> </li> <li>• Transparency</li> <li>• Human Rights and Gender Equality</li> <li>• National Evaluation Capacity</li> <li>• Professionalism</li> </ul>	<p><b>Innovations</b></p> <ul style="list-style-type: none"> <li>• Respect, promote and contributes to the goals and targets set out in the 2030 Agenda for Sustainable Development</li> <li>• Notes ‘do no harm’ principle particularly for humanitarian assistance</li> <li>• Protection of sensitive data</li> <li>• Reporting of wrong doing</li> <li>• Respect protect and promote human rights and commitment to ‘no one being left behind</li> <li>• Requirement core competencies pertaining to relevant ethics and human rights guidelines, ability to apply ethics in practice, and to be able to assess evaluators on these competencies</li> </ul>
UNICEF	UN Agency	Procedure for Ethical Standards, Research, Evaluation and	<p><b>Principles:</b></p> <ul style="list-style-type: none"> <li>• Respect</li> <li>• Beneficence</li> </ul>	Largely based on biomedical research ethics framework.

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		Data Collection and Analysis (2014)	<ul style="list-style-type: none"> <li>Justice</li> </ul> <u>Substantive guidelines</u> <ul style="list-style-type: none"> <li>Generic (training, ethics review, selection of consultants)</li> <li>Harms and Benefits</li> <li>Informed Consent</li> <li>Privacy and Confidentiality</li> <li>Payment and Compensation</li> <li>Conflicts of Interest and Financial Disclosure</li> </ul>	<u>Innovations</u> <ul style="list-style-type: none"> <li>Covers research, evaluation and data collection.</li> <li>Includes appendix which explores in more depth privacy and security related to the data cycle and technologies</li> <li>Includes section on when ethical review req'd and who ethical review should be undertaken by.</li> <li>Includes ethical issues to be considered in the research protocol/inception report, during data collection and in final report.</li> <li>Explicitly considers and <u>enumerates</u> potential vulnerable cohorts and duty of care</li> </ul>
Australian Council for International Development (ACFID)	Network NGO's for International Development	Principles & Guidelines (2007)	<u>Principles</u> <ul style="list-style-type: none"> <li>Respect</li> <li>Beneficence</li> <li>Research Merit and Integrity</li> <li>Justice</li> </ul> <u>Substantive Guidelines</u> <ul style="list-style-type: none"> <li>Privacy</li> <li>Informed Consent</li> <li>Culturally sensitive research design</li> <li>Appropriate Review and Approval Processes</li> </ul>	Refers to Research and Evaluation Utilizes traditional research ethics framework, but also includes research & evaluation integrity issues. <u>Innovations</u> <ul style="list-style-type: none"> <li>Breaks down issues relating to informed consent for particular subgroups including children, and persons with disabilities.</li> <li>Includes a section on respecting and working in culturally diverse contexts, and acknowledging gender differences within these contexts.</li> <li>Includes a section on ethical questions to consider within a research protocol/inception report.</li> <li>Includes section on when ethical review req'd and who ethical review should be undertaken by.</li> <li>Provides resources for reflecting on ethical frameworks, resources for specific issues and groups (Humanitarian, Disability, Children and Youth)</li> </ul>
American Evaluation Association	Network for orgs involved in Evaluation	Guiding Principles for Evaluators (2018)	<u>Principles:</u>	<u>Innovations</u>



Organisation or Network	Nature of Org	Type Framework Code of or	Structure: Key Relevant Issues / Content (e.g. Conflict of Interest, Professional Conduct, Consent, Privacy and Confidentiality etc..)	Contemporary innovations, guidance on contemporary issues. Comments
			<p>A. Systematic Inquiry: Evaluators conduct data-based inquiries that are thorough, methodical, and contextually relevant.</p> <p>B. Competence: Evaluators provide skilled professional services to stakeholders.</p> <p>C. Integrity: Evaluators behave with honesty and transparency in order to ensure the integrity of the evaluation.</p> <p>D. Respect for People: Evaluators honor the dignity, well-being, and self-worth of individuals and acknowledge the influence of culture within and across groups.</p> <p>E. Common Good and Equity: Evaluators strive to contribute to the common good and advancement of an equitable and just society.</p>	<ul style="list-style-type: none"> <li>Highlights the need for social equity in evaluation, when feasible, so that those who give to the evaluation may benefit in return.</li> <li>Requirement to present evaluation results in <u>understandable forms</u> that respect people and honor promises of confidentiality.</li> <li>Consideration of the ethical implications of the use of emerging tech in evaluation.</li> <li>Explicitly articulates the need to mitigate the bias and potential power imbalances that can occur as a result of the evaluation's context. Self-assess one's own privilege and positioning within that context.</li> </ul>
Oxfam	INGO	Oxfam Responsible Program Data Policy (2015)	<ul style="list-style-type: none"> <li>Right to be counted and heard</li> <li>Right to dignity and respect</li> <li>Right to make an informed decision</li> <li>Right to privacy</li> <li>Right to not be put at risk</li> </ul>	<p>Exclusively data focused</p> <p><u>Innovations</u></p> <ul style="list-style-type: none"> <li>Rights based approach</li> <li>Importance of data collection process that is culturally and contextually appropriate</li> <li>Acknowledges need to <u>minimize burden</u> of data collected</li> <li>Explicitly considers disposal of data</li> </ul>
MSF	INGO	Research Ethics Framework	<p><u>Research Question and Methodology.</u></p> <ul style="list-style-type: none"> <li>How is the methodology and proposed analysis appropriate given the research question(s)?</li> </ul>	<p><u>Innovations</u></p> <ul style="list-style-type: none"> <li>Formulated as questions</li> </ul>

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		(2013)	<ul style="list-style-type: none"> <li>• What is the context in which the research will be conducted? How has this influenced the research design?</li> <li>• Have the research staff the relevant training and protections?</li> </ul> <p><u>Respecting and Protecting Research Participants and Communities</u></p> <ul style="list-style-type: none"> <li>• What are the anticipated harms and benefits?</li> <li>• What are your plans for obtaining consent?</li> <li>• How do you plan to protect confidentiality?</li> </ul> <p><u>Implications and Implementation of the Research Findings</u></p> <ul style="list-style-type: none"> <li>• What will happen when the research is either stopped or is complete?</li> <li>• How will the findings be disseminated?</li> <li>• How will the findings be implemented?</li> </ul>	<ul style="list-style-type: none"> <li>• Outlines When research requires ethics review</li> <li>• Consideration of processes for unanticipated harms</li> <li>• Requires the use of easily <u>understood language</u> in consent, interviews and questionnaires</li> <li>• Requirement to consider implications of negative findings</li> <li>• Need to consider how findings will be implemented</li> <li>• Consideration of the training and protection of staff</li> </ul>
Enhancing Learning and Research for Humanitarian Assistance Programme	Generic Guidelines for Health Research in Humanitarian Contexts	An Ethical Framework for the development and review of health research proposals involving humanitarian contexts (2014)	<p>Cluster A: Emergency Context Requirement/Benefits-Harms-Risks</p> <p>Cluster B: - Protocol Design: Scientific Validity/Feasibility; Research Focus: Relative Priority; Team Strength: Competence/Collaborative Structure; Declared Interests</p> <p>Cluster C: Independent Ethical Review/Oversight; Safeguards/Security/Exits</p> <p>Cluster D: Community Engagement; Cultural Context/Norms/Values</p> <p>Cluster E: Community/Individual Benefit; Confidentiality/Data Security</p>	<p><u>Innovations</u></p> <ul style="list-style-type: none"> <li>• Formulated as questions</li> <li>• Asks who is most appropriate to undertake ethical review</li> <li>• Includes commentaries on each guideline</li> </ul>

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			Cluster F: Informed Consent	
Save the Children International	INGO	Evaluation Handbook (2012)	<p>Includes:</p> <p>StC Practice Standards in Children’s Participation</p> <p>Standard 1 – An ethical approach: transparency, honesty and accountability</p> <p>Standard 2 – Children’s participation is relevant and voluntary</p> <p>Standard 3 – A child-friendly, enabling environment</p> <p>Standard 4 – Equality of opportunity</p> <p>Standard 5 – Staff are effective and confident</p> <p>Standard 6 – Participation promotes the safety and protection of children</p> <p>Standard 7 – Ensuring follow-up and evaluation.</p>	<p><u>Innovations</u></p> <ul style="list-style-type: none"> <li>• Advocates ethically engaging children in evaluation</li> <li>• Advocates the use of a gender equality audit as part to support ethical reflection</li> </ul>
UNHCR	UN Humanitarian	Policy on the Protection of Personal Data of Persons of Concern to UNHCR (2015)	<p><u>Principles</u></p> <ul style="list-style-type: none"> <li>• Purpose Specification</li> <li>• Necessity and Proportionality</li> <li>• Accuracy</li> <li>• Respect for the Data</li> <li>• Subject’s Rights</li> </ul>	<p>Exclusively data focused</p> <p><u>Innovations</u></p> <ul style="list-style-type: none"> <li>• The data subject’s rights to information, access, correction, deletion and objection</li> <li>• Explicitly considers maintaining computer and information technology (IT) security, for example, access control (e.g. passwords, tiered access), user control, storage control, input control, communication and transport control (e.g., encryption).</li> <li>• Requires a privacy impact statement for data collection</li> <li>• Consideration of assistance for implementing partners in building or enhancing their capacity</li> </ul>

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				<p>in order to comply with the data protection standards and principles</p> <ul style="list-style-type: none"> <li>Explicitly considers transfer of data, including on request from Government and law enforcement agencies.</li> </ul>
WFP	UN Humanitarian	Evaluation Policy 2016-2021	<p><u>Principles</u></p> <ul style="list-style-type: none"> <li>Independence</li> <li>Credibility</li> <li>Utility</li> </ul>	<p><u>Innovation</u></p> <p>Divides the UNEG Norm/Principle of Independence into provisions for centralized versus decentralized evaluations.</p> <p>Denotes other principles and key documents that should guide evaluations.</p>
WFP	UN Humanitarian	WFP Guide to Personal Data Protection and Privacy (2016)	<p><u>Principles</u></p> <ul style="list-style-type: none"> <li>Lawful and Fair Collection and Processing</li> <li>Specified and Legitimate Purpose</li> <li>Data Quality</li> <li>Participation and Accountability</li> <li>Security</li> </ul>	<p>Exclusively data focused</p> <p><u>Innovations</u></p> <ul style="list-style-type: none"> <li>Gives specific guidance on the application of the principles with checklists such as physical security and technological measures to be taken.</li> <li>Provides case studies</li> <li>Requires a privacy impact statement for data collection</li> <li>Addresses issues such as privacy breaches</li> <li>Procedures for updating or removing data on request.</li> <li>Explicitly considers disposal of data</li> <li>Provides compliance checklists</li> <li>Provides template consent forms</li> </ul>
CIOMS and WHO	Network and UN	International Ethical Guidelines for Epidemiological Studies (2008)	<p><u>Principles</u></p> <ul style="list-style-type: none"> <li>Respect for Persons</li> <li>Beneficence</li> <li>Justice (distributive justice, cultural relativity, acknowledging vulnerability, legal vs. ethical norms)</li> </ul>	<p>One of the seminal globally adopted biomedical ethical frameworks.</p> <p><u>Innovations</u></p> <ul style="list-style-type: none"> <li>Acknowledgement of difference between legal vs. ethical norms</li> <li>Includes commentaries on each guideline</li> </ul>

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			<p><u>Guidelines</u></p> <ul style="list-style-type: none"> <li>• Scientific validity and ethical review</li> <li>• Informed Consent</li> <li>• Compensation</li> <li>• Benefits, harms and risks</li> <li>• Informed consent for those who cannot consent</li> <li>• Limitations on risk for populations with limited resources</li> <li>• Equitable distribution of burdens and benefits</li> <li>• Research involving vulnerable persons</li> <li>• Research involving children</li> <li>• Women as research participants</li> <li>• Safeguarding confidentiality</li> <li>• Right of injured subjects to treatment and compensation</li> <li>• Strengthening capacity for ethical and scientific review and biomedical research</li> <li>• Ethical obligation of external sponsors to provide health-care services</li> <li>• Disclosure and review of potential conflicts of interest</li> <li>• Use of the Internet in epidemiological studies</li> </ul>	<ul style="list-style-type: none"> <li>• Requires scientific and ethical review</li> <li>• The requirement for renewal of consent for ongoing/longer term projects and where there is significant changes to the nature and conditions of the research</li> <li>• Recognition of the need in certain instances of communal based consent</li> <li>• Considers repurposing of data for other research</li> <li>• Directly address issues relating to Randomised Controlled Trials including Cluster RT's.</li> <li>• Explicitly considers ancillary services</li> <li>• Reparations for research related harms</li> <li>• Enrollment via electronic means</li> <li>• Addresses issues in relation to withholding information to ensure validity of research</li> <li>• Explicitly considers and enumerates potential vulnerable cohorts and the corresponding duty of care</li> <li>• Sponsor and researcher responsibility to build local capacity for research</li> </ul>
US Dept. Health and Human Services	Governmental	The Belmont Report: Ethical Principles and Guidelines for the Protection of Human Subjects (1978)	<p><u>Principles</u></p> <ul style="list-style-type: none"> <li>• Respect for Persons</li> <li>• Beneficence</li> <li>• Justice</li> </ul> <p><u>Substantive Guidelines</u></p> <ul style="list-style-type: none"> <li>• Informed consent (information, comprehension and voluntariness)</li> <li>• Assessment of Risks and Benefits</li> <li>• Selection of subjects (Justice)</li> </ul>	One of the seminal globally adopted biomedical ethical frameworks.

Organisation or Network	Nature of Org Agency	Type of Framework or Code	Structure: Key Relevant Issues / Content (e.g. Conflict of Interest, Professional Conduct, Consent, Privacy and Confidentiality etc..)	Contemporary innovations, guidance on contemporary issues. Comments
Asian Development Bank	Multi-lateral Agency	Guidelines to Avoid Conflict of Interest in Independent Evaluations (2012)	<ul style="list-style-type: none"> <li>• Independent Evaluation Dept. (IED) evaluators must inform IED management of any potential conflict of interest, or potential perception of conflict of interest, before evaluator assignments are finalized.</li> <li>• Evaluators, will offer to recuse themselves from evaluating (i) any project, program, or activity that they worked on or had line responsibility for the work on, including preparation, appraisal, administration, and completion reporting, or that they had a personal influence or financial stake in, in a previous capacity;</li> <li>• Evaluators will offer to recuse themselves from evaluating an ADB unit to which they (or an immediate family member) have applied for future employment.</li> <li>• If a former ADB staff member or consultant is being considered... particular care will be exercised to ensure that the concerned person was not personally involved, directly or indirectly, in the subject of the evaluation.</li> <li>• IED management must assess the materiality of any conflict of interest and decide whether any action, including recusal, is appropriate.</li> <li>• IED management, the Advisors, Directors and the Director General, will recuse themselves from supervising any aspect of evaluation work that they were associated with or expect to be associated with in a future capacity.</li> <li>• IED management and evaluators are responsible for exercising sound professional ethics and personal good judgment in applying these guidelines to themselves.</li> </ul>	<p><b>Innovations</b></p> <ul style="list-style-type: none"> <li>• Requirement for disclosure of potential conflicts of interest not only relating to prior relevant work history but also likely future employment opportunities.</li> <li>• Inclusion of an affirmation that the guidelines to avoid conflict of interest in independent evaluations have been followed.</li> </ul>

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			<ul style="list-style-type: none"> <li>Every IED report should include an affirmation that the guidelines to avoid conflict of interest in independent evaluations have been followed.</li> </ul>	
African Evaluation Association	Network	The African evaluation guidelines: 2006-7	<p><u>Principles</u></p> <ul style="list-style-type: none"> <li>Utility principle for produced information and expected and provided results</li> <li>Feasibility for realism: cautiousness and efficiency.</li> <li>Respect of ethics: respect of legal and ethical rules.</li> <li>Precision and quality: for a relevant methodology related to the goal and the subject matter of the evaluation</li> </ul>	<p>Based on American Eval. Association adjusted for African context</p> <p><u>Innovations</u></p> <ul style="list-style-type: none"> <li>Notes evaluation must be ‘participative’</li> <li>Requires special attention to vulnerable groups</li> <li>Notes multiple interpretations of findings should be transparently reflected</li> <li>A liability charter should be included that can be revised</li> </ul>
World Intellectual Property Organisation	UN	Evaluation Section Code of Conduct for Evaluation Staff and External Experts	<ul style="list-style-type: none"> <li>Independence</li> <li>Impartiality</li> <li>Credibility</li> <li>Conflicts of Interest</li> <li>Honesty and Integrity</li> <li>Accountability</li> <li>Obligations to participants</li> <li>Rights: Right to Self Determination, Fair Representation, Compliance with Codes for Vulnerable Persons, Redress.</li> <li>Confidentiality</li> <li>Avoidance of Harm</li> <li>Accuracy, Completeness and Reliability</li> <li>Transparency</li> </ul>	Adapted from the UNEG Code of Conduct and Ethical Guidelines for Evaluation.
World Health Organisation	UN	Evaluation Policy 2018	<p><u>Principles and Norms</u></p> <ul style="list-style-type: none"> <li>Impartiality</li> <li>Independence</li> <li>Utility</li> <li>Quality</li> </ul>	<ul style="list-style-type: none"> <li>Adapted from the UNEG Code of Conduct and Ethical Guidelines for Evaluation.</li> </ul> <p><u>Innovations</u></p> <ul style="list-style-type: none"> <li>Deconstruction of Independence; Behavioural independence, Organizational independence</li> </ul>

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			<ul style="list-style-type: none"> <li>• Transparency</li> <li>• Credibility</li> <li>• Ethics (Privacy, informed consent, investigation and reporting of wrongdoing)</li> <li>• Human Rights and Gender Equality</li> </ul>	<ul style="list-style-type: none"> <li>• Inclusion of detailed discussion of informed consent</li> </ul>
International Organisation for Migration	UN	IOM Evaluation Guidelines (2006)	<p><u>Norms and Standards to Consider</u></p> <ul style="list-style-type: none"> <li>• Utility</li> <li>• Feasibility</li> <li>• Propriety</li> <li>• Accuracy</li> <li>• Impartiality</li> <li>• Transparency</li> <li>• Usefulness</li> <li>• Credibility</li> <li>• Creativity</li> </ul>	<p>The policy does not go into details in relation to standards and norms it only offers some basic references that help to better frame the complexity of managing and conducting evaluation in order to guarantee quality, credibility, impartiality and usefulness.</p> <p><u>Innovations</u></p> <p>Reflection on creativity as a possible norm for evaluations to encourage the full exploitation of the capacities of the human knowledge in conducting evaluations. It notes creativity does not mean absence of methodological rigour or ethical standards.</p>
OECD DAC	Multilateral Agency	DAC Principles for Evaluation of Development Assistance (1991)	<p><u>Principles, Norms and Standards</u></p> <ul style="list-style-type: none"> <li>• Impartiality and Independence</li> <li>• Credibility</li> <li>• Usefulness</li> <li>• Participation of Donors and Recipients</li> <li>• Donor Cooperation</li> <li>• Design and Implementation of Evaluations</li> <li>• Reporting, Disseminating and Feedback</li> </ul>	<p><u>Innovations</u></p> <ul style="list-style-type: none"> <li>• Notes independence of evaluation can be enhanced where reports are issued in the name of authors.</li> <li>• Notes the need for donor collaboration in order to develop evaluation methods, share reports and information, and improve access to evaluation findings</li> </ul>
World Bank	Multilateral	Sourcebook for Evaluating Global	Principles and Norms	<u>Innovations</u>



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		and Regional Partnership Programs Indicative Principles and Standards (2007)	<ul style="list-style-type: none"> <li>• Credibility and Usefulness</li> <li>• Effectiveness</li> <li>• Independence and Impartiality (org independence, behavioural independence, conflict of interest)</li> <li>• Participation and Transparency)</li> <li>• Ensuring quality</li> <li>• Ethical and professional conduct (honesty, accountability, professionalism, respect, fraud and misconduct)</li> </ul>	<ul style="list-style-type: none"> <li>• Notes evaluation team members should have the opportunity to dissociate themselves from particular judgments and recommendations. Any unresolved differences of opinion within the team should be acknowledged in the report.</li> <li>• Expands on the UNEG note on wrongdoing noting that evaluators should anticipate the possibility of discovery of wrong-doing, fraud, or misconduct, and clarify up front to whom such cases should be reported</li> </ul>
UN Department of Peacekeeping Operations	UN	?	<ul style="list-style-type: none"> <li>• Transparency,</li> <li>• independence,</li> <li>• Consultation, and,</li> <li>• Relevance</li> </ul>	
Food and Agricultural Organisation of the UN (FAO)	UN	Charter for the FAO Office of Evaluation (2010)	<ul style="list-style-type: none"> <li>• Independence,</li> <li>• Impartiality,</li> <li>• Credibility,</li> <li>• Transparency, and,</li> <li>• Usefulness.</li> </ul>	<p><b>Innovation</b></p> <ul style="list-style-type: none"> <li>• Highlights that principles are interdependent</li> </ul>
Green Climate Fund	UN	GCF Evaluation Policy (2018)	<ul style="list-style-type: none"> <li>• Impartial, Objective and Unbiased</li> <li>• Relevance and usefulness</li> <li>• Credibility (complete, fair and based on standards of evidence, expertise and transparency. Evaluation results should be replicable)</li> <li>• Measurability</li> </ul>	<p><b>Innovations</b></p> <p>Separation of Impartial and unbiased principles into those pertaining to the Institution and those pertaining to programmes.</p> <p>Institutional level: At the level of the institution, the impartiality, objectivity and unbiased principles are to be ensured by clear roles and responsibilities, and can be validated by an evaluation budget, mandate, reporting lines, independent quality assurance and independent reviews, assessment and evaluations.</p> <p>Programme level: Evaluations must be free from external influence and bias in their design, selection, frameworks, findings, conclusions and recommendations.</p>

Organisation or Network	Nature of Org	Type of Framework or Code	Structure: Key Relevant Issues / Content (e.g. Conflict of Interest, Professional Conduct, Consent, Privacy and Confidentiality etc..)	Contemporary innovations, guidance on contemporary issues. Comments
International Atomic Energy Agency	UN	Office of Internal Oversight Services Evaluation Policy (2011)	<ul style="list-style-type: none"> <li>• Utility, which ensures that an evaluation will serve the information needs of intended users; Feasibility, which ensures that an evaluation will be realistic, prudent and cost-efficient;</li> <li>• Propriety, which ensures that an evaluation will be conducted legally, ethically and with due regard for the welfare of those involved and/or affected by the evaluation; and</li> <li>• Accuracy and quality, which ensure that an evaluation will produce sound information on features that determine the merit and value of the programme, with documented objective evidence.</li> <li>• Evaluations must take into account local, social and cultural beliefs and customs and agency evaluators must be sensitive to issues of discrimination and gender inequality.</li> </ul>	Summarises principles but notes that it abides by the UNEG Norms and Standards for Evaluation in the UN System.
International Labour Organisation	UN	ILO Policy Guidelines for Results-Based Evaluation: Principles, Rationale, Planning and Managing for Evaluations (2013)	<p>Principles</p> <ul style="list-style-type: none"> <li>• Limited management influence over terms of reference, scope of the evaluation and selection of evaluators;</li> <li>• Involvement of constituents and others as appropriate, in the planning, implementation and reporting process;</li> <li>• Upholding the ILO mandate and mission by selecting an evaluation approach and methods that reflect the tripartite organization and its focus on social justice and its normative and technical mandate;</li> <li>• Adequacy of treatment of core ILO cross-cutting priorities, such as gender equality and non-discrimination, promotion of standards, tripartite processes and constituent capacity development.</li> </ul>	<p>Innovations</p> <ul style="list-style-type: none"> <li>• Capacity Development of constituents included in tri-partism, dialogue between governments, employers and workers.</li> <li>• Approach and methods to reflect social justice mandate</li> </ul>

Organisation or Network	Nature of Org	Type of Framework or Code	Structure: Key Relevant Issues / Content (e.g. Conflict of Interest, Professional Conduct, Consent, Privacy and Confidentiality etc..)	Contemporary innovations, guidance on contemporary issues. Comments
			<p><u>Norms and Standards</u></p> <ul style="list-style-type: none"> <li>• Usefulness</li> <li>• Impartiality</li> <li>• Independence and professionalism of selected evaluators</li> <li>• Quality</li> <li>• Competence</li> <li>• Transparency and consultation</li> </ul>	
United Nations Office for the Co-ordination of Humanitarian Affairs	UN	OCHA Policy (2010)	<ul style="list-style-type: none"> <li>• Independence of evaluation function</li> <li>• Transparency and consultation with major stakeholders</li> <li>• Adequate capacity and resources</li> <li>• Evaluation advisory groups for comments on the evaluation design and reviews of a draft</li> <li>• evaluation reports, the recommendations, the lessons identified and related follow-up.</li> </ul>	The guiding principles for evaluation emanate from decisions taken by the UN General Assembly, and from the 2005 UNEG Norms and Standards and the 2007 UNEG Code of Conduct for evaluation.
United Nations High Commission for Refugees	UN	UNHCR Policy on Evaluation (2016)	<ul style="list-style-type: none"> <li>• Norms:</li> <li>• The protection of those providing information to evaluators and of data,</li> <li>• Requirements for informed consent,</li> <li>• Respect for dignity and diversity, and,</li> <li>• The minimisation of risk, harm or burden upon those participating in an evaluation while at the same time not compromising the integrity of evaluation findings.</li> </ul> <p><u>Principles</u></p> <ul style="list-style-type: none"> <li>• Independence</li> <li>• Impartiality</li> <li>• Credibility</li> <li>• Utility</li> </ul>	<p><u>Innovations</u></p> <ul style="list-style-type: none"> <li>• Requirement for review of policy built in to policy.</li> <li>• Explicitly mentions the protection of those providing information to evaluators and of data, (privacy and confidentiality)</li> <li>•</li> </ul>

Organisation or Network	Nature of Org	Type of Framework or Code	Structure: Key Relevant Issues / Content (e.g. Conflict of Interest, Professional Conduct, Consent, Privacy and Confidentiality etc..)	Contemporary innovations, guidance on contemporary issues. Comments
UN-Habitat	UN	UN-Habitat Evaluation Policy (2013)	<ul style="list-style-type: none"> <li>• Impartiality,</li> <li>• Independence,</li> <li>• Credibility,</li> <li>• Quality,</li> <li>• Utility,</li> <li>• Transparency and accountability.</li> </ul>	<p><b>Innovations</b></p> <ul style="list-style-type: none"> <li>• Separates independence into organizational, functional and behavioural independence.</li> <li>• Highlights that external evaluators must not have been directly involved in the policy-setting, design, or any other engagement in the work of the programme evaluated in the past but also not expected to be in the near future.</li> <li>• Reference to an organizational quality assessment checklist</li> <li>• Encourages the creation of a reference group to assess technical and methodological feedback.</li> <li>• Evaluators are responsible for their products and should pay due regard to the welfare of those involved in the evaluation as well as those affected by its findings</li> </ul>
United Nations Development Programme, United Nations Volunteers Programme, United Nations Capital Development Fund	UN	The UNDP Evaluation Policy (2016)	<ul style="list-style-type: none"> <li>• High ethical standards and norms must be upheld (sensitivity to the beliefs, manners and customs of the social and cultural environments in which they work, non-discrimination and legal compliance)</li> <li>• Evaluations must be independent, impartial and credible</li> <li>• Planning and implementation of evaluations must be rule-bound (avoidance of vested interest, clear rationale)</li> <li>• Evaluations should be carried out with high technical competence and rigour</li> <li>• Evaluation processes should be transparent and fully engaged with stakeholders</li> </ul>	<p><b>Innovations</b></p> <ul style="list-style-type: none"> <li>• Legal compliance</li> <li>• Requirement to promote national ownership and increases the participation of national counterparts,</li> </ul>

Organisation or Network	Nature of Org	Type of Framework or Code	Structure: Key Relevant Issues / Content (e.g. Conflict of Interest, Professional Conduct, Consent, Privacy and Confidentiality etc..)	Contemporary innovations, guidance on contemporary issues. Comments
UNESCO	UN	UNESCO Evaluation Policy (2015)	<ul style="list-style-type: none"> <li>• Intentionality (rationale)</li> <li>• Impartiality (avoidance bias and balanced teams)</li> <li>• Transparency</li> <li>• Ethics and Human Rights (sensitive to and address discrimination and gender imbalances)</li> <li>• Equity (seek to answer questions of concern for marginalized populations)</li> <li>• Empowerment/Gender Equality</li> <li>• Timeliness</li> <li>• Quality</li> <li>• Inclusiveness and Participation</li> </ul>	<p><b>Innovations</b></p> <ul style="list-style-type: none"> <li>• Balanced evaluation teams with respect to gender and geographic composition</li> <li>• Explicitly considers equity and the need to answer questions of concern or socially marginalized groups</li> </ul>
United Nations Population Fund	UN	UNFPA Evaluation Policy (2013)	<p><b>Norms and Standards</b></p> <ul style="list-style-type: none"> <li>• Independence and impartiality</li> <li>• Intentionality and quality</li> <li>• Transparency</li> <li>• Ethics (avoidance personal or sectoral bias, confidentiality, legality, impact of findings, sensitivity local customs and culture)</li> <li>• Separate section on quality assurance and capacity development.</li> </ul>	<p><b>Innovations</b></p> <ul style="list-style-type: none"> <li>• evaluators must not be directly involved in policy-setting, design, implementation or management of the subject of the evaluation before, during <u>and at least two years after the evaluation.</u></li> <li>• evaluation teams should have relevant expertise as well as gender and geographical balance;</li> </ul>
Financial Reporting Council	Professional Association of Chartered Accountant's and Actuaries	FRC Revised Ethical Standard (2016)	<p><b>Principles</b></p> <p>Integrity</p> <p>Objectivity and Independence</p> <p><b>Threats to principles</b></p> <ul style="list-style-type: none"> <li>• Self interest threat</li> <li>• Self review threat</li> </ul>	<p><b>Innovations</b></p> <ul style="list-style-type: none"> <li>• The requirement for monitoring procedures in relation to integrity, objectivity and independence which include, on a test basis, periodic review of the engagement partners' documentation of the consideration of the integrity, objectivity and independence of the firm, its partners and staff</li> </ul>

Organisation Network	or Nature of Org	Type Framework Code	of or Structure: Key Relevant Issues / Content (e.g. Conflict of Interest, Professional Conduct, Consent, Privacy and Confidentiality etc..)	Contemporary innovations, guidance on contemporary issues. Comments
			<ul style="list-style-type: none"> <li>• Management threat</li> <li>• Advocacy threat</li> <li>• Familiarity threat</li> <li>• Intimidation threat</li> </ul> <p>Financial, Business, Employment and Personal Relationships</p> <p>Fees, Remuneration and Evaluation Policies, Gifts and Hospitality, Litigation</p>	<ul style="list-style-type: none"> <li>• Clear delineation of the duration of independence. Ie. 'from the time as at which, the subject matter is measured or evaluated in connection with the engagement and throughout any subsequent period until the engagement has been completed'</li> <li>• Provides clarity on when not to engage including if there is any threat of self-review, self-interest, advocacy, familiarity or intimidation created by financial, personal, business, employment or other relationships.</li> <li>• Introduction of the idea of empowerment of staff such that they can communicate without fear to senior levels within the firm any concerns about the firm's commitment to quality work and professional judgment and values, including issues of integrity, objectivity or independence that concerns them; this includes establishing confidential communication channels open to staff, encouraging staff to use these channels and ensuring that staff who use these channels are not discriminated against and are not subject to disciplinary proceedings as a result</li> <li>• The senior management is required to designate a senior manager possessing the necessary seniority, relevant experience, authority and leadership levels (the 'Ethics Partner') as having responsibility for ensuring the firm's compliance with supporting ethical provision</li> <li>• This individual with seniority and authority at leadership levels within the firm, must possess relevant experience, and whose decisions and advice on ethical matters will be respected by persons at all levels within the firm, including by any more senior partners</li> <li>• The Ethics Manager must consider whether ethics are covered properly in the firm's induction programmes, professional training and continuing professional development for all senior management and staff.</li> <li>• Requires policies and procedures that require the evaluation manager equivalent to identify</li> </ul>

Organisation or Network	Nature of Org	Type of Framework or Code	Structure: Key Relevant Issues / Content (e.g. Conflict of Interest, Professional Conduct, Consent, Privacy and Confidentiality etc..)	Contemporary innovations, guidance on contemporary issues. Comments
				<p>and assess the significance of threats to the integrity and objectivity of the firm and covered persons on an individual and cumulative basis, including any threats that may compromise independence:</p> <ul style="list-style-type: none"> <li>• Requires consideration whether to accept or retain an engagement; (b) when planning the engagement; (c) when forming an opinion and signing the report on the financial statements or other subject matter information; 14 (d) when considering whether to accept or continue to provide nonaudit / additional services to an engagement by the firm; and (e) when potential threats are reported to him or her.</li> </ul>
International Ethics Standards Board for Accountants, International Federation of Accountants	International Professional Association of Accountants	International Code of Ethics for Professional Accountants (2019)	<p><u>Principles</u></p> <ul style="list-style-type: none"> <li>• Integrity</li> <li>• Objectivity</li> <li>• Professional Competence and Due Care</li> <li>• Confidentiality</li> <li>• Professional Behavior</li> </ul>	<ul style="list-style-type: none"> <li>• Linked to a Handbook which explains changes and content.</li> <li>• Identifies threats to principles (as noted above by FRC)</li> <li>• Identifies safeguards as: Educational, training and experience requirements for entry into the profession. • Continuing professional development requirements. • Corporate governance regulations. • Professional standards. • Professional or regulatory monitoring and disciplinary procedures. • External review by a legally empowered third party</li> <li>• Articulates considerations for ethical conflict resolution</li> <li>• Provides detail relating to confidentiality including when confidentiality must be breached in accordance with the law.</li> <li>• Inclusion of reasonable and third party test for appropriate audit that requires that the same conclusion would be reached by a third party as that of the auditors.</li> <li>• Requirement for ongoing vigilance to determine if threats have changed and if safeguards are still appropriate.</li> <li>• Divides code into 2 sections. (1) Basic principles and explanations (2) Applying the Conceptual Framework – which provides</li> </ul>

Organisation or Network	Nature of Org	Type of Framework or Code	Structure: Key Relevant Issues / Content (e.g. Conflict of Interest, Professional Conduct, Consent, Privacy and Confidentiality etc..)	Contemporary innovations, guidance on contemporary issues. Comments
				<p>further detail on the application of the principles.</p> <ul style="list-style-type: none"> <li>• Requirement to adhere to relevant legislation including that pertaining to data regulation, environmental protection and public health and safety.</li> <li>• Determination of requirement to disclose non-compliance and other potential issues where mandatory reporting is required.</li> <li>• Lists potential pressures to which auditors may be subjected to and to determine level of threat.</li> <li>• Provides examples where Conflicts of Interest may arise.</li> </ul>
WHO	UN	WHO Ethical and safety recommendations for researching, documenting and monitoring sexual violence in emergencies (2007)	<ol style="list-style-type: none"> <li>1. Risks and benefits</li> <li>2. Methodology</li> <li>3. Referral services</li> <li>4. Safety</li> <li>5. Confidentiality</li> <li>6. Informed consent</li> <li>7. Information gathering team</li> <li>8. Children</li> </ol>	<ul style="list-style-type: none"> <li>• The requirement that information gathering and documentation must be done in a manner that presents the least risk to respondents, is methodologically sound, and builds on current experience and good practice.</li> <li>• The requirement for basic care and support for survivors/victims must be available locally before commencing any activity that may involve individuals disclosing information about their experiences of sexual violence.</li> <li>• Explicit recommendation that the safety and security of all those involved in information gathering about sexual violence is of paramount concern and in emergency settings in particular should be continuously monitored.</li> <li>• The requirement that all members of the data collection team be carefully selected and receive relevant and sufficient specialized training and ongoing support.</li> <li>• The requirement that additional safeguards must be put into place if children (i.e. those under 18 years) are to be the subject of information gathering.</li> <li>• Provides questions for each section for data collectors and managers to consider.</li> </ul>
Institute of Internal Auditors	Professional Association	Code of Ethics (2016)	Principles Integrity	<p><u>Innovations</u></p> <ul style="list-style-type: none"> <li>• Translated into 42 languages</li> </ul>



Organisation Network	or Nature of Org	Type Framework Code	of or Structure: Key Relevant Issues / Content (e.g. Conflict of Interest, Professional Conduct, Consent, Privacy and Confidentiality etc..)	Contemporary innovations, guidance on contemporary issues. Comments
			Objectivity Confidentiality Competency	<ul style="list-style-type: none"> <li>• Provides templates for complaints forms</li> <li>• Simple Code of Conduct with separate guidance document provided by the International Standards for the Professional Practice of Internal Auditing (ISPPA)</li> <li>• ISPPA - Establishes independence through clear articulation of required governance structures and reporting lines. 'Organizational independence is effectively achieved when the chief audit executive reports functionally to the [organization] board.</li> <li>• Requires ongoing professional development to ensure proficiency and competency</li> <li>• Provides interpretation for each principle.</li> <li>• Provides clear guidelines for recording and retaining documents.</li> </ul>

UNEG Agencies that either refer verbatim to, or primarily provide a reference or link to UNEG Ethical Guidelines, Codes of Conduct and Standards and Norms for Guidance in their evaluation policies:

1. Commission for the Comprehensive Nuclear-Test-Ban Treaty Organization
2. United Nations Office for the Co-ordination of Humanitarian Affairs
3. United Nations Office of Drugs and Crimes



## Annex 3: Ethical Obligations in Evaluation: Mapping of UNEG Evaluation Principles, Norms and Standards

Evaluator Obligations (Behavioural)	Evaluation Manager/ Commissioner obligations	Organisational Obligations	Quality Assurance Obligations (Functional)
<b>Justice and the Responsible Use of Power</b>			
<ul style="list-style-type: none"> <li>• Use power responsibly</li> </ul>	<ul style="list-style-type: none"> <li>• Use power responsibly</li> </ul>	<ul style="list-style-type: none"> <li>• Use power responsibly</li> </ul>	
<b>Credibility and Utility</b>			
<ul style="list-style-type: none"> <li>• Ensure the credibility of the evaluation (accurate, relevant and timely)</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure the credibility and utility of the evaluation (accurate, relevant and timely)</li> </ul>	<ul style="list-style-type: none"> <li>• Processes to ensure the credibility and utility of the evaluation (accurate, relevant and timely)</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure the credibility and utility of the evaluation</li> </ul>
<b>Financial Probity</b>			
<ul style="list-style-type: none"> <li>• Use resources responsibly</li> <li>• Ensure and evidence the responsible use of resources</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure evidence is available of the responsible use of resources</li> <li>• Timely dissemination</li> </ul>	<ul style="list-style-type: none"> <li>• Use resources responsibly</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure and evidence the responsible use of resources (budgets)</li> <li>• Ensure the utility of the evaluation</li> </ul>
<b>Independence</b>			
<ul style="list-style-type: none"> <li>• Guarantee and Maintain Independence (behavioural)</li> <li>• Disclose any conflict of interest both personal and financial</li> <li>• Disclose any previous engagement with the project/policy</li> </ul>	<ul style="list-style-type: none"> <li>• Appointment of trustworthy, competent, independent minded, skilled, diverse evaluators</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure the Independence of the evaluation function from policy and programs (organizational)</li> <li>• Ensure the Independence of the evaluation from undue external influence</li> <li>• Create and maintain due diligence systems</li> <li>• Systems in place to avoid and/or ensure disclosure of any</li> </ul>	

Evaluator Obligations (Behavioural)	Evaluation Manager/ Commissioner obligations	Organisational Obligations	Quality Assurance Obligations (Functional)
<ul style="list-style-type: none"> <li>• Report any attempted coercion, manipulation etc.</li> </ul>		financial and personal conflicts of Interest	
<b>Impartiality and Fair Representation</b>			
<ul style="list-style-type: none"> <li>• Ensure the methods and findings are Impartial</li> </ul>	<ul style="list-style-type: none"> <li>• Communicate openly with people involved in the evaluation</li> <li>• Consult all relevant stakeholders if changes are to be made to the evaluation process or program.</li> <li>• Consult widely to ensure evaluation is relevant, realistic and viable</li> <li>• Clarify to stakeholders how evaluation will be used &amp; disseminated</li> </ul>		<ul style="list-style-type: none"> <li>• Transparency - methodology clearly described, TOR input from multiple stakeholders</li> </ul>
<b>Honesty and Integrity</b>			
<ul style="list-style-type: none"> <li>• Be honest and act with integrity</li> <li>• Ensure accuracy – representation of individual skills and knowledge,</li> <li>• Prevent misuse of work,</li> <li>• Ensure findings are accurate and not misleading</li> <li>• Transparency – explanations of purpose, criteria and use of findings</li> </ul>	<ul style="list-style-type: none"> <li>• Curtail evaluation bias</li> <li>• Provide access to relevant documentation &amp; data</li> <li>• Allow members of eval team to disassociate themselves from particular judgements and recommendations, with unresolved differences of opinion within the team acknowledged in the evaluation report.</li> <li>• Ensure a transparent and Fair tendering procedure</li> <li>• Ensure ideas and intellectual property not exploited</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure Redress (mechanisms)</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure accuracy (avoiding misleading results, accurate, complete, reliable, incl. strength and weakness, justification of findings, replicability of data)</li> </ul>

Evaluator Obligations (Behavioural)	Evaluation Manager/ Commissioner obligations	Organisational Obligations	Quality Assurance Obligations (Functional)
	<ul style="list-style-type: none"> <li>• Preserve integrity of findings – appropriate and fair representation in communication of findings</li> </ul>		
<b>Accountability and Transparency</b>			
<ul style="list-style-type: none"> <li>• Accountability (timeframe, budget, fiscal probity, acknowledge changes made to plan)</li> <li>• Clear articulation of limitations of findings</li> </ul>	<ul style="list-style-type: none"> <li>• Consult all relevant stakeholders if changes are to be made to the evaluation process or program.</li> <li>• Delegate or assume responsibility for reporting of misconduct and or compromises to integrity of evaluation.</li> </ul>	<ul style="list-style-type: none"> <li>• Accountability (timeframe, budget, fiscal probity, acknowledge changes made to plan)</li> <li>• Redress mechanisms</li> </ul>	<ul style="list-style-type: none"> <li>• Accountability – reporting acknowledges changes made to plan</li> <li>• Clear articulation of limitations of findings in TOR and report</li> </ul>
<b>Protecting, Respecting and Upholding Human Rights</b>			
<ul style="list-style-type: none"> <li>• Respect for dignity and diversity (cultural sensitivity, disruption minimised, privacy)</li> <li>• Omissions and wrong doing – reporting of unethical conduct</li> <li>• Avoidance of Harms</li> <li>• Ensure privacy and confidentiality in report</li> <li>• Right to self determination (Informed consent)</li> <li>• Compliance with codes for vulnerable groups</li> </ul>	<ul style="list-style-type: none"> <li>• Respect anonymity of evaluator sources</li> <li>• Avoidance of Harms</li> <li>• Compliance with codes for vulnerable groups</li> </ul>	<ul style="list-style-type: none"> <li>• Reporting of wrong -doing</li> <li>• Reporting, Ensuring Confidentiality, acknowledging ownership of work and appropriate dissemination.</li> <li>• Avoidance of Harms</li> <li>• Compliance with codes for vulnerable groups</li> <li>• Mechanisms to ensure data confidentiality and Informed consent (Right to self-determination)</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure the necessity of the evaluation and the data collection processes</li> </ul>

Evaluator Obligations (Behavioural)	Evaluation Manager/ Commissioner obligations	Organisational Obligations	Quality Assurance Obligations (Functional)
<b>Utility</b>			
<ul style="list-style-type: none"> <li>• Accessibility of Reports</li> </ul>	<ul style="list-style-type: none"> <li>• Maximise follow through and use of findings</li> <li>• Accessibility of Reports</li> <li>• Consult widely to ensure evaluation is relevant, realistic and viable</li> <li>• Provide the results of evaluations to stakeholders in countries they cover, including government ministries and other partners</li> </ul>		Ensure the utility of the evaluation

## Annex 4: Data Collection Instruments

### A4.1: Survey instruments:

#### A4.1.1 Survey for Staff of UNEG Member and Observer Organisations

This survey is designed to inform the review of the UNEG Ethical Guidelines and Code of Conduct and to explore your knowledge, use and perceptions of these key guidance materials.

By participating in this survey you are helping to ensure that the review of the Guidelines and the Code of Conduct is reflective of the needs of your organisation and is responsive to contemporary developments and challenges that you may face throughout the evaluation process.

The survey is designed for evaluation; commissioners, managers, professionals and others who engage with issues relating to the ethics of evaluation.

As a respondent, you will not be asked for your name and any other personal identifier. This is to ensure the anonymity and confidentiality of the survey results. However, you will have the chance to specify

- (a) the name of the UN agency you work for
  - (b) your position, e.g. Manager /Director/Senior Officer /Officer
  - (c) Your location, e.g. HQ/Regional Office/Field Office
- Feel free to leave any or all of these questions blank.

Should you feel uncomfortable answering any of the survey questions below please feel free to skip them.

If you have any queries or concerns please contact Gabrielle Berman at [gabrielleberman@wfp.org](mailto:gabrielleberman@wfp.org)

Let's Begin!

1. What is your gender?

- Male
- Female
- Other
- Prefer not to say

14. Do you or your organisation ever use an ethics review board/Institutional Review Board to review the ethics of an evaluation?

- Yes
- No

15. If you or your organisation access an independent board for ethical reviews, how frequently do you use it?

- Every new evaluation
- Occasionally
- Rarely

16. Is it organisational practice to appoint a focal point or a reference group to provide advice on potential ethical issues pre and during an evaluation?

- Yes
- No
- I don't know

17. Do you believe that either formal and informal ethics review processes can be a useful mechanism for ensuring that evaluations anticipate and address ethical issues?

- Yes
- No
- It depends on the level of familiarity of the evaluation manager and evaluation team with ethics issues
- I don't know



18. Is there a requirement in your organisation to explicitly report on ethics in the Inception Report?

- Yes, and it is done regularly
- Yes, but it is not done regularly
- Yes, but I don't know if it is done regularly
- No
- I don't know

19. Is there a requirement in your organisation to explicitly report on ethics in the final reports?

- Yes, and it is done regularly
- Yes, but it is not done regularly
- Yes, but I don't know if its done regularly
- I don't know
- No

20. Do you find the UNEG Ethical Guidelines easy to understand?

- Yes, absolutely
- Yes, more or less
- No
- I am not familiar with the Ethical Guidelines

21. Do you find them easy to apply in practice?

- Yes, absolutely
- Yes, more or less
- No

22. If you answered no, you do not find the guidelines easy to apply - can you explain why?

26. What ethical standards do you think are the most difficult to understand, apply or interpret in your work?

- |   |   |
|---|---|
| <input type="checkbox"/> Responsible use of power     | <input type="checkbox"/> Accountability                         |
| <input type="checkbox"/> Ensuring Credibility         | <input type="checkbox"/> Respect for Dignity and Diversity      |
| <input type="checkbox"/> Responsible use of resources | <input type="checkbox"/> Rights                                 |
| <input type="checkbox"/> Utility                      | <input type="checkbox"/> Confidentiality                        |
| <input type="checkbox"/> Necessity                    | <input type="checkbox"/> Avoidance of Harm                      |
| <input type="checkbox"/> Independence                 | <input type="checkbox"/> Accuracy, Completeness and Reliability |
| <input type="checkbox"/> Impartiality                 | <input type="checkbox"/> Transparency                           |
| <input type="checkbox"/> Conflicts of Interest        | <input type="checkbox"/> Reporting                              |
| <input type="checkbox"/> Honesty and Integrity        | <input type="checkbox"/> Omissions and Wrong Doing              |

Other (please specify)

27. Can you briefly explain any difficulties you have faced in the past when trying to apply any of these standards.

28. During the course of commissioning or undertaking an evaluation have you ever felt compromised or pressured to ignore or act counter to any ethical standards?

- Yes  
 No

29. Who was the source of this potential compromise? ie. who made the request that made you feel compromised?

- Donor
- Evaluation Stakeholders (e.g. beneficiaries, community stakeholders, National Governments)
- Persons responsible for the object of evaluation (e.g. project staff or managers)
- External evaluator contracted
- Internal evaluation staff or own supervisors
- Other (please specify)

30. At what stage of the evaluation process have you most frequently felt compromised or exposed to pressure to compromise ethical standards?

- TOR/Preparation stage
- Inception report - defining objectives
- Inception report - defining scope
- Inception report - developing the evaluation methodology
- Selection of participants and stakeholders for interviews and consultations
- During the data collection
- Drafting the Findings
- Drafting the Conclusions
- Drafting the Recommendations
- Disseminating the Recommendations
- Other (please specify)

31. Are there ethical consideration/s that you would like further guidance on in the Guidelines?

- Yes
- No
- I dont know

32. If you would like further guidance on specific ethical issues, what is it/are they?

Consideration 1:

Consideration 2:

Consideration 3:

33. What, if any, additional supporting materials would be useful to be included as part of a broader guidance package?

- Guidance on particular topics
- Useful References
- Templates (informed consent, conflict of interest declaration form, affidavit/MOU stating compliance with Ethical Guidelines)
- Checklists of questions to be asked throughout the evaluation
- FAQ
- None of the above

Other (please specify)

34. Are there any key issues that you think the guidelines should refer to in order to address the contemporary trends and ethical challenges that may impact your work ?

- New Data Technologies
- Data Privacy Regulations
- Environmental Concerns
- Other (please specify)

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35. Do you have any other comments on the Guidelines, The Code of Conduct or Any other issues relating to Ethics and Evaluations?

36. Personal Information: What is your current role/title? (Leave empty if you don't want this information collected)

37. Personal Information: What is the name of the agency you work for? (Leave empty if you don't want this information collected)

38. Personal Information: Are you currently located at...? (Leave empty if you don't want this information collected)

- HQ
- Regional Office
- Country Office

39. Would you be interested in becoming involved in an advisory capacity during the next phase of the revision of the guidelines? If you are interested, we would love to hear from you.

Please contact Marte Hurlen at [marte.hurlen@wfp.org](mailto:marte.hurlen@wfp.org) to follow up.

- Yes
- No

### *A3.1.2 Survey for Consultant Evaluators of UNEG Member and Observer Organisations*

This survey is designed to inform the review of the UNEG Ethical Guidelines and Code of Conduct and to explore your knowledge, use and perceptions of these key guidance materials.

By participating in this survey you are helping to ensure that the review of the Guidelines and the Code of Conduct is responsive to contemporary developments and challenges that you may face when undertaking evaluations.

As a respondent, you will not be asked for your name or any other personal identifier. This is to ensure the anonymity and confidentiality of the survey results. However, you will have the chance to specify:

- (a) the name of your organisation
- (b) your position, e.g. Manager /Director/Evaluation Officer

Feel free to leave either or both of these questions blank.

Should you feel uncomfortable answering any of the survey questions below please feel free to skip them.

If you have any queries or concerns please contact Gabrielle Berman at [gabrielleberman@wfp.org](mailto:gabrielleberman@wfp.org)

Let's Begin!

1. What is your gender?

- Male
- Female
- Other
- Prefer not to say

2. Are you aware of the UNEG Ethical Guidelines?

- Yes, I know them well and am well versed in their standards and obligations
- Yes, I know them to some extent and have a basic knowledge of their standards and obligations
- Yes, but I do not know much about them (I am aware but not familiar)
- No

---

3. If you answered yes, how frequently do you refer to the guidelines?

- Every new evaluation undertaken
- Occasionally when relevant issues arise
- Rarely
- Never

---

4. Are you aware of the UNEG Code of Conduct for Evaluation in the UN System?

- Yes, I know it well and am well versed in their standards and obligations
- Yes, I know it to some extent and have a basic knowledge of their standards and obligations
- Yes, but I do not know much about it (I am aware but not familiar)
- No

---

5. If you do refer to the UNEG Code of Conduct in your work, how frequently do you do so?

- Every new evaluation
- Occasionally when an ethical issue arises
- Rarely
- Never

---

6. How frequently do UN organisations require you to sign a code of conduct, MOU or other document stating that you will meet evaluation ethics standards?

- Always
- Sometimes, it depends on the UN organisations
- Rarely, it depends on the UN organisation but most don't require me to
- Never

---

7. Are you clear on the difference between the UNEG Norms and Standards for Evaluation, The UNEG Code of Conduct for Evaluation in the UN System, and, the UNEG Ethical Guidelines for Evaluation?

- Yes, absolutely
- Yes, more or less
- No

---

8. Of the 3 documents which are you most likely to refer to for guidance on ethics?

- The UNEG Norms and Standards for Evaluation
- The UNEG Code of Conduct for Evaluations
- The UNEG Ethical Guidelines for Evaluation
- All of the Above
- None of the Above
- Other (please specify)

---

9. Do you primarily refer to other Ethics Guidelines or Codes of Conduct (i.e. not those of UNEG)?

- Yes
- No



10. If you answered yes to the previous question, which guidelines or documents do you refer to? ie what is/are the title/s of the guidelines to which you refer

Other Guidelines 1:

Other Guidelines 2:

Other Guidelines 3:

Other Guidelines 4:

11. Do you think that there are other key ethics related documents to which the UNEG Ethics Guidelines should refer?

- Yes
- No
- I don't know

12. If there are other key documents which you believe should be referenced in the UNEG Guidelines what are they? What are/is the title of this/these documents?

Other Guideline 1:

Other Guideline 2:

Other Guideline 3:

Other Guideline 4:

13. Do you believe that either formal and informal ethics review processes can be a useful mechanism for ensuring that evaluations anticipate and address ethical issues?

- Yes
- No

14. Do you find the UNEG Guidelines easy to understand

- Yes, absolutely
- Yes, more or less
- No
- I am not familiar with, aware of, and/or do not refer to the ethics guidelines

15. Do you find them easy to apply in practice?

- Yes, absolutely
- Yes, more or less
- No

16. If you answered no, you do not find the Guidelines easy to apply - can you explain why?

17. Do you think it would be easier or preferable to have a checklist rather than statements form the basis of any ethics guidance?

- Yes
- No
- I think both would be useful

21. Can you briefly explain any difficulties you have faced in the past when trying to apply any of these standards.

22. During the course of undertaking an evaluation have you ever felt compromised or pressured to ignore or act counter to any ethical standards?

- Yes
- No

23. Who was the source of this potential compromise? ie. who made the request that made you feel compromised?

- Donor
- Evaluation Stakeholders (e.g. beneficiaries, community stakeholders, National Governments)
- Persons responsible for the object of evaluation (e.g. project staff or managers)
- Commissioning organisation
- Other (please specify)

24. At what stage of the evaluation process have you most frequently felt compromised or exposed to pressure to compromise ethical standards?

- TOR/Preparation stage
- Inception report - defining objectives
- Inception report - defining scope
- Inception report - developing the evaluation methodology
- Selection of participants and stakeholders for interviews and consultations
- During the data collection
- Drafting the Findings
- Drafting the Conclusions
- Drafting the Recommendations in Collaboration with Stakeholders
- Disseminating the Recommendations

Other (please specify)

25. Are there ethical issues that you would like further guidance on in any guidelines to which you might refer?

- Yes
- No
- I don't know

26. If you believe that greater elaboration and guidance on particular ethical issues would be useful for your work, what issues would they be?

Issue 1:

Issue 2:

Issue 3:

27. What, if any, supporting materials do you believe would be useful to be included as part of a broader guidance package?

- |  |   |
|--|---|
| <input type="checkbox"/> Guidance on particular topics   | <input type="checkbox"/> Useful References  |
| <input type="checkbox"/> Templates (informed consent, conflict of interest declaration form, affidavit/MOU stating compliance with Ethical Guidelines) | <input type="checkbox"/> Checklists of questions to be asked throughout the evaluation? |
| <input type="checkbox"/> FAQ   | <input type="checkbox"/> None of the above  |

Other (please specify)

28. Is there guidance that you think would be useful to include in the Guidelines to address the contemporary trends or challenges that may impact your work ?

- New Data Technologies
- Data Privacy Regulations
- Environmental concerns

Other (please specify)

29. Do you have any other comments on the Guidelines, The Code of Conduct or Any other issues relating to Ethics and Evaluations?

30. Personal information: What is your current role/title? (Leave empty if you do not wish to share this information)

31. Personal information: What is the name of the organisation you work for? (Leave empty if you do not wish to share this information)

## A4.2: Individual interview Topic Guide:

### **Introduction :**

Hi, my name is Gabrielle Berman and I am undertaking this interview on behalf of the UNEG Ethics UNEG Ethics and Code of Conduct Task Team. As part of a project designed to inform the review of the UNEG Ethical Guidelines and Code of Conduct I would like to talk to you about your experience with and perceptions of these key guidance materials, as well as the practicalities of ethics in evaluation more generally.

I would like to record this interview to triangulate my written notes which will not include any names or identifiers that you do not wish to provide, would you be comfortable with this? I will erase all recordings 3 months after the report has been drafted. Please note that if you wish for certain statements not to be included please just let me know. If you find that you would like to withdraw any statements from your interview or no longer wish to contribute to this study after the interview, please feel free to contact me at, [gabrielle.berman@wfp.org](mailto:gabrielle.berman@wfp.org) and I will not include or reference any statements you wish to withdraw in the report, and if you wish to withdraw completely from the study I will destroy any recording and notes that I have on receiving this request. If you have any queries or concerns about this project feel free to contact me on my noted email address. Do you give your consent to participate in this interview?

I would firstly like to ask you how or whether you would like to be identified in any public report. While I will not be identifying you personally would you prefer to be identified (a) only by the agency that you work for (b) Solely by a generic description of your position ie. Manager /Director/Senior Officer /Officer, (c) Both or (d) Neither?

### Theme 1 : Awareness

1. My first question relates to yours and your colleagues awareness of the Guideline and Codes? Are you familiar with the Guidelines and Code? Do you believe that most evaluation staff and evaluation managers are aware of the Guidelines and Code?

### Theme 2 : Use

- a. How frequently do you or others actually refer to the guidelines? When do you think generally people refer to guidelines? Do you attach these to your ToR/contracts with evaluation consultants?
- b. If People don't generally refer to the Guidance documents interrogate issues related to (i) knowledge of their existence (ii) perceptions of their relevance (i) culture around ethics in evaluation in the organisation more generally.
- c. Are they more likely to refer to your organisation's guidelines or another set of guidelines? If the answer is yes, inquire if there are any specifics that they are aware of in these guidelines that better meet their needs when commissioning or undertaking evaluations in their agency.

### Theme 3 : Ethical Review

2. Are there any mechanisms for ethical review (either formal or informal) of evaluation Inception Reports and Final Reports ? What are they ? Do you think such mechanisms are important ? Why ?

#### Theme 4 : Content

[include only for interviews with Staff from UNEG member entities]

1. Do you think the Code of Conduct adequately meet the needs of the mission of your organisation and of the cohorts/targets populations that your organisation serves and appropriately outlines the ethical behaviours expected when commissioning or managing evaluations?
2. Do you think the Ethical Guidelines adequately meet the needs of the mission of your organisation and of the cohorts/targets populations that your organisation serves?

[include for all interviews]

3. Are there any areas in the current Ethical Guidelines that you think require further detail to address some of the ethical complexities in evaluations?
4. Are there any areas that you think need strengthening or need to be added to in order to address the contemporary environmental changes that may impact your work ? For example, new technologies? data privacy regulations? The physical environments in which you work ?

#### Theme 5: Structure

1. Do you think that the current 2008 UNEG Ethical Guidelines and Code of Conduct are accessible, user friendly and easy to apply in practice? Interrogate issues related to structure, replication and ease of use.
2. Do you think the structure of the Guide and the Code of Conduct could be changed to improve the accessibility and use of the Guidelines and Code of Conduct? If so, how ?

#### Theme 6 :

3. Are there any other recommendations you would make for the revision of the Guidelines to improve their relevance, utility and use?
4. Are there any other recommendations you would make for the revision of the Code of Conduct to improve their relevance, utility and use?

### *A4.3: Focus Group Topic Guide:*

#### **Introduction:**

Hi, my name is Gabrielle Berman and I am undertaking this interview on behalf of the UNEG Ethics UNEG Ethics and Code of Conduct Task Team. As part of a project designed to inform the review of the UNEG Ethical Guidelines and Code of Conduct I would like to talk to you about your experience with and perceptions of these key guidance materials, as well as the practicalities of ethics in evaluation more generally.

I would like to record this interview to triangulate my written notes which will not include any names or identifiers that you do not wish to provide, would you be comfortable with this? I will erase all recordings 3 months after the report has been drafted. Please note that if you wish for certain statements not to be included please just let me know. If you find that you would like to withdraw any statements from your interview or no longer wish to contribute to this study after the interview, please feel free to contact me at, [gabrielle.berman@wfp.org](mailto:gabrielle.berman@wfp.org) and I will not include or reference any statements you wish to withdraw in the report, and if you wish to withdraw completely from the study I will destroy any recording and notes that I have on receiving this request. If you have any queries or concerns about this project feel free to contact me on my noted email address. Do you give your consent to participate in this interview?

#### Theme 1 : Use

3. Do you think that most evaluation staff and evaluation managers refer to the Guidelines and Codes to inform their practice?
  - a. If yes, how frequently do you think people actually refer to the guidelines ? When would they ? If yes, how frequently do you think people actually refer to the guidelines? When would they? Do you attach these to your ToR/contracts with evaluation consultants?
  - b. If not, why do you think this is not happening? Interrogate issues related to (i) knowledge of their existence (ii) perceptions of their relevance (i) culture around ethics in evaluation in the organisation more generally.
  - c. Are they more likely to refer to organisational guidelines or another set of guidelines? If the answer is yes, inquire if there are any specifics that they are aware of in these guidelines that better meet their needs when commissioning or undertaking evaluations in their agency.

#### Theme 3 : Ethical Review

4. Are there any mechanisms for ethical review (either formal or informal) of evaluation Inception Reports and Final Reports in your organisation? Do you think such mechanisms are important ? Why ?

#### Theme 4 : Content



5. Do you think the Code of Conduct adequately meet the needs of the missions of your organisations and of the cohorts/targets populations that your organisation serves and appropriately outlines the ethical behaviours expected when commissioning or managing evaluations?
6. Do you think the Ethical Guidelines adequately meet the needs of the mission of your organisations and of the cohorts/targets populations that your organisation serves?
7. Are there any areas in the current Ethical Guidelines that you think require further detail to address some of the ethical complexities in evaluations?
8. Are there any areas that you think need strengthening or need to be added to in order to address the contemporary environmental changes that may impact your work ? For example, new technologies? data privacy regulations? The physical environments in which you work ?

#### Theme 5: Structure

5. Do you think that the current 2008 UNEG Ethical Guidelines and Code of Conduct are accessible, user friendly and easy to apply? Interrogate issues related to structure, replication and ease of use.
6. Do you think the structure of the Guide and the Code of Conduct could be changed to improve the accessibility and use of the Guidelines and Code of Conduct ? If so, how ?

#### Theme 6 :

7. Are there any other recommendations you would make for the revision of the Guidelines to improve their relevance, utility and use?
8. Are there any other recommendations you would make for the revision of the Code of Conduct to improve their relevance, utility and use?

## **Annex 5: Mini Stakeholder Mapping: Selection of Key Informants**

### Categories of Stakeholders

- UNEG Executive Group Members (x2 KII)
- Evaluation Managers Central Offices/HQ /Regional/Country Offices (x3 focus groups, 1 KII)
- External Experts (Comparator international organisations) (x2 KII)
- UN External Consultant Evaluators (x2 KII)

### Survey Participants

- Staff with evaluation function within agencies
- UN Evaluation Consultants

## **Annex 6: Suggested Quality Assurance References in Ethical Guidelines to be Removed:**

### ***Credibility***

11. Evaluation shall be credible and based on reliable data and observations. Evaluation reports shall show evidence of consistency and dependability in data, findings, judgements and lessons learned; appropriately reflecting the quality of the methodology, procedures and analysis used to collect and interpret data. Evaluation managers and evaluators shall endeavour to ensure that each evaluation is accurate, relevant, and timely and provides a clear, concise and balanced presentation of the evidence, findings, issues, conclusions and recommendations.

### ***Honesty and Integrity***

17. b. Negotiate honestly the costs, tasks to be undertaken, limitations of methodology, scope of results likely to be obtained, and uses of data resulting from the evaluation

c. Accurately present their procedures, data and findings, including ensuring that the evaluation findings are not biased to make it more likely that the evaluator receives further commissions from the Client

### ***Accountability***

18. Evaluators are accountable for the completion of the evaluation as agreed with the Client. Specifically, evaluators shall:

a. Complete the evaluation deliverables within the timeframe and budget agreed

b. Exercise prudence and probity in fiscal decision-making so that evaluation expenditures are properly accounted for and the client receives value for money

### ***Accuracy, Completeness and Reliability***

24. Evaluators have an obligation to ensure that evaluation reports and presentations are accurate, complete and reliable. In the evaluation process and in the production of evaluation products, evaluators shall:

a. Carry out thorough inquiries, systematically employing appropriate methods and techniques to the highest technical standards, validating information using multiple measures and sources to guard against bias, and ensuring errors are corrected.

b. Describe the purposes and content of object of the evaluation (programme, activity, strategy) clearly and accurately.

c. UNEG Ethical Guidelines for Evaluation - Draft

## **Obligations of Evaluation Managers and Commissioners**

5. Over and above evaluators' responsibilities, evaluation managers and commissioners have particular duties, including:

### **Evaluation Managers have a duty to:**

c. Provide the evaluators with access to the documentation and data required for evaluation purposes.

### **Evaluation Commissioners have a duty to:**

a. Consult with all parties to the evaluation to support the development of a relevant, realistic and viable specification.

e. Preserve the integrity of the evaluation findings, for example by not quoting selectively from the evaluation findings or publicising them out of context.

# Annex 7: Example of Recommended Format for UNEG Ethical Guidelines

- content is only indicative -

The following is a broad outline of the basic format for the UNEG Ethics Guidelines suggested in recommendations 1, 3 and 4 in the report. It should be noted that the content should be viewed as indicative only of the type of information that should populate the guidelines rather than providing definitive content.

## Introduction

### Basis

The UNEG ethical guidelines for evaluation are based on commonly held and internationally recognized professional ideals. The Guidelines have been drawn up with reference to relevant texts, principal among them the 2016 UN Norms and Standards for Evaluation. The Guidelines reflect those values and norms that explicitly consider ethical principles and UNEG values exclusive of broader quality assurance requirements.

All staff members of the United Nations are subject to the Standards of Conduct for the International Civil Service<sup>1</sup>, which obliges staff to conduct themselves in accordance with the highest standards of integrity as enshrined in the Charter of the United Nations. These Guidelines are consistent with the Standards of Conduct.

### Definitions

For the purposes of these Guidelines

**Evaluation** is an assessment, conducted as systematically and impartially as possible, of an activity, project, programme, strategy, policy, topic, theme, sector, operational area or institutional performance. It analyses the level of achievement of both expected and unexpected results by examining the results chain, processes, contextual factors and causality using appropriate criteria such as relevance, effectiveness, efficiency, impact and sustainability. An evaluation should provide credible, useful evidence-based information that enables the timely incorporation of its findings, recommendations and lessons into the decision-making processes of organizations and stakeholders.

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

**Ethics** are the principles, standards and norms relating to right or agreed practice within the specific, culturally defined, institutional context in which evaluations are commissioned or undertaken.

**Codes of Conduct** lay down organisational rules as to what constitutes agreed ‘ethical’ behaviours and approaches to evaluations in their specific context.

**Guidelines** provide greater clarity and specificity than principles and codes of conduct and provide advice or information aimed at resolving a problem or difficulty. Guidelines are not prescriptive but rather instructive.

### Application

These Guidelines apply to the conduct of evaluation in all UN agencies whether by staff, members, external consultants, or evaluators from partner organizations. Individual agencies may impose additional obligations related to evaluation of activities specific to their mandate.

## Principles:

There are four principles that should guide all evaluations. These principles require that each of the key stakeholders in the evaluation process consider both behavioral and procedural attitudes and approaches prior and throughout the evaluation process.

**Respect:** All evaluations must be conducted in a manner that ensures respect for the beliefs, manners and customs of the social and cultural environment; for human rights and gender equality;

**Integrity and Independence:** Evaluation must be conducted with the highest standards of integrity. Independence of evaluation is necessary for credibility, influences the ways in which an evaluation is used and allows evaluators to be impartial and free from undue pressure throughout the evaluation process. The independence of the evaluation function comprises two key aspects — behavioural independence and organizational independence. Behavioural independence entails the ability to evaluate without undue influence by any party. Evaluators must have the full freedom to conduct their evaluative work impartially, without the risk of negative effects on their career development, and must be able to freely express their assessment. The independence of the evaluation function underpins the free access to information that evaluators should have on the evaluation subject.

**Beneficence** - The principle of beneficence requires that the actions and impacts of an evaluation, promote the well-being of individuals, communities or society as a whole to the greatest extent possible. The principle of beneficence requires the identification of clear benefits likely to arise from the evaluation and to reconsider proceeding if these cannot be articulated.

Included in the concept of beneficence is the idea of non-maleficence, doing no harm, which requires avoiding harm or injury to participants or stakeholders, both through acts of commission or omission within all evaluations, but with particular diligence required when working in sensitive contexts or with cohorts that may be vulnerable by virtue of their competencies or circumstances. It requires explicit consideration of means to ensure the privacy of participants, their safety and any possible negative impacts arising from participation.

**Accountability and Transparency:** Evaluation requires an enabling environment that includes an organizational culture that values evaluation as a basis for accountability, learning and evidence-based decision-making; a firm commitment from organizational leadership to use, publicize and follow up on evaluation outcomes; and recognition of evaluation as a key corporate function for achieving results and public accountability.

Transparency is an essential element of evaluation that establishes trust and builds confidence, enhances stakeholder ownership and increases public accountability. Evaluation products should be publicly accessible.

## Guidelines for Evaluators (rough example only)

### Respect

- i. Evaluators must respect the rights of institutions and individuals to provide information in confidence, and to ensure the privacy of this information throughout the evaluation process.

#### Discussion

To support privacy and confidentiality throughout the evaluation process, a clear data protocol should be produced which reflects on privacy and confidentiality during the recruitment, collection and dissemination processes and, when storing, transferring, sharing or destroying data. This protocol should also clearly highlight strategies and processes in instances where data breaches may occur.

- ii. Prospective participants should be treated as autonomous agents and must be given the time and information to decide whether or not they wish to participate and be able to make an independent decision without any pressure or fear of penalty for not participating.

#### Discussion

Evaluators should obtain informed consent for participation in an evaluation and the use of private information from those who provide it. Informed consent however must be voluntary and negotiable.

- iii. All relevant stakeholders should be consulted and appropriate resources invested to ensure an appropriate representation of stakeholders in the process.

#### Discussion

When particular stakeholder have not been included justifications for their exclusion and the implications of this exclusion should be clearly noted in the findings of the final report.

### Integrity and Independence

- iv. Personal conflicts of interest shall be avoided as far as possible so that the credibility of the evaluation process and product shall not be undermined. Conflicts of interest should be disclosed and dealt with openly and honestly.

#### Discussion

All evaluators should disclose in writing any past experience, of themselves, their immediate family, close friends or associates, which may give rise to a potential conflict of interest and sign the relevant organizational code of conduct or contractual agreement outlining the code of conduct thereby committing themselves to abide by ethical standards throughout the evaluation process.

## **Beneficence (maximising benefits and limiting harms)**

- v. When evidence of wrongdoing is uncovered, it must be reported discreetly to the relevant competent body and/or representative (such as the office of audit or investigation).

### Discussion

## **Accountability and Transparency**

- vi. Transparency is an essential element of evaluation that establishes trust and builds confidence, enhances stakeholder ownership and increases public accountability.

### Discussion

The process and methods applied to the evaluation and its limitations should be clearly described in final reports and evaluation products made publicly accessible.



## Checklist for Evaluators (example only)

Phase in the Evaluation Cycle		Yes	No
<b>Planning</b>	Are you aware of the data protection protocols for this evaluation and the agreed processes for participant recruitment, data collection, storage, transfer and dissemination to ensure the privacy and confidentiality of those involved?		
	Are you aware of who to report to in the instance where there is a data breach?		
	Have you undertaken relevant ethics training?		
	If working in sensitive contexts and/or with potentially vulnerable cohorts, are you aware of the protection protocols and strategies that need to be taken to ensure the security of staff, participants and their community/ies?		
<b>Implementation</b>	Have you an appropriate method/tool to secure informed consent from all participants and ensure that participation is truly voluntary?		
<b>Reporting</b>	Have you ensured appropriate representation in the review of findings and in the development of recommendations?		
<b>Dissemination</b>			

## **Guidelines for Commissioners and Managers (rough example only)**

### **Respect**

- i. The utility and necessity of the evaluation should be considered at the outset.
- ii. All relevant stakeholders should be consulted and appropriate resources invested to ensure an appropriate representation of stakeholders in the process. When this is not possible, justifications for and the implications of exclusion should be clearly noted in the findings of the final report.

### **Integrity and Independence**

- iii. In sensitive contexts and when working with potentially vulnerable cohorts the inception report must be reviewed by an independent body of which at least one member has competencies/training and experience in relation to human subject ethics, and preferably experience working in the particular context or with the potentially vulnerable cohort specified for inclusion in the evaluation process.

### **Beneficence (maximising benefits and limiting harms)**

- iv. Human rights treaties, mechanisms and instruments should guide evaluation work and consideration should also be given to gender equality issues and hard-to-reach and vulnerable groups.

#### Discussion

The evaluation Terms of Reference should:

- a. Indicate both duty bearers and rights holders (particularly women and other groups
- b. subject to discrimination) as primary users of the evaluation and specify how they will
- c. be involved in the evaluation process;
- d. Spell out the relevant human rights and gender equality instruments or policies that
- e. will guide evaluation processes;
- f. Incorporate an assessment of relevant human rights and gender equality aspects
- g. through the selection of the evaluation criteria and questions;
- h. Specify an evaluation approach and methods of data collection and analysis that are
- i. human rights-based and gender-responsive;
- j. Specify that evaluation data should be disaggregated by social criteria (e.g. sex,
- k. ethnicity, age, disability, geographic location, income or education);
- l. Define the level of expertise needed among the evaluation team on human rights and
- m. gender equality, define responsibilities in this regard and call for a gender-balanced and
- n. culturally diverse team that makes use of national/regional evaluation expertise.

### **Accountability and Transparency**

## Checklist for Evaluation Commissioners or Managers (example only – not complete)

Phase in the Evaluation Cycle		Yes	No
<b>Planning</b>	Have you ensured that evaluation staff have appropriate competencies and expertise to undertake the evaluation?		
	Have you ensured that the evaluation team is sufficiently diverse with respect to gender and geographical representation?		
	Has a data protection protocol been developed that clearly highlights processes to address or mitigate against risks of physical or emotion harm to participants, communities and to evaluators themselves? Do you have clear strategies in relation to how and when to ensure relevant physical, psychological and medical supports for vulnerable or at risk cohorts identified during evaluations?		
	Have you either ensured or provided relevant training for evaluators which includes training on ethics?		
	Have you secured sufficient funds to ensure that all relevant stakeholders groups can be engaged in the evaluation?		
<b>Implementation</b>			
<b>Reporting</b>	Have you ensured that findings have been consolidated/triangulated by participants?		
<b>Dissemination and Communication</b>	Have you provided feedback in an appropriate format to communities in which the evaluation has been undertaken?		

## **Guidelines for the Commissioning Organisation / Relevant Independent Evaluation Office or Unit**

**Respect**

**Integrity and Independence**

**Beneficence (maximising benefits and limiting harms)**

**Accountability and Transparency**

## Checklist for Independent Evaluation Units (example only – not complete)

Process		Yes	No
Recruitment and onboarding of new evaluation staff	Is there a Code of Conduct in place that new evaluation staff need to sign?		
	Do you provide ethics training when onboarding new evaluation staff?		
Reporting and Investigating wrongdoings	Do you have clear mechanisms for reporting and investigating wrongdoings?		
	Have you got clear processes in place to ensure staff and consultants are aware of these process?		
Appointing a focal point for evaluation ethics	Have you appointed and trained a relatively senior evaluation manager to provide ethics advice and support for evaluations and to whom evaluation staff and contractors can report wrongdoings?		

## **Annex 8: Context/ Cohort Specific Ethics Guidance Documents to be Considered for References/Links in Revised Guidelines**

### **Children**

Graham, A., Powell, M., Taylor, N., Anderson, D. and Fitzgerald, R. (2013) *Ethical Research Involving Children*, UNICEF Office of Research – Innocenti, Florence.

### **Persons with a Disability**

Dalton, A., and K. McVilly (2004) Ethics Guidelines for International Multicenter Research Involving People with Intellectual Disabilities, *Journal in Policy and Practice in Intellectual Disabilities*. 1(2), pp. 57–70.

Bush, A., Caroll, A., and James, K., (2015) Collecting and using data on disability to inform inclusive development: Practice Note. Plan International, The University of Melbourne, CBM, Melbourne, Australia. Available; [https://www.did4all.com.au/Resources/Plan-CBM-Nossal\\_Disability-Data-Collection-Practice-Note\\_2016Update.pdf](https://www.did4all.com.au/Resources/Plan-CBM-Nossal_Disability-Data-Collection-Practice-Note_2016Update.pdf)

### **Humanitarian Contexts**

Buchanon-Smith, M., Cosgrove, J., and A. Warner (2016) Evaluation of Humanitarian Action Guide, ALNAP, London. (see section 2.5 Ethics and EHA)

International Committee of the Red Cross (ICRC) (NP) Guidelines on Mental Health and Psychosocial Support, ICRC, Geneva. Available at: <https://shop.icrc.org/guidelines-on-mental-health-and-psychosocial-support-2802.html>

Interagency Standing Committee (2017) IASC Revised Commitments on Accountability to Affected People and Protection from Sexual Exploitation and Abuse, IASC Task Team on Accountability to Affected Populations and Protection from Sexual Exploitation and Abuse. Available at:

[https://interagencystandingcommittee.org/system/files/iasc\\_caap\\_endorsed\\_nov\\_2017.pdf](https://interagencystandingcommittee.org/system/files/iasc_caap_endorsed_nov_2017.pdf)

United Nations General Assembly (1991/2003) *Strengthening of the Coordination of Humanitarian Emergency Assistance of the United Nations*, Resolution 46/182 and 58/114. Available at: <https://www.un.org/documents/ga/res/46/a46r182.htm>

### **Engaging Non-State Armed Groups**

McQuinn, B., and F. Oliva (NP) Analyzing and Engaging Non State Armed Groups in the Field, United Nations System Staff College, Torino.

Available at: [https://www.unssc.org/sites/unssc.org/files/unssc\\_report\\_final\\_0.pdf](https://www.unssc.org/sites/unssc.org/files/unssc_report_final_0.pdf)

### **Human Rights and Gender**

United Nations Evaluation Group (UNEG) (2011) *Integrating Human Rights and Gender Equality in Evaluation -- Towards UNEG Guidance*, UNEG, New York. Available at: <http://www.unevaluation.org/document/detail/980>

### **Sexual Violence**

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