International Labour Organization

Evaluation Office

Guidance Note 4.1: The Evaluation Manager: Role and Function

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This guidance note is part of Pillar 4 *Managing and conducting evaluations*

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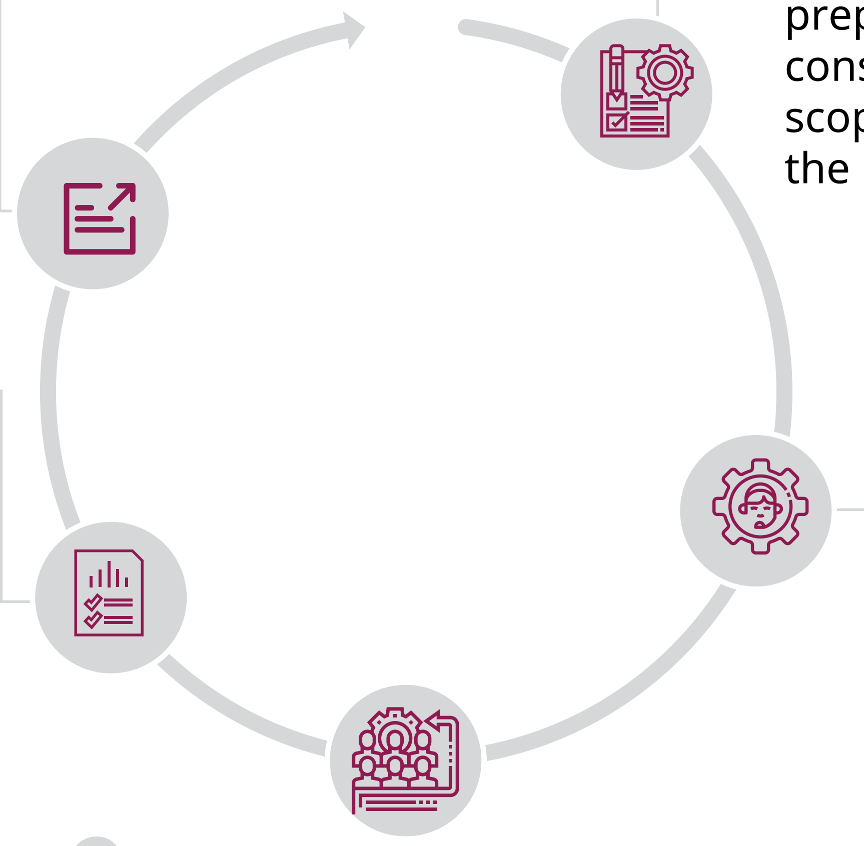
INTRODUCTION

This guidance note aims to cover the function of the evaluation manager and their role and responsibilities when conducting independent evaluations in the ILO. The first part provides the evaluation manager with a workflow. This is followed by a more detailed description of the processes of each stage of evaluation management, providing links to more detailed guidance, checklists and templates as appropriate.

For decentralized independent evaluations, the evaluation manager is an ILO staff member who volunteers to manage evaluations in the interest of the organization in accordance with the ILO Policy for Evaluation and the International Principles of Evaluation Practice. The evaluation manager should have no links to decision-making for the project undergoing an independent evaluation and should preferably be certified through EVAL's Evaluation Management Certification Programme (EMCP). Evaluation managers are identified by a Regional Evaluation Officer (REO) or by a Departmental Evaluation Focal Point (DEFP) with the support and approval from EVAL. The following is a summary of the functions of an evaluation manager. Further details are provided in the sections below.

Figure 1: Synthesis of Evaluation Manager Functions



1 Planning the evaluation

The evaluation manager works with project staff, key stakeholders and REOs/DEFPs to prepare the ToR through a participatory consultation. ToR constitute a preliminary scoping exercise and are an integral part of the Call for EoI for consultants.

2 Contracting consultants

The evaluation manager launches the Call for EoI; Reviews CVs and conducts due diligence checking references of evaluation consultants; Gets approval on the selected consultant from the relevant REO/DEFP in coordination with EVAL; Agrees with consultant on terms and conditions as per ToR and arranges for the contract to be issued with relevant ILO Offices.

3 Managing the consultant's work

The evaluation manager briefs the consultant; Reviews the evaluation inception report; Ensures that project staff are providing adequate access to documents and interviews; Works with the consultant to ensure all relevant parties are consulted; Conducts checks on the consultant work plan and time line to ensure timely deliverables; and participates in the stakeholders' workshop organized to present the evaluation findings.

4 Finalizing and approving the evaluation

The evaluation manager reviews the first draft report before submission to stakeholders to ensure it adheres to the ToR and to the quality standards for evaluations; Consolidates comments and returns them to the evaluation consultant. Once the consultant submits the revised and complete draft report following ILO's templates, the evaluation manager sends it to the REO or DEFP for final review. If the report meets ILO's evaluation requirements, the REO or DEFP submits the evaluation package to EVAL for a final quality check and approval.

5 Disseminating the evaluation report

Once notified of approval by EVAL HQ, the evaluation manager approves the consultant's final payment. EVAL publishes the report in i-Eval Discovery and informs the ILO responsible official and PARDEV for dissemination to the donor and all key stakeholders. EVAL subsequently launches the management response process.

1. PLANNING THE EVALUATION AND DRAFTING THE TOR

1.1 IDENTIFICATION OF THE EVALUATION MANAGER

REOs and DEFPs contact the line management of the project to be evaluated. In preparation for a decentralized independent evaluation, a REO or a DEFP identifies an evaluation manager in coordination with EVAL. The evaluation manager is an ILO staff member[1] who volunteers to conduct evaluations in the interest of the organization in accordance with the ILO Policy for Evaluation and the International Principles of Evaluation Practice.

1.2 BRIEFING WITH PROJECT STAFF AND STAKEHOLDERS

As soon as the evaluation manager is appointed, s/he starts preparing the ToR. This is one of the most critical documents in evaluation planning, serving as the contractual basis for engaging the consultant and conducting the evaluation. The ToR should present a well- focused design and provide specific instructions to the evaluator.

In order to draft the ToR, the evaluation manager initially reviews project documentation[2] to become familiar with the scope and activities. Documents could include the logframe or theory of change of the project, its implementation. Particular attention should be paid to gender, disability inclusion and any other cross-cutting issues. Sources of information could also include relevant project staff and key stakeholders.

1. According to UNEG guidance, persons engaged in managing evaluation activities should possess core evaluation competencies. Per EVAL policy guidelines, evaluation manager of decentralized independent evaluations are expected to have no links to decision-making for the project being evaluated and should preferably be certified throughEVAL's Evaluation Management Certification Programme (EMCP).
2. Checklist 4.5 Documents for project evaluators.

An initial briefing with project staff should be organized to review the evaluation context, and to go over questions or clarifications about the project design and objectives. The Chief Technical Advisor or other project staff should inform the evaluation manager of the purpose for commissioning the evaluation as indicated in the project document. This should include the evaluation's stated and potential users or audience; the full spectrum of stakeholders; and the scope, objective and key questions of the evaluation.

Some examples of ILO project stakeholders are, first and foremost, tripartite constituents, main national project partners, the ILO field office Director, field technical specialists, inter-governmental organization partners; non-governmental and local organization partners, project management, and the donor, if required. Guidance on stakeholder engagement is available in Guidance Note 4.4.

1.3 DEFINING THE CONTENT OF THE TERMS OF REFERENCE (TOR)

The Policy guidelines for results-based evaluation and DC governance manual state that a reasonable amount of funds should be set aside for decentralized evaluations, with a minimum of two per cent of the project budget. Determining the budget is a necessary first step to setting the purpose and scope of the evaluation. Once the project staff confirms the budget available for the evaluation, the evaluation manager starts the drafting process for ToR. The TOR should include a work plan, as well as appropriate considerations to a human rights-based approach, gender equality[3], disability inclusion, social dialogue, tripartism and norms and standards[4], and the assessment of the medium and long-term effects of capacity development initiatives (see Annex II). Table 1 provides an overview of the main content of a ToR.

Table 1. Delimiting the content of a ToR

I. EVALUATION PURPOSE AND SCOPE

The **purpose** should be a clear statement of why the evaluation is being conducted and provide justification for its timing. The purpose may relate to multiple issues such as accountability, on-going improvement, or organizational learning. This section should also identify expected outcomes, primary and secondary users of the evaluation and provide a brief statement of how the evaluation will be used. The purpose and objectives are directly related to the information required by evaluation users. For example, evaluation objectives might be related to some of the following:

SAMPLE EVALUATION OBJECTIVES

- Verifying delivery of outputs
- Assessing efficiency of intervention implementation, including management effectiveness
- Determining relevance to the results-based
- Identifying mid-course project adjustments framework, including risk analysis

The **scope** sets boundaries around the object of evaluation. It determines what is included in the study, and what is excluded. Boundaries can be delimited by time, geography, structure, or sequence, period of implementation, and target groups and beneficiaries. Consultation with the project's primary stakeholders to determine the scope of the evaluation is a good way to identify some of its key parameters, and to raise interest in its findings. Cross-cutting issues such as gender equality and disability inclusion should be considered.

II. DEFINING THE EVALUATION CRITERIA AND QUESTIONS

Arguably, the most important parts of a ToR are the criteria and questions. The questions asked will determine the answers that are received. Each evaluation conducted by ILO is expected to assess the key evaluation criteria defined by OECD DAC: relevance, coherence, effectiveness, efficiency, impact and sustainability, see Annex I. For each criterion, the ToR drafter should include two or three specific evaluation questions. As not all criteria are applicable in equal measure to each evaluation, the REOs, DEFPs or EVAL staff at HQ will be able to offer advice and input.

The main source of evaluation questions is the initial consultation with the tripartite constituents, partners and stakeholders, as well as project team members. Formulating the "right" questions is one of the most important parts of the project evaluation process. The following is a list of questions that can stimulate discussion and help identify appropriate evaluation questions:

- What are the evaluation objectives? Is it about 'proving' impact or 'improving' the project?
- How complex is the intervention? Is it a process evaluation?
- How is the information to be used and by whom?
- What resources are available (time, money and human)?
- Who is the audience of the evaluation study?
- What level of disaggregation of data is needed?
- What decisions are linked to results?
- How has the intervention included cross-cutting issues such as gender equality and/or disability inclusion within the design and implementation?

The evaluation manager consolidates all questions provided from stakeholders that will be included in the final version of the ToRs.

3. See EVAL Guidance Note 3.1 Integrating Gender Equality in Monitoring & Evaluation of Projects as well as the United Nations Evaluation Group (UNEG) publication, Integrating human rights and gender equality in evaluation: Towards UNEG Guidance.
4. Further guidance on how to address ILO's normative and social dialogue mandate through is available in EVAL's Guidance Note 3.2

III. METHODOLOGY TO BE FOLLOWED

The evaluation manager contributes to the discussion and identification of the most efficient and effective methodology to answer the evaluation questions. The choice of methods depends upon many factors including: the purpose and objectives, the information needs and available sources, the complexity of the data collection process, the time allotted, and the budget.

Two types of methods that are used in ILO evaluations are the quantitative and qualitative approaches. The quantitative approach is applied when evaluating or analyzing quantity and frequency measurements. The qualitative method is utilized to provide an in-depth understanding of the situation, capturing differences and complexities in the context being evaluated. Qualitative methods are applied when an interpretation of a variable is sought. The main information to be included in the ToR with regard to the methodology is related to:

- Description of the evaluation design and suggested methodological approach;
- Identification of information needs and possible sources for evaluation methodology;
- Clear statement of the boundaries of the chosen evaluation methods;
- Description of the subsequent analysis to be conducted on gender inequality issues, disability inclusion and other forms of discrimination; norms and standards, social dialogue and tripartism, and medium and long-term effects of capacity development;
- Conditions and capacities needed to support data collection, analysis and communication;
- Plan for data analysis; and
- Description of stakeholders' involvement in the implementation of the evaluation.

In order to guarantee methodological rigor, validity and reliability of findings, the evaluation manager should ensure that the evaluation design (ToR) includes:

- Multiple and appropriate methods to generate useful findings;
- Data collection gathered through multiple sources; and
- Data triangulation

Sample ToRs can be requested from EVAL and more detailed guidance on the above subjects can be found in the following EVAL guidance documents:

Checklist 4.6 Writing the terms of reference

Checklist 4.1 Validating methodologies

Guidance note 4.3 Data collection methods

1.4 PREPARATIONS FOR STARTING AN EVALUATION

In addition to assisting in finalizing a well-focused ToR, the evaluation manager has other specific duties when preparing for an evaluation. The evaluation manager should:

A. Confirm the budget with project staff and administrative services before advertising for a consultant;

B. Finalize the evaluation schedule, time frame and work plan in collaboration with project staff;

C. Solicit input from project staff for the necessary initial documentation for implementing the evaluation; confirm that project staff are preparing their schedules and documentation for the upcoming evaluation; and

D. Circulate the draft ToR to the stakeholders, and work with project management, REOs and DEFPs to finalize them after input is received.

A. Budget for the evaluation

Once project management informs the evaluation manager what funds are available for the evaluation, the evaluation manager needs to consider the level of consultant expertise that will be required to conduct the evaluation. Once the consultant's roles have been determined, the evaluation manager also needs to budget for the implementation activities, such as the events, travel and administrative costs. Support from the administrative services of the relevant unit to which the project under evaluation belongs may be required for budgetary and contractual arrangements. Some of the typical costs and activities to consider are:

Consultant(s) fee: Based on the overall budget, indicated by project management, the evaluation manager must determine the level of consultant's expertise that is appropriate for the evaluation, and if addition evaluation team members need to be contracted. EVAL can provide some support.

DSA and travel: In addition to fees, the ILO pays for travel and a Daily Subsistence Allowance (DSA). DSA is based on rates published by the International Civil Service Commission. Travel and DSA are often paid in one lump sum to the consultant who is then responsible for booking tickets. ILO does not pay business class travel for consultants.

Day-to-day travel: It is possible that further travel may be necessary within a region or country related to data collection, especially for research projects which involve qualitative methods such as interviews, focus groups, and direct observation.

Interpretation and translations: Depending on language capability, the consultant may require an interpreter. In addition, there may be costs for having a translation completed, but this is usually included in the original budget line allocation.

Final workshop or meeting: If there is a final workshop, there may be costs, especially if there are many participants. Stakeholder involvement and funds should be carefully considered so that events meet the needs of all evaluation stakeholders.

Table 2. Sample evaluation budget

Type of Expenditure	Amount Budgeted	Amount spent	Budget Balance	Notes
External Collaborator – Evaluator	**$ 20,000**			
External Collaborator Interpreter	**$ 550**			
DSA – Travel	$ 2,400			
In-country trips	$ 600			
Final Workshop	**$ 450**			
Translation of evaluation	**$ 200**			
Total Budget	**$ 24,200**			

B. The evaluation schedule

Before an evaluator can be selected, the project staff needs to set up the evaluation schedule and a fee structure. A planning tool, such as the Work Breakdown Structure (WBS) can be considered to help with scheduling activities, sub-activities and tasks needed to fulfil the outputs of the project or programme.

The example found below contains a calendar and links to the fee structure, all of which contribute to the computation of the evaluation budget. The following elements need to be considered for completion of the WBS:

- The sequence in which the tasks should be performed;
- The unit of time to be measured; and
- A time estimate for completion of each activity.

Once a WBS, or some other scheduling model is finalized, the budget can then be configured (see Table 2 above) and fitted into a calendar schedule to show the progressive timeline (see Table 3).

Table 3 Sample: Calendar for the Evaluation WBS

WBS Item		**Schedule**						
Activity	Task	Jan 1-15	16-31	Feb 1-15	16-28	Mar-15	16-31	Apr-15
1	**1.1**	■						
	1.2	■						
2	**2.1**	■						
	2.2		■					
	2.3		■					
	2.4			■				
	2.5			■				
3	**3.1**				■			
	3.2				■			
	3.3				■			
	3.4				■			
4	**4.1**					■		
	4.2					■		
	4.3					■		
5	**5.1**						■	
	5.2						■	
	5.3						■	
	5.4						■	
6	**6.1**						■	
	6.2							■
	6.3							■
								■

C. Information and coordinating support

The evaluation manager should work with the project management to make available documentation and other sources of information, including a list of interviewees and stakeholders.

Project Documents

- Baseline reports and related data
- Monitoring reports conducting during the project
- Initial project document, progress reports, extensions and budget revisions
- Previous phase or related evaluation reports of the project
- Other studies and research undertaken by the project
- Project Beneficiary records
- Progress reports
- Evaluability assessments
- Financial documentation
- Theory of change
- Results-based framework

ILO or National documentation

- National development framework
- UN Development Action Framework (UNDAF)
- Poverty Reduction Strategy Papers
- ILO Decent Work Country Programme Documents
- ILO Strategic Programme Framework and Programme and Budget

Coordinating contacts with evaluation participants and ILO officials

- HQ and field officials should be notified of the upcoming evaluation, and stakeholders and participants identified to help them prepare for the evaluation
- UN or other organizational partners and their documentation
- Workers' organizations, employers' organizations and government representatives

D. Circulating and finalizing the draft tor

The draft ToR is circulated by the evaluation manager for comments to the same tripartite constituents, project team(s), partners and stakeholders from whom initial briefings and inputs were solicited. It is good practice to request comments within a specified time span. Once comments have been received, the evaluation manager consolidates the comments and works with the project staff and the Regional Evaluation Officer (REO) or the Departmental Evaluation Focal Point (DEFP) to produce a finalized ToR.

2. SELECTING AND CONTRACTING EVALUATORS

2.1 ADVERTISING AND SEARCHING FOR CONSULTANTS

For all independent evaluations, the evaluation manager is responsible for identifying an external consultant, based on the expertise and background requirements stipulated in the ToR. During this phase, it is essential that there is no undue collaboration with project management in the selection of the consultant.

An open selection process is conducted to select the suitable consultant. One of the most effective, efficient and transparent ways of identifying an evaluator is by placing a public advertisement or call for expressions of interest on the various existing electronic mailing lists and networks. REOs or DEFPs can support the evaluation manager in publishing the call for expressions of interest (EoI). Since 2008 EVAL has kept a database of evaluation consultants. There are over 300 evaluation consultants in the database, some prospective, but most have taken on evaluation assignments from the ILO. The database is stored on EVAL's Knowledge Sharing Platform and is only accessible to ILO staff[5].

Calls for EoI should include: who is hiring, details on the assignment including the ToR, the starting date and duration of the evaluation, desired expertise, the language of the report and a contact email. The call for EoI can ask for technical proposals if an ILO service contract is required. Otherwise, the selected evaluator will be asked to submit an inception report at a later stage.

A sample expression of interest is presented in Box 1.

Box 1. - Example of a call for consultants

Call for expression of interest, ILO evaluation consultancy: Uganda Industrial Relations project

The International Labour Office (ILO) is looking for an external evaluator to be the team leader for the independent mid-term evaluation of the "Utopistan Industrial Relations" project. ToR attached. The assignment is for approximately 20 days duration, spread over a period of six weeks, between 6/7-2019. This will include initial briefings in Geneva and a two-week mission to Utopistan for in-country interviews.

Academic requirements: Master's degree from a reputable university, minimum requirement

Professional experience: Established experience conducting evaluations, familiarity with the role of the UN system in addressing industrial relations issues, as well as an understanding of the ILO mandate and its tripartite and international standards foundations. Candidates should have excellent written and oral communication skills in English. Knowledge of the region would be an advantage.

Interested candidates should send their proposal outlining availability (max. 4 pages), budget and CV with three references to evaluationmanager@ilo.org. Please indicate "Uganda Industrial Relations Project Evaluation" in the email's subject line. The deadline to submit expressions of interest is by close of business on 25 May 2019. Remuneration for this assignment will be according to UN standards.

Once a consultant has been identified, the evaluation manager must undertake due diligence to check the references. If the consultant has worked for ILO, a sample of their work can be obtained by searching the EVAL public database of evaluation reports, i-eval Discovery, to review the consultant's work. Results from the external ex-post quality assessment of evaluation reports are also available on EVAL's i-cloud. EVAL has also developed a checklist for appraising potential evaluators based on ILO and UNEG criteria, which are useful to check expertise and validate references.

5. See Guidance note 4.2 Using the consultant roster and the self-induction programme for evaluation consultants to know more

2.2 JUSTIFYING THE SELECTION OF A CONSULTANT

A selection justification memorandum is usually prepared for larger assignments (above US$ 50,000) to document the competitive consultant selection processes in accordance with ILO requirements. A selection checklist with the names and summary of qualifications of at least three qualified candidates should be attached, after which it is sent to the REO or DEFP for approval.

3. MANAGING THE CONSULTANT

3.1 INITIAL CONSULTANT BRIEFING

The ToR forms the core part of the consultant briefing package, which also contains other relevant documentation. The ToR may include, if appropriate, the provision for an inception report to ensure the consultant's understanding of the ToR, chosen methodologies and data collection approaches, etc.

The consultant brief should contain:

- Contract and agreed payment schedule (to be signed and returned);
- Annex 1 - Terms of Reference, complete with work plan and schedule for deliverables;
- Annex 2 - List of individuals pertinent to the evaluation with contact details (this may require letters of introduction to be supplied by project staff);
- Annex 3 – Code of Conduct for Evaluation in the ILO – to be signed and returned; and
- Annex 4 – Checklist 4.5 Documents for project evaluators- A list of the key documents to be supplied by the ILO official who briefs the consultant – providing online links to these documents whenever possible.

Project administrative support services facilitate the contractual arrangements with the consultant. Once the evaluation begins, it is the role of the evaluation manager to ensure that: the consultant adheres to the work plan and schedule; that any ethical issues which arise are brought to the attention of the REO or DEFP; and that the project staff have supplied all required documentation, access to interviewees and logistical support required to implement the evaluation.

3.2 THE INCEPTION REPORT

Decentralized evaluations often require that an inception report be completed by the evaluator. In such cases, this would have been stipulated in the ToR, and Checklist 4.8 on writing the inception report is provided to the evaluator with the contract (see above reference to Checklist 4.5 Documents for project evaluators).

The inception report describes the conceptual framework that the evaluator will use to undertake the evaluation. It also sets out in some detail the approach for data collection and the evaluation methodology, i.e. how evaluation questions will be answered by way of data collection methods, data sources, sampling and indicators. The inception report must also contain the consultant's work plan, which indicates the phases of the evaluation and their key deliverables and milestones.

Approving the inception report is an important milestone in the evaluation process because it helps to correct any misunderstandings held by the consultant, particularly regarding data collection methodologies, validity and reliability. The evaluation manager circulates the inception report for inputs and approval to the REO or DEFP. Once approved, the evaluation data collection stage begins.

3.3 MANAGING THE EVALUATION DATA COLLECTION PROCESS

Line management is accountable for ensuring that access to the appropriate documentation is assured, see Section 1.4.3 in this guidance.

The evaluation manager continuously works with project staff to keep the consultant on schedule, ensuring throughout the process that all necessary documentation, staff and stakeholder interviews and mission arrangements are being supported by project staff according to the ToR.

3.4 MANAGING PROBLEMS AND DRAFTING THE REPORT

Problems: The evaluation manager should bring any substantial problems encountered in managing the consultant to the attention of the REO or the DEFP. Ethical issues may endanger the independence of the evaluation and timing is of the upmost importance, particularly when a project is closing. The evaluation manager monitors the evaluation process to ensure that any ethical or other issues posing a problem are brought to the attention of the appropriate ILO staff. Consultants should always be informed that they can, as a last resort, approach EVAL HQ staff if they have issues or concerns, particularly when related to independence or required cooperation.

Access to information sources: The consultant should already have received substantial documentation at the initial briefing. The consultant should also have been briefed on how to select and contact participants in the evaluation, including having letters of introduction, when necessary. Field missions will require access to additional documents, generated in field offices, which should be facilitated by project staff. Such documents include statistical or baseline reports, monitoring reports, previous evaluation reports.

Analyzing information: The techniques for analyzing quantitative information include descriptive and/or inferential statistics. The techniques for analyzing qualitative information include content analysis (i.e., determining patterns, taxonomies, themes, etc.).

Participants: Participants in ILO evaluations are usually selected using purposive sampling methods. Project staff should determine what information is needed and prepare a list of participants who can provide that information. Working in collaboration, the evaluation manager and project staff ensure an adequate level of broad participation.

Evaluator management: The evaluation manager and the project staff should jointly try to foster an effective work environment throughout the evaluation process by establishing clear lines of communication and a participatory process. Any serious problems with the timing and delivery of the evaluation should be referred to the responsible evaluation focal point.

4. FINALIZING THE EVALUATION

4.1 PREPARING A ZERO DRAFT REPORT TO CIRCULATE

When the first draft report is submitted by the consultant, the evaluation manager must check it and the responsible evaluation focal point should approve it, before it is circulated to stakeholders for comments or discussed through a workshop. The draft should be near finalization and any factual issues should be checked and reviewed. The draft report should contain all elements cited in the ToR and be consistent with the requirements of Checklist 4.2 Preparing the evaluation report.

The consultant may be asked to make formatting or structural changes to the report as set out in the ToR, as well as adequately responding to any factual errors or content omissions. The evaluation manager can use Checklist 4.9 Rating the quality of evaluation reports to check report quality. Once an acceptable draft is approved by the responsible evaluation focal point, it is circulated by the evaluation manager to the stakeholders.

4.2 THE EVALUATION WORKSHOP OR STAKEHOLDERS MEETING

The draft report is circulated to stakeholders through a workshop, meeting, or virtual meeting. In the case of larger projects (and as usually stipulated in the ToR), the budget has allowed for a final workshop or meeting. Project staff conducts the workshop and provides the draft report to all key stakeholders: tripartite constituents, partners, project management, main national project partners, ILO field office director, technical backstopper at headquarters, field technical specialists, responsible evaluation focal points, and the donor. The idea is to demonstrate that the stakeholders' input was taken into account in the evaluation process. It is also to provide them with a preliminary view of the consultant's findings and recommendations upon which they can comment before the report is finalized.

The meeting agenda should provide for review of the evaluation process, a brief discussion of the methodology used and the presentation of findings, including lessons learned and recommendations. The meeting should provide the invited participants with the opportunity to request or offer clarifications, comments and suggestions. It is not always possible for the evaluation manager to attend the final workshop or meeting, but detailed notes on the feedback given during this meeting should be recorded. These comments are later consolidated for the evaluator by the evaluation manager.

When consolidating the comments from stakeholders, whether virtual or as a workshop, the evaluation manager may choose not to take into account subjective comments, but should include all remarks related to inaccuracies or requests for factual clarification. The consolidated comments are compiled by the evaluation manager and then sent to the evaluator for consideration. The draft report and the consolidated comments can also be sent to the REO or DEFP to allow for review and suggestions from the internal officials and focal points backstopping the evaluation. This input would signal to the consultant those areas that need work while finalizing the next draft.

5. APPROVING THE EVALUATION

The following matrix sets out the usual submission and approval stages of the evaluation report.

Level of Report Submission	Consultant	Evaluation Manager	REO / DEFP	Stake- holders	EVAL - HQ
Zero draft report	**Submits**	**Reviews** Consolidates all comments to be returned to consultant	**Reviews**	Reviews	
Revised draft report & Evaluation Summary	**Revises zero draft based on comments and submits the draft reports**	**Reviews**	**Reviews**		**Reviews**
Final report & Evaluation Summary, plus all annexes	**Revises draft based on comments and submits final report**	**Reviews**	**Reviews** And sends to EVAL the evaluation package		**Approves, informs EM to make final payment, signals its dissemination, initiates management response process**

5.1 EVALUATION MANAGER APPROVAL

After receiving the consolidated comments on the initial zero draft report, the consultant makes any necessary revisions, prepares the Title Page and Evaluation Summary and submits a revised draft to the evaluation manager. At this stage, the main task for the evaluation manager is to check that the evaluation report:

- Conforms to Checklist 4.6 Writing the terms of reference;
- Is presented with the correct formatting (Checklist 4.2 Preparing the evaluation report) and has an adequate title page and evaluation summary;
- Required annexes are present, including the completed templates for Lessons Learned and Good Practices (also see Guidance note 5.5 Dissemination of lessons learned & good practices); and
- Recommendations content and formatting adhere to the requirements in Checklist 4.2 Preparing the evaluation report

The evaluation manager can use Checklist 4.9 Rating the quality of evaluation reports to check the report's quality. The evaluation manager submits the revised draft to the REO or DEFP to review and to make any final suggestions, or returns the draft to the consultant with a request for further factual changes or clarifications. The REO or DEFP can also submit the draft report to EVAL for comments.

5.2 APPROVAL BY THE EVALUATION FOCAL POINT (REO OR DEFP)

Once the REO or DEFP has looked over and approved the revised draft, the consultant is requested to finalize the report. The final report is sent by the Evaluation Manager to the REO or DEFP, along with all relevant annexes. Once approved by the REO or DEFP, the "evaluation package" is then transmitted to EVAL for final approval. This package is comprised of:

- Evaluation summary, using EVAL template (should be in language of report)
- Evaluation Report, incorporating the title page, and the templates for lessons learned and emerging good practices.
- Standard and other supplemental appendices to the report, ToR, people interviewed, etc.
- Any other language versions of the report
- CV of consultant
- EVAL Approval submission form (to be filled in by the REO or the DEFP)
- Evaluator submission form (to be filled in by the REO or the DEFP)

5.3 EVAL APPROVAL

The Evaluation Office conducts the final control for quality. If the report needs some final adjustments it may still be sent back – through the REO or DEFP – to the evaluation manager and the consultant for changes. Once EVAL gives its approval, the consultant's final payment can be authorized by the evaluation manager and EVAL initiates the follow-up to the recommendations with line management. See chapter 4 of the ILO's Policy guidelines for evaluation.

▶ 6. DISSEMINATION OF THE EVALUATION

6.1 DISSEMINATION – BY PROJECT STAFF AND EVALUATION MANAGER

Once the final version is approved, EVAL stores the report in i-eval Discovery (which is accessible to the public) and initiates the management response via a web-enabled application.

EVAL notifies the ILO responsible official or PARDEV (as per Approval Minute) that the report is ready for submission to the donor. Project management, the evaluation manager and even the evaluation consultant are encouraged to be a part of sharing information with relevant stakeholders (Guidance note 5.4 Management follow-up to recommendations from independent evaluations).

Dissemination strategies should include formal outreach processes that are comprehensive and systematic. This will increase the likelihood that potential users will take action on recommendations, utilize lessons learned and conduct further study on emerging good practices. The following are some of the ways in which various actors and stakeholders disseminate and use evaluation findings and reports:

Dissemination by the evaluation manager: The evaluation manager formally submits the report to the same group of people who provided comments on the draft report, and to any other stakeholders identified throughout the process or suggested by project management.

Project management: Project management should identify any additional clients with interest in the evaluation from outside the stakeholder groups Such clients may include UN partners, national partners, international partners, beneficiaries of development support, the wider global community, etc.

Line management: Line managent ensures adequate follow-up to the recommendations and may initiate meetings to share lessons learned within their technical area, with links on their public and intranet websites.

Constituents: Any recommendation aimed at constituents is to be followed-up by line management, engaging constituents and verifying that the action was carried out. EVAL reports in its Annual Evaluation Report on recommendations targeted at constituents.

Regional dissemination: Depending on the budget, the report could be published in the local language and highlighted on regional or national websites or communities of practice.

Media: Potential events, organized to profile the evaluation and circulate the findings, might include:

- Brown bag lunches, formal or informal discussion groups
- Newsletters – information briefs on websites
- Intranet, web blogs, communities of practice

6.2 DISSEMINATION UNDERTAKEN BY EVAL

EVAL has a range of disseminating modalities for independent project evaluations including:

- **Evaluation Summary:** EVAL uploads the evaluation summary onto its public website
- **Recommendations:** EVAL initiates a response exercise with Line Managers who are expected to respond with an action plan and to follow-up after six months. Recommendations targeted at constituents are also analysed and included in this exercise.
- **Lessons learned and emerging good practices:** EVAL creates data sub-sets of all lessons learned and emerging good practices identified. Thematic coding is added to facilitate searches and management reporting, through i-eval Discovery.
- **Annual Evaluation Report:** EVAL's annual report includes a list of all project evaluations received during the reporting period, and occasionally features a brief on high-profile evaluations.
- **i-eval Flash Newsletter:** EVAL's quarterly newsletter provides detailed articles on notable evaluations and gives links to evaluations for featured regions or technical areas of ILO work.

Further guidance:

Guidance Note 5.1 Enhancing the use and dissemination of evaluations

7. ETHICS AT THE EVALUATION MANAGEMENT LEVEL

EVAL must ensure that ethics, human rights and cultural sensitivity are taken into account in all evaluation work. By doing so, ILO evaluation quality will be harmonized with diversity, people's differences and assumptions and cross-cutting cultural issues. The evaluation manager should signal the Evaluation Office if any problems arise that relate to any of the following ethical principles:

A. The conduct of honest, objective and fair evaluation work:

- Declaration of any conflict of interest to clients;
- Evaluation design and reporting is conducted with respect to rights, privacy, and dignity;
- Projects or programmes are evaluated, not individuals;
- Inclusion and participation of stakeholders in the evaluation process; and
- Avoidance or reduction of harm to victims of wrongdoing.

B. Management of any political or ethical conflicts:

- Drawing attention to any potential conflicts before they become a problem; and
- Avoiding bribes or any subtle forms of influence.

C. Fiscal transparency in the conduct of the evaluation:

- Appropriate, prudent and well documented expenditures; and
- Minimization of non-trivial costs.

D. Applying the ILO anti-fraud and anti-corruption Policy (ILO, 2017) that includes:

- The obligation to report any case of fraud; and
- The general obligation to undertake disciplinary or similar action in the case of identified fraud.

ANNEX I. OECD DAC EVALUATION CRITERIA[6]

RELEVANCE: IS THE INTERVENTION DOING THE RIGHT THINGS?

Relevance concerns the extent to which the intervention objectives and design respond to beneficiaries'*, global, country, and partner/institution needs, policies, and priorities, and continue to do so if circumstances change.

Note: "Respond to" means that the objectives and design of the intervention are sensitive to the economic, environmental, equity, social, political economy, and capacity conditions in which it takes place. "Partner/institution" includes government (national, regional, local), civil society organisations, private entities and international bodies involved in funding, implementing and/or overseeing the intervention. Relevance assessment involves looking at differences and trade-offs between different priorities or needs. It requires analysing any changes in the context to assess the extent to which the intervention can be (or has been) adapted to remain relevant.

*Beneficiaries is defined as, "the individuals, groups, or organisations, whether targeted or not, that benefit directly or indirectly, from the development intervention." Other terms, such as rights holders or affected people, may also be used.

COHERENCE: HOW WELL DOES THE INTERVENTION FIT?

Coherence concerns the compatibility of the intervention with other interventions in a country, sector or institution.

It includes internal coherence and external coherence: Internal coherence addresses the synergies and interlinkages between the intervention and other interventions carried out by the same institution/government, as well as the consistency of the intervention with the relevant international norms and standards to which that institution/government adheres. External coherence considers the consistency of the intervention with other actors' interventions in the same context. This includes complementarity, harmonisation and co-ordination with others, and the extent to which the intervention is adding value while avoiding duplication of effort.

EFFECTIVENESS: IS THE INTERVENTION ACHIEVING ITS OBJCTIVES?

Effectiveness relates to the extent to which the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups.

Note: Analysis of effectiveness involves taking account of the relative importance of the objectives or results.

Efficiency: how well are resources being used?

OECD DAC says that efficiency related to the extent to which the intervention delivers, or is likely to deliver, results in an economic and timely way.

Note: "Economic" is the conversion of inputs (funds, expertise, natural resources, time, etc.) into outputs, outcomes and impacts, in the most cost-effective way possible, as compared to feasible alternatives in the context. "Timely" delivery is within the intended timeframe, or a timeframe reasonably adjusted to the demands of the evolving context. This may include assessing operational efficiency (how well the intervention was managed).

IMPACT: WHAT DIFFERENCE DOES THE INTERVENTION MAKE?

Evaluation looks at impact as to the extent to which the intervention has generated or is expected to generate significant positive or negative, intended or unintended, higher-level effects.

Note: Impact addresses the ultimate significance and potentially transformative effects of the intervention. It seeks to identify social, environmental and economic effects of the intervention that are longer term or broader in scope than those already captured under the effectiveness criterion. Beyond the immediate results, this criterion seeks to capture the indirect, secondary and potential consequences of the intervention. It does so by examining the holistic and enduring changes in systems or norms, and potential effects on people's well-being, human rights, gender equality, and the environment.

SUSTAINABILITY: WILL THE BENEFITS LAST?

Assessing sustainability involves determining the extent to which the net benefits of the intervention continue, or are likely to continue.

Note: Includes an examination of the financial, economic, social, environmental, and institutional capacities of the systems needed to sustain net benefits over time. Involves analyses of resilience, risks and potential trade-offs. Depending on the timing of the evaluation, this may involve analysing the actual flow of net benefits or estimating the likelihood of net benefits continuing over the medium and long-term.

6. Further information available at www.oecd.org It is important that cross-cutting issues such as disability inclusion and gender equality is considered throughout all OECD DAC evaluation criteria.

ANNEX II. GUIDING PRINCIPLES FOR THE ASSESSMENT OF THE MEDIUM AND LONG-TERM EFFECTS OF CAPACITY DEVELOPMENT

The results chain of capacity development is a process occurring at three different levels that underline the interaction between internal and external factors:

- **Individual level:** conceived as human resource development (training and education), and concerns how people are educated and trained, how knowledge and skills are transferred to individuals, the extent competence is built and people are prepared for their current or future careers.
- **Organizational level:** also understood as organizational development, seeks to change and strengthen structures, processes and management systems in specific organizations in order to improve organizational performance.
- **System level:** considers the enabling (disenabling) environment, including the linkages between organizations and the context or environment within which organizations operate and interact.

While capacity development efforts can focus on only one of these levels, in most cases, they involve activity at multiple levels. For example, while developing individual's knowledge and skills, action may also be needed to change how the wider organization functions to enable these skills to be put into practice.

A key question in capacity development evaluation is whether any improved capabilities are due to the intervention or to other factors. To answer that, examining the capacity of organisations starts with determining the quality and quantity of "outputs" produced (e.g. key policies, documents, effective management of processes, budget cycle, etc.). **An improvement in organisational capacity is associated with an improvement in the quantity, range, quality, timeliness, accessibility and government or wider ownership of these outputs (DFID, 2006)[7].**

The main dimensions to assess capacity development include:

- The level of pre-existing organisational capacity;
- The extent to which capacity development strategies and objectives are consistent with needs and requirements of constituents;
- The clarity of policy direction and consistency of linkages between the three levels and dimensions of capacity development;
- The extent the range of capacity development initiatives' immediate objectives have been achieved, or are expected to be achieved;
- The extent to which medium- and long-term results have been achieved;
- The extent resources (financial, labour, information, knowledge, time) and mechanisms in place support capacity development processes financially and technically;
- Other inputs provided in parallel with the project intervention (such as equipment and finance that can influence the capacity development/ organisational development process);
- The extent measures are in place to ensure retention of competence;
- The wider institutional, political and external context within which the organisation being supported is operating.

This framework has been applied in the High-level independent evaluation of ILO's capacity development efforts 2010–2017[8], which can be consulted as an example of measuring results from capacity development initiatives.

7 See DFID (2006). "An Evaluation of DFID Funded Technical Cooperation for Economic Management in Sub-Sahara Africa". Oxford Policy Management; and Kruse, Stein-Erik and Kim Forss (2014). Methodological approaches to evaluate support to capacity development.

8 High-level independent evaluation of ILO's capacity development efforts 2010–2017 / International Labour Office, Evaluation Office –Geneva: ILO, 2018.