



## ILO Evaluation Office

### **PROTOCOL 1: POLICY OUTCOMES AND INSTITUTIONAL EVALUATIONS (HIGH LEVEL EVALUATIONS)**



**November 2019**

## PROTOCOL FOR POLICY OUTCOMES AND INSTITUTIONAL EVALUATIONS (HIGH LEVEL EVALUATIONS)

This Protocol describes the processes that should be followed when conducting High Level Evaluations (HLEs) of ILO's Policy Outcomes or institutional issues that influence organizational performance in delivering the Decent Work agenda. The Protocol will provide internal and external stakeholders with an understanding of how the HLE is to be carried out and how they will work within the HLE evaluation team. A separate protocol is available for conducting high level evaluations of selected Decent Work Country Programme.

It is designed to guide evaluators and stakeholders (Country and Regional Office staff, and international external evaluators) in working together to support HLEs. Tripartite constituents and other stakeholders who may be involved in Outcome Strategy evaluations can also use this Protocol as a guide to how they can be involved.

This high-level evaluation protocol is to be used when evaluating any of the Policy Outcomes identified in the Programme and Budget or Institutional issues that are important to ILO's capacity to delivery services to Constituents.

The Protocol contains six sections:

- **Context** - the ILO's approach to High Level Evaluations.
- **Planning** - the purpose and areas for evaluation are identified, the TOR designed, and the evaluation team recruited.
- **Implementation** – the period in which the evaluation is carried out.
- **Analysis** - areas of consideration for the analysis.
- **Writing the evaluation report** – the reporting headings and procedure.
- **Follow-up** - follow-up responsibilities.

### High Level Evaluations

High Level Evaluations are governance level evaluations that aim to generate insights into organizational level performance within the context of the results-based management system. The High Level evaluations in the ILO refer to evaluation of policy outcomes, institutional issues as well as a selected Decent Work Country Programme. Findings from HLEs contribute to high level decision-making on policies and strategies, and accountability. Senior management and the Governing Body are involved in identifying priorities for HLEs, determining the timing and intended uses of each evaluation. To this end a process of informal consultations including governments, through regional coordinators, and the secretariats of the Employers' and Workers' groups on the topics for high-level strategic evaluations and their terms of reference will be organized annually.

ILO-EVAL, as an office with structural independence, is the custodian of the independence and transparency of the evaluation process. EVAL conducts a minimum of three high-level evaluations every year, based on a 3 yearly rolling workplan of upcoming evaluations, endorsed by the GB.

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## LIST OF ABBREVIATIONS

CO	Country Office
CPO	Country Programme Outcomes
DAC	Development Assistance Committee
DWCP	Decent Work Country Programme
DWT	Decent Work Team
EAC	Evaluation Advisory Committee
EVAL	ILO Evaluation Office
GB	Governing Body
GLs	Global Outcomes
GP	Global Product
HLE	High Level Evaluation
IRIS	Integrated Resource Information System
OBW	Outcome-based work planning
OECD	Organisation for Economic Co-operation and Development
P&B	Programme & Budget
RBM	Results Based Management
RBSA	Regular Budget Supplementary Account
SP	Strategic Plan
DC	Development Cooperation
TA	Technical Assistance
TOR	Terms of Reference
UNDAF	United Nations Development Assistance Framework
UNEG	United Nations Evaluation Group

## 1. CONTEXT

### 1.1 ILO PRINCIPLES FOR EVALUATION

The Office is committed to ensuring the credibility, impartiality and independence of evaluation at the ILO as mandated by the Governing Body documents: ILO Evaluation Policy 2017 [GB.331/PFA/8](#) November 2017; ILO Results based Evaluation Strategy 2018-21 [GB.332/PFA/8](#) February 2018; and summarized in the [ILO Policy Guidelines for evaluation: Principles, rationale, planning and managing for evaluations, 3rd ed, Aug 2017](#). To this end, the Office is supported by the following core principles:

- **Adherence to international good practice:** The ILO Evaluation Policy is consistent with internationally accepted evaluation norms, standards and good practices (UNEG, OECD/DAC, etc.), and is harmonized with the UN family in the context of results-based management approaches. All aspects of evaluation in the ILO are guided by the ILO evaluation policy and the ILO evaluation strategy.
- **Upholding the ILO mandate and mission:** The ILO evaluation approach and methods reflect the Organization’s tripartite structure and focus on social justice, and its normative and technical mandate. Evaluations provide particular attentions to SDGs, gender and non-discrimination issues.
- **Ensuring professionalism:** Evaluations are managed by staff with the necessary evaluation management competencies and training, and use ILO quality standards for evaluation management. Evaluations are also undertaken by qualified technical experts and evaluators; they combine technical and evaluation experience and competencies with the appropriate skills set. Evaluators adhere to the highest ethical and technical standards, apply methodological rigor and respond to all criteria of professionalism, impartiality and credibility, including the responsible handling of confidential information.
- **Transparency and learning:** Evaluations are conducted using a transparent process involving stakeholders, as required, to ensure factual accuracy and full ownership.
- **Independence of process:** The ILO ensure separation of evaluation management and implementation responsibility from line management functions for policies, programmes and projects. The ILO selects evaluators from a wide and diversified pool according to agreed criteria for the purposes of avoiding any potential conflict of interest.
- **Gender-equality and non-discrimination:** Evaluations ensure that there is appropriate consideration of gender and non-discrimination issues in their design, analyses and reporting, while also addressing UNEG gender-related norms and standards.

IEVAL strongly encourages evaluators to complete the [self-induction module for consultants](#). The module is a comprehensive resource for better understanding of the LO’s mandate and functions as well as for improving understanding of how evaluation functions in the ILO.

## 1.2 STRATEGIC PLANNING IN ILO

The Strategic Plan is the term used by the ILO to describe the formulation, adoption and implementation of its policies and outcome objectives in Member States. Strategic plan documents (previously termed as Strategic Policy Framework) are high-level vision documents that reflect the strategic vision of the organization and set out the substantive and organizational approach towards its realization.

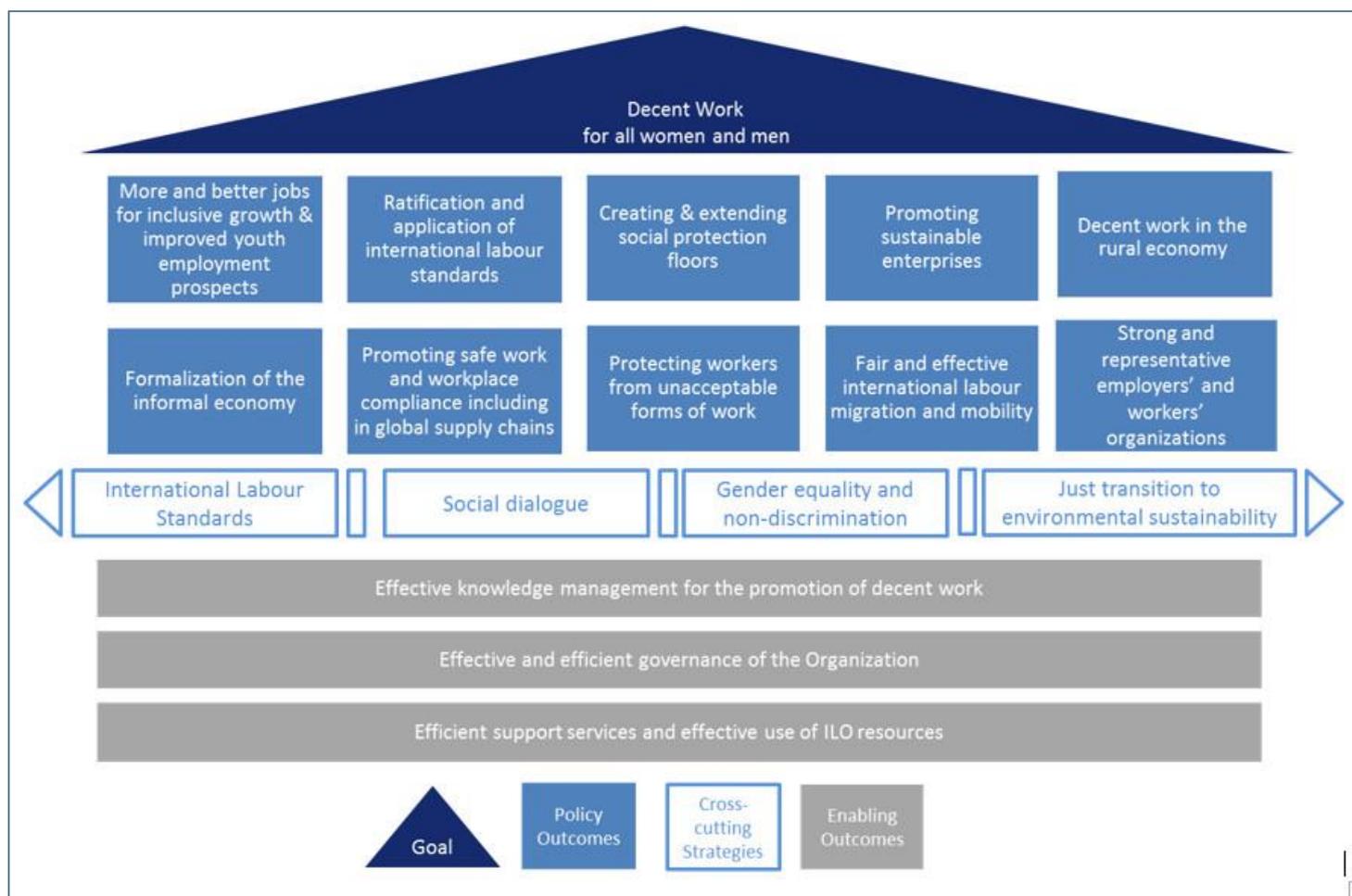
Since 2010, there have been three Strategic Plans:

- **The Strategic Policy Framework 2010-15:** [SPF 2010-15](#) was built on the four strategic objectives of the ILO – employment, social protection, social dialogue, standards and fundamental principles and rights at work. It defined 19 global outcomes, along with indicators and measurement criteria. In the last biennium of this policy period, a transitional policy framework was proposed. More focus and coherence among outcomes was intended and critical areas of ILO’s work were identified as Areas of Critical Importance (ACI).
- **The Transitional Strategic Plan 2016-17:** In the [Transitional SP 2016-17](#) the global outcomes were redefined, along with an organization-wide structural and operational reforms. During this period, the number of global outcomes was reduced from 19 to 10. A special focus was placed on eight areas of critical importance or ACIs that combined work under several outcomes.
- **ILO’s Strategic Plan for 2018-21:** The [SP 2018-21](#) presents the strategic vision of ILO 2021. It sets the direction for the two biennial Programme and Budget periods: 2018-19 [ILO P&B 2018-19](#) and [ILO P&B 2020-21](#).

On the occasion of the Centenary of the ILO, the International Labour Conference adopted the [ILO Centenary Declaration for the Future of Work](#) during its 108<sup>th</sup> session. The Centenary declaration reaffirms the mandate set out in the ILO Constitution and the Declaration of Philadelphia (1944) and provides guidance for the ILO to further develop its human-centred approach to the future of work.

A high-level strategy evaluation shall also assess the relevance of the strategy or policy outcome being evaluated to the areas of critical importance identified by the ILO in its strategic documents outlined above . The assessment shall determine how effective the strategy was in addressing the concerns that has affected large numbers of employers and workers and a significant number of countries; where the need for change is evident and where the ILO can make a difference; and which have been the subject of Conference, Governing Body or Regional Meeting decisions or concerns otherwise expressed by constituents.

Figure 1. The ILO Results Framework 2018-21



See Annexure 1 for an overview of ILO’s Results Frameworks since 2010

### 1.3 ILO RESULTS BASED PROGRAMMING

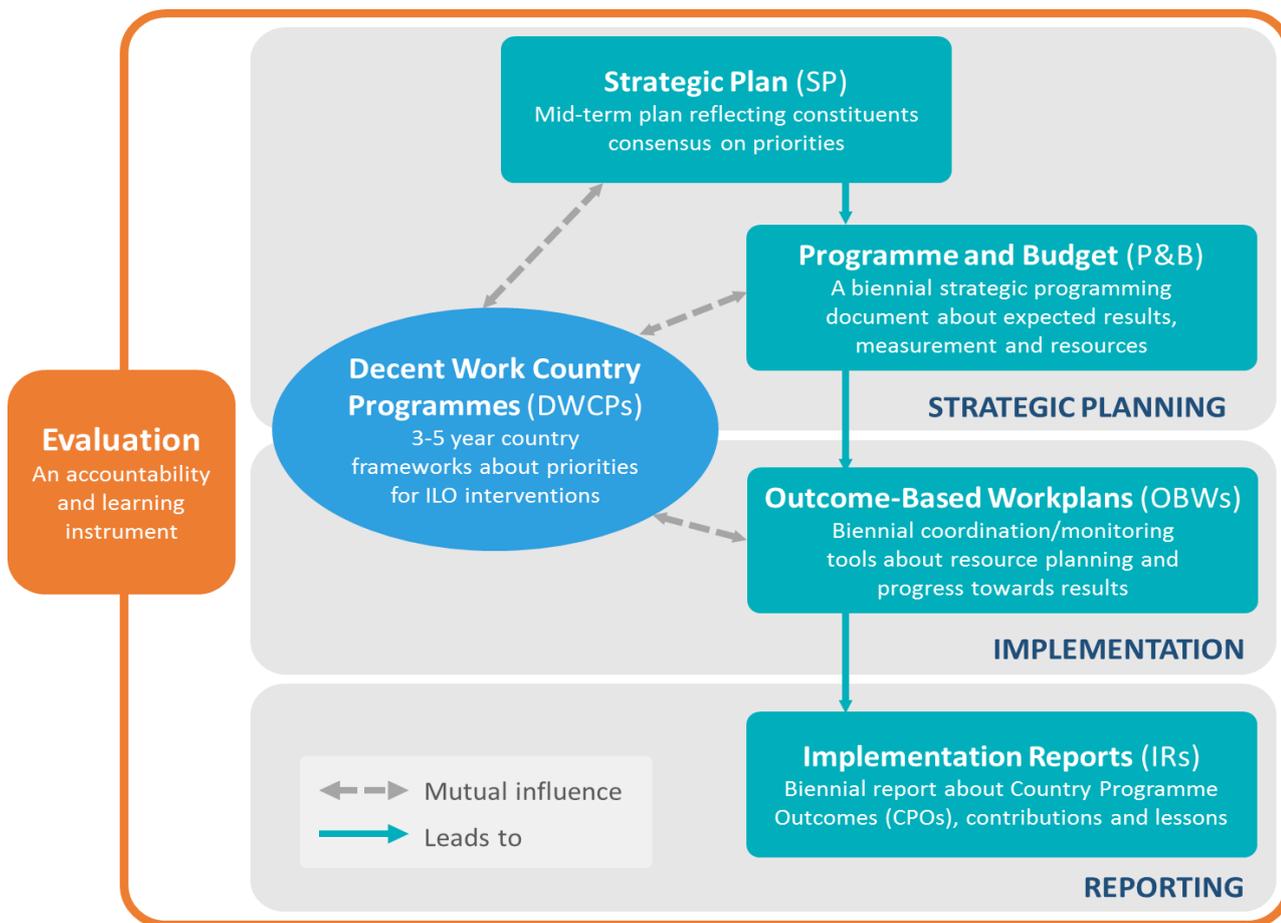
ILO programmes at global and country levels are based on the principles of results-based management. The [Results based management](#) framework of the ILO is depicted in figure 2.

The strategic plan is complemented by the Programme and Budget (P&B); a global level biennial plan that guides the implementation of ILO’s Decent Work agenda at all levels. P&B documents outline the intended policy outcomes, indicators and measures of success. They also describe the operational strategy, partnerships and how cross cutting issues will be integrated across the policy outcomes.

At the country level, a [Decent Work Country Programme \(DWCP\)](#) is developed in consultation with tripartite constituents and stakeholders. It generally covers a period of 3-5 years and serves as a medium term vision document. The DWCPs are aligned to the overall ILO mandate as expressed in the Strategic Plan and the P&B, the national development framework and the UN assistance framework prevalent in the country. However, the national level priorities are defined by the national stakeholders. It is important to remember that the priorities and outcomes defined in DWCPs are expression of intent and do not form part of the operational reporting system. For the purposes of reporting, country teams develop Country Programme Outcomes (CPOs), which are resource-linked outcomes. CPOs are part of DWCPs and hence serve as a bridge between country and global level planning and reporting systems. Country teams are obliged to link the CPOs to P&B outcomes and indicators and are also obliged to report on the

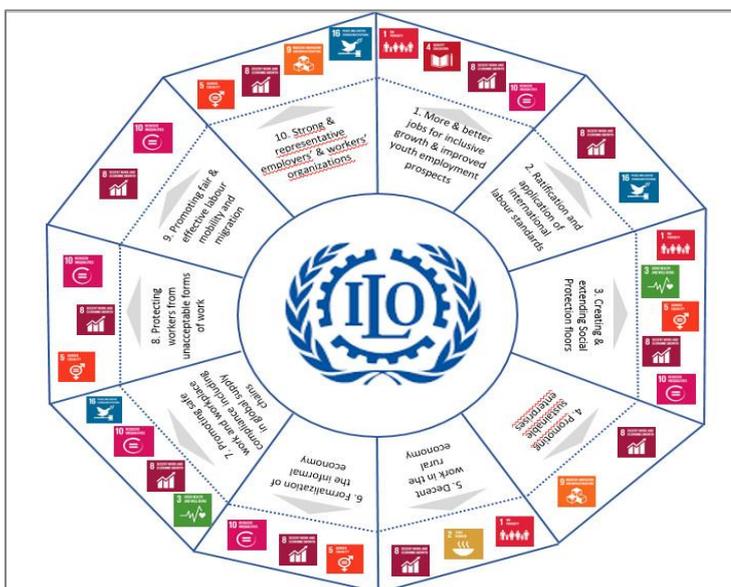
results of a CPO per biennium. At the global level, the outcomes delivered through centralized global projects are similarly linked to P&B Outcomes and indicators. Every biennium, the results from across all global, regional and country level operations are aggregated and reported through Programme Implementation Reports (IR).

Figure 2 ILO Results based management framework



The ILO has a crucial role to play in delivering on the Sustainable Development Goals. ILO is the custodian agency for 14 indicators (3 jointly with other agencies) on many aspects of Decent work, including: youth employment, child labour, social protection, labour rights, labour migration, Occupational Safety and Health, non-discrimination (Figure 3). There are several other SDG indicators that are relevant to ILO's Decent Work agenda although the ILO is not a custodian agency.

Figure 3. ILO Policy Outcomes: Links and Contribution to the SDGs



**Annex 2** shows a more detailed mapping of the ILO Policy Outcomes with the SDG Global Indicator framework where ILO is custodian or involved agency.

All evaluations in the ILO, including the High Level Evaluations must be attentive to the following aspects:

- ✓ ILO's normative mandate and its commitment to promote social dialogue
- ✓ Tripartism in ILO's constituency
- ✓ ILO's commitment to gender equality, diversity and inclusion
- ✓ ILO's role and contribution to SDG targets and indicators

Evaluators, evaluation planners, managers and approvers must refer to available EVAL guidance for integrating these aspects in the evaluation framework, in particular [Integrating gender equality in monitoring and evaluation](#) and [Adapting evaluation methods to the ILO's normative and tripartite mandate](#). A number of SDG related resources relevant to evaluations is available at EVAL's webpage [Evaluation and SDGs](#).

## 1.4 INVOLVING THE TRIPARTITE CONSTITUENTS

The tripartite constituents comprise representatives from Member States Government bodies, Workers' Organisations and Employers' Organisations. They are integral part of ILO's governing body as well as ILO's programming at global, national and local levels. This tripartite structure makes for a unique forum in which the governments and the social partners can freely and openly debate and elaborate labour standards and policies.

HLEs are undertaken by EVAL and are a unique opportunity to work with the tripartite constituents in establishing the scope of the evaluations; data collection; sharing the findings of the evaluation; and follow up to the evaluation recommendations.

Wherever possible, HLE Evaluation Teams will work closely with the tripartite constituents. All work with tripartite constituents should be preceded by clear information on how the process will be scheduled; how they will be involved; what their responsibilities will be; and, any agreements on the disclosure of information and confidentiality, as required.

### Key considerations for involving national tripartite constituents

- ✓ Relevant national tripartite constituents (government, workers' and employers' organisations) are notified of the evaluation early in the process. This will increase ownership of the evaluation responsibilities and build mutual accountability for the results.
- ✓ Early notification will enable tripartite constituents to identify and appoint focal persons to assist the evaluation team.
- ✓ Sufficient notification will also allow time for tripartite constituents to ensure a clear understanding of the scope and purpose of the evaluation and ensure balanced gender and technical representation of key stakeholders from constituent groups.

## 1.5 IDENTIFYING AND ENGAGING STAKEHOLDERS AND BENEFICIARIES IN THE EVALUATION

The engagement of stakeholders and, to the extent possible, beneficiaries in evaluation enhances transparency, knowledge, credibility, and ownership of the findings. Evaluation results are very relevant to stakeholders and beneficiaries and recommendations are more likely to be followed up.

- Stakeholders include internal ILO departments and units relevant to the policy outcome/institutional issue being evaluated; external development partners such as representatives of other UN Agencies; tripartite constituents and other bilateral development partners, and implementation agencies; and, relevant NGOs, research institutions, universities, embassies, etc.
- Beneficiaries are those individuals and groups who gain ultimate benefit of the outputs, outcomes and sustainable impact.

Stakeholders and beneficiaries will be identified via relevant documentation and discussion. A Senior Evaluation Officer should undertake a stakeholder analysis in consultation with the relevant already identified Stakeholders and in relation to the policy outcome or institutional issue being evaluated. The stakeholder analysis should list identified stakeholders and categorize them in order of importance for the evaluation and describe why and how they will be involved. Implications for the evaluation questions, budget needs, required expertise of consultants, background information, and methodological approach may be drawn from the results of the stakeholder analysis.

**Reference documents:**

- ILO Programme and Budget Documents [ILO Programme and Budget documents](#)
- [ILO Policy Guidelines for evaluation, 3rd ed, Aug 2017](#)
- [Guidance Note 7](#): Stakeholder participation in ILO evaluations

## 2. PLANNING

A Policy outcome or Institutional evaluation typically takes 6 to 9 months. It involves a scoping exercise; document review; portfolio reviews of identified countries for case studies; interviewing ILO staff, UN Agency staff and other identified stakeholders; and country missions.

The planning and careful preparation of an HLE is crucial for good implementation and reporting. Good planning focuses on deciding prior to implementation: what is to be done; when it will be done; who will be involved; and, how it will be carried out.

Identified stakeholders must be informed at an early stage in the planning in order for them to participate within the timeframe of the evaluation. The implementation is done within a limited time frame so planning should be done in advance in order to have quality data, its analysis and validation.

### 2.1 SELECTION OF A HIGH LEVEL POLICY OUTCOME OR INSTITUTIONAL EVALUATION

Evaluation topics are proposed to the Governing Body (GB) by EVAL or by other ILO stakeholders at any time. However the decision by the GB on the topics/themes to be evaluated is confirmed at their annual October/November meeting. Evaluations can also be recommended based on GB decisions in the form of recommendations formulated during policy debates at the GB or the International Labour Conferences (ILC).

Senior managers and members of GB, the Evaluation Advisory Committee (EAC), HQ Senior management and technical department Chiefs, ILO Regional Offices (ROs), Decent Work Teams<sup>1</sup> and country Officers where case studies will be conducted shall be involved in identifying priorities for evaluations.

Following the decision of the GB, the Director of the Evaluation Office (EVAL) will assign the high-level evaluation to a Senior Evaluation Officer at EVAL who will develop:

- a concept paper;
- the evaluation terms of reference;
- determine the composition of the evaluation team which will include an international independent evaluator and research assistants; and,
- issue a call for expressions of interest from independent international and national evaluation consultants for selection as evaluation team members.

The other supportive roles of the SEO are described in **section 2.3**

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<sup>1</sup> Decent Work Teams (DWT) are regional/sub regional teams of technical experts who provide specialized technical support to the countries they cater to. DWTs provide services through ongoing projects and programmes in a country and also help country offices in responding to emerging technical assistance needs of constituents beyond specific project or programme.

## 2.2 DETERMINING THE PURPOSE AND SCOPE OF THE POLICY OUTCOME AND INSTITUTIONAL EVALUATION

A high level evaluation covers the entire process of an ILO's intervention strategy in support of a policy outcome or institutional approach. Evaluations of policy outcomes typically include, inter alia: relevant policy frameworks; main initiatives to turn policy into action; means of action by ILO HQ and regional offices, DWTs and country offices; country programme outcomes (CPOs) expected for countries to implement; and, long term impacts and the sustainability of achievements.

They include global, regional and national projects, partnerships and direct country office initiatives that fall within the stated strategic priorities and time period. **Special attention shall be given to the achievement of Global Products (GPs) and CPOs proposed as the means to achieving the Outcome Strategy to be evaluated.**

Institutional evaluations typically address institutional strategies or approaches that may or may not be part of the global results framework but have a direct bearing on organizational performance. Some examples from the past include high level evaluation of ILO's Development Cooperation strategy; evaluation of ILO's capacity development strategy, evaluation of ILO's field structure and operations etc. The scope of such evaluations need a great deal of customization, depending on the nature of the strategy, approach or institutional issue being evaluated.

The EVAL Senior Evaluation Officer determines the purpose and scope of the evaluation in consultation with internal and external stakeholders involved in the implementation of the Outcome/ Strategy, such as technical units and departments at headquarters, regional and country offices and tripartite constituents.

It is likely that the HLE will include a sample of countries for direct mission and these are chosen by EVAL in consultation with ILO internal stakeholders and external consultants.

The **key questions** for determining the purpose and scope are:

- Why undertake this evaluation?
  - Why at this specific time?
  - How are the evaluation findings to be used?

**Purpose** to be considered may include:

- specific areas of concern within the policy, strategy or institutional issue that need in depth understanding;
- evaluations identified as part of a normative cyclical evaluation such as the end of strategy period.
  - Specific request put forth by stakeholders for learning and accountability purposes

**Scope** to be considered may include:

- the period of time to be covered by the evaluation;
- the geographical scope, including regions and countries to be covered;
- the assessment and observation of internal and external stakeholders as well as beneficiaries;
- the Global Reports (GR), Country and Regional Review Reports, specific M&E plans and results and specific actions used as the means toward the achievement of the policy outcome or institutional strategy.

A description of how the findings are to be used, and by whom, will help in further preparation.

## 2.3 EVALUATION MANAGEMENT ROLES AND RESPONSIBILITIES

The EVAL Senior Evaluation Officer assigned to the high level evaluation will be responsible for planning the evaluation, writing the Terms of References (TORs), identifying the composition and skills needed in the evaluation team, managing the selection of the independent evaluation team members and also act as a member of the evaluation team.

The EVAL Senior Evaluation Officer reports to and coordinates all evaluation matters with the EVAL Director who in turn notifies ILO Senior Management, GB and other relevant internal and external stakeholders of the planned evaluation. S/he oversees the evaluation process and ensure that the evaluation is able to meet its scope; ensures transparency and independence of the evaluation process; ensures quality and timeliness of evaluation products and

supports communication and dissemination of evaluation findings. Ensuring the integrity of the evaluation process will be the responsibility of EVAL and the designated Senior Evaluation Officer. The ILO Office has issued directions and procedures for ensuring transparency and independence of the evaluation function in line with international good practices. **Among practices to be followed are:**

- Separation of evaluation responsibility from line management functions for programmes and projects;
- Limiting management influence over the terms of reference, scope of the evaluation, and selection of evaluator
- Transparency and clarity regarding the evaluation process; and,
- Involvement of constituents and others, as appropriate, in the planning and reporting processes.

EVAL normally provides an information kit to the external team members including the following information:

- The ILO's 2017 evaluation policy ([GB.331/PFA/8](#)) and its results-based strategy for 2018-21 ([GB.332/PFA/8](#))
- [ILO Policy Guidelines for Evaluation, 2017](#)
- [ILO Evaluation Guidelines and Support Guidance Documentation](#)
- [Norms and Standards for Evaluation in the UN System](#) – UNEG
- [Quality Standards for Development Evaluation](#) – OECD
- Institutional Guidance Documents providing comprehensive and detailed statements, including principles, procedure and guidelines, of the policy that the Director-General decided to follow with regard to the application of the relevant rules in respect to the ILO's evaluation function (IDGS Numbers 8, 74, and 75).
- Relevant Global Reports (GR).
- Specific SPF documents, the Programme and Budget Biennium (P&B) documents for the evaluation period, and other relevant strategy and programme documentation.
- Outcome Based Work plans including CPOs and Global Products relevant to the Outcome/ Strategy being evaluated.
- Strategic Management Module (SM), outcome planning, management and implementation reports from IRIS.
- Outcome Strategy project portfolio for the period of evaluation.
- Relevant ILO studies on technical and operational aspects of the strategy.
- A list of all contributing outcomes to the achievement of the strategy under evaluation. This could include clear and succinct briefing notes for the external consultants on ILO P&B planning and implementation showing synergies of the Outcome Strategy with other Strategic Outcomes.

As a good practice, high-level evaluations can be preceded by a synthesis review of relevant project evaluations undertaken during the period under review. The synthesis reviews should be carried out in a professional manner and should serve as a substantive input to the high-level evaluations. They can also be used to identify good practices, challenges and intervention models that the high-level evaluation could further explore.

To carry out their functions effectively, the evaluation team needs to interview staff, and have access to all relevant Office documents. Staff at all levels is expected to co-operate fully with evaluators and take all necessary steps to ensure timely access to requested information.

To facilitate the work of EVAL as defined above, Directors and programme managers are required to reserve adequate resources to ensure proper implementation of evaluation programmes to comply with ILO evaluation policy which requires regular self-evaluation of programmes and projects.

**ILO country and regional offices will be responsible for providing relevant information, including:**

- Planning and implementation documents pertaining to the Outcome Strategy being evaluated
- Relevant project documents – OBW, CPO and GLs, M&E and Implementation Plans, Country Programme Reviews or internal evaluations programme and project progress reports
- Monitoring and Evaluation reports on country and regional projects (i.e. project proposals, logic models, budgets and partnership arrangements) for the period planned for the HLE
- Relevant country development plans, strategies and priorities

- National Tripartite Constituents and other stakeholder contacts
- Annual Review reports and specific country/region lessons learned
- Programme and Budget for the Biennium (for the evaluation period).

#### **Access to information, confidentiality and disclosure of evaluation result**

- ✓ ILO Officials are expected to fully respect the confidential nature of draft evaluation reports and to strictly follow the guidelines set down for handling such documents. Managers are expected to facilitate the evaluation process and to ensure that it is not impeded in any way.
- ✓ Within the agreed terms of reference for the evaluation, evaluators shall be independent and have sole responsibility for evaluations.
- ✓ Staff at all levels is expected to cooperate fully with evaluators and to take all necessary steps to ensure timely access to requested information.
- ✓ Final evaluation reports are disseminated in accordance with ILO policy on public information disclosure. In addition, all evaluation information is stored in a central repository of evaluation documentation to ensure transparency and accessibility.

***IGDS 75 (version1) 31 March 2009***

## **2.4 ASSESS THE EVALUABILITY**

The Senior Evaluation Officer will undertake an assessment of the evaluability of the proposed policy outcome. This should include:

- The clarity and comprehensiveness of SPF and the P&B Outcome and the coherence of related P&B Outcomes
- The extent to which the Policy Outcome or institutional strategy is planned and any accompanying logic model or milestones should be reviewed
- The extent to which the policy being evaluated has been contributed to by ILO interventions such as DWCPs and regional programmes. For evaluation of institutional strategies, the appropriateness of instruments used by the Office and constituents, such as regulations, processes, strategies, action plans etc should be assessed.
- The extent to which supporting M&E and annual reviews have been undertaken of ILO interventions, as applicable
- The extent to which milestones have been defined, used and reported.
- The extent to which Member States and their tripartite constituents have been engaged in initiatives that contribute to the Policy or Institutional strategy being evaluated
- The consistency of these priorities with the Member State's priorities, UNDAF country priorities and SDG targets and indicators should be checked for alignment

Consider the potential for evaluating alignment at two levels:

- Where the Outcome Strategy can be aligned to, and contribute to the achievement of, Member States' higher level objectives
- Where Outcome Strategy priorities can be aligned with UNDAF priorities and SDG targets and indicators

Sufficient documentation should be in place to support an assessment of evaluability. A detailed guidance on evaluability assessment is available as [Guidance note 16: Procedures and tools for evaluability review](#).

## **2.5 IDENTIFY LESSONS LEARNED FROM PREVIOUS EVALUATIONS**

The Senior Evaluation Officer will review lessons learned from previous relevant evaluations and from the preceding Synthesis Review by EVAL in relation to the proposed scope and rationale for the current evaluation. These may influence the evaluation design and the evaluation questions, and may contribute to the preparation of the evaluators' Terms of Reference (TOR).

## 2.6 TERMS OF REFERENCE FOR A POLICY OUTCOME OR AN INSTITUTIONAL EVALUATION

The Terms of Reference (TOR) is a key document in the evaluation and forms a substantive part of the contractual arrangement with external evaluators. The TOR presents the purpose, scope, and objectives of the evaluation; the methodology to be used; the resources and time allocated; reporting requirements; and any other expectations regarding the evaluation process and products. The EVAL Director, Senior Management and tripartite constituents and the relevant stakeholders involved in the evaluation agree to the document. This document can alternatively be called “evaluation mandate”.

During the drafting of the TOR, the EVAL Senior Evaluation Officer prepares and writes a draft TOR and consults with the ILO internal stakeholders (sector specialists, programme managers, outcome coordinators and any other designated official) at Head Quarters (HQ) and at relevant Regional and Country Offices and with tripartite constituents.

**Checklist 1-** [Writing the TOR](#) provides more detailed guidance on preparing a comprehensive ToR

The ToR should provide links to the following minimum set of documents:

- [ILO Code of Conduct for Independent Evaluators](#)
- [ILO Checklist for Preparing the Evaluation Report](#)
- Guidance Note on [Integrating gender equality in monitoring and evaluation of projects](#),
- Guidance Note on [Evaluation lessons learned and emerging good practices](#)
- SDG related reference materials at: [Evaluation and SDGs](#)

### 2.6.1 The outline headings of the TOR:

- ✓ Introduction and rationale for evaluation
  - ✓ Brief background of the Policy/strategy
  - ✓ Purpose, scope and clients of evaluation
  - ✓ Evaluation Criteria and questions
  - ✓ Methodology to be followed
  - ✓ Main outputs: inception, draft and final reports
  - ✓ Management arrangements, work plan, formatting requirements and time frame
- 
- 2.6.2 Evaluation Criteria and Questions

The ILO evaluation questions are developed as part of the TOR and should reflect ILO evaluation policy and international norms and standards and shall be guided by the following DAC criteria: relevance; efficiency; effectiveness; impact and sustainability.

#### Definitions of key evaluation criteria

Evaluation criteria	Description
Relevance and strategic fit	<p>Relevance refers to the extent to which the objectives of a development intervention are consistent with beneficiaries’ requirements, country needs, global priorities and partners’ and donors’ policies.</p> <p>Strategic fit refers to the extent to which the approach is in line with the:</p> <ul style="list-style-type: none"> <li>✓ National level strategies: national development frameworks, UNDAF, priority SDG targets and indicators; DWCP</li> <li>✓ Global level strategy: ILO SPF and P&amp;B; SDG</li> </ul>
Validity of design	The validity of the Theory of Change (if developed)

	The extent to which the design of the policy outcome or institutional strategy is logical and coherent. Whether valid assumptions were made and risks were anticipated
Programme progress and effectiveness	The extent to which the objectives were achieved, or are expected to be achieved, taking into account their relative importance.
Efficiency of resource use	A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.
Effectiveness of management arrangements	The extent to which management capacities and arrangements put in place support the achievement of results.
Impact orientation and sustainability of the project	The strategic orientation of the programme towards making a significant contribution to broader, long-term, sustainable developmental changes. The likelihood that the results of the programme are durable and can be maintained or even scaled up and replicated by stakeholders after major assistance has been completed.

While the above criteria should always be applied, evaluators are at liberty to add additional criteria, if appropriate. Consideration should be given to including the criteria of ‘coherence’ as it provides a framework to address higher level evaluation questions on the combined effects of separate initiatives. The framework for the questions is:

- Are we doing the right thing?
- Are we doing it right?
- Are there better ways of achieving the results?

The focus of HLE questions should be on the ‘how’ and ‘why’ of the accumulated strategic influence of a number of ILO and partner initiatives; the influence on tripartite constituents and relevant government bodies; operational circumstances; and, the ‘so what’ questions on the difference made or likelihood of doing so. It is a requirement in ILO that evaluation questions are posed in such a way that information in relation to gender criteria can be disaggregated.

Questions relating to cross cutting policy drivers, as mentioned in ILO Programme and Budget, should be integral, as much as possible. ILO’s normative and social dialogue mandate and gender equality and non-discrimination should be considered for all evaluations in addition to those areas related to the specific subject of the evaluation.

### **2.6.3 Methodology to be followed**

The methodology is developed in line with the evaluation approach chosen. The methodology includes specification and justification of the evaluation design and the techniques for data collection and analysis. The selected methodology should seek to answer the evaluation questions using credible evidence.

In the HLE, the emphasis is on the higher achievement of Policy and Strategy. The methodology should include, but make a distinction between, the ILO initiatives that deliver services and products (outputs), the direct realization of new policy and practice by stakeholders as a consequence of what

has been delivered (outcome), and the influence and wider application of the outcome in relation to stakeholders and beneficiaries improved work situation (impact).

The methodology should seek to evaluate the degree of mainstreaming policy and best practices in government departments, employers' and employees' organisations and their respective members as part of the impact. To the extent possible, the HLEs should include beneficiaries as part of assessing the benefits of the outcome, impact, and sustainability..

The methodology should be responsive to relevant gender and inclusion related guidelines, such as UNEG Guidance on [Integrating Human Rights and Gender Equality in Evaluations](#). This would, at the minimum, include identifying valid evaluation questions; using tools and methods that will help answering evaluation questions related to gender and inclusion (especially disability inclusion); collating and analyzing data in a disaggregated manner; and giving special attention to lessons, good practices and emerging recommendations that can inform the higher level strategies and policies with regard to gender and inclusion.

Indicators for measuring achievement of the Outcome Strategy objectives are validated according to generally accepted criteria such as SMART and/or intermediate steps - progress milestones. If indicators have not been set, the evaluation team may have to provide retrospective indicators to guide the analysis. The TORs should specify the scope of the country missions, and to the extent possible clearly identify those to be included at the ToR stage. The TORs should describe evaluation techniques (i.e. desk reviews of documents, interviews with national tripartite constituents and key stakeholders, case studies, mission visits and statistical analysis, if required) the evaluation team will use to answer the evaluation questions. The TORs shall also indicate the types of briefings and workshops to be organized to discuss and transmit preliminary and final findings to internal and external stakeholders.

#### **2.6.4 Main outputs: inception report, draft and final reports**

Main outputs refers to the deliverables that the evaluator is obliged to submit. Outputs can include verbal and written reports, executive summaries, photographic compilations, and audio or video documentation. The choice of outputs depends on many factors including target audience and budget. If a certain format or layout of the evaluation report or other outputs is required, these should also be specified in the TOR. It should identify: 1) the main outputs of the evaluation; and, 2) how and when they will be delivered.

The TOR shall clearly describe the main outputs in terms of reporting, with a realistic timetable that meets the established deadlines for documents to be presented to the GB.

#### **2.6.5 Management arrangements, work plan, formatting requirements and time frame**

The TOR must clearly describe the management arrangements. EVAL is responsible for:

- The evaluation governance structure to safeguard credibility, inclusiveness, and transparency.
- The evaluation coordination/management which organizes the evaluation process and is responsible for day-to-day administration. Depending on the size and complexity of the evaluation, these functions may be combined or separate.

#### **2.6.6 TOR APPROVAL**

The draft TOR is circulated for comment, within a specified time period, to:

- Senior management, Regional and Country Directors, tripartite constituents and other relevant stakeholders.
- The key technical liaison in the ILO responsible department(s).
- Global, regional and/or national constituents, as appropriate.
- Technical support at headquarters.
- DWT technical specialist and project managers operating in the field.

This provides the opportunity to create a common understanding of the purpose and scope of the evaluation, the management of the evaluation process and to identify shared responsibilities. This should clarify expectations and ensure ownership of evaluation results and follow-up on recommendations.

#### **Process for approving the TOR**

- ✓ EVAL Senior Evaluation Officer circulates a draft of the TOR among ILO internal stakeholders for feedback and incorporates comments into the final draft TOR, as appropriate, and passes the draft TOR to the Director of EVAL for approval.
- ✓ The EVAL Director shares the final draft of the TOR with ILO Senior Management, Regional and Country Directors, the key technical liaison person, and representatives of the tripartite constituent groups.
- ✓ The approved TOR is sent to the same group of stakeholders who participated in commenting on the draft.

## **2.7 BUDGET FOR OUTCOME STRATEGY HIGH LEVEL EVALUATION**

- 
- Outcome Strategy evaluations are financed from EVAL's regular budget and RBSA resources which covers:
  - (i) contractual costs and travel of independent evaluators, research assistants, and (ii) travel expenses for the EVAL Senior Evaluation Officer, if planned.
- - The EVAL Director will decide on the actual budget required by each HLE, taking into account the scope and complexity of the evaluation. The Senior Evaluation Officer will be responsible for proper management of the evaluation budgets.

## **2.8 EVALUATION TEAM**

A transparent and open procurement procedure is used for selecting the evaluation team. This includes an initial expression of interest followed by a final call for proposals. In accordance with internationally accepted practice, the HLE team may involve a mix of external consultants and an internal EVAL Senior Evaluation Officer who are independent from any link to the specific initiatives, projects, programmes, strategies and policies being evaluated. This enables the office to make judicious use of its institutional memory of previous evaluations and provide valuable insights to the evaluation based on knowledge of the ILO context and its normative and tripartite dimensions.

The members of the evaluation team should possess a mix of evaluative skills and thematic knowledge. Gender balance is sought and the team may include professionals from partner countries or regions concerned.

**Guidance Note 4:** [Integrating gender equality in monitoring and evaluation of projects](#)

**Guidance Note 5:** [Identifying, selecting and managing evaluation consultants](#)

## 2.9 INDUCTION OF STAKEHOLDERS

EVAL will use the planning phase to induct ILO departments and Units involved in the HLE and tripartite constituents in the relevant countries in the evaluation approach and processes and to arrange the schedule of work. This will be done through official communications and formal meetings, presentations etc with key stakeholders.

## 3. IMPLEMENTATION

The HLE is undertaken in ILO HQ, a number of designated countries and, in some cases, through teleconferencing by an evaluation team within a defined number of days. The team will be supported by EVAL and the key technical liaison person in ILO, and where appropriate by regional and country offices. The Senior Evaluation Officer in EVAL will be expected to prepare all the relevant documentation and make the necessary logistical arrangements prior to the evaluation team's commencement of work.

### Key elements in the selection of evaluation team members

- Policy Outcome/Institutional HLE teams comprise of external consultant(s), the Senior Evaluation Officer (EVAL), and evaluation/research assistant, as required.
- Team members shall not have previous or current involvement – or offers of prospective employment – in the ILO programme or projects contributing to the Outcome/Strategy being evaluated or personal links to the people involved in managing any of the contributing initiatives (not a family member, friend or close former colleague).
- All HLE teams should seek a gender-balanced composition.
- The evaluation team should respect human rights and gender equality in all its dealings at all levels.
- The team should have the technical, regional, linguistic and professional expertise to perform the necessary evaluation tasks.
- The search for consultants should be an open process, with several candidates being considered from a shortlist, against the criteria included in the TOR.
- The Senior Evaluation Officer is responsible for issuing an open and widely disseminated call for expressions of interest and develops a short list based on a pre-established consultant' ranking criteria.
- The decision on the selection of independent evaluators is made by EVAL.

The evaluation will take into account all means of action and instruments used in the achievement of the intended results of the Outcome or institutional strategy, as specified in the TOR and later refined in the inception report. The evaluation team will meet with HQ staff and, when appropriate, with Member States' tripartite constituents to establish the evaluation working arrangements. The standard approach to execute high-level evaluations are described below:

### **3.1 DOCUMENT REVIEW**

Review of available documents is the first step in the evaluation process and eventually leads to drafting the inception report. For the High-level Evaluation of policy outcomes and institutional strategies, the following broad category of documents are essentially reviewed:

- Normative frameworks including relevant ILO Conventions, Protocols, Calls for Action and related GB and International Labour Conference (ILC) discussions, observations by the Committee of Experts on the Application of Conventions and Recommendations relevant to the topic of evaluation;
  - Relevant strategy, Action Plan and Results Framework, as available;
  - Programme and Budget (ILO's biennial programming document) and Programme Implementation Reports (ILO's biennial implementation report) ;
  - Implementation planning, management and reporting reports for the Outcome being evaluated (information from the IRIS Strategic Management Module)
  - Resource Portfolio (including Development Cooperation and other sources of funding);
  - Relevant global reports, evaluations and meta evaluations;
  - Decent Work Country Programmes (DWCP) and country programme reviews, as relevant;
  - Relevant National and Sectoral strategic plans and reports related to the topic;
  - Global Products and CPOs directly and indirectly linked to the topic, wherever applicable.
  - Relevant documents, reports and evaluations from the countries being covered by the evaluation
  - Other relevant documents such as those related to work by other UN or other significant bilateral/multilateral actors, SDG related documents etc
- Evaluation related guidance by EVAL and UNEG

It is possible that some of this information is made available in the latter part of the evaluation implementation. The Senior Evaluation Officer managing the evaluation will provide the initial set of documents. Evaluators can also specify additional documents they might need in the course of the evaluation. The required documents and information should be anticipated in advance so as to provide adequate time to departments and offices to make them available.

### **3.2 INCEPTION MISSION**

Inception mission to the ILO HQ is held just after the Evaluation Team is on board and have done initial document review. Inception mission covers the key stakeholders (Technical Units/Departments relevant to the evaluation) within the ILO as well as external stakeholders, as available. The focus of discussions at this stage is to develop a full understanding of the scope and expectations that will shape the evaluation approach, methodology and coverage. This phase is also used to identify data sources and to make important decisions with regard to missions and timelines.

### **3.3 INCEPTION REPORT**

The inception report is listed as an output in the TOR and its acceptance by ILO will constitute an agreement to proceed with the evaluation. The inception report is prepared by the evaluation team at the very beginning of the evaluation assignment and sent to EVAL at HQ. The EVAL Director is responsible for reviewing and responding to the inception report and finally agreeing with its content. This triggers the final preparation and permits the evaluation team to undertake the evaluation.

The evaluation team should use the preparation of the inception report to test:

- the evaluation focus and methods;
- the evaluation questions;
- that the appropriate cross cutting themes are clear;
- the assessment criteria;
- that there is a balance between quantitative and qualitative data collection methods;
- that there is sufficient rigor in the approaches to analysis; and
- check that the methods will draw on both subjective and objective data analysis methods to provide a balanced and insightful report.

This is the opportunity for the evaluation team to suggest revisions, if required, and prepare a detailed work plan based on the TOR. Revisions made to the evaluation questions mentioned in the TOR are documented in the inception report.

**Reference documents:**

- [ILO Policy Guidelines for evaluation, 3rd ed., Aug 2017](#)
- [Checklist 3: Writing the Inception Report](#)

### 3.4 DATA COLLECTION FOR EVALUATION

The data collected must answer all the questions detailed in the TOR and/or inception report. The data to be collected during an evaluation and the selection of data collection methods depends on several factors, including:

- the evidence needed to best answer the evaluation questions;
- data availability and location;
- what is most appropriate approach and method to generate useful findings and address the evaluation criteria;
- the feasibility of data collection based on time and resource availability, and the local context; and
- location and accessibility to stakeholders.

To strengthen the credibility and usefulness of evaluation results, a mix of data sources collected through multiple methods (triangulation) is advised. A combination of methods will establish data accuracy and facilitate its interpretation.

### 3.3 ACCESS TO INFORMATION, CONFIDENTIALITY AND DISCLOSURE OF EVALUATION RESULTS

ILO evaluations are carried out in accordance with international standards and norms. Officials are expected to fully respect the confidential nature of draft evaluation reports and to strictly follow the guidelines set down for handling such documents. Managers are expected to facilitate the evaluation process and to ensure that it is not impeded in any way.

Within the agreed terms of reference for the evaluation, evaluators shall be independent and have sole responsibility for evaluations. To carry out their functions effectively, evaluators may need to interview staff, and have access to all relevant Office documents. Staff at all levels are expected to co-operate fully with evaluators and to take all necessary steps to ensure timely access to requested information.

Final evaluation reports are disseminated in accordance with the ILO policy on public information disclosure.<sup>2</sup> In addition, all evaluation information is stored in a central repository of evaluation documentation to ensure transparency and accessibility.

#### **Key steps for the Implementation and reporting of the Policy Outcome/Institutional Evaluation**

- The Evaluation Office has primary responsibility for facilitating and managing the evaluation team.
- A Senior Evaluation Officer will manage the evaluation team, clarify objectives and identify persons to be interviewed, define the responsibilities of participants in the process, and identify topics for the in-depth results assessment.  
The evaluation team prepares an operational evaluation plan, known as the inception report, which should be based on the TOR, and include suggested revisions to the evaluation plan, if required.
- The evaluation questions established in the TOR, and any revisions as detailed in the inception report, determine the methodology for the evaluation.
- Through the respective ILO department (s) responsible for the Outcome/Institutional topic being evaluated a focal person will be identified to support the evaluation process.
- The evaluation is undertaken according to the plan: documents are reviewed, data is collected and analysed and the report drafted.
- The executive summary should be prepared as a standalone summary document and therefore evaluators are expected to pay attention to making it both comprehensive and short, not more than 5 pages in length.
- The evaluation report should be brief (around 40 pages, with supporting data and analysis contained in annexes). Refer to Section 5.1 for more details.
- Statistical results of projects should be displayed in a matrix or graphs with minimum written descriptions.
- Separating the case studies, programme descriptions from the body of the evaluation report should be an option. The emphasis of HLE should be orientated towards analytical understanding and less towards descriptions of programmes and other initiatives.
- Conclusions and recommendations will be based on the analysis and data presented in the report. In addition, there is always a subjective element to evaluative judgments. To keep subjectivity to a minimum, headquarters' and country offices' key stakeholders, and country officials will be asked to respond to these findings and recommendations.
- The recommendations should be strongly linked to key findings and emerging lessons.
- Management's reflection on lessons learned shall be included in the final report and GB Summary, and should be drafted so as to serve as the basis for further dialogue of the subsequent Outcome/Strategy.
- Responsibility for follow-up action and timelines should be indicated where appropriate.
- Conclusions and recommendations are strengthened if the reader can clearly relate them to the evaluation report narrative, and can link them to evidence supported in the report.

<sup>2</sup>ILO office directive (IGDS Number 456 (version 1), dated 5 January 2016. The office directives are available on ILO intranet but is not accessible to outsiders. If required, the document can be provided to evaluators.

### 3.4 DOCUMENTARY EVIDENCE

Documentation is an important data source. EVAL and regional and country offices should prepare these, as much as possible, prior to the evaluation team's commencement. In this regard, documents listed in section 3.1 Document Review form the core set of document for examination.

The document review will support an assessment of how the delivery of output services has contributed to the achievement of outcomes. The achievement of outcomes and movement towards impact and sustainability against the logic model plans are reported on.

Country case studies based on desk reviews of global and country documents will provide valuable insights into how countries are responding to ILO's outcomes and strategies. The document review will inform the evaluation team of alignment across and between the ILO/DWCP country work, UN and country policies and strategies, and will guide analysis of coherence. The documents reviewed by the evaluation team should be listed in the evaluation report.

### 3.5 PRIMARY AND SECONDARY DATA

**Primary Data:** The primary data source for the Outcome Strategy evaluation is the information the evaluation team observes or is collected directly from stakeholders and/or beneficiaries about their first-hand experience with the intervention. This data will inform the DAC criteria questions under the headings of relevance, effectiveness, efficiency, coherence, impact and sustainability. This data is collected through surveys, meetings, focus group discussions, interviews, case studies or other methods that involve direct contact with the respondents.

A focus of primary data collection should be on the realization of policy, strategy or action by stakeholders. As such, data collection under high-level evaluations should maintain an outcome focus (aggregated result of outputs delivered and value added by the Office, constituents, partners and stakeholders).

Where logic models or milestones have been established, these should be used against which progress can be measured. The data collected should enable a deeper understanding of observed changes and the factors that contributed to change.

Where assumptions and/or risks have been established, data on their realization or mitigations should be collected and, to the extent possible, their influence on the achievement of their related objectives identified.

As mentioned in the first section, each Policy Outcome is accompanied with indicators, measurement targets and baseline statements that provide important basic data against which planned and actual relationships can be analyzed. This information on implementation planning, management and reporting from the IRIS Strategic management Module will be provided to the evaluator by EVAL.

Names and details of primary data sources should be listed in the evaluation report.

**Secondary Data:** Secondary data is data that has been collected by the ILO, other individuals or agencies for purposes other than those of the evaluation. HLEs can expect to use considerable secondary data in the formulation of aggregated analysis when covering a number of countries or regions.

It may consist of documentary evidence that has direct relevance for the purposes of the evaluation: nationally and internationally published reports; economic indicators; project or programme plans; evaluations and other records; country strategic plans; and research reports.

A record of all secondary data sources should be listed in the evaluation report.

### 3.6 DATA QUALITY

The evaluation team is required to record data sources and show an evidence trail; this is included in the supporting documentation for the evaluation report. To the extent possible, evidence trails should show data origin, time of data sources, responsibility for data collection and flow of data sources to corroborate data accuracy.

In some cases, the evaluation may be limited by the absence of baseline data, e.g. the description and documentation of the specific situation in the area targeted for change prior to the ILO intervention. Where baseline surveys and studies have not been undertaken or are not of the required quality, the evaluation team should identify how they will secure a reasonable proxy for the initial conditions. This may include seeking comparable baseline data from other sources.

In other cases, there may be a lack of data relative to the evolution of outcomes for a comparison group, which could make an assessment of the effectiveness of interventions and the identification of causal links particularly difficult. In order to check data quality the following areas can be used to guide evaluators in managing data and quality:

<b>Accuracy</b>	
<b>Reliability</b>	<ul style="list-style-type: none"> <li>• Is the data generated and recorded according to standard or known procedures?</li> <li>• Is the data collected and recorded in a consistent way?</li> </ul>
<b>Precision</b>	<ul style="list-style-type: none"> <li>• Is there sufficient detail in data, for example, do indicators require numbers; are the numbers disaggregated by gender?</li> </ul>
<b>Completeness</b>	<ul style="list-style-type: none"> <li>• Is the information system, from which results are derived, appropriately inclusive?</li> <li>• Is the stakeholder list comprehensive?</li> </ul>
<b>Timeliness</b>	<ul style="list-style-type: none"> <li>• Is the data current?</li> <li>• Has the original information been updated?</li> </ul>
<b>Integrity</b>	<ul style="list-style-type: none"> <li>• Is the data free from bias or manipulation?</li> <li>• Are there systems of data collection and recording free from bias or manipulation?</li> </ul>
<b>Confidentiality</b>	<ul style="list-style-type: none"> <li>• Is the data maintained and store securely?</li> </ul>

**Reference documents:**

- [ILO Policy Guidelines for evaluation, 3rd ed, Aug 2017](#)
- [Checklist 4](#): Validating methodologies

## 4. ANALYSIS

### 4.1 DATA ANALYSIS

The evaluation team will undertake the analysis of the data collected, and as a team, be responsible for the conclusions drawn. If, however, there is a dissenting voice, this should be noted in the evaluation report and recorded. The evaluation team should:

- analyse the actual achievements against the planned targets and objectives and assess variance, if any, between them;
- analyse the assumptions made in the logic model to inform on the quality of programme design;
- check whether management of the implementation took note of the assumptions and responded to them as required;
- assess whether the assumptions supported or hindered the achievement of objectives;
- include the analysis of the realization, or otherwise, of the assumptions against which objectives in the logic models were made and the mitigation of risk designed;
- check relevance, efficiency and effectiveness in relation to the delivery of services;
- check the achievement of outputs against the logic model;
- determine the likely achievements of outcome (when stakeholders make change as a result of services they receive from ILO);
- assess coherence between, and across ILO initiatives, in relation to strategic and policy outcome level objectives;
- assess, as far as possible, the impact, or likely impact, the Policy Outcome/Institutional Strategy is or is likely to make in the near future on the designated target group; and,
- assess the level of mainstreaming of outcomes in partner organisations, whether as policy or practice, to determine likely sustainability of achievements.
- identify unintended results, positive or negative, from which future programmes can learn.

ILO's Strategic Objectives and priorities are focused on employment, social protection, social dialogue and rights at work, and as such are global in reach and application. High-level evaluation analysis should use quantitative analysis to assess the contribution by ILO projects and programme results and qualitative analysis to focus on the strategy application within stakeholder organisations. When evaluating the achievement and support for the formulation of national policy, caution needs to be applied as there are many influences involved over a reasonably long period of time. Therefore, attributing 'the degree of contribution' is less important than that the ILO contributed positively towards policy formulation and implementation.

A distinction should be made by the evaluation team between the **analysis of the interventions** and the **analysis of the results of the interventions**.

The interventions can be viewed as **outcome level** (outputs to outcome) when the tripartite constituents are formulating and putting policy in place, and the results of the interventions can be viewed as **impact level** (outcome to impact) when the policy is being applied beyond the tripartite constituents' organisations.

At the outcome level focus should be on the progression from advocating and formulating to adoption and application. Data analysis should include:

- ILO's capacity for social dialogue and communication with partners and stakeholders;
- its initiatives (projects and programmes) in advocacy, capacity building and promotion;

- its ability to correctly interpret the political and economic context in which it operates; and,
- its status as the pre-eminent UN body to foster social justice and decent work so that countries value the ILO as an advisory and technical support partner. At the impact level, focus should be on how the policies have improved beneficiaries working lives. This should be seen as an ex post evaluation which may be beyond the scope of the Outcome Strategy HLE, or may be the focus of it. All data, documents, statistics, interview answers and observations should be kept and made available for verification, as necessary.

## 4.2 TRIANGULATION OF DATA

Triangulation overcomes the evaluation bias that comes from single information sources, the use of single methods or single observations. This use of mixed methods and data from mixed sources is defined by the OECD/DAC as “the use of three or more theories, sources or types of information, or types of analysis to verify and substantiate an assessment”.

Triangulation helps validate evaluation findings and relates to whether the findings of the evaluation are true and certain. "True" in the sense of the findings accurately reflecting the real situation and "certain" in the sense of the findings being backed by evidence.

At the higher level of objectives (outcomes and impact), the more sources of data that can be used to analyse the results the stronger is the evidence of conclusions and attribution.

## 4.3 RATINGS IN EVALUATION

Although rating is not an exact science, it can be used to help the evaluation teams make conclusions and provide a ‘sounding board’ against which readers of evaluations can compare their understanding and interpretation. Ratings should complement evaluation findings at the highest degree possible. The DAC criteria are used as cross-cutting criteria for performance rating of on policy outcome/institutional strategy. In addition, sector specific criteria, for certain programmes, can be used. Rating criteria can also be applied in relation to the specific evaluation questions.

### Ratings in EVAL

- EVAL provides a clear approach to rating using the DAC criteria.
- Response categories with six values to allow for differentiation, i.e. in a range from of ‘highly unsatisfactory’ to ‘highly satisfactory’ are used for performance based rating.
- The scale of measure used by ILO is ordinal, where the score is ranked, but without percentage of amount between the different levels of value.
- High Level Evaluations reach out to a large number of constituents and other stakeholders through online surveys and use the responses for composite ratings. It is therefore important that the survey response options are aligned to the six/point scale recommended by EVAL.

**Guidance Note 8:** [Ratings in Evaluation](#)

## 5. WRITING THE EVALUATION REPORT

The evaluation report should show the ILO's performance in the implementation of its Policy Outcome/Institutional Strategy. The evaluation report should clearly articulate:

- Findings along the evaluation criteria and questions in a manner that is comprehensive, clear and informative for decision makers.
- A reflection on the theory of change; did it underpin the normative, technical, knowledge and capacity building work of ILO in Output/Strategy achievements, both at country and global levels.
- An assessment and rating of the strategy's performance according to the six established performance criteria (relevance, efficiency, effectiveness, coherence, impact and sustainability).
- Recommendations relevant to the context, with potential broader relevance to other policies and strategies.

### 5.1 FORMAT

The Outcome Strategy evaluation report should be brief (around 40 pages, with supporting data and analysis contained in annexes). Both a draft and a final version of the evaluation report must be prepared. The draft version provides stakeholders with an opportunity to give feedback prior to the preparation of the final evaluation report. All officials are expected to fully respect the confidential nature of draft evaluation reports and to strictly follow the guidelines set for handling such documents.

The individual structure of each evaluation report will depend on the nature of the evaluation focus and content, however, certain elements should be addressed in every report. Reports should meet the ILO evaluation quality standards which are consistent with, and conform to, the UNEG norms and standards. ILO uses an overall standard format for evaluation reports, however, under each main heading sub-headings can be included according the evaluation subject. A typical report would have the following format

- Cover page with key intervention and evaluation data
- Executive Summary
- Brief background on the project and its logic
- Purpose, scope and clients of evaluation
- Methodology
- Review of implementation
- Presentation of findings organized by evaluation criteria
- Conclusions
- Recommendations
- Lessons learned and good practices
- Management Response from the Office
- Annexes
- TOR, questionnaires, list of respondents

Evaluations reports should follow good editing and formatting principles. The [ILO House Style Manual, 5th edition](#) can be useful in this regard.

**Checklist 5 - [Preparing the evaluation report](#)**

## 5.2 CONCLUSIONS AND RECOMMENDATIONS

Conclusions and recommendations should summarize and communicate the most important evaluation findings. The evaluation team should develop conclusions and recommendations as a team.

**Conclusions** are to tie together the various issues covered in the body of the report and to make comments upon the meaning of all of it. They should be a logical ending to what has been previously discussed and should not introduce any new information but should reinforce the evidence in the report and make an impact on the reader.

**Recommendations** are “proposals aimed at enhancing the effectiveness, quality, or efficiency of a development intervention; at redesigning the objectives; and/or at the reallocation of resources.” (OECD/DAC 2002). Recommendations should be linked to the conclusions, be clear, concise, actionable, and time-bound. These concise statements are also used in the Executive Summary of the evaluation and should therefore be written as standalone statements.

Consideration should be given to a limited number of recommendations in order to create focus for the GB and to be actionable by the relevant ILO focal points. *There should be no more than 10 recommendations.*

The categorization of recommendations into headings helps the reader place them in terms of their interests and influence. Consideration should be given to categorizing recommendations in terms of:

- i. the ILO internal policy and operational practice;
- ii. the ILO supporting initiatives (projects and programme) design, content and structure; and
- iii. organizational effectiveness in the support of the design and implementation of a policy outcome or an institutional strategy, as the case may be
- iv. The priority that should be accorded to the recommendation being made (high, medium or low)

## 5.3 LESSONS LEARNED AND GOOD PRACTICES

ILO places emphasis on lessons learned by concluding the evaluation report with them: this cycle is a key function of evaluation and promotes learning as one of the main purposes of evaluation. Lessons learned are not the same as conclusions and must be treated differently. Conclusions, focus on the findings and results of the strategies and actions interventions i.e. how well were they applied?

Lessons learned emerge when consideration is placed upon the way the Outcome/Strategy has been designed, implemented, monitored and evaluated, the techniques, methods and approaches used - did we do it right and are we doing the right thing?

Lessons learned via HLE provide a major contribution to policy and strategy prepared by the GB. These observations from implementation experience can be translated into relevant knowledge by establishing clear causal factors and effects.

- They contribute to reducing or eliminating deficiencies or building and strengthening good practices.
- It is the insight lessons learned offer and how they can be reused by ILO in the future, rather than their number that is important.
- Trivial or obvious insights should not be included as they only ‘muddy the water’.
- It is of upmost importance if the same lesson learned is repeatedly being noted: this should be identified and well supported when writing the final evaluation report.

- ‘Emerging good practice’ is when a lesson learned shows proven and sustainable benefits and is determined by the evaluation team to be replicable in other situations. Emerging good practice should be distinguished from lessons learned in the report.
- EVAL has responsibility for the recording and follow-up of lessons learned; in addition, the Evaluation Advisory Committee (EAC) is responsible for promoting institutional follow-up on lessons learned.

**Reference Documents:**

- [Guidance Note 3](#): Evaluation lessons learned
- [Checklist 5](#): Preparing the evaluation report

## 5.4 FINALIZING THE DRAFT REPORT

**Workshop to share the preliminary findings.** Before finalizing the draft report, the evaluation team communicates the preliminary findings to the internal stakeholders in a workshop at HQ. This gives a chance to evaluators and stakeholders in interpreting the findings in a common manner and seek/provide clarifications as needed. This step also helps in greater acceptance and ownership of evaluation findings by key actors who are likely to follow up on the findings and recommendations. Depending on the timeline, this workshop can be prior to developing the draft report or after an initial draft has been circulated.

**Finalising the report.** The first draft should seek agreement among all Stakeholders both at HQ and relevant country and regional offices regarding matters of fact. Stakeholders are invited to make written comments on factual errors or omissions. They may also comment on the lessons learned presented in the first draft report. Individual comments may be sent to the Senior Evaluation Officer who will then present them to the evaluation team to take any required actions prior to finalizing the final report.

On noting the comments, the evaluation team finalizes the first draft report which is then circulated to key ILO stakeholders and relevant country offices and other relevant stakeholders.

In the [ILO Policy Guidelines for evaluation, 3rd ed, Aug 2017](#) there is a clear laid down procedure for approving the evaluation

## 5.5 COMMUNICATING THE FINAL REPORT

The communication of the final report will be managed by EVAL which is responsible for its dissemination within ILO and to the main stakeholders in the countries who participated in the evaluation. There may also be a need for the report to be disseminated to specific groups in relation to the subject of the Outcome Strategy being evaluated.

**A plan for communicating the evaluation report** should be put in place to define who may need to receive the information. EVAL should consult the stakeholder analysis undertaken at the beginning of the HLE for information on who else might receive copies of the evaluation report.

## 6. FOLLOW UP

The Evaluation Office (EVAL) is responsible for managing the evaluation function and ensuring that the evaluation policy is competently implemented. The structure and modalities of operation of the EVAL are designed to protect its functional independence.

EVAL is responsible for monitoring the follow-up to evaluation recommendations that have been accepted by management and will report on their progress to the Governing Body. EVAL will maintain an updated follow-up matrix for each HLE until recommendations have been declared as completed.

The Evaluation Advisory Committee (EAC) is responsible for advising the Director-General on the adequacy of follow-up to evaluation recommendations. The EAC reviews each follow-up step and passes judgment on the adequacy of Management's follow-up report.

#### **Evaluation Advisory Committee**

- ✓ The Evaluation Advisory Committee (EAC) is an internal committee that provides a mechanism to oversee the use, implementation, and follow up to lessons learned and recommendations resulting from ILO evaluation activities
- ✓ The EAC also functions as a forum for internal dialogue on the implementation of the ILO evaluation policy and strategy and, in particular, ensures that evaluations are credible and conducted in an impartial and independent way
- ✓ It may discuss the draft plan for independent evaluations and provide its recommendations to the Director-General or EVAL, as appropriate
- ✓ The EAC verifies that all independent evaluation reports are disclosed according to the ILO Policy on public information disclosure
- ✓ EVAL is responsible for reviewing the follow up on the recommendations with support from EAC
- ✓ EVAL will inform the appropriate ILO department/Country Office of recommendations and lessons learned that they can implement; and monitor progress and report to EAC

ANNEX 1. ILO'S P&B OUTCOMES: SPF 2010-15 AND BIENNIUM 2016-17 AND 2018-19

ILO Strategic Policy Framework for 2010-15

Goal: Decent Work for All
<i>Strategic Objective 1: Create greater opportunities for women and men to secure decent employment and income (Employment)</i>
<p><b>Outcome 1:</b> Employment Promotion: More women and men have access to productive employment, decent work and income opportunities</p> <p><b>Outcome 2:</b> Skills Development: Skills development increases the employability of workers, the competitiveness of enterprises, and the inclusiveness of growth</p> <p><b>Outcome 3:</b> Sustainable Enterprises: Sustainable enterprises create productive and decent jobs</p>
<i>Strategic Objective 2: Enhance the coverage and effectiveness of social protection for all</i>
<p><b>Outcome 4:</b> Social Security: More people have access to better managed and more gender-equitable social security services</p> <p><b>Outcome 5:</b> Working Conditions: Women and men have better and more equitable working conditions</p> <p><b>Outcome 6:</b> Occupational Safety and Health: Workers and enterprises benefit from improved safety and health conditions at work</p> <p><b>Outcome 7:</b> Labour Migration: More migrant workers are protected and more migrant workers have access to productive employment and decent work</p> <p><b>Outcome 8:</b> HIV/AIDS: The world of work responds effectively to the HIV/AIDS epidemic</p>
<i>Strategic Objective 3: Strengthen tripartism and social dialogue</i>
<b>Outcome 9:</b> Employers' organizations: Employers have strong, independent and representative organizations
<b>Outcome 10:</b> Workers' organizations: Workers have strong, independent and representative organizations
<b>Outcome 11:</b> Labour Administration and Labour Law: Labour administrations apply up to date labour legislation and provide effective services
<b>Outcome 12:</b> Social Dialogue and Industrial Relations: Tripartism and strengthened labour market governance contribute to effective social dialogue and sound industrial relations
<b>Outcome 13:</b> Decent Work in Economic Sectors: A sector-specific approach to decent work is applied
<i>Strategic Objective 4: Promote and realize standards and fundamental principles and rights at work</i>
<b>Outcome 14:</b> Freedom of Association and Collective Bargaining: The right to freedom of association and collective bargaining is widely known and exercised

<b>Outcome 15:</b> Forced Labour: Forced labour is eliminated
<b>Outcome 16:</b> Child Labour: Child labour is eliminated, with priority being given to the worst forms
<b>Outcome 17:</b> Discrimination at Work: Discrimination in employment and occupation is eliminated
<b>Outcome 18:</b> International Labour Standards: International labour standards are ratified and applied
<i>Policy Coherence (an additional outcome beyond the 4 strategic objectives)</i>
<b>Outcome 19:</b> Mainstreaming Decent Work: Members States place an integrated approach to decent work at the heart of their economic and social policies, supported by key UN and other multilateral agencies.

#### Areas of Critical Importance 2014-15:

- Promoting more and better jobs for inclusive growth
- Jobs and skills for youth
- Creating and extending social protection floors
- Productivity and working conditions in SMEs
- Decent Work in rural economy
- Formalization of the informal economy
- Strengthening workplace compliance through labour inspection
- Protection of workers from unacceptable forms of work

Table 1 Programme and Budget Outcome for Biennium 2016-17 and 2018-19

P&B Outcomes for biennium 2016-17	P&B Outcomes for biennium 2018-19
Outcome 1: More and better jobs for inclusive growth and improved youth employment prospects	Outcome 1: More and better jobs for inclusive growth and improved youth employment prospects
Outcome 2: Ratification and application of international labour standards	Outcome 2: Ratification and application of international labour standards
Outcome 3: Creating and extending social protection floors	Outcome 3: Creating and extending social protection floors
Outcome 4: Promoting sustainable enterprises	Outcome 4: Promoting sustainable enterprises
Outcome 5: Decent work in the rural economy	Outcome 5: Decent work in the rural economy
Outcome 6: Formalization of the informal economy	Outcome 6: Formalization of the informal economy

Outcome 7: Promoting workplace compliance through labour inspection	Outcome 7: Promoting workplace compliance, including in the global supply chains
Outcome 8: Protecting workers from unacceptable forms of work	Outcome 8: Protecting workers from unacceptable forms of work
Outcome 9: Promoting fair and effective labour migration policies	Outcome 9: Promoting fair and effective international labour migration and mobility
Outcome 10: Strong and representative employers' and workers' organizations	Outcome 10: Strong and representative employers' and workers' organizations
Cross Cutting Policy Drivers	
International Labour Standards; Social Dialogue ; and Gender equality and non-discrimination	International Labour Standards; Social Dialogue ; Gender equality and non-discrimination ; and Just transition to environment sustainability

**Table 2 Programme and Budget Outcome for Biennium 2020-21**

<b>P&amp;B Outcomes for biennium 2020-21</b>
<p>Outcome 1: Strong tripartite constituents and influential and inclusive social dialogue</p> <p>Output 1.1. Increased institutional capacity of employer and business membership organizations</p> <p>Output 1.2. Increased institutional capacity of workers' organizations</p> <p>Output 1.3. Increased institutional capacity of labour administrations</p> <p>Output 1.4. Strengthened social dialogue and labour relations laws, processes and institutions</p>
<p>Outcome 2: International labour standards and authoritative and effective supervision</p> <p>Output 2.1. Increased capacity of the member States to ratify international labour standards</p> <p>Output 2.2. Increased capacity of the member States to apply international labour standards</p> <p>Output 2.3. Increased capacity of the ILO constituents to engage in a forward-looking international labour standards policy</p>
<p>Outcome 3: Economic, social and environmental transitions for full, productive and freely chosen employment and decent work for all</p> <p>Output 3.1. Increased capacity of member States to formulate and implement a new generation of gender-responsive national employment policies, including for youth</p> <p>Output 3.2. Increased capacity of member States to formulate and implement policies and strategies for creating decent work in the rural economy</p>

Output 3.3. Increased capacity of member States to formulate and implement policies for a just transition towards environmentally sustainable economies and societies

Output 3.4. Increased capacity of the ILO constituents to promote peaceful, stable and resilient societies through decent work

Output 3.5. Increased capacity of member States to formulate and implement labour market programmes and employment services for transitions to decent work over the life course, with particular focus on young and older workers

Outcome 4: Sustainable enterprises as generators of employment and promoters of innovation and decent work

Output 4.1. Increased capacity of member States to create an enabling environment for entrepreneurship and sustainable enterprises

Output 4.2. Strengthened capacity of enterprises to adopt new business models, technology and techniques to enhance productivity and sustainability

Output 4.3. Increased capacity of member States to develop policies, legislation and other measures that are specifically aimed at facilitating the transition of enterprises to formality

Output 4.4. Increased capacity of member States and enterprises to develop policies and measures that promote the alignment of business practices with decent work and a human-centred approach to the future of work

Outcome 5: Skills and lifelong learning to facilitate access to and transitions in the labour market

Output 5.1. Increased capacity of the ILO constituents to identify current skills mismatches and anticipate future skill needs

Output 5.2. Increased capacity of member States to strengthen skills and lifelong learning policies, governance models and financing systems

Output 5.3. Increased capacity of the ILO constituents to design and deliver innovative, flexible and inclusive learning options, encompassing work-based learning and quality apprenticeships

Outcome 6: Gender equality and equal opportunities and treatment for all in the world of work

Output 6.1. Increased capacity of the ILO constituents to promote investments in the care economy and a more balanced sharing of family responsibilities

Output 6.2. Increased capacity of the ILO constituents to strengthen policies and strategies to promote and ensure equal opportunities, participation and treatment between women and men, including equal remuneration for work of equal value

Output 6.3. Increased capacity of member States to develop gender-responsive legislation, policies and measures for a world of work free from violence and harassment

Output 6.4. Increased capacity of the ILO constituents to strengthen legislation, policies and measures to ensure equal opportunities and treatment in the world of work for persons with disabilities and other persons in vulnerable situations

Outcome 7: Adequate and effective protection at work for all

Output 7.1. Increased capacity of the member States to ensure respect for, promote and realize fundamental principles and rights at work

Output 7.2. Increased capacity of member States to ensure safe and healthy working conditions

Output 7.3. Increased capacity of member States to set adequate wages and promote decent working time

Output 7.4. Increased capacity of constituents to provide adequate labour protection to workers in diverse forms of work arrangements, including on digital labour platforms, and in informal employment

Output 7.5. Increased capacity of constituents to develop fair and effective labour migration frameworks, institutions and services to protect migrant workers

Outcome 8: Comprehensive and sustainable social protection for all

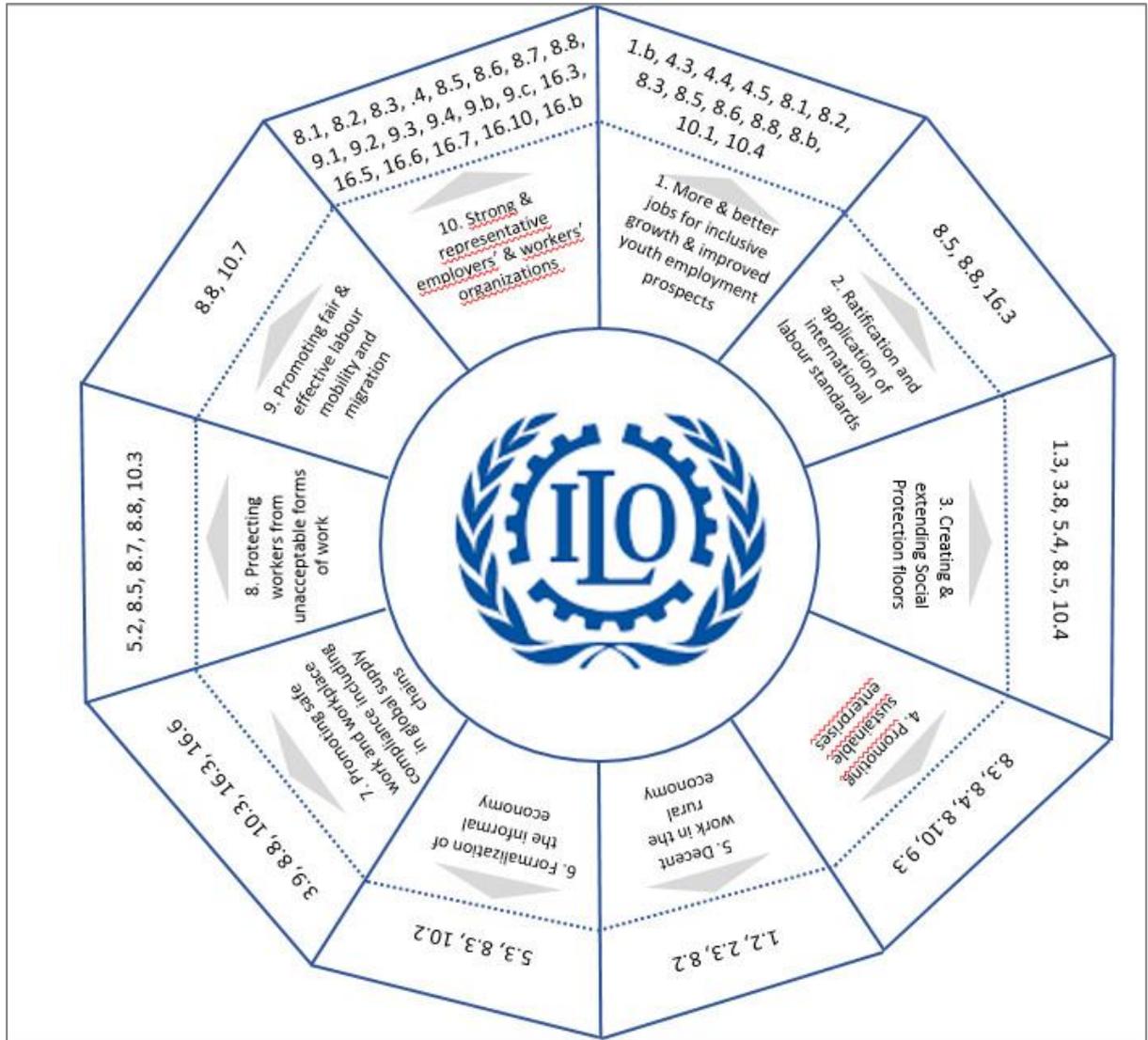
Output 8.1. Increased capacity of member States to develop new or reformed sustainable national social protection strategies, policies or legal frameworks to extend coverage and enhance benefit adequacy

Output 8.2. Increased capacity of the member States to improve the governance and sustainability of social protection systems

Output 8.3. Increased capacity of the member States to integrate social protection in comprehensive policy responses to support and protect workers and employers during their life and work transitions

ANNEX 2. MAPPING OF ILO POLICY OUTCOMES WITH SDG TARGETS AND INDICATORS

*How ILO Policy Outcomes contribute & link to the SDG targets*



**How ILO Policy Outcomes link to the SDG Global Indicator Framework where ILO is custodian or involved agency**

