Quality Assurance beyond the checklist

EVALUATION PRACTICE EXCHANGE (EPE)

FAO HQ Rome, 8-9 May 2018
1.1 **Quality Beyond the Checklist: How Can We Ensure the Reports Are Evidence Based?**

- Evaluation Criteria
- Quality
- Innovation
- Gender Equality Environment
- Budget & Quality Are Not Strongly Correlated
- High Correlated with Quality in Reports
- Methodologies Related with International Standards
- Time Frame
- Quality of Data

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**Quality and Sequence of Evaluation Questions**

Quality of the Questions → Very Important as Much as the Order

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Confusing!
- Sampling = ? Approach?
- Decision Making = Process?
- Credibility?
- Not Enough Info...

Missing Checkpoint!
- Lack of Information
- Gender
- Decision Making
- Validated Data?

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Challenging!
- Many Circumstances Are Involved and Not Explained
- Weather

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The Methodology Is Reliant on Comparison with the Previous Numbers of Beneficiaries

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Followed cycles vary by organization:
- 1 year → UNIDO
- 2 weeks → others
- To 7 years

High MGR turnover

Intranet software for tracking

Trends analysis every 2 years

Actionable recommendations vs. lessons learned

Project closing recommendations organization protect MGR

Director

Improve quality of recommendation

System process depends on type of evaluation & amount

Following up

1.2

On recommendations: What are the successful practices?

UNIDO

WIPO

UNICEF

IAEA's OIOS

Team Mate

UNO DC

Timelessness
Each recommendation has only 1 owner responsible for implementation

No partially implement

If recommendation is rejected go to the board

UNODC

MGR response dialogue accountability

Challenges & Practical solutions creates link to

EVAL team works with manager

Side events highlights

EVAL eg gender

Will not only used but useful

Not only in organization at the national level

Help desk for good practices → files

Clarify role responsibility

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AS EVALUATION MANAGERS, WE ALL FACE SIMILAR CHALLENGES; LET'S SHARE THEM AND LEARN FROM THEM

1. THE REPORT HAS TO BE DELIVERED AHEAD OF SCHEDULE, AND YOUR TEAM SAY THAT THERE IS NOT ENOUGH TIME?
   - PREPARE A PRELIMINARY LAUNCH OF PRESENTATION AND COMPLETE AFTER

2. THE HEAD OF THE EVALUATED PROGRAMME TELL A MEMBER OF YOUR TEAM THAT SHE HAS NOT AN APPROPRIATE PROFILE?
   - BRING THE CASE TO THE EVALUATION REFERENCE GROUP, WHICH WILL BUSINESS TASKS OF THE CANDIDATE, AND RECOMMEND THE BEST CANDIDATE BASED ON CONSIDERATION

3. THE EVALUATION TEAM DO NOT ACT APPROPRIATELY DURING DATA COLLECTION INTERVIEW?
   - CONSULT TEAM, UNDERSTAND ISSUE WITHOUT WORSEN THE SITUATION, ADVISE DIPLOMATICALLY TO AVOID THE CONTINUATION OF THE PROBLEM

4. MIDDLE OF DATA COLLECTION... TEAM MEMBER DROP OUT, WHAT IS YOUR RESPONSE TO THE TEAM?
   - CONSULT & ATTEMPT TO UNDERSTAND THE REASON TO DROP OUT
   - CONSULT THE TEAM LEADER WHO IS TURN SHOULD CONSULT TEAM AND PREPARE OPTIONS

5. ALL TEAM MEMBERS ARE FIGHTING WITH EACH OTHER... THEY INFORM YOU THEY WILL NOT COLLABORATE FOR ANALYSIS & REPORT WRITING, WHAT IS YOUR BEST RESPONSE?
   - DISCUSS WITH MEMBERS UNDERSTAND SITUATION, USE CONFLICT RESOLUTION TO PROMOTE COLLABORATION, ALSO PREPARE FOR WORST SCENARIO

6. DATA COLLECTION... TEAM LEADER, “SYSTEMATIC DISCRIMINATION IN THE PROJECT AGAINST ETHNIC MINORITIES” WHAT IS YOUR BEST RESPONSE?
   - WHAT IS THE PROOF? BEK EVIDENCE EXAMINE FURTHER, PUT DETAILED FINDING IN DRAFT REPORT, CONSULTING MORE DETAIL WITH SENIOR STAKES, CHECK ORGANIZATION POLICY AND SHARE

7. PRELIMINARY REPORT... CRITICAL FINDINGS... MEMBER OF SENIOR STAKES, EVALUATION REFERENCE GROUP ACCUSING YOU... WHAT IS YOUR BEST RESPONSE?
   - DREAM TEAM --- EVALUATORS --- BOSSES --- TRANSFORMERS

8. DOCUMENT SHARING... A SPECIFIC STAFF DONT COLLABORATE... WHAT IS YOUR BEST RESPONSE?
   - EXPLAIN WHY IS IMPORTANT TO SHARE INFORMATION WITH EVAL'S EXPLAIN THE PURPOSE OF EVALUATION, SUM, STAFF WHAT THEY OBLIGATE, EXPLAIN THEY HAVE OBLIGATION TO SHARE INFO TO MANAGERS, TO AVOID ISSUES, SHARE COMMUNICATION THAT EVAL'S TEAM IS COMING AHEAD

WINNERS!

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1.4 HOW CAN WE ENSURE A GENDER-FOCUSED EVALUATION?

- Highly technical area of work where integrating gender considerations is challenging.
- Lack of integration and analysis of gender into programme design & its implication in gender-focused evaluation.
- Challenges related to gender-responsive methodologies.
- Moving beyond sex-disaggregation of data to evaluation of changes in gender dynamics, roles & relations.

How integrate gender perspective?

- Support to participation engagement of professional.
- Search for stakeholders think outside the box.
- Gender blind project ≠ gender blind eval.
- Understanding the context to best evaluate gender.
- Organizational institutional programmatic contest culture.
- Include stakeholders in context.
- More resources.
- Include gender evaluation criteria.
- Use big data from social network.

Challenges from design.

Gender transformative.

Change at corporate level evaluate.

From where we started...

...but progress is not fast in institution.

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PROCURING UN EVALUATORS EXTERNALLY: LEARNING FROM CURRENT PRACTICES AND SUGGESTIONS FOR IMPROVEMENT

**LTA**
- Painless
- Structured
- Agile Contracting

**ISP**
- Innovative
- Independent
- Tailored

**CHOICES**
- Lead Time
- Effort
- Plan Ahead

**ISP/ISA**
- Fast
- Same People
- Negotiating Power of Consultant

**EOI RFP**
- Fair
- Transparent
- Management Easy
- Quality
- Labour Intense
- For All Parties
- Price

**DESIGNING THE PROCUREMENT MODALITY**
- Methodology
- Participatory
- No Clear Criteria
- Accountability

**TYPE OF EVAL**
- ADV: Providing All Clear Information
- Clarity of Commissioner
- Criteria for Assessing Proposal Are Lack

**SELECTING THE FIRMS/EVALUATOR**
- Choosing Initial Procurement Modality
- Assessment Criteria
- For Evaluator - Who
- Matrix: Quality of the Proposal
- Common to the Whole Organization
- Limited Scope

**MANAGING THE EV FROM BEGINNING TO END**
- One of the Problems is the Uncertainty around the Timing of the Eval
- (E.g., if Programs are Extended)

UNGC EPROME 2018

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2.1 How Can We Demonstrate the Impact of Our Evaluations?

- Need indicators, conceptual process, and demand
- Feedback survey to the clients
- From external stakeholder, DPA, peer reviews, UN/DP, OIS, UNICEF, influential evaluations report
- How do you measure use of evaluation evidence in your organization?

UNICEF, EPE rome, May 2016

WHO - Advocating for Use of Evidence
In a "Post-Truth" era, how can we evaluators ensure we adapt and remain heard?

**Objective Facts vs. Emotions Beliefs Alternative Facts**

**Post-Truth Implications for Evaluation Design**
- Account for sensitivities to avoid final rejection
- Build in communication strategy to avoid misuse/misunderstanding
- Adapt evaluation approach to evaluator needs
- Be over-participatory
- Team experts have good contextual understanding
- Integrate social media data

**Post-Truth Implications for Evaluation Analysis and Implementation**
- Credibility and transparency
- Provide truth
- Joint evaluation with govt. and stakeholder
- Credibility of evaluation thorough engagement
- Verifying sources timely
- Advocacy inter-sector SDG

**Post-Truth Implications for Evaluation Communication**
- Higher use of survey
- Acknowledge the limitation of evaluation
- The evaluation cycle is an opportunity to build evaluative thinking capacity and promote evidence-based decision making

"Truth is a big word."
2.3 Cost of Evaluation: How to Rationalize the Use of Resources for Evaluation?

#1 Role Play
- Data Collection
  - Why spending money in workshop? What are the results?
  - Why not using local consultant?
  - Independence First
    - Stakeholder local may collaborate but not evaluate
    - Stakeholder local may not be enough expert on strategy

#2 Role Play
- Evaluation Manager
  - Costs too much... 1% of the fund is NOT too much
  - Audit office alone: WE INVEST
    - Audit is accounting, not an expert on policies
  - Audit is better providing reports and taking action efficiently...
    - Audit is confidential, internal, and reports are confidential

EVALUATION

Efficiency of Impact

BIG PICTURE

UNEG EPE
ROME, MAY 2018
EVALUATION and Hindsight: Assessing Past Interventions Against Yesterday’s Standards or Today's Wisdom and Criteria?

Parameters Change and Targets Move

3 Dimensions

3 Questions

What approaches to approach?

How assess capacities of Org?

What effort challenge you will find?

How > 3 + 1 to ensure fairness in your evaluation?

✓ How big is the change?
✓ When does the change happen?
✓ Was the change predictable?

✓ Importance of Analysis
✓ Responsiveness as a criteria
✓ Capacity to assess needs

✓ Political Sensitivity
✓ Who are the targets?
✓ Evaluability Assessment

Uncertainty Documents

Understand that it's hard to do well.
WHAT DOES INDEPENDENCE MEAN TODAY?

Politics of Independence in Evaluation

EVALUATION MUST BE USEFUL
- Utility of evaluation
- To improve the performances
- For learning

Independence is overrated because it is out of our structure.

Credibility is beyond of the people who made it and independence came after relevance and credibility.

It's up to the person make the evidence of independence.

Independence is the base to build all the other functions of evaluation.

It lets us deal with the politics of evaluation.

It's important from an operational point of view.

It gives evaluation credibility and ethical guidelines.

Community → Responsibility

Need to go much more deep

Independence from what?
(Agenda setting)

Independence controls the process, it does not mean isolation.

Independence means power and freedom to tell unpleasant things to Org.

Learn from other sectors
Good methods and practice and go further.

It's a matter of integrity

UNEG EPB
Rome, May 2018
2.6 FULL DISCLOSURE?
WHAT EVALUATORS DON'T WRITE ABOUT

#1 scenario
FIDUCIAL ASPECTS
- Approach: Transparency and do not harm
- Identification of fiducial issues
- High operation costs
- High attrition role among project staff
- Alternatives:
  - Speak with project staff
  - Allude to the issue during interviews
- What not to do
  - Completely ignore the issue
  - Included in the report without evidence
  - To be perceived as hard

#2
LEADERSHIP ASPECTS
- Bad management
  - Concrete implication
- Senior management
  - Too easy?
  - Non-action
  - Intentional
- Evaluation is not a personal performance/not personalize
- Suspicious elements

#3 scenario
POLITICAL ISSUES
- Basis: Evidence → neutral
- Principles: Do no harm to protect credibility
- Don't ignore the elephant in the room
- Focus on role of org
- No judgment on context
- Evaluation is a negotiation process
- Do not set the line too low
3.1 No baseline: how to measure impact?

Complex environment
Challenging situations
Creative solutions!
Difficult to generalize

What is the difference after the programme?

Alternative approaches

Qualitative vs Quantitative research

Uneq EPE
Rome - May 2018
3.2 Making the best use of Theories of change in evaluation

**INTRODUCTION**

**USE OF TOC in UNFPA**

**KEY CHALLENGES**

UNFPA

Alessandro Chemello

**NEXT GENERATION PROJECT TOC**

IDENTIFY PRECONDITIONS

UNPREPARED INTERVENTION UNDER THE LOGIC OF

UNGO

Thay Thiel

**USE OF TOC in IPAB**

UNPREPARED PRECONDITIONS UNDER THE LOGIC OF

TOE/TOF

Michael Cukier

**FINAL TOC**

- DIFFERS FROM ORIGINAL
- DESIGNERS VS IMPLEMENTERS

DOES THE PROJECT RESPOND TO A "CORRECT" ANALYSIS?

**TOC TOOLS**

**#1**

- RESULTS
- CASE AND EFFECT
- THE RELATIONSHIP (NOT NOMENCLATURE)

ATTRIBUTION CEILING "CAUSAL HIERARCHY"

**OUTCOME VS OUTPUT ACCOUNTABILITY**

RECONSTRUCT TOC, BUT KEEP ORIGINAL AS NOT TO MOVE GOAL, NET

**VALUE ADDED**

**#2**

- IT HELPS TO REPLICATE INTERVENTIONS
- IT PROVIDES CLARITY ON ONE PROJECTS
- EXCELLENT COMMUNICATION TOOL

**ESTABLISH LINK BETWEEN WHAT WE WANT AND WHAT WE DID**

**TOC TOOLS**

**#3**

- IT STIMULATES STAKEHOLDERS
- IT HAS TO BE DONE WITH CONSCIENCE
- IT DEPENDS ON WHO YOU ARE TALKING TO

**ENGAGE STAKEHOLDERS**

UNEG EPE

Rome - May 2018
3.3 Country Programme evaluation: methodological challenges

Carlos Tarazona (FAO)
CASE OF KYRGYZSTAN
- Lack of baseline
- Undertaking a contribution assessment
- Register to Tc

Fuwika Osuch (UNDP)
BACKGROUND OF CPEs & SHIFT FROM ADR TO CPEs
- Revising process
- Increased coverage
- Limited resources
- Maintaining quality
- Streamlining process
- Preparatory activities
- Introducing new tools
- Strengthening mechanism

Fuwika Aoki and Simona Soni (ILO)
OVERVIEW on COUNTRY STRATEGY & PROGRAMME EVALUATIONS
- Data and information
- Coverage and timeframe
- Tc country level
- Stakeholders engagement

Patricia Vital (ILO)
DECENT WORK COUNTRY PROGRAMME SUB-REGIONAL CLUSTER EVALUATION
- Theory-based approach
- Country level, data
- High staff turnover
- Stoping exercise
- Inception interviews
- Reconstructing result framework
- Rapid assessment etc

Ramona Delise and Diego Fernandez (WFP)
WFP CPEs in HUMANITARIAN CONTEXTS
- Tc
- Capacity in mixed methods
- Data
- Outcomes, data availability
- Intervening for former staff
- Indemnities and memory
- New methods
- Collaboration from either
- State and non-state actors

GROUPS
- Balancing equal quantity
- Use of Tc
- Engaging stakeholder
- Availability of data
- Crisis agency collaboration in CPEs
- Avoid fatigue
- Managing quality at scale

UNECE EPE
Rome - May '18
Emerging principles and lessons learned for the development of organisational evaluation

**Policies to Foster Credibility?**

- David Riddell
  - Transparency
  - Respect and Budget
  - {Un)ethical norms and framework
  - Trust and collaboration
  - Communication

- Nafira Ignath
  - Quality and Utility
  - Credibility
  - Who can be accountable for this?
  - {Un)ethical norms and framework
  - Trust and collaboration
  - Communication

**Helping Foster Use of Evaluation**

- Credibility
- Quality
- Relevance
- Participation
- Management response

**Independency & Impartiality**

- Are key points for:
  - Choices from analysis
  - Relevance in recommendations
  - Engagement with stakeholders and the board

**Importance of the "Momentum"**

- Some time and strategies needed

**Different Source of Challenge & Violation**

- Committee for balancing

**Evaluation Policies Help Credibility of Evaluation Functions**

- IMPACT
- {Un)ethical norms and framework
- Trust and collaboration
- Communication

**Best Policies**

- General directions
- Tools for discussion and communication
- Monitoring and implementation
- Budget at early stage