

GUIDELINES FOR INCEPTION REPORTS

*Please consult the IES Handbook:
<https://www.unodc.org/unodc/en/evaluation/evaluation-handbook.html>
or contact IES directly for more guidance.*

An Inception Report summarizes the review of documentation (“desk review”) undertaken by the evaluation team mandated by UNODC and specifies the evaluation methodology determining thereby the exact focus and scope of the exercise, including the evaluation questions, the sampling strategy, a critical analysis of the quality of provided documents and the data collection instruments. Consequently, the evaluator is expected to deliver an Inception Report as one of the key deliverables, which is shared with the Independent Evaluation Section (IES) for comments and clearance.

The following guidelines serve the evaluation team in preparing the *Inception Report*, which is not to exceed six pages (without annexes). The *Inception Report needs to be shared with IES at least 10-14 working days before starting the evaluation field mission*. The Inception Report needs to comply with UNODC¹ and United Nations Evaluation Group (UNEG) Evaluation Norms and Standards². Furthermore, Human Rights and Gender Equality are central to the UN’s mandate and all of its work, therefore these elements need to be included in all evaluations from the beginning.³

CONTENTS

	<i>Page</i>
I. Introduction.....	00
II. Primary Findings of the Desk Review.....	00
III. Evaluation Questions.....	00
IV. Data Collection Instruments.....	00
V. Sampling Strategy.....	00
VI. Limitations to the Evaluation	00
VII. Evaluation matrix.....	00
<i>Annexes</i>	
I. Table of documents reviewed	00
II. Draft Data collection instruments (questionnaires; interview questions; etc.) ..	00
III. Updated list of stakeholders and identified informants.....	00
IV. Workplan	00
V. Checklist for Inception Reports	00



I. INTRODUCTION

- Describe in a few sentences the project/programme being evaluated, drawing from relevant document (desk review)
- State the purpose, scope and use of the evaluation, including:
 - the background of the project/programme;
 - reason for the evaluation;
- Elaborate on how you plan to include pictures, videos, graphs, maps, etc.

This should be a very short section (not exceeding 1 page)

II. PRELIMINARY FINDINGS AND HYPOTHESES OF THE DESK REVIEW

- Elaborate on the intervention logic of the project/programme, also identifying potential bottlenecks.
- Critically review the quality of data generated and used by project managers, e.g. baselines, logframe, monitoring data, feedback mechanisms (e.g. pre and/or post tests of trainings and workshops), etc..
- Elaborate on the preliminary hypotheses of desk review and other preparatory work carried out to this point.
- Please include the respective methodology and tools for each of the evaluation criteria to be used to triangulate the data found in the desk review.
- Where already possible, present the (preliminary) hypotheses in context to the evaluation questions and identify gaps in the documentation received. Please further mention any open questions and assumptions to be further supported in the evaluation process and how to proceed.
- Focus also on any relevant findings in fields not or only indirectly addressed by the ToR.
- Please present the findings according to each of the evaluation criteria in line with the ToR. –Please fully consider the role of UNODC in context of other players in the country/region, in particular other UN agencies.
- Maximum: 1-2 paragraphs per criteria.



III. EVALUATION QUESTIONS

The ToR already provide a set of Evaluation Questions. They are not to be regarded as exhaustive and are meant to guide the evaluation team in finding an appropriate evaluation methodology. Consequently, proposed Evaluation Questions need to be further elaborated on in the present section. Therefore the following is needed for this chapter:

- Include the complete set of refined evaluation questions and elaborate on them, as necessary;
- Ensure that Human Rights, Gender Equality, and Leaving No One Behind aspects are well incorporated in the evaluation questions
- Justify added or deleted evaluation questions;

List of evaluation questions

Evaluation criteria	Evaluation Question ¹	In case the question was changed, added, etc. please justify
E.g. Relevance	E.g. 1. To what extent is the project aligned with the national strategy on terrorism prevention?	No change
	E.g. 2. To what extent is the project relevant to the recipients' needs?	New question added – the questions in the ToR did not sufficiently address the needs of the recipients.

Evaluation questions deleted

Evaluation criteria	Evaluation Question	Reason for deletion of the question

¹ Please state all evaluation questions.



IV. DATA COLLECTION INSTRUMENTS

- Fully present all data collection instruments you plan to implement (e.g. questionnaires, surveys, interviews, direct observation).
- In your elaboration relate instruments to the evaluation questions they address.
- Further explain how you plan to triangulate the data in order to improve the quality of data collection and analysis.
- Present the key data sources for this evaluation (including UNODC project/programme staff; recipients; Member States; partner organisations/CSOs; project/programme documents; project/programme records; annual progress reports; etc.).

Data collection instruments

Triangulation of data

Key data sources for this evaluation

IV. SAMPLING STRATEGY

Elaborate on the sampling techniques that will be applied for the different data collection instruments (for example Random Sampling/Stratified Random Sampling or Broad-Based Sampling).

When target population and sample sizes are known, critically discuss whether the chosen sample size is statistically relevant and what sampling errors might occur.

In case purposeful sampling is used, explain the rationale for the selection of key informants among all potential key informants.

In case convenience sampling is used, explain the rationale for the selection of key informants as well as the limitations encountered to access other potential key informants.

VI. LIMITATIONS TO THE EVALUATION

INSTRUCTIONS

Present and give reasons for limitations to the evaluation based on the applied methodology and the information obtained and analysed so far.

Make propositions how these limitations could be mitigated (e.g. through more resources, more time in the field, evaluation team composition).

VII. EVALUATION MATRIX

Summarize the evaluation methodology in an evaluation planning matrix. This needs to contain the evaluation criteria; all evaluation questions; indicators/sub-questions to respond to the questions; collection methods and data source. Please find below the corresponding table:

Evaluation criteria	Evaluation Question ²	Indicators/sub questions to respond to each question ³	Collection method(s) and sources ⁴
E.g. Relevance	E.g. 1. To what extent is the project aligned with the national strategy on terrorism prevention?	<p>How will the evaluation team know the response to the evaluation question?</p> <p>E.g. How does the project align with the national strategy on terrorism prevention?</p>	<p>How will the data for responding to this question be collected?</p> <p>e.g. Desk review of project documentation, Government strategy on terrorism prevention;</p> <p>Face-to-Face and Skype interviews with UNODC staff, recipients (in particular of the ministry of interior);</p> <p>Responses of senior officials to the online survey; Focus group with XXX;</p> <p>Observation of Steering Committee Meeting.</p>

² Please state all evaluation questions.

³ Please state the sub-questions and indicators that will guide your data collection to respond to the evaluation question.

⁴ Please state the data collection methods that will be used to answer the respective evaluation question and the respective data sources.



ANNEX I. TABLE OF DOCUMENTS REVIEWED

Please provide a table with the following information (please find the respective table below):

Include all documents that that you reviewed until now;

Identify additional documents to be provided by project management.

Documents reviewed

Document – name	Reviewed (y/n)	Comments
UNODC documents		
External documents		

Additional documents needed

Document – type/name	Needed by (date)	Already requested (y/n)	Comments

ANNEX II. DATA COLLECTION INSTRUMENTS (QUESTIONNAIRES; INTERVIEW QUESTIONS; ETC.)

Please provide all draft data collection instruments like interview guides, (including for focus groups, etc.), (online) questionnaires, etc., reflecting all the evaluation criteria and the respective refined evaluation questions.

PLEASE NOTE: For semi-structured interview guides, the refined questions from the ToR need to be tailored to all the different stakeholder groups, as well as set into the format of actual interview guides, including the introduction message to be used. In case of an online survey, the target group(s) need to be identified and the refined questions tailored to the different groups. For a survey, the questions further need to be elaborated using the specific technique required of a survey tool, including the introduction message to be used.

PLEASE NOTE: The methods applied will be gender-sensitive, ensuring inclusive, respectful and participatory approaches, methods and tools that capture gender equality issues. A gender-sensitive approach further includes voices and opinions of both men, women and other marginalised groups as well as ensures gender related and disaggregated data (e.g. age, sex, countries etc.) to be compiled and analysed.

Interview guides

Online questionnaire



ANNEX III. UPDATED LIST OF STAKEHOLDERS AND IDENTIFIED INFORMANTS

Please provide a table with the following information (please find the respective table below – this information needs to be shared by the Project/Programme Manager at the beginning of the evaluation). Please ensure that you reach as many relevant stakeholders as possible – please add further stakeholders as deemed necessary by the evaluation team.

Please note that stakeholders should represent a balance of men, women and other marginalised groups.

Please also make a distinction for the CLPs (Core Learning Partners).

Type ⁵	Organisation ⁶	Name	Designation ⁷	Location	Email	Type of engagement ⁸	Comments

⁵ Please include the information, if this person is e.g. an implementing partner, donor, recipient, UNODC HQ, UNODC field, UN agency, etc.

⁶ Please include the name of the organisation the person is working for.

⁷ Please include the designation/job title of the person.

⁸ For example through interview, focus group, survey, etc.

ANNEX IV. WORKPLAN

Please add the key milestones of the evaluation process, with a particular focus on data collection. The below should include timeframe, deliverables, associated activities, roles and responsibilities and the dates and locations for field missions.

Timeframe	Key deliverables and associated activities	Roles and responsibility (evaluation team)
e.g. XX October – XX November	Conduct interviews, focus group interviews and observation in field mission to XXX	Participants in this mission: Team Leader XXX; Team member XXX.

ANNEX V. CHECKLIST FOR INCEPTION REPORTS

Please see below the checklist that will be used by IES to review the Inception Report. Please review it very thoroughly and ensure that all aspects are incorporated in the Inception Report you submit to IES.

Chapter	Checklist
Overall	<input type="checkbox"/> Inception Report is shared with IES at least 10-14 working days before starting the field mission to allow clearance before the field mission commences. <input type="checkbox"/> The Inception Report complies with UNODC ⁹ and United Nations Evaluation Group (UNEG) Evaluation Norms and Standards ¹⁰ . <input type="checkbox"/> Human Rights and Gender Equality are included in this evaluations from the beginning. ¹¹
I. Introduction	<input type="checkbox"/> Describe the project/programme being evaluated, drawing from relevant document <input type="checkbox"/> State the purpose, scope and use of the evaluation, (including the background of the project/programme; reason for the evaluation; how and by whom the evaluation will be used) <input type="checkbox"/> Elaborate on how you plan to include pictures, videos, graphs, maps, etc.
II. Preliminary	<input type="checkbox"/> Elaborate on the results of the desk study and other preparatory

⁹Please find all UNODC Inception Report template and guidelines on IES website:

http://www.unodc.org/unodc/en/evaluation/normative-tools.html#Inception_Report

¹⁰ Please see the UNEG Quality Checklist for Evaluation ToR and Inception Report:

<http://www.uneval.org/document/detail/608>

¹¹ Please see the UNODC guidance on Integrating Human Rights and Gender Equality in Evaluations here:

http://www.unodc.org/unodc/en/evaluation/normative-tools.html#HR_Gender and UNEG Handbook for Integrating Human Rights and Gender Perspectives in Evaluations here:

<http://www.uneval.org/document/detail/1616>

Findings of the Desk Review	<p>work carried out</p> <ul style="list-style-type: none"> <input type="checkbox"/> Where already possible, present the (preliminary) hypotheses in context to the evaluation questions and identify gaps in the documentation received. <input type="checkbox"/> Focus also on any relevant findings in fields not or only indirectly addressed by the ToR. <input type="checkbox"/> Elaborate on the intervention logic of the project/programme, also identifying potential bottlenecks. <input type="checkbox"/> Critically review the quality of data generated and used by project managers, e.g. baselines, logframe, monitoring data, feedback mechanisms, etc.
III. Evaluation Questions	<ul style="list-style-type: none"> <input type="checkbox"/> Include complete set of evaluation questions and elaborate on them, as necessary; <input type="checkbox"/> Ensure that Human Rights and Gender aspects are fully incorporated in the evaluation questions; <input type="checkbox"/> Justify added or deleted evaluation questions;
IV. Data Collection Instruments	<ul style="list-style-type: none"> <input type="checkbox"/> Introduce all data collection instruments you plan to implement (e.g. questionnaires, surveys) <input type="checkbox"/> In your elaboration relate instruments to the evaluation questions they address. <input type="checkbox"/> Explain how you plan to triangulate the data. <input type="checkbox"/> Present the key data sources for this evaluation (including UNODC project/programme staff; recipients; Member States; partner organisations/CSOs; project/programme documents; project/programme records; annual progress reports; etc.).
V. Sampling Strategy	<ul style="list-style-type: none"> <input type="checkbox"/> Elaborate on the sampling techniques that will be applied for the different data collection instruments (e.g. Random Sampling/Stratified Random Sampling or Broad-Based Sampling). <input type="checkbox"/> Critically discuss the chosen sample size and what sampling errors might occur.
VI. Limitations to the Evaluation	<ul style="list-style-type: none"> <input type="checkbox"/> Present and give reasons for limitations to the evaluation based on the applied methodology and the information obtained and analysed so far. <input type="checkbox"/> Make propositions how these limitations could be overcome (e.g. through more resources, more time in the field, evaluation team composition).
VII. Evaluation matrix	<p>Summarize the evaluation methodology in an evaluation planning matrix. This needs to contain all evaluation criteria and questions; indicators/sub-questions to respond to each evaluation question; collection method(s) and sources. Please find the corresponding table in the respective section in this template.</p>
Annexes	
I. Table of documents reviewed	<ul style="list-style-type: none"> <input type="checkbox"/> Table with all documents that that were reviewed and table with additional documents; <input type="checkbox"/> Rating of the utility of the documents reviewed.
II. Draft Data collection instruments	<ul style="list-style-type: none"> <input type="checkbox"/> Draft data collection instruments like interview guides, questionnaires, etc.
III. Updated list of stakeholders and identified informants	<p>Please provide a table with the following information (please find the respective table below):</p> <ul style="list-style-type: none"> <input type="checkbox"/> Table of stakeholders to be interviewed with the following information provided: name of stakeholder; organisation; country; email-address; type of engagement (e.g. through interview; focus

	group; survey; etc.); planned timing for meeting (in case of survey: planned date for sending out the survey)
IV. Workplan	Please add the key milestones of the evaluation process. The information needs to include timeframe, deliverables, associated activities, roles and responsibilities and the dates and locations for field missions.