PLANNING FOR AN EVALUATION

The Project Manager (PM) ensures that sufficient funding is reserved for evaluation (in line with the budgeting matrix) and a concrete evaluation plan is in place and updated. The PM consults with the Independent Evaluation Section (IES) at the design stage of a new project/programme as well as when revising any project/programme and updates the evaluation plan accordingly.

STEPS OF A UNODC INDEPENDENT PROJECT EVALUATION

1. INITIATION PHASE
   - 1-2 weeks
   - Project Manager:
     • Consults with the IES 2 months before the intended evaluation starts (at least 7 months before the planned finalisation of the evaluation).
     • Informs the Head of Office/Unit/Branch and ensures availability of the evaluation budget as reserved at the planning stage.
     • Consults guidelines, templates and tools on the IES website.

   NOTE: evaluations with insufficient budget and/or unrealistic timeframe will not be undertaken.

2. TERMS OF REFERENCE AND IDENTIFICATION OF EVALUATION TEAM
   - 2-4 weeks
   - TERMS OF REFERENCE
     - Project Manager:
       • Identifies key stakeholders and Core Learning Partners (CLPs) and compiles desk review materials.
       • Drafts the Terms of Reference (template is available here).
       • Initiates the evaluation in Unite Evaluations and submits the Draft ToR, for IES review and comments (may entail several rounds).

     IES clears the revised Draft ToR and shares with CLPs for review and comments (1 week), and subsequently provides the anonymous CLP comments to the PM in Unite Evaluations.

     Project Manager revises the ToR and submits them for final review and clearance by IES.

   - IDENTIFICATION OF EVALUATION TEAM (ET)
     - Project Manager provides CVs of potential substantive experts to IES for review via email.
     - IES proposes candidates for lead evaluator/evaluation expert and pre-clears substantive experts proposed by PM.
     - Project Manager reaches out to the pre-cleared evaluation team on their availability and interest.

3. RECRUITMENT
   - 3-4 weeks
   - Project Manager:
     • Submits the evaluator assessment details for IES clearance (CVs of pre-cleared ET members and evaluator assessment sheets).
     • Subsequently, initiates the recruitment process with Human Resources and follows the process as for any other recruitment of national or international consultants.
     • Submits the ET’s contracts and final job description for IES final clearance in Unite Evaluations.

     IES Sends out initial guidance to the ET concerning access to Unite Evaluations and links to mandatory UNODC guidelines and templates.

   NOTE: At least 1 evaluation and 1 substantive expert are required for an independent evaluation at UNODC.

4. DESK REVIEW / INCEPTION REPORT
   - 2-3 weeks
   - Project Manager:
     • Holds a kick-off meeting with the ET – also inviting IES- to discuss the project’s background and next steps in the evaluation process.
     • Provides all relevant desk review materials (as listed in the ToR and beyond as required) to the ET.

     ET conducts an extensive desk review and initial analysis, identifies areas for further inquiry; develops the methodological approach and data collection instruments; prepares a complete Draft Inception Report and submits to IES through Unite Evaluations.

     IES reviews the Draft Inception Report and reverts back to the ET with comments.

     Project Manager:
     • Agrees with the ET on the field mission (if any) and facilitates access to stakeholders to be interviewed or surveyed based on the Inception Report.
     • Supports the ET for arranging interviews ahead of the field mission/data collection-tickets and other logistics need to be arranged and provided to the ET ahead of time.

     ET revises and finalises the Inception Report and submits the final version to IES.

     IES clears the Final Inception Report, before the data collection phase begins.

   NOTE: All Inception Reports must be cleared by IES before data collection can be initiated, as non-clearance by IES may lead to a discontinued evaluation and cancellation of any potential field mission.
**STEPS OF A UNODC INDEPENDENT PROJECT EVALUATION**

**DRAFT REPORT**
ET prepares the Draft Evaluation Report in line with UNEG Norms and standards and UNODC guidelines and templates and submits to IES.

IES reviews the Draft Report to ensure that it is aligned with the requirements as per ToR and Inception Report and submits comments to the ET through Unite Evaluations.

ET makes changes based on IES comments and submits the revised draft report to IES (this may entail various rounds).

IES submits the draft report, once it meets UNEG and UNODC evaluation norms and standards, to the PM for review.

**Project Manager:**
- Reviews the Draft Report for factual errors (1 week).
- Submits comments to the ET in Unite Evaluations.

ET provides a revised Draft Report to IES.

IES:
- Reviews and clears the revised Draft Report, before sharing it with CLPs for comments (1 week).
- Provides the anonymised CLPs’ comments to the ET.

**DATA COLLECTION AND ANALYSIS PHASE**
Project Manager provides logistical support, including travel arrangements, set-up of interviews (virtual or in person), independent interpretation, coordination with respective offices, etc. to the ET.

ET:
- Collects data through interviews, observations, site visits, focus groups etc. as per the Inception Report.
- Analyses and triangulates the collected data in a systematic manner and debriefs the PM on its preliminary observations from the data collection.

**FINAL REPORT, EVALUATION BRIEF AND PRESENTATION**
ET:
- Revises the Final Report in line with comments from CLPs and IES (if any), including full proofreading and editing.
- Drafts a 2-page Evaluation Brief and presentation on evaluation results in line with UNODC guidelines and templates.
- Submits the revised clean Final Report, Draft Evaluation Brief and PowerPoint slides to IES for review (may entail further comments).

IES shares the Final Report, Draft Brief and draft presentation with the PM.

**Project Manager:**
- Completes the Management Response (MR) in the Final Report and submits it to IES in Unite Evaluations.
- Arranges a presentation of the evaluation results with key stakeholders and CLPs.

IES:
- Clears and shares the Final Report for external evaluation quality assurance (EQA).
- Publishes the Final Report, incl. MR and EQA rating, as well as the Evaluation Brief, on IES website.

**Project Manager** shares the Final Evaluation Report and Evaluation Brief with key stakeholders (once cleared by IES).

**Lead Evaluator** presents the final evaluation results to the project team, CLPs and other key stakeholders.

**PREPARATION OF EVALUATION FOLLOW-UP PLAN**
Project Manager prepares the Evaluation Follow-up Plan (EFP) in line with UNODC guidance and templates and shares it via email with IES.

IES reviews and clears the EFP and records it in Unite Evaluations.

**IMPLEMENTATION OF EVALUATION FOLLOW-UP PLAN**
Project Manager:
- Implements the follow-up actions to the recommendations as per the EFP.
- Submits an annual update of the EFP in Unite Evaluations.

IES reports on the implementation of evaluation recommendations to the Executive Director and Member States on an annual basis.

**NOTE:** Reports that do not meet the EQA minimum standards will not be published nor disseminated.