Road map and outline of the revised evaluation policy of UNICEF

UNICEF Executive Board
Informal Briefing
16th January 2018
Rationale for the revised evaluation policy

▪ Changes in the environment in which UNICEF operates
  ▪ The adoption of the 2030 Agenda for Sustainable Development in 2015
  ▪ The adoption of resolution 71/243 (2016 QCPR)

▪ In response to reviews of UNICEF’s evaluation function, *inter alia*:
  ▪ JIU 2014 Analysis of the evaluation function in the UN system
  ▪ MOPAN 2015-16 Institutional Assessment of UNICEF
  ▪ UNEG/OECD-DAC 2017 Peer Review of UNICEF’s Evaluation Function

▪ To reflect updated best practice
  ▪ Revised UNEG Norms and Standards 2016
What do we want a new policy to achieve?

- Reinforce the **use** of evaluations for learning, decision making and accountability in UNICEF and amongst its partners
- Strengthen the application of **UNEG Norms and Standards** to all evaluations throughout UNICEF
- Enhance the **capacity and professionalism** of UNICEF staff who manage evaluations
- Increase mutual support between evaluation and **other learning and accountability functions** (monitoring, audit, data, research)
- Enhance UN **partnerships** and support for **national evaluation capacity** in the context of the SDGs; strengthen the contribution of UNICEF to the independent review of progress towards the SDGs
Principles and purpose of evaluation

▪ Evaluation serves UNICEF’s mission, and supports the organization in the delivery of programmes to fulfil the rights of all children; as well as the broader principles and values of the UN, including commitment to human rights and gender equality, and the attainment of the SDGs.

▪ In UNICEF, evaluation’s purpose is:
  ▪ Learning: evaluations support better decision making and promote learning for continuous improvement in delivery of results for children
  ▪ Accountability: evaluations help improve performance management and accountability for results at all levels; improve accountability for learning from evaluations in the organization
  ▪ Improved national evaluation capacity: supporting countries to assess and enhance progress in achieving the SDGs and fulfilling children’s rights
How will evaluation strengthen a culture of learning and accountability?

- The theory of change for evaluation outlines the expected pathways through which evaluative thinking, behavior and systems will be embedded into UNICEF’s culture of learning and accountability.

- Drivers of change implemented by the Evaluation Office will need to be supported by other parts of the organization with responsibilities for evaluation activities (e.g., Regional and Country Offices).

- To realize the outcome of the theory of change will also require collaboration with other parts of the organization with responsibilities for learning and accountability (e.g., Monitoring, Audit, Research).
Evaluation Theory of Change

**Impact**
UNICEF and its partners deliver on attaining the SDGs and the Strategic Plan targets towards the realisation of the rights of every child especially the most disadvantaged

**Outcome**
Evaluation evidence is used for learning, guiding the effective design and implementation of programmes in UNICEF, and supporting national level decision making for improving child wellbeing

**Outputs**
- Independent, credible and useful (relevant and timely) evaluations at corporate, regional and country levels (humanitarian, development and institutional evaluations)
- Effective knowledge management of evaluation evidence (linked to other evidence from monitoring, audit and research)
- Creating and sustaining demand for evaluation evidence and its use
- Effective oversight of the evaluation system
- Enhanced evaluation capacity at HQ, Regional and Country levels, including national partners

**Drivers/inputs**
- Evaluation policy
- Evaluation planning (corporate, global, regional, country level)
- Evaluation resources (human, financial)
- Guidance and tools on effective evaluation
- Evaluation quality assurance systems and processes
- Systems for monitoring evaluation activities
- Partnerships for evaluation, including for country-led and joint evaluations
- Evaluation capacity development within UNICEF and its partners

**Assumptions and risks**
- Organisational leadership and support
- Sustainable and predictable funding for evaluation activities
- Internal stakeholder demand for evaluation
- External stakeholder demand for evaluation
- Skilled human resources available
- Policies and programmes are evaluable
- UNICEF builds an evidence culture
What organizational architecture will support evaluation within UNICEF?

- Evaluation at UNICEF works at 3 mutually supporting levels:
  - Corporate and strategic governance level
  - Regional and Country level
  - External stakeholder level
- The policy will seek to apply UNEG Norms and Standards at each of these levels and to the entirety of the evaluation system
- Evaluations will support decision making at each of these levels
The Three Levels of the UNICEF Evaluation System

- Corporate and strategic governance level:
  - Independent corporate/globmal evaluations undertaken by Evaluation Office; evaluation of joint global programmes; Evaluation Office oversight of the evaluation system

- Regional and Country level:
  - By Regional Offices, multi-country thematic evaluations, Country Programme Evaluations; technical assistance and quality assurance to Country Offices
  - By Country Offices, evaluations of national policies and programmes in which UNICEF is a partner; support to country-led evaluations; UN joint and system-wide evaluations

- External stakeholder level:
  - Evaluation of UNICEF’s evaluation function
  - Contribute to review of progress towards the SDGs, and provide feedback on the evidence to UNICEF
How will evaluation performance standards be met?

- The UNEG Norms and Standards for Evaluation will form the basis for performance standards for evaluation in UNICEF

- The policy will establish safeguards to ensure the application of UNEG Norms and Standards at all levels

- A key aspect of these safeguards will be a clear framework for quality assurance at all levels of the organisation

- Key Performance Indicators will be updated upon approval of the policy and reported through the Annual Report to the Executive Board
<table>
<thead>
<tr>
<th>UNEG norm /standard</th>
<th>Safeguards for upholding norms and standards</th>
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<tbody>
<tr>
<td><strong>Independence</strong></td>
<td><strong>Impartiality</strong></td>
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<tr>
<td>Director heads an independent and impartial evaluation function in UNICEF</td>
<td>The Head of Office ensures application of the provisions of the Evaluation Policy in the conduct of evaluations at Divisional/Regional/Country level</td>
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<tr>
<td><strong>Ethics</strong></td>
<td><strong>Independence</strong></td>
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<tr>
<td><strong>Impartiality</strong></td>
<td>All evaluation managers and evaluators conform to the UNICEF procedures for ethical standards, UNEG ethical standards, UNEG code of conduct and UNEG Norms and Standards for Evaluation</td>
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<td>All evaluation consultants sign the Code of Conduct for Evaluators in the United Nations system.</td>
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<tr>
<td><strong>Human rights and gender equality</strong></td>
<td><strong>Impartiality</strong></td>
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<tr>
<td>Key stakeholders, including children (when appropriate), marginalized groups, national partners, and governments should be engaged at relevant stages of the evaluation.</td>
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<tr>
<td><strong>Credibility</strong></td>
<td><strong>Impartiality</strong></td>
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<td>The Evaluation Office provides quality assurance for evaluations at HQ and regional office level.</td>
<td>Country Programme Evaluations will be managed by Regional Evaluation Advisors with support from the Evaluation Office.</td>
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<tr>
<td><strong>Impartiality</strong></td>
<td><strong>Credibility</strong></td>
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<td>Evaluations for L3 emergencies will be managed by the Evaluation Office in consultation with the Emergency Management Team</td>
<td>L2 evaluations will be managed by the Regional Office in consultation with the Evaluation Office; L1 evaluations by the Country Office in consultation with the Regional Office.</td>
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<td><strong>Professionalism</strong></td>
<td>Every staff member of UNICEF responsible for managing evaluations will undergo basic training for purposes of upholding the norms and standards of the profession</td>
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**UNEG norm /standard**

**Independence**

**Impartiality**

**Ethics**

**Independence**

**Impartiality**

**Human rights and gender equality**

**Credibility**

**Impartiality**

**Credibility**

**Impartiality**

**Professionalism**

*Safeguards to be considered (to be elaborated in the policy)*
How will the policy ensure adequate coverage of evaluations of UNICEF’s work?

- **Principles:** regular evaluation of performance at country level; areas of potential risk and or opportunity should be prioritized; evaluations should be done when context changes sharply

- **Corporate level:**
  - Evaluations undertaken in support of the Strategic Plan and other policies and plans approved by the Executive Board
  - In support of policies and programmes initiated by the Executive Director
  - Of other global and multi-region initiatives, including joint programmes

- **Regional level:**
  - Evaluations undertaken in support of multi-country initiatives
  - Of country programmes through Country Programme Evaluations
How will the policy ensure adequate coverage of evaluations of UNICEF’s work?

▪ Country level:
  ▪ All country programmes subject to Country Programme Evaluation at least once every 10 years. Sequencing should enable CPEs to inform the next country programme and contribute to the UNDAF

▪ Additional evaluation effort when:
  ▪ Monitoring information identifies significant shift in programming context or increase in level of risk
  ▪ The declaration of an L2 or L3 emergency. Evaluations should provide rapid and timely evidence to support decision making in a fast changing context
How will use of evaluations be enhanced?

- The policy can promote and support key actions to enhance the use of evaluation findings and recommendations, including:
  - Timely evaluations, linked to key decision making moments in programming, policy development and planning
  - Supporting evaluability assessment to improve programme design
  - Promoting high quality evaluations through actions such as use of subject matter experts as evaluators, applying OECD-DAC evaluation criteria
  - Using new and better technology in both the conduct and dissemination of evaluation findings and recommendations
  - Ensuring a robust evaluation management response system, with appropriate monitoring and follow up of management responses
  - Regular feedback to senior management on evaluation findings and recommendations
What are the accountabilities for ensuring implementation of the policy?

- Given UNICEF’s complex decentralized structure, the policy will identify accountabilities at all levels to support management and governance throughout the organization.

- Accountabilities will be identified for all entities responsible for ensuring that the policy is implemented.

- Accountabilities will be defined for specific leaders/managers to ensure clarity of roles.

- Accountability for learning from evaluations will also be defined.
Specific provisions to enhance accountabilities for safeguards

- As per the UNICEF Management Response to the UNEG/ OECD-DAC Peer Review of the Evaluation Function
- Expansion of the role of the external Audit Advisory Committee to include matters pertaining to the oversight of the evaluation function
- Establishment of an external Evaluation Advisory Panel to advise the Evaluation Director on improvements to methodologies, procedures, quality assurance mechanisms, and the management response mechanism
- Establishment/strengthening the position of Regional Evaluation Adviser – to provide quality assurance to Country Offices
- Streamlining reporting lines for Regional Evaluation Advisers and country level specialists responsible for evaluations
How will UNICEF promote partnerships and support national evaluation capacity?

- UNICEF will continue to promote and support joint UN and system wide evaluation, including UNDAF evaluations and evaluation of joint programmes at country and global levels.

- Country-led evaluations will continue to be a key area of partnership with national partners, particularly in support of the 2030 Agenda, and as a key plank of support to national evaluation capacity development.

- Evaluation partnerships at country, regional and global levels with other entities can support both partner capacity development as well as enhancing capacity and knowledge within UNICEF.
Ongoing UN reform agenda and evaluation

- The evaluation policy will specify UNICEF’s contribution to joint programme evaluations at the global and country level, and to UNDAF evaluations.

- The policy will also make provisions to support Member States in evaluating progress towards the SDGs.

- The reform agenda on system-wide evaluations is currently under discussion by the Secretary-General and Member States. The UNICEF evaluation policy will include a clause on addressing the outcome of the ongoing discussions with Member States.
What human resource capacity will be required to implement the evaluation policy?

- UNICEF staff who have an evaluation role should demonstrate the UNEG competencies appropriate to their role and level

- The Evaluation Office will play a stronger role in evaluation capacity strengthening within UNICEF, including support for professional development for evaluation staff

- Dedicated capacity in the Regional Offices will be enhanced

- The policy should ensure that there is sufficient capacity to support effective evaluation quality assurance processes throughout the organisation
Enhancing the capacity and professionalism of UNICEF staff who manage evaluations

- Evaluation Office will take a stronger role in evaluation capacity strengthening within UNICEF
- All staff with evaluation responsibilities will undergo training provided by the Evaluation Office and in accordance with UNEG competencies, including on professional conduct
- Training opportunities and technical support will be provided to programme managers to be able to fulfil their roles in evaluation
- Where feasible, staff in pursuit of a career in evaluation will be supported by ensuring that rotation is possible across evaluation positions
Financial resources

- The policy will maintain UNICEF’s commitment to allocating at least 1% of programme expenditure to evaluation

- The Evaluation Office will establish a pooled fund to complement expenditure by all levels of the organization and to support capacity development

- The use of the Costed Evaluation Plan at country level will enable better monitoring and planning of allocations and coverage
Implementation and reporting arrangements

- UNICEF will issue appropriate instructions to carry forward the implementation of the policy
- The Evaluation Director will report annually to the Executive Board on the status of implementation of the policy
- An independent review of the performance of the policy should be undertaken in 2022
Proposed outline of UNICEF 2018 evaluation policy

1. Definition and purpose of evaluation in UNICEF
2. Guiding principles underlying the policy
3. Evaluation Theory of change
4. Performance standards for evaluation (including safeguards and coverage)
5. Use of evaluations
6. Accountabilities for evaluation
7. Synergies with other evidence and knowledge functions in UNICEF
8. Partnerships for evaluation and national evaluation capacity
9. Evaluation resources: financial and human resources
10. Implementation, reporting and review
Proposed outline of UNICEF 2018 evaluation policy

1. Rationale for revised evaluation policy
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11. Implementation, reporting and review
## Critical timelines

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<tr>
<th>Timeline</th>
<th>Activity</th>
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<tr>
<td>2014</td>
<td>JIU system wide assessment of evaluation</td>
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<td>2016</td>
<td>UNEG Norms and Standards updated</td>
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<td>2016-2017</td>
<td>MOPAN Institutional Assessment of UNICEF</td>
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<td>2017</td>
<td>UNEG/OECD-DAC Peer Review of the UNICEF Evaluation Function</td>
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<td>2017 September</td>
<td>UNICEF Management Response to the Peer Review</td>
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<td>Oct 2017 - Jan 2019</td>
<td>Internal Consultations on the evaluation policy</td>
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<td>Dec 2017 - Feb 2018</td>
<td>Consultation with external Audit Advisory Committee</td>
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<tr>
<td>Jan-Feb 2018</td>
<td>Consultation with external Evaluation Advisory Panel</td>
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<tr>
<td>Jan 16 2018</td>
<td>Informal Briefing for Executive Board on the revised Evaluation Policy</td>
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<td>Feb 6-9 2018</td>
<td>First Regular Session of the Executive Board</td>
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<td>Feb 12 2018</td>
<td>Workshop with Member States and independent experts (material for workshop shared by 30 Jan 2018)</td>
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<td>Feb 15 2018</td>
<td>Remaining feedback received</td>
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<td>Feb 26 2018</td>
<td>Draft policy shared informally with the Executive Board</td>
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<td>March 5 2018</td>
<td>Deadline for feedback on draft policy</td>
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<tr>
<td>March 23 - April 2018</td>
<td>Final draft Evaluation Policy dispatched for editing and procession for the Annual Session of the Executive Board</td>
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<tr>
<td>May 22 2018</td>
<td>Informal briefing of the Executive Board</td>
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<td>June 11 2018</td>
<td>Presentation of final draft evaluation policy at the Annual Session of the Executive Board</td>
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