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## REPORT BY THE DIRECTOR-GENERAL ON THE UNESCO EVALUATION POLICY AND ELABORATED ELEMENTS OF THE UNESCO EVALUATION STRATEGY

### SUMMARY

In accordance with 175 EX/Decision 26, paragraphs 7 and 8, the Director-General hereby submits a report on the UNESCO Evaluation Policy and elaborated elements of the UNESCO Evaluation Strategy.

Decision proposed: paragraph 33.

## BACKGROUND

1. In response to the Report by the Director-General on the UNESCO Evaluation Strategy and its Implementation (175 EX/26), the Executive Board has requested (175 EX/Decision 26, paras. 7 and 8) the Director-General to submit to the Executive Board at its 176th session a:

- (a) revised version of the proposed long-term Evaluation Strategy, taking into account the views expressed by Member States during this session of the Executive Board and in particular the need to include criteria for selecting activities, themes and programmes for evaluation and for undertaking evaluations, taking into account consideration of the priorities set out in the C/5 document; and
- (b) policy statement on evaluation with a clear definition of roles and responsibilities of each sector or division concerned outlining the necessary interaction and cooperation between auditing, evaluation, programming and programme monitoring, after it has been reviewed by the College of ADGs, the Oversight Committee and the External Auditor.

2. To adequately address and provide the Executive Board with the requested additional information, the optimal solution is to merge these two requests and provide an integrated report.

3. In this context, the report provides the Evaluation Policy statement. Once endorsed by the Executive Board, the Evaluation Policy will be given wide circulation within the Secretariat.

The proposed Evaluation Policy is structured as follows:

- A. Defining evaluation
- B. Key evaluation concepts
- C. Key evaluation criteria
- D. Key principles when undertaking evaluations
- E. Roles and responsibilities
- F. Evaluation process
- G. Evaluation universe
- H. Evaluation priority-setting model
- I. Resource requirements

4. The paper also provides elaborated elements of the Evaluation Strategy (175 EX/26). The following Annexes support the paper:

- Annex 1: Standards for Evaluation in the United Nations System
- Annex 2: UNESCO Evaluation Strategy Logic Model
- Annex 3: UNESCO Evaluation Function Activities, Implementing Partners and Performance Indicators
- Annex 4: 34 C/4 Evaluation Plan (2008-2013)
- Annex 5: 34 C/5 Evaluation Plan (2008-2009)

## The proposed UNESCO Evaluation Policy

Following the United Nations Evaluation Group Norms and Standards which call for independence, transparency and impartiality, this Evaluation Policy provides definitions, concepts, criteria, principles, roles and responsibilities, and a priority-setting model to identify which external evaluations should be undertaken.

### A. DEFINING EVALUATION<sup>1</sup>

5. Evaluation is an assessment of the relevance, effectiveness, efficiency, impact and sustainability of an activity, project, programme, strategy, policy, topic, theme, sector, operational area or institution. Evaluation is essentially about – *are we doing the right thing, are we doing it right and are there better ways of achieving the results?* Evaluations should:

- provide assessments of what works and why, highlight intended and unintended results, and provide strategic lessons to guide decision-makers and inform stakeholders;
- provide evidence-based information that is credible, reliable and useful, enabling the timely incorporation of findings, recommendations and lessons;
- feed into management and decision-making processes as a key component to managing for results;
- inform the planning, programming, budgeting, implementation and reporting cycle;
- improve the institutional relevance and the achievement of results, optimize the use of resources, provide client satisfaction and maximize the impact of activities;
- involve a rigorous, systematic and objective process in the design, analysis and interpretation of information to answer specific questions, based on agreed criteria and benchmarks among key partners and stakeholders.

6. Evaluation differs from other types of assessment carried out at UNESCO. While there may be some overlap between the different assessments, they vary in purpose and level of analysis:

- *Appraisal or ex ante assessment:* A critical assessment of an undertaking before a decision is made to implement it. The assessment defines objectives, ensures that these objectives can be met, that the instruments used are cost-effective, and that reliable later evaluation will be possible.
- *Monitoring:* A continuous function providing managers and key stakeholders with regular feedback on the consistency or discrepancy between planned and actual activities and programme performance and on the internal and external factors affecting results. Monitoring provides an early indication of the likelihood that expected results will be attained and provides an opportunity to validate the programme theory and logic and to make necessary changes in programme activities and approaches.
- *Review:* The periodic or ad hoc, often rapid, assessments of the performance of an undertaking that do not apply the due process of evaluation. Reviews tend to emphasize operational issues.

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<sup>1</sup> The following documents were consulted:

- UNDP, The Evaluation Policy of UNDP, DP/2005/28, 2006.
- IAEA, Programme Evaluation Policy, SEC/NOT/1897, 2002.
- OECD, Development Assistance Committee, Glossary of Key Terms in Evaluation and RBM, 2002.
- United Nations Evaluation Group, Norms for Evaluation in the United Nations System, 2005.

- *Self-evaluation*: Represents a tool or process which is designed to enable those who are evaluated to reflect critically themselves on their performance and impacts of their programmes. It is often used in evaluations as an additional source of information and/or verification.
- *Inspection*: A general examination that seeks to identify vulnerable areas and malfunctions and to propose corrective action.
- *Investigation*: A specific examination of a claim of wrongdoing and provision of evidence for eventual prosecution or disciplinary measures.
- *Audit*: An assessment of the adequacy of management controls and performance to ensure the economic, efficient and effective use of resources; the safeguarding of assets; the reliability of financial and other information; compliance with regulations, rules and established policies; the effectiveness of risk management; and the adequacy of organizational structures, systems and processes.

## B. KEY EVALUATION CONCEPTS

7. Key evaluation concepts, used commonly by United Nations entities, are captured below:

- *Activity*: Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs.
- *Input*: The financial, human and material resources used for an activity.
- *Output*: Tangible product (including services) of an activity that is directly attributable to the activity. Outputs relate to the completion (rather than the conduct) of activities and are the type of results over which managers have most influence. An example of an output for a teacher training project is the number of teachers trained.
- *Counterfactual*: The situation or condition which hypothetically may prevail for individuals, organizations, or groups where there is no activity. Continuing with the same example, counterfactual analysis would look at what would have happened if there had not been any teacher training.
- *Attribution*: The precise causal link to be observed (or expected to be observed) in results flowing from an individual activity. It implies a logical cause and effect relationship which points to the meaningful attribution of an activity to the result(s).

## C. KEY EVALUATION CRITERIA

8. In general, evaluation, both in theory and practice, covers the following criteria:<sup>2</sup>

- *Relevance*: The extent to which the objectives of an intervention are consistent with the organization's goals and strategies, beneficiaries' requirements, country needs and global priorities. Retrospectively, the question of relevance often becomes a question as to whether the objectives of an intervention or its design are still appropriate given changed circumstances.
- *Efficiency*: A measure of how economically inputs are converted to results.

<sup>2</sup> OECD, Development Assistance Committee, Glossary of Key Terms in Evaluation and Results-Based Management, 2002.  
United Nations Evaluation Group, Norms for Evaluation in the United Nations System, 2005.

- *Effectiveness*: The extent to which the intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance. In this context, *cost-effectiveness* assesses whether the costs of an activity can be justified by the outcomes and impacts. At the design stage, the purpose is normally to identify the lowest cost alternative that will achieve specified objectives. At the monitoring and evaluation stage, the purpose is to analyse what outcomes have been achieved, at what cost.<sup>3</sup>
- *Impact*: Actual or intended changes in conditions that an activity seeks to support. The contribution of several partners is usually required to achieve an impact. Continuing with the teacher training example, an impact would be an improvement in the quality of education delivered to students or more children having acquired more knowledge and better skills or policy changes in Member States as a result of the programme intervention.
- *Sustainability*: The continuation of benefits from an activity after major assistance has been completed.

#### D. KEY PRINCIPLES WHEN UNDERTAKING EVALUATIONS

##### 9. UNESCO evaluations are guided by the following principles:<sup>4</sup>

- *Independence*: The evaluation function should be structurally independent from the operational management and decision-making functions in the organization so that it is free from undue influence, can be more objective, and has full authority to submit reports directly to appropriate levels of decision-making. Management must not impose restrictions on the scope, content, comments and recommendations of evaluation reports. To avoid conflict of interest, evaluators must not be directly involved in the design, implementation or management of the subject of the evaluation either before, during or after the evaluation.
- *Purpose*: The rationale for an evaluation and the decisions to be based on it should be clear from the outset. The scope, design and plan of the evaluation should generate relevant, timely products that meet the needs of intended users.
- *Transparency*: Meaningful consultation with stakeholders is essential for the credibility and utility of the evaluation. Full information on the evaluation design and methodology should be shared throughout the process to build confidence in the findings and understanding of their limitations in decision-making.
- *Ethics*: Evaluation should not reflect personal or sectoral interests. Evaluators must have professional integrity and respect the rights of institutions and individuals to provide information in confidence and to verify statements attributed to them. Evaluations must be sensitive to the beliefs and customs of local social and cultural environments and must be conducted legally and with due regard to the welfare of those involved in the evaluation, as well as those affected by its findings. In line with the Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender inequality.
- *Impartiality*: Removing bias and maximizing objectivity are critical for the credibility of the evaluation and its contribution to knowledge. Prerequisites for impartiality are: independence from management; objective design; valid measurement and analysis; and the rigorous use of appropriate benchmarks agreed upon beforehand by key stakeholders.

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<sup>3</sup> Refer to document 176 EX/28 for a discussion on cost-effectiveness.

<sup>4</sup> United Nations Evaluation Group, Norms for Evaluation in the United Nations System, 2005.

In addition to being impartial, evaluation teams should include relevant expertise and be balanced in their gender and regional composition.

- *Timeliness*: Evaluations must be designed and completed in a timely fashion so as to address the specific purpose and objectives for which they were commissioned and ensure the usefulness of the findings and recommendations. Balancing technical and time requirements with practical realities while providing valid, reliable information is central to ensuring that the evaluation function supports management for results.
- *Quality*: All evaluations should meet the standards outlined in the *Standards for Evaluation in the United Nations System*.<sup>5</sup> The key questions and areas for review should be clear, coherent and realistic. The plan for evaluation should be practical and cost effective. To ensure that the information generated is accurate and reliable, evaluation design, data collection and analysis should reflect professional standards, with due regard for any special circumstances or limitations reflecting the context of the evaluation. To ensure this, the professionalism of evaluators and their intellectual integrity in applying standard evaluation methods is critical. Evaluation findings and recommendations should be presented in a manner that will be readily understood by target audiences and have regard for cost-effectiveness<sup>6</sup> in implementing the recommendations proposed.

## E. ROLES AND RESPONSIBILITIES<sup>7</sup>

10. The roles and responsibilities relating to evaluations of the key stakeholders are identified below.

### *General Conference*

- The General Conference, consisting of the representatives of the Member States of UNESCO, meets every two years to determine the policies and main lines of work of UNESCO. It approves UNESCO's biennial Programme and Budget document, of which the biennial C/5 Evaluation Plan is a part.

### *Executive Board*

- The Executive Board, consisting of 58 Members elected by the General Conference, assures the overall management of UNESCO. It prepares the work of the General Conference and sees that its decisions are properly carried out. The Executive Board has the following six evaluation responsibilities:
  - o assure the independence of the evaluation function;
  - o endorse, on a six-yearly basis, the UNESCO Evaluation Strategy;
  - o endorse the UNESCO Evaluation Policy;
  - o endorse the UNESCO Evaluation Plan (biennial and long-term);
  - o draw on the findings and recommendations of evaluations to inform organizational policy, strategy and programmes;
  - o seek assurance that management responds and follows up on evaluations.

<sup>5</sup> <http://www.uneval.org/docs/ACFFCA1.pdf>. For summarized version of the Standards refer to Annex 1.

<sup>6</sup> For discussion on cost-effectiveness in UNESCO refer to document 176 EX/28.

<sup>7</sup> This section draws heavily on analysis of best practices among United Nations agencies (e.g. UNDP, FAO, UNICEF, IAEA and ILO).

### *Director-General*

- The Director-General of UNESCO is charged with the effective and rational execution of the programme of work for UNESCO adopted by the General Conference. The Director-General has the following four evaluation responsibilities:
  - o report to the Executive Board on selected external evaluations listed in the C/5 Evaluation Plan;
  - o ensure that evaluation recommendations are implemented;
  - o report to the Executive Board on the implementation of the UNESCO long-term Evaluation Strategy and IOS Strategy;
  - o create an enabling environment which recognizes the importance of evaluation as a key accountability and learning mechanism.

### *College of Assistant Directors-General (ADGs)*

- The College of ADGs comprises the senior management of the Secretariat. It is primarily an advisory body on all important issues affecting UNESCO's programme and presents recommendations to the Director-General. The College has the following two evaluation responsibilities:
  - o advise on the implementation of the UNESCO Evaluation Policy and Strategy;
  - o reflect on the strategic implications of thematic evaluations.

### *The Directorate*

The membership of the Directorate comprises all ADGs and Directors from Central Services and is chaired by the Director-General. The Directorate has the following evaluation responsibilities.

- Examine evaluation findings and consider their strategic implications.
- Provide assurance to the Director-General that appropriate actions have been taken in response to evaluation recommendations.

### *Internal Oversight Service*

- IOS seeks to provide assurance that programmes are relevant and sustainable, delivered effectively and efficiently, and achieve impacts. Its work is guided by the Organization-wide biennial C/5 Evaluation Plan which lists evaluations to be carried out in the biennium. IOS promotes a focus on results by encouraging the incorporation of lessons learnt from programme evaluations. Specifically, its evaluation functions relate to the following five areas:

#### Governance and accountability

- o Develop and monitor the implementation of UNESCO's Evaluation Strategy.
- o Prepare UNESCO's biennial Evaluation Plan which lists evaluations to be carried out over the biennium.
- o Prepare the Director-General's report to the Executive Board on the findings and recommendations of selected external evaluations listed in the Evaluation Plan.

- o Prepare the Director-General's report to the Executive Board on the implementation of evaluation recommendations.
- o Assist BSP in the preparation of the C/3 report, and undertake selected validation of the implementation of the Programme and Budget (C/5) and on the results achieved by sectors and services in the previous biennium.

#### Management of evaluation and quality assurance

- o Set evaluation standards for planning, conducting and using evaluations and establish institutional mechanisms for their application.
- o Develop and disseminate evaluation tools, guidelines and methodologies.
- o Manage the evaluation process for all external evaluations listed in the Evaluation Plan.
- o Review and comment on Terms of Reference, evaluation plans, draft reports and final reports in conjunction with the responsible UNESCO unit.
- o Approve the selection of all external evaluation teams<sup>8</sup> and all terms of reference for those evaluations listed in the Evaluation Plan.<sup>9</sup>
- o Approve all final evaluation reports for those evaluations listed in the Evaluation Plan, based on rigorous quality assurance in accordance with United Nations evaluation standards.<sup>10</sup>
- o Ensure the active participation of stakeholders in the evaluation process.
- o Provide substantive and logistical support to evaluation teams during the conduct of evaluations for those evaluations listed in the Evaluation Plan.

#### Knowledge management and capacity development

- o Disseminate evaluation findings and lessons in appropriate formats for targeted audiences and ensure the transparency of, and public access to, evaluation reports for those evaluations listed in the Evaluation Plan.
- o Support the setting up of frameworks and standards for monitoring in the context of UNESCO's results-based management system to facilitate the evaluation of programmes and activities.
- o Provide training to develop the necessary skills and knowledge required to carry out self-evaluation and to facilitate external evaluations.

#### Complementarities and cooperation with the audit function of IOS

- o Ensure that both evaluation and audit functions complement each other, drawing on their specialist skill sets, in undertaking certain activities together and in exchanging data.
- o Undertake joint planning and reporting to governing bodies on results achieved.

<sup>8</sup> This selection process is guided by Standards 3.13 and 3.14 (refer to Annex 1 for details) as defined in *Standards for Evaluation in the United Nations System*.

<sup>9</sup> Where an evaluation reference group has been established, this responsibility and the next are borne by the Reference Group, of which IOS is a member.

<sup>10</sup> <http://www.uneval.org/docs/ACFFCA1.pdf>. For summarized version of the Standards refer to Annex 1.



### Collaboration with United Nations counterparts

- o Ensure that evaluation in UNESCO remains consistent with, and contributes to, United Nations policy and reforms, including supporting and participating in joint evaluations.<sup>11</sup>
- o Actively participate in the United Nations Evaluation Group to advance the theory, practice, quality and usefulness of evaluation.

### *UNESCO sectors, field offices and category 1 institutes and centres*

- UNESCO sectors, field offices and category 1 institutes and centres have the following general responsibilities:
  - o Monitor the implementation and performance of programmes, services and functions to generate relevant, timely and results-based information to facilitate evaluations.
  - o Identify, with key stakeholders, priority areas for evaluation for input into the biennial evaluation plans.
  - o Ensure adequate funding for evaluations.
  - o Actively participate in the evaluation process by preparing the desk study, drafting terms of reference, and providing substantive and logistical support to the evaluation teams.
  - o Participate in respective evaluation reference groups.
  - o Prepare management responses to all evaluations, indicating the feasibility of implementing recommendations and actions to address those recommendations that can be implemented.
  - o Ensure appropriate and timely implementation of the agreed evaluation recommendations.
  - o Disseminate evaluation findings and lessons in appropriate formats for targeted audiences and ensure the transparency of, and public access to, evaluation reports.

### *Bureau of Strategic Planning*

- BSP is a central service whose primary role is to prepare UNESCO's Medium-Term Strategy (C/4) and the biennial Programme and Budget (C/5). It ensures that the strategic objectives and priorities set by the General Conference and the Executive Board are duly taken into account at all stages of programme elaboration. It has the following five responsibilities as they relate to evaluation:
  - o Monitor the implementation and performance of programmes.
  - o Ensure all programme proposals are rigorously appraised through *ex ante* assessments, with support from IOS.
  - o Use evaluation findings to inform future organizational strategies.
  - o Produce, in conjunction with IOS, the C/3 report on the implementation of the Programme and Budget (C/5) and on results achieved in the previous biennium.

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<sup>11</sup> This applies in particular to a recent United Nations Secretary-General High-Level Panel on Coherence recommendation to "... establish an independent United Nations system-wide evaluation mechanism and common evaluation methodologies and benchmarking".

- o Provide results-based management (RBM) training.

#### *Evaluation reference groups*

- Reference groups, typically comprising IOS, BSP and the relevant sector(s), are set up for evaluations of strategic importance. Reference groups have the following responsibilities:
  - o Review and approve terms of reference.
  - o Select and approve the external evaluation teams.
  - o Provide feedback on draft reports.
  - o Approve the final evaluation report.
  - o Help ensure that management follows up on the key recommendations and lessons to improve programme design and delivery.

## **F. THE EVALUATION PROCESS**

11. Each biennium an evaluation plan is drawn up by IOS and relevant parts of UNESCO that identifies those programmes and activities to be evaluated over the biennium. The Evaluation Plan, annexed to the C/5 document, is guided by the Evaluation Strategy and any Executive Board directions. It contains evaluations of all the regular budget evaluations and selected extrabudgetary evaluations. The phases and parties involved in developing the evaluation plan are illustrated in the table below.

**Biennial Evaluation Plan – phases and responsible parties**

Phase	Responsible parties					
	<i>EXB</i>	<i>DG</i>	<i>IOS</i>	<i>Sectors, FOs, etc.</i>	<i>BSP</i>	<i>Central services</i>
1. Nominate topics/subjects for evaluation	X	X	X	X	X	X
2. Prioritize and select topics/subjects			X	X	X	X
3. Endorse evaluation plan in the C/5 document	X					

12. As set out in the previous section on roles and responsibilities, evaluation involves many parts of UNESCO. The table below shows the key phases in managing those evaluations set out in the C/5 Evaluation Plan and who is involved at each stage.

**Evaluation management – phases and responsible parties**

Phase	Responsible parties						<i>Evaluation reference groups</i>
	<i>EXB</i>	<i>DG</i>	<i>IOS</i>	<i>Sectors, FOs, etc.</i>	<i>BSP</i>	<i>Central services</i>	
1. Fund evaluation			X	X		X	
2. Prepare desk study			X	X	X	X	
3. Develop ToR			X	X	X	X	X
4. Approve ToR			X				X
5. Nominate consultants			X	X	X	X	X
6. Approve consultants			X				X
7. Monitor evaluation			X	X		X	X
8. Provide comments on draft evaluation report			X	X	X	X	X
9. Approve final report			X				X

Phase	Responsible parties						
	<i>EXB</i>	<i>DG</i>	<i>IOS</i>	<i>Sectors, FOs, etc.</i>	<i>BSP</i>	<i>Central services</i>	<i>Evaluation reference groups</i>
10. Draft EXB paper on evaluation's key findings/actions		X	X	X			
11. Upload final evaluation report to UNESCO website			X				
12. Disseminate evaluation findings			X	X			
13. Follow-up evaluation recommendations	X	X	X	X	X	X	X

## G. EVALUATION UNIVERSE

13. UNESCO carries out evaluations in the following three distinct, but interrelated, categories:

- C/4 Strategic programme objectives<sup>12</sup>
- Thematic areas
- Decentralized bodies (field offices, institutes and centres)

## H. EVALUATION PRIORITY-SETTING MODEL

14. IOS has developed a priority-setting model for identifying topics to be evaluated in the period of the six-year Evaluation Strategy and the biennial evaluation plan. The priority-setting model does not, however, determine the complete set of evaluations finally undertaken. Both the strategy and plan need to be flexible enough to absorb new demands both from within, as well as from outside, due to the dynamic nature of UNESCO activities. The priority-setting model differs for each type of evaluation category (strategic programme objectives, thematic areas, etc.), but each model comprises a mix of the following criteria:

- *Size of regular budget allocation* – the larger the budget, the higher the priority is for the Organization to evaluate the related programme/activity.
- *Size of extrabudgetary funds* – a significant number of the Organization's activities, in parallel to the regular budget, attracts extrabudgetary funding. Consequently, the larger the size of the extrabudgetary funding, the higher the priority is.
- *Prior evaluation* – given the fact that a significant number of programmes has been running for many years, good management practice would suggest that evaluations of those programmes should occur at reasonably regular intervals, typically three to six years, in order to identify the need for mid-course adjustment. There are, however, some programmes which have never been evaluated, consequently representing a high risk to the Organization.
- *Evaluability* – a significant number of programmes have not matured yet for evaluation to take place. In this context, the lower the evaluability, the higher the risk is to the Organization to embark on an evaluation as the analysis may be incomplete with few meaningful results.

<sup>12</sup>

This also includes a selected number of activities funded from extrabudgetary sources.

- *Evaluation requests* – interest in evaluation among governing bodies and senior management is high. Frequent requests to undertake particular evaluations need to be taken into consideration.
- *Intersectorality* – many activities carry various degrees of intersectorality, and consequently this needs to be recognized and reflected in the priority setting context.
- *Risk of not meeting objectives* – a range of factors (both internal and external) may prevent the programme or activity achieving its prescribed objectives.
- *Panel decision* – certain cases, such as the selection of the thematic evaluations, require a consensus-based approach, i.e. an intersectoral panel, or the College of ADGs, to contribute to deciding which areas are of the highest priority.
- *Potential contribution to the Millennium Development Goals* – the more an activity potentially contributes to the Millennium Development Goals, the higher its importance.
- *Relevance to UNESCO governance and policy formulation* – in some cases, such as UNESCO's key functions and their potential contribution to UNESCO policy formulation and development, or UNESCO governance, the higher the priority is for the Organization to evaluate those activities.

15. Weighting, with point scoring, can be applied to these criteria to enable an indicative rating of various programmes within the particular category of the evaluation universe. The approach, including a set of criteria applicable to respective categories, is explained in the following section.

16. These criteria have been used to prepare the 34 C/4 Long-Term Evaluation Plan (Annex 4) and the 34 C/5 Evaluation Plan. Executive Board decisions have been a key factor taken into consideration. For example, the Executive Board has requested that all programmes within the C/4 cycle be evaluated (175 EX/Decision 26, para. 6(b)) to: “ensure provision for systematic evaluation of all programmes within the C/4 cycle taking a broader view of the Organization's impact and performance”.

17. This means that all programmes aligned to respective 34 C/4 strategic programme objectives (SPOs) will be evaluated. The only issue that still had to be determined was when to evaluate each of the programmes. This also implies that the Executive Board's decision means that evaluations beyond 2007 will be larger in volume, but smaller in number i.e. condensing several programmes into one evaluation, e.g. from approximately 10 programme-level evaluations per year in 2005-2006 to three or four SPOs-level evaluations per year. This is perfectly in line with another Executive Board decision (175 EX/Decision 26, para. 6(c)) to: “ensure that sufficient evaluations of strategic significance are undertaken to enable a broad assessment to be made of the Organization's planned impact and performance as set out in the C/5 and C/4 documents”.

18. What follows is a set of criteria, along with indicative weightings, for each category of the UNESCO evaluation universe.

#### *Evaluations of strategic programme objectives*

19. UNESCO has 14 SPOs to which all UNESCO programmes contribute. Given the Executive Board request to evaluate all programmes, it was most efficient to bring together what previously would have been individual programme evaluations into groups organized around the SPOs. Annex 4: 34 C/4 Evaluation Plan (2008-2013) outlines the detailed timing of each of the 14 SPOs. Two factors, out of six in total, were critical in determining when to evaluate respective SPOs, i.e. when an evaluation was last undertaken and evaluability.

<b>CRITERIA</b>	<b>30 POINTS</b>	<b>20 POINTS</b>	<b>10 POINTS</b>
Last evaluated	Never	28 C/4	31 C/4
Evaluability	High	Medium	Low
RB allocation	≥\$15 million	\$10-\$15 million	<\$10 million
Potential contribution to MDGs	High	Medium	Low
Intersectorality	High	Medium	Low
Risk of not meeting objectives	High	Medium	Low

20. In addition to the regular budget which is allocated to implement C/4 SPOs, UNESCO receives approximately \$1.2 billion per biennium in extrabudgetary funding to carry out various programmes and activities. These should always be aligned with SPOs.

21. It is important to recognize that extrabudgetary funding contributes significantly to the implementation of C/4 SPOs. Its contribution therefore needs to be evaluated as part of evaluations of SPO regular budget activities. However, given the wide variety in the range and type of modalities, such as funds-in-trust, self-benefiting and special accounts, and variety in size, from only a few thousand United States dollars to many millions of United States dollars, it is neither practical nor cost-effective to evaluate all extrabudgetary activities. The set of criteria listed below can be used to determine a representative sample of extrabudgetary activities for evaluation within the respective SPO evaluations:<sup>13</sup>

<b>CRITERIA</b>	<b>30 POINTS</b>	<b>20 POINTS</b>	<b>10 POINTS</b>
Extrabudgetary contribution	≥\$10 million	≥\$5 million	≥\$1 million
Type of funding	Funds-in-trust Self-benefiting	Special accounts World Bank	Regional funds United Nations sources
Potential contribution to MDGs	High	Medium	Low
Alignment to SPOs	High	Medium	Low

### *Evaluations of thematic areas*

22. A number of thematic areas emerge from the UNESCO evaluation universe. The table below shows the critical factors which have been used to determine which thematic areas should be evaluated. Criteria such as UNESCO's capacities to meet the C/4 strategic objectives would point to an early evaluation in the six-year period to assess those capacities and the risks that could threaten the achievement of the C/4 strategic objectives. Criteria on UNESCO policy formulation could point to the need to evaluate key UNESCO functions, such as "clearing house" or "laboratory of ideas" and cross-cutting issues such as intersectorality, results-based and risk management.

<b>CRITERIA</b>	<b>30 POINTS</b>	<b>20 POINTS</b>	<b>10 POINTS</b>
UNESCO's capacity	High	Medium	Low
Relevance to UNESCO policy formulation	High	Medium	Low
Evaluability	High	Medium	Low
Request from:	EXB	DG, MS or Audit	ADG
Intersectorality	High	Medium	Low
Panel decision	High	Medium	Low

<sup>13</sup> In some cases, such as Iraq and Brazil, where the size of extrabudgetary projects is very large, and in the case of Brazil exclusively self-benefiting, a separate evaluation plan needs to be developed by respective field offices.

*Evaluations of decentralized bodies<sup>14</sup>*

23. The first criterion for priority selection is the extent to which a decentralized body contributes to joint delivery at so-called pilot locations<sup>15</sup> as recommended in the HLPC “Delivering as One”. The second criterion is the extent of a decentralized body’s involvement in areas highly affected by post-conflict or post-disaster situations. The final criterion is a specific request, or previous decision, by the Executive Board, or the Director-General, or arising from internal audit recommendations. The assumption is made that each category 1 institute should be evaluated at least once in the period of the C/4 document.

CRITERIA	30 POINTS	20 POINTS	10 POINTS
Extent of decentralized body involvement in pilot locations	High	Medium	Low
Extent of decentralized body involvement in post-conflict and post-disaster situations	High	Medium	Low
Request from:	EXB	DG	Audit

**I. RESOURCE REQUIREMENTS**

24. The UNESCO programme sectors, field offices, institutes and centres are responsible for ensuring that adequate resources are available to implement the biennial Evaluation Plan. IOS contributes financial resources for evaluations of a thematic or cross-cutting nature. IOS also ensures, in collaboration with UNESCO programme staff, that those resources are used in a cost-effective manner in accordance with good practice and commonly accepted norms and standards for evaluation.

25. In terms of human and other resources, IOS is resourced to deliver this Evaluation Policy and Strategy. In the event of requests from the Director-General and UNESCO’s governing bodies for additional evaluations, IOS would need to augment its resource base.<sup>16</sup>

**Implementation of the Evaluation Policy and Strategy**

26. The Evaluation Policy provides a framework to increase the independence, transparency and effectiveness of the evaluation function in UNESCO. The Evaluation Policy will be translated into a set of operational activities that have already been identified in the Evaluation Strategy (175 EX/26 and 176 EX/26). These operational activities will form the basis of future IOS work plans.

27. As described in the Evaluation Strategy document (175 EX/26), the logic model which is attached in Annex 2, points to different activities and processes in the implementation phase which need to be undertaken in order to achieve the expected results.

28. Since the implementation of the Strategy is not solely the responsibility of IOS but also of sectors, BSP and other central services, field offices and institutes, the achievement of the Strategy’s objectives calls for a well-orchestrated set of activities and processes. In this context, Annex 3: UNESCO evaluation function activities, implementing partners and performance

<sup>14</sup> Field offices, institutes and centres.

<sup>15</sup> Pilot locations for 2007/2008 are: Viet Nam, Pakistan, United Republic of Tanzania, Mozambique, Albania, Uruguay, Cape Verde and Rwanda.

<sup>16</sup> A significant increase in evaluations of activities funded by donors in field offices is anticipated (see Annex 5). IOS is not currently resourced to support all such evaluations and some of this funding would need to be allocated to IOS to enable it to support the evaluations. In some large field locations dedicated monitoring and evaluation staff will also need to be recruited to support these activities. They will report to local management but collaborate closely with IOS.

indicators, shows which activities and processes will be implemented, who the key partners are, and how the progress is going to be reported (applying a set of performance indicators).

29. As indicated in document 175 EX/26, and consequently requested by the Executive Board (175 EX/Decision 26, para. 10), IOS will commission a peer-review of the implementation of the Strategy during 2008 and will report the results to the Executive Board at its 180th session. In addition to this, progress in implementing the longer-term Evaluation Strategy will be included in the IOS annual reports provided to the Executive Board.

30. Demand by the various stakeholders for evaluation is growing and IOS is being called upon to manage a smaller number of more demanding strategic evaluations. This calls for a firm commitment from programme sectors and central services to make adequate budgetary provision for evaluation, and they have not always been prepared to do so.

31. In addition to this, on an ad hoc demand-driven basis, IOS is often asked by different sectors and/or stakeholders to initiate evaluations of particular activities, such as staff training (for example, covering RBM or language courses), or processes such as on the processes followed to assure the quality of publications. These types of activities along with preparation of Executive Board papers and the C/3 document, as well as attending Executive Board sessions and the General Conference, occupy 44% of IOS's evaluation function workload.

32. In such circumstances, it needs to be recognized that the coverage of the evaluation universe is driven by the available resources, both in terms of IOS staffing and funding allocated to evaluations. The 34 C/4 Evaluation Plan (Annex 4) can be delivered with the current level of IOS staffing and the funding earmarked by sectors. Everything above and beyond that (ad hoc requests for specific evaluations, etc.) would require programme sectors and central services to provide additional resources from their own budgets to finance the cost of contracting evaluation teams and IOS support.

### **Proposed draft decision**

33. In the light of the above, the Board may wish to include a decision along the following lines:

The Executive Board,

1. Recalling 175 EX/Decision 26,
2. Having examined document 176 EX/27,
3. Endorses the UNESCO Evaluation Policy;
4. Welcomes elaborated elements of the UNESCO Evaluation Strategy;
5. Also welcomes the proposed evaluation priority-setting model for selection of evaluations to be undertaken;
6. Further welcomes the proposed 34 C/4 Indicative Evaluation Plan (2008-2013);
7. Requests the Director-General to take the necessary steps to implement the Evaluation Policy and Strategy and to allocate appropriate resources to the evaluation function;
8. Further requests the Director-General to report on the implementation of the UNESCO Evaluation Strategy at its 180th session.

## ANNEX 1

### STANDARDS FOR EVALUATION IN THE UNITED NATIONS SYSTEM

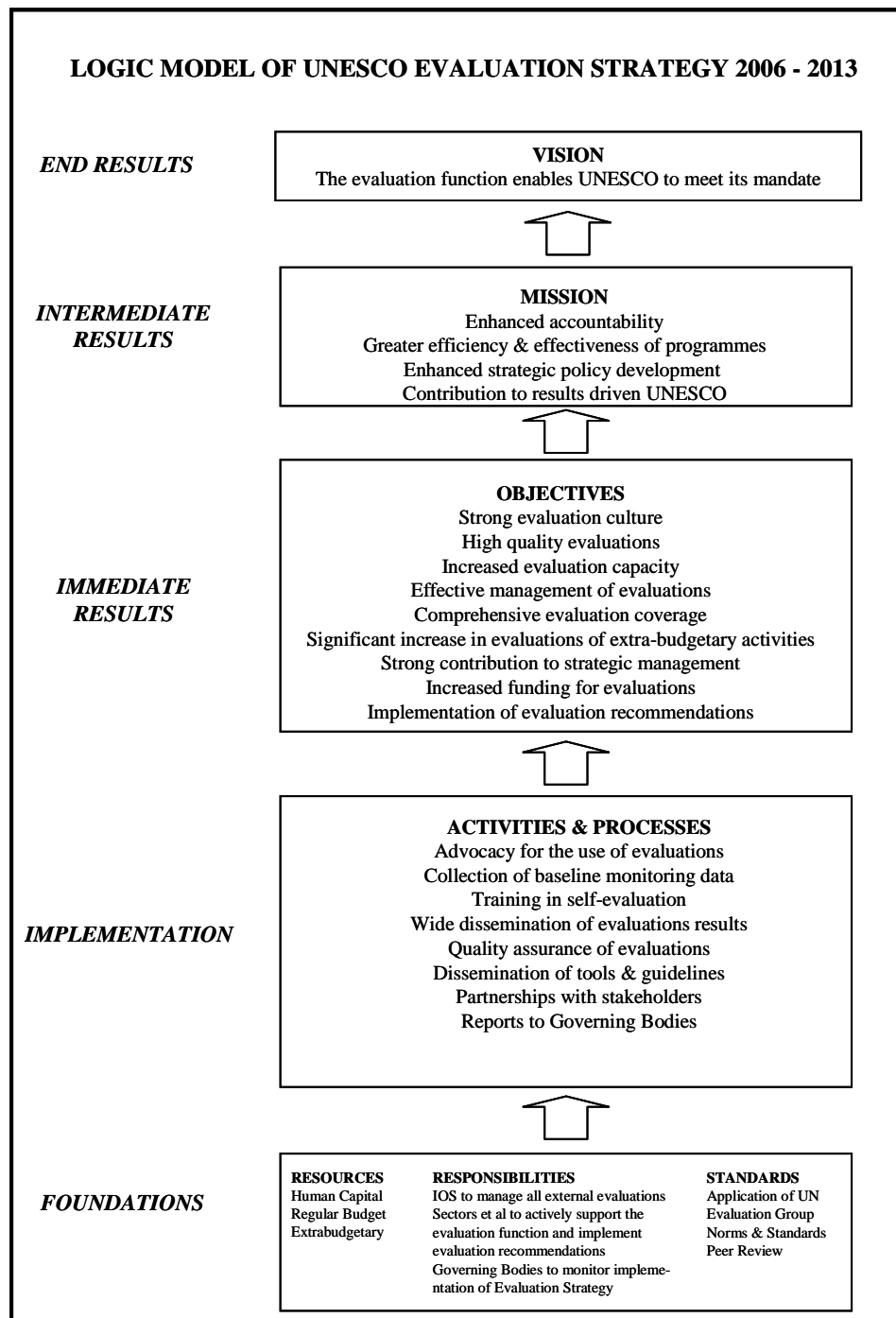
<p><b>Institutional framework</b></p> <p>Standard 1.1: United Nations organizations should have an adequate institutional framework for the effective management of their evaluation function.</p> <p>Standard 1.2: United Nations organizations should develop an evaluation policy and regularly update it, taking into account the Norms and Standards for Evaluation in the United Nations system.</p> <p>Standard 1.3: United Nations organizations should ensure that evaluation plans of evaluation activities are submitted to their governing bodies and/or Heads of organizations for review and/or approval.</p> <p>Standard 1.4: United Nations organizations should ensure appropriate evaluation follow-up mechanisms and have an explicit disclosure policy.</p> <p><b>Management of the evaluation function</b></p> <p>Standard 1.5: The head of evaluation has a lead role in ensuring that the evaluation function is fully operational and that evaluation work is conducted according to the highest professional standards.</p> <p>Standard 1.6: The head of evaluation is responsible for ensuring the preparation of evaluation guidelines.</p> <p>Standard 1.7: The head of evaluation should ensure that the evaluation function is dynamic, adapting to new developments and changing needs both within and outside the organization.</p> <p><b>Competencies</b></p> <p>Standard 2.1: Persons engaged in designing, conducting and managing evaluation activities should possess core evaluation competencies.</p> <p>Standard 2.2: Evaluators should have relevant educational background, qualification and training in evaluation.</p> <p>Standard 2.3: Evaluators should have professional work experience relevant to evaluation.</p> <p>Standard 2.4: Evaluators need to have specific technical knowledge of, and be familiar with, the methodology or approach that will be needed for the specific evaluation to be undertaken, as well as certain managerial and personal skills.</p> <p><b>Ethics</b></p> <p>Standard 2.5: Evaluators should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relationships with all stakeholders.</p> <p>Standard 2.6: Evaluators should ensure that their contacts with individuals are characterized by respect.</p> <p>Standard 2.7: Evaluators should protect the anonymity and confidentiality of individual informants.</p>	<p>Standard 3.4: The subject to be evaluated should be clearly described.</p> <p>Standard 3.5: Evaluation objectives should be realistic and achievable, in light of the information that can be collected in the context of the undertaking. The scope of the evaluation also needs to be clearly defined.</p> <p>Standard 3.6: The evaluation design should clearly spell out the evaluation criteria against which the subject to be evaluated will be assessed.</p> <p>Standard 3.7: Evaluation methodologies should be sufficiently rigorous to assess the subject of evaluation and ensure a complete, fair and unbiased assessment.</p> <p>Standard 3.8: An evaluation should assess cost-effectiveness, to the extent feasible.</p> <p>Standard 3.9: The evaluation design should, when relevant, include considerations as to what extent the United Nations system's commitment to the human rights-based approach has been incorporated in the design of the undertaking to be evaluated.</p> <p>Standard 3.10: The relationship between the evaluator and the commissioner(s) of an evaluation must, from the outset, be characterized by mutual respect and trust.</p> <p>Standard 3.11: Stakeholders should be consulted in the planning, design, conduct and follow-up of evaluations.</p> <p>Standard 3.12: A peer review, or reference group, composed of external experts may be particularly useful.</p> <p><b>Evaluation reports</b></p> <p>Standard 4.1: The title page and opening pages should provide key basic information.</p> <p>Standard 4.2: The evaluation report should contain an executive summary.</p> <p>Standard 4.3: The subject being evaluated should be clearly described, including the logic model and/or the expected results chain and intended impact, its implementation strategy and key assumptions.</p> <p>Standard 4.4: The role and contributions of the United Nations organizations and other stakeholders to the subject being evaluated should be clearly described.</p> <p>Standard 4.5: The purpose and context of the evaluation should be described.</p> <p>Standard 4.6: The evaluation report should provide an explanation of the evaluation criteria that were used by the evaluators.</p> <p>Standard 4.7: The evaluation report should provide a clear explanation of the evaluation objectives as well as the scope of the evaluation.</p>
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<p>Standard 2.8: Evaluators are responsible for their performance and their product(s).</p> <p><b>Selection of team</b></p> <p>Standard 3.13: Evaluations should be conducted by well-qualified evaluation teams.</p> <p>Standard 3.14: The composition of evaluation teams should be gender balanced, geographically diverse and include professionals from the countries or regions concerned.</p> <p><b>Implementation</b></p> <p>Standard 3.15: Evaluations should be conducted in a professional and ethical manner.</p> <p><b>Reporting</b></p> <p>Standard 3.16: The final evaluation report should be logically structured, containing evidence-based findings, conclusions, lessons and recommendations, and should be free of information that is not relevant to the overall analysis. The report should be presented in a way that makes the information accessible and comprehensible.</p> <p><b>Follow-up</b></p> <p>Standard 3.17: Evaluation requires an explicit response by the governing authorities and management addressed by its recommendations.</p> <p><b>Design</b></p> <p>Standard 3.1: The evaluation should be designed to ensure timely, valid and reliable information that will be relevant for the subject being assessed.</p> <p>Standard 3.2: The Terms of Reference should provide the purpose and describe the process and the product of the evaluation.</p> <p>Standard 3.3: The purpose and context of the evaluation should be clearly stated, providing a specific justification for undertaking the evaluation at a particular point in time.</p>	<p>Standard 4.8: The evaluation report should indicate the extent to which gender issues and relevant human rights considerations were incorporated where applicable.</p> <p>Standard 4.9: The applied evaluation methodology should be described in a transparent way, including any limitations to the methodology.</p> <p>Standard 4.10: The evaluation should give a complete description of stakeholders' participation.</p> <p>Standard 4.11: The evaluation report should include a discussion of the extent to which the evaluation design included ethical safeguards where appropriate.</p> <p>Standard 4.12: In presenting the findings, inputs, outputs and outcomes/impacts should be measured to the extent possible (or an appropriate rationale given as to why not).</p> <p>Standard 4.13: Analysis should include appropriate discussion of the relative contributions of stakeholders to results.</p> <p>Standard 4.14: Reasons for accomplishments and difficulties of the subject being evaluated, especially constraining and enabling factors, should be identified to the extent possible.</p> <p>Standard 4.15: Conclusions need to be substantiated by findings consistent with data collected and methodology, and represent insights into identification and/or solutions of important problems or issues.</p> <p>Standard 4.16: Recommendations should be firmly based on evidence and analysis, be relevant and realistic, with priorities for action made clear.</p> <p>Standard 4.17: Lessons, when presented, should be generalized beyond the immediate subject being evaluated to indicate what wider relevance they might have.</p> <p>Standard 4.18: Annexes should be complete and relevant.</p>
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**ANNEX 2**

**UNESCO EVALUATION STRATEGY LOGIC MODEL (175 EX/26)**



### ANNEX 3:

## UNESCO EVALUATION FUNCTION ACTIVITIES, IMPLEMENTING PARTNERS AND PERFORMANCE INDICATORS

Eval. Strategy Objectives	Evaluation Function Activities (2008-2013)	Implementation Partners	Performance Indicators
<i>Strong Evaluation Culture</i>	<ol style="list-style-type: none"> <li>1. Continue to advocate in favour of the inclusion of evaluation into UNESCO planning processes so that evaluation is integrated into good management practice.</li> <li>2. Conduct self-evaluation training in parallel with RBM training, and make it compulsory for all programme staff</li> </ol>	<ul style="list-style-type: none"> <li>• College of ADGs</li> <li>• BSP, HRM and Sectors</li> </ul>	<ul style="list-style-type: none"> <li>• At least 50% of programmes with evaluation component integrated into planning</li> <li>• At least 50% of programme staff trained in self-evaluation per biennium</li> </ul>
<i>High Quality of Evaluations</i>	<ol style="list-style-type: none"> <li>3. Expand the roster of evaluators through a targeted search for proven experts</li> <li>4. Contribute to the elaboration of clear results, performance indicators, and performance targets and baseline information during the preparation of major planning and programming documents</li> <li>5. Identify all evaluations that are planned by UNESCO institutes and field offices and provide support and technical advice as needed</li> </ol>	<ul style="list-style-type: none"> <li>• IOS</li> <li>• Central Services and Sectors</li> <li>• Field offices and institutes</li> </ul>	<ul style="list-style-type: none"> <li>• At least 10 new entries added to the roster per biennium (and whose reports are submitted to the Executive Board)</li> <li>• 100% coverage of C/4 Strategic Programme Objectives evaluated in C/4 period</li> <li>• 80% coverage of central services and decentralized bodies evaluated</li> <li>• Number of times technical advice provided</li> </ul>
<i>Increased Evaluation Capacity</i>	<ol style="list-style-type: none"> <li>6. Conduct self-evaluation training (especially programme sector focal points and field office staff) in parallel with RBM training</li> <li>7. Disseminate evaluation results widely, especially during Executive Board Sessions and General Conferences, including public access to all evaluation reports which meet quality and confidentiality standards</li> <li>8. Participate in UNEG meetings, advanced evaluation training and meetings of evaluation associations</li> <li>9. Continue with fellowship scheme to train junior evaluators from the developing countries</li> </ol>	<ul style="list-style-type: none"> <li>• BSP, HRM and Sectors</li> <li>• IOS and Sectors</li> <li>• IOS only</li> <li>• HRM</li> </ul>	<ul style="list-style-type: none"> <li>• Performance indicator 2 applies</li> <li>• All the evaluation reports that meet quality standards are posted to IOS website</li> <li>• Each IOS/EVS staff member attends at least one relevant event per biennium</li> <li>• At least 5 fellows trained per biennium</li> </ul>
<i>Effective Management of Evaluations</i>	<ol style="list-style-type: none"> <li>10. Develop Evaluation Policy to clarify all roles and responsibilities with regard to the management of evaluation in UNESCO</li> <li>11. Establish Evaluation Reference Group (ERG) for all medium-/large-scale evaluations</li> <li>12. Participate directly, whenever possible, in joint evaluation work with the United Nations system and other partners</li> </ol>	<ul style="list-style-type: none"> <li>• IOS only</li> <li>• IOS, BSP and Sectors</li> <li>• Relevant evaluation counterparts within United Nations family</li> </ul>	<ul style="list-style-type: none"> <li>• Evaluation Policy established and approved by the Oversight Committee and the Executive Board</li> <li>• 90% of evaluations conducted per biennium supported by an ERG</li> <li>• Number of cases where technical support in the management of joint evaluation work is provided</li> </ul>

Eval. Strategy Objectives	Evaluation Function Activities (2008-2013)	Implementation Partners	Performance Indicators
<p><i>Comprehensive Evaluation Coverage – Regular Programme and Extrabudgetary</i></p>	<p>13. Establish a priority setting model to determine evaluation priorities for the Organization in order to ensure adequate evaluation coverage, to inform decision-making, and enhance organizational learning</p> <p>14. Consult with and engage the sectors and field offices and institutes in the evaluation priority setting processes (i.e. elaboration of C/5 evaluation plan)</p>	<ul style="list-style-type: none"> <li>• IOS</li>   <li>• Sectors, field offices, institutes</li> </ul>	<ul style="list-style-type: none"> <li>• A model to identify evaluation priorities established by end of 2006</li> <li>• At least 30% of extrabudgetary projects over \$5 million evaluated per biennium</li> <li>• All evaluations, where necessary, address gender issues by including a thorough gender analysis component</li> <li>• Number of consultations conducted</li> </ul>
<p><i>Strong Contribution to Strategic Management</i></p>	<p>15. Conduct self-evaluation training in parallel with RBM training</p> <p>16. Disseminate evaluation results widely which meet quality and confidentiality standards, especially during Executive Board sessions and General Conferences, including public access to all evaluation reports which meet quality and confidentiality standards</p>	<ul style="list-style-type: none"> <li>• BSP, HRM and Sectors</li>   <li>• IOS and College of ADGs</li> </ul>	<ul style="list-style-type: none"> <li>• Performance indicator 2 applies</li>   <li>• All evaluation reports that meet quality standards are posted to IOS website</li> </ul>
<p><i>Increased Funding for Evaluations</i></p>	<p>17. Establish process to ensure that evaluation funds are committed (i.e. a budget line) prior to the onset of the biennium</p> <p>18. Ensure that funding for evaluations of extrabudgetary activities is provided by the donor</p>	<ul style="list-style-type: none"> <li>• IOS and Sectors</li>   <li>• IOS and Sectors</li> </ul>	<ul style="list-style-type: none"> <li>• 100% of evaluation funds required that have a secure budget line at the beginning of biennium</li> <li>• Amount of funding for evaluations</li> </ul>
<p><i>Implementation of Evaluation Recommendations</i></p>	<p>19. Establish a mechanism, including a verification process, which will effectively monitor implementation of evaluation recommendations</p> <p>20. Report periodically to the Director-General on the status of follow-up to evaluation recommendations, and encourage senior management to respond to and utilize evaluation in their operational, strategic, policy and oversight functions and that appropriate follow-up to the findings and recommendations of evaluation is undertaken by the relevant units</p>	<ul style="list-style-type: none"> <li>• IOS, College of ADGs, Oversight Committee and Sectors</li>   <li>• IOS</li> </ul>	<ul style="list-style-type: none"> <li>• Verification process established by 2007</li>   <li>• Qualitative assessment demonstrates that at least 80% of Action Plans have made satisfactory progress in implementation</li> </ul>

ANNEX 4:

34 C/4 EVALUATION PLAN (2008-2013)

Evaluation Universe	34 C/5		35 C/5		36 C/5	
	2008	2009	2010	2011	2012	2013
<b>C/4 Strategic Programme Objectives (SPO)</b>	<p>SPO 6: Promoting principles, practices and ethical norms relevant to scientific and technological development</p> <p>SPO 3: Leveraging scientific knowledge for the benefit of the environment and the management of natural resources</p> <p>SPO 14: Support to countries in post-conflict and disaster situations in UNESCO's fields of competence</p>	<p>SPO 4: Fostering policies and capacity-building in science, technology and innovation, with special emphasis on the basic sciences and energy</p> <p><i>SPO 1 &amp; SPO 2 - Phase I: Mid-term evaluation of C/5 biennial sectoral priorities</i></p> <p>SPO 11: Sustainably protecting and enhancing cultural heritage</p> <p>SPO 13: Fostering pluralistic free and independent media and infostructures</p>	<p>SPO 7: Enhancing research policy linkages on social transformations in order to contribute to human well-being and greater equality</p> <p>SPO 5: Contributing to disaster preparedness and mitigation</p>	<p><i>SPO 1 &amp; SPO 2 – Phase II: Mid-term evaluation of C/5 biennial sectoral priorities</i></p> <p>SPO 9: Strengthening the contribution of culture to sustainable development</p> <p>SPO 8: Monitoring critical emerging ethical and societal issues</p> <p>SPO 12: Enhancing universal access to information and knowledge</p>	<p>SPO 1: Strengthening UNESCO's global lead and coordination role for EFA and providing support to national leadership in favour of EFA</p> <p>SPO 2: Fostering quality education for all – from access to success in pursuit of sustainable development</p> <p>SPO 10: Demonstrating the importance of exchange and dialogue among cultures to social cohesion, reconciliation and peace</p> <p><i>Meta-evaluation of 34 C/4 Strategic Programme Objectives – A Summary Report</i></p>	

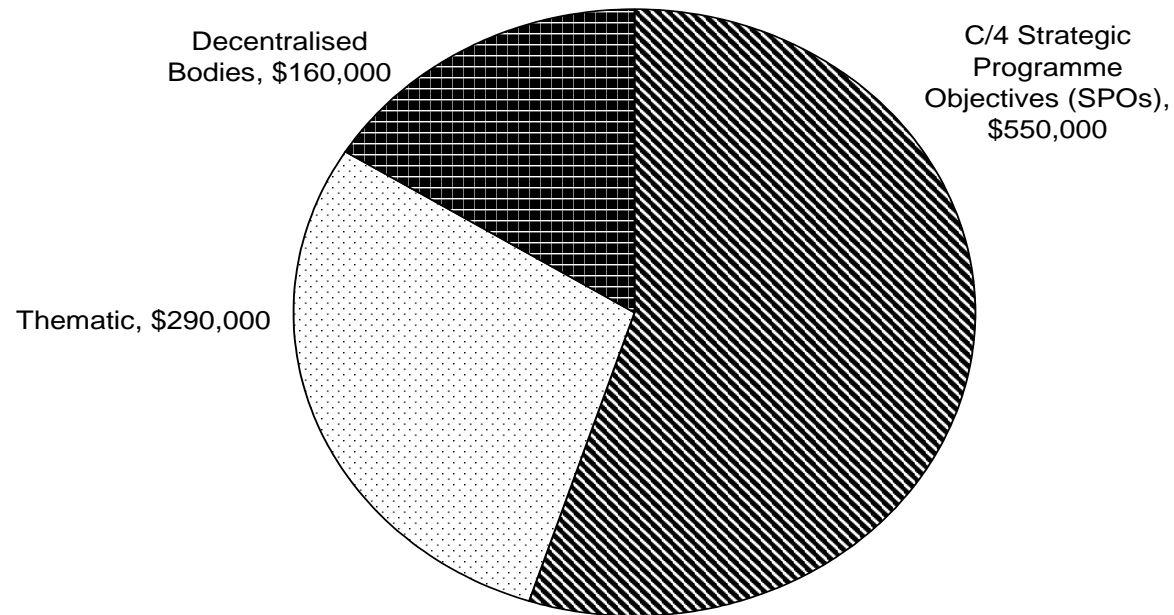
<b>Evaluation Universe</b>	<b>34 C/5</b>		<b>35 C/5</b>		<b>36 C/5</b>	
	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>
<b>Evaluation of UNESCO's established functions</b>  <b>Thematic evaluations</b>	Laboratory of ideas  Evaluation of UNESCO capacities to fulfil the Organization's mandate as reflected in document 34 C/4	Clearing House	Standard-Setter  Evaluation of UNESCO strategic policy development processes, including results-based and risk management	Catalyst for international cooperation function	Capacity-building  <u>Meta-evaluation of UNESCO key functions – A Summary Report</u>	
<b>Decentralized bodies</b>	8 pilots		12 pilots		No. of pilots (to be decided)  Institutes/Centres IICBA IESALC IITE UNEVOC IIEP CEPES	Institutes/Centres IBE UILL (UIE) UIS ICTP IHE

## ANNEX 5

### 34 C/5 EVALUATION PLAN (2008-2009)

The Evaluation Plan below is based on the 34 C/4 long-term Evaluation Plan. It is a result of extensive consultations with sectors on key evaluation priorities, and it is consistent with the UNESCO Evaluation Strategy (176 EX/26). The Evaluation Plan covers all components of the evaluation universe i.e. C/4 strategic programme objectives (SPOs), thematic evaluations, and decentralized bodies. Each SPO evaluation will comprise activities that are expected to contribute to the particular SPO. This will include activities funded through the regular budget and a representative sample of extrabudgetary funded activities. The total estimated cost of carrying out the evaluations for the biennium is \$1 million.<sup>17</sup> The chart below shows that 55% of the estimated required funds for evaluations will be for C/4 strategic programme objectives (SPOs), with the next largest element being for the thematic evaluations at \$290,000 (29%), followed by funding for evaluations of decentralized bodies evaluations at \$160,000 (16%).

**Estimated evaluation funding required by evaluation category**



<sup>17</sup> This figure excludes the funding for those evaluations for which funding is provided by donors in field offices.

Evaluation Universe	Evaluation title, focus and scope	Report Submission Date
<p><i>C/4 strategic programme objectives (SPOs)</i></p>	<p><b>Evaluation of SPO 3: Leveraging scientific knowledge for the benefit of the environment and the management of natural resources</b></p> <p>This evaluation will assess progress towards achieving the objectives (listed below) of this SPO and how progress might be enhanced through improving programme policy, design and delivery:</p> <ul style="list-style-type: none"> <li>• UNESCO's leadership for United Nations system activities in the areas of freshwater and the oceans at the global and national levels firmly established, including in United Nations system country programming exercises</li> <li>• Global monitoring reports produced periodically for the state of freshwater and oceans</li> <li>• Principles and guidelines for science-based sustainable management of natural resources agreed upon and implemented in all regions through national policies</li> </ul>	<p><i>December 2008</i></p>
	<p><b>Evaluation of SPO 6: Promoting principles, practices and ethical norms relevant to scientific and technological development</b></p> <p>This evaluation will assess progress towards achieving the objectives (listed below) of this SPO and how progress might be enhanced through improving programme policy, design and delivery:</p> <ul style="list-style-type: none"> <li>• Normative instruments pertaining to the ethics of science and technology adopted by UNESCO reflected at national levels through pertinent legislation</li> <li>• National bodies/mechanisms dealing with the ethics of science and technology, in particular with issues related to bioethics supported in all regions</li> <li>• Democratic debate at the national and regional levels about ethical implications of advances in science and technology fostered, in particular by ensuring networking and exchange of best practices and experiences</li> </ul>	<p><i>December 2008</i></p>



Evaluation Universe	Evaluation title, focus and scope	Report Submission Date
	<p><b>Evaluation of SPO 14: Support to countries in post-conflict and disaster situations in UNESCO's fields of competence</b></p> <p>This evaluation will assess progress towards achieving the objectives (listed below) of this SPO and how progress might be enhanced through improving programme policy, design and delivery:</p> <ul style="list-style-type: none"> <li>• Planning capacities of authorities in affected countries enhanced in UNESCO's fields of competence to address humanitarian, recovery, reconstruction and reconciliation priorities</li> <li>• Timely and targeted assistance provided to affected populations and institutions within UNESCO fields of competence as part of the United Nations' humanitarian, early recovery and reconstruction response</li> <li>• UNESCO input integrated in United Nations common needs assessments, OCHA consolidated appeals, strategic and programmatic frameworks, as well as funding mechanisms reflecting UNESCO's input</li> <li>• International standards and instruments in the field of education, culture, science and media applicable in post-conflict and post-disaster situations implemented</li> <li>• Safety and social protection strengthened of educational, scientific, cultural and media professions affected by conflicts and natural disasters</li> <li>• Capacities of regional organizations active in conflict prevention and peace-building efforts enhanced in UNESCO's fields of competence</li> </ul>	<p><i>December 2008</i></p>
	<p><b>Evaluation of SPO 4: Fostering policies and capacity-building in science, technology and innovation, with special emphasis on the basic sciences and energy</b></p> <p>This evaluation will assess progress towards achieving the objectives (listed below) of this SPO and how progress might be enhanced through improving programme policy, design and delivery:</p> <ul style="list-style-type: none"> <li>• Evidence-based national science, technology and innovation policies adopted by Member States in all (developing) regions</li> <li>• Global monitoring of science and technology (S&amp;T) capacities carried out</li> <li>• Institutional and human capacities in the basic and engineering sciences and energy strengthened at all educational levels, notably in Africa, LDCs and SIDS</li> </ul>	<p><i>December 2009</i></p>

Evaluation Universe	Evaluation title, focus and scope	Report Submission Date
	<p><b>Evaluation of SPO 1 and SPO 2- Phase I: Mid-term evaluation of C/5 biennial sectoral priorities</b></p> <p>This evaluation will assess the extent to which the 34 C/5 biennial sectoral priorities for the ED Sector were achieved –</p> <p>(a) <i>leading EFA, ensuring global coordination and providing assistance to Member States to achieve EFA goals and education related MDGs based on the Global Action Plans; and</i></p> <p>(b) <i>fostering quality education for all at all levels and in both formal and non-formal education, with particular emphasis on vulnerable and disadvantaged groups, to ensure access to success.</i></p> <p>The evaluation will also assess progress towards achieving the objectives (listed below) of these biennial sectoral priorities and how progress might be enhanced through improving programme policy, design and delivery:</p> <ul style="list-style-type: none"> <li>• Political commitment raised and allocation of financial resources for EFA increased at the global and national levels</li> <li>• Regular monitoring of progress at the global, regional and country level towards EFA goals, used for input to evidence-based policies by Member States</li> <li>• Literacy integrated in national education systems and plans as well as United Nations common country programming exercises in all regions, building on the United Nations Literacy Decade and Plan of Action 2003-2012</li> <li>• Institutional capacities in Member States enhanced to improve access to and quality of education for learners</li> <li>• Educational norms and standards to foster the right to education developed, disseminated and monitored at country level</li> <li>• Member States in all regions assisted in integrating ICTs in teaching and learning processes at all levels</li> <li>• Member States advised on integrating sustainable development into curricula and learning process aimed at achieving the objectives of UNDESD</li> <li>• Member States in all regions assisted in developing comprehensive education sector HIV and AIDS responses</li> </ul> <p>The evaluation will also examine the impact of the Education Sector reform on the implementation of the biennial sectoral priorities.</p>	<p><i>December 2009</i></p>

<b>Evaluation Universe</b>	<b>Evaluation title, focus and scope</b>	<b>Report Submission Date</b>
	<p><b>Evaluation of SPO 11: Sustainably protecting and enhancing cultural heritage</b></p> <p>This evaluation will assess progress towards achieving the objectives (listed below) of this SPO and how progress might be enhanced through improving programme policy, design and delivery:</p> <ul style="list-style-type: none"> <li>• The preservation of cultural heritage and its effects on development, social cohesion and peace integrated into national and local policies</li> <li>• National conservation policies and processes revised to take into account global trends such as urbanization and migration</li> <li>• New forms of international cooperation developed to deal with issues relating to return and to illicit traffic of cultural properties</li> <li>• Role of museums as gateways to knowledge societies recognized by decision-makers as part of formal and non-formal education programmes</li> </ul>	<i>December 2009</i>
	<p><b>Evaluation of SPO 13: Fostering pluralistic free and independent media and infostructures</b></p> <p>This evaluation will assess progress towards achieving the objectives (listed below) of this SPO and how progress might be enhanced through improving programme policy, design and delivery:</p> <ul style="list-style-type: none"> <li>• Integrated communication and information policies that conform with the principles of press freedom, independent and pluralistic media and contribute to the development of infostructures adopted by Member States</li> <li>• Communication and information components integrated in United Nations inter-agency strategies for conflict prevention, peace-building and good governance</li> <li>• Assistance provided to Member States on pluralistic media and infostructures supportive of democratic practices, accountability and good governance</li> </ul>	<i>December 2009</i>
<i>Thematic evaluations</i>	<p><b>Evaluation of laboratory of ideas function</b></p> <p>Performing the laboratory of ideas is one of five UNESCO functions stated in document 34 C/4. The evaluation will assess the relevance and effectiveness of UNESCO laboratory of ideas initiatives, drawing out lessons learnt that will help to strengthen future laboratory of ideas initiatives.</p>	<i>June 2008</i>

<b>Evaluation Universe</b>	<b>Evaluation title, focus and scope</b>	<b>Report Submission Date</b>
	<p><b>Evaluation of UNESCO's capacities to deliver document 34 C/4</b></p> <p>UNESCO's performance will be judged according to how well it delivers the Medium-Term Strategy (MTS). It is therefore essential that early in the period of the MTS that all stakeholders have assurance of success in this regard. This evaluation will assess the risks that might threaten the achievement of the mandate. In particular, the evaluation will assess UNESCO's capacities in terms of: staffing, finance, management systems and processes, to meet the C/4 strategic objectives. It will identify key risks and gaps in capacities and recommend actions which need to be taken to fully achieve the C/4 strategic objectives.</p>	<i>June 2008</i>
	<p><b>Evaluation of clearing-house function</b></p> <p>Performing the clearing house is one of five UNESCO functions stated in document 34 C/4. The evaluation will assess the relevance and effectiveness of UNESCO clearing house initiatives, drawing out lessons learnt that will help to strengthen future clearing house initiatives.</p>	<i>June 2009</i>
<i>Decentralized bodies</i>	<p><b>Evaluation of eight pilot locations</b></p> <p>This evaluation will focus on eight pilot countries of the United Nations Reform Scheme, i.e. Viet Nam, Pakistan, United Republic of Tanzania, Mozambique, Albania, Uruguay, Cape Verde and Rwanda.</p> <p>These evaluations will take place in two phases. First, evaluations of UNESCO's contribution to making "Delivering as One" at country level work will be undertaken. These will feed into evaluations undertaken jointly with other United Nations agencies to assess the achievements and challenges in each pilot country.</p>	<i>December 2008</i>
	<p><b>Evaluations of activities funded by donors in field offices</b></p> <p>15 UNESCO field offices will be undertaking in total 32 evaluations of activities which are funded by donors, i.e. Kinshasa – 1 evaluation, Yaoundé – 1, Bangkok – 2, Hanoi – 1, Iraq – 4, Jakarta – 5, Islamabad – 5, Dhaka – 1, Port-au-Prince – 1, San Jose – 2, Santiago – 1, Brasilia – 4, Moscow – 1, Doha – 1 and Rabat – 2.</p> <p>IOS will provide technical support and backstopping, as well as quality-assuring final reports.</p>	<i>Throughout 2008/2009</i>