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Cultural Organization

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## UNESCO EVALUATION POLICY

### SUMMARY

In accordance with 189 EX/Decision 16, the Director-General presents a revised UNESCO evaluation policy for the 2014-2021 period.



United Nations  
Educational, Scientific and  
Cultural Organization

Organisation  
des Nations Unies  
pour l'éducation,  
la science et la culture

Organización  
de las Naciones Unidas  
para la Educación,  
la Ciencia y la Cultura

Организация  
Объединенных Наций по  
вопросам образования,  
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منظمة الأمم المتحدة  
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联合国教育、  
科学及文化组织

Internal Oversight Service  
Evaluation Office

IOS/EVS/PI/141

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## UNESCO EVALUATION POLICY

## Preface

1. Since the adoption of the previous Evaluation Policy in 2008 important changes have taken place both internal to UNESCO as well as externally, including in the evaluation functions of United Nations organizations. In reflection of this, the Executive Board has asked for a revised evaluation policy signifying rising expectations regarding the transparency, accountability and effectiveness of the work of UNESCO's Secretariat and the efficient use of resources allocated for its key mandates. There is also an increasing demand regarding the role of evaluation to inform Member States' decision-making around key areas of UNESCO's work and as an objective sounding board on which activities and programmes to strengthen, while helping to decide on which activities and programmes are better placed with other actors or discontinued.

2. As UNESCO embarks on its Medium-Term Strategy, evaluation has an important role to play in helping the Organization to meet its mandate of building lasting peace and equitable and sustainable development. UNESCO is committed to becoming a learning and more accountable organization as expressed in recent requests from the Governing Bodies for improvements in monitoring, evaluation, results-based budgeting and management systems to more effectively support strategic, decision-making processes.

3. The relevance and need for stronger evaluations systems is also recognized across the United Nations system as seen by the ongoing discussions on the post-2015 development agenda. A recent resolution<sup>1</sup> of the United Nations General Assembly welcomes the efforts of United Nations agencies to collaborate with national and international stakeholders to support efforts in building national capacities for evaluation. Furthermore, UNESCO, a member of the United Nations Evaluation Group, has joined other partners to mark 2015 as the Year of Evaluation, another unique opportunity for the evaluation community to mainstream evaluation in the design and implementation of the forthcoming Sustainable Development Goals.

4. In this context, UNESCO's revised Evaluation Policy comes at a crucial time as the Organization requires evaluation to provide credible evidence about the effectiveness of its action and accountability for its results. Evaluation promotes a culture of change and a culture of results, both which are fundamental to the Organization's success. It enables decision-makers to use evaluation to develop relevant policies, to improve programme design, to optimally allocate resources, to replicate successful approaches and to redesign or terminate ineffective ones.

5. This policy therefore establishes an ambitious institutional framework for strengthening UNESCO's overall evaluation system based upon principles of independence, accountability, transparency, utility and impartiality in its evaluation practices, methodological rigor throughout, and oriented towards reinforcing organizational and national evaluation capacities. A renewed vision for evaluation in UNESCO is based on the following principles:

- An overall emphasis on **knowledge generation, programme improvement and organizational learning**, so that evaluation can serve the needs and priorities of UNESCO Member States to better achieve its mandate of building lasting peace and sustainable development;
- A **strong corporate culture of accountability** for achieving results and for using resources efficiently, supported by fully transparent reporting mechanisms;
- A **comprehensive, integrated and coherent evaluation system** with strong linkages between the corporate and decentralized system, strong alignments with UN system organizations and national development partners; and
- A renewed **commitment** by all – the UNESCO Secretariat and Governing Bodies – to support and use evaluation as a means to improve the relevance and impact of our work.

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<sup>1</sup> Building capacity for the evaluation of development activities at the country level (A/C.2/69/L.35).

## Introduction

6. This updated policy,<sup>2</sup> covering the 2014-2021 period, establishes a framework<sup>3</sup> for ensuring a stronger and more integrated evaluation system within UNESCO that provides credible evidence to support the Organization in achieving its mandate. Building on the main elements of the previous policy, the updated policy provides the opportunity to recast evaluation in line with the renewed requirements of the Organization, most notably the transition to a four-year programme cycle and its relevance to Results Based Budgeting<sup>4</sup> as well changing global priorities.

7. Furthermore, the policy is in line with good practice of current evaluation policies in the United Nations and it complies with the 2005 United Nations Evaluation Group (UNEG) [Norms](#) and [Standards](#) and its guiding principles for evaluation and addresses recommendations made by the Joint Inspection Unit.<sup>5</sup>

### I. Definition and purpose of evaluation in UNESCO

8. UNESCO subscribes to the UNEG definition of evaluation: “*an assessment, as systematic and impartial as possible, of an activity, project, programme, strategy, policy, topic, theme, sector, operational area, institutional performance, etc. It focuses on expected and achieved accomplishments, examining the results chain, processes, contextual factors and causality, in order to understand achievements or the lack thereof. It aims at determining the relevance, impact, effectiveness, efficiency and sustainability of the interventions and contributions of the organizations of the United Nations system. An evaluation should provide evidence-based information that is credible, reliable and useful, enabling the timely incorporation of findings, recommendations and lessons into the decision-making processes of the organizations of the United Nations system and its members*”.<sup>6</sup> In addition to the aforementioned standard evaluation criteria, evaluation in UNESCO includes the criteria of coherence, connectedness and coverage.<sup>7</sup>

9. The mandate for evaluation is explicitly articulated in [UNESCO's approved Medium-Term Strategy \(37C/4\) for the 2014-2021](#) period which states “*UNESCO's evaluation function plays a critical role in enabling the Organization to meet its mandate by providing credible and evidence-based information that feeds into various decision-making processes. The evaluation function is critical to turning UNESCO into a learning organization. During the period of the Medium-Term Strategy, the overarching purpose of the evaluation function will be to strengthen UNESCO's evaluation and results-based management culture through targeted evaluation activities and advisory services in support of improved organizational learning, programme improvement and accountability.*”

10. All evaluations share the dual purpose of organizational learning and accountability. Evaluation is critical to helping UNESCO as an organization to make progress towards achieving its mandate. One way that evaluation does this is by systematically analyzing the underlying causal logic and assumptions linking activities, outputs and outcomes. In doing so, UNESCO is better able to understand how its programmes are designed and how its programmes are making a difference. By generating an evidence base of what works, what doesn't and why, evaluation enables programme managers, senior management and UNESCO's Governing Bodies to make informed decisions about policy development and programming, to plan strategically and to allocate resources optimally. UNESCO's ultimate success therefore hinges in large measure on its

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<sup>2</sup> UNESCO's previous evaluation policy covering the 2008-2013 period was presented to UNESCO's Executive Board in 2007 at its 176th session (176 EX/27). At its 189th session (189 EX/Decision 16, para. 8), the Executive Board invited the Director-General to revise the evaluation policy for the 2014-2021 period, taking into consideration the recent change from six to eight years in the planning cycle of UNESCO's Medium-Term Strategy (37 C/4).

<sup>3</sup> Annex III contains the impact pathway for UNESCO's evaluation function illustrating how the corporate and decentralized evaluations systems collectively support the Organization in achieving its mandate.

<sup>4</sup> 36 C/Resolution 110.

<sup>5</sup> JIU/REP/2014/6 Analysis of the evaluation function in the United Nations system.

<sup>6</sup> *Norms for evaluation in the United Nations System* were endorsed by the UNEG in 2005.

<sup>7</sup> All evaluation criteria are defined in Annex I.

ability to conduct and to use credible evaluations. This policy establishes a strong framework for doing so.

## II. Responsibilities for evaluation

11. An effective evaluation function requires the cooperation of many actors as evaluation is a shared function, with the responsibilities<sup>8</sup> and respective accountabilities for evaluation distributed across several types of stakeholders:

- (a) The General Conference and Executive Board collectively safeguard the independence of the evaluation function. The General Conference approves UNESCO's programme and budget containing the quadrennial corporate evaluation plan. The Executive Board discusses evaluation findings and takes appropriate action to inform organizational policy, strategy and programmes.
- (b) The Director-General is accountable for UNESCO results. S/he assures the integrity and independence of the evaluation function and creates an enabling environment which recognizes the importance of evaluation as a key accountability and learning mechanism.
- (c) The UNESCO Senior Management Team considers the strategic implications of evaluation findings, ensures their implementation and use, and provides assurance to the Director-General that appropriate actions have been taken.
- (d) The Oversight Advisory Committee (OAC) advises on the adequacy and effectiveness of the evaluation function and relevant strategies, priorities and work plans.
- (e) The Internal Oversight Service (IOS) is the custodian of the evaluation function. In line with its [Charter](#), IOS is a consolidated oversight mechanism covering evaluation, internal audit and investigation. Its Evaluation Office is directly responsible for establishing an effective evaluation system to promote organizational learning and accountability for results. It is accountable for the conduct and quality of corporate evaluations and shares joint responsibility with other UNESCO entities<sup>9</sup> for establishing an effective decentralized system of evaluations. The IOS Evaluation Office, under the leadership of the IOS director, is thus fully independent from the operational management and decision-making functions in the Organization and has full authority to submit reports to appropriate levels of decision-making. The IOS director presents evaluation reports to both the Director-General and the Executive Board. IOS has the authority to select topics for evaluation and their timing. The IOS director is appointed for a one-term six year appointment<sup>10</sup> to ensure full independence of the function.
- (f) UNESCO staff in Headquarters and in field entities monitors the performance of its respective programmes, projects, service or functions to generate useful information to facilitate corporate and decentralized evaluations. Responsible staff ensures the implementation of the decentralized evaluation plan in a professional manner, ensures follow-up to corporate and decentralized evaluations, and uses all evaluation findings for future programming and learning. Responsible staff is also accountable for publically disseminating decentralized external evaluation reports.

12. The table below provides an overview of the responsibilities for evaluation of the principal actors in the UNESCO Secretariat.

<sup>8</sup> Annex II describes the respective responsibilities in detail.

<sup>9</sup> The term "other UNESCO entities" is used throughout the policy and is understood to include Programme sectors, Headquarters Central Services, field offices, category 1 institutes and centres.

<sup>10</sup> In line with the Joint Inspection Unit (JIU) recommendation in "Oversight Lacunae in the UN System" (JIU/Report/2006/2)

Organization Unit	Principal Functions
Evaluation Office of the Internal Oversight Service	<ul style="list-style-type: none"> <li>• Develops UNESCO's quadrennial corporate evaluation plan</li> <li>• Conducts corporate evaluations, meta-evaluations and synthetic reviews</li> <li>• Establishes and manages systems to strengthen the decentralized evaluation function, including quality assurance through the establishment of common evaluation procedures and methodologies, conducting meta-evaluations of completed evaluations and maintaining a roster of external evaluators</li> <li>• Provides advice to other UNESCO entities on the design and implementation of decentralized evaluations on the decentralized evaluation plan</li> <li>• Develops guidance materials and training for evaluation</li> <li>• Prepares and submits an annual report to the Director-General and Executive Board</li> <li>• Develops, synthesizes and publicizes key evaluation findings and recommendations to inform policy, programme and project design and decision-making</li> <li>• Manages a database of all evaluation reports</li> </ul>
Bureau of Strategic Planning	<ul style="list-style-type: none"> <li>• Monitors and reports on the overall implementation of UNESCO's Programme and Budget</li> <li>• Promotes adherence to decisions of the Director-General and the governing bodies in the area of programmes, ensures overall programme and budget coherence, advises on United Nations programme issues, and the systematic application of RBM and RBB including the development of coherent strategies for each of the Major Programmes</li> <li>• May commission select decentralized evaluations</li> <li>• Provides guidance on the process of self-assessment of UNESCO's approved corporate results</li> <li>• Uses evaluation findings to inform future organizational strategies</li> <li>• Provides strategic advice/input to evaluations including on strategic planning, monitoring, and United Nations system-wide issues, and ensures follow-up to evaluations in its areas of competence as applicable</li> <li>• Advises, makes recommendations and proposes future evaluations on matters of strategic importance</li> </ul>
Other UNESCO entities/field and regional offices	<ul style="list-style-type: none"> <li>• Monitor the implementation of their respective projects and programmes, including the collection of robust monitoring data on their effectiveness</li> <li>• Provide self-assessments of their respective projects and programmes</li> <li>• Commission select decentralized evaluations</li> <li>• Provide decentralized final evaluation reports for meta-analysis and synthesis by the Evaluation Office</li> <li>• Use evaluation findings to inform policy, programme and project design</li> </ul>

### III. Guiding principles for the evaluation function

13. The guiding principles of evaluation at UNESCO emanate from decisions taken by the General Conference and the Executive Board, from the commitment of UNESCO senior management to nurture an evaluation culture, from the United Nations Evaluation Group (UNEG) [Norms](#) and [Standards](#) for Evaluation in the United Nations, [UNEG ethical guidelines](#), [UNEG Code of Conduct for Evaluation](#) and the guiding principles of the policy for [Independent System Wide Evaluation](#).

14. UNESCO fully subscribes to the core principles of independence, credibility and utility as the foundation of an effective evaluation function. The principles are as follows:

<b>Intentionality</b>	The rationale for an evaluation and the decisions to be based on it must be clear from the outset. The scope, design and plan of the evaluation should generate relevant, useful, timely products that meet the needs of intended users.
<b>Impartiality</b>	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. In addition to being impartial, evaluation teams should include relevant expertise and be balanced in their gender and geographic composition.
<b>Transparency</b>	Meaningful consultation with stakeholders is an essential element for the credibility and utility of the evaluation. Full information on the evaluation design and methodology is to be shared throughout the process to build confidence in the findings and understanding of their limitations in decision-making. Evaluation reports are always made public.
<b>Ethics/ Human rights</b>	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.
<b>Equity</b>	Evaluation must strive to consider relevant equity-related issues and perspectives of UNESCO interventions. This includes an objective and systematic evaluation process so that the design and analysis of information helps to answer questions of concern to disadvantaged or socially marginalized groups.
<b>Empowerment/ Gender Equality</b>	The promotion of human rights and gender equality lies at the heart of UNESCO's mandate. Evaluations should be conducted with an understanding of contextual power and gender relations. The UNESCO <a href="#">Priority Gender Equality Action Plan for 2014 – 2021</a> and other relevant <a href="#">international normative frameworks for gender and human rights</a> serve to guide the Organization's work in these areas. As the fundamental purpose of evaluation is to help the Organization achieve its mandate, the IOS Evaluation Office aims to ensure that human rights and gender equality principles are integrated in all stages of the evaluation process, including encouraging other UNESCO entities to mainstream these principles into all decentralized evaluations. The Office also actively promotes and disseminates tools and guidance material <sup>11</sup> on integrating gender equality and human rights in evaluation so as to further strengthen evaluation practice across the Organization.
<b>Timeliness</b>	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
<b>Quality</b>	All evaluations should meet the standards outlined in the Standards for Evaluation in the United Nations System. The key questions and areas for review should be clear, coherent and realistic. 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

<sup>11</sup> The UNEG Guidance document "Integrating Human Rights and Gender Equality in Evaluations" is the principal reference to guide and promote the implementation of human rights and gender responsive evaluation practice in UNESCO evaluation.

	<p>evaluators and their intellectual integrity in applying standard evaluation methods is critical. Evaluation findings and recommendations should be presented in a manner that is readily understood by target audiences and have regard for cost-effectiveness in implementing the recommendations proposed.</p>
<b>Inclusiveness/ Participation</b>	<p>The evaluation process should be inclusive and participatory at all stages. The planning and scoping phase of evaluations must be conducted in a participatory manner to address the concerns of all relevant stakeholders. Particular attention is to be given to ensuring the participation of those actors who might be directly affected by evaluation recommendations. When possible, evaluation is conducted in partnership with national institutions as a means to enhance participation and strengthen local capacity.</p>
<b>Utility</b>	<p>Evaluation must be used to contribute to organizational learning and accountability for results. Evaluation findings should inform the decision-making processes of senior management and UNESCO's Governing Bodies in particular as it concerns programmes and their continuation, reorientation, including possible reinforcement, exit strategies or termination.</p>

#### **IV. Defining the evaluation system in UNESCO**

15. The UNESCO evaluation system, as illustrated in the figure below, consists of corporate evaluations conducted by the IOS Evaluation Office and decentralized evaluations managed by other UNESCO entities.

##### *Corporate evaluations conducted by the IOS Evaluation Office*

16. The evaluations conducted by the IOS Evaluation Office are commonly referred to as corporate evaluations. These evaluations typically assess areas of high significance or strategic importance that contribute to the achievement of UNESCO's mandate and medium-term strategy objectives. Corporate evaluations are conducted either using the internal capacities and expertise of the IOS Evaluation Office and/or with external consultants. When conducting corporate evaluations, the IOS Evaluation Office assures the quality of the entire evaluation process, including the final report and tracking the implementation of report recommendations. All completed evaluations are submitted to the Director-General and the Executive Board. IOS is fully responsible for their contents and they are issued as IOS Evaluation Office reports.

##### *Decentralized evaluations*

17. Decentralized evaluations are managed by UNESCO entities with a programmatic function, typically one of the Programme Sectors or field units, and conducted by evaluators who have not been involved in the design, implementation or management of the subject under evaluation.<sup>12</sup> Decentralized evaluations shall meet the same level of norms and standards as corporate evaluations, including the ethical guidelines and code of conduct for evaluators, referred to in Section III. For the purposes of quality assurance and to allow for the future synthesis of findings, the evaluations shall follow a standardized framework with respect to the evaluation methodology and the evaluation criteria covered.

18. Decentralized evaluations are a crucial element of UNESCO's evaluation system. First, these evaluations inform UNESCO's various constituencies, Member States, donors and partners of the merit and worth of a particular intervention. Second, they provide the respective project and programme managers with lessons learned for future project and programme improvement. Lastly, they serve as important inputs to corporate evaluations and to synthetic analyses of all evaluations in the UNESCO system, exercises which are conducted by the IOS Evaluation Office.

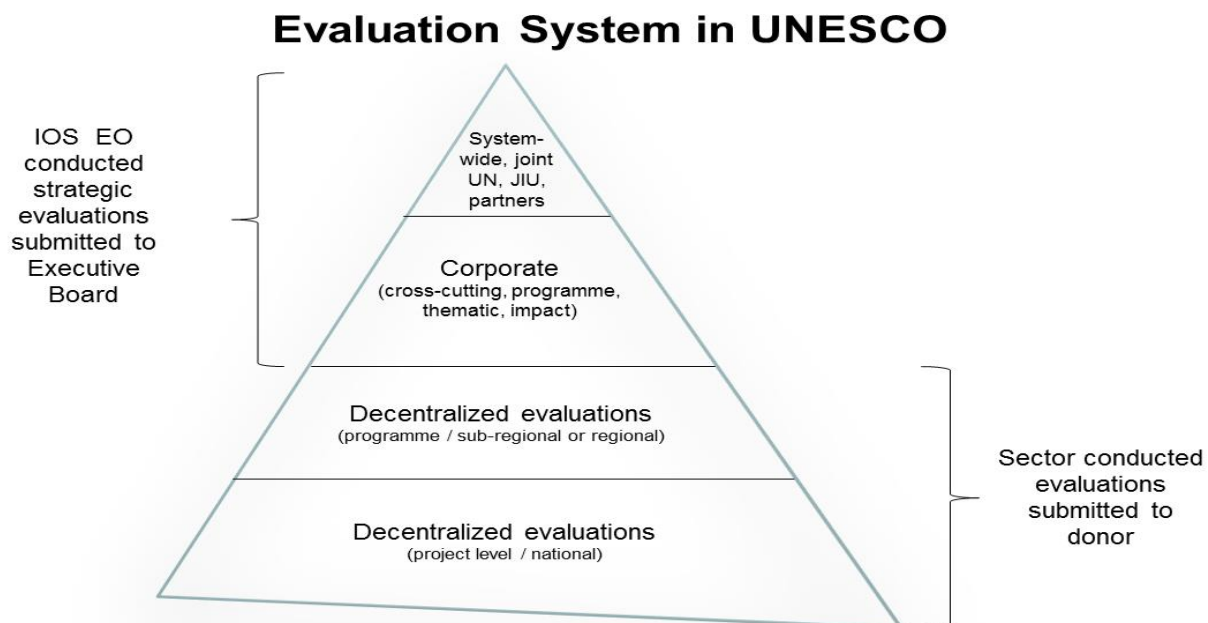
<sup>12</sup> This is in line with the principle of impartiality which provides legitimacy to evaluation and reduces the potential for conflict of interest.



19. The most common type of decentralized evaluation is at the project-level, typically donor-funded extrabudgetary activities. As per UNESCO's guidelines<sup>13</sup> on extrabudgetary activities, all extrabudgetary activities are subject to evaluation. The nature of the evaluation depends on the size and complexity of the project. The provisions for evaluation are explicitly referred to in the donor agreement and, as per the standard project document template, should also be described in the project document and budget. The evaluation may relate to an individual project, a portfolio of activities funded by a donor under a framework agreement, or a multi-donor framework funded by several partners.

#### *System-wide or joint evaluations*

19. Increasingly the United Nations system agencies are seeking to jointly evaluate their combined efforts, in particular when there are joint system-wide goals. The IOS Evaluation Office will engage in a strategic manner in joint or system-wide evaluation initiatives. This may entail management or conduct of joint evaluations or participation in system-wide evaluation initiatives, engaging in reference groups or other joint engagements. The resulting evaluation reports will also be presented to UNESCO senior management and the Executive Board.



#### **Managing the evaluation process**

20. The evaluation process for both corporate and decentralized evaluations consists of three broad phases: evaluation planning, implementation and use. Various UNESCO stakeholders, including the Governing Bodies, have distinct roles at each step of this process. Section II has already provided an overview of the main responsibilities for evaluation of key actors as it relates to these phases.

<sup>13</sup>

[A Practical Guide to UNESCO's Extrabudgetary Activities](#). An external evaluation is mandatory for all extrabudgetary projects with an allocation greater than \$1.5 million. These projects are included in the Decentralized Evaluation Plan.

21. The following chapter provides details on the evaluation planning process in UNESCO while Chapter VII describes important aspects of the evaluation use phase. With respect to the implementation phase, which includes the conduct and/or management of both corporate and decentralized evaluations, a more comprehensive description of the process can be found separately in UNESCO guidance material.

22. The management of all evaluations in UNESCO is expected to meet the professional standards and guiding principles set out in Section III of this Policy. The management of the evaluation process is guided by the following key principles:

- Adequate budget provisions for evaluation are made by the responsible manager at the planning stage of programmes and projects, both regular and extrabudgetary. Provisions are also foreseen under multi-donor programmes funded through special accounts and framework agreements covering a portfolio of projects;
- Adequate staffing provisions are made by the responsible UNESCO entities to support and strengthen the decentralized evaluation system;
- Terms of reference are developed in a participatory manner, integrating gender equality and human rights perspectives where appropriate;
- Dissemination strategies for reports and their use are developed during the inception phase;
- Evaluations are designed and implemented in a manner such that they contribute to strengthening national capacities; evaluations are undertaken in partnership with national authorities and make use of local evaluation expertise, whenever possible;
- Evaluation reports include a formal Management Response and Action Plans as a general principle;
- Evaluation reports and Management Responses are made public to promote accountability, transparency and knowledge-sharing;
- Evaluations conducted by the IOS Evaluation Office and decentralized evaluations are the property of UNESCO who has ownership over their content, dissemination or reproduction by third parties;

## **VI. Evaluation planning**

24. As the custodian of UNESCO's evaluation function, the IOS Evaluation Office is tasked with establishing a quadrennial corporate evaluation plan and with ensuring the compilation of a quadrennial decentralized evaluation plan (containing those extrabudgetary projects with an allocation greater than \$1.5 million). These plans are elaborated in consultation with UNESCO senior management, directors of UNESCO Field Offices/Institutes and other key stakeholders such as donors.

25. The IOS Evaluation Office applies the parameters in the table below to assist in the selection of individual evaluation topics. The Executive Board may also request areas to be evaluated in line with these parameters. The IOS Director maintains the ultimate authority for approving or modifying the corporate evaluation plan.

26. In selecting topics for evaluation, the IOS Evaluation Office aims to ensure adequate coverage of a broad section of UNESCO's Medium-Term Strategy (the C/4). The corporate and decentralized evaluation plans are both rolling plans, subject to periodic revision to reflect emerging organizational priorities, new projects and special requests.

27. The quadrennial corporate evaluation plan (and provisional budget) is submitted to the Executive Board as contained in the UNESCO C/5 Programme and Budget. The quadrennial decentralized evaluation plan is maintained as an internal living planning document.

28. Guided by the parameters, the content of both quadrennial plans is developed through the following modalities:

- IOS professional judgement;
- annual consultations between IOS and UNESCO entities;
- explicit decisions of the Governing Bodies;
- specific donor requests; and
- application of UNESCO guidelines<sup>14</sup> for the evaluation of extrabudgetary projects.

29. IOS, in consultation with the responsible UNESCO Sector/Field Office and respective donor, may determine that a decentralized evaluation be designated as a corporate-level evaluation and conduct the evaluation on their behalf. Planned decentralized evaluations may also be absorbed into larger IOS Evaluation Office evaluations as possible case studies, should this opportunity arise from corporate evaluations on a similar issue.

### Basic parameters for selecting evaluations

Criteria	Considerations
<b>Relevance</b>	Is the subject of evaluation an issue of corporate, strategic significance that contributes to UNESCO's mandate, strategic plan, global priorities or cross-cutting themes? Is the subject of evaluation of critical relevance for key governance issues, policy or programme formulation?
<b>Significant investment</b>	Has there been considerable investment (time, funds) in the subject of evaluation?
<b>Periodicity</b>	Has the subject of evaluation ever been evaluated and, if so, how recently?
<b>Evaluability</b>	Can the subject of evaluation be evaluated? Is it the right time and is sufficient information available?
<b>Key risks</b>	Are there any factors (political, economic, funding, structural, organizational, performance) that may prevent the subject of evaluation from meeting its objectives?
<b>Potential for replication or learning</b>	Would the evaluation help determine success factors that allow replication/scaling up? Would it provide key lessons for the next programme cycle or provide key insights in key main line of action?
<b>Demands for accountability</b>	Are key stakeholders requesting the evaluation? Is this part of a mandatory donor or trust fund evaluation?
<b>Relevance for joint &amp; system-wide evaluation</b>	Does the evaluation present an opportunity to evaluate joint activities/programmes/objectives (e.g. UNDAF, Delivery as One, SDGs, Independent System Wide Evaluation) or to contribute to a larger effort by partners (e.g. UNESCO National Commissions,

<sup>14</sup> Ibid.

national government)?

## VII. Resources for evaluation

30. An effective evaluation function requires a secure and adequate investment in financial and human resources in order to ensure the development of a professional evaluation function capable of generating credible evidence through its evaluations. This has been increasingly recognized by multilateral and bilateral partners where between 3 to 5%<sup>15</sup> of programme expenditure is earmarked for evaluation.

31. In line with emerging best practice, the policy sets an overall target of 3% of programme expenditure (regular and extrabudgetary budget resources) as the recommended minimum level of investment in evaluation. UNESCO is committed to achieving this target by drawing on the following resources:

- *Regular Programme budget allocations:* the IOS Evaluation Office receives regular programme resources as part of its C/5 budget which contribute to funding the implementation of the corporate evaluation plan; UNESCO entities also contribute regular programme resources to fund the implementation of the corporate evaluation plan. The target for regular programme resources is set at 3% of the operational or activity budget.
- *Extrabudgetary resource allocation to specific project(s):* budget requirements for the evaluation of extrabudgetary projects are stipulated in cooperation/framework agreements with donors or, in the project document in accordance with criteria established by UNESCO.<sup>16</sup> The target for funding evaluation activities related to extrabudgetary projects is set at 3% of project budgets. Two-thirds of this allocation is to be used for decentralized evaluations, project evaluation capacity-building, monitoring and evaluation, national evaluation capacity building, while one-third is to provide funding towards cross-cutting corporate evaluations, dissemination of lessons learned and synthesis work. The evaluation budget<sup>17</sup> for extrabudgetary projects contained in the decentralized evaluation plan will be managed by IOS who releases funds to the requesting office/sector after a consultative process and submission of the terms of reference. In this manner, the IOS Evaluation Office is able to assure quality of the evaluation process from the outset. Furthermore, the IOS Evaluation Office has the authority to pool project resources to initiate corporate evaluations, especially in cases where a cross-cutting, thematic, or system-wide topic has been identified.
- *Extrabudgetary support from Member States and partners:* the IOS Evaluation Office engages in targeted resource mobilization on a bilateral or multilateral basis for specific evaluations that are not adequately funded via other modalities. Member States and donors will be approached to voluntarily contribute extrabudgetary resources into a Special Account where resources are pooled to support cross-cutting corporate evaluations under the management of the IOS Evaluation Office. As part of this strategy, the IOS Evaluation Office will also consider in-kind non-monetary contributions from Member States and other sources (e.g. private sector) e.g. in the form of secondments and short-term expertise.

32. The resourcing of evaluation is consequently guided by the following key principles:

- all evaluations are properly budgeted for at the design or planning phase;

<sup>15</sup> For example, UNFPA, UN Women and Global Environment Facility (GEF).

<sup>16</sup> A Practical Guide to UNESCO's Extrabudgetary Activities. The UNESCO guidelines indicate that all extrabudgetary projects are subject to self-assessments, self-assessments with an external validation or an external evaluation. This modality is most commonly the case of decentralized evaluations whereby UNESCO programme sectors are responsible for ensuring that an adequate budget is secured at the planning phase within the framework of the project document. The IOS Evaluation Office provides guidance to the programme sectors on the cost implications for the external evaluations of projects.

<sup>17</sup> This refers only to planned decentralized evaluations i.e. projects greater than \$1.5 million.

- the IOS Evaluation Office has management authority over the evaluation budget of extrabudgetary projects contained in the decentralized evaluation plan as a means to quality assure the subsequent evaluation process;
- the IOS Evaluation Office has the authority to conduct any evaluation it chooses, including individual extrabudgetary project evaluations; and
- efforts are made to pool evaluation resources as a more efficient and effective means to evaluate cross-cutting issues of strategic value to UNESCO.
- full transparency on the allocation of resources for evaluation to all key stakeholders through annual reporting on the extent to which targets have been met at various programme levels.

### **VIII. Evaluation use**

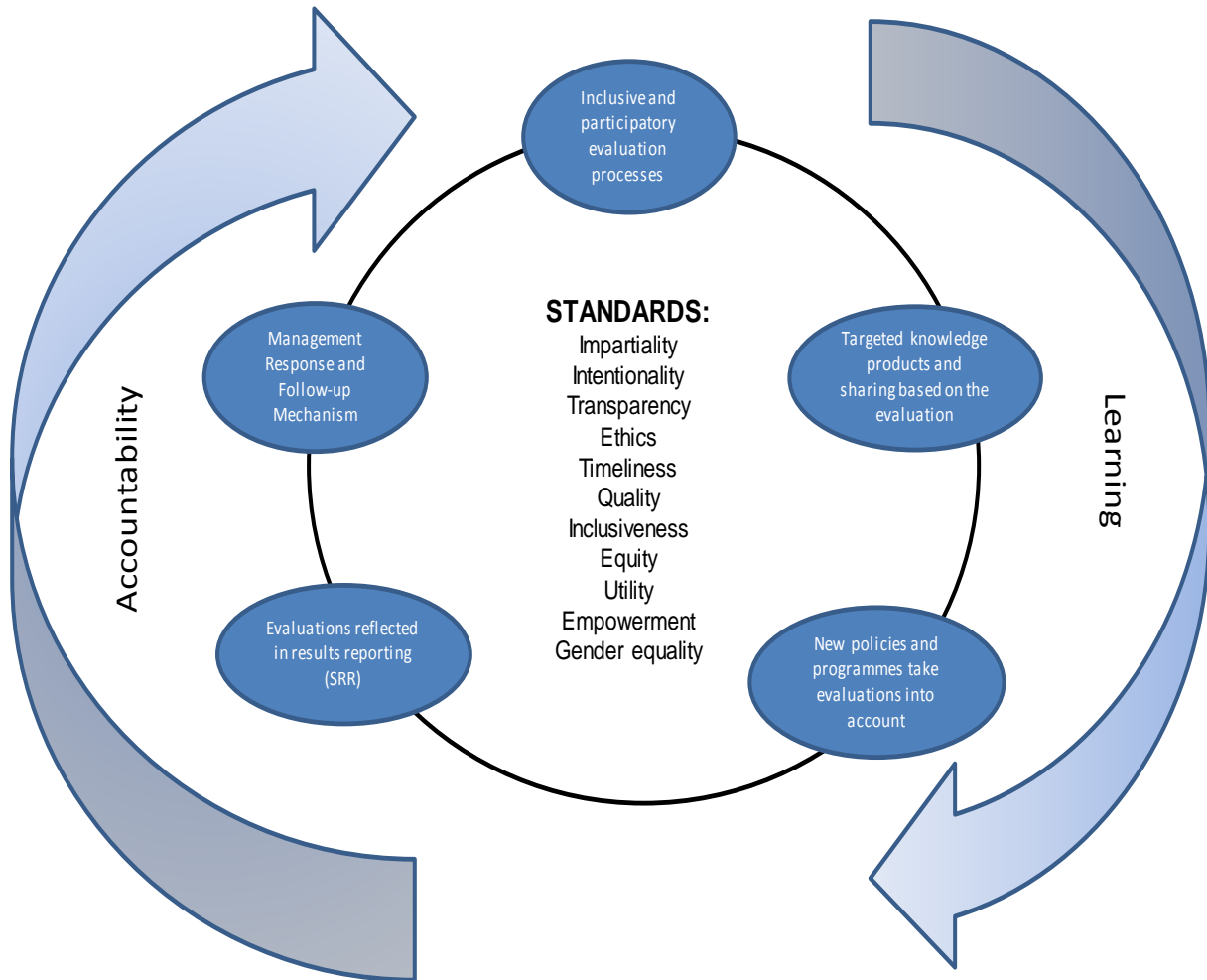
33. UNESCO recognizes that making effective use of the knowledge and learning generated by evaluations is a corporate responsibility. Effective use requires a strong evaluation culture. By participating in and using evaluations, programme staff, senior management and UNESCO's Governing Bodies alike promote a culture of organizational learning, improve transparency in the use of resources and enhance accountability for results.

34. Key standards for ensuring evaluation use as well as key stages in the evaluation process that promote use are reflected in the figure below.

#### *Evaluation process*

35. Getting stakeholders involved early on in the scoping and developing the terms of reference is essential to the subsequent use of the evaluation. This allows that the right questions are asked and that the right stakeholder concerns are addressed in the evaluation. Consultations with stakeholders, including the intended programme beneficiaries, during the implementation phase are about collecting accurate information on the evaluand in support of evidence-based analysis and findings. Finally, active engagement and participation of various target groups at the conclusion of an evaluation through communication and dissemination strategies strengthens knowledge-sharing, ownership in the evaluation results and eventually use.

## Ensuring Evaluation Use: Building an Evaluation Culture



### *Targeted knowledge products and sharing of the evaluation*

36. To facilitate a wider use of evaluation findings, the IOS Evaluation Office strongly encourages the development of communication and dissemination strategies early in the evaluation phase in order to identify key target groups and to consider the most effective approaches to knowledge-sharing in the given circumstances. The IOS Evaluation Office regularly disseminates evaluation briefs at the conclusion of corporate evaluations including a short summary of key findings and lessons learned relevant to specific target groups. Informal meetings are also held periodically with management and programme staff to share and to discuss evaluation lessons. Partners, including national authorities, donors and other international actors will be invited to discuss the evaluation results and to engage in discussions on how to apply the results of the evaluation. Other communication tools such as social media and online discussion groups are other possible venues to share evaluations.

37. All UNESCO evaluation reports are made public. The IOS Evaluation Office posts all corporate evaluation reports on the [IOS external website](#). UNESCO entities are responsible for uploading decentralized evaluation reports onto UNESCO's Transparency Portal and for sharing them with donors. The IOS Evaluation Office uploads all corporate evaluation reports to the [United Nations Evaluation Group \(UNEG\) website](#) for greater use among United Nations partners.

38. The IOS Evaluation Office also submits to the Director-General and the Executive Board an annual report of the evaluation function and regular summary reports on corporate evaluations

completed. IOS also prepares synthesis reports covering UNESCO-wide activities in a specific sector or theme so as encourage cross-cutting organizational use.

#### *Management response and action plans*

39. UNESCO evaluation reports contain a management response<sup>18</sup> as a general principle. The response should be submitted no later than one month after the completion of the evaluation providing management's overall view on the report findings and recommendations, including actions to be taken in response to significant recommendations. They form an annex to the final evaluation report. As such, this signals a strong commitment to follow-up. In most circumstances, evaluations are followed by the development of an action plan containing details on how management intends to address individual recommendations. The IOS Evaluation Office monitors progress by reporting<sup>19</sup> to the Executive Board annually on the status of implementation of corporate and joint/system-wide evaluation report recommendations. The IOS Evaluation Office also periodically reports to senior management on the status of progress and, when necessary, alerts the Director-General to areas of concern.

40. The IOS Evaluation Office holds annual consultations with concerned UNESCO entities to discuss various aspects of evaluation planning and follow-up. With regard to follow-up, the consultations are an important opportunity for the IOS Evaluation Office to learn how evaluations are being used to improve policy, programme design and implementation.

#### *Strengthening linkages between monitoring, evaluation and results-reporting*

41. An integrated results-based monitoring and evaluation system is critical to providing information about UNESCO's organizational performance. A good monitoring system is based upon the systematic collection of robust data on project and programme effectiveness. It provides a continuous flow of data tracking progress towards short- and long-term results. In doing so, it complements subsequent evaluation which makes use of monitoring data to better understand the observed and unobserved changes caused by UNESCO's interventions.

42. Ongoing improvements<sup>20</sup> to strengthen the linkages between UNESCO's monitoring, evaluation and results-reporting practices are expected to greatly enhance the use of evaluation and other performance management information. Proposed changes to the format and content for UNESCO's reporting on programme implementation (the Programme Implementation Report) is expected improve key aspects of the monitoring system. A system of self-assessment of regular programme activities and extrabudgetary projects has been established which informs the annual reporting of UNESCO's programme and UNESCO's evaluation activities.

43. During each quadrennial programme cycle, the IOS Evaluation Office provides inputs to a high-level report aimed at facilitating strategic decision-making and future planning of the Executive Board (i.e. the Strategic Results Report). As requested by the Executive Board, the report is intended to have a direct effect on the development of the subsequent Programme and Budget (C/5).<sup>21</sup> These inputs are based on a synthetic analysis of findings from corporate and decentralized evaluations. In contrast to reporting based on self-assessment, evaluations are less likely to be subject to bias and are supported by earmarked resources and expertise for evaluative analysis. Consequently, the latter provide the most credible evidence on outcomes achieved by UNESCO, as well as related effectiveness issues such as lessons learned. Through improved

<sup>18</sup> In principle, the Management Response is completed by programme managers and other parties affected by the respective recommendations.

<sup>19</sup> 189 EX/Decision 16 requests the Director-General to report annually with her own comments on evaluation findings and actions taken to implement recommendations.

<sup>20</sup> Refer to IOS reports [Formative Evaluation of UNESCO's Results Reporting](#) and [A Diagnostic Study of Evaluations of UNESCO's Extrabudgetary Activities](#).

<sup>21</sup> In particular, IOS evaluations will inform discussions on sunset clauses and exit strategies. Recall the resolution of the 37th General Conference, whereby the Director-General is requested to undertake a review during the 4-year programme cycle of the main lines of action and expected results and to propose their continuation, reorientation, including possible reinforcement, exit strategies or termination.

planning of (corporate and decentralized) evaluations, both the coverage and quality of evaluative evidence on results is expected to improve over time.

44. It is essential that all evaluation reports and self-assessments are captured in a database as only this allows for harvesting and sharing of institutional evaluation knowledge. All corporate evaluation reports, once finalized, are also uploaded on a dedicated web site which is hosted by the IOS Evaluation Office.

#### *Evaluations inform new policies and programmes*

45. UNESCO strives to ensure that evaluation findings and recommendations are appropriately reflected in new policy and programme design. IOS as the custodian of the evaluation function seeks to promote evaluation use through the production of synthesis reports reflecting lessons learned on a sector-wide and organization-wide basis.

### **IX. Quality assurance and evaluation capacity-building in UNESCO**

46. The IOS Evaluation Office has established quality assurance mechanisms for corporate and decentralized evaluations in line with UNEG norms and standards for the purpose of continuous improvement of the quality and usefulness of its evaluation processes and evaluation reports.

47. The principal components of the quality assurance mechanism include:

- The IOS Evaluation Office sets the standards for planning, conducting and using all evaluations in the form of guidance notes and methodological tools available on its website;
- The IOS Evaluation Office quality assures the entire evaluation process for all corporate evaluations in accordance with the aforementioned standards and guidelines; corporate evaluations make use of reference groups and expert groups to ensure the evaluation process meets quality expectations;
- The IOS Evaluation Office conducts periodic meta-evaluations to assess report quality across the UNESCO evaluation system and undertakes synthetic reviews of all completed evaluations, in connection with the Strategic Results Report;
- The responsible programme manager/office quality assures decentralized evaluations in line with the guiding principles for evaluation (Chapter 3) and through the application of guidelines established by the IOS Evaluation Office, including a standardized framework for the evaluation methodology and the evaluation criteria;
- UNESCO's Oversight Advisory Committee advises the Director-General on the effectiveness of UNESCO's evaluation function; and
- The IOS Evaluation Office periodically commissions an External Peer Review of the evaluation policy and evaluation function.

48. UNESCO remains committed to building its own internal capacities in evaluation. The IOS Evaluation Office provides programme staff with relevant training and guidance material to strengthen the necessary skills and knowledge required to carry out self-assessments and to manage decentralized evaluations. The conduct of formative evaluations whereby UNESCO staff participate more closely in all phases of the evaluation is another method for building an evaluation culture and evaluation capacities. The Office is also working to institutionalize a system of monitoring and evaluation focal points across the Organization, along with a customized training programme, aimed at strengthening internal capacities and improving the quality of evaluation across the UNESCO system.



## **X. Evaluation with partners**

49. The necessity of building strong partnerships is an important element of the post-2015 development agenda. Given the strong partnership elements in all of UNESCO's work, evaluations should take these into account at all levels. Partners such as national governments, national committees, implementing partners, United Nations agencies, academic institutions and private sector are reflected as appropriate in all evaluation undertakings. Partnerships are also critical to building national evaluation capacity as emphasized in a recent resolution of the General Assembly.<sup>22</sup> UNESCO remains firmly committed to reinforcing its partnerships at all levels, but orients its efforts towards the national level as much as possible. Particular emphasis is placed on utilizing local evaluation expertise in the conduct of decentralized evaluations.

50. UNESCO continues to engage in initiatives of the United Nations Evaluation Group (UNEG) and its various task forces as its principal means for fostering partnerships, including participation in joint capacity building and professionalization of the function, joint and system-wide evaluation and the continued strengthening of United Nations' norms and standards for evaluation. The IOS Evaluation Office also continues to participate in international and regional evaluation fora, networks and associations as a means of identifying new partners and strengthening existing ones.

51. Whenever possible, UNESCO will join others in undertaking evaluations, recognizing that UNESCO is only one of many actors working towards achieving United Nations system wide and global goals and commitments. This includes efforts on evaluating the work of the United Nations country team in the field, impact measurement initiatives, system-wide evaluations in line with the Secretary General's policy on independent system-wide evaluation<sup>23</sup> and as well as other opportunities for joint learning and accountability. The evaluation results of partners are also reflected to the extent possible in UNESCO's evaluation work, including in synthesis evaluation and in reporting to the Executive Board.

52. As UNESCO strengthens its decentralized evaluation function with the implementation of this policy, there will be greater efforts and opportunities to work closer with national and regional evaluation networks and associations. Decentralized evaluations also open the door to including key UNESCO constituencies such as national commission and civil society as partners in evaluation which have the added benefit of building national evaluation capacities.

## **XI. Implementation of this policy**

53. This policy supersedes the previous evaluation policy of 2008 and becomes operational once it has been discussed with UNESCO's Executive Board in April 2015. The Evaluation Office will develop a strategy for implementing the policy and will update existing guidance materials and instructions to reflect the contents of this policy.

## **XII. Review of the policy**

54. This policy was externally reviewed by UNESCO's independent Oversight Advisory Committee (OAC) and the Joint Inspection Unit (JIU) and reflects also the insights provided by a panel of evaluation experts composed of the heads of six evaluation functions in the United Nations and multilateral system.

55. The Evaluation Office will regularly monitor the implementation of the policy and report on achievements, challenges and lessons learned in its Annual Report to the Executive Board. In 2017, coinciding with the mid-point of UNESCO's Medium-Term Strategy and this evaluation

<sup>22</sup> "Building capacity for the evaluation of development activities at the country level" (A/C.2/69/L.35).

<sup>23</sup> In response to General Assembly resolution 67/226 on the quadrennial comprehensive policy review (QCPR) of United Nations operational activities for development, the United Nations Secretary-General issued a [Policy for Independent System-wide Evaluation of Operational Activities for Development of the United Nations System](#) in June 2013.

policy, the IOS Evaluation Office will conduct a comprehensive self-assessment of the policy with an external validation, the results of which will be shared with UNESCO senior management and the Executive Board.

56. A baseline peer review of the evaluation function, including the policy, should be undertaken no later than one year following adoption of the policy. Future peer reviews should be planned at regular intervals of no more than four years.

## Annex I

### Glossary of key terms<sup>24</sup>

*Coherence*: refers to the consistency of UNESCO's policies and actions with those of its key constituencies and partners; for example, consistency with Member States' development needs and priorities; and consistency with United Nations partners, particularly as it concerns issues of system-wide coherence.

*Connectedness*: refers to the need to ensure that UNESCO's action of a short-term emergency nature, especially in the framework of its post-conflict and post-disaster work, is carried out in a context that takes longer-term and interconnected problems into account.

*Coverage*: refers to the extent to which key target groups in need, especially in the framework of UNESCO's post-conflict and post-disaster work, had access to benefits and were given the necessary support.

*Efficiency*: a measure of how economically resources/inputs (funds, expertise, time, etc.) are converted into results.

*Effectiveness*: the extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance.

*Evaluability*: extent to which an activity or a programme can be evaluated in a reliable, valid and credible fashion.

*Evaluand*: the subject of an evaluation.

*Evaluation reference group*: a reference group is established during the planning phase of an evaluation. The group typically includes one member from the UNESCO entity responsible for managing the evaluation process, in addition to the relevant UNESCO sector, service or field office, implementing partner, national authorities, and donor (if an extrabudgetary project evaluation). *Evaluation reference groups have the following responsibilities: to review and comment on Terms of Reference; to participate in the selection of external evaluation teams; to help steer the evaluation by providing technical advice as necessary; to provide feedback on deliverables such as the draft and final evaluation report; and to help ensure that management uses evaluation findings and recommendations to improve programme design and implementation.*

*Expert group*: an expert group, comprised of individuals who are external to UNESCO, is established when it has been determined the IOS Evaluation Office that the subject of evaluation would benefit from specific subject matter expertise during any phase of the evaluation process e.g. evaluation design, implementation, data analysis and/or peer review of deliverables. The expert group may in some instances serve in an advisory capacity to the evaluation reference group. In exceptional circumstances only, the group may be called upon to act in a conflict-resolution capacity; namely when there are disagreements among parties about some aspect of the evaluation or evaluation process.

*Impact*: positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.

*Independent system wide evaluation*.<sup>25</sup> a systemic and impartial assessment of the relevance, coherence, efficiency, effectiveness, impact and sustainability of the combined contributions of the

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<sup>24</sup> Some of the definitions provided are taken from the OECD Development Assistance Committee Glossary of Key Terms in Evaluation and Results Based Management, 2002, and from [UNESCO Results-Based Management Guidelines](#).

<sup>25</sup> As defined in the Policy for Independent System-Wide Evaluation of Operational Activities for Development of the United Nations System, June 2013.

United Nations entities towards the achievement of collective development objectives. This includes an assessment, *inter alia*, of the implementation of policies, strategies, programmes and activities, as well as implementation of system-wide mandates and institutional performance issues.

*Inputs:* the financial, human, and material resources used for the development intervention.

*Investigation:* a specific examination of a claim of wrongdoing and provision of evidence for eventual prosecution or disciplinary measures.

*Meta-evaluation:* refers to a review of one or more evaluations against a set of professional quality standards.

*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 planned 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.

*Output:* the products, goods and services which result from a development intervention. They are within the control of the organization and attributable to it.

*Outcome:* the likely or achieved short-term and medium-term effects of an intervention's outputs.

*Relevance:* the extent to which the objectives of a development intervention are consistent with intended beneficiaries' requirements, country needs, global priorities and partners' and donors' policies.

*Review:* an assessment of the performance of an intervention, periodically or on an ad hoc basis.

*Self-assessment:* an assessment of an on-going or completed project, programme or policy, its design, implementation and results, conducted by those who are entrusted with the design and delivery of the intervention. Self-assessment is conducted at different levels of intervention (e.g. project, country, expected result) and is usually recorded in SISTER<sup>26</sup> and in a final narrative report in the case of extrabudgetary support.

*Sustainability:* the continuation of benefits from a development intervention after major development assistance has been completed.

*Synthetic review:* refers to an analytic summary of results (outcomes) across evaluations that meet minimum quality standards.

*Theory of change:* a representation of how an intervention (project, programme, policy or strategy) is expected to lead to desired results. It illustrates the pathway of change tied to the intervention – from inputs to outputs, outcomes, and impact – and articulates the key assumptions used to explain the change process. Other common terms include but are not limited to impact pathway, logic model and intervention logic.

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<sup>26</sup> System of Information on Strategies, Tasks and the Evaluation of Results (SISTER).

## ANNEX II

### Corporate evaluations - Overview of key responsibilities

Evaluation phase	Evaluation Office of the Internal Oversight Service	Director-General and other UNESCO entities	UNESCO Governing Bodies	UNESCO Oversight Advisory Committee
Planning	<ul style="list-style-type: none"> <li>organizes an annual meeting to develop the quadrennial and annual evaluation plans in close consultation with UNESCO entities;</li> <li>submits the quadrennial evaluation plan and a provisional budget to the Executive Board in the C/5;</li> <li>regularly updates the quadrennial evaluation plan to accommodate additional evaluations as necessary;</li> <li>develops targeted communication and dissemination strategies.</li> </ul>	<ul style="list-style-type: none"> <li>Director-General ensures that adequate resources are allocated to implement the quadrennial evaluation plan;</li> <li>UNESCO entities contribute resources to planned evaluations of regular programme financed interventions for which they are the principal implementing unit.</li> </ul>	<ul style="list-style-type: none"> <li>Executive Board ensures that adequate resources are allocated to implement the quadrennial corporate evaluation plan;</li> <li>Executive Board proposes topics for inclusion in the quadrennial corporate evaluation plan;</li> <li>General Conference approves the quadrennial corporate evaluation plan contained in the C/5.</li> </ul>	<ul style="list-style-type: none"> <li>Advises the Director-General and Executive Board on the adequacy of IOS Evaluation Office work plans.</li> </ul>
Implementation	<ul style="list-style-type: none"> <li>conducts and/or manages evaluations, including quality assuring all aspects of the evaluation process: evaluability assessments, drafting of Terms of Reference, selection of (external) evaluation teams, data collection and analysis, report writing and approval of all deliverables;</li> <li>submits the final report to the Director-General;</li> <li>submits summaries of completed evaluations to the Executive Board for their decision-making.</li> </ul>	<ul style="list-style-type: none"> <li>UNESCO entities provide IOS and external evaluation teams with all necessary information to facilitate the effective implementation of evaluations.</li> </ul>		
Evaluation Use	<ul style="list-style-type: none"> <li>requests a Management Response from the respective UNESCO entities for its inclusion in the final report;</li> <li>upon completion of the evaluation, meets with UNESCO entities to discuss relevant findings and recommendations to facilitate the development of Action Plans;</li> <li>requests UNESCO entities to submit an Action Plan;</li> <li>ensures the dissemination of all</li> </ul>	<ul style="list-style-type: none"> <li>UNESCO entities submit a Management Response for its inclusion in the final report within one month of completion of the evaluation;</li> <li>UNESCO entities submit Action Plans to IOS within one month of completion of the evaluation; thereafter, submits to IOS an annual progress report on the status of implementation of</li> </ul>	<ul style="list-style-type: none"> <li>Executive Board reviews the IOS annual report on recommendation follow-up and takes decisions, as necessary;</li> <li>Executive Board requests that the Director-General ensure the timely implementation of evaluation recommendations;</li> <li>Executive Board uses</li> </ul>	<ul style="list-style-type: none"> <li>Advises the Director-General on the implementation by management of IOS recommendations.</li> </ul>

	<p>evaluation reports, including Management Responses, on its external website;</p> <ul style="list-style-type: none"> <li>• meets annually with UNESCO entities to identify how evaluations have led to improvements in strategic direction, programme/project design and implementation;</li> <li>• monitors and reports to the Executive Board in its Annual Report on the overall status of implementation, including improvements in programmes;</li> <li>• conducts synthesis reviews of all evaluations completed during the programme cycle as an input to the Strategic Results Report;</li> <li>• disseminates the Strategic Results Report so that key lessons learned and evaluative knowledge can be shared across the Organization.</li> </ul>	<p>evaluation recommendations;</p> <ul style="list-style-type: none"> <li>• Director-General ensures evaluation recommendations are fully implemented within a reasonable timeframe by reporting annually to the Executive Board on the status of implementation;</li> <li>• Director-General and UNESCO entities use evaluation findings, in particular IOS' contribution to the Strategic Results Report, to make proposals for the continuation, reorientation, including possible reinforcement, exit strategies or termination of programmes;</li> <li>• UNESCO entities see that evaluation findings become part of UNESCO-wide knowledge management initiatives;</li> <li>• UNESCO entities (ADGs or Directors) periodically discuss relevant evaluation findings at meetings of the Programme Management Committee to facilitate knowledge-sharing and learning.</li> </ul>	<p>evaluation findings to inform decision-making and to improve the governance and performance of UNESCO; in particular, in the Reports by the Executive Board on its Activities and Programme Implementation to the General Conference;</p> <ul style="list-style-type: none"> <li>• Discusses the Strategic Results Report and takes decisions as necessary to strengthen the application of results-based management and budgeting.</li> </ul>	
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## Decentralized evaluations – Overview of key responsibilities

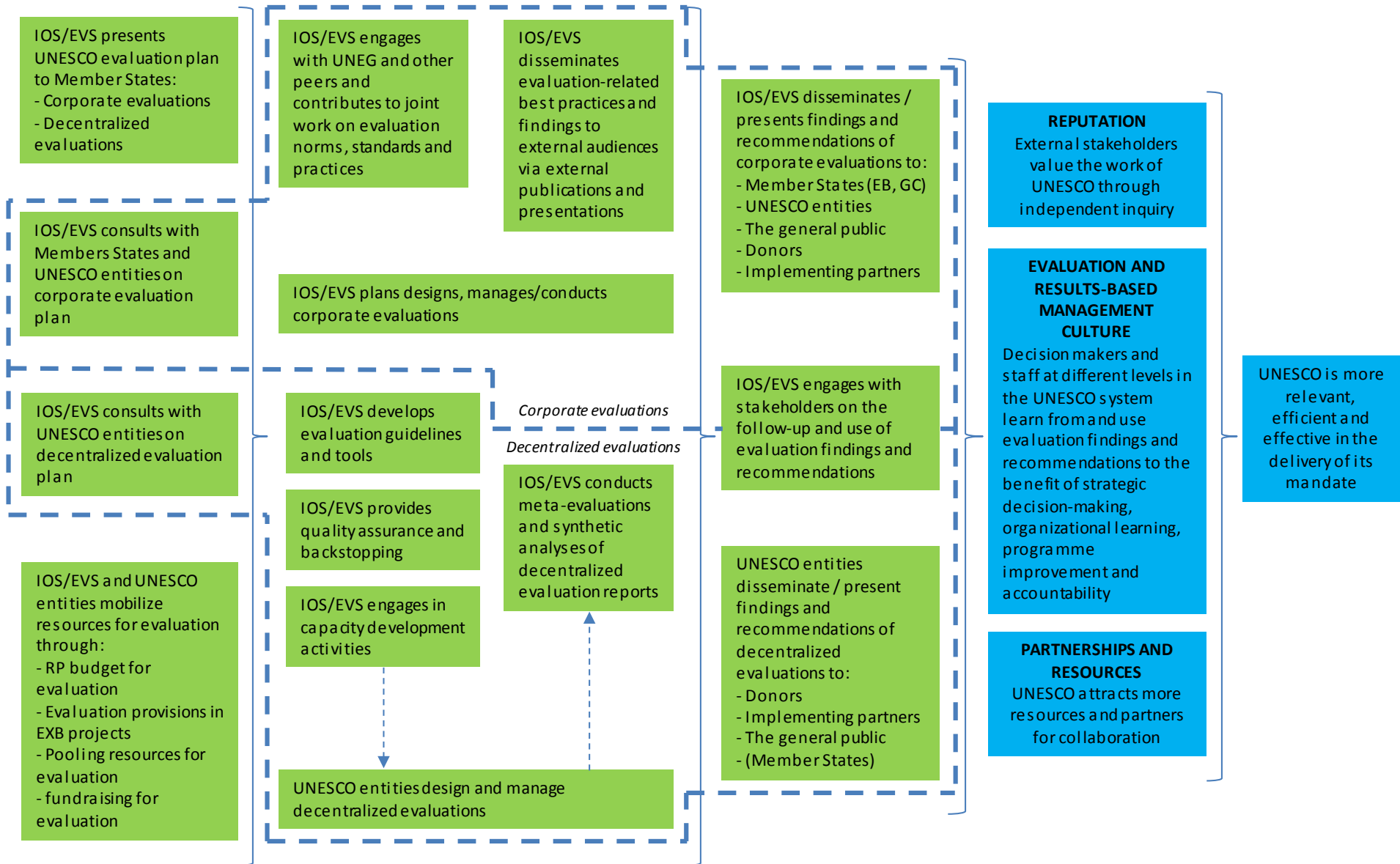
Evaluation phase	Evaluation Office of the Internal Oversight Service	Director General and other UNESCO entities	UNESCO Governing Bodies	UNESCO Oversight Advisory Committee
Planning	<ul style="list-style-type: none"> <li>organizes an annual meeting to develop the quadrennial and annual evaluation plans in close consultation with UNESCO entities, which contains the decentralized evaluation plan;</li> <li>provides necessary tools and guidance material to assist UNESCO entities with planning of evaluations.</li> </ul>	<ul style="list-style-type: none"> <li>UNESCO entities ensure that the decentralized evaluation plan meets all requirements as specified in cooperation agreements and explicit decisions of UNESCO Governing Bodies;</li> <li>UNESCO entities ensures that relevant partners at global, regional and national levels are involved early on in the planning phase;</li> <li>UNESCO entities ensures an adequate budget for all evaluations, especially with respect to provisions for the evaluation of extrabudgetary projects;</li> <li>UNESCO entities share the decentralized evaluation plan with IOS at the beginning of the programme cycle and informs IOS of any modifications in the content of the plan during the programme cycle;</li> <li>UNESCO entities develop a communication/dissemination strategy for each evaluation to ensure effective sharing of evaluation findings and lessons.</li> </ul>		
Implementation	<ul style="list-style-type: none"> <li>provides necessary tools and guidance material to assist UNESCO entities with the implementation of evaluations.</li> </ul>	<ul style="list-style-type: none"> <li>Programme Sector develops Terms of Reference in consultation with donors and key partners, select the evaluation consultants;</li> <li>Programme Sector quality assures the evaluation process and approves all deliverables including the final report;</li> <li>Programme Sector submits final report to IOS, other relevant UNESCO stakeholders and to the donor/partners, as necessary;</li> </ul>		

		<ul style="list-style-type: none"> <li>• Programme Sector undertakes self-assessments of projects in accordance with UNESCO guidelines on extrabudgetary activities.</li> </ul>		
Evaluation Use	<ul style="list-style-type: none"> <li>• organizes an annual meeting of key stakeholders to discuss recommendation follow-up and to identify how evaluation is being used;</li> <li>• conducts a synthesis analysis of all evaluations completed during the programme cycle as an input to the Strategic Results Report;</li> <li>• disseminates the Strategic Results Report so that key lessons learned and evaluative knowledge can be shared across the Organization;</li> <li>• conducts an annual meta-evaluation to assess report quality of decentralized evaluations.</li> </ul>	<ul style="list-style-type: none"> <li>• Bureau of Strategic Planning and UNESCO entities ensure that evaluations are used to inform future strategy development, programme and project design;</li> <li>• With respect to self-assessments, UNESCO entities ensure that lessons learned feed into subsequent phases of project development;</li> <li>• At the completion of the evaluation, UNESCO entities meet with all relevant counterparts, including donors and key implementing partners, to agree upon corrective measures to adopt in response to the findings of self-assessments and/or external evaluations.</li> </ul>	<ul style="list-style-type: none"> <li>• Discusses the Strategic Results Report, which contains analyses of completed decentralized evaluations, and takes decisions as necessary to strengthen the application of Results Based Management and Budgeting.</li> </ul>	



**UNESCO Evaluation Function**

**Annex III**



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