THE EVALUATION MANAGER – ROLE AND FUNCTION

CONTENTS

INTRODUCTION

This guidance note aims to cover the function of the evaluation manager and their role and responsibilities when conducting independent evaluations in the ILO. The first part provides the evaluation manager with a work flow, followed by more detailed processes for each stage of evaluation management, providing links to more detailed guidance, checklists and templates where appropriate.

For independent evaluations, the evaluation manager is an ILO staff member[1] who volunteers to conduct and develop evaluations in the interest of the organization in accordance with the *ILO Policy for Evaluation* and the *International Principles of Evaluation Practice*. They are identified by a Regional Evaluation Officer (REO) or by a Departmental Evaluation Focal Point (DEFP). If identification of volunteers is problematic, the REO or DEFP is requested to solicit the support of the Regional or Departmental Director. EVAL provides support through its own offices and through the five REOs who work with evaluation managers in the regions. For centralized evaluations, DEFPs provide support to evaluation managers. As explained in the EVAL policy guidelines, for independent evaluations, the evaluation manager is expected to have no links to decision-making for the project being evaluated. The evaluation focal points provide the evaluation manager with advice on evaluation policies, ethics and procedures, as well as the necessary guidance to conduct the evaluation process. The following are a summary of the functions of an evaluation manager.

Evaluation Manager Functions

1. **Planning the evaluation and preparing the ToR:** The evaluation manager communicates with project staff, key stakeholders on evaluation parameters and helps finalize ToR based on the substantive inputs from the Chief Technical Advisor and other project staff; Circulates the ToR for comments and finalizes the ToR.

2. Selecting and contracting consultants: The evaluation manager prepares the *Expression of Interest* text; Conducts due diligence checking references; Gets approval on consultant from EVAL focal point; Agrees with consultant on terms and conditions as per ToR and arranges for the contract to be issued with relevant ILO Offices.

3. Managing the consultant: The evaluation manager provides a briefing to the consultant; Participates in the review of the inception report, if relevant; Ensures that project staff are providing adequate access to documents and interviews; Conducts checks on the consultant work plan and time line; Working with project staff, the evaluation manager may request that project staff undertake a quick 1-2 day review of any extremely sensitive issues in the draft report before submission to stakeholders; and Ensures that the draft report and its formatting adhere to the ToR.

4. Finalizing the evaluation: The evaluation manger circulates the draft report for comments to the identified stakeholders; Consolidates stakeholder comments and returns them to the evaluation consultant. In the case where there is a workshop arranged by project staff to present the draft report, and the evaluation manager cannot attend, the stakeholders' comments are

[1] According to UNEG guidance persons engaged in designing, conducting and managing evaluation activities should possess core evaluation competencies." Contact EVAL@ilo.org for a list of ILO competencies based on the UNEG models.

recorded then forwarded to the evaluation manager after the workshop for consolidation and presentation to the consultant. The consultant is asked to consider the stakeholder comments, fill in the Evaluation Summary template, and to submit the revised draft, and all relevant documents to the evaluation manager according to the agreed upon time line.

5. Approving the evaluation: Once the consultant submits a revised draft of the report and relevant annexes to the evaluation manager, the report must be checked for adherence to the requirements of the ToR and ILO content and formatting. The evaluation manager sends the revised draft around to the REO or DEFP **and** EVAL for another quality check. Once it has been completed, the REO or EFP fills in the EVAL Submission Form and sends all the relevant documents to EVAL in HQ for final approval. See Figure 4.1, p. 18, for a graphic of the approval process.

6. Dissemination of the Report: Once notified of approval by EVAL HQ, the evaluation manager can approve the consultant's final payment and then disseminate the report to all key stakeholders, including to PARDEV for submission to the donor.

1. PLANNING THE EVALUATION AND DRAFTING TOR

1.1 IDENTIFICATION OF THE EVALUATION MANAGER

The evaluation manager is an ILO staff member[2] who volunteers to conduct evaluations in the interest of the organization in accordance with the *ILO Policy for Evaluation* and the *International Principles of Evaluation Practice*. They are initially identified by collaboration between the relevant project staff and the regional or departmental Director. The final choice of an evaluation manager for an independent evaluation must be reviewed by the REO or DEFP and the final approval of the evaluation manager must be endorsed by EVAL.

If identification of a volunteer is problematic, EVAL can provide support through its own offices and through the five REOs who work with evaluation managers in the regions. For centralized evaluations, DEFPs provide support to evaluation managers. As explained in the EVAL policy guidelines, for independent evaluations, the evaluation manager is expected to have no links to decision-making for the project being evaluated. The evaluation focal points provide the evaluation manager with advice on evaluation policies, ethics and procedures, as well as the necessary guidance to conduct the evaluation process.

1.2 BRIEFING WITH PROJECT STAFF AND STAKEHOLDERS

The ToR is one of the most critical documents in evaluation planning, serving as the contractual basis for engaging the consultant and conducting the evaluation. The ToR should present a well-focused design and provide specific instructions to the evaluator.

The evaluation manager initially reviews project documentation[3] to become familiar with the scope and activities, the logframe or theory of change of the project, and then reviews the project's

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[3] Please see Annex 1– Evaluation documentation.

implementation and any other cross-cutting issues. This review helps the evaluation manager to become aware of the project's background, planned objectives, outcomes, outputs and activities, as well as become familiar with the names of relevant project staff and stakeholders.

An initial briefing with project staff should be spent reviewing the evaluation context, and going over questions or clarifications about the project design and objectives. The Chief Technical Advisor or other project staff should inform the evaluation manager on the purpose for commissioning the evaluation, including the evaluation's stated and potential users or audience; the full spectrum of stakeholders; and the scope, objective and key questions of the evaluation.

Some examples of ILO project stakeholders are tripartite constituents, main national project partners, the ILO field office Director, field technical specialists, inter-governmental organization partners; non-governmental and local organization partners, project management, and the donor, if required. Guidance on stakeholder participation is available in *Guidance Note 7*.

1.3 DEFINING THE CONTENTS OF THE TERMS OF REFERENCE (TOR)

The *Policy guidelines for results-based evaluation* states that a reasonable amount of funds should be set aside for independent evaluations, minimum two per cent of the project budget. Determining the budget is a necessary first step to set the purpose and scope of the evaluation. The project staff confirms the budget available for the evaluation and then starts the drafting process for Terms of Reference (ToR). This is done in collaboration with the evaluation manager, and should include a work plan, as well as appropriate considerations of a human rights-based approach and a gender equality perspective.[4]

1.3.1 EVALUATION PURPOSE AND SCOPE

The **purpose** should be a clear statement of why the evaluation is being conducted and provide justification for its timing. Purpose may relate to multiple issues such as accountability, on-going improvement, or organizational learning. This section should also identify expected outcomes, primary and secondary users of the evaluation and provide a brief statement of how the evaluation will be used. The purpose and objectives are directly related to the information required by evaluation users. For example, evaluation objectives might be related to some of the following:

SAMPLE EVALUATION OBJECTIVES

- ✓ **Verifying delivery of outputs**
- ✓ **Assessing efficiency of intervention implementation**
- ✓ **Determining relevance to the results-based framework**
- ✓ **Identifying mid-course project adjustments**
- ✓ **Noting links to policy environment**
- ✓ **Exploring the establishment of sustainability mechanisms**
- ✓ **Organizational learning**
- ✓ **Providing a case for continuing funding**

[4] See EVAL Guidance Note 4: *Considering gender in the monitoring and evaluation of projects*, as well as the United Nations Evaluation Group (UNEG) publication, *Integrating human rights and gender equality in evaluation: Towards UNEG Guidance*.

The scope sets boundaries around the object of evaluation. It determines what is included in the study, and what is excluded. Boundaries can be delimited by time, geography, structure, or sequence, period of implementation, and target groups and beneficiaries.

Consultation with the project's primary stakeholders to determine the scope of the evaluation is a good way to identify some of its key parameters, and raise interest in its findings.

1.3.2 DEFINING THE EVALUATION CRITERIA AND QUESTIONS

Arguably, the most important parts of a ToR are the criteria and questions, as the questions asked will determine the answers that are received. Each evaluation conducted by ILO is expected to assess the key evaluation criteria defined by OECD DAC: relevance, effectiveness, efficiency, impact and sustainability, see Table 1. For each criterion, the ToR drafters should include two or three specific evaluation questions. As not all criteria are applicable in equal measure to each evaluation, the REOs, DEFPs or EVAL staff at HQ will be able to offer advice and input.

The main source of evaluation questions is the initial consultation with the tripartite constituents, partners and stakeholders. Formulating the "right" questions is one of the most important parts of the project evaluation process. The following is a list of questions that can stimulate discussion and help identify appropriate evaluation questions:

- ✓ **What are the evaluation objectives? Is it about 'proving' impact or 'improving' the project?**
- ✓ **How complex is the intervention? Is it a process evaluation?**
- ✓ **How is the information to be used and by whom?**
- ✓ **What resources are available (time, money and human)?**
- ✓ **Who is the audience of the evaluation study?**
- ✓ **What level of disaggregation of data is needed?**
- ✓ **What decisions are linked to results?**
- ✓ **Is the aim to build local capacity through assessment?**

1.3.3 METHODOLOGY TO BE FOLLOWED

The evaluation manager contributes to the discussion on and identification of the most efficient and effective methodology to address the purpose of the evaluation. The choice of methods depends upon many factors including: the purpose and objectives, the information needs and available sources, the complexity of the data collection process, the time allotted, and the budget.

Two methods that are used in ILO evaluations are quantitative and qualitative approaches. The *quantitative* approach is applied when evaluating or analyzing quantity and frequency measurements. The *qualitative* method is utilized to provide an in-depth understanding of the

Table 1 OECD DAC Evaluation Criteria[5]	
Relevance:	Relevance concerns the extent to which a development initiative and its intended outputs or outcomes are consistent with national and local policies, the UNDAF and DWCP, if appropriate. Is the approach of the project linked to ILO's strategic outcomes and utilizing ILO's comparative advantage? Relevance also relates to how well priorities and needs of intended beneficiaries have been addressed by the project. The UNDP also addresses a sub-category of relevance – appropriateness. This concerns the "cultural acceptance as well as feasibility of the activities or method of delivery".[6] An example of these two issues is illustrated when a project may have relevant intentions toward beneficiaries but the implementation methods or delivery is either not culturally appropriate or not actually feasible due to other local issues.
Effectiveness	Effectiveness relates to the extent that management capacities and arrangements put into place supported the achievement of results or the extent to which progress toward outputs or outcomes was achieved. This involves measuring change in the observed output or outcome; attributing the observed change to the project when possible; and assessing the value of the change, whether positive or negative.
Efficiency	OECD DAC says that "efficiency measures the outputs – qualitative and quantitative – in relation to the inputs. It is an economic term which is used to assess the extent to which aid uses the least costly resources possible in order to achieve the desired results. This generally requires comparing alternative approaches to achieving the same outputs, to see whether the most efficient process has been adopted." ILO uses the efficiency evaluation criteria to determine how economically resources or inputs (such as funds, expertise, time) are converted to results.
Sustainability	Assessing sustainability involves determining the extent to which the project has produced durable interventions that can be maintained, or even scaled up and replicated, within the local development context, or in the case of a global project – sustainable as a global approach or policy. This might entail the establishment of organizational arrangements at the public or private sector level to ensure that there will be a continuation of services or benefits once the project ends.
Impact	Evaluation looks at impact to determine if the strategic orientation of the project has contributed toward making a significant change to the broader, long-term development context. Impact also measures changes experienced by beneficiaries, target groups of capacity building, whether direct or indirect, intended or unintended. Clear attribution is usually very difficult to determine, and may have to analyzed only through an impact evaluation.

[5] Adapted from UNDP, *Handbook on Planning, Monitoring and Evaluating for Development Results*, 2009, p. 166. Available at http://www.undp.org/evaluation/handbook/.
[6] Ibid, p. 168.

situation, capturing differences and complexities in the context being evaluated. Qualitative methods are applied when an *interpretation* of a variable is sought. The main information to be included in the ToR with regard to the methodology is related to:

- ✓ **Description of the evaluation design and suggested methodological approach;**
- ✓ **Identification of information needs and possible sources for evaluation methodology;**
- ✓ **Clear statement of the boundaries of the chosen evaluation methods;**
- ✓ **Description of the subsequent analysis to be conducted on gender issues;**
- ✓ **Conditions and capacities needed to support data collection, analysis and communication;**
- ✓ **Plan for data analysis; and**
- ✓ **Description of stakeholders' involvement in the implementation of the evaluation.**

Additionally, in order to guarantee methodological rigor, validity and reliability of findings, the evaluation manager should ensure that the evaluation design (ToR) includes:

- **Multiple and appropriate methods to generate useful findings;**
- **Data collection gathered through multiple sources; and**
- **Data triangulation**

Sample ToRs can be requested from EVAL and more detailed guidance on the above subjects can be found in the following EVAL guidance documents:

Checklist 1 *Writing the terms of reference*
Checklist 2 *Rating terms of reference quality*
Checklist 4 *Validating methodologies*
Guidance 8 *Ratings in evaluation*

1.4 PREPARATIONS FOR STARTING AN EVALUATION

In addition to assisting in finalizing a well-focused ToR, the evaluation manager has other specific duties to prepare for an evaluation. The evaluation manager should:

1.4.1 Confirm the budget with project staff and administrative services before advertising for a consultant;

1.4.2 Finalize the evaluation schedule, time frame and workplan in collaboration with project staff;

1.4.3 Solicit input from project staff for the necessary initial documentation for implementing the evaluation; confirm that project staff are preparing their schedules and documentation for the upcoming evaluation; and

1.4.4 Circulate the draft ToRs to the stakeholders, and work with project management, REOs and DEFPs to finalize them after input is received.

1.4.1 BUDGET FOR IDENTIFYING THE CONSULTANT

Once project management informs the evaluation manager what funds are available for the evaluation, the evaluation manager needs to consider the level of consultant expertise that will be

required to conduct the evaluation. Will the consultant be a team leader with very high skill sets? Or will the consultant work alone and function as a data analyst only? Once the consultant's roles have been determined, the fee structure and a work organizing tool, such as a Work Breakdown Structure (WBS), help to finalize the details required to select the final evaluation consultant(s).

It should be possible to use the WBS and the calendar to come up with a budget for the evaluation that will cover the events, travel and administrative costs of the evaluation. Support from the administrative services of the relevant unit to which the evaluation manager belongs may be required for all budgetary and contractual arrangements. Some of the typical costs and activities to consider are:

Consultant(s) fee: Based on the overall budget indicated by project management the evaluation manager must determine the level of consultant appropriate for the evaluation, and what kind of supplementary evaluation team needs to be contracted. The EVAL unit can provide some support.

DSA and travel: In addition to fees, the ILO pays for travel and a Daily Subsistence Allowance (DSA). DSA is based on rates published by the International Civil Service Commission. Travel and DSA are often paid in one lump sum to the consultant who is then responsible for booking tickets. ILO does not pay business class travel for consultants.

Day-to-day travel: It is possible that further travel may be necessary within a region or country related to data collection, especially for research projects which involve a lot of qualitative approaches such as interviews, focus groups, and event observations.

Interpretation and translations: Depending on language issues the consultant may require an interpreter. In addition, there may be costs for having a translation completed, but this is usually fixed into the original budget when allotting the budget line for evaluation.

Final workshop or meeting: If there is a final workshop there may be costs, especially if there are many participants. Stakeholder involvement and funds should be considered carefully in order that evaluation participation and events meet the needs of all evaluation stakeholders.

Table 2 Sample evaluation budget

Type of Expenditure	Amount Budgeted	Amount spent	Budget Balance	Notes
External Collaborator – Evaluator	**$ 12,000**			
External Collaborator Interpreter	**$ 150**			
DSA – Travel	**$ 1,400**			
In-country trips	**$ 600**			
Final Workshop	**$ 450**			
Translation of evaluation	**$ 200**			
Total Budget	**$ 14,800**			

1.3.2 THE EVALUATION SCHEDULE:

Before an evaluator can be selected, the project staff needs to set up the evaluation schedule and fee structure. The evaluation can consider the following model to help in planning the schedule, called a work breakdown schedule (WBS). The WBS links the calendar and budget and may be helpful as a coordinating tool when scheduling evaluation implementation activities. See Figure 1 for a sample of the different tasks included in a WBS model used to organize the evaluation work.

The WBS helps to determine the level of detail, and sets out the activities, sub-activities and tasks needed to fulfill the outputs of the project or programme. The model WBS is presented with the related calendar and links to the fee structure, all of which contribute to the computation of the evaluation budget. The following elements need to be considered for completion of the WBS:

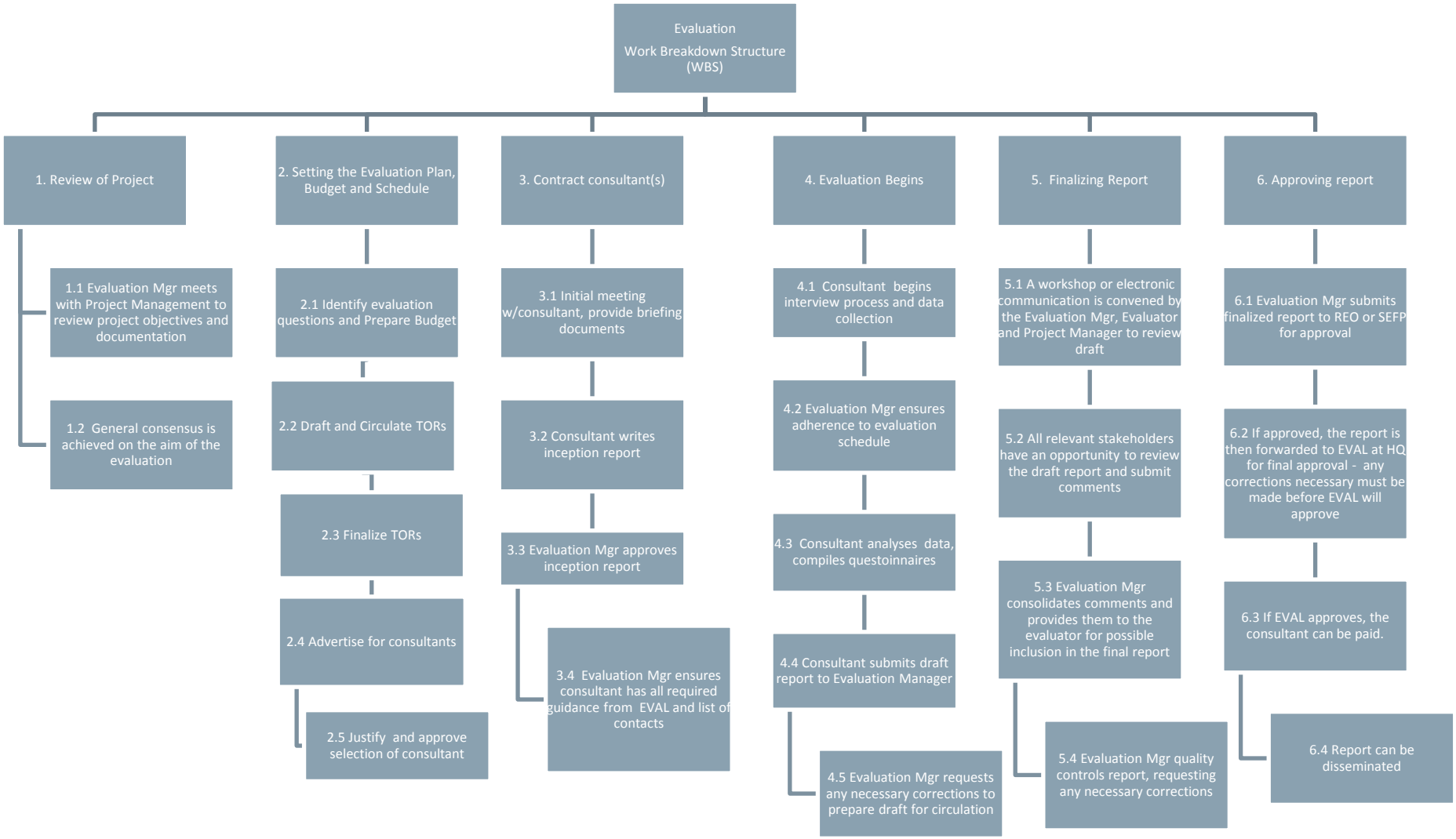
- ✓ **The sequence in which the tasks should be performed;**
- ✓ **The unit of time to be measured; and**
- ✓ **A time estimate should be determined for completion of each activity.**

Once a WBS, or some other scheduling model is finalized, the budget can then be configured (see Table 2 above) and fitted into a calendar schedule to show the progressive timeline (see Table 3).

Table 3 Sample: Calendar for the Evaluation WBS

WBS Item		Schedule						
Activity	**Task**	Jan 1-15	16-31	Feb 1-15	16-28	Mar-15	16-31	Apr-15
1	**1.1**							
	1.2							
2	**2.1**							
	2.2							
	2.3							
	2.4							
	2.5							
3	**3.1**							
	3.2							
	3.3							
	3.4							
4	**4.1**							
	4.2							
	4.3							
5	**5.1**							
	5.2							
	5.3							
	5.4							
6	**6.1**							
	6.2							
	6.3							

Figure 1 Model Work Breakdown Structure (WBS)



1.4.3 INFORMATION AND COORDINATING SUPPORT:

The evaluation manager should facilitate through project management the supply of documentation, and other sources of information, including a list of interviewees and stakeholders.

- ✓ **Project Documents**
  - **Baseline reports and related data**
  - **Monitoring reports conducting during the project**
  - **Initial project document, progress reports, extensions and budget revisions**
  - **Previous phase or related evaluation reports of the project**
  - **Other studies and research undertaken by the project**
  - **Project Beneficiary records**

- ✓ **ILO or National documentation**
  - **National development framework**
  - **UN Development Action Framework (UNDAF)**
  - **Poverty Reduction Strategy Papers**
  - **ILO Decent Work Country Programme Documents**
  - **ILO Strategic Programme Framework and Programme and Budget**

- ✓ **Coordinating contacts with evaluation participants and ILO officials**
  - **HQ and field officials should be notified of the upcoming evaluation, and stakeholders and participants identified to help them prepare for the evaluation**
  - **UN or other organizational partners and their documentation**

1.4.4 CIRCULATING AND FINALIZING THE DRAFT TORS:

The draft ToR is circulated by the evaluation manager for comments to the same tripartite constituents, partners and stakeholders from whom initial briefings and inputs were solicited. It is good practice to request comments within a specified time span. Once comments have been received, the evaluation manager consolidates the comments and works with the project staff to produce a finalized ToR. The finalized ToR should be checked by the REO or the DEFP and once they have approved it, the ToR should be stored in the *i-Track* evaluation planning record, with copies sent to the consulted stakeholders. This can be done by the REO or DEFP, or *i-Track* administrator.

2. SELECTING AND CONTRACTING CONSULTANTS

2.1 ADVERTISING AND SEARCHING FOR CONSULTANTS

For all independent evaluations, the evaluation manager is responsible for identifying an external consultant based on the expertise and background requirements stipulated in the ToR. REOs and DEFPs can offer advice on the selection process, but it is essential that there is no undue collaboration with project management in the selection of the consultant.

An open selection process is conducted to select the suitable consultant. One of the most effective, efficient and transparent ways of identifying an evaluator is by placing a public advertisement or call for expressions of interest on the various existing electronic mailing lists and networks. There are also global and regional online evaluation networks where a call for expressions of interest can be posted to solicit CVs from qualified experts.

Calls for expressions of interest should include: who is hiring, details on the assignment, the starting date and duration of the evaluation, desired expertise, the language of the report and a contact email. There are international online evaluation networks, where expressions of interest can be posted to solicit CVs from qualified experts. The ToR is usually attached to the announcement, or should be made available upon request, see the sample expression of interest ins Box 1.

Using ILO resources: The International Programme for the Elimination of Child Labour (IPEC) created an evaluation consultant database as part of its knowledge management system. EVAL has been adding consultants to this database since 2008, recording all evaluation consultants who have worked for EVAL. A brief on using this database is available.

Box 1. - Example of a call for consultants

Call for expression of interest, ILO evaluation consultancy: Uganda Industrial Relations project
The International Labour Office (ILO) is looking for an external evaluator to be the team leader for the independent mid-term evaluation of the "Utopistan Industrial Relations" project. ToR attached. The assignment is for approximately 20 days duration, spread over a period of six weeks, between 6/7-2013. This will include initial briefings in Geneva and a two-week mission to Utopistan for in-country interviews.

Academic requirements: Master's degree from a reputable university, minimum requirement
Professional experience: Established experience conducting evaluations, familiarity with the role of the UN system in addressing industrial relations issues, as well as an understanding of the ILO mandate and its tripartite and international standards foundations. Candidates should have excellent written and oral communication skills in English. Knowledge of the region would be an advantage.

Interested candidates should send their proposal outlining availability (max. 4 pages), budget and CV with three references to EVAL@ilo.org. Please indicate "Uganda Industrial Relations Project Evaluation" in the email's subject line. The deadline to submit expressions of interest is by close of business on 25 May 2012. Remuneration for this assignment will be according to UN standards.

Once a consultant has been identified, the evaluation manager must undertake due diligence to check the references. If the consultant has worked for ILO, a sample of their work can be obtained by searching the EVAL public website to review the consultant's work. EVAL has also developed a checklist for appraising potential evaluators based on ILO and UNEG criteria, see Annexes 2 and 3, which are useful to check expertise and validate references.

2.2 JUSTIFYING THE SELECTION OF A CONSULTANT

A selection justification memorandum is usually prepared for larger assignments (above US$ 30,000) to document competitive consultant selection processes in accordance with ILO requirements. A selection checklist with the names and summary of qualifications of at least three qualified candidates should be attached, after which it is sent to the REO or DEFP for approval.

3. MANAGING THE CONSULTANT

3.1 INITIAL CONSULTANT BRIEFING

The ToR forms the core part of the briefing package for the consultant, which also contains other relevant documentation. The ToR may include, if appropriate, the provision that the consultant provide an inception report to ensure the consultant's understanding of the ToR, chosen methodologies and data collection approaches, etc.

Additionally, the consultant should be provided with a range of guidance, a briefing on evaluation ethics and a form to sign, as well as specific requirements for the content organization of the report, formatting, and the identification and citing of recommendations, lessons learned, and emerging good practices.

The consultant brief should contain:

- ✓ **Contract and agreed payment schedule (to be signed and returned);**
- ✓ **Annex 1 - Terms of Reference, complete with work plan and schedule for deliverables;**
- ✓ **Annex 2 - List of individuals pertinent to the evaluation with contact details (this may require letters of introduction to be supplied by project staff);**
- ✓ **Annex 3 – *Code of Conduct for Evaluation in the ILO* – to be signed and returned; and**
- ✓ **Annex 4 – *Evaluation Documentation, Checklist 10* - A list of the key documents to be supplied by the ILO official who briefs the consultant – providing online links to these documents whenever possible.**

Project administrative support services facilitate the contractual arrangements with the consultant. Once the evaluation begins, it is the role of the evaluation manager to ensure that the consultant adheres to the work plan and schedule, that any ethical issues which arise are brought to the attention of the REO or DEFP, and that the project staff are supplying all required documentation, access to interviewees and logistical support required to implement the evaluation.

3.2 THE INCEPTION REPORT

Complex and high-budget independent evaluations often require that an inception report be completed by the evaluator. In these cases, this would have been stipulated in the ToR, and guidance on how to write an inception report is provided to the evaluator with the contract Annex 4,

Evaluation Documentation, Checklist 10. The inception report describes the conceptual framework the evaluator will use to undertake the evaluation. It also sets out in some detail the approach for data collection and the evaluation methodology, i.e. how evaluation questions will be answered by way of data collection methods, data sources, sampling and indicators. The inception report must also contain the consultant's work plan, which indicates the phases in the evaluation and their key deliverables and milestones.

Approving the inception report is an important juncture in the evaluation process because it helps to correct any misunderstandings held by the consultant, particularly regarding data collection methodologies, validity and reliability. The evaluation manager circulates the inception report for inputs to the REO or DFP, as well as project staff. Once the inception report is approved by the project staff and REO or DFP, then the evaluation can begin. The inception report should also be uploaded into the *i-Track* database.[7] It is the role of the evaluation managers to see that the consultant's work keeps to the agreed timeline, access to information is on-going, ethical principles are followed, independence is protected, and the draft report conforms to the ToR.

3.3 MANAGING THE EVALUATION PROCESS

Line management is accountable for ensuring that access to the appropriate documentation is assured, see Section 1.3.3, and Annex 1 in this guidance. The list of the documentation supplied to the evaluator at the time of contract signing is listed in Evaluation Documentation, Checklist 10, which is annexed to the consultant's contract.

The evaluation manager continuously works with project staff to keep the consultant on the timeline, ensuring throughout the process that all necessary documentation, staff interviews and mission arrangements are being met by project staff according to the ToR.

3.4 MANAGING PROBLEMS AND DRAFTING THE REPORT

Problems: The evaluation manager should bring any substantial problems encountered in managing the consultant to the attention of the REO or the DEFP. Ethical issues may endanger the independence of the evaluation and timing is usually a critical issue for these short contracts, particularly important when a project is closing. The evaluation manager monitors the evaluation process to ensure that any ethical or other issues posing a problem are brought to the attention of the appropriate ILO staff.

Access to information sources: The consultant should already have received substantial documentation at the initial briefing as part of Checklist 10. The consultant should also have been briefed on how to select and contact participants in the evaluation, **including having letters of introduction**, when necessary. Field missions will require more access to documents generated in field offices which should be facilitated by project staff, including any statistical or baseline reports, monitoring reports, previous evaluation reports.

[7] The evaluation manager can be given access to the i-*Track* database to upload any process documents, such as the inception report, meeting agendas, draft reports, consolidated comments report, as necessary. Documents can also be uploaded by the REO, DEFP or *i-Track* database administrator.

Analyzing information: The techniques for analyzing quantitative information include descriptive and/or inferential statistics. The techniques for analyzing qualitative information include content analysis (i.e., determining patterns, taxonomies, themes, etc.).

Participants: Participants in ILO evaluations are usually selected using purposive sampling methods. Project staff should determine what information is needed and select a list of participants who can provide that information. Working in collaboration, the evaluation manager and project staff ensure an adequate level of broad participation.

Evaluator management: Whether there is one evaluator or a team of evaluators, project staff and the evaluation manager should jointly try to foster an effective work environment throughout the evaluation process by establishing clear lines of communication and a participatory process.

All serious problems with the timing and delivery of the evaluation should be referred to the responsible evaluation focal point.

4. FINALIZING THE EVALUATION

4.1 PREPARING A DRAFT REPORT TO CIRCULATE

When the first draft report is circulated the evaluation manager must check it before it is circulated to stakeholders for comments or discussed through a workshop. The draft should be sufficiently finalized and any factual issues should be checked and reviewed by project staff before circulation. The draft report should contain all elements cited in the ToR and be consistent with the requirements of Checklist 5 *Preparing the evaluation report*. The consultant may be asked to make any necessary formatting or structural changes to the report as agreed upon in the ToR, as well as adequately responding to any factual errors or content omissions identified by the project staff and the evaluation manager. The evaluation manager can use Checklist 6 *Rating the quality of evaluation reports* to check report quality.

Once an acceptable draft is received it is circulated by the evaluation manager to the stakeholders.

4.2 THE FINAL EVALUATION WORKSHOP OR MEETING

The draft report is circulated to stakeholders through a workshop, meeting, or virtual meeting. In the case of larger projects (and usually already stipulated in the ToR), the budget has allowed for a final workshop or meeting. Project staff conducts the workshop and provides the draft report to all key stakeholders: tripartite constituents, partners, project management, main national project partners, ILO field office director, technical backstopper at headquarters, field technical specialists, responsible evaluation focal points, and the donor. The idea is to demonstrate that the stakeholders' input was taken into account in the evaluation process, and to provide them with a preliminary view of the consultant's findings and recommendations upon which they can comment before the report is finalized.

Box 1.1 Key stakeholders to provide comments of the draft report might be:

- Project or programme manager and key staff;
- Global, regional and/or national constituents, as appropriate;
- Main global and national partners;
- ILO Field Office Director;
- Technical backstopper at headquarters;
- Field technical specialist;
- Responsible evaluation focal point;
- Donor, if required (not for RBSA, RBTC, DWCP or thematic evaluations)

The meeting agenda should provide for review of the evaluation process, a brief discussion of the methodology used, the presentation of findings, including lessons learned and recommendations. The meeting should allow the invited participants the opportunity to request or offer clarifications, comments and suggestions. It is not always possible for the evaluation manager to attend the final workshop or meeting, but detailed notes on the feedback given during this meeting should be recorded, as these comments are later consolidated for the evaluator by the evaluation manager.

When consolidating the comments of this final meeting, whether virtual or as a workshop, the evaluation manager may choose not to take into account subjective comments on the conclusions, but should include all comments related to inaccuracies or requests for factual clarification. The consolidated comments are compiled by the evaluation manager and then sent to the evaluator by for consideration. The draft report and the consolidated comments can also be sent to the REO, DEFP or EVAL to allow for review and suggestions from the internal officials and focal points backstopping the evaluation. This input would signal to the consultant those areas that need work while finalizing the next draft.

5. APPROVING THE EVALUATION

The following matrix plots the usual submission and approval stages of the evaluation report.

Consultant: Level of Report Submission	Evaluation Manager	REO / DEFP	Stake-holders	EVAL - HQ
Draft Report	**Reviews** Consolidates all comments to be returned to consultant	**Reviews**	**Reviews**	
Revised Draft Report & Evaluation Summary	**Reviews**	**Reviews**		**Reviews**
Final Report & Evaluation Summary, plus all annexes	**Reviews and Forwards** to REP / DEFP →	**Reviews and Forwards** to EVAL HQ – Adds Submission Form →		**Approves and signals evaluation manager to disseminate report and approve final payment**

5.1 EVALUATION MANAGER APPROVAL

After receiving the consolidated comments on the initial draft report, the consultant makes any necessary revisions, prepares the Title Page and Evaluation Summary and resubmits a revised draft to the evaluation manager. At this stage, the main task for the evaluation manager is to check that the evaluation report:

- ✓ **Conforms to requirements of the ToR;**
- ✓ **Is presented with the correct formatting and has an adequate title page and evaluation summary;**
- ✓ **Required annexes are present, including the completed templates for Lessons Learned and Good Practices (also see Guidance Note 3); and**
- ✓ **Recommendations content and formatting adhere to the requirements in Checklist 5.**

The evaluation manager submits the revised draft to the REO or DEFP **and** EVAL to review and make any final suggestions, or request for any further factual changes or clarifications.

5.2 APPROVAL BY THE EVALUATION FOCAL POINT

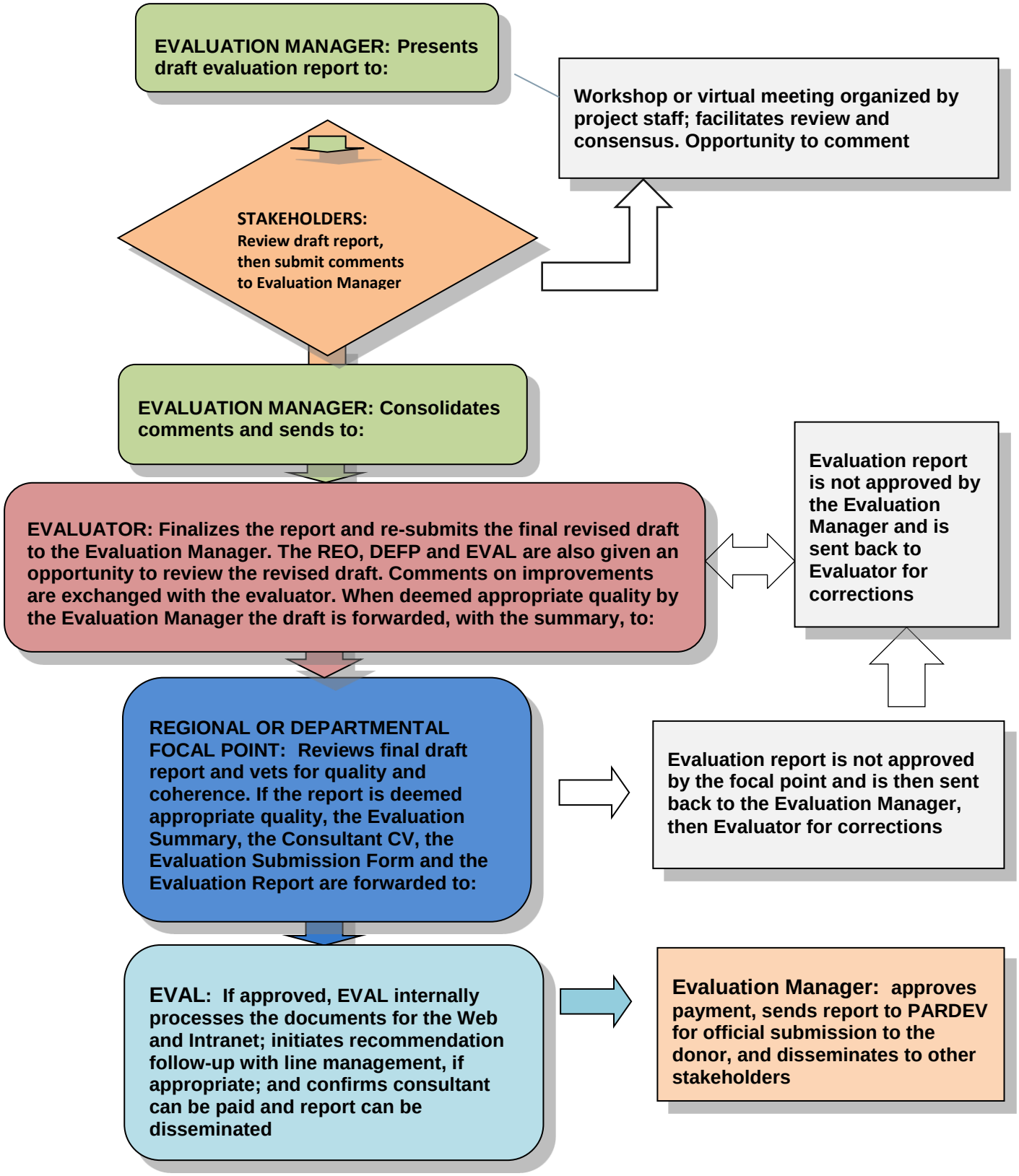
After the Evaluation Manager, the REO or DEFP and EVAL have looked over and approved the revised draft, the consultant is requested to finalize the report, which is sent by the Evaluation Manager to the REO or DEFP. Once approved by the REO or DEFP, the full set of documents is then transmitted to EVAL with the addition of the Evaluation Submission Form (filled out by the REO or DEFP) for final approval:

- ✓ **Evaluation Report with an EVAL title page, annexes should include the templates for lessons learned and emerging good practices, if appropriate**
- ✓ **Standard and other supplemental appendices to the report, ToR, people interviewed, etc.**
- ✓ **Evaluation summary, using EVAL template (should be in language of report)**
- ✓ **Any other language versions of the report**
- ✓ **CV of consultant**
- ✓ **EVAL Approval submission form (to be filled in by the REO or the DEFP).**

5.3 EVAL APPROVAL

The Evaluation Unit conducts the final control for quality. If the report needs some final adjustments it may still be sent back – through the REO or DEFP – to the evaluation manager and consultant for changes. Once EVAL gives its approval, the consultant's final payment can be authorized by the evaluation manager and EVAL initiates the follow-up to the recommendations with line management. See Figure 5.1.

Figure 5.1. Evaluation Approval Workflow



6. DISSEMINATION OF THE EVALUATION

6.1 DISSEMINATION – BY PROJECT STAFF AND EVALUATION MANAGER

Project management, the evaluation manager, and even the evaluation consultant are encouraged to be a part of sharing information on evaluations. Dissemination strategies should include formal outreach processes that are comprehensive and systematic to increase the likelihood that potential users will take action on recommendations, utilize lessons learned and conduct further study on emerging good practices. The following are some of the ways in which various actors and stakeholders disseminate and use evaluation findings and reports:

Dissemination by the evaluation manager: The evaluation manager formally submits the report to the same group of people who provided comments on the draft report, and any other stakeholders identified throughout the process or suggested by project management. The evaluation manager makes the official submission to PARDEV, who forwards the approved final report to the donor.

Project management: Project management should identify any further interested clients of the evaluation from outside the stakeholder groups, such as, UN partners, national partners, international partners, beneficiaries of development support, the wider global community, etc.

Line management: Ensures adequate follow-up to the recommendations and may initiate meetings to share lessons learned within their technical area, with links on their public and intranet websites.

Constituents: Any recommendation aimed at constituents is to be followed-up by line management, engaging constituents, and verifying the action carried out. EVAL reports in its Annual Evaluation Report on recommendations targeted at constituents.

Regional dissemination: The report, if possible and depending on budget, could be published in the local language and highlighted on regional or national websites or communities of practice.

Media: Potential events organized to profile the evaluation and circulate the findings might include:

- **Brown bag lunches, formal or informal discussion groups**
- **Newsletters – information briefs on websites**
- **Intranet, web blogs, communities of practice**

6.2 DISSEMINATION UNDERTAKEN BY EVAL

EVAL has a range of disseminating modalities for independent project evaluations.

- ✓ **Evaluation Summary: EVAL uploads the evaluation summary onto its public website**

- ✓ **Recommendations: EVAL determines whether or not the recommendations of evaluations will undergo management follow-up. If so, EVAL initiates a response exercise with Line Managers who are expected to respond with an action plan and follow-up after six months. Recommendations targeted at constituents are also analysed and included in this exercise.**

- ✓ **Lessons learned and emerging good practices: EVAL creates data sub-sets of all lessons learned and emerging good practices identified, adding thematic coding to facilitate searches and management reporting.**

- ✓ **Annual Evaluation Report: EVAL's annual report includes a listing of all project evaluations received during the reporting period, and occasionally features a brief on high profile evaluations.**

- ✓ ***i-eval Flash Newsletter:* EVAL's quarterly newsletter provides detailed articles on notable evaluations and gives links to evaluations for featured regions or technical areas of ILO work.**

7. ETHICS AT THE EVALUATION MANAGEMENT LEVEL

EVAL must ensure that consideration of ethics, human rights and cultural sensitivity is applied to all evaluation work. In doing so, ILO evaluation quality will be harmonized with diversity, people's differences and assumptions, and cross-cutting cultural issues. The evaluation manager is asked to signal the Evaluation Unit is any problems arise that relate to these ethics principles:

A. The conduct of honest, objective and fair evaluation work:

- **Declaration of any conflict of interest to clients;**
- **Evaluation design and reporting is conducted with respect to rights, privacy, and dignity;**
- **Projects or programmes are evaluated, not individuals;**
- **Inclusion and participation of stakeholders in the evaluation process; and**
- **Avoidance or reduction of harm to victims of wrongdoing.**

B. Management of any political or ethical conflicts:

- **Drawing attention to any potential conflicts before they become a problem; and**
- **Avoiding bribes or any subtle forms of influence.**

C. Fiscal transparency in the conduct of the evaluation:

- **Appropriate, prudent and well documented expenditures; and**
- **Minimization of non-trivial costs.**

D. Applying the *ILO anti-fraud Policy* (ILO, 2009) that includes:

- **The obligation to report any case of fraud; and**
- **The general obligation to undertake disciplinary or similar action in the case of identified fraud.**

ANNEX 1 STORING & ACCESSING EVALUATION DOCUMENTS

Document	Where it is stored - who uploads it	Who can download or who to contact
Key Project Documents: Project Document Budget Sheets, MOUs, Agreements	**IRIS** Uploaded by: ILO project officials or PARDEV	• **i-Track Database Administrator** • **HQ technical backstopping official** • **Any field office where IRIS is rolled out**
PARDEV Minutes: Approval Minute, Project Extensions, Budget Revisions, etc.	**IRIS:** Uploaded by: ILO project officials or PARDEV	**Any ILO Official**
Evaluation process documents: • **ToR, draft and final** • **Consultants recruited** • **Draft Report w/comments** • **Revised Draft** • **All others**	**i-Track - EVAL-Track in the *Detailed Evaluation Information Screen* –** Uploaded into i-Track by: DB Admin or the evaluation focal point	**Any ILO Official**
Final version of evaluation report and summary, plus any other public annexes	**i-Track - DOCU-TRACK,** Uploaded by: i-Track DB Admin	**All ILO Officials**
	Final report also available to Donors through **EDMS** Dashboard; Uploaded by: i-Track DB Admin	**Donors and ILO Officials**
Evaluation Summary	**EVAL Public website -** Uploaded by: i-Track DB Admin into the **WCMS**	**Public**
Consultant CV	**IPEC Consultant Database website -** Uploaded by: i-Track DB Admin	**All ILO Officials with an IPEC login**
Internal Reports	**i-Track - DOCU-Track-** Uploaded by: i-Track DB Admin	**ILO Intranet access, by request to EVAL@ilo.org**
EVAL Approval Submission Form	**i-Track - EVAL-Track Filled in and sent with all finalized documents by: REO or DEFP,** Uploaded by DB admin	• **Any EVAL staff** • **REO, DEFP**

ANNEX 2 CONSULTANT REFERENCE CHECKING QUESTIONNAIRE

OPTIONAL FORMS TO BE USED IN CONJUNCTION WITH ANNEX 3

Name of consultant:

Reference check: Organization:

Name/Title of person offering reference:

Reference checked by:

What was their position at the time the consultant worked for you?

Did the candidate report directly to you? Yes__ No__

Can you vouch for the consultant's ethical integrity? Yes__ No__

Would you hire this consultant again? Yes__ No__

How would you evaluate the consultant's performance pertaining to:

	Poor 1	2	3	4	Excellent 5
Technical ability	**1**	**2**	**3**	**4**	**5**
Problem solving	**1**	**2**	**3**	**4**	**5**
Analytical skills	**1**	**2**	**3**	**4**	**5**
Able to work with a minimum of supervision	**1**	**2**	**3**	**4**	**5**
Quality of work delivered	**1**	**2**	**3**	**4**	**5**

	Poor 1	2	3	4	Excellent 5
Report writing	**1**	**2**	**3**	**4**	**5**
Inter-personal relationships	**1**	**2**	**3**	**4**	**5**
Efficiency and ability to deliver on time	**1**	**2**	**3**	**4**	**5**
Dedication to task	**1**	**2**	**3**	**4**	**5**

Additional comments?

ANNEX 3 RATING CONSULTANT EXPERTISE

General criteria	Evaluator appears to be: (Check one for each item ✓)			
1. To what extent does the contextual knowledge of the potential evaluator qualify him/her to conduct evaluations? (Consider knowledge of the UN context; ILO context; cultural, social and political context of the country/ region in which the evaluation takes place, etc.)	Well qualified	Somewhat qualified	Unqualified	**Cannot determine**
2. To what extent does the previous experience of the potential evaluator demonstrate the ability to manage the evaluation process? (Consider items such as length of experience; relevance of experience.)	Well qualified	Somewhat qualified	Unqualified	**Cannot determine**
3. To what extent do the interpersonal skills of the potential evaluator qualify him/her fit the requirements of the proposed evaluation? How are his/her oral and written communication skills? Negotiation skills? Facilitation skills? (Look at work samples or references)	Well qualified	Somewhat qualified	Unqualified	**Cannot determine**
4. To what extent are the professional and technical skills of the potential evaluator suitable for the evaluation approach required? (Consider methodological orientation, major or minor degree specializations, etc.)	Very suitable	Somewhat suitable	Unsuitable	**Cannot determine**
5. To what extent does the previous performance of the potential evaluator qualify him/her to conduct the proposed evaluation? What prior experience does she or he have in similar settings? (Look at work samples or contact references)	Well qualified	Somewhat qualified	Unqualified	**Cannot determine**
6. How are the potential evaluator's personal attributes suited to the proposed evaluation context? (Consider such items as ethics, judgment, character, personal mannerisms, ability to resolve conflicts, etc.)	Very suitable	Somewhat suitable	Unsuitable	**Cannot determine**
Additional criteria	**Evaluator appears to be: (Check one for each item ✓)**			
7. To what extent do the language skills of the potential evaluator qualify them to conduct the evaluation?	Well qualified	Somewhat qualified	Unqualified	**Cannot determine**

8. Other qualification specifically important for the evaluation (List)	Well qualified	Somewhat qualified	Unqualified	**Cannot determine**

Expertise in ILO's cross-cutting issues	**Evaluator appears to have: (Check one for each item ✓)**			
9. To what extent does the potential evaluator have knowledge in social dialogue and expertise in working with ILO's tripartite constituents? (Consider previous work, publications etc.)	Extensive expertise	Some expertise	No expertise	**Cannot determine**
10. To what extent does the potential evaluator have gender expertise? (Consider previous work, publications etc.)	Extensive expertise	Some expertise	No expertise	**Cannot determine**
11. To what extent does the potential evaluator have expertise in international labour standards and rights-based development approaches? (Consider previous work, publications etc.)	Extensive expertise	Some expertise	No expertise	**Cannot determine**
Summary **Based on the questions above, to what extent is the potential evaluator qualified and suitable to conduct the evaluation?**	Well qualified/ suitable	Somewhat qualified/ suitable	unqualified/ unsuitable	**Cannot determine**