

Internal Oversight Division

Evaluation Manual

EDITION 2019

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LIST OF ACRONYMS

BoA	Board of Auditors
CDIP	Committee on Development and Intellectual Property
EoI	Expression of Interest
EPI	Evaluation Performance Indicator
GE	Gender Equality
GEEW	Gender Equality and the Empowerment of Women
HR	Human Rights
IAOC	Independent Advisory Oversight Committee
IIA	Institute of Internal Auditors
IOC	Internal Oversight Charter
IOD	Internal Oversight Division
IP	Intellectual Property
JIU	Joint Inspection Unit of the United Nations System
OIOS	Office of Internal Oversight Services
OECD	Organization for Economic Co-operation and Development
OECD-DAC	OECD – Development Assistance Committee
M&E	Monitoring and Evaluation
MTSP	WIPO Medium Term Strategic Plan
RG	Reference Group
SMART	Specific, Measurable, Achievable, Realistic and Time-bound
ToR	Terms of Reference
UNEG	United Nations Evaluation Group
UN SDG	UN's Sustainable Development Goals
UN SWAP	UN System-wide Action Plan on Gender Equality and the Empowerment of Women
WIPO	World Intellectual Property Organization

1. INTRODUCTION

WHY THIS MANUAL?

1. This Evaluation Handbook has been developed to:
 - (a) Define the processes to be performed when conducting evaluations,
 - (b) Provide a basic understanding for evaluators and IOD or staff in programs of the purposes, processes, norms, standards and guiding principles for evaluation as stipulated in the Internal Oversight Charter (IOC)¹;
 - (c) Increase knowledge of the essential elements of the evaluation process in WIPO;
 - (d) Support developing an evaluation plan and managing, designing and conducting quality evaluations;
 - (e) Encourage using evaluation for managing for results, learning and accountability; and
 - (f) Enhance the results-based culture within WIPO and improve the quality and impact of programs and projects.
2. This document should be read in the context of the WIPO Evaluation Policy (2nd Edition, 2016-2020).

WHO IS THIS MANUAL FOR?

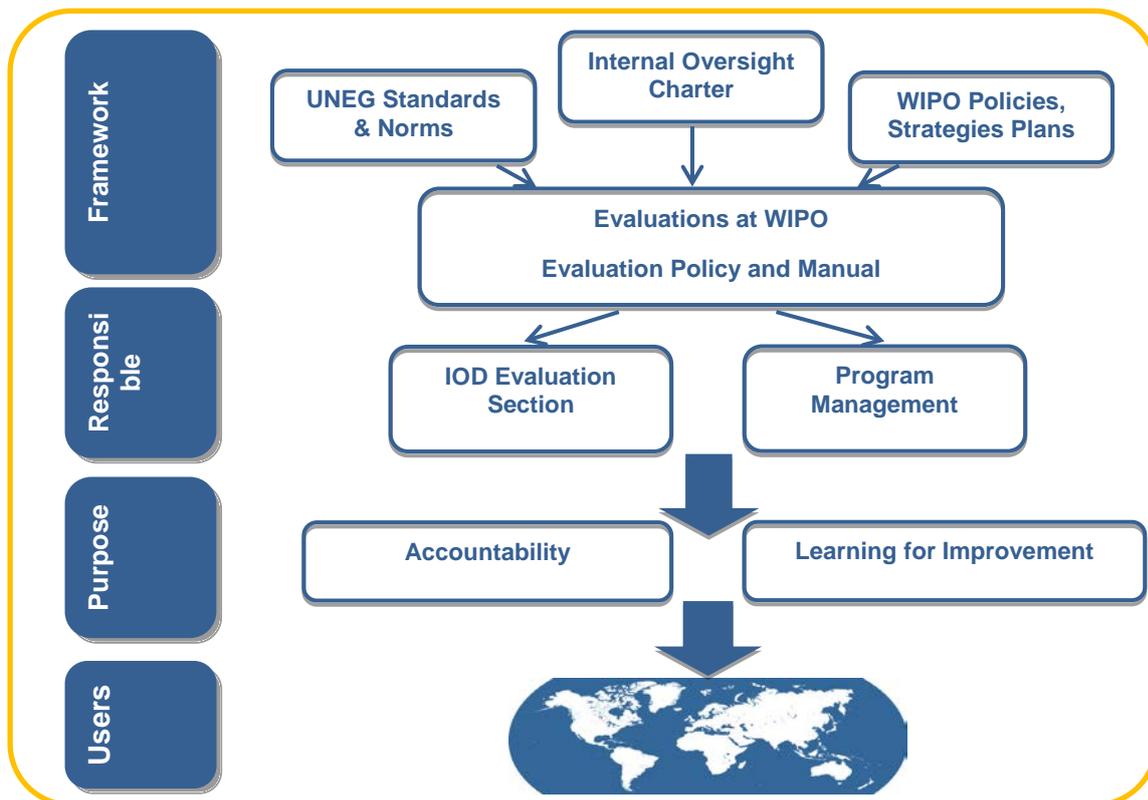
3. This manual has been designed for a wide range of stakeholders involved in the evaluation of WIPO programs/projects, in particular:
 - (a) Staff of IOD conducting evaluations;
 - (b) Managers of projects/programs;
 - (c) External consultants/experts engaged to conduct evaluations on behalf of IOD or programs; and
 - (d) Any staff involved in an evaluation, whether their role in the evaluation.
 - (e) Evaluation intended user having a stake in the evaluation (e.g evaluation reference group members)
4. Evaluations conducted within WIPO should be conducted in accordance with this manual.

¹ After review by the IAOC, issue an internal audit manual, an evaluation manual, and an investigation manual. (see Financial Regulations and Rules, Annex I – Internal Oversight Charter para. 28. (c)).

EVALUATIONS IN THE WIPO CONTEXT

5. Evaluation is an essential part of WIPO's work. It helps us understand how WIPO's work impacts on beneficiaries and it contributes to more effective planning and management of work. The following diagram explains evaluations in the WIPO context.

Exhibit 1. Evaluation's role in the context of WIPO



6. WIPO centralized evaluations are led by the Internal Oversight Division (IOD), Evaluation Section.

Roles and responsibilities

7. An effective evaluation function requires the cooperation of many actors as evaluation is a shared function, with the responsibilities and respective accountabilities for evaluation distributed across several types of stakeholders.

Roles and responsibilities of the Internal Oversight Division

8. IOD will ensure that:
- (a) Independent evaluations are part of the Internal Oversight Plans and are conducted and implemented accordingly;
 - (b) An appropriate share of the Internal Oversight budget is reserved and used in an efficient manner for evaluations;
 - (c) The Evaluation Section, as part of IOD, performs its function independently from other WIPO management functions to ensure impartial reporting;
 - (d) Evaluation Section staff and externally contracted evaluation consultants are protected against undue influence to enable them to express their opinions in an objective and impartial manner;
 - (e) Evaluations are conducted by staff who has relevant educational background, qualification and training, as well as professional work experience;
 - (f) Evaluation policies, procedures, methodologies and guidelines based on United Nations Evaluation Group (UNEG) Standards and applicable to the whole Organization are developed and updated;
 - (g) Terms of Reference for evaluations are developed for each independent evaluation, in full consultation with program and project managers;
 - (h) Prior to finalization of evaluation reports evaluation findings, conclusions and recommendations are discussed by program managers;
 - (i) Independent evaluation reports are sent to the DG with copies to the Independent Advisory Oversight Committee (IAOC) and the External Auditors. They are discussed at IAOC meetings and with Program Managers. IAOC advises IOD on any issues related to evaluations;
 - (j) The Outcomes of Evaluation Reports are included in the Internal Oversight Reports;
 - (k) User-friendly mechanisms for the publication and dissemination of findings and lessons from evaluations are applied;
 - (l) Evaluation awareness raising and capacity development are developed for WIPO staff;
 - (m) Adequate support is given to program and project managers for the planning, conduct and use of decentralized evaluations; and
 - (n) Evaluation staff contributes to WIPO's results-based management processes, as required.

Roles and responsibilities for decentralized evaluations by the Programs

9. All Program and Project Managers ensure that:

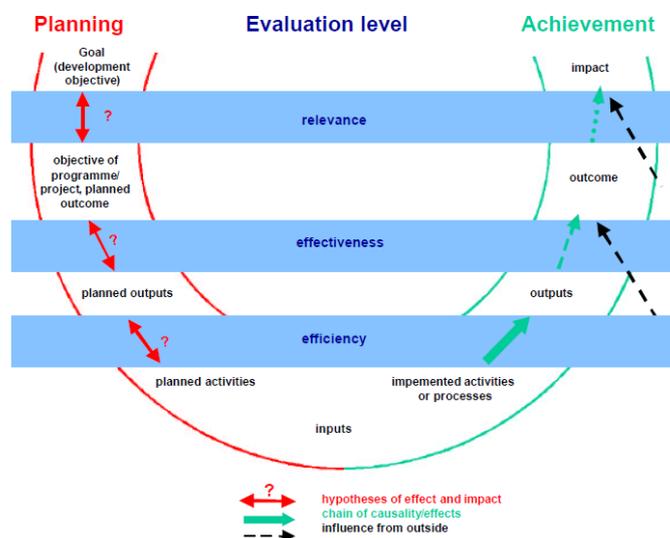
- (a) The WIPO Evaluation Policy, WIPO evaluation procedures, methodologies and guidelines are adhered to and applied;
- (b) Staff managing evaluations and externally contracted evaluation consultants are provided information that is necessary to conduct evaluations in a comprehensive, objective and impartial manner and that they can conduct interviews as deemed necessary;
- (c) The evaluability of WIPO Programs and Projects is enhanced and that Programs and Projects are systematically evaluated;
- (d) Adequate evaluation knowledge exists among their staff; and Evaluation results are appropriately shared within their Programs and the Organization and effectively used.

HOW CAN EVALUATION BE DEFINED?

10. An evaluation is a systematic, objective and impartial assessment of an on-going or completed project, program or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, its efficiency, effectiveness, impact and sustainability. An evaluation should contribute to learning and accountability and provide credible, evidence-based information, enabling the incorporation of findings and recommendations into the decision-making processes of WIPO².

Exhibit 2. Planning and Evaluation at three different levels

Planning and Evaluation at the 3 levels of results:



² See Internal Oversight Charter para 5.

Table 1: Evaluation Criteria³

Criteria	Definition
Evaluation criteria	
Relevance	The extent to which the intervention conforms to participants' and other stakeholders' needs, compliments existing initiatives, and aligns with organizational mandates and policies.
Efficiency	The extent to which resources and inputs are managed and used in an optimal way.
Effectiveness	The extent to which intended outcome-level results are being achieved.
Impact	The lasting changes – positive and negative, intended and unintended – arising from the intervention.
Sustainability	The degree to which processes started and results obtained are likely to remain in place after Program/project completion.
Human Rights and Gender	The extent to which the Program/ project is following a human rights based approach and addresses issues such as equality and non-discrimination, accountability and social transformation.
Gender	The extent to which the Program/ project is based on a gender responsive approach with a particular focus on equal participation, inclusion and empowerment of men, women, marginalized and vulnerable groups.
Additional criteria that may be used in WIPO evaluations	
Design	The extent to which appropriate and participatory planning processes took place; the existence and suitability of logical frameworks and performance indicators.
Partnership and Cooperation	The extent to which effective partnerships were established and maintained; the extent of alignment and contribution to the One UN, UNDAF, and other coordination mechanisms.
Innovation	The extent to which innovative approaches were successfully used or emerged from implementation.

WHAT ARE THE KEY SUCCESS FACTORS FOR EVALUATIONS?

11. Evaluations are intended to increase accountability and learning and to provide valuable feedback to improve performance. A number of factors contribute to the success of an evaluation including:

- (a) Is the evaluation *utilization* based: is it linked to an event or decision that needs to be taken?
- (b) The extent of *consultation* and *inclusiveness* of the evaluation: how much stakeholders were engaged in the evaluation design, conduct and formulation of recommendations?

³ The definitions have been slightly rephrased from the original reference.
<http://www.oecd.org/dac/evaluation/dacriteriaforevaluatingdevelopmentassistance.htm>

- (c) The extent to which the potential *users* and *uses* of the report are considered and can participate throughout the evaluation process;
- (d) The extent to which the work being assessed can be *linked to a performance framework or logical framework*: can the work be assessed against clear objectives, baselines or benchmarks?
- (e) The existence of baseline information, counterfactuals, targets, etc.;
- (f) Whether a clear *link* can be drawn between findings, conclusions and recommendations;
- (g) Recommendations are SMART (Specific, Measurable, Achievable, Realistic and Time-bound); as well as
- (h) *Actionable*– do the recommendations make sense in the context of the program/project?
- (i) Management is engaged in the *response* process and commits to take action;
- (j) The existence of an implementation tracking process.

WHY IS EVALUATION IMPORTANT?

12. Ultimately, the information obtained through evaluation and the processes for gathering it serve four main purposes: accountability, organizational learning, knowledge generation, and opportunities for dialogue. Evaluation enables these as follows:

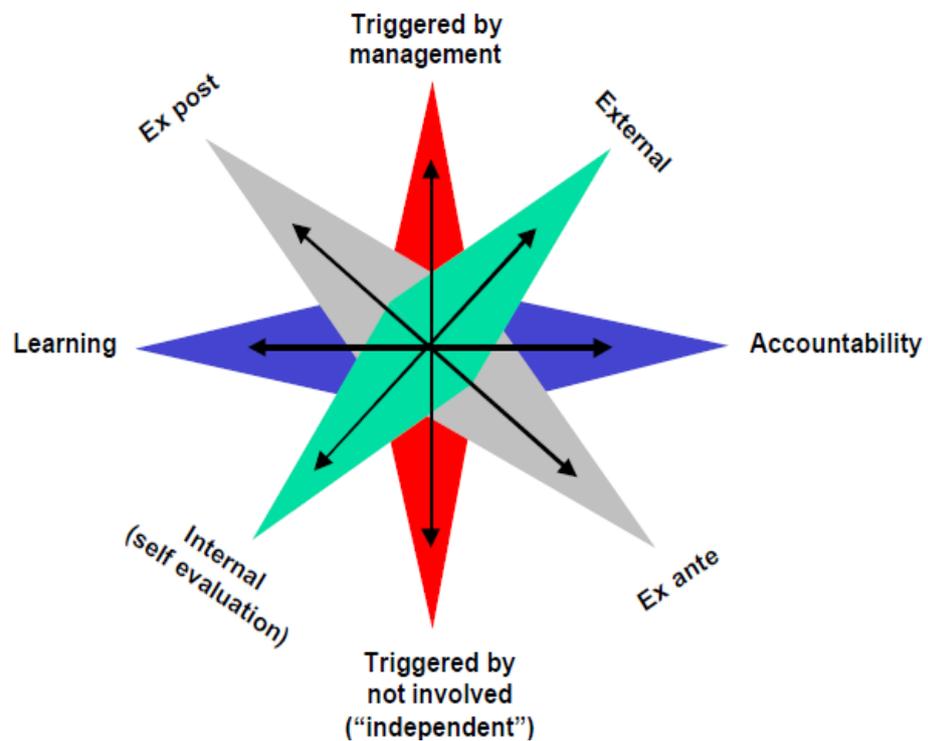
- (a) **Accountability:** By assessing compliance with established conventions, treaties, norms, policies and plans. Accountability is achieved through independently conducted evaluations that accurately and fairly report on performance results to WIPO at large, Member States and other stakeholders;
- (b) **Organizational Learning:** By measuring the extent to which intended and unintended results are or are not achieved and their impact on stakeholders. Evaluation also deals with answering difficult questions, such as whether the organization is doing the right things and whether it is doing things right. In this sense, evaluation is an important source of evidence about what works, what doesn't and why;
- (c) **Knowledge Generation:** By producing substantive knowledge about the specific topics that are part of an organization's mandate, and about innovative practices. This knowledge is generally found in the recommendations and lessons learned contained in evaluation reports. Such information is compiled from multiple evaluations and then synthesized and shared; and
- (d) **Opportunities for Dialogue:** By providing a useful platform for stakeholders to come together to discuss the subject of the evaluation and other areas of common interest. Inclusive evaluation processes help to build relationships and ensure a better understanding of participants' and other stakeholders' needs and interests, as well as opportunities for further collaboration.

13. Evaluations can create the space for participants to reflect on an intervention. It may inspire new ideas that lead to change such as new partnerships or new initiatives. Thus, evaluation as an agent of change is often an intervention in itself.

Exhibit 3. Purposes of evaluation

Evaluation Star

Emphasis may be put on each line between „extremes“



WHAT ARE THE TYPES AND DIMENSIONS OF EVALUATION?

14. A range of different types of evaluations exist which provide an assessment of organizational performance from a number of different perspectives. Balancing the types of evaluation with the needs of the organization is an important planning consideration.

Table 2: Type of Evaluation

Type of evaluation	Definition
Strategic evaluations	Strategic evaluations provide knowledge on the strategic relevance of programs and their contribution in the achievement of the strategic goals of the Organization. They can also look at WIPO's contribution to system-wide goals such as the UN's Sustainable Development Goals (SDG).
Thematic evaluations	The aim of thematic evaluations is to analyze the Organization's experience and practice in addressing cross-cutting issues such as knowledge management, capacity building or equity and to derive conclusions and lessons for the whole Organization.
Country evaluations	These types of evaluations provide an assessment of the performance and impact of WIPO's assistance to a country and aim to contribute to optimize the portfolio of its activities.
Program evaluations	Program evaluations assess the efficiency and effectiveness of programmatic areas of sectors or departments (as defined and described in the WIPO Program and Budget documents). They also assess the relevance and sustainability of results as contributions to medium-term and longer-term goals.
Project evaluations	This involves evaluation of one or more activities designed to achieve specific objectives within specified resources and time frames; the project could be part of a broader program. These Evaluations are undertaken throughout the implementation cycle and improve project impact and performance by contributing to learning.
Organizational Assessments	These are aimed at understanding and improving performance. Whilst four main criteria: Effectiveness, Efficiency, Financial Sustainability and Relevance, are often used, the purpose is to go further and use the evaluation as a diagnostic tool for organizations implementing an internal change or strategic planning process, or both. Organizational assessment goes beyond measuring the results of an organization's programs, products and services. ⁴

⁴ Lusthaus C., Adrien M., Anderson C. and Carden F. 1999

HOW IS EVALUATION RELATED TO OTHER TYPES OF OVERSIGHT AND RELATED DISCIPLINES?

15. In addition to evaluation, there are other assessment practices and disciplines that help to ensure decision makers and stakeholders have sufficient understanding and oversight of public policies, Programs and projects. This section distinguishes evaluation from monitoring and from other activities. It also describes the formal types of oversight within the United Nations System.

Monitoring

16. Monitoring is a continuous part of Program/project management that involves the systematic collection and analysis of data based on the intervention's indicators. This data helps determine the progress being made in implementing activities, achieving results, and using allocated resources. Monitoring aims to keep interventions on track and ensure timely decision-making needed to improve their design and functioning.

17. Information collected through monitoring is an important source of data used in evaluation processes to understand what is happening. It is typically quantitative information on individual indicators collected on an ongoing basis by Program or partner staff. Monitoring and evaluation, together with planning, are the foundation for RBM.

18. Evaluation is conducted at specific points in time and uses multiple sources and types of data. It is usually conducted by independent oversight bodies and sometimes by external consultants. Evaluation provides more detailed information such as why and how things are happening.

Review

19. A review is a periodic or *ad hoc* assessment that typically addresses performance and operational issues of Program/project implementation. Examples of reviews include rapid assessments (often conducted as a part of Program/project design) and evaluability assessments (often conducted prior to an evaluation). Reviews are usually undertaken internally and tend to be less rigorous than evaluations.

Audit

20. In accordance with the definition adopted by the Institute of Internal Auditors (IIA), internal auditing is an independent, objective assurance and consulting activity designed to add value and improve an organization's operations. It helps an organization to accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes. The mission of internal audit is to enhance and protect organizational value by providing risk-based and objective assurance, advice and insight.

21. While both Evaluations and Audits assess performance, Evaluation places more emphasis on results, impact, and the ensuing learning, and audit focuses on efficiency and effectiveness of the measures put in place to achieve the performance, while managing related risks. Evaluation is more closely linked to managing for results and learning, while audits mainly focus on certifying the true and fair view of financial statements, compliance and performance or value for money.

Inspection

22. An inspection is a general examination of an organizational unit, issue or practice. It is meant to determine the extent to which the unit, issue or practice adheres to prescribed standards, good practices or other criteria. Information gained is used to make recommendations for improvement or apply corrective measures. Inspections are often performed when there is a perceived risk of non-compliance.

Research

23. Research is a systematic examination undertaken to develop or contribute to knowledge of a particular topic. Research often feeds information into evaluations, audits and other assessments or decision-making processes. Examples include in-depth baseline studies and impact studies.

Oversight functions in the United Nations System

24. Most United Nations Organizations and its specialized agencies have specific evaluation functions that provide expertise, guidance and management their evaluation activities. These units undertake evaluations responding to the need to account for the use of resources, demonstrate results and the added value to the organizations' work.

25. In addition to the specialized evaluation functions located within each individual organization, there are other oversight bodies, namely the Joint Inspection Unit of the United Nations System (JIU), the Office of Internal Oversight Services (OIOS), and the Board of Auditors (BoA). The JIU is a unit established in 1976 by the General Assembly of the United Nations under resolution 31/192. The JIU is an independent external oversight body of the United Nations System mandated to conduct evaluations, inspections and investigations system-wide. Its objective is to enhance the efficiency of the administrative and financial functioning of the United Nations System and, to this end, it may make on-the-spot inquiries and investigations.

26. The OIOS is an internal oversight body of the United Nations. It was established in 1994 by the General Assembly under resolution 48/218B. The office assists the Secretary-General in fulfilling his oversight responsibilities through the provision of audit, investigation, inspection, and evaluation services but limited to the UN Organizations. Its mandate does not extend to any of the specialized agencies of the UN. The OIOS aims to be an agent of change that promotes responsible administration of resources, a culture of accountability and transparency, and improved Program performance.

27. The United Nations BoA was established by the General Assembly in 1946 under resolution 74(1) as an important mechanism to promote accountability and transparency in the United Nations. The BoA performs external audits of the accounts of the United Nations Organization and its funds and Programs, and reports its findings and recommendations to the Assembly through the Advisory Committee on Administrative and Budgetary Questions. Its mandate does not extend to the specialized agencies of the UN, which have their own arrangements for external audits.

28. The conduct of evaluation within the UN context is primarily guided by the normative work and standards of two organizations/ networks: the Organization for Economic Co-operation and Development (OECD), and the United Nations Evaluation Group (UNEG). The work of these two bodies has been instrumental in helping to develop, standardize and improve evaluation processes. Both continue to be key actors and leaders in supporting and measuring development technical assistance and cooperation.

29. In 2005, UNEG released its first Norms and Standards which set out clear principles to strengthen and harmonize evaluation practice for development interventions. The norms and standards were instrumental in guiding evaluation practitioners across the globe. UNEG's updated 2016 Norms and Standards now include 10 general norms to be followed in conducting evaluations and four institutional norms to be reflected in the management and oversight of evaluations. These are accompanied by 24 standards to support implementation of the norms. This updated version introduces four new norms - human rights and gender equality, national evaluation capacities, and professionalization of evaluation.

Table 3: List of UNEG 2016 General Norms.

Norm #	Description
1 - Internationally agreed principles, goals and targets	Upholding and promoting UN principles and values is the responsibility of evaluation managers and evaluators. This includes respecting, promoting and contributing to the goals and targets set out in the 2030 Agenda for Sustainable Development.
2 - Utility	There must be clear intention to use the evaluation's analysis, conclusions and recommendations. This includes relevant and timely contributions to organizational learning, decision-making and accountability.
3 - Credibility	This requires independence, impartiality, rigorous methodology and ethical conduct. Key elements include transparent processes, inclusive approaches involving relevant stakeholders and robust quality assurance systems.
4 - Independence	Evaluators must have the freedom to conduct their work without influence from any party or threat to their careers. In addition, the organization's evaluation function must be positioned separately from other management functions, be responsible for setting the evaluation agenda, and have adequate resources to do its work.
5 - Impartiality	This entails objectivity, professional integrity, and absence of bias at all stages of the evaluation process. Evaluators must not have been or expect to be directly responsible for the policy setting, design or management of the evaluation subject.
6 - Ethics	Evaluations need to be conducted with the highest standards of integrity and respect for the social and cultural environment, for human rights and gender equality, and for the "do no harm" principle.
7 - Transparency	This is essential in order to establish and build trust, confidence, stakeholder ownership and public accountability. It includes making evaluation products publicly available.
8 - Human rights and gender equality	These universally recognized values and principles need to be integrated into all stages of an evaluation, underpinning the commitment to the principle of "no-one left behind".
9 - National evaluation capacities	Building capacity for evaluating development activities at the country level is vital and is to be supported when requested by Member States.
10 - Professionalism	To ensure credibility, evaluations need to be conducted with professionalism and integrity. These are supported by an enabling environment, institutional structures and adequate resources.

2. INTEGRATING HUMAN RIGHTS AND GENDER EQUALITY IN EVALUATION

30. The promotion and protection of human rights (HR) and gender equality (GE) are guiding principles for all United Nations entities. There is virtually no aspect of the UN's work that does not have a human rights dimension. Whether we are talking about peace and security, development, humanitarian action or climate change. None of these challenges can be addressed in isolation from HR. In the UN context of evaluation, this is closely connected to the Agenda for Sustainable Development. Interventions that do not follow these principles risk reinforcing or neglecting harmful patterns of discrimination and exclusion.

31. It is mandatory for United Nations entities to consider HR and GE principles in the design, implementation and evaluation processes of all interventions, regardless of whether these issues are a focus of the intervention itself. Although substantial progress has been made in this regard, meta-assessments of United Nations programming suggest that more still needs to be done to fully integrate and mainstream human rights and gender as cross-cutting themes, including into evaluation processes.

32. This challenge has been taken up across the United Nations System. Since 2013 all entities are required to report on their progress in meeting indicators specific to Gender Equality and the Empowerment of Women (GEEW), which includes ratings of all evaluation reports for the evaluation performance indicator of the UN System-wide Action Plan on Gender Equality and the Empowerment of Women (UN-SWAP)⁵ reporting. UNEG has been instrumental in providing guidance for how evaluations can usefully address the principles of HR and GE. The group's work includes helping to clarify and provide context for the key terminology used in such discussions.

33. **Gender responsive evaluations** are assessments that provide "credible and reliable evidence-based information about the extent to which an intervention has resulted in progress (or the lack thereof) towards intended and/or unintended results regarding gender equality and the empowerment of women"⁶.

34. Gender equality serves to the advantage of both men and women, girls and boys and all individuals/groups marginalized and/or discriminated against on behalf of their gender (transgender people for example). Equality cannot be achieved without the full engagement of all of them. Furthermore, men and women are subject to different, often contextually specific, forms of discrimination (e.g. due to gender identity, class, religion, caste, ethnicity, age, disability, sexual orientation, location, among others). Thus, gender responsive evaluations should be sensitive to and include all these diverse forms of discrimination that women and men face.

HUMAN RIGHTS AND GENDER EQUALITY CONSIDERATIONS FOR EVALUATION

35. The main concepts underlying evaluations that are both human rights and gender-responsive are **inclusion, participation, non-discrimination, and fair power relations**. Considering these concepts helps to improve programming by taking into account

⁵ <http://www.unwomen.org/en/how-we-work/un-system-coordination/promoting-un-accountability>

⁶ UN Women Independent Evaluation Office (2015). How to Manage Gender-Responsive Evaluation: Evaluation Handbook.

important social and cultural issues that can make interventions more effective and sustainable.

36. UNEG has developed two sets of guidance documents that are useful resources for evaluators and those who manage evaluation processes. The group's 2011 publication "*Integrating Human Rights and Gender Equality in evaluation – towards UNEG guidance*" is an abridged version that provides step by step advice for preparing, conducting and using HR and GE evaluations. Its 2014 publication, "*Integrating Human Rights and Gender Equality in Evaluations*" provides more in-depth theoretical and practical information, tools and suggestions.

37. In 2012, the UN-SWAP sets common performance standards for the gender-related work of all United Nations entities. Since 2013, all United Nation entities are required to self-assess and report on their progress on meeting the 15 GEEW performance indicators on an annual basis. The indicators track six components of gender mainstreaming: accountability, results based management, oversight (including evaluation), human and financial resources, capacity, and knowledge exchange and networking.

38. The UN-SWAP indicator dedicated to evaluation processes is linked to meeting the gender-related UNEG norms & standards and demonstrating effective use of the UNEG guidance on integrating human rights and gender equality in evaluation.

39. The UNEG working group on GE and HR developed a technical note and scorecard for the Evaluation Performance Indicator (EPI). It aims to support more systematic and harmonized reporting through the use of a common tool that allows for improved comparability across the UN system.

40. In order to ensure a continuous improvement in mainstreaming the gender and HR perspectives into the evaluation cycle the evaluation section engages in the following practices:

- (a) Raising awareness of internal and external stakeholders about both issues. This has included ensuring all evaluation teams receive relevant guidance as part of their key reading material;
- (b) Ensuring, to the extent possible, that there is equal representation of both genders on all evaluation teams;
- (c) When possible, including HR and gender experts on evaluation teams conducting all in-depth evaluations to further strengthen and facilitate organizational learning; and
- (d) Having members from the evaluation office actively participate in and contribute to UNEG's work on HE and GE.

3. THE EVALUATION PROCESS AT WIPO

41. This part of the Evaluation Manual describes the key steps in conducting an evaluation.

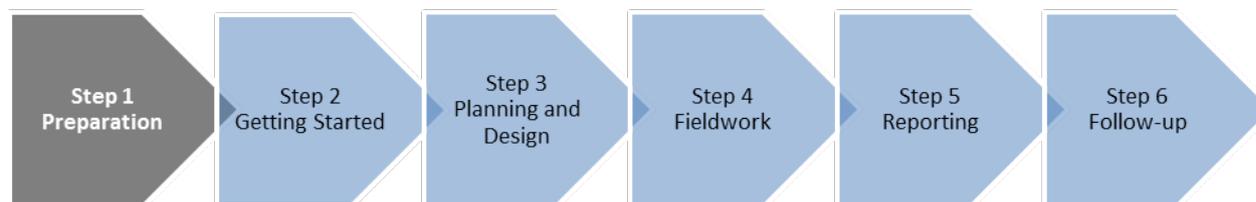
42. The guidelines have been divided into seven steps which are described below, along with the objective of each phase. They can be grouped in three main phases: planning (steps 1 through 3), fieldwork (step 4), reporting (steps 5) and follow up (step 6)



43. An extensive list of additional [resources and tools](#) is provided in the appendices.

44. A [quality checklist](#) may be used to ensure the completeness of an evaluation is also included in the annexes. The checklist includes additional administrative procedures that are specific to WIPO and/or the IOD Evaluation Section.

STEP 1- PREPARATION



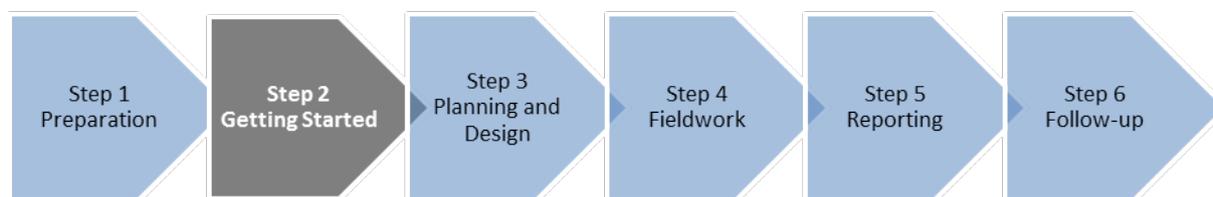
Identification and selection of topics for evaluation

45. IOD establishes annual oversight plans after extensive consultation with senior managers and Member States. Areas for oversight activities are determined based on a risk assessment and an evidence-gap analysis which identifies risk areas according to their likelihood and potential impact. In the context of this risk assessment the following criteria are helpful in determining what topics can and should be evaluated:

- (a) **Evaluability:** Together with the above, an important step in the early planning stages is an assessment of the evaluability of any selected topic. This is an assessment of the extent to which it will be possible to complete the evaluation and achieve the desired results and helps to identify potential challenges, bottlenecks and obstacles that may be encountered and ensure that the evaluation design is appropriate. Of the many areas that could be considered, the following are the most important:
- (b) **Usefulness:** Can the evaluation have a significant effect on the subject/program being evaluated?
- (c) **Design:** Extent to which the intervention logic has been correctly defined and formalized, e.g. in a specific performance framework (e.g. Logical Framework for projects).
- (d) **Timeliness:** Does the timing fit with the planning cycle or upcoming decision making? Are there any impediments or priorities conflicting with the planned evaluation, e.g. major activities or absences of key stakeholders?
- (e) **Coverage:** Would the evaluation contribute to a balanced work agenda? Has the area been under/over-evaluated (or audited)?
- (f) **Resources:** Are sufficient resources and means available to conduct the evaluation under the planned time frame? Are all relevant data available?

46. An [Evaluability Assessment Template](#) is included in the Annexes.

STEP 2 – GETTING STARTED



Involving stakeholders

47. One of the most critical factors of a successful evaluation is stakeholder engagement and ownership. This includes discussing and defining as early as possible how the key stakeholder groups will be involved in the process, what they are expected to contribute to the evaluation and what they expect to receive from the evaluation in order to enhance its value.

48. Stakeholder groups to consider include:

- (a) Primary stakeholders – generally those directly involved in the project or program to be evaluated including program management and staff
- (b) Target groups – generally the intended beneficiaries of the program/project but also those who may be adversely affected
- (c) Cooperation partners – other organizations or groups who have been involved in the program/project in some way
- (d) Interested parties – other groups with a stake in the activity being evaluated e.g.: partner governments, implementing consultants, experts or other financial supporters/donors.

49. Start of a new evaluation is communicated to the responsible senior management by way of an engagement memorandum explaining the scope, methodology, timeline and team members conducting the evaluation. This memorandum is signed by the Director IOD or Officer In-Charge, IOD and addressed to relevant key stakeholders such as Deputy Director General or Assistant Director General and Program Managers of the area under evaluation.

Defining the purpose and scope of the evaluation

50. Defining the purpose of an evaluation is one of the most important tasks in the early stages of an evaluation since a clear purpose helps in the framing of the scope and design of the evaluation and is more likely to lead to a useful evaluation. It is important that as many stakeholders as possible are involved in this process.

51. The purpose of an evaluation should ideally be tied to a future event or decision or to a specific accountability need or learning opportunity. Examples of strong evaluation purposes include:

- (a) Provide WIPO and its Member States with an input to upcoming discussions concerning the preparation of a second phase of the evaluated intervention or if the latter shall continue or not;
- (b) Help ensure that the intervention is on track and is likely to reach its objectives;
- (c) Provide relevant and useful background information for an annual sector review; and
- (d) Provide stakeholders with lessons that can be used in policy work or when designing programs and projects elsewhere.

52. Additionally, it is important to form a clear understanding of the scope intervention, which entails a clarification of the relevant time period and aspects to be included or excluded. Some projects or programs have short, defined time periods, others run over extensive periods, but can be broken down into distinct phases, which helps to better define the scope.

Approach note

53. Once the purpose of the evaluation is defined it should be possible to prepare a brief Approach Note describing the proposed evaluation project. The approach note would include the topic for evaluation, the purpose, an outline of the proposed design (if known), the anticipated timing and resources needed. The Approach Note is not obligatory, but is a useful tool for the next phase of the evaluation. It can easily be transformed in terms of reference (ToR) as explained in the next section.

Establishing a Reference Group

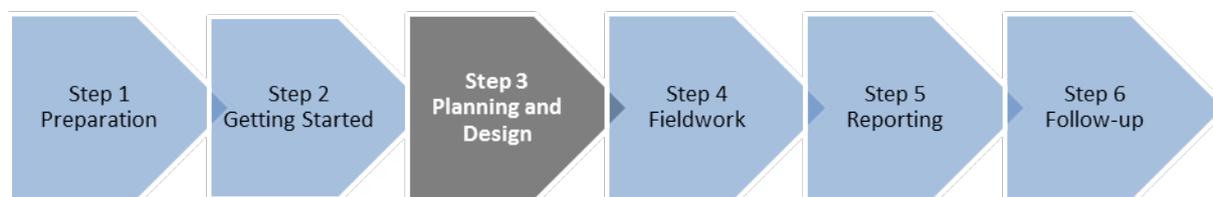
54. Establishing a Reference Group (RG) composed of the main stakeholders of an evaluation is recommended as a way to increase the participation in, ownership, transparency and learning effect of evaluations. The RG's role is to participate in meetings convened by the evaluation manager at critical junctures during the evaluation and provide feedback and advice throughout the evaluation.

55. Typically, the members of a RG should have the capacity to provide a range of technical input and to contribute to ensure conformity to required standards and the ToR. The RG would contribute to, review or comment on the:

- (a) Terms of reference, scope etc.
- (b) Draft evaluation reports
- (c) Main recommendations and lessons identified,
- (d) Follow-up and implementation activities and the identification of external evaluation consultants.

56. A [ToR for Reference Groups Template](#) is included in the Annexes.

STEP 3 – PLANNING THE EVALUATION



Understanding the Project

57. Early in the planning process, it is important to form a clear understanding of the intervention (project, program, activity) to be evaluated. This process of reviewing the intervention should include:

- (a) Summarizing the project/program logic or recreating a Theory of Change⁷.
- (b) Reviewing activities and outputs and comparing to the theory of change/logic model to ensure that the model is a good guide for the evaluation.

58. These activities should be performed in order to ensure a good understanding of the evaluation subject, and should not be confused with the actual evaluation of activities. They are performed to guide the planning design process.

Introducing the Matrix of Evaluation questions (MEQ)

59. The Matrix of Evaluation Questions shows the relationship between evaluation questions and sub-questions, indicators, and the techniques that will be used in the evaluation and key sources of information (each of which is described below and in the next Chapter). The use of the matrix allows the evaluation team to see clearly whether the techniques considered for collecting information and data are likely to achieve the desired evaluation information needs, as well as to see if there is sufficient triangulation between different data sources. Having a matrix of evaluation questions is essential to guarantee a rigorous analysis.

60. An [Evaluation Design Matrix template](#) is included in the Annexes.

Formulating evaluation questions and sub-questions

61. Evaluation questions are the overall questions that the evaluation should respond to, as opposed to research questions which are those that might later be asked to stakeholders such as beneficiaries or program staff during the research phase.

62. Evaluation questions should explore the major issues associated with the evaluation purpose by responding to the key evaluation criteria as defined in introduction (relevance,

⁷ An analysis of the planned activities, expected outputs, outcomes and impacts and relevant indicators and assumptions which will be used to guide the direction of the evaluation

efficiency, effectiveness, impact, sustainability). They should be limited to the few most critical ones. It is recommended to have a maximum of five, i.e. one or two per relevant criterion.

Indicators and measures

63. Indicators are necessary to help determine what data needs to be collected to assist in assessing the progress of the program and if it is on track to achieving its goals and objectives.

64. Indicators should provide a measurement to answer the question: What would we expect to see as verifiable evidence of the main accomplishment under each criterion?

65. When crafting indicators, a few general concepts should be observed:

- (a) Limit the number of indicators to one or two per statement to avoid data overload.
- (b) Include at least one qualitative indicator per statement to provide greater depth to the analysis.
- (c) Ensure that indicators are equity-sensitive, wherever possible. An equity-sensitive indicator is a measure of change over time in relation to equity. For example: *Extent to which women's and men's perspectives are heard in policy dialogue sessions.*
- (d) Indicators should be SMART: Specific, Measurable, Attainable/Achievable, Relevant and Time-bound.

Further resources are included in the Annexes.

Budgeting and resource planning

66. All the administrative procedures should be properly managed, this includes: the overall cost frame for the evaluation, resource planning and securing of funds.

67. Adequate planning requires that administrative procedures are properly managed. As early as possible in the process, the evaluation project manager should be considering:

- (a) The overall cost frame for the evaluation;
- (b) Resource planning; and
- (c) Securing funding.

Cost frame

68. The common cost categories for creating a program evaluation budget are:

- (a) Staffing – existing staff, experts or consultants and external evaluators
- (b) Materials and supplies – general office supplies including presentation materials, meeting rooms, telecommunication etc.

- (c) Travel costs – particularly important when missions to countries will form a major component of the evaluation (transportation and daily subsistence allowance)

Resource planning

69. Resource planning should be conducted as early as possible. However, it is likely that in the planning activities (developing questions, indicators and data capture methods, contracting experts or consultants etc.); more specific information will come to light on the exact resources that will be required to complete the evaluation.

Securing funding

70. An evaluation should not proceed until funding has been secured or “obligated” from the WIPO budget. Instructions on how to secure funding can be found in the [WIPO Procurement Manual](#). WIPO Procurement procedures must be followed for the engagement of any consultants or experts.

71. Resourcing for independent evaluations is contained in the IOD budget which is decided within the process of budget approval under Program 26 of the Programs and Budgets.

72. Additional resources also include what other programs are dedicating to evaluations; Programs need to reserve an appropriate amount in their respective budgets for monitoring and evaluation.

Terms of reference of the evaluation

73. The ToR document defines all aspects of how an evaluation will be conducted and is an essential step for managing a quality evaluation. An accurate and well defined ToR sets the parameters against which the success of the assignment can be measured. At a minimum, the ToR should:

- (a) Briefly explain why the evaluation is taking place, what it will focus on and who will participate;
- (b) Describe the evaluation purpose, use, scope and focus;
- (c) Identify the key questions that will be answered and any cross-cutting themes;
- (d) Explain the design and methodology selected;
- (e) Define the timing of the evaluation;
- (f) Provide background information on the intervention to be evaluated, along with a theory of change;
- (g) Outline the roles and responsibilities of the main participants in the evaluation; and
- (h) Make reference to any relevant norms, standards or conventions (see [UNEG Norms and Standards](#))

74. Some ToRs state the expertise required within the evaluation team or the expertise required of an external evaluator (individual or organization). It does not usually contain the

evaluation matrix or a detailed budget, however the total budget for the evaluation may be included (particularly where the ToR is to be used as the basis for selection of external consultants).

75. Example [Terms of Reference](#) are included in the Annexes.

Using external specialists

When should external evaluators be engaged?

76. External specialists are generally engaged when there is a need for specific technical expertise and/or the viewpoint of non-involved, for their local expertise or due to time/resource constraints. They may be engaged to conduct the whole evaluation or a specific part of the evaluation or just to provide inputs and feedback on specific topics and contexts.

77. Their selection is critical to the success of the evaluation and sufficient time should be allowed to ensure that suitably qualified and experienced evaluators can be found for each specific evaluation project. Irrespective of the scope of the role, the skill set required (for both individuals and teams) includes:

- (a) Strong management skills – to efficiently manage the evaluation project
- (b) Stakeholder engagement experience
- (c) Methodological and conceptual expertise – to effectively undertake the necessary research, analysis and synthesis of recommendations
- (d) Presentation and writing expertise – to present findings and recommendations in an effective manner.

External Technical/Local Experts

78. External evaluators may be engaged to provide specific expertise including:

- (a) Subject matter expertise – examples include specific knowledge of trademark law or copyright and expertise in particular types of evaluations (e.g.: impact or communications evaluations) or data collection/research techniques
- (b) Local knowledge – understanding politics, economy, culture and traditions of a particular region may be necessary in order to collect the information required for the evaluation in a sensitive manner. Language expertise and access to local authorities' networks is always critical during in-country missions.

Recruitment/Contracting

79. Recruitment of external evaluators, whether individuals, a team or an organization, should be completed in accordance with WIPO recruitment policies and procedures as well as the WIPO Procurement Manual.

80. Specific *Terms of Reference for External Consultants* for providing well-defined deliverables and expertise are particularly important when engaging external evaluators. They help to define the experience and qualifications required and to vet Expressions of

Interest (EoI) or tender documents: all proposals received should be checked for their compliance to the requirements defined in the specific ToR based on the following information:

- (a) A generic description of how the candidate(s) correspond to the profile required for the type of mandate;
- (b) Availability of the experience and expertise relevant to the specific evaluation (individual and collective in case of teams);
- (c) CVs of all team members;
- (d) Indications on the understanding of the mandate and the proposed approach;
- (e) Estimation of the number of working days for the accomplishment of the tasks and delivery of the required outputs; and
- (f) Indication of daily rates and incidental costs.

81. The Final Terms of Reference of the evaluation should include the roles, responsibilities and the agreed deliverables for all external experts and their specific ToR.

Inception Reports

82. An inception report is sometimes prepared at the end of the Planning and Design phase to clarify the team's understanding of the project. Whilst the ToR will often suffice, it is recommended that when engaging external experts, an Inception Report is the first deliverable. It is standard practice for the inception report to be formally accepted prior to moving on to the field work stage as any lack of understanding at this stage can significantly affect the conduct or outcomes of the evaluation.

83. An inception report serves to allow external experts time to gather a more detailed understanding of the project than would have been possible prior to submission of their EoI or tender and to demonstrate in writing their understanding of the various dimensions and challenges of the evaluation project. The report should be reasonably brief covering areas not covered in the terms of reference including:

- (a) Remaining evaluability challenges;
- (b) Interpretation of evaluation questions;
- (c) Methodology for data collection and analysis; and
- (d) The detailed evaluation work plan.⁸

Wrapping-up: The Planning Checklist

84. Before moving onto the field work phase of the evaluation, it is useful to reflect on the evaluation design. Using the following checklist is a helpful way to ensure that the design of the evaluation will deliver the information necessary on which to base useful and valuable conclusions and recommendations.

⁸ Looking Back, Moving Forward: Sida Evaluation Manual

- ✓ Have the purpose of the evaluation been clearly spelled out and the use of the evaluation determined?
- ✓ Have several key questions been identified as the focus of the evaluation?
- ✓ Have the various design options been considered and an appropriate design selected?
- ✓ Has a stakeholder analysis been carried out and an outreach strategy prepared?
- ✓ Have stakeholders (women and men) been identified to participate in the evaluation and their roles and responsibilities described?
- ✓ Have key data sources been identified?
- ✓ Have various methods been considered and a combination of the most appropriate methods selected in light of the evaluation purpose and context?
- ✓ Have appropriate, equity-sensitive indicators been selected for each outcome and impact?
- ✓ Do the design and methods selected take into account the key evaluation questions?
- ✓ Do the design and methods allow for a thorough analysis of cross-cutting issues, including human rights and gender equality?
- ✓ Have solutions been explored for the challenges anticipated? Source: Adapted from UNEG Handbook for Conducting Evaluations of Normative Work in the UN System, November 2013

STEP 4 – FIELD WORK



Data collection

85. In order to conduct credible analysis of the data and produce a valuable report, it is critical to focus on quality data collection. Data should be collected using a mixed-methods approach – a combination of the different methods described below, almost always involving some degree of desk review of program/project/organizational documentation. The combination of methods used will depend on the evaluation objectives, design and questions, the resources allocated to the evaluation, the availability of data and access to stakeholders.

86. Evaluators need to ensure that:

- (a) The methods used capture all outcomes – expected and unexpected, positive and negative,
- (b) There is a sufficient variety of reliable information from various sources to allow triangulation

Description	Advantages	Challenges
Desk and Document Reviews		
Systematic analysis of existing documentation, including quantitative and descriptive information about the initiative, its outputs and outcomes, such as documentation from capacity development activities, donor reports, and other evidence.	Cost efficient.	Documentary evidence can be difficult to code and analyze. Difficult to verify reliability and validity of data.
Interviews		
Solicit responses to questions designed to obtain in-depth information about facts and person's experiences and views. Can be fully structured, semi, or unstructured.	Facilitates fuller coverage, range and depth of information on a topic.	Can be time consuming, difficult to analyze and costly.
Direct Observation		
Notes from direct observations, pictures, recordings etc.	Can see operations of a program as they are occurring.	Can be difficult to categorize or interpret, expensive.
Focus Group Interviews		
A small group (6 to 8 people) is interviewed together to explore in-depth stakeholder opinions, similar or divergent points of view, or judgments about a development initiative or policy, as well as gather information about their behaviors, understanding and perceptions.	Quick, reliable way to obtain common impressions from diverse stakeholders. Efficient way to obtain a high degree of range and depth of information in a short time.	Can be hard to analyze responses. Requires trained facilitator. May be difficult to schedule.
Surveys (samples of respondents, including project/ program and control observations)		
A sample of the project/program population, with sex-disaggregation (and possibly of a control group) is extracted. Questionnaires are usually administered face-to-face by enumerators on the basis of a prewritten and pre-coded questionnaire. Entries are recorded on electronic support media and analyzed using computer software on the basis of standard descriptive, inferential and econometric techniques.	The sampling procedure should aim to select a statistically representative subset of the population. Large samples allow for more refined analysis and are representative of more subcategories of the population (sub-region, province, etc.)	Trained specialists are required for survey design planning and data analysis Larger surveys can be costly and time-consuming to implement.

Sources (adapted from): (International Labour Organization, 2013) (IOS, 2014)

Data analysis and triangulation

87. Once data has been obtained using one or more of the methods described, it needs to be analyzed. The purpose of data analysis is to use the data collected to develop answers to

the evaluation questions. It is the process of taking the raw data and turning it into useful information from which findings, conclusions and recommendations can be made. In analyzing the data, an evaluator is looking for themes, patterns or recurrence of information that will help develop an understanding of the data.

88. The process will involve:

- (a) Assessing the validity and reliability (completeness and accuracy) of the data;
- (b) Compiling and organizing the data;
- (c) Analyzing the different data sets and making sense of the information;
- (d) Aggregating and analyzing the overall data; and
- (e) Triangulation of data to verify results and findings.

Developing findings

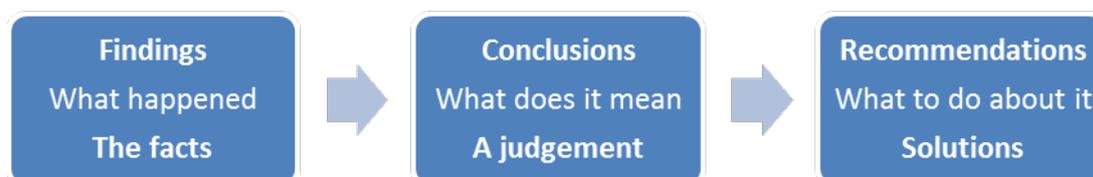
89. The findings are the results that can be seen in the analyzed data. Engaging the reference group and/or key stakeholders in the review of the findings serves two key purposes:

- (a) Provides a broader range of perspectives on what the findings mean and what is relevant;
- (b) Provides the stakeholders with the chance to view, discuss and debate the findings, increasing their understanding and acceptance of the conclusions and recommendations.

Drawing conclusions

90. Conclusions provide summary judgements about the strengths and weaknesses of the evaluated intervention. They should be fair, impartial and backed by evidence.⁹ Conclusions should be clearly linked to the findings. They must also clearly support the recommendations.

91. The conclusions are the evaluators' professional views on the assessed criteria (relevance, efficiency, effectiveness, impact, sustainability, coherence, coverage and sustainability) and significant issues identified by the evaluation. The conclusions build the bridge between the past and present (results/findings) with the future (recommendations).



⁹ ILO Policy Guidelines for Results Based Evaluations

Developing recommendations

92. If you are including recommendations in the evaluation report, it is critical that they are clearly supported by the evaluation findings, which in turn are clearly linked to the data collected. Unsupported recommendations, no matter how brilliantly worded, risk lacking credibility and are less likely to be adopted. Recommendations can be developed during or following the field work stage.

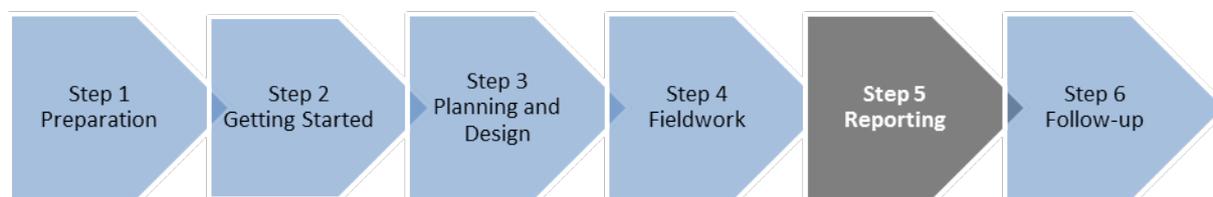
93. Recommendations should respond to the evaluation purpose and the questions that the evaluation sought to answer. The following should be considered when developing recommendations:

- (a) Recommendations should be directed to the people who will be responsible for implementing them.
- (b) Recommendations need to be practical solutions to the problem identified.
- (c) Involve the Resource Group and Stakeholders to get feedback and input into recommendations.
- (d) The purpose of an evaluation is to contribute to improvements in the relevance, efficiency, effectiveness, impact and/or sustainability of activities – reflecting back on these criteria helps in drafting useful recommendations.
- (e) Ensure that recommendations are specifically addressed to the Program or project being evaluated, but consider broader applications where relevant.
- (f) Link recommendations to the Results Based Management framework.
- (g) Recommendations should address ways to improve the initiative being evaluated, but may also include recommendations on how to improve monitoring and evaluation of the topic for the future

94. Recommendations, like indicators, need to be SMART (Specific, Measurable, Achievable, Realistic and Timely/Time-bound).

95. Soft Recommendations or suggestions: In addition to formal recommendations, evaluation reports may contain soft recommendations or suggestions. These could include suggestions for systemic improvements or lessons to guide further work. A mid-term evaluation seeking to assess the likelihood of the project being completed on time might not, for example, include recommendations if the project is proceeding satisfactorily.

STEP 5 – REPORTING



96. One of the most important deliverables in the evaluation process is the Evaluation Report. A written report is standard WIPO procedure, and it may be supplemented with presentations or other communications tools.

97. The objective of the evaluation report is to present the findings, conclusions and any recommendations that are SMART¹⁰ and aim to address issues and gaps and improve accountability and learning in the Organization.

Draft report

98. It is important to prepare a draft report, which is the basis on which reference group, management and stakeholder feedback regarding the conclusions and recommendations will be obtained. This feedback is a very important contribution to the Final Report (see next step) and failure to engage stakeholders at this stage will have significant impacts on the acceptance and adoption of recommendations.

99. A checklist for preparing draft reports follows:

- (a) Use clear and concise language;
- (b) Summarize the key findings, conclusions and recommendations up-front (e.g. in an Executive Summary and/or an [findings, conclusions and recommendations Matrix](#));
- (c) Ensure that the report conforms with the purpose stated in the Terms of Reference;
- (d) Ensure that the findings, recommendations and conclusions address the key evaluation questions;
- (e) Target the report to the intended audience and if possible, to those who will be responsible for implementing any recommendations;
- (f) Remember to outline the objectives, scope and methodology of the evaluation and identify any limitations; and
- (g) Keep the report concise. Detailed findings and other relevant information should be included in annexes.

¹⁰ Specific, measurable, achievable, relevant and time bound

100. Whilst Evaluation Reports tend to be fairly formal, efforts should be done to visualize and illustrate important information through graphics, tables, boxes, pictures etc.;

101. An Example [Draft Report](#) is included in the Annexes. The same template applies to the Final Report; and

102. To further assist in the delivery of quality evaluation reports, IOD has produced a [Checklist for assuring the Quality of Evaluation Reports](#) which is included in the Annexes.

Stakeholder comments

103. The draft report may be shared in its entirety or in summary form. It may be preferable to share selected information with some stakeholders to focus stakeholder attention on relevant information and/or to maintain momentum. Stakeholders should be given sufficient time to respond with their comments.

104. Sharing the draft report with stakeholders serves to:

- (a) Ensure factual accuracy and completeness of the report;
- (b) Provide a final opportunity to verify the findings, conclusions and recommendations and ensure their accuracy and appropriateness prior to publication of the final report;
- (c) Continue the process of engagement with key stakeholders, prompting ownership of the findings, conclusions and recommendations; and
- (d) Ultimately lead to better acceptance and utilization of the report

105. Obtaining stakeholder feedback may be conducted in face-to-face meetings where stakeholders have the opportunity to discuss and/or debate the findings, conclusions and recommendations or by email, phone or other methods.

Management response & matrix

106. In addition to responding in general to the Draft Report, Program Management is required to provide a formal response to the recommendations in a Management Response Matrix. The purpose of the Management Response Matrix is to ensure that recommendations are fully understood by Program Management and that there is an action plan to implement the recommendations.

107. Recommendations from the draft report are entered into the Management Response Matrix by the evaluator and then shared with the Program Management. For each recommendation, management must provide the following response:

- (a) Comments – general comments on the recommendation including a statement of agreement or disagreement with the recommendation;
- (b) Actions –action(s) that will be taken in relation to the recommendation;
- (c) Person Responsible – identify the person responsible for following up on the implementation of the recommendation and actions;
- (d) Deadline – a date by which the actions will be completed; and

(e) Closing Criteria – the criteria that must be demonstrated for the recommendation to be considered implemented or closed.

108. Program managers should be provided with a minimum of 10 work days to complete the formal response.

109. A [Management Response Matrix Template](#) is included in the Annexes.

Incorporating management comments

110. It is important to remember that this response process is intended to facilitate refinement of the draft report. The Evaluation Manager will need to exercise professional judgement in incorporating comments from stakeholders in the final report to maintain a level of independence and credibility.

111. It is standard WIPO practice to include the Management Response and Action Plan in a Recommendation Table Matrix at the end of the Final Report. Other comments may or may not be included, depending on whether they add value to the final outcome.

Sending the final report

112. The final report, incorporating stakeholder responses and including the Management Response Matrix must be sent to the Director General with copy to the IAOC and External Auditors in case of a centralized evaluation done by IOD. In case of an evaluation done by the programs, the addressees shall be the program managers and alternates and a copy should go to IOD. In any case evaluation reports shall not only conform to UNEG standards, but also conform to WIPO report formats.

113. Once approved, the report may be translated (country evaluations can be translated into the local language for example, in its totality or at least the executive summary).

114. All independent evaluation reports by IOD are published on the Evaluation Section of the WIPO Internet. The categorization “Confidential” shall be removed from the heading line before publishing.

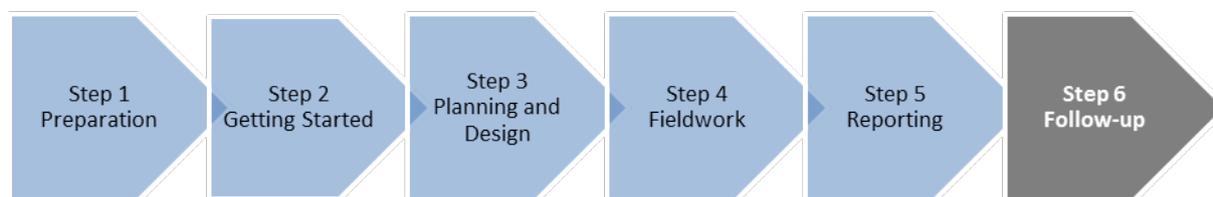
115. Decentralized evaluation reports can be published at the discretion of the Program Managers. In any case they are recorded by IOD and it is strongly suggested that at least an executive summary should be published.

116. Dissemination of evaluation reports should in all cases include:

- (a) The Director General;
- (b) Senior Managers / Program Managers of contributing programs; and
- (c) Persons responsible for implementing recommended actions

117. For extensive evaluations, it may be necessary to prepare a communications and dissemination plan to ensure that all relevant stakeholders are covered. The communications plan may include details of presentations, seminars, meetings etc. at which the report will be presented and discussed.

STEP 6 – FOLLOW-UP



Follow-up to ensure recommendations are implemented

118. In addition to the tracking of implementation of recommendations through TeamCentral, formal follow-up by the Evaluation Section should include the following review meetings with the program manager after issue of the final report:

- (a) After issue to discuss implementation of the recommendations and to obtain feedback on the evaluation process;
- (b) 1 year after issue to review implementation of the recommendations and assess to the extent possible the outcomes and impact of the implementation of recommendations; and
- (c) Further follow up as necessary until implementation of recommendations is completed.

119. Whilst the primary purpose of these review meetings is to ensure that recommendations are implemented, an equally important reason for meeting with program managers is to obtain feedback from program managers that can lead to improvement in future evaluations and recommendations.

4. USING EVALUATION RESULTS

120. Evaluations are undertaken in order to improve accountability, organizational learning and knowledge generation. However, evaluations can only be effective in advancing WIPO's work if they are used. This chapter begins by considering how the use of evaluation is critical for managing results and improving programs, and how results are integrated into the Program lifecycle. It looks at how evaluations are shared at WIPO and concludes with good practices for communicating results.

121. So much of the focus of evaluation processes tends to be on getting the evaluations done and on doing so in time to meet deadlines. There is often less emphasis placed on how to use the information and evidence gained from evaluations beyond the formalities of distributing the report to management and other stakeholders.

122. Use is emphasized in UNEG's definition of evaluation. UNEG's 2016 norms and standards for evaluation state that evaluations "should provide credible, useful evidence-based information that enables the timely incorporation of its findings,

recommendations and lessons into the decision-making processes of the organizations and stakeholders.”

123. After all the work that goes into producing a good evaluation, it is essential for managers to make it meaningful and make it count. Anticipating who the different audiences may be and in what ways they might use the results of an evaluation will help to guide both midterm and final evaluations and determine the best ways to organize and present results of each.

124. Timing and timeliness are also important factors. The impact of an evaluation can depend on how well and how quickly its findings can be available to inform strategic priorities and can be communicated in appropriate ways to stakeholders at the time when they need it. Evaluators should be aware of any time sensitive issues and be prepared to share preliminary key findings as they emerge.

125. Evaluations are more likely to be viewed more positively and acted upon when managers embrace these exercises as useful for managing results and improving programming. An evaluation culture and enabling environment is one where it is understood that learning comes from both successes and failures.

126. Finally, adoption of evaluation results is enabled when the information is disseminated in a user-friendly manner. Traditional and text-heavy evaluation reports may not be equally accessible to all stakeholders. Good practices for effectively communicating results in reports and other evaluation products, described in more detail in chapter five, include, for instance, the following approaches:

- (a) Telling a story: A report can be brought to life by using stories;
- (b) Keeping things simple: Write in an accessible style using plain language;
- (c) Being purpose driven: Focus on what aspects are most relevant to the audience;
- (d) Segmenting the audience: Present messages in simple and easily understandable formats tailored to the specific needs of different users; and
- (e) Visualizing results: Make frequent use of visual aids such as diagrams, pictures, charts, graphs, and maps.

ANNEXES

EVALUATION TEMPLATE

Evaluation Announcement Template

To/À:

Date:

From/De:

Cc :

**Subject/
Objet:**

IOD would like to announce the upcoming *Topic of Evaluation* as per the Oversight Plan (*Year*) and invites you to participate in the consultative preparation process.

Insert a brief description of the type of evaluation to be conducted and the anticipated contribution to WIPO.

Briefly explain why the subject was selected.

We would like to request that you identify a focal point person for this evaluation either by Sector, Program or Division. Could you please communicate to us at your earliest convenience and at the latest by *Insert Date*, the name(s) of a focal point person for your sector. For the purposes of this evaluation the focal point person should be a member of professional staff expertise in the areas of *Insert expertise required*.

Please feel free to forward this invitation to colleagues interested in participating in this consultation process. Program Managers and focal points are invited to participate in an evaluation design meeting, which has been scheduled for *Date, Time and Location*.

Provide contact details for IOD key contact.

We very much look forward to working with you on this evaluation.

IOD Evaluation Section

Evaluability Assessment Template

Assessment Criteria

Criteria	Weighting
Program Design	
Internal Management and Governance	
Availability of Information	
Context of the Program	

Performance Scores

Raw Score	Performance level	Performance requirements
4	Very good	The criteria is fully meet (evidences outmatch requirements)
3	Good	The criteria is met
2	Relatively good	The criteria is partially met
1	Poor	There is an insufficient identification of information related to the criteria
0	Not identified	There is no identification of information related to the criteria

Evaluability Scores

Evaluability	Score
Fully evaluable	≥ 3.5
Mostly Evaluable	2. 5 to 3.5
Restricted Evaluability	1. 5 to 2.5
Not Evaluable	<1.5

Evaluability Assessment Criteria	Score	Source(s) of information	Additional information
<p>Criteria 1: Program Design</p> <p>The definition and quality of the Program Theory (the theory of change along with the intervention theory), including its adequacy, clarity, coherence, feasibility and relevance.</p>			
<p>The Program clearly defines the problem (and thus long-term impact and outcomes) that it aims to change.</p>			
<p>The proposed steps towards achieving outcomes (logic model) are clearly and coherently defined through a continuous causal chain, and they are measurable.</p> <p>It is possible to identify which linkages in the causal chain will be most critical to the success of the project that could thus be the focus of evaluation questions.</p>			
<p>The intended beneficiary groups are clearly identified.</p>			
<p>The project is relevant to the needs of the target groups as identified by any form of situation analysis, baseline study, or other evidence and argument.</p>			
<p>Criterion Score</p>			
<p>Criteria 2: Internal Management and Governance</p> <p>The effective management and result-oriented approach of the program, including the clear understanding and agreement of the objectives by the Division, and the assessment of risks and assumptions.</p>			
<p>The implementation of the Program is related to plans.</p>			

Evaluability Assessment Criteria	Score	Source(s) of information	Additional information
Effectiveness can be assessed.			
Boundaries (if any) to achieving outcomes are identified.			
The risks associated to the intervention processes have been identified and actions to tackle them defined.			
There is ownership of staff on the Program purpose, design and implementation.			
Different stakeholders hold a common view about the project objectives and how they will be achieved.			
Criterion Score			
Criteria 3: Availability of Information The existence of adequate contents and systems for making information available.			
The Program is capable of providing a complete and relevant set of documents for the evaluation.			
If reviews or evaluations have been carried out, there are reports available.			
There is a monitoring system to systematize information with defined responsibilities, sources and periodicity.			
If data is not available, staff and systems have the capacity to report evidence-based information.			
Data is being collected for all indicators.			
Baseline measures exist and provide relevant information for a future evaluation.			
Criterion Score			
Criteria 4: Context of the			

Evaluability Assessment Criteria	Score	Source(s) of information	Additional information
<p>Program</p> <p>The conduciveness of contextual factors (including perceptions and availability of resources by the Division) to conduct the evaluation.</p>			
The Division is capable of delivering what is needed.			
Stakeholders' expectations of the evaluation objectives and uses are conducive to an efficient evaluation process (i.e. there is alignment of stakeholders' information needs and the availability of information and resources).			
The timing of the evaluation fits into the Program cycle (i.e. there is opportunity for the evaluation to have an influence).			
There are no other factors that can hamper the evaluation (e.g. Program's capacity to manage negative findings)			
Criterion Score			
Final Score (Weighted Score)			

Reference Group Terms of Reference Template

EVALUATION TOPIC



Terms of Reference for the Reference Group (RG)

Objective: Members of the RG are expected to provide technical inputs and to ensure that information is exchanged on their area of work throughout the evaluation process and to provide feedback to evaluation products (ToR, inception and draft reports)

Composition and Scope:

The Reference Group (RG) is composed of key stakeholders of an evaluation who have contributed to the work in the area being evaluated. It is established for interested people in order to increase ownership, transparency and learning during the evaluation process.

Role and function of RG Members:

The RG members participate in meetings convened by the evaluation manager at critical junctures during the evaluation and provide feedback and advice during the evaluation process throughout its cycle.

Specifically, the RG reviews and comments

- The inception report
- The draft evaluation reports,
- The main recommendations and lessons identified and related follow-up.

Members of the RG are usually nominated by WIPO Senior Managers. The Evaluation Section can propose names of potential members to the Senior Manager

DECENTRALIZED EVALUATIONS TEMPLATE

Checklist for ensuring the quality of evaluation reports

Checklist for assessing the quality of evaluation reports of the WIPO IOD Evaluation Function

Evaluation Title:		
Commissioning Office/Organisation: WIPO, Internal Oversight division		
Type of evaluation:		
1. The Report Structure		
1.0 The report is well structured, logical, clear and complete.		
1.1 Report is logically structured with clarity and coherence (e.g. background and objectives are presented before findings, and findings are presented before conclusions and recommendations).		
1.2 The title page and/or opening pages provide key basic information 1. Name of the evaluation object 2. Timeframe of the evaluation and date of the report 3. Locations (country, region, etc.) of the evaluation object 4. Names and/or organizations of evaluators 5. Name of the organization commissioning the evaluation 6. Table of contents which also lists Tables, Graphs, Figures and Annexes 7. List of acronyms.		
1.3 The Executive Summary is a stand-alone section of 2-3 pages that includes1: 1. Overview of the evaluation object 2. Evaluation objectives and intended audience 3. Evaluation methodology 4. Most important findings and conclusions 5. Main recommendations		
1.4 Annexes increase the credibility of the evaluation report. They may include:		

<p>1. TORs 2. List of persons interviewed and sites visited. 3. List of documents consulted 4. More details on the methodology, such as data collection instruments, including details of their reliability and validity 5. Evaluators biodata and/or justification of team composition 6. Evaluation matrix 7. Results framework</p>		
<p>2. Object of Evaluation</p>		
<p>2.0 The report presents a clear and full description of the 'object' of the evaluation</p>		
<p>2.1 The logic model and/or the expected results chain (inputs, outputs and outcomes) of the object is clearly described</p>		
<p>2.2 The context of key social, political, economic, demographic, and institutional factors that have a direct bearing on the object is described. For example, the partner government's strategies and priorities, international, regional or country development goals, strategies and frameworks, the concerned agency's corporate goals and priorities, as appropriate</p>		
<p>2.3 The scale and complexity of the object of the evaluation are clearly described, for example:</p> <ul style="list-style-type: none"> • The number of components, if more than one, and the size of the population each component is intended to serve, either directly and indirectly. • The geographic context and boundaries (such as the region, country, and/or landscape and challenges where relevant • The purpose and goal, and organization/management of the object • The total resources from all sources, including human resources and budget(s) (e.g. concerned agency, partner government and other donor contributions and actual expenditures • The duration 		
<p>2.4 The key stakeholders involved in the object implementation, including the implementing agency(s) and partners, other key stakeholders and their roles</p>		
<p>2.5 The report identifies the implementation status of the object, including its phase of implementation and any significant changes (e.g.</p>		

plans, strategies, logical frameworks) that have occurred over time and explains the implications of those changes for the evaluation		
3. Evaluation Purpose, Objective(s) and Scope		
3.0 The evaluation's purpose, objectives and scope are fully explained		
3.1 The purpose of the evaluation is clearly defined, including why the evaluation was needed at that point in time, who needed the information, what information is needed, how the information will be used		
3.2 The report should provide a clear explanation of the evaluation objectives and scope including main evaluation questions and describes and justifies what the evaluation did and did not cover		
3.3 The report describes and provides an explanation of the chosen evaluation criteria, performance standards, or other criteria used by the evaluators		
3.4 As appropriate, evaluation objectives and scope include questions that address issues of gender and human rights		
4. Evaluation Methodology		
4.0 The report presents transparent description of the methodology applied to the evaluation that clearly explains how the evaluation was specifically designed to address the evaluation criteria, yield answers to the evaluation questions and achieve evaluation purposes		
4.1 The report describes the data collection methods and analysis, the rationale for selecting them, and their limitations. Reference indicators and benchmarks are included where relevant		
4.2 The report describes the data sources, the rationale for their selection, and their limitations. The report includes discussion of how the mix of data sources was used to obtain a diversity of perspectives, ensure data accuracy and overcome data limits		
4.3 The report describes the sampling frame – area and population to be represented, rationale for selection, mechanics of selection, numbers selected out of potential subjects, and limitations of the sample		
4.4 The evaluation report gives a complete description of stakeholder's consultation process in the evaluation, including the rationale for selecting the particular level and activities for consultation		
4.5 The methods employed are appropriate for the evaluation and to answer its questions		

4.6 The methods employed are appropriate for analysing gender and rights issues identified in the evaluation scope		
4.7 The report presents evidence that adequate measures were taken to ensure data quality, including evidence supporting the reliability and validity of data collection tools (e.g. interview protocols, observation tools, etc.)		
5. Findings		
5.0 Findings respond directly to the evaluation criteria and questions detailed in the scope and objectives section of the report and are based on evidence derived from data collection and analysis methods described in the methodology section of the report.		
5.1 Reported findings reflect systematic and appropriate analysis and interpretation of the data		
5.2 Reported findings address the evaluation criteria (such as efficiency, effectiveness, sustainability, impact and relevance) and questions defined in the evaluation scope		
5.3 Findings are objectively reported based on the evidence		
5.4 Gaps and limitations in the data and/or unanticipated findings are reported and discussed		
5.5 Reasons for accomplishments and failures, especially continuing constraints, were identified as much as possible		
5.6 Overall findings are presented with clarity, logic, and coherence		
6. Conclusions		
6.0 Conclusions present reasonable judgments based on findings and substantiated by evidence, and provide insights pertinent to the object and purpose of the evaluation		
6.1 The conclusions reflect reasonable evaluative judgments relating to key evaluation questions		
6.2 Conclusions are well substantiated by the evidence presented and are logically connected to evaluation findings		
6.3 Stated conclusions provide insights into the identification and/or solutions of important problems or issues pertinent to the prospective decisions and actions of evaluation users		
6.4 Conclusions present strengths and weaknesses of the object (policy, Programs, project's or other intervention) being evaluated, based on the		

evidence presented and taking due account of the views of a diverse cross-section of stakeholders		
7. Recommendations		
7.0 Recommendations are relevant to the object and purposes of the evaluation, are supported by evidence and conclusions, and were developed with the involvement of relevant stakeholders		
7.1 The report describes the process followed in developing the recommendations including consultation with stakeholders		
7.2 Recommendations are firmly based on evidence and conclusions		
7.3 Recommendations are relevant to the object and purposes of the evaluation		
7.4 Recommendations clearly identify the target group for each recommendation		
7.5 Recommendations are clearly stated with priorities for action made clear		
7.6 Recommendations are actionable and reflect an understanding of the commissioning organization and potential constraints to follow-up		
8. Gender and Human Rights		
8.0 The report illustrates the extent to which the design and implementation of the object, the assessment of results and the evaluation process incorporate a gender equality perspective and human rights based approach		
8.1 The report uses gender sensitive and human rights-based language throughout, including data disaggregated by sex, age, disability, etc.		
8.2 The evaluation approach and data collection and analysis methods are gender equality and human rights responsive and appropriate for analysing the gender equality and human rights issues identified in the scope.		
8.3 The report assesses if the design of the object was based on a sound gender analysis and human rights analysis and implementation for results was monitored through gender and human rights frameworks, as well as the actual results on gender equality and human rights		
8.4 Reported findings, conclusions, recommendations and lessons provide adequate information on gender equality and human rights aspects		

A four-point rating scale: 1=poor, 4 = excellent is applied

Terms of Reference Template



Internal Oversight Division

Reference:

Terms of Reference

EVALUATION TOPIC

Date:

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ACRONYMS

ASPAC	Asia and the Pacific
IAOC	Independent Advisory Oversight Committee
IOD	Internal Oversight Division
IP	Intellectual Property
LAC	Latin America and the Caribbean
LDCs	Least Developed Countries
RBMF	Results-Based Management Framework
RG	Reference Group
SG	Strategic Goal
SMT	Senior Management Team
ToR	Terms of Reference
UNEG	United Nations Evaluation Group
WIPO	World Intellectual Property Organization

BACKGROUND

1. These Terms of Reference (ToR) have been developed according to United Nations Evaluation Group (UNEG) Standards and in consultation with the Development Sector, in particular the Division for Least-Developed Countries (LDCs).
2. Description of the evaluation topic.
3. Reasons for the evaluation including timing, relationship to decision making events.
4. Other relevant background information.

OBJECTIVES AND SCOPE OF THE EVALUATION

(A) OBJECTIVES AND USE OF THE EVALUATION

5. Describe primary and any secondary objectives for the evaluation.
6. Describe how the results are expected to be used in terms of performance improvement, learning and accountability.

(B) SCOPE

7. Describe the broad scope of the evaluation: what will be included and what will be excluded.
8. Outline any sampling anticipated (optional at this stage)

EVALUATION QUESTIONS (BY EVALUATION CRITERIA)

9. Outline the key criteria that the evaluation will seek to respond to (Relevance, Efficiency, Effectiveness, Impact, Sustainability plus Coverage, Coherence, Coordination if being evaluated).

(A) QUESTIONS ON RELEVANCE

- (a) List key questions on Relevance that the evaluation will seek answers to.

(B) QUESTIONS ON EFFECTIVENESS

- (a) List key questions on Relevance that the evaluation will seek answers to.

(C) QUESTIONS ON EFFICIENCY

- (a) List key questions on Relevance that the evaluation will seek answers to.

(D) QUESTIONS ON SUSTAINABILITY

- (a) List key questions on Relevance that the evaluation will seek answers to.

(E) QUESTIONS ON IMPACT

- (a) List key questions on Relevance that the evaluation will seek answers to.

METHODOLOGICAL APPROACH

- 10. Identify the methodologies to be employed.
- 11. Outline the key data collection techniques anticipated.
- 12. Outline anticipated methods for data analysis.
- 13. Outline the key phases of the evaluation and what each phase will involve and achieve.

(A) EVALUATION DESIGN AND DESK REVIEW PHASE

- 14. Describe the key elements of the phase.

(B) FIELD PHASE

- 15. Describe the key elements of the phase.

(C) REPORTING PHASE

- 16. Describe the key elements of the phase.

(D) KEY ISSUES THAT COULD LIMIT THE EVALUATION PROCESS

- 17. Identify any issues that could impact on the evaluation in terms of achievement of objectives, scope, timeframe for the evaluation etc.

DELIVERABLES

- 18. Detail the anticipated deliverables. At a minimum these should include:
 - (a) Final Terms of Reference
 - (b) Draft Evaluation Report with Findings and Recommendations
 - (c) Final Evaluation Report for publication.
- 19. Specify in which language(s) the deliverables will be produced.

TIME TABLE

- 20. Provide a draft timetable for key activities and deliverables.

(a) Timeframe	(b) Main phases of the evaluation
(c)	(d)
(e)	(f)
(g)	(h)
(i)	(j)

(k)

EVALUATION MANAGEMENT AND PROCESS

21. Identify who will be responsible for conducting the evaluation.
22. Provide details of any Reference Groups that will be created for the evaluation.
23. Outline the roles and responsibilities of the various team members including any external consultants/contractors.

OVERALL PROJECT BUDGET

24. Provide an overall project budget (Optional) (Note: For External Evaluations, the Final Terms Of Reference must contain the agreed budget for the project as the external contractor must be accountable for the completion of the evaluation within the budget.)

ANNEXES

(OPTIONAL – ADD/DELETE AS NECESSARY)

Annex I.	INITIAL ANALYSIS OF THE EVALUATION TOPIC
Annex II.	TENTATIVE LIST OF STAKEHOLDERS
Annex III.	DETAILED BUDGET

EXAMPLE OF ANNEX

Example Template for Categorizing Stakeholders

Beneficiaries of the intervention	Users (clients) of the evaluation
<p>Primary (direct/indirect) Government counterparts (direct) Groups representing minorities (direct) Minorities (indirect)</p>	<p>Primary Project team Local managers Senior managers (headquarters and region) Government counterparts Member states Specific committees</p>
<p>Secondary Senior government officials (direct) Minority cultural specialists, linguistic scholars and religious leaders (direct and indirect)</p>	<p>Secondary Collaborating donors Collaborating partners, NGOs etc. Other UN organizations Groups representing minorities Academics and evaluation professionals</p>
<p>Others Other minority groups or government officials not reached by the intervention</p>	<p>Beneficiaries</p>

Evaluation Questions Matrix

	Overarching Question	Sub-questions	Indicators/Measures	Key Sources of Information	Main Methods
Relevance	1.		•	•	•
	2.		•	•	•
Effectiveness	3.		•	•	•
	4.		•	•	•
Efficiency	5.		•	•	•
	6.		•	•	•
Impact	7.		•	•	•
	8.		•	•	•
Sustainability	9.		•	•	•
	10.		•	•	•
Coherence	11.		•	•	•
	12.		•	•	•
Coordination	13.		•	•	•
	14.		•	•	•
Coverage	15.		•	•	•
	16.		•	•	•

Overview of Findings, Conclusions and Recommendations

FINDINGS	CONCLUSIONS	RECOMMENDATIONS
Criterion A		
Finding A.1	Conclusion A	Recommendation #
Finding A.2		
Finding A.3	Conclusion B	
Finding A.4		
Criterion B		
Finding B.1	Conclusion C	Recommendation #
Finding B.2		
Finding B.3	Conclusion D	
Finding B.4		
Criterion C		
Finding C.1	Conclusion E	Recommendation #
Finding C.2		
Finding C.3	Conclusion F	
Finding C.4		

Management Response Matrix

Recommendation #	Accepted / Rejected (indicate reason for rejecting)	Person(s) Responsible	Deadline	Management Comments and Action Plan
Recommendation #				

EVALUATION REPORT TEMPLATE



Internal Oversight Division

Reference:

EVALUATION REPORT

Report details

Date

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LIST OF ACRONYMS

WIPO	World Intellectual Property Organization
IOD	Internal Oversight Division

EXECUTIVE SUMMARY

A stand-alone section of two to three pages that should:

- Briefly describe the intervention (the project(s), program(s), policies or other interventions) that was evaluated.
- Explain the purpose and objectives of the evaluation, including the audience for the evaluation and the intended uses.
- Describe key aspect of the evaluation approach and methods.
- Summarize principle findings, conclusions, and recommendations.

INTRODUCTION

Should:

- Explain why the evaluation was conducted (the purpose), why the intervention is being evaluated at this point in time, and why it addressed the questions it did.
- Identify the primary audience or users of the evaluation, what they wanted to learn from the evaluation and why and how they are expected to use the evaluation results.
- Identify the intervention (the project(s) program(s), policies or other interventions) that was evaluated—see upcoming section on intervention.
- Acquaint the reader with the structure and contents of the report and how the information contained in the report will meet the purposes of the evaluation and satisfy the information needs of the report's intended users.

DESCRIPTION OF THE INTERVENTION

Provides the basis for report users to understand the logic and assess the merits of the evaluation methodology and understand the applicability of the evaluation results. The description needs to provide sufficient detail for the report user to derive meaning from the evaluation. The description should:

- Describe **what is being evaluated, who seeks to benefit**, and the **problem or issue** it seeks to address.
- Explain the **expected results map or results framework, implementation strategies**, and the key **assumptions** underlying the strategy.
- Link the intervention to **national priorities**, UNDAF priorities, corporate multiyear funding frameworks or strategic plan goals, or other **program or country specific plans and goals**.
- Identify the **phase** in the implementation of the intervention and any **significant changes** (e.g., plans, strategies, logical frameworks) that have occurred over time, and explain the implications of those changes for the evaluation.
- Identify and describe the **key partners** involved in the implementation and their roles.
- Describe the **scale of the intervention**, such as the number of components (e.g., phases of a project) and the size of the target population for each component.
- Indicate the **total resources**, including human resources and budgets.
- Describe the context of the **social, political, economic and institutional factors**, and the **geographical landscape** within which the intervention operates and explain the effects (challenges and opportunities) those factors present for its implementation and outcomes.
- Point out **design weaknesses** (e.g., intervention logic) or other **implementation constraints** (e.g., resource limitations).

EVALUATION SCOPE AND OBJECTIVES

The report should provide a clear explanation of the evaluation's scope, primary objectives and main questions.

- Evaluation scope - The report should define the parameters of the evaluation, for example, the time period, the segments of the target population included, the geographic area included, and which components, outputs or outcomes were and were not assessed.
- Evaluation objectives - The report should spell out the types of decisions evaluation users will make, the issues they will need to consider in making those decisions, and what the evaluation will need to achieve to contribute to those decisions.

- Evaluation criteria - The report should define the evaluation criteria or performance standards used. The report should explain the rationale for selecting the particular criteria used in the evaluation.
- Evaluation questions - Evaluation questions define the information that the evaluation will generate. The report should detail the main evaluation questions addressed by the evaluation and explain how the answers to these questions address the information needs of users.

EVALUATION APPROACH AND METHODS

The evaluation report should describe in detail the selected methodological approaches, methods and analysis; the rationale for their selection; and how, within the constraints of time and money, the approaches and methods employed yielded data that helped answer the evaluation questions and achieved the evaluation purposes. The description should help the report users judge the merits of the methods used in the evaluation and the credibility of the findings, conclusions and recommendations. The description on methodology should include discussion of each of the following:

- Data sources - The sources of information (documents reviewed and stakeholders), the rationale for their selection and how the information obtained addressed the evaluation questions.
- Sample and sampling frame - If a sample was used: the sample size and characteristics; the sample selection criteria (e.g., single women, under 45); the process for selecting the sample (e.g., random, purposive); if applicable, how comparison and treatment groups were assigned; and the extent to which the sample is representative of the entire target population, including discussion of the limitations of the sample for generalizing results.
- Data collection procedures and instruments - Methods or procedures used to collect data, including discussion of data collection instruments (e.g., interview protocols), their appropriateness for the data source and evidence of their reliability and validity.
- Performance standards - The standard or measure that will be used to evaluate performance relative to the evaluation questions (e.g., national or regional indicators, rating scales).
- Stakeholder engagement - Stakeholders' engagement in the evaluation and how the level of involvement contributed to the credibility of the evaluation and the results.
- Ethical considerations - The measures taken to protect the rights and confidentiality of informants (see UNEG 'Ethical Guidelines for Evaluators' for more information).
- Background information on evaluators - The composition of the evaluation team, the background and skills of team members and the appropriateness of the technical skill mix, gender balance and geographical representation for the evaluation.
- Major limitations of the methodology - Major limitations of the methodology should be identified and openly discussed as to their implications for evaluation, as well as steps taken to mitigate those limitations.

DATA ANALYSIS

The report should describe the procedures used to analyze the data collected to answer the evaluation questions. It should detail the various steps and stages of analysis that were carried out, including the steps to confirm the accuracy of data and the results. The report also should discuss the appropriateness of the analysis to the evaluation questions. Potential weaknesses in the data analysis and gaps or limitations of the data should be discussed, including their possible influence on the way findings may be interpreted and conclusions drawn.

FINDINGS AND CONCLUSIONS

The report should present the evaluation findings based on the analysis and conclusions drawn from the findings.

- Findings - Should be presented as statements of fact that are based on analysis of the data. They should be structured around the evaluation criteria and questions so that report users can readily make the connection between what was asked and what was found. Variances between planned and actual results should be explained, as well as factors affecting the achievement of intended results. Assumptions or risks in the project or program design that subsequently affected implementation should be discussed.
- Conclusions - Should be comprehensive and balanced, and highlight the strengths, weaknesses and outcomes of the intervention. They should be well substantiated by the evidence and logically connected to evaluation findings. They should respond to key evaluation questions and provide insights into the identification of and/or solutions to important problems or issues pertinent to the decision making of intended users.

RECOMMENDATIONS

The report should provide practical, feasible recommendations directed to the intended users of the report about what actions to take or decisions to make. The recommendations should be specifically supported by the evidence and linked to the findings and conclusions around key questions addressed by the evaluation. They should address sustainability of the initiative and comment on the adequacy of the project exit strategy, if applicable.

LESSONS

As appropriate, the report should include discussion of lessons from the evaluation, that is, new knowledge gained from the particular circumstance (intervention, context outcomes, even about evaluation methods) that are applicable to a similar context. Lessons should be concise and based on specific evidence presented in the report.

REPORT ANNEXES

Suggested annexes should include the following to provide the report user with supplemental background and methodological details that enhance the credibility of the report:

- ToR for the evaluation
- Additional methodology-related documentation, such as the evaluation matrix and data collection instruments (questionnaires, interview guides, observation protocols, etc.) as appropriate
- List of individuals or groups interviewed or consulted and sites visited
- List of supporting documents reviewed
- Project or program results map or results framework
- Summary tables of findings, such as tables displaying progress towards outputs, targets, and goals relative to established indicators
- Short biographies of the evaluators and justification of team composition
- Code of conduct signed by evaluators

ACKNOWLEDGMENT

IOD wishes to thank all relevant members of staff for their assistance, cooperation and interest during this assignment.

Prepared by:

Reviewed by:

Approved by:

TABLE OF RECOMMENDATIONS

Recommendation #	Accepted / Rejected (indicate reason for rejecting)	Person(s) Responsible	Deadline	Management Comments and Action Plan
Recommendation #				
Recommendation #				
Recommendation #				

RESSOURCES AND TOOLS

WIPO Links and Tools

WIPO Evaluation Policy, 2016

WIPO Evaluation Strategy, 2016

[WIPO Evaluation Code of Conduct](#)

[WIPO IOD Charter, 2014](#)^{*1}

Internal Oversight Division, 2016 Oversight Plan

[Knowledge Management in WIPO.](#)

TeamCentral User Guide

Checklist for assessing the quality of evaluation reports of the WIPO IOD Evaluation Function

WIPO recruitment policies and procedures

Decentralized Evaluatoins Template

[WIPO Procurement Manual](#)

External Links and tools

UNEG

United Nations Evaluation Group, 2005: [Norms for Evaluation in the UN System](#), New York: UNEG.

United Nations Evaluation Group, 2008: [Code of Conduct](#) for Evaluation on the UN System, New York: UNEG.

United Nations Evaluation Group, 2008: [Ethical Guidelines](#). New York: UNEG

United Nations Evaluation Group, 2010: [Good Practice](#) Guidelines for Follow up to Evaluations, New York: UNEG.

UNEG [Quality Checklist](#) for Evaluation Terms of Reference and Inception Reports.

[UNEG Integrating Human Rights and Gender Equality in Evaluations](#)

[UNEG Quality Checklist for Evaluation Reports.](#)

¹ Last amended on October 2, 2018

OECD/DAC

[OECD/DAC, 2010b](#). Quality Standards for Development Evaluation, Paris: OECD.

[OECD/DAC, 2010c](#). Managing Joint Evaluations, Paris: OECD.

[OECD/DAC, 2002](#). Glossary of Key Terms in Evaluation and Results Based Management, Paris: OECD.

OIOS-IED

[OIOS-IED Inspection and Evaluation Manual, New York, 2014: OIOS.](#)

[OIOS-IED Reference Documents](#)

Very extensive list of evaluation reference documents including a large catalogue of checklists for all stages of evaluations

Other

[IFAD, 2009. Evaluation Manual](#) - Methodology and Processes, Rome: Office of Evaluation.

United Nations Development Program, 2009: [Handbook](#) on Planning, Monitoring and Evaluating for Development Results, New York: UNDP.

[ILO policy](#) guidelines for results-based evaluation: Principles, rationale, planning and managing for evaluations, 2nd ed. (July 2013)

Active Learning Network for Accountability and Performance in Humanitarian Action ([ALNAP](#))

[Australian Bureau of Statistics](#) – Sampling and data organization techniques

[Better Evaluation](#)

[Gender and Evaluation](#)

[Integrated Monitoring and Documentation Information System \(IMDIS\) data](#)

[United Nations Joint Inspection Unit \(JIU\)](#)

[My M&E](#)

[Random number generators](#)

[Research Rundowns](#) – [significance testing](#)

[Sample size calculators](#)

Social Research Methods

<http://www.socialresearchmethods.net/kb/sampon.php>

<http://www.socialresearchmethods.net/kb/relandval.php>

[Sophia Learning](#)

[Stat Trek](#)

Topic Specific Resources

Equity

[How to Design and Manage Equity Focused Evaluations](#), UNICEF 2011.

Data Collection

[OIOS-IED Inspection and Evaluation Manual](#), 2014 contains some of the best, detailed information on data collection, particularly well suited to the WIPO context.

[End of document]