# STRATEGIC EVALUATIONS
# Guidance for Process and Content

World Food Programme

SAVING LIVES
CHANGING LIVES

Centralized Evaluation Quality Assurance System

December 2023

# Foreword

The Centralized Evaluation Quality Assurance System (CEQAS) is one of the building blocks for implementation of the World Food Programme (WFP) 2022 Evaluation Policy . As such, it is the WFP Office of Evaluation's primary means of safeguarding the international evaluation principles of:

- **Independence:** by setting standards that increase impartiality of the evaluation process and reporting on findings
- **Credibility:** by setting standards that ensure evaluations are evidence based and follow transparent and systematic processes
- **Utility:** by building milestones into evaluation processes for timeliness and reporting standards to ensure accessibility.

The CEQAS guides all evaluations undertaken by the WFP Office of Evaluation and its consultants.

The CEQAS is a comprehensive system covering all types of evaluations: strategic, policy, country strategic plan, corporate emergency and synthesis.

The CEQAS is a working tool for WFP evaluation cadre and evaluation teams covering all stages of the evaluation cycle. It is not a comprehensive handbook on evaluation and does not replace the rich range of evaluation literature.

The CEQAS builds on the norms and standards of the United Nations Evaluation Group (UNEG), the Organisation for Economic Co-operation and Development's Development Assistance Committee's (OECD-DAC) Evaluation Network, related tools from the Active Learning Network for Accountability and Performance (ALNAP), and the wider evaluation literature and community of practice.

The CEQAS package for each evaluation type consists of:

I. **Guidance for process and content**
II. **Templates**
III. **Quality checklists**
IV. **Technical notes and other reference material**

Initiated in 2007, the evaluation quality assurance system (EQAS) is subject to periodic and systematic updates in line with the Office of Evaluation's evolving needs and international best practice. CEQAS was comprehensively reviewed and updated in 2013. In 2017, the guidance was further updated to strengthen the integration of gender equality and women's empowerment (GEWE) and to take account of the start of implementation of the "Integrated Road Map". In 2019, further revision was made to CEQAS for country portfolio evaluations in order to transform them into country strategic plan evaluations. Between 2020 and 2023, the Office of Evaluation reviewed its EQAS across all types of evaluations to ensure closer alignment where required and reflect recent UNEG guidance, such as the 2020 Ethical Guidelines for Evaluation and the 2023 UNEG Guidance on Integrating Disability Inclusion in evaluations. Further updates and new materials will continue to be added as needed to ensure the EQAS continues to reflect emergent best practice and management requirements.

***Anne-Claire Luzot, Director of Evaluation, December 2024***

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# Introduction

1. **Strategic evaluations (SEs)** are forward-looking and assess strategic, systemic or emerging corporate issues, programmes and initiatives with global or regional coverage that are selected for their relevance to World Food Programme's (WFP's) strategic direction.

2. **Overview of the guidance**. These guidance materials apply to the management and conduct of SEs. They are structured following the five phases of an evaluation, focusing on processes, outputs and quality standards that will be used for each of them. The five phases are:

   1. Preparation
   2. Inception
   3. Data collection
   4. Reporting
   5. Follow-up and dissemination

3. **The process guidance** shows the roles and responsibilities of each stakeholder: evaluation managers (EMs); research analysts (RAs); evaluation team leaders and team members; WFP stakeholders, including headquarters focal points and other relevant Divisions (HQ), regional bureaux, regional evaluation units (REUs) and country offices; other stakeholders; and the Director of Evaluation (DoE) or Deputy Director of Evaluation (DDoE) whenever responsible for clearance of the SE. The Global and Synthesis Unit is responsible for updating this Process Guide and coordinating strategic evaluation conduct.

4. **The content guides and quality standards** are provided for the outputs produced during each of the evaluation phases. This guidance provides a brief introduction with general principles. Templates and a quality checklist for each product are used by the EM, the second-level quality assurer, the RA, evaluation team leaders and evaluation teams.

5. Links are provided to other Office of Evaluation (OEV) guidance, such as **cross-cutting technical notes**.

6. Key **UNEG guidance** such as UNEG norms and standards, 2020 UNEG ethical guidelines for evaluation, UNEG guidance for integrating human rights and gender equality in evaluation, and 2022 UNEG Guidance on Disability Inclusion in Evaluations are also referenced where relevant.

7. **Overview of time taken to conduct an SE.** The time for conducting an SE is approximately 17 months from the initial preparation of the concept note to the follow-up and dissemination phase, when the reports are presented to the Executive Board. However, the core of the process, which includes inception, evaluation and reporting, would normally last up to ten months. The table below illustrates the duration of each phase.

| Phase | Average time (months) |
|---|---|
| 1. Preparation | 4 |
| 2. Inception | 3 |
| 3. Data collection | 4 |
| 4. Reporting | 3 |
| 5. Follow-up and dissemination | 3 |
| **Total** | **17** |

8. The timeframe aims to balance the necessary requirements for quality and feedback while also ensuring timeliness and utility with regard to organizational processes in the area being evaluated. The preparation phase, including the preparation of the concept note, terms of reference (ToR) and selection of

an evaluation team from among the list of companies with the long-term agreement (LTA) with the OEV,[1] may be completed well in advance of the start of the inception phase. The follow-up and dissemination phase is related to the timing of Executive Board sessions in terms of completion.

9. **Quality assurance (QA):** WFP's evaluation quality assurance system (EQAS) sets out processes with steps for QA and templates for evaluation products based on standardized checklists. QA will be systematically applied during the evaluation and relevant documents will be provided to the evaluation team. This QA process does not interfere with the views or independence of the evaluation team but ensures that the report provides credible evidence and analysis in a clear and convincing way and draws its conclusions on that basis. The evaluation team will be required to ensure the quality of data (reliability, consistency and accuracy) throughout the data collection, synthesis, analysis and reporting phases. OEV expects that all deliverables from the evaluation team are subject to a thorough QA review by the evaluation company in line with WFP's EQAS prior to submission of the deliverables to OEV. All final evaluation reports will be subjected to a post hoc quality assessment by an independent entity through a process that is managed by OEV. The overall rating category of the reports will be made public alongside the evaluation reports.

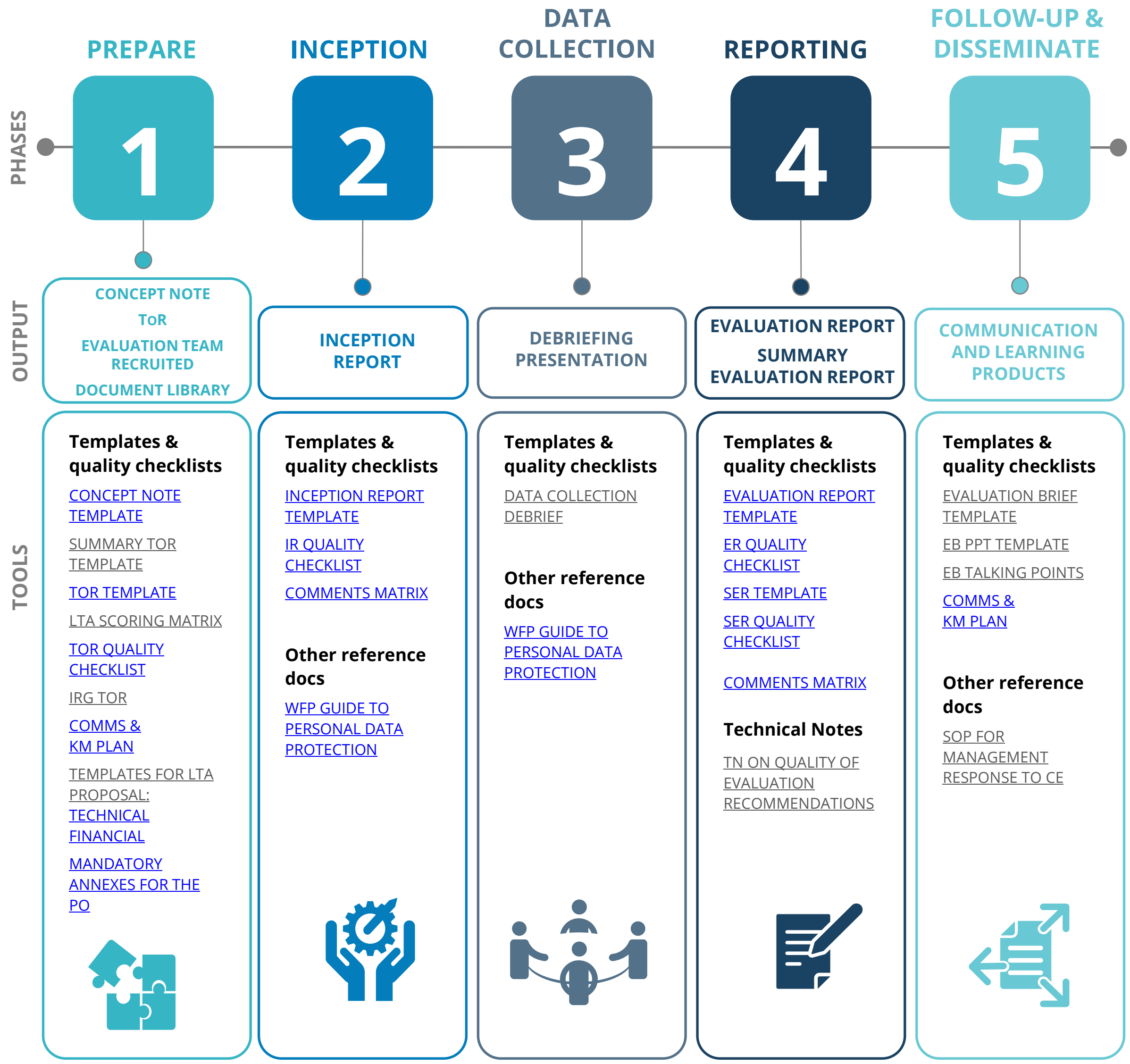
10. For the preparation phase, the EM has primary responsibility for developing the ToR in line with CEQAS standards. The EM is also responsible for drafting the summary evaluation report (SER) in the reporting phase in consultation with the evaluation team leader. As strategic evaluations are managed by Senior Evaluation Officers, the second-level QA and final approver are one and the same – either the DDoE or DoE.

11. For the **inception and reporting phases**, the evaluation team leader and the consultancy company that hired them (when this is the case) have primary responsibility for timely delivery of evaluation products that meet the centralized evaluation quality standards. In addition, there are two levels of QA within the OEV for products developed by evaluation teams:

1. **First-level quality assurance (QA1)** is undertaken by the EM with the support of the RA, as relevant, for the outputs to be produced by the evaluation team at each stage of the process: each draft of the inception and evaluation reports. The EM should complete the QA checklists for each product submitted by the evaluation team prior to submission to the QA2.
2. **Second-level quality assurance (QA2)/final approval** is undertaken by the DoE or DDoE if clearance of all deliverables has been delegated to them. When satisfied with the quality, the EM will submit the final draft deliverable for clearance to the DoE or DDoE. Documents should be submitted for approval through the electronic approval system after having anticipated the date of submission in the OEV calendar of deliverables.

[1] Should no evaluation firms present viable proposals, individual evaluators can be hired by OEV to make up an evaluation team.

## Figure 1: Overview




**Other cross-cutting technical notes:** GENDER TN, DISABILITY INCLUSION TN CHECKLIST, QUICK GUIDE | EVALUATION CRITERIA AND QUESTIONS | EVALUATION PRINCIPLES, NORMS AND STANDARDS | PLANNING AND CONDUCTING EVALUATIONS DURING COVID-19 | STAKEHOLDER ANALYSIS | LOGICAL MODELS | GLOSSARY OF TERMS

**Cross-cutting tools and reference material:** MIS QUICK REFERENCE | SOP FOR OEV APPROVAL SYSTEM | OEV COMMUNICATION PROTOCOL | RESEARCH AND ANALYTICS GUIDE | FORMATTING AND EDITORIAL GUIDELINES | REMOTE DATA COLLECTION (DRAFT) |

**Cross-cutting UNEG documents:** ETHICAL GUIDELINES FOR EVALUATION | GUIDANCE ON DISABILITY INCLUSION IN EVALUATIONS |

# Phase 1: Preparation

The principles of independence, impartiality, credibility and utility, as well as ethics, have a number of specific implications at preparation phase as follows.

**Independence**: The EM ensures that the selected independent evaluators have not had prior involvement with the subject to be evaluated and have no vested interest.

**Impartiality:** The EM prepares the concept note and ToR following this process guide to ensure an absence of bias in terms of scope and design. An internal reference group (IRG), which includes key WFP stakeholders, is formed to help steer the evaluation and reduce risk of bias. Impartiality is critical to the usefulness and credibility of the evaluation. An external advisory group (EAG) will also be formed to provide inputs to the evaluation process and substance.

The **credibility** of an evaluation is determined by its independence, impartiality, transparency and methodological appropriateness and rigour. The selected evaluation team should have recognized expertise in the relevant fields and a track record of producing high-quality evaluations.

**Utility:** An explicit discussion on the intended use of the evaluation takes place with internal and external stakeholders. The evaluation questions should be focused, appropriate and relevant to the users' needs and linked to the evaluation's objective(s) (accountability and/or learning). A concept note may be developed to propose an initial scope, methodology, approach and evaluation questions. The evaluation ToR then set out the evaluation's purpose, scope and intended use(s) by various stakeholders. The EM effectively steers the evaluation process to ensure adherence to the planned timeline and timely completion of the evaluation.

**Ethics**: The UNEG ethical guidelines include a pledge of ethical conduct in evaluation that has to be followed by all evaluation commissioners and evaluators contracted by WFP as well as a checklist of ethical issues that the EM and evaluation teams should consider at each phase of the process.

12. A strategic evaluation begins with an email from the DoE to launch the evaluation and request meetings to define the scope. The EM reaches out to key stakeholders for initial consultations and to gather documentation to inform the development of a concept note.

13. Given that many evaluands in strategic evaluation are broad and complex, a **concept note** is usually prepared to begin scoping and inform consultations with key stakeholders. The concept note is intended to inform discussions with key stakeholders at an early stage in the preparation phase on the evaluation scope, possible methodological approaches, potential evaluation questions and an appropriate analytical framework. The concept note should follow the template and be brief. Sufficient time should be allocated for consultations with stakeholders based on the concept note prior to development of the full ToR. The concept note is submitted for approval prior to being shared with stakeholders.

14. The **terms of reference (ToR)** are the major output of the preparation phase and they provide the first substantive overview of the evaluation. They constitute the EM's main instrument to inform key stakeholders of the evaluation approach and to obtain their feedback, as well as to instruct potential evaluators on the assignment as the basis of their proposals. The ToR are annexed to the contract of the selected consultancy firm or to the contract of individual members of the evaluation team when hired as individual consultants. A description of the ToR preparation process is available in Section 1.2.

15. The ToR should include a clear description of the scope, methodology, evaluation questions, evaluability assessment, sampling and proposed country-level engagement, including clarity on the selection criteria for country engagement.

16. A country selection matrix including information on all countries where WFP has activities is maintained by the Global and Synthesis Unit. Some of the data captured for the benefit of global evaluations includes data on population, income classification, country strategic plan timeframe, needs-based plan, and recently completed, ongoing or planned evaluations and audits by country. Country selection for missions or desk reviews is a fundamental part of all global evaluations and data from country

studies is expected to inform global analysis. The final approval of country selection rests with the DoE/DDoE. The EM should consult the most recent version of the country selection matrix and adapt it to include data specific to the subject of the evaluation. This will enable an examination of data across countries and regions and will facilitate the identification of a long list of countries[2] included in the TOR.

17. Once the ToR are cleared, a two-page **summary ToR** is prepared as a communication tool to be used throughout the evaluation.

18. In addition to developing a concept note and the full ToR, there are other steps in the preparation phase for strategic evaluations:

19. **Internal reference group (IRG).** During the preparation phase, the EM is responsible for identifying key units/Divisions/departments and drafting the request for nominations for IRG membership, which is issued by the DoE/DDoE, informing potential members of their roles in the evaluation process and formalizing the IRG. The overall purpose of the IRG is to contribute to the credibility, utility and impartiality of the evaluation by providing feedback on key deliverables. For this purpose, its composition and role are guided by the following principles:

- *Accuracy*: Feedback from stakeholders at key steps of the preparatory, data collection and reporting phases contributes to accuracy of the facts and figures reported in the evaluation and of its analysis.
- *Transparency*: Keeping relevant stakeholders engaged and informed during key steps ensures transparency throughout the evaluation process.
- *Ownership and use*: Stakeholders' participation enhances ownership of the evaluation process and products, which in turn may positively impact its use.

20. The IRG should be composed of representatives of the relevant HQ-based units/Divisions and regional bureau focal points whose role relates to the evaluand.

21. **External advisory group (EAG)**. It has proven beneficial to identify external experts who can provide advice to the EM on the subject of the evaluation. The EM should identify a maximum of three to five experts in consultation with the DoE/DDoE (depending on who is clearing the evaluation deliverables). This should be done during the ToR preparation phase and should include relevant subject-matter experts. Advice is sought on draft ToR, if the EAG is established in time, draft inception and evaluation reports, at a minimum.

22. The EM should ask for suggestions from key IRG members and also identify names drawing from the research carried out to develop the evaluation ToR. Once a list of potential EAG members has been compiled, the EM will discuss it with the QA2 and DoE/DDoE. Following that discussion, the EM will draft an email to be sent from the DoE account to reach out to the individuals identified to request their engagement.

23. As no honorarium is typically offered, emphasis should be placed on the value to be gained by the EAG member through their association with an evaluation of a WFP thematic area. An acknowledgement can be added to the evaluation report as follows: *The contribution of EAG members will be acknowledged including their name and affiliation in the inside cover page of the final evaluation report that will be uploaded on the WFP evaluation portal page and disseminated widely internally and externally to WFP.*

24. **Communication and knowledge management plan.** In the early stages of the evaluation, the EM is responsible for preparing a communication and knowledge management plan defining the ways in which the various stakeholders will be involved throughout the evaluation process and how the findings of the evaluation will be communicated and disseminated in order to stimulate learning in WFP and beyond. The plan should be further developed during the inception phase, in consultation with key stakeholders and the OEV's communications officer. For more details, please refer to the communication and knowledge management plan.

25. **Identification and contracting of an evaluation team.** Finally, the preparation phase also includes the identification and contracting of an evaluation team to undertake the evaluation. The EM should check

[2] Country selection for each evaluation is based upon criteria designed to derive maximum learning and insight from across WFP's work, and practical considerations of timing and evaluation coverage to ensuring that no country office is overexposed.

the LTA tracking sheet to identify the firms that expressed an interest in conducting the evaluation. Assuming that there were a sufficient number of firms that responded positively, brief information on the expected timeline of the evaluation, the scope and team requirements can be shared with the firms that expressed interest ahead of sharing the full ToR. Once the ToR have been finalized, these are shared with the shortlisted companies with a clear deadline for submission of a technical and financial proposal according to the relevant template. The link to the scoring table to be used for the assessment of the proposals is listed as key reference material under Section 1.3. Once the appropriate team has been selected, the EM will draft a decision memo to be submitted electronically to the DoE/DDoE for approval. The decision memo should include a recommendation to justify the selected company and evaluation team, the budget for the whole evaluation, including the cost for the evaluation conduct and any costs to be incurred by the EM, the ToR, scoring grid with the results of the assessment and list of all team members with the roles and daily rates.

26. **Gender equality and women's empowerment (GEWE)**, as well as equity, disability and inclusion approaches, should inform evaluation thinking from the start of the preparation phase throughout the evaluation. The templates and quality checklists signal clearly when this should be done, starting with the concept note, ToR templates, Technical Note on i) Integrating Gender in WFP Evaluations, and ii) Integration Disability Inclusion in WFP Evaluations.

## 1.1 PREPARATION PHASE PROCESS GUIDE

27. The purpose of the process guide is to provide a step-by-step description of the process leading to the finalization of the ToR and the summary ToR, the selection of the evaluation team, and the communication and knowledge management plan, highlighting the roles and responsibilities of each stakeholder.

28. The steps, including the roles, responsibilities and actions, are provided in Figure 2.

**Figure 2: Process map for preparation and finalization of the terms of reference**

**Evaluation manager**

- Collects and reviews key documents
- Following consultation with the QA2, prepares a concept note according to the template. The concept note serves to initiate scoping, stakeholder identification, methodology and approach, as well as to draft potential evaluation questions. The concept note is used to facilitate discussion with key stakeholders to this end. The EM submits the concept note for approval prior to sharing with internal stakeholders to facilitate discussions on the evaluation
- Conducts a stakeholder analysis to identify key stakeholders (internal (WFP) and external (governments, institutions, partners)), and establishes an IRG and potential members of an EAG
- Undertakes preliminary consultations with key stakeholders to get an overview of: priorities and concerns; the dimensions of the evaluand; data availability and quality; political dimensions

**Research analyst**

- Under supervision of the EM:
    - Builds an E-library
    - Collects relevant documents (corporate, global)
    - Liaises with evaluand focal point for additional documentation
    - Drafts text on data quality and availability
    - Oversees the development of a list of stakeholders, including for the IRG
    - Inputs basic information on the evaluation into the management information system

**Evaluation manager**

- Following initial consultation based on the concept note, if prepared, consults with the QA2 and agrees on the preparation of draft ToR (including communication and knowledge management plan and IRG composition)
- Submits draft ToR to the QA2/approver

**QA2**

- Review draft concept note prior to sharing with stakeholders and reviews the D0 ToR. Gives feedback to EM, either:
    - Approval
    - Request for revision

**Evaluation manager**

- If cleared, prepares draft email, draft ToR and comments matrix to be issued to relevant DED/AED, Division Directors, RDs and subject-matter focal points, requesting comments and nominations of IRG members from the DoE account and signed off by either the DoE or DDoE, or
- Revises draft ToR, if necessary; repeat previous step
- Sends out renewed call for an expression of interest or shares draft ToR with LTA organisations/individuals that have expressed interest, requesting them to prepare a proposal

**Stakeholders**

- The identified stakeholders will have a minimum of two weeks to comment on the ToR

**Evaluation Manager**

- Reviews the comments and revises the ToR accordingly
- Adds replies to the comments matrix to explain action taken
- Reviews proposals from evaluation firms, assessing them using the standard template and preparing an online decision memo to be submitted to the DoE/DDoE for approval [add link to LTA guidance on SharePoint. Refer to Annex 1 for LTA scoring table]

**Deputy Director/ Director Evaluation**

- Approves the final ToR
- Approves the budget and selection of the LTA by signing off on the decision memo (add link to template)
- Shares final ToR with Oversight and Policy Committee, external auditor and Director of Internal Audit (as per the communication protocol)
- Sends out email to potential EAG members requesting participation
- Approves email sharing final ToR with the Oversight and Policy Committee (OPC), external auditor, and Director of Internal Audit (cc as per Communication Protocol)

**Evaluation manager**

- Drafts email with final ToR along with the full comments matrix, including feedback on the points raised, to be shared by DoE/DDoE.
- Sends the ToR to Communications and Knowledge Management Unit for posting on the WFP websites (internal and external)
- Follows up with the Admin team to ensure the creation of the PO
- Collects ethical and confidentiality pledges from all evaluation team members
- Follows up with potential EAG members once the email from the DDoE/DoE has been sent out

## 1.2 PREPARATION PHASE CONTENT GUIDE AND QUALITY STANDARDS

29. The purpose of this section of the guidance is to assist EMs in drafting the concept note and ToR for SEs. The concept note and ToR should each follow the structure and standard content described in the respective templates below. The ToR should cover the minimum requirements as per the quality checklist and not exceed 11,000 words, excluding annexes.

30. QA aims to ensure that enough background research has been undertaken to set out ToR that will adequately guide the conduct of the evaluation. The quality checklist will be used by the EM when the QA2 is also the approver (DoE/DDoE) to assure quality, providing systematic and constructive feedback as needed. The quality checklist includes:

a. Criteria concerning the content (accuracy, adequate level of detail to understand the issues without being too detailed, well-substantiated choices, for instance, when narrowing down the scope, etc.)

b. Checking whether the required content has been included in the ToR

c. Process (for instance, timeline).

## 1.3 REFERENCE MATERIAL FOR THE PREPARATION PHASE

| Templates and quality checklists | Technical notes | Other reference material |
|---|---|---|
| ✓ Concept Note Template | ✓ Technical Note on Principles, Norms and Standards | ✓ LTA Tracking Sheet |
| ✓ ToR Template | ✓ Technical Note on Evaluation Criteria and Questions | ✓ OEV Communication Protocol |
| ✓ Summary ToR Template | ✓ Technical Note for Planning and Conducting Evaluation during COVID-19 | ✓ Template for Decision Memo |
| ✓ Quality Checklist for ToR | ✓ Technical Note on Stakeholder Analysis | ✓ LTA Scoring Matrix |
| ✓ Internal Reference Group ToR | ✓ Technical Note on Gender integration, Quick Guide and Checklist | |
| ✓ Communication and Knowledge Management Plan | | |
| ✓ External Advisory Group ToR | | |

# Phase 2: Inception

The principles of independence, impartiality, credibility and utility, as well as ethics, have a number of specific implications at inception phase as follows.

**Independence:** To ensure the adequate implementation of evaluation standards and principles, the EM and stakeholders should provide the evaluation team access to key informants and all available data at the start of the inception phase**.**

**Credibility:** The evaluation approach and methodology should be appropriate to respond to the evaluation questions, and the methods for data collection, analysis and interpretation should be transparently documented in the inception report. The sites and stakeholders should be selected according to explicit criteria. The inception report should benefit from inputs from key stakeholders and a rigorous QA process.

**Utility:** The evaluation team, with the support of the EM, should ensure an efficient evaluation process that is useful to key stakeholders' evidence and learning needs.

**Ethics:** Evaluators should behave ethically in all interaction with stakeholders. Adequate ethical safeguards and data collection methods should be clearly indicated in the inception report and assessed by the EM.

31. The inception phase serves to ensure that the evaluation team (leader and members) develop an in-depth understanding of the subject of the evaluation and other requirements indicated in the ToR and can translate them into a workplan according to which the evaluation will be carried out. The inception report describes the proposed evaluation approach and methodology including the data collection and analysis methods selected to answer the evaluation questions, evaluability assessment, stakeholder mapping and process steps.

32. The inception phase involves an initial analysis of background materials and discussions with key stakeholders that will give the evaluation team a greater understanding of issues and concerns related to the subject being evaluated and its implementation. The evaluation team is also expected to further expand some elements of the ToR, notably ensuring that the evaluation subject, context and scope are correct, relevant, up-to-date, appropriately nuanced and politically sensitive. The inception report is meant to clearly confirm the evaluation scope, how the work is to be performed, who is to do what, what is to be produced and when deliverables are expected.

33. Within this framework, the main objectives of the inception phase are to:

- Refine the context analysis within and external to WFP
- (Re)construct a theory of change related to the subject of the evaluation
- Deepen and finalize the evaluability assessment
- Fine-tune the evaluation scope and sub-questions, as relevant and appropriate, also in view of the evaluability assessment
- Deepen and finalize the stakeholder mapping and analysis
- Building upon all the above, define the evaluation methodology giving due consideration to ethical issues, risks and mitigation strategies
- Develop a detailed evaluation matrix, bringing together the evaluation questions and sub-questions, lines of enquiry and indicators, information sources and data collection tools
- Consider the modalities to be applied in the data collection phase – virtual, in person or a combination of the two (e.g. full country mission, desk review 'plus'[3] or desk review)

[3] Primarily desk review with a select number of interviews.

- Clearly define the criteria for country selection and the approach to country engagement, including a template for any proposed country reports. The proposed template should be included as an annex in the inception report
- Finalize the selection of countries to be included in the evaluation and elaborate a field visit schedule
- Develop data collection tools and test them as appropriate and feasible
- Clearly identify approaches to data protection, storage and treatment
- Finalize the communication and knowledge management plan
- Develop a detailed workplan with roles and responsibilities for the team and deadlines for each deliverable.

34. Section 2.1 explains the activities that should be conducted during the inception phase; Section 2.2 provides guidance on the expected content and quality standards of the inception report; and Section 2.3 includes links to all relevant reference documents for this phase.

## 2.1 INCEPTION PHASE PROCESS GUIDE

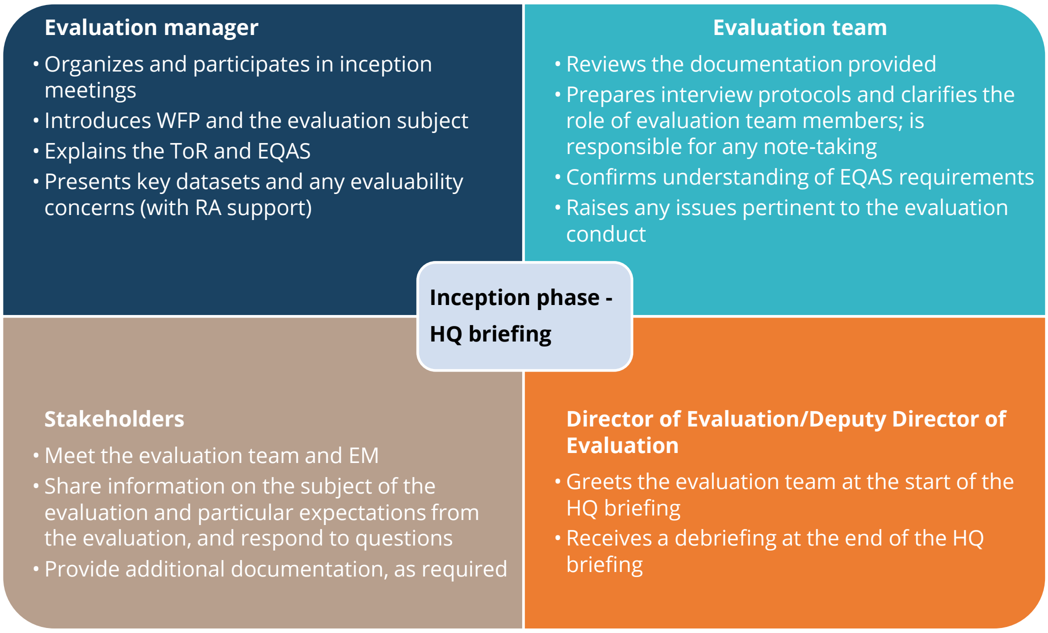
35. The inception phase requires that the ToR are final. The evaluation team should also have been identified and hired. The following will have been completed and provided to the evaluation team:

- ToR
- Library of relevant documents on a file-sharing platform
- Preliminary stakeholder analysis and list of stakeholders.

36. The process guide clarifies roles, responsibilities and participation during the inception phase and provides a step-by-step description of tasks, particularly those leading to the finalization of the inception report for the evaluation.

37. A **headquarters briefing** should be held early in the inception phase to ensure the team is fully apprised of the OEV's requirements for SEs and that it has the opportunity to interact with WFP HQ-based stakeholders. This will be virtual or in person, depending on the circumstances, but the physical presence of the team leader and selected team members in Rome for a briefing will add value in terms of team-building with the EM and preparation of the inception mission. The briefing is not generic but requires the evaluation team to have conducted an initial literature review and begun preparations so that the briefing is also structured around their specific questions. The headquarters briefing will include an introductory meeting with the DoE.

**Figure 3: Overview of roles and responsibilities for the headquarters briefing**




38. **Inception missions** are instrumental to the objectives of the inception phase as listed above. They provide the evaluation team with an ability to test data collection tools and explore the subject of the evaluation from a different vantage point. The consideration of criteria to choose inception missions and future data collection missions is a critical aspect of the inception phase. Evaluation teams are to be provided with a set of data across a range of standard indicators in the form of a country selection matrix. Data that is specific to the evaluation subject is also to be shared with the team so that decisions about where to conduct inception and data collection missions can be taken jointly.

39. The objectives of the inception mission are to:

- Meet stakeholders to understand their perspectives and concerns related to the subject under evaluation and its implementation
- Finalize the evaluability assessment, including data availability/quality and utility
- Test data collection tools and sampling approaches
- Engage with a range of stakeholders in an effort to refine the evaluation sub-questions and methodology.

40. For SEs, the inception mission is conducted by the evaluation team leader, together with the EM. The RA may also attend the inception mission(s), subject to approval by the DoE/DDoE and the Head of Analytics and Research Unit (ARU). The decision will be made taking account of (i) data needs (where the RA can add most value); and (ii) logistics and budget availability.

41. In-person inception missions usually last five working days in country but can vary depending on the agreed evaluation approach. Regional bureau stakeholders may be contacted ahead of a country mission. Inception missions may include a one- to two-day visit to an associated regional bureau.

42. **Preparation of the inception report.** The inception report is the operational plan for the evaluation and provides transparency to key stakeholders on what the evaluation will cover and how it will be carried out. Therefore, the draft inception report should focus on issues that affect the evaluation scope, validation of the theory of change, methodology and fieldwork.

43. All issues should be resolved before the inception report is considered final. The data collection phase cannot start until the inception report has been approved by the DoE.

## Figure 4: Overview of roles and responsibilities for the inception phase

**Evaluation Manager**

- Provides the team with relevant documents (background materials on the subject of the evaluation and EQAS documents) for preparation prior to the inception phase
- Organizes and participates in the HQ briefing interviews and inception mission(s)
- Shares data for the purposes of country mission selection
- Discusses possible methodological approaches to enhance utility
- Discusses the role of the EM in the analysis of the data prior to report writing
- Prepares emails to send to CDs [AM QUERY: spell out in full?] from the DoE account to request participation in inception and, eventually, data collection missions

**Research Analyst**

- Provides the evaluation team with access to the E-library; supports the EM in identifying and highlighting key reading material
- Supports the preparation of (i) the HQ briefing; and (ii) the inception mission(s)
- Prepares PowerPoint presentation on datasets and delivers presentation to the evaluation team
- Follows up with stakeholders on documents mentioned during the briefings
- Participates in the inception mission (if approved) to support data collection and analysis
- Updates management information system once the inception report has been approved by the DoE/DDoE
- Analyses data for the data collection missions

**Evaluation Team Leader**

- Reviews ToR and other relevant documentation in preparation for the inception briefings
- Coordinates the evaluation team engagement in the HQ briefing, leads the inception mission and the development of the inception report in line with the process guide
- Shares ideas on approaches to data collection and sampling

## Figure 5: Process map for inception report preparation

**Evaluation Team Leader**

- Drafts the inception report according to the template and ensures internal QA is carried out
- Submits the quality-assured draft to the EM by the agreed deadline

**Evaluation Manager**

- Reviews and comments on the draft inception report, with support of the RA
- Provides feedback to the evaluation team using the quality checklist
- Shares D0 or D1 inception report with the EAG for comment. The choice of which version to share to be made following an initial review and QA
- Reviews revised inception report prior to submission to the approver

**Research Analyst**

- Reviews and provides comments on the draft inception report, specifically on data accuracy and consistency, and on other topics as requested by the EM and in keeping with the RA role

**DoE/DDoE**

- Reviews the draft inception report
- Shares comments with the EM for communication to the team leader

**Evaluation Team Leader**

- If required, revises the draft inception report based on comments received and submits it to the EM

**EM**

- Reviews the revised draft inception report and submits it to the DoE/DDoE for approval to be shared for comments
- Prepares email to issue the draft inception report and comments matrix to the IRG and relevant CDs for comment within a two-week timeframe

**DoE/DDoE**

- Once cleared, issues draft inception report to the IRG and CDs of countries where inception mission(s) took place for comments based on a draft email prepared by the EM

**EM**

- Reviews consolidated comments received and provides written guidance to the evaluation team, as relevant
- Shares the consolidated comments with the team leader with a request that they be addressed in the matrix and by revising the inception report
- Once this is done, submits the final inception report and the completed comments matrix to DoE/DDoE through the approval system

**Evaluation Team Leader**

- Reviews all comments received, provides responses to each of them and revises the inception report accordingly
- Submits revised and final draft inception report to the EM

**Evaluation Manager**

- Quality assures final draft inception report and the response to the comments
- Submits a quality-assured final inception report to the DoE/DDoE for approval
- Drafts email and submits to DoE/DDoE for approval to share final inception report from the DoE account (signed by whomever is the final approver)

**DoE/DDoE**

- Approves final inception report
- Reviews and gives approval for email to be issued with final inception repor

**Evaluation Manager**

- Circulates final inception report and completed comments matrix WFP stakeholders for their information
- Liaises with OEV Communications and Knowledge Management Unit for wider dissemination in line with the approved communication and knowledge management plan
- Updates management information system milestone: inception report approved and includes information on team members

## 2.2 INCEPTION PHASE CONTENT GUIDE AND QUALITY STANDARDS

44. The purpose of this guidance material is to assist the evaluation team and the evaluation team leader in drafting the inception report. The inception report should follow the structure described in the OEV template. The content should cover the minimum requirements as per the quality checklist and be adapted to the specific subject under evaluation. It should not exceed 15,000 words, excluding annexes.

45. Quality assurance aims to ensure that sufficient research, stakeholder consultation and analysis have been undertaken to inform the methodology of the evaluation and to guide its conduct. The SE inception report quality checklist includes:

- Expected content and assessment criteria for each section of the inception report, including evaluation features, context, description of the subject of the evaluation, including theory of change, scope, stakeholder analysis, evaluation approach, methodology and ethical considerations, evaluation matrix, data collection methods and sampling criteria
- Criteria concerning the workplan, its feasibility and likelihood of generating a credible evaluation
- A content outline
- Process steps and minimum standards.

46. The EM, with the support of the RA, carries out first-level QA of the inception report, using the quality checklist to provide systematic and constructive feedback. The EM then submits the draft inception report to the DoE/DDoE for review and eventual approval.

## 2.3 REFERENCE MATERIAL FOR THE INCEPTION PHASE

| Templates and quality checklists | Technical notes | Other reference material |
|---|---|---|
| ✓ Inception Report Template<br>✓ Quality Checklist for the Inception Report<br>✓ Comments Matrix Template | ✓ Technical Note on Principles, Norms and Standards<br>✓ Technical Note for Planning and Conducting Evaluation during Covid-19<br>✓ Technical Note on Stakeholder Analysis<br>✓ Technical Note on Gender Integration, Quick Guide and Checklist | ✓ OEV Communication Protocol<br>✓ Centralized Evaluation Formatting and Editorial Guidelines<br>✓ WFP's Guide to Personal Data Protection and Privacy[4] |

[4] It should be noted that in the final evaluation deliverables, sources of quotations of interviews, focus group discussions and events should not allow for personal identification. Names of the reviewers could be displayed only on the comment matrixes used internally by OEV evaluation managers, but they should not be shared with the evaluation teams. In addition, comments should not quote individuals.

| |
|---|
| ✓ Technical Note on Evaluation Matrix |

# Phase 3: Data collection

The principles of independence, impartiality, credibility and utility, as well as ethics, have a number of specific implications at data collection phase as follows.

**Independence:** Ensuring independence and impartiality implies that WFP employees should not be present during the evaluation team's data collection activities with external stakeholders. The EM and the team leader are responsible for anticipating different interests and counteracting attempts to avoid focus on particular issues or with particular sub-groups, or to influence the evaluation in any way. The EM ensures that evaluators have full access to available information and data as per the WFP Directive on information disclosure. Evaluators have full freedom to conduct their evaluative work without interference or fear for their career. Any challenges should be reported to the DoE/DDoE in a timely manner to facilitate resolution.

**Credibility:** The EM and team leader ensure that the evaluation is implemented as per design. If challenges arise during the field mission, adjustments are made ensuring that those do not undermine impartiality.

**Utility**: The evaluation team organizes a debrief at the end of the evaluation mission with the support of the EM and the participation of country office/regional bureau as appropriate. The EM organizes a data collection debrief at the end of the data collection phase where the team leader presents preliminary findings and analysis from all lines of evidence.

**Ethics**: The evaluators behave ethically in all interactions with stakeholders and beneficiaries. They ensure informed consent, protecting the privacy, confidentiality and anonymity of participants, and exercising cultural sensitivity. They respect the autonomy of participants. They ensure the participants' fair recruitment and that evaluation results do not harm them or their communities. They have an obligation to report any noted incidents of fraud, corruption, prevention of sexual exploitation and abuse (PSEA) or other wrongdoing.[5]

47. The data collection phase is the phase when the evaluation team collects, synthesizes and starts analysing information and data from primary and secondary sources as indicated in the inception report. It is the time when the evaluation team pulls together the evidence on which it will report.

48. The details of the data collection phase are determined by the methodology chosen for a given evaluation. Therefore, it may differ for each evaluation. The principles provided here apply to all SEs.

## 3.1 DATA COLLECTION PHASE PROCESS GUIDE

49. The data collection phase requires that the inception report is approved. In this phase the operational plan found in the inception report is implemented.

50. The data collection phase is conducted by the evaluation team and consists, in general, of the following steps, some of which should be carried out simultaneously: team briefings, desk review, surveys, in-country activities and other data collection methods.

51. **Team briefing(s).** The team leader will brief all team members to ensure they have understood the requirements of the evaluation and the operational plan in the inception report. The team briefing(s) should also serve to generate clear agreements on the data collection, analysis and reporting requirements for each team member.

52. **Desk review.** A thorough review and analysis of existing data and documentation concerning the evaluand and associated relevant literature should start at the inception phase. During the data collection phase this will be expanded as needed and each evaluation team member should have a complete understanding of the documented evidence/information relevant to their part in the SE. This level of preparation is essential to ensure best use of the time in the field when additional information and data should be collected.

[5] See guidance here: [Where to seek support and report wrongdoing in WFP | WFPgo.]()

53. **Interviews.** The evaluation team should conduct interviews with all relevant internal and external stakeholders/key informants, including WFP employees at HQ, regional bureaux, country offices and WFP offices, as relevant. External stakeholders may include partner agencies, representatives of related UN organizations, technical experts, academics or others.

54. **Regional/country missions.** Data collection in regional bureaux or country offices may be virtual or in person and may take the form of desk reviews, desk review 'plus' and/or country missions. The former will not involve interviews with colleagues based in country but will focus solely on a review of existing documentation. Desk review 'plus' focuses primarily on the review of documentation with a few select interviews carried out remotely (up to a maximum of ten). The latter will involve document review and (in-country or virtual) interviews and site visits. Country missions will include:

- Security briefing (in-country missions only)
- Briefing with senior management to introduce the evaluation team and present the goals of the mission; any concerns or issues of relevance are to be raised by senior management
- Briefing with focal point for the evaluation, during which:
    - ✓ The evaluation team explains to stakeholders the purpose and conduct of the evaluation and why the country has been selected for the particular evaluation.
    - ✓ The country office presents the agenda for the mission and clarifies any final points necessary to ensure the smooth conduct of the mission.
- Interaction with WFP and other stakeholders through interviews, focus group discussions and participatory evaluation methods, and collection of additional documentation and data, depending on the evaluation design
- Exit debrief with senior management and all relevant staff (together or separately) – see details in paragraph 61.

55. In-country meetings with government counterparts will be facilitated by the country office, including attending the meeting to introduce the team leader and team members. Once introductions have been made, country office colleagues should leave the evaluation team to carry out the interview independently.

56. All costs for fieldwork should be included in the budget approved along with the proposal from the LTA firm. Should unforeseen costs arise, OEV will make arrangements to cover these, conditional on DoE approval.

57. **Other data collection methods** may be used as relevant to ensure the successful conduct of the evaluation as agreed in the inception report. Use of field-based data collection methods (e.g. surveys, participatory stakeholder engagement) can complement other data collection methods but should be designed and conducted with minimal burden on country office staff and partners.

58. **Data protection and confidentiality.** The evaluation team must ensure confidentiality and the protection of data when processing, storing and/or transferring personal data throughout data collection activities, and must seek the consent of respondents. More specifically, when seeking personal data through surveys, focus group discussions and interviews, the evaluators should disclose the purpose of the evaluation and with whom the data may be shared. They should also provide contact details of the person/entity to refer to for any concern on the use of their personal data. In the course of the evaluation, personal data on beneficiaries should be encrypted and stored to restrict their accessibility. The evaluation team should establish in advance the data retention plan, that is, how long the personal data collected should be available for use by the evaluation.

59. **Team meetings.** The evaluation team should organize regular internal meetings to discuss progress and issues arising during the data collection phase. The EM and team leader should regularly communicate on progress, so that the EM can provide timely support when needed.

60. **Analytical workshop(s).** The team should also organize one or more workshops to jointly analyse data and discuss emerging findings based on the evidence gathered. In some cases, it may be beneficial for the EM and RA to participate in such meetings, as agreed with the evaluation team leader. This should be discussed and agreed during the inception phase.

## 3.2 DATA COLLECTION PHASE CONTENT GUIDE AND QUALITY STANDARDS

61. **Exit debrief.** At the end of each country mission, the evaluation team should organize an exit debrief (usually delivering a PowerPoint presentation) to report back on the process, share early impressions, clarify any information gaps and highlight next steps. In order to provide more considered feedback from the country mission, the debrief should be virtual and held in the week following the mission. This will allow the team to complete all aspects of the mission and have some time to reflect on it before reporting back to stakeholders in country. Whereas the PowerPoint presentation is not a formal evaluation deliverable, debriefing to the country office is mandatory as set out in the communication and knowledge management plan for the evaluation. The exit debrief presentation is the evaluation team's document and will not be commented on or revised. It will serve as a reference document to stakeholders, including the EM, once they receive the evaluation report. Should case study reports be commissioned, they should by focused and synthetic. A template for these reports should be prepared as part of the inception phase and approved as part of the inception report. Ideally, it should follow the structure of the evaluation questions and sub-questions for the overall evaluation, so that the relevant information can be easily extracted during the drafting of the main report. Country case study reports should present country-specific findings, conclusions and areas for consideration, but are not expected to include detailed recommendations.

62. The exit debrief presentation will be made available to the EM and country office management. It should include as relevant:

- Purpose (evaluation objectives and uses)
- Context and reason for country selection
- Overview of methodology
- Preliminary findings of relevance to the country context and to the evaluand
- The remaining gaps in data collection needs and where help is required
- Next steps, including feedback loops and opportunities for engagement.

63. **Data collection debrief.** Strategic evaluations employ myriad data collection methods. The evaluation team leader is required to make a debrief presentation to key stakeholders at the end of the data collection phase and prior to report writing. This is usually done in person at HQ but can also be done remotely. As a global evaluation engages with colleagues from all regions, care will need to be taken to organize this meeting using a modality and timing that enables the highest level of participation. The presentation should be shared with the EM to review at least two days prior to the presentation. The EM may seek feedback from the QA2/approver, as needed. Feedback provided by key stakeholders on the preliminary findings should be used to inform data analysis, triangulation and the formulation of findings for the evaluation report.

64. The content of the presentation should include, at a minimum:

- Background
- Purpose (evaluation objectives and uses)
- Overview of evaluation approach and methodology
- Preliminary findings and conclusions
- Areas for consideration by WFP (but no explicit recommendations)
- Next steps, including feedback loops and opportunities for engagement.

The presentation should be followed by a discussion between participants and the evaluation team on the preliminary findings from the evaluation.

## 3.3 REFERENCE MATERIAL FOR THE DATA COLLECTION PHASE

| Technical notes | Other reference material |
|---|---|
| ✓ Technical Note on Evaluation Principles, Norms and Standards<br>✓ Technical Note on Planning and Conducting Evaluations During Covid-19<br>✓ Technical Note on Gender Integration, Quick Guide and Checklist | ✓ OEV Communication Protocol<br>✓ WFP’s Guide to Personal Data Protection and Privacy |

# Phase 4: Reporting

The principles of independence, impartiality, credibility and utility, as well as ethics, have a number of specific implications at reporting phase as follows.

**Independence**: The evaluation team must be free from pressure to alter findings, conclusions and recommendations in any way that is not supported by the evidence gathered by the evaluation.

**Impartiality**: The evaluation team should analyse data and present findings transparently and reflect where different stakeholders held different views, while ensuring confidentiality. The evaluation team must provide explicit rationale when they do not incorporate stakeholder feedback.

**Credibility** requires that findings are based on triangulated evidence and that clear connections are made between findings, conclusions and recommendations. Findings and conclusions must be fair and acknowledge the existence of differing views. The evaluation report explains the methodology and any limitations, and presents evidence, findings, conclusions and recommendations in a complete and balanced way.

**Utility**: A stakeholder workshop should be organized to present initial findings, conclusions and recommendations to internal stakeholders. Recommendations – both strategic and operational – should be drafted to ensure utility. The SER should be crafted to ensure that it will be useful to a wide range of stakeholders, including Executive Board members.

**Ethics:** The evaluation team leader should inform the EM and the DoE of any allegations of wrongdoing and misconduct without breaking confidentiality.

65. The reporting phase brings together the findings of the evaluation team in a concise analytical evaluation report. The main outputs of the reporting phase are the evaluation report and the SER.

## 4.1 REPORTING PHASE PROCESS GUIDE

1. The reporting phase is undertaken after the data collection phase in order to synthesize, analyse, and interpret all data collected. The evaluation team leader has primary responsibility for timely delivery of the evaluation report that has been quality assured internally prior to submission and that meets OEV quality standards. In addition, there are various levels of QA by the OEV depending on the EM of the SE. As strategic evaluations are managed by senior evaluation officers, the QA2 and final approver is the DoE or DDoE.

66. Figure 6 details the necessary steps to be followed to review and finalize the evaluation report.

**Figure 6: Process map for evaluation report review and finalization**

**Evaluation Team Leader**

- Organizes analytical meeting/workshop with relevant evaluation team members before report writing. EM to be invited to some or all of this meeting as agreed with the team leader
- Prepares the draft evaluation report in line with EQAS standards and quality assured internally
- Submits the complete, internally quality-assured, draft evaluation report to the EM by the agreed deadline

**Evaluation Manager**

- Reviews draft evaluation report and completes quality checklist, including inputs from the RA
- Shares draft evaluation report with the EAG with a request for their feedback
- Provides comments to the team leader

**Research Analyst**

- Reviews and provides comments on the accuracy and consistency of quantitative data use and on other topics as agreed with the EM and in keeping with the RA's role

**Evaluation Manager**

- Following team leader revisions, reviews the revised report prior to submission to the DoE/DDoE for approval to issue to stakeholders for comment
- Prepares the email for the DoE/DDoE to send out the draft report to the IRG for comment according to the Communication Protocol

**DoE/DDoE**

- Circulates draft evaluation report and comments matrix to the IRG members with a minimum two-week deadline

**Internal Reference Group**

- Review and comment on the draft evaluation report by the deadline provider

**Evaluation Manager**

- Reviews comments received and discusses any critical issues with approver
- Shares comments received with the team leader for revision
- Organizes the stakeholder workshop to follow the deadline for comments on the draft evaluation report

**Research Analyst**

- Organizes the comments received into 'general' and 'specific' (by paragraph) in the evaluation matrix and shares it with the EM
- Supports the organization and conduct of the stakeholder workshop

**Evaluation Team Leader**

- Leadership and engagement in the stakeholder workshop along with relevant team members
- Reviews/discusses comments with the EM
- Revises draft evaluation report
- Returns comments matrix with replies to each comment
- Submits a revised and final draft evaluation report

**Evaluation Manager**

- Reviews and quality assures the final draft evaluation report
- Submits the report to the DoE/DDoE for final approval
- Drafts email for final evaluation report to be shared with OPC and IRG from the DoE account

DoE/DDoE

- Reviews and approves the final evaluation report
- Shares final evaluation report, including the SER, with relevant stakeholders

67. A stakeholder workshop will be held either in person in Rome (one and a half to two days) or virtually (spread over two to three sessions) during the finalization of the report. Prior to the workshop, a draft report should be shared with a request for comments to be submitted, ideally, prior to the workshop. The EM, RA and team leader should participate in the stakeholder workshop, at a minimum. The DoE/DDoE may participate for some or all of the workshop, with the DoE/DDoE invited to formally open and close the workshop. Facilitation can be carried out by the EM or be externally recruited.

68. The purpose of the workshop is to present and discuss the approach, findings, conclusions and draft recommendations with a broad range of users. The workshop should be participatory and inclusive with the aim of providing feedback on the evidence and sharpening the recommendations to ensure a high degree of utility. Time should also be given for consideration of the management response to the draft recommendations. The draft agenda and presentation could be shared with the QA2/approver for feedback but does not need to be submitted for formal approval.

69. **Summary evaluation report (SER).** Once the full report has been cleared by the DoE/DDoE, the EM prepares the SER, keeping it fully aligned with the evaluation report, but placing emphasis on specific areas identified in consultation with the evaluation team leader and as important for stakeholders. The SER should follow the agreed template and meet quality standards as defined in the quality checklist. Once drafted, the EM should share it with the team leader for their review and validation. The draft SER is then submitted to the DoE/DDoE for final approval.

## Figure7: Process map for summary evaluation report review and finalization

**Evaluation Manager**

- Prepares the draft SER following approval of the evaluation report
- Follows template and quality checklist

**DoE/DDoE**

- Feedback is provided to the EM
- If needed, the SER is revised prior to resubmission to the DDoE/DoE

**Evaluation Manager**

- Revises SER according to comments received from approver
- Shares revised draft SER with the team leader for review and validation
- Prepares the email for the draft SER to be shared with the OPC for comment

**DoE/DDoE**

- Reviews and clears the draft SER to be issued to the OPC for their comments
- Circulates the draft SER to the OPC, using the email prepared by the EM
- Organizes meeting with the Leadership Group to discuss evaluation findings and recommendations, as relevant

**Oversight and Policy Committee**

- OPC provides comments on the draft SER (two weeks for comments)
- Unit responsible for management response coordinates its preparation

**Evaluation Manager**

- Revises the SER based on comments received
- Discusses any further changes with the team leader following comments from the OPC
- Any areas of disagreement with the team leader will be discussed with the DoE/DDoE
- Finalizes the SER for DoE/DDoE review ahead of formal submission to the EB Secretariat by the OEV Communications and Knowledge Management Unit EB Focal Point
- Reviews and comments on the draft management response

**DoE/DDoE**

- Reviews and approves the final version of SER

**EB Secretariat**

- Edits the SER and shares proposed edits with the EM for review/agreement

**EM**

- Reviews edits and provides feedback to the EB Secretariat editors

### 4.2 REPORTING PHASE CONTENT GUIDE AND QUALITY STANDARDS

70. The purpose of this guidance is to assist the evaluation team and the evaluation team leader in drafting the evaluation report. The latter conveys the results of the evaluation in a way that corresponds to the information needs of intended users and answers the three evaluation questions and related sub-questions. Evaluation teams have final responsibility for the content of the evaluation report. OEV has the final authority to approve and publish the report.

71. Data should be presented in a clear and concise manner (in tables, diagrams, etc.) as appropriate for effective communication. They should be systematically analysed and interpreted. Findings should be evidence-based and relevant to the evaluation questions under review. The evaluators should make a clear distinction between facts borne out by evidence and assumptions or plausible associations they draw from the evidence. Conclusions should follow logically from the analysis of data and findings. The report should be balanced and impartial and use constructive language. Recommendations should be no more than ten (preferably fewer) and should be relevant, realistic (implementable), prioritized and sequenced.

72. The evaluation report should specifically consider GEWE dimensions. This implies in particular ensuring that the analysis, findings, conclusions and recommendations adequately cover gender equality and women's empowerment. In addition, a number of ethical considerations should be reviewed at the reporting stage (see Annex 3 of UNEG Ethical Guidance).

73. The evaluation report should follow the OEV template and should cover the minimum requirements as per the quality checklist.

74. The evaluation report, excluding the SER, should not exceed 40,000 words (approximately 55 pages), and the annexes should not exceed 40,000 words. In order to minimize formatting issues, the evaluation team should adhere to the template and content guide. The team leader is responsible for providing a report and annexes in compliance with the OEV's editorial and formatting guidelines.

75. The SER should not exceed 7,500 words, including 1,500 for the recommendations, and is expected to meet the standards set out in the quality checklist and to follow the template, providing high-quality information in each section. The EM is responsible for providing a report in compliance with the OEV's editorial and formatting guidelines. The draft SER is shared with the team leader for review and validation prior to sharing with the Oversight and Policy Committee (OPC) and prior to submission for final approval and publication.

76. The timelines for submission of the draft SER to the OPC have been agreed with the OPC Secretariat. They require that OPC members are given two weeks to review draft SERs.

77. Following comments submitted by members of the OPC, the EM will finalize the SER. The steps to be taken are summarized in Figure 8.

**Figure 8: Process map for summary evaluation report submission and EB session**

**Evaluation Manager**

- Submits final SER and fully amendable and legible versions of figures and charts included in the report to the OEV Communications and Knowledge Management Unit for sharing with the EB for editing and translation, as per EB deadline, i.e. 12 weeks before the EB session

**OEV Comms and KM Officer/EB Focal Point**

- Submits the final SER to the EB Secretariat
- Copies CPP in the transmission email to enable work on the management response

**EB Secretariat**

- Edits the SER
- Clears edits with the EM, who consults with the DoE
- Sends the final SER for translation

**Evaluation Manager**

- Reviews the edited SER and discusses any revisions with the evaluation team leader, if necessary
- Discusses any necessary changes with the DoE, as needed
- Clears the edited SER for translation

**EB Secretariat**

- Uploads final EB SER on the EB website

**Evaluation Manager**

- Prepares talking points and PowerPoint presentation for the informal consultation with the EB and drafts the Executive Director memorandum
- Revises talking points and PowerPoint presentation and prepares memo to the Executive Director prior to the formal EB session

**DoE/DDoE**

- Approves talking points and PowerPoint presentation (normally ten working days before OPC meeting, five working days before the EB informal and formal sessions)

**Corporate Performance and Planning**

- Oversees and coordinates the management response to the recommendations

**Evaluation Manager**

- Following the informal consultation with the EB, revises talking points and PowerPoint in accordance with reduced word/slide limits and a finalizes the Executive Director memo for submission to DDoE/DoE for approval ahead of the EB session

**DoE/DDoE**

- Reviews and approves revised communications pack ahead of the EB session

## 4.3 REFERENCE MATERIAL FOR THE REPORTING PHASE

| Templates and quality checklists | Technical notes | Other reference material |
|---|---|---|
| ✓ Evaluation Report Template<br>✓ Quality Checklist for Evaluation Report<br>✓ SER Template<br>✓ Quality Checklist for SER<br>✓ Comments Matrix Template | ✓ Technical Note on Evaluation Principles, Norms and Standards<br>✓ Technical Note on Gender Integration, Quick Guide and Checklist<br>✓ Technical Note on Quality of Evaluation Recommendations | ✓ OEV Communication Protocol<br>✓ Centralized Evaluation Formatting and Editorial Guidelines |

# Phase 5: Follow-up and dissemination

The principles of independence, impartiality, credibility and utility, as well as ethics, have a number of specific implications at the follow-up and dissemination phase as follows.

**Independence:** All final evaluation reports, management response and post hoc quality assessment results are published on WFP websites and disseminated through various channels

**Utility:** A management response is prepared for all evaluations, detailing how the evaluation recommendations will be addressed. The implementation of follow-up actions is monitored. Opportunities for wider organizational learning are pursued, including taking key discussions on evaluation results in key workshops and contribution to the internal programme review and approval process.

78. It is important that evaluation reports are accessible to a wide audience, as foreseen in the WFP Evaluation Policy, to ensure the credibility and utility of evaluations through transparency. Dissemination of the reports and evidence should follow the communication and dissemination plan designed at the preparatory stage and revised if needed during the inception phase of the evaluation.

79. This section provides an overview of the final steps in the evaluation process to ensure that evaluations are accessible to the audience of WFP. Detailed guidance and communication options can be found in the communication and knowledge management plan. This section also covers some of the final administrative issues that have to be addressed by the EM. Specifically, this phase consists of the following components:

- Editing and design of full evaluation report
- Preparation of the management response
- Tagging of recommendations by theme for inclusion in the R2 system
- Executive Board preparation and presentation
- Dissemination of evaluation products
- Archiving of closed evaluations
- Administrative completion.

## 5.1 FOLLOW-UP AND DISSEMINATION PHASE PROCESS GUIDE

80. The submission of the SER to the Executive Board Secretariat and preparation for the discussion with the Executive Board signals the final steps in the evaluation process to ensure that evaluations are accessible to WFP.

81. Detailed guidance and communication options can be found in the communication and knowledge management plan. This section also covers some of the final administrative issues that must be addressed by the EM.

82. **Report editing, formatting and web publishing.** The evaluation policy specifies that full evaluation reports are public documents available on WFPgo and WFP.org Evaluation websites. In order to publish the full evaluation report on the website ahead of the informal round table and Executive Board session and facilitate access to it, the EM is responsible for:

***Summary evaluation report***

- Reviewing the edited SER and eventually clearing revisions with the team leader if/as necessary
- Sending the SER to the OEV Communications and Knowledge Management Unit to share with the Executive Board Secretariat for editing and translation (submission to Secretariat 12 weeks before the Executive Board session)

- Ensuring that the final edited SER (i.e. after editing and final approval) is copied into the full evaluation report as the executive summary.

83. The timeline for submission of the SER has been agreed with the Executive Board Secretariat. It is summarized in Figure 8 along with various related process steps.

**Figure 8: Timeline for Executive Board session and round table on evaluation reports preparation**

| | Actions | Timeline (weeks before EB session) |
|---|---|---|
| **1** | EM shares the approved SER with the OEV Communications and Knowledge Management Unit to share with EB Secretariat for editing, including CPP in copy | 12 weeks |
| **2** | EM clears edited SER for translation and consults DoE/DDoE in case of major revisions or unresolved issues with EB Secretariat editor | 9 weeks |
| **3** | EM prepares communication package for round table (PowerPoint presentation and talking points and evaluation brief) and submits to DoE/DDoE for approval | 5–7 weeks (3–5 weeks before round table) |
| **4** | EM requests OEV Communications and Knowledge Management Unit to review and publish the evaluation brief on WFPgo and the WFP.org Evaluation websites | 4–6 weeks (2 weeks before round table) |
| **5** | EM drafts an email to be sent out by the DoE/DDoE to share the final version of the report with WFP colleagues | 4–6 weeks (2 weeks before round table) |
| **6** | Last date for EB Secretariat to post final SER on EB website | 3–5 weeks (7–10 days before round table) |
| **7** | Submission of PowerPoint presentation and talking points for round table to EB Secretariat for quality check | 3–5 weeks (5–7 days before round table) |
| **8** | EM arranges meeting with key stakeholders and DoE/DDoE, prior to informal consultation, if issues need to be discussed prior to EB presentation | 3–5 weeks (5–7 days before round table) |
| **9** | EM prepares shortened version of communication package for EB session | 2–4 weeks |
| **10** | DoE/DDoE approves shortened version of communication package for EB session | 1–3 weeks (1 week after round table) |

***Evaluation report***

- Sending the full evaluation report to the OEV Communications and Knowledge Management Unit for editing and final formatting as per corporate/OEV standards as soon as the evaluation report has been approved by the DDoE/DoE, no later than two months before the Executive Board session
- Coordinating with the OEV Communications and Knowledge Management Unit for final editing and formatting of the full evaluation report, prior to posting on the internet and intranet
- Submitting the edited and formatted evaluation report, including the SER, for 'final approval' of the DDoE/DoE
- Alerting the post hoc quality assessment (PHQA) coordinator that the report is ready for PHQA
- Drafting and clearing with the DDoE/DoE an introductory paragraph to the evaluation report for the WFP.org Evaluation webpage. This paragraph should not exceed 600 characters and should include a breakdown and categorization of main findings (which should not exceed seven categories)

- Reviewing the final edited and formatted version of the evaluation report and, when satisfactory, sharing it with the OEV Communications and Knowledge Management Unit to review and publish the report and the introduction on the WFPgo and WFP.org Evaluation website and create the required links to topics and countries
- Checking that the full evaluation report and the SER have been published on WFPgo and the WFP.org Evaluation website at least two weeks before the Executive Board session and before the informal round table.

84. **Preparation of the management response.** The evaluation policy specifies that a management response to each evaluation will be submitted to the Executive Board at the same time as the SER. Therefore, it is important to submit the SER on time so as to allow for timely preparation of the management response.

85. The Corporate Planning and Performance Division (CPP) is responsible for requesting and overseeing the preparation and finalization of the management response for all centralized evaluations. The preparation can begin based on the draft SER but should be updated in case there are any changes to the recommendations during the finalization of the SER.

**Note:** Early submission to CPP is necessary to allow for the consultation, drafting and review by concerned stakeholders of the management response, which, as an Executive Board document, is also subject to the Executive Board Secretariat deadline for editing and translation (seven weeks before the Executive Board session). To save time in the process, the EM can advise CPP of the draft recommendations, especially if only minor revisions are expected as a result of the review process.

86. **Tagging of recommendations** by theme for inclusion in the R2 system. Once the SER has been received by the Executive Board Secretariat and the management response completed, CPP will contact the EM with the template to tag the evaluation recommendations according to relevant themes. This information is included in the R2 system to facilitate searching and analysis.

87. **Executive Board preparation, presentation and reporting.** In preparation for the Executive Board session, the EM will:

- Prepare talking points, PowerPoint slides, a draft two-page brief and a draft Executive Director memo for the DDoE/DoE's review ahead of the round table/informal consultation with the Executive Board. Talking points and PowerPoint should follow the word limits and templates established for informal consultations (e.g. evaluation description, context, key findings (mix of positive and negative), overall conclusions, lessons/key messages and summary of recommendations)
- Following the informal consultation, revise the talking points and PowerPoint to reduce their length in accordance with the standards established for the formal Executive Board sessions and finalize the Executive Director memo with content related to the feedback received from member states during the informal consultation with the Executive Board
- Check with the Executive Board Secretariat whether they have received any advance statements/questions from Executive Board members (to be done from around one week before the Executive Board session). If queries have been received from Executive Board members, draft a response and clear it with the DoE/DDoE.

88. During the Executive Board session, the DDoE/DoE introduces the evaluation report. Attendance by the evaluation team leader may be considered by the DDoE/DoE on an exceptional basis, consistent with the budget and communications process planned for the evaluation in the ToR.

89. The EM will:

- Attend the specific informal round table and Executive Board session and know the report well enough to respond to detailed questions, if required
- Take notes of the discussion during the session and pass responses to detailed questions to the DDoE/DoE as required

- Within two days of receipt, review the summary highlights (five to ten lines) of the session prepared by the Executive Board Secretariat and amend or clear them through the DDoE/DoE
- Review the summary record of the session prepared by the Executive Board Secretariat and clear the revised version with the DDoE/DoE
- Discuss with the DDoE/DoE and Head of the Communications and Knowledge Management Unit possible follow-up to the Executive Board through communication or meetings with WFP stakeholders.

90. The DoE will request that a meeting of the Leadership Group or OPC be convened to discuss an individual evaluation report or all reports being submitted for consideration to a given Executive Board session. The communication package prepared for the round table/informal consultation is used to inform this discussion. Additional information may be required if an analysis of themes across evaluations is requested.

91. **Dissemination of evaluation reports and products.** The evaluation report should be disseminated actively, including briefs to be shared with stakeholders throughout the organization, in addition to the evaluation report and the SER.

92. The EM, supported by the RA, is responsible for:

- Requesting that the OEV Communications and Knowledge Management Unit review and publish the evaluation brief on WFPgo and the WFP.org Evaluation websites and ensure it is published at least four to six weeks before the Executive Board session
- Drafting an email to be sent out by the DoE to share the final version of the report with the IRG, EAG and other key stakeholders, four to six weeks before the Executive Board session
- Ensure implementation of the communication and knowledge management plan developed for the evaluation.

93. **Archiving of closed evaluations.** Through the evaluation process, a wide range of formal and informal outputs are created, including documents, data, communications, etc. Such products are an integral part of the evaluation process and should therefore be retained for future reference – for transparency, accountability and internal learning purposes. The OEV's Evaluation Management Information System on SharePoint facilitates this.

94. The EM, with support from the RA, is responsible for:

- Selecting files for inclusion in the system (the Word versions of the final SER and evaluation report should be uploaded)
- Delivering a fully archived evaluation, including the reference library, at the end of the evaluation cycle.

95. The OEV's evaluation information management system guidelines give details on the filing/archiving process, file structures, and roles and responsibilities.

96. **Finalization of administrative matters.** Within one month of the finalization of the evaluation report, the EM should:

- In cases where individual consultants have been hired to carry out the evaluation (not an LTA firm), finalize with the OEV's business support associate any outstanding payments by reviewing the status of travel expense claims and payments (to consultants as per attendance sheet or firms as per invoices), etc.
- Advise the Head of Global and Synthesis Unit to release uncommitted funds (if any)
- In cases where individual consultants have been hired to carry out the evaluation (not an LTA firm), finalize the performance assessment requirements in the Performance and Competency Enhancement (PACE) system for each consultant hired directly by the OEV
- Complete/update management information system requirements.

## 5.2 REFERENCE MATERIAL FOR THE FOLLOW-UP AND DISSEMINATION PHASE

| Templates and quality checklists | Other reference material |
| --- | --- |
| ✓ Executive Board Informal Consultation PowerPoint Template<br>✓ Executive Board Informal Consultation Talking Points Template<br>✓ Executive Board PowerPoint Template<br>✓ Executive Board Talking Points<br>✓ Communication and Knowledge Management Plan<br>✓ Template for Evaluation Brief | ✓ SOP for Management Response to Centralized Evaluations<br>✓ OEV Communication Protocol |