

Evaluation Study

Inspection and Evaluation Division

United Nations Evaluation Dashboard 2016-17

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Inspection and Evaluation Division

FUNCTION

“The Office shall evaluate the efficiency and effectiveness of the implementation of the programmes and legislative mandates of the Organization. It shall conduct programme evaluations with the purpose of establishing analytical and critical evaluations of the implementation of programmes and legislative mandates, examining whether changes therein require review of the methods of delivery, the continued relevance of administrative procedures and whether the activities correspond to the mandates as they may be reflected in the approved budgets and the medium-term plan of the Organization” (General Assembly Resolution 48/218 B).

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List of acronyms of entities in scope

Entities included in the study's scope are provided in the list below (see footnotes for names of those renamed and/or reorganized as part of the Secretary-General's reform since 2016-17).

#	Entity name	Acronym
1	Department of Economic and Social Affairs	DESA
2	Department of Field Support ¹ / Department of Peacekeeping Operations	DFS/DPKO
3	Department for General Assembly and Conference Management	DGACM
4	Department of Management ²	DM
5	Department of Political Affairs ³	DPA
6	Department of Public Information ⁴	DPI
7	Department of Safety and Security	DSS
8	Economic and Social Commission for Asia and the Pacific	ESCAP
9	Economic and Social Commission for Western Asia	ESCWA
10	Economic Commission for Africa	ECA
11	Economic Commission for Europe	ECE
12	Economic Commission for Latin America and the Caribbean	ECLAC
13	Executive Office of the Secretary-General ⁵	EOSG
14	International Trade Centre	ITC
15	Office for Disarmament Affairs	ODA
16	Office for Outer Space Affairs	OOSA
17	Office for the Coordination of Humanitarian Affairs	OCHA
18	Office of Legal Affairs	OLA
19	Office of the High Commissioner for Human Rights	OHCHR
20	Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States	OHRLLS
21	Office of the Special Adviser on Africa	OSAA
22	Office of the United Nations High Commissioner for Refugees	UNHCR
23	United Nations Conference on Trade and Development	UNCTAD
24	United Nations Entity for the Gender Equality and the Empowerment of Women	UN Women
25	United Nations Environment Programme	UNEP
26	United Nations Human Settlements Programme	UN-Habitat
27	United Nations Office at Geneva	UNOG
28	United Nations Office at Nairobi	UNON
29	United Nations Office at Vienna	UNOV
30	United Nations Office for Drugs and Crime	UNODC
31	United Nations Relief and Works Agency for Palestine Refugees in the Near East	UNRWA

¹ Department of Operational Support (DOS) and Department of Peace Operations (DPO), respectively. DPKO and DFS shared a focal point and were treated as a single entity.

² Department of Management Strategy, Policy and Compliance (DMSPC).

³ Department of Political and Peacebuilding Affairs (DPPA). Note that the Peacebuilding Support Office (PBSO) evaluation reports were included as part of DPA.

⁴ Department of Global Communications (DGC).

⁵ EOSG was excluded from the focal point survey and Evaluation Dashboard analytics.

1 Introduction

Background

The Inspection and Evaluation Division of the Office of Internal Oversight Services (OIOS) is pleased to present the United Nations (UN) Evaluation Dashboard for the 2016-17 biennium. Its publication comes as the UN Secretariat has made important steps to strengthening evaluation as part of its larger management reform, including the establishment of a section for supporting evaluation capacity.⁶ This report is the fourth in a series that accompanies the respective OIOS Biennial Study entitled 'Strengthening the role of evaluation and the application of evaluation findings on programme design, delivery and policy directives' (A/74/67), which was completed in March 2019 and will be presented to the Committee for Programme and Coordination of the General Assembly in June 2019.

The preparation of this UN Evaluation Dashboard was enabled by the active participation of stakeholders from across the UN Secretariat. The focal points from the entities participating in this study provided critical inputs through a survey, interviews, and feedback throughout the drafting phase. They have strengthened the credibility and utility of this report to provide a constructive reference point for strengthening evaluation capacity in the Secretariat.

The scope of this report includes UN Secretariat and three non-Secretariat entities subject to evaluation by OIOS.⁷ While the Biennial Study presents an aggregate assessment of evaluation capacity and practice, this companion report breaks it down into entity-level assessments.⁸ The data and analytical methodology employed in the preparation of this Evaluation Dashboard report correspond with those of the Biennial Study.

The present report first presents the overall UN Evaluation Dashboard results summarized across all the entities in scope. It provides statistics for each area for an overarching view of the state of evaluation and as a point of comparison across entities. Next, it presents individual entity dashboards with a description of the status of the indicators for that entity. This includes a snapshot of entity objectives during the 2016-17 biennium under assessment, key features of evaluation functions, areas for strengthening evaluation capacity, and other evaluation activities that did not result in evaluation reports (e.g. guidance, training, and norm-setting). Finally, this section includes key enhancements to the evaluation function introduced since the 2016-17 biennium. Comments from entities were considered in the draft report.



See [Annex I](#) for entity comments

⁶ A/72/492, para. 61

⁷ This report uses entity names from the 2016-17 period (see [List of entities](#)). Note that select OIOS reports were included in the quality assessment and meta-evaluation, but OIOS was excluded from all other data collection and analysis.

⁸ As per Regulations and Rules Governing Programme Planning, Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation (PPBME, ST/SGB/2018/3), all entities must undertake 'self-evaluation'. For the purposes of this report, the term 'self-evaluation' is synonymous with the term 'evaluation'.

Purpose

The purpose of this Dashboard is to support the strengthening of UN evaluation functions through a systematic assessment against objective indicators regarding evaluation capacity. Through a visual assessment of the evaluation function of each entity included in the Biennial Study, it aims to support senior managers, staff and Member States in identifying trends and areas for improvement. Evaluation professionals may also use the Dashboard to highlight the context within which they operate, and the quality and quantity of outputs they produce. In doing so, the approach used in this report acknowledges the inherent diversity as well as the distinct constraints and challenges of the various UN entities, including related to funding and mandates.

Approach

The Evaluation Dashboard presents data in



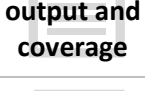

four areas: (1) framework; (2) resources; (3) report expenditure, outputs and coverage; and (4) report quality. Indicators were defined in alignment with the UN Evaluation Group (UNEG) norms and standards.⁹ Table 1 provides an overview of this composition. The participating entities are clustered into five groups according to mandates to allow for analysing trends in evaluation capacity within each group: management and support; norm-setting and development; human rights and humanitarian; peace and security; and regional co-operation.



See [Annex II](#) for Dashboard indicator definitions and sources

The presentation of certain indicators is color-coded according to predefined thresholds for low, medium and high capacity, relative to each other. Entity Dashboards depict indicator changes since the last biennium, regardless of the magnitude of change. For certain financial indicators, organizational standards are indicated.

Table 1. Evaluation Dashboard composition

Category	Indicator (unit of measurement)	Source
 Framework	1 Type of function (#)	Focal point survey
	2 Reporting line (#)	
	3 Level of senior-most dedicated evaluation professional (P4-D2)	
	4 Policy score (#)	Document review
	5 Procedures in use (#)	
	6 Plan score (#)	
 Resources	7a Monitoring and evaluation budget (\$)	Budget submission
	7b Monitoring and evaluation as % of programme budget (%)	
 Report expenditure, output and coverage	8a Estimated expenditure on evaluation reports (\$)	Focal point survey / budget fascicles
	8b Estimated expenditure on evaluation reports as % of total programme budget (%)	
	9 Evaluation reports (#)	Document screening
	10 Sub-programmes referenced by reports (#)	Focal point survey
 Report quality	11 Report quality (% good/very good)	Evaluation quality assessment
	12 Recommendations (% good/very good)	
	13 Gender (% meets UN System-wide Action Plan criteria)	
	14 Human rights (% satisfactorily/fully integrated)	

⁹ See [UNEG Norms and Standards](#) (2016)

Methods and sources for data collection included:

- Document screening of 439 reports submitted by 26 entities for consideration as evaluations based on core screening criteria;¹⁰
- Quality assessment (QA) review of 100 sampled evaluation reports of the 335 that met screening criteria from 23¹¹ entities in line with UNEG norms and standards;
- Document review of entity policies, workplans and evaluation procedure documentation across quality criteria;
- Focal point survey related to structural, financial, and practical aspects of evaluation functions;
- Financial resource analysis based on budget fascicles and monitoring and evaluation (M&E) data;¹² and
- Semi-structured focal point interviews that included draft Evaluation Dashboard results for discussion and feedback, which fed into revisions where information was incomplete or inaccurate.

The costing of evaluation report expenditures gathered from the survey of focal points used work-month allocations of staff, consultancy costs, and other costs. This source of data provides the only available source of resources used for evaluation across entities in scope, and therefore comprises the basis for indicators #8a-b. Additionally for the first time, OIOS collected costing estimates for 'other evaluation activities' through the survey which

¹⁰ Report screening criteria comprised: (1) publication from 2016-2017; (2) internal management (i.e. not carried out external entity such as OIOS or JIU); (3) assessment of an element performance relative to entity mandate or goals; and (4) inclusion of methodology, supporting evidence, findings and conclusions.

¹¹ The sample includes five OIOS evaluation reports.

while not presented as part of the Evaluation Dashboard indicators are included in the narrative section, where available.

Compared to the last biennium, OIOS revised underlying data collection and analysis approaches that feed into the following Evaluation Dashboard indicators:

- Indicators #4 and #6: Criteria were updated in line with UNEG norms and standards, and the previous two-point scoring scale was revised to a three-point rubric for increased nuance.
- Indicators #8a-b: The focal point survey was revised to include a costing of evaluation reports based on the *overall* number of reports, rather than a *report-by-report* estimation.
- Indicators #11-14: Report quality was determined through a revised QA framework, including updated definitions of parameters, weighting and scoring.



See [Annex III](#) for the QA methodology, and [Annex IV](#) for QA results by quality standard

Limitations

The Evaluation Dashboard faced limitations in two areas. First, some data sources could not be independently verified. Entities provided self-reported data through the focal point survey and email. For indicators #1-3, OIOS reviewed and compared

¹² The UN Office of Programme Planning, Budget and Accounts provided Form 12 data, which comprises part of entity budget submissions on allocations to M&E activities. For entities that do not submit Form 12 (UNHCR and ITC), OIOS collected similar financial data through alternative sources as footnoted in their respective Evaluation Dashboards. UN Women provided separate data on evaluation expenditure from its financial monitoring system.

this self-reported information with the previous biennial period and followed up where there were concerns about data accuracy. However, self-reported data on evaluation expenditure for indicators #8a-b could not be verified by OIOS, and therefore provide estimated rather than audited figures. Similarly, self-reported inputs for sections IV-V of each Dashboard contain information that were not verified by OIOS, and in some instances may constitute monitoring rather than evaluation activities. M&E financial data for indicators #7a-b were collected from UN Secretariat budgeting processes in which entities estimate their resource allocation for the period under review. Some resources for evaluation (e.g. support account or extra-budgetary project funding) may not be reported and published in this process, and therefore M&E budgets for entities heavily


funded through non-regular budget sources may not accurately reflect actual resources spent on evaluation.




Second, the QA results shown in indicators #11-14 provide an estimation of overall evaluation report quality of the entity, given that only about a third of the total number of reports were sampled. At a global level across the total population of evaluation reports, this sample translates into an approximate 8% margin of error for QA results. In recognition of these challenges around the representativeness of QA results, the numbers of sampled versus total evaluation reports are shown as a footnote to each entity's Dashboard, where relevant. A more detailed discussion of limitations in the QA methodology is provided in Annex III.

2 United Nations Evaluation Dashboard

Summary of overall results

The Biennial Study for 2016-17 ([A/74/67](#)) noted modest improvements in capacity in terms of evaluation structure and practice. A summary of the global results for each Evaluation Dashboard indicator is provided in Table 2 below.

Table 2. Summary of UN Evaluation Dashboard results		
Category	Indicator	2016-17 results
	1 Type of function	While most entities remained at the same level of organizational independence, 2 reported an increase since the previous period.
	2 Reporting line	3 entities shifted reporting lines to the head of entity comprising 17 in total, and 3 entities indicated that their reporting line had shifted towards less independence.

	3	Level of senior-most dedicated evaluation professional	Most evaluation functions were headed by the P-5 level (9) followed by P-4 (8) and D-1 (3). But a third of the entities (10) had no dedicated evaluation professional.
	4	Policy score	4 entities developed new evaluation policies, and 11 revised their policies resulting in improved clarity of purpose, plans, and linkages to knowledge management.
	5	Procedures in use	There were increases in the proportion of entities reporting their use of key evaluation procedures, besides the tracking of evaluation workplans.
	6	Plan score	Most entities had systems in place for evaluation work planning, but there were notable gaps in entities within the management and support group.
	7a	M&E budget	Budgeted resources for M&E across entities increased to \$67.9 million in 2016-17 from \$56.6 million in the previous biennium according to self-reported data.
	7b	M&E as % of total programme budget	M&E as a percentage of total programme budget ranged from 0.02-4.58%, indicating a wide variation.
	8a	Estimated expenditure on evaluation reports	Estimated expenditure was \$29.9 million on evaluation reports over 2016-17, which was an increase from \$19.5 million previously, and largely driven by UN Women.
	8b	Estimated expenditure on reports as % of total programme budget	Only 6 of 30 entities met the minimum organizational benchmark for evaluation expenditure of 0.5% of respective programme budgets. ¹³
	9	Evaluation reports	Overall report output increased since the last biennium from 273 to 335, which was largely driven by UNEP and UN Women with the highest number of reports. ¹⁴
	10	Sub-programmes referenced by reports	Coverage of sub-programmes varied extensively with the weakest coverage in the management and support grouping, which had fewer reports on average.
	11	Report quality	Overall report quality increased slightly for 6 of 7 parameters assessed in this exercise, excluding gender and human rights.
	12	Recommendations	Recommendations received on average satisfactory ratings in being logically connected to evidence, clear and realistic. But

¹³ The Joint Inspection Unit reported a range from 0.5% to 3% of organizational expenditure for evaluation to be considered as a benchmark. Variation is expected based on differences in the purpose of evaluation function, types of evaluations undertaken and economies of scale achieved, including as influenced by an entity's size (see [JIU/REP/2014/6](#), para 77).

¹⁴ Note that the total of 335 reports includes 16 OIOS evaluation reports.

		they rated lower in terms of being actionable.
13	Gender	41% of reports had either partial or no integration of gender issues into evaluation scope and questions, and 60% were below satisfactory on gender methods/analysis.
14	Human rights	66% of evaluation reports had either partial or no integration of human rights into various areas of evaluation design and analysis, demonstrating serious gaps.

The UN Evaluation Dashboard below in Table 3 visualizes these results and demonstrates a divergence between entities that further consolidated evaluation capacity compared to others that either did not improve or fell further behind. This was driven largely by several key factors related to the nature of entity mandates, funding and governance structures, and leadership commitment to an evaluation culture.

Those with more robust and established evaluation functions comprised about one half of entities. They were largely programmatic in nature, spent an estimated \$500,000 or more on evaluation, and performed well across the assessed evaluation report quality dimensions.

Other entities with lower quality evaluation outputs comprised mostly smaller programmatic entities and those in the management and support area. Several larger programmes in the peace and security group also fell into this category. Entities in this group attributed reduced feasibility and utility of evaluation to resource constraints and oversight burden. The Biennial Study delineated this group for priority support by the newly established Evaluation Section of the Department of Management Strategy, Policy and Compliance (DMSPC).

Table 3. UN Evaluation Dashboard 2016-2017

DASHBOARD THEMATIC GROUP	ENTITY	EVALUATION FRAMEWORK						M&E RESOURCES		REPORT SPENDING, OUTPUTS AND COVERAGE				REPORT QUALITY			
		1	2	3	4	5	6	7a	7b	8a	8b	9	10	11	12	13	14
		Type of function	Reporting line	Level of senior-most evaluation professional	Policy score	Procedures in use	Plan score	M&E budget	M&E as % of total programme budget	Expenditure on reports	Expenditure on reports as % of total programme budget	Evaluation reports	Subprogrammes referenced by reports	Report quality (% good/very good)	Recommendations (% good/very good)	Gender (% meets UN SWAP criteria)	Human rights (% satisfactory/fully integrated)
Peace & security	DPKO/DFS	3	2	P-5	4	5	6	2,477,500	0.02%	911,138	0.01%	14	3/6	2	2	2	2
	DPA	3	2	P-4	4	5	6	342,000	0.02%	1,116,337	0.07%	15	2/6	2	2	2	2
	ODA	0	2	None	4	5	6	60,400	0.11%		0.00%		0/5	2	2	2	2
Human rights & humanitarian	OCHA	3	2	P-5	4	5	6	5,160,700	0.69%	1,763,475	0.23%	3	4/5	2	2	2	2
	UNRWA	3	2	P-5	4	5	6	2,156,000	0.09%	307,007	0.01%	3	3/4	2	2	2	2
	UNHCR	4	2	D-1	4	5	6	4,484,713	0.03%	2,610,628	0.01%	10	N/A	2	2	2	2
	OHCHR	3	2	P-5	4	5	6	1,464,000	0.31%	855,600	0.18%	5	3/4	2	2	2	2
Regional cooperation	ESCAP	3	2	P-4	4	5	6	2,389,700	1.88%	1,342,850	1.05%	12	8/8	2	2	2	2
	ECA	3	2	P-5	4	5	6	1,488,400	0.73%	1,344,488	0.66%	7	7/9	2	2	2	2
	ECE	2	2	P-5	4	5	6	1,256,000	1.24%	261,000	0.25%	11	6/8	2	2	2	2
	ECLAC	2	2	P-4	4	5	6	697,700	0.52%	407,790	0.30%	7	11/14	2	2	2	2
	ESCWA	2	2	P-4	4	5	6	1,210,600	1.47%	542,600	0.65%	8	4/7	2	2	2	2
Norm-setting & development	UNODC	4	2	P-5	4	5	6	4,146,600	0.69%	1,687,625	0.19%	29	7/9	2	2	2	2
	UN Women	4	2	D-1	4	5	6	14,106,079	1.58%	7,598,220	0.85%	75	2/2	2	2	2	2
	UN-Habitat	4	2	P-5	4	5	6	3,172,900	0.66%	1,566,145	0.32%	10	7/7	2	2	2	2
	UNEP	4	2	D-1	4	5	6	2,574,400	0.38%	4,271,578	0.63%	75	6/7	2	2	2	2
	ITC	3	2	P-4	4	5	6	1,613,000	0.90%	964,638	0.54%	8	4/6	2	2	2	2
	UNCTAD	4	2	P-4	4	5	6	1,655,800	0.75%	795,997	0.35%	6	3/5	2	2	2	2
	OOSA	1	2	None	4	5	6	416,100	4.58%		0.00%		N/A	2	2	2	2
	OHRLLS	1	2	None	4	5	6	280,500	1.99%		0.00%		0/3	2	2	2	2
	OSAA	1	2	None	4	5	6	215,400	1.28%	44,650	0.27%	1	1/3	2	2	2	2
	DESA	2	2	P-5	4	5	6	1,242,600	0.41%	624,921	0.20%	12	8/9	2	2	2	2
Management & support	DM	1	2	None	4	5	6	5,877,000	0.73%				N/A	2	2	2	2
	DPI	4	2	P-4	4	5	6	1,544,400	0.79%	432,850	0.22%	1	2/3	2	2	2	2
	DGACM	3	2	P-4	4	5	6	3,893,200	0.58%	73,928	0.01%	2	0/4	2	2	2	2
	DSS	3	2	None	4	5	6	1,614,000	0.60%	303,117	0.11%	4	1/2	2	2	2	2
	UNOG	1	2	None	4	5	6	933,300	0.45%		0.00%		0/5	2	2	2	2
	OLA	1	2	None	4	5	6	561,500	0.70%	59,698	0.08%	1	1/6	2	2	2	2
	UNOV	0	2	None	4	5	6	482,500	0.70%		0.00%		0/4	2	2	2	2
	UNON	0	2	None	4	5	6	392,300	0.56%		0.00%		0/4	2	2	2	2

See Annex II for detailed Dashboard indicator scale definitions, as well as color-coding. Indicator #1 is colored red only for those with no/minimal evaluation activity. Note that blank cells indicate a lack of data.

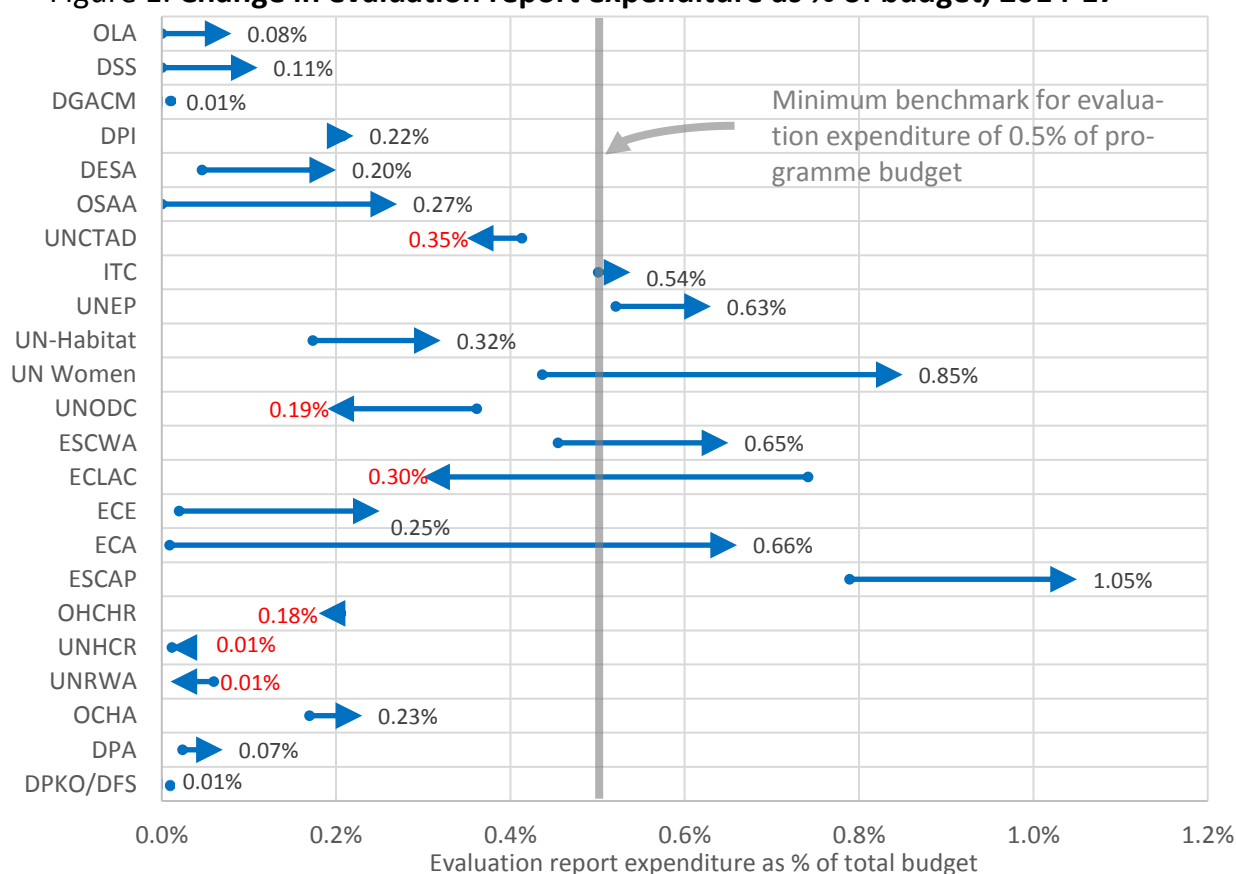
Color key:		Indicator #					
Threshold	#2	#4	#5	#6	#8b	#11-14	
High	3	26-38	4-6	11-16	> 0.5%	67-100%	
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%	
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%	

Highlighted trends

Estimated evaluation report spending increased in 15 of 29 entities in the 2016-17 period compared to the 2014-15 biennium. This occurred at varying degrees of magnitude across the five thematic groupings: 4 of 5 regional economic commissions increased their spending, while most of the 7 entities with no evaluation expenditure were from the management and support group. Only 6 entities met the minimum organizational benchmark of 0.5% of programme budgets (see Figure 1). This shortfall contrasted with other UN agencies, funds and programmes that have set

ambitious and clear benchmarks in their evaluation policies for achieving such organizational evaluation spending.¹⁵ While this exercise did not assess the implementation of such targets in practice, the existence of a clear policy framework typically demonstrates a strong intent of management and leadership to support a robust evaluation culture. In contrast, clear policy frameworks about financial commitments to evaluation was not generally present in the individual entity policies across this report's scope.

Figure 1. Change in evaluation report expenditure as % of budget, 2014-17¹⁶



Source: Costing based on focal point survey

Note: Point of origin = 2014-15; arrow head = 2016-17

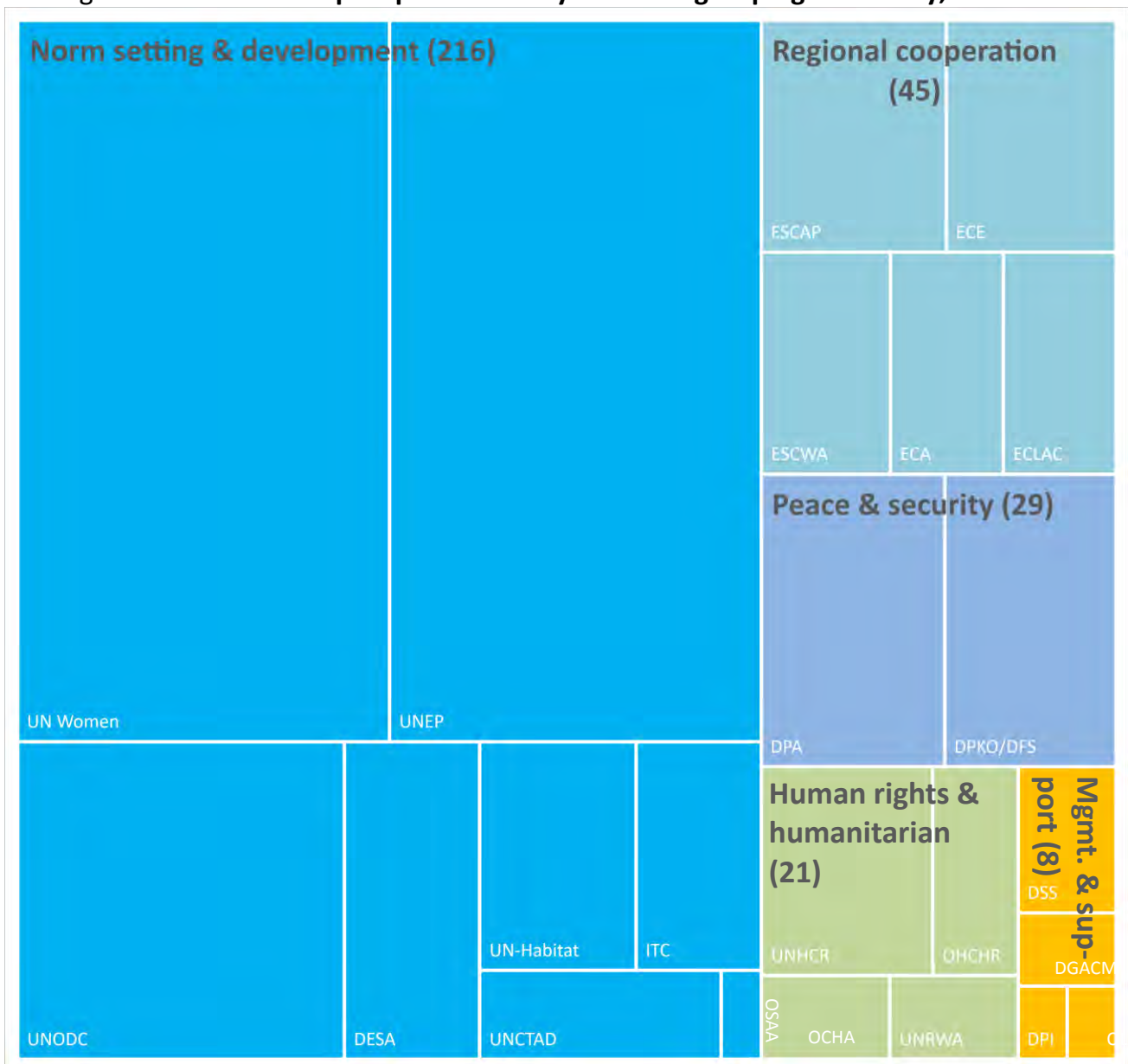
¹⁵ The following entities have set financial targets for evaluation: UNDP at 1% of funding (UNDP Evaluation Policy, 2016); UNICEF at least 1% of expenditure (UNICEF Evaluation Policy, 2018); UNFPA at least 1.4% of programme expenditure (UNFPA Evaluation Policy, 2019).

¹⁶ The figure does not show the following seven entities who had no estimated expenditure on evaluation reports: UNON, UNOV, UNOG, OLA, DM, OHRLS, OOSA, and ODA.

Across the five Evaluation Dashboard thematic groupings, the ‘norm-setting and development’ group had by far the highest number of total reports produced in this biennium, the same as in previous biennia. This group accounted for only 4% of the cumulative programme budget across entities in scope but produced 65% of all evaluation reports. In this respect, evaluation coverage remained disproportionately focused on a small part of the Organization’s

activities. Conversely, the ‘peace and security’ group accounted for a large gap in overall evaluation coverage by producing 9% of all evaluation reports while constituting 21% of the total programme budget. Those entities in the Evaluation Dashboard thematic groupings of peace and security, as well as management and support, produced the fewest evaluations proportionate to their share of the programme budget.

Figure 2. Evaluation report production by thematic grouping and entity, 2016-17



Source: Evaluation report screening

Note: Entities shown within thematic grouping proportionate to 319 total evaluation reports; n=total reports per grouping

3 Entity Evaluation Dashboards

The following example provides guidance on how to read Evaluation Dashboards.

	Indicator	Status	Δ since 2014-15
Framework	1 Type of function	Dedicated evaluation unit within a multifunctional division	3/4
	2 Reporting line		1/3
	3 Level of senior-most evaluation professional	P-4	
	4 Policy score		36/38
	5 Procedures in use		6/6
	6 Plan score		13/16
Resources	7a M&E budget	\$2,389,700	
	7b M&E as % of total programme budget	0.83% avg	1.88%
Report spending, output and coverage	8a Expenditure on reports	\$1,342,850	
	8b Expenditure on reports as % of total programme budget	0.5% threshold	1.05%
	9 Evaluation reports	12	
	10 Subprogrammes referenced by reports	8/8	
Report quality	11 Report quality (% good/very good)		60%
	12 Recommendations (% good/very good)		60%
	13 Gender (% meets UN-SWAP criteria)		20%
	14 Human rights (% satisfactorily/fully integrated)		20%



Indicator status for the assessed categorical or numerical variable



Indicator data for results either out of possible scored scale (e.g. 13/16) or raw figures (e.g. 1.88%)



Icons of change in indicators relative to the previous biennium:

- = increase
- = no change
- = decrease



Annex II provides detailed indicator definitions, including criteria, ranges, and color thresholds



Progress bars demonstrate indicator performance in comparison to the maximum of the range



Stoplight colors for selected indicators based on relative performance thresholds:



Department for General Assembly and Conference Management (DGACM)

Dashboard group: Management and support

I. Entity objective

The overall objectives of DGACM are: (a) to facilitate the orderly and effective conduct of the deliberations and follow-up actions of the General Assembly, the Economic and Social Council and most of its subsidiary bodies, as well as special UN conferences; (b) to service the Committee on Conferences; (c) to ensure the provision of high-quality conference-servicing support to all intergovernmental and expert bodies meeting at Headquarters and at the UN Offices at Geneva, Vienna and Nairobi, and other conferences and meetings held under the auspices of the UN; and (d) to provide protocol, liaison and representational functions for the Secretary-General, host Governments and Member States.¹⁷

II. Key features of evaluation in 2016-2017

- **Framework:** DGACM had evaluation systems in place but demonstrated room for improvement in several areas. Its evaluation function was organized into a dedicated unit within a multifunctional division, and the most senior centralized evaluation professional was at the P-4 level. Evaluation policy, procedures and planning were in place but remained relatively weak.
- **Report spending, output and coverage:** Estimated expenditure on evaluation reports increased to 0.01% of the total programme budget but fell well below the minimum financial benchmark for carrying out evaluation for learning and accountability purposes.

III. Areas for strengthening evaluation

- **Framework:** The evaluation policy, plans and procedures can be further strengthened, including:
 - Evaluation policy discussion around resource alignment with size and organization of the evaluation function, follow-up of evaluation results, linkage to learning and knowledge management systems, and report disclosure parameters.
 - Evaluation plan articulation of resources for planned evaluations.
 - Establishment of evaluation procedures for: developing action plans for implementing evaluation recommendations; and tracking and/or monitoring the implementation of evaluation recommendations.
- **Report spending, output and coverage:** Expenditure on evaluation can be increased to meet a minimum of 0.5% of programme expenditure by increasing report output and, as a result, programmatic coverage.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)

- The DGACM Evaluation Policy and template were finalized and agreed at the global level on 27 January 2016. The Evaluation Policy is in line with the UN rules and regulations and in accordance with the UNEG norms and standards.











¹⁷ A/70/6/Sect.2, para. 2.1

- The Evaluation Unit is involved in the compilation of the annual Conference Management Reports and the Secretary-General's report on pattern of conferences, whose main function is to provide statistical data and analytical report on the departmental key performance indicators to Member States.
- DGACM/New York also prepared reports covering M&E activities for the thematic programmes of the Department, including conference management reports and internal case studies regarding processing the backlog of mandated and non-mandated publications, communications, and treaties.

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- In 2018 DGACM conducted three self-evaluations following the departmental policy and template, which were agreed by all duty stations. In addition, the DGACM Evaluation Policy will be reviewed and updated in 2019 to ensure it follows the latest best practices and OIOS criteria to be considered in the biennial report.
- DGACM/New York conducted a self-evaluation in 2018 on servicing non-calendar meetings and a self-evaluation on capacity building: workload estimates vs. actual submissions for slotted and non-slotted documents at Headquarters. DGACM/UNOG conducted a self-evaluation of editing services and document distribution at the Division for Conference Management at UNOG.
- In 2018, all duty stations have completed a departmental risk register following the Enterprise Risk Management methodology.

DGACM Evaluation Dashboard, 2016-17

	Indicator	Status	Δ since 2014-15
 Framework	1 Type of function	Dedicated evaluation unit within a multifunctional division 3/4	●
	2 Reporting line	 1/3	●
	3 Level of senior-most evaluation professional	P-4	●
	4 Policy score	 21/38	▲
	5 Procedures in use	 3/6	▲
	6 Plan score	 8/16	▲
 Resources	7a M&E budget	\$3,893,200	▲
	7b M&E as % of total programme budget	 0.83% avg 0.58%	▲
 Report spending, output and coverage	8a Expenditure on reports	\$73,928	▲
	8b Expenditure on reports as % of total programme budget	 0.5% threshold 0.01%	▲
	9 Evaluation reports	2	▲
	10 Subprogrammes referenced by reports	1/4	▲
 Report quality	11 Report quality (% good/very good)	N/A	N/A
	12 Recommendations (% good/very good)	N/A	N/A
	13 Gender (% meets UN-SWAP criteria)	N/A	N/A
	14 Human rights (% satisfactorily/fully integrated)	N/A	N/A

Notes:

Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively. DGACM submitted two evaluation reports after the requested deadline, and OIOS was therefore unable to include them in the QA exercise. For this reason, indicators #11-14 were not assessed.

Threshold	Indicator #					
	#2	#4	#5	#6	#8b	#11-14
High	3	26-38	4-6	11-16	> 0.5%	67-100%
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%

Icon key: ▼ = decrease; ● = no change; ▲ = increase

Department of Economic and Social Affairs (DESA)

Dashboard Group: Norm-setting and development

I. Entity objective

The overall objective of DESA is to promote and support international cooperation in the pursuit of sustainable development for all.¹⁸

II. Key features of evaluation in 2016-2017

- **Framework:** DESA had relatively strong evaluation systems in place. Its function was part of a unit that was not solely dedicated to evaluation, and its most senior evaluation professional was at the P-5 level. Evaluation policy, procedures and planning were in place, but both the policy and planning could be further improved.
- **Report spending, output and coverage:** Estimated expenditure on evaluation reports increased to 0.20% of total programme budget, but still did not meet the minimum financial benchmark for carrying out evaluation for learning and accountability purposes.
- **Report quality:** 60% of the sampled reports (3 of 5) were rated as good or very good for their overall quality, showing some further room for improvement for evaluation report quality.

III. Areas for strengthening evaluation

- **Framework:** The evaluation policy and plans can be further strengthened, including:
 - Evaluation policy discussion around the independence of the function, reporting lines, and where relevant measures to ensure the quality of evaluations (e.g. peer review; QA processes).
 - Evaluation plan articulation of resources for planned evaluations, target dates for evaluations, a formal procedure for developing evaluation plans, and procedure for submission to the head of the entity or governing body for review/approval.
- **Report spending, output and coverage:** Expenditure on evaluation can be increased to meet a minimum of 0.5% of programme expenditure.
- **Report quality:** Evaluation reports can more fully meet UNEG quality standards, including through greater integration of gender and human rights dimensions. Recommendations of reports should be actionable and targeted.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)

- [No information provided.]





V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- As part of its ongoing efforts under General Assembly resolution 70/299 to enhance the effectiveness, efficiency, internal coordination and accountability of its work, in its 2020 programme budget, DESA will establish a central M&E capacity that will strengthen its programme delivery. This will also address long-standing observations by audit entities on the Department's limited central M&E, and to be in line with the reform initiatives to strengthen M&E functions in the Secretariat.

¹⁸ A/70/6/Sect. 9, para. 9.1

- For project-related evaluations, methodology for each external project evaluation was determined in close consultation with the external evaluators in line with the project objectives, as well as UNEG and OIOS evaluation guidelines.

DESA Evaluation Dashboard, 2016-17

	Indicator	Status	Δ since 2014-15
 Framework	1 Type of function	Unit not dedicated to evaluation 2/4	▲
	2 Reporting line	3/3	●
	3 Level of senior-most evaluation professional	P-5	
	4 Policy score	25/38	▼
	5 Procedures in use	6/6	▲
	6 Plan score	9/16	▼
 Resources	7a M&E budget	\$1,242,600	▲
	7b M&E as % of total programme budget	0.83% avg 0.41%	▲
 Report spending, output and coverage	8a Expenditure on reports	\$624,921	▲
	8b Expenditure on reports as % of total programme budget	0.5% threshold 0.20%	▲
	9 Evaluation reports	12	▲
	10 Subprogrammes referenced by reports	8/9	▲
 Report quality	11 Report quality (% good/very good)	60%	▲
	12 Recommendations (% good/very good)	40%	▲
	13 Gender (% meets UN-SWAP criteria)	20%	▼
	14 Human rights (% satisfactorily/fully integrated)	0%	▼

Notes:

Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively. 5 of 12 evaluation reports were sampled for the quality assessment indicators #11-14.

Threshold	Indicator #					
	#2	#4	#5	#6	#8b	#11-14
High	3	26-38	4-6	11-16	> 0.5%	67-100%
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%

Icon key: ▼ = decrease; ● = no change; ▲ = increase

Department of Management (DM)

Dashboard Group: Management and support

I. Entity objective

The overall objectives of DM¹⁹ are: (a) to enhance the accountability and efficiency of the Organization in managing its resources in four broad management areas, namely, finance, human resources, information and communications technology and support services, including procurement and infrastructure; (b) to provide support services for the intergovernmental processes of the Organization; (c) to secure financing for the mandated programmes and activities of the Secretariat; and (d) to support the implementation of those programmes and activities.²⁰

II. Key features of evaluation in 2016-2017:

- **Framework:** DM lacked evaluation systems at all levels. It had no evaluation unit, and no professional evaluation staff. Its evaluation policy and procedures were in place but relatively weak; no evaluation planning was in use.
- **Report spending, output and coverage:** No evaluation reports were produced during the period under review, and consequently its expenditure did not meet the minimum financial benchmark for carrying out evaluation for learning and accountability purposes.

III. Areas for strengthening evaluation

- **Framework:** The evaluation policy, plans and procedures can be significantly strengthened, including:
 - Evaluation policy discussion around evaluation standards (e.g. utility, credibility and independence), the evaluation function's independence, required evaluator competencies, report dissemination, and both gender equality and human rights dimensions.
 - Establishment of evaluation plans and procedures for self-evaluation activities.
- **Report spending, output and coverage:** Expenditure on evaluation can be increased to meet a minimum of 0.5% of programme expenditure by increasing report output and, as a result, programmatic coverage.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)

- Expenditure on other evaluation activities was estimated at \$64,641 and included evaluation of individual work units or assignments.

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)









- DMSPC was established, including the Business Transformation and Accountability Division with a role among others, which will “support programme managers in their efforts to establish clear targets and criteria for programme performance and will generate, analyse and communicate data, conduct reviews and support self-evaluations”.²¹

¹⁹ Since January 2019, the Department of Management Strategy, Policy and Compliance (DMSPC)

²⁰ A/70/6/Sect.29, para. 29.1

²¹ A/72/492/Add.2, para. 139

DM Evaluation Dashboard, 2016-17

	Indicator	Status	Δ since 2014-15
 Framework	1 Type of function	No evaluation unit but evaluation activity 1/4	●
	2 Reporting line	 1/3	▼
	3 Level of senior-most evaluation professional	None	●
	4 Policy score	 21/38	▼
	5 Procedures in use	0/6	▼
	6 Plan score	0/16	●
 Resources	7a M&E budget	\$5,877,000	▼
	7b M&E as % of total programme budget	 0.83% avg 0.73%	▲
 Report spending, output and coverage	8a Expenditure on reports	\$0	▼
	8b Expenditure on reports as % of total programme budget	 0.5% threshold 0.00%	▼
	9 Evaluation reports	0	▼
	10 Subprogrammes referenced by reports	N/A	N/A
 Report quality	11 Report quality (% good/very good)	N/A	N/A
	12 Recommendations (% good/very good)	N/A	N/A
	13 Gender (% meets UN-SWAP criteria)	N/A	N/A
	14 Human rights (% satisfactorily/fully integrated)	N/A	N/A

Note:
Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively.

Threshold	Indicator #					
	#2	#4	#5	#6	#8b	#11-14
High	3	26-38	4-6	11-16	> 0.5%	67-100%
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%

Icon key: ▼ = decrease; ● = no change; ▲ = increase

Department of Peacekeeping Operations (DPKO) / Department of Field Support (DFS)

Dashboard Group: Peace and Security

I. Entity objective

The overall objective of DPKO and DFS²² is to support the maintenance of international peace and security through the deployment of peacekeeping operations in accordance with and by authority derived from the purposes and principles of the Charter of the UN. The mandates of the programme are provided in relevant resolutions of the Security Council and the General Assembly.²³

II. Key features of evaluation in 2016-2017

- **Framework:** DPKO and DFS had evaluation systems in place but demonstrated room for improvement in several areas. Its function was organized into a dedicated evaluation unit (Evaluations Team) within a multifunctional division, and the most senior evaluation professional was at the P-5 level. An evaluation policy, plan and procedures were in place, but the policy and evaluation work planning remained relatively weak.²⁴
- **Report spending, output and coverage:** Estimated expenditure on evaluation reports increased slightly to 0.01% of total programme budget but fell well below the minimum financial benchmark for carrying out evaluation for learning and accountability purposes.
- **Report quality:** 17% of the sampled reports (1 of 6) were rated as good or very good in terms of overall quality, suggesting significant room for improvement for evaluation report quality.²⁵

III. Areas for strengthening evaluation

- **Framework:** The evaluation policy and plans can be further strengthened, including:
 - Evaluation policy discussion around required evaluator competencies, how evaluation plans are formulated, and both gender equality human rights dimensions.
 - Evaluation plan articulation around the types of planned evaluations and who is responsible for evaluations.
- **Report spending, output and coverage:** Expenditure on evaluation can be increased to meet a minimum of 0.5% of programme expenditure by increasing report output and, as a result, programmatic coverage.

²² Since January 2019, the Department of Peace Operations (DPO) and Department of Operational Support (DOS), respectively. DPKO and DFS shared a focal point and were treated as a single entity.

²³ A/70/6/Sect.5, para. 5.1

²⁴ The Evaluations Team is governed by policies for evaluations conducted at both the headquarters and field levels, under which the evaluation plan is approved by an Evaluation Advisory Board.

²⁵ Out of the 14 reports screened into this exercise, DPKO/DFS noted that 6 reports were conceived as evaluations while the remaining reports were not carried out within the departmental evaluation policy and planning system, such as lessons learned reports and reviews. Accordingly, the Dashboard indicators for policy, procedures, plans and budgeting (indicators #1-7) present information for the formally established DPKO/DFS evaluation systems, while indicators related to report expenditure, coverage and quality (indicators #8-14) reflect results across a larger body of reports submitted to OIOS for review. Out of the 6 sampled reports for assessment, 4 reports were considered evaluations by DPKO/DFS.

- **Report quality:** Evaluation reports can more fully meet UNEG quality standards, including through greater integration of gender and human rights dimensions.








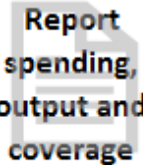






IV. Other evaluation activities undertaken during 2016-2017 (self-reported)

- Expenditure on other evaluation activities was estimated at \$35,200 and included support to decentralized evaluations, support to management reviews and ad-hoc assignments to strengthen institutional and policy framework.

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- [No information provided.]

DPKO/DFS Evaluation Dashboard, 2016-17

	Indicator	Status	Δ since 2014-15
 Framework	1 Type of function	Dedicated evaluation unit within a multifunctional division 3/4	●
	2 Reporting line	 1/3	●
	3 Level of senior-most evaluation professional	P-5	●
	4 Policy score	 25/38	▼
	5 Procedures in use	 6/6	▲
	6 Plan score	 9/16	▼
 Resources	7a M&E budget	\$2,477,500	▲
	7b M&E as % of total programme budget	 0.83% avg 0.02%	▲
 Report spending, output and coverage	8a Expenditure on reports	\$911,138	▲
	8b Expenditure on reports as % of total programme budget	 0.5% threshold 0.01%	▲
	9 Evaluation reports	14	▲
	10 Subprogrammes referenced by reports	3/6	▼
 Report quality	11 Report quality (% good/very good)	 17%	▲
	12 Recommendations (% good/very good)	 67%	▼
	13 Gender (% meets UN-SWAP criteria)	 50%	●
	14 Human rights (% satisfactorily/fully integrated)	 17%	▲

Notes:

Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively. Indicators #7b and #8b were calculated for DPKO/DFS based on total budget including missions (A/72/6), and changes since 2014-15 were made based on re-calculated figures. 6 of 14 evaluation reports were sampled for the quality assessment indicators #11-14. Indicator #2 shows no change since 2014-15 based on corrected data from last biennium. Refer to [footnote 25](#) regarding which Dashboard indicators relate exclusively to departmental evaluation systems.

Color key:

	Indicator #					
Threshold	#2	#4	#5	#6	#8b	#11-14
High	3	26-38	4-6	11-16	> 0.5%	67-100%
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%

Icon key: ▼ = decrease; ● = no change; ▲ = increase

Department of Political Affairs (DPA)

Dashboard Group: Peace and Security

I. Entity objective

The overall objective of DPA²⁶ is to maintain international peace and security by assisting Member States, at their request, and other international and regional organizations to resolve potentially violent disputes or conflict peacefully, in accordance with the principles of the Charter of the United Nations and the resolutions emanating from the General Assembly and the Security Council. This objective is achieved by preventing violent conflicts from arising through preventive diplomacy and peace-making, through expansion of the range of partnerships of the Organization with other international, regional and sub-regional organizations.²⁷

II. Key features of evaluation in 2016-2017

- **Framework:** DPA made notable improvements to strengthen its evaluation systems across the relevant Evaluation Dashboard indicators. Its evaluation function was organized into a dedicated evaluation unit within a multifunctional division and was moved to the Office of the Under-Secretary-General for a more direct line of reporting. An Evaluation Officer P-4 post was created and is the most senior evaluation professional. Its evaluation policy was revised in 2017 with added focus on both independence and accountability. Procedures and a plan were equally in place.
- **Report spending, output and coverage:** Estimated expenditure on evaluation reports increased to 0.07% of total programme budget but continued to stay well below the minimum financial benchmark for carrying out evaluation for learning and accountability purposes.
- **Report quality:** 67% of sampled reports (4 of 6) were rated good or very good for their overall quality, showing some further room for improvement for evaluation report quality.

III. Areas for strengthening evaluation

- **Report spending, output and coverage:** Expenditure on evaluation can be increased to meet a minimum of 0.5% of programme expenditure by increasing report output and, as a result, programmatic coverage.
- **Report quality:** Evaluation reports can more fully meet UNEG quality standards, including through greater integration of gender and human rights dimensions. Recommendations of reports should be actionable and targeted.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)

- DPA's Learning and Evaluation Board (LEB) welcomed its new members in 2018. There is a rotation of DPA's LEB membership after members complete their two-year term.
- Developed DPA's 2018 annual Learning and Evaluation Plan.
- Revised DPA Learning and Evaluation Framework, which reframes the earlier Framework and the DPA Knowledge Management Concept Note into a single streamlined document.





²⁶ Since January 2019, the Department of Political and Peacebuilding Affairs (DPPA)

²⁷ A/70/6/Sect.3, para. 3.1

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- Department graduated from observer status to full membership of UNEG in 2018.
- In the spirit of transparency, the Department has now decided to systematically disseminate executive summaries of DPA-led evaluations and lessons learned studies, if sharing of full reports is not feasible. This new full-disclosure practice will be retroactively applicable as of 01 January 2017 and is aimed at supporting both accountability and learning objectives of the Department.

DPA Evaluation Dashboard, 2016-17

	Indicator	Status	Δ since 2014-15
 Framework	1 Type of function	Dedicated evaluation unit within a multifunctional division 3/4	▲
	2 Reporting line	3/3	●
	3 Level of senior-most evaluation professional	P-4	▼
	4 Policy score	36/38	▲
	5 Procedures in use	6/6	▲
	6 Plan score	13/16	▲
 Resources	7a M&E budget	\$342,000	▲
	7b M&E as % of total programme budget	0.83% avg 0.02%	●
 Report spending, output and coverage	8a Expenditure on reports	\$1,116,337	▲
	8b Expenditure on reports as % of total programme budget	0.5% threshold 0.07%	▲
	9 Evaluation reports	15	▲
	10 Subprogrammes referenced by reports	2/6	●
 Report quality	11 Report quality (% good/very good)	67%	▲
	12 Recommendations (% good/very good)	50%	▼
	13 Gender (% meets UN-SWAP criteria)	33%	▼
	14 Human rights (% satisfactorily/fully integrated)	33%	▼

Notes:

Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively. 6 of 15 evaluation reports were sampled for the quality assessment indicators #11-14. Half of the assessed sampled reports (3 of 6) were PBSO evaluations.

Color key:		Indicator #					
Threshold	#2	#4	#5	#6	#8b	#11-14	
High	3	26-38	4-6	11-16	> 0.5%	67-100%	
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%	
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%	

Icon key: ▼ = decrease; ● = no change; ▲ = increase

Department of Public Information (DPI)

Dashboard Group: Management and support

I. Entity objective

The overall objective of DPI²⁸ is to promote global awareness and enhanced understanding of the work and issues of the United Nations by providing accurate, impartial, comprehensive, balanced, coherent, timely and relevant information.²⁹

II. Key features of evaluation in 2016-2017

- **Framework:** DPI had robust evaluation systems in place across all relevant Evaluation Dashboard indicators. Its function was organized into a stand-alone evaluation unit, and its most senior centralized evaluation professional was a P-4. A strong evaluation policy, plan and procedures were in place.
- **Report spending, output and coverage:** Estimated expenditure on evaluation reports increased to an estimated 0.22% of total programme budget, but still did not meet the minimum financial benchmark for carrying out evaluation for learning and accountability purposes.
- **Report quality:** The one evaluation report was rated poorly across all indicators, suggesting significant room for improvement for evaluation report quality.

III. Areas for strengthening evaluation

- **Report spending, output and coverage:** Expenditure on evaluation can be increased to meet a minimum of 0.5% of programme expenditure by increasing report output and, as a result, programmatic coverage.
- **Report quality:** Evaluation reports can more fully meet UNEG quality standards, including through greater integration of gender and human rights dimensions. Recommendations of reports should be actionable and targeted.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)

- Expenditure on other evaluation activities was estimated at an estimated \$632,900 and included the following areas:
 - Post-campaign assessments on behalf of the Office of the Under-Secretary-General for reporting to the Secretary-General;
 - Technical support and expertise to programme managers undertaking self-evaluations of DPI programmes and projects, as well as results-based management related assessments;
 - Survey research, media monitoring and social media analysis;
 - Technical oversight and management of consultants for self-evaluation projects; and,
 - Training for DPI staff on communications measurement and evaluation.



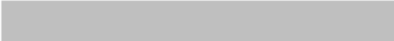
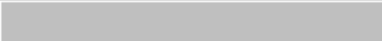



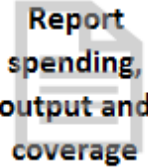

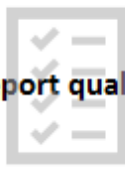
²⁸ Since January 2019, the Department of Global Communications (DGC)

²⁹ A/70/6/Sect.28, para. 28.3

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- The Evaluation and Communication Research Unit (ECRU) struggled in the past to apply the UNEG gender and human rights guidelines due to the nature and focus on the evaluation work. To address this, the Unit embarked on a gender evaluation of DPI's work in 2016 to develop and refine its own gender and human rights standards for evaluation. Based on UNESCO's gender-sensitive indicators for media, the Unit now has tools to include a gender and human-rights lens in its evaluations.
- Quality assurance/peer review: For more targeted feedback, ECRU has a communications evaluation Advisory Group.

DPI Evaluation Dashboard, 2016-17

	Indicator	Status		Δ since 2014-15
 Framework	1 Type of function	Stand-alone evaluation unit	4/4	●
	2 Reporting line		3/3	●
	3 Level of senior-most evaluation professional	P-4		●
	4 Policy score		33/38	▲
	5 Procedures in use		5/6	▼
	6 Plan score		11/16	▲
 Resources	7a M&E budget	\$1,544,400		▼
	7b M&E as % of total programme budget	 0.83% avg	0.79%	▼
 Report spending, output and coverage	8a Expenditure on reports	\$432,850		▲
	8b Expenditure on reports as % of total programme budget	 0.5% threshold	0.22%	▲
	9 Evaluation reports	1		●
	10 Subprogrammes referenced by reports	2/3		●
 Report quality	11 Report quality (% good/very good)	0%		●
	12 Recommendations (% good/very good)	0%		●
	13 Gender (% meets UN-SWAP criteria)	0%		▼
	14 Human rights (% satisfactorily/fully integrated)	0%		●

Note:
Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively.

Color key:		Indicator #					
Threshold	#2	#4	#5	#6	#8b	#11-14	
High	3	26-38	4-6	11-16	> 0.5%	67-100%	
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%	
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%	

Icon key: ▼ = decrease; ● = no change; ▲ = increase

Department of Safety and Security (DSS)

Dashboard Group: Management and support

I. Entity objective

The overall objectives of DSS are to: (a) enable UN activities by ensuring effective and timely responses to all security-related threats and emergencies; (b) ensure effective risk mitigation through coordinated security risk management methodology, including a threat and risk assessment mechanism implemented in cooperation with authorities of host countries; and (c) continue to develop best-practice security policies, standards and operational procedures across the UN system, including the appropriate degree of standardization, and to support their implementation and monitor compliance.³⁰

II. Key features of evaluation in 2016-2017

- **Framework:** DSS made notable improvements to strengthen its evaluation systems across the relevant Evaluation Dashboard indicators. Its function was organized into a dedicated evaluation unit within a multifunctional division, although no centralized evaluation staff were reported. Evaluation policy, procedures and plan were in place, with several elements of its policy needing strengthening.
- **Report spending, output and coverage:** Estimated expenditure on evaluation reports increased to 0.11% of total programme budget, but still did not meet the minimum financial benchmark for carrying out evaluation for learning and accountability purposes.
- **Report quality:** 33% of the sampled reports (1 of 3) were rated as good or very good for their overall quality, suggesting significant room for improvement for evaluation report quality.

III. Areas for strengthening evaluation

- **Framework:** The evaluation policy can be further strengthened, including discussion around evaluation standards (e.g. utility, credibility and independence), the evaluation function's independence, reporting lines, required evaluator competencies, and human rights dimensions.
- **Report spending, output and coverage:** Expenditure on evaluation can be increased to meet a minimum of 0.5% of programme expenditure by increasing report output and, as a result, programmatic coverage.
- **Report quality:** Evaluation reports can more fully meet UNEG quality standards, including through greater integration of gender and human rights dimensions. Recommendations of reports should be actionable and targeted.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)





- Other evaluation activities included: evaluator professional development; drafting of evaluation guidelines; briefings and presentations on the evaluation function; drafting and development of compliance policies and procedures.

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- [No information provided.]

³⁰ A/70/6/Sect.34, para. 34.3

DSS Evaluation Dashboard, 2016-17

	Indicator	Status	Δ since 2014-15
 Framework	1 Type of function	Dedicated evaluation unit within a multifunctional division 3/4	●
	2 Reporting line	3/3	●
	3 Level of senior-most evaluation professional	None	●
	4 Policy score	21/38	▼
	5 Procedures in use	6/6	▲
	6 Plan score	14/16	▲
 Resources	7a M&E budget	\$1,614,000	▼
	7b M&E as % of total programme budget	0.83% avg 0.60%	▼
 Report spending, output and coverage	8a Expenditure on reports	\$303,117	▲
	8b Expenditure on reports as % of total programme budget	0.5% threshold 0.11%	▲
	9 Evaluation reports	4	▲
	10 Subprogrammes referenced by reports	1/2	▲
 Report quality	11 Report quality (% good/very good)	33%	N/A
	12 Recommendations (% good/very good)	33%	N/A
	13 Gender (% meets UN-SWAP criteria)	100%	N/A
	14 Human rights (% satisfactorily/fully integrated)	33%	N/A

Notes:

Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively. 3 of 4 evaluation reports were sampled for the quality assessment indicators #11-14.

Color key:	Indicator #					
	#2	#4	#5	#6	#8b	#11-14
Threshold						
High	3	26-38	4-6	11-16	> 0.5%	67-100%
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%

Icon key: ▼ = decrease; ● = no change; ▲ = increase

Economic and Social Commission for Asia and the Pacific (ESCAP)

Dashboard Group: Regional cooperation

I. Entity objective

The overall objective of the ESCAP is to promote regional cooperation for inclusive and sustainable development in Asia and the Pacific.³¹

II. Key features of evaluation in 2016-2017

- **Framework:** ESCAP retained robust evaluation systems in place across all relevant Evaluation Dashboard indicators. Its function was organized into a dedicated evaluation unit within a multifunctional division, and its most senior centralized evaluation staff was at the P-4 level. A strong evaluation policy, plan and procedures were in place.
- **Report spending, output and coverage:** Estimated expenditure on evaluation reports increased to 1.05% of total programme budget, which exceeded the minimum financial benchmark for carrying out evaluation and indicated a higher level of organizational commitment for learning and accountability.
- **Report quality:** 60% of sampled reports (3 of 5) were rated good or very good for their overall quality, showing some further room for improvement for evaluation report quality.

III. Areas for strengthening evaluation

- **Report quality:** Evaluation reports can more fully meet UNEG quality standards, including through greater integration of gender and human rights dimensions.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)















- Expenditure on other evaluation activities was estimated at \$452,052 and included:
 - consultations and workshop on the results and follow-up actions to each evaluation;
 - formulation and approval of the management response and follow-up action plan;
 - implementation of agreed follow-up actions;
 - monitoring and reporting on status of implementation of follow-up actions;
 - reporting on evaluation activities of ESCAP to the Commission;
 - organizing knowledge sharing sessions based on evaluation findings;
 - organizing M&E training and briefing sessions; and,
 - networking work with other evaluation focal points within the region and globally with UNEG.

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- Monitoring and Evaluation Guidelines were updated in 2017.

³¹ A/70/6/Sect.19, para. 19.1

ESCAP Evaluation Dashboard, 2016-17

	Indicator	Status	Δ since 2014-15
 Framework	1 Type of function	Dedicated evaluation unit within a multifunctional division 3/4	●
	2 Reporting line	 1/3	●
	3 Level of senior-most evaluation professional	P-4	●
	4 Policy score	 36/38	▼
	5 Procedures in use	 6/6	●
	6 Plan score	 13/16	▼
 Resources	7a M&E budget	\$2,389,700	▲
	7b M&E as % of total programme budget	 1.88%	▲
 Report spending, output and coverage	8a Expenditure on reports	\$1,342,850	▲
	8b Expenditure on reports as % of total programme budget	 1.05%	▲
	9 Evaluation reports	12	▲
	10 Subprogrammes referenced by reports	8/8	●
 Report quality	11 Report quality (% good/very good)	 60%	●
	12 Recommendations (% good/very good)	 60%	▲
	13 Gender (% meets UN-SWAP criteria)	 20%	▼
	14 Human rights (% satisfactorily/fully integrated)	 20%	●

Notes:

Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively. 5 of the 12 evaluation reports were sampled for the quality assessment indicators #11-14.

Color key:	Indicator #					
	#2	#4	#5	#6	#8b	#11-14
High	3	26-38	4-6	11-16	> 0.5%	67-100%
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%

Icon key: ▼ = decrease; ● = no change; ▲ = increase

Dashboard Group: Regional cooperation

I. Entity objective

The overall objective of ESCWA is to foster comprehensive, equitable, integrated and sustainable development through effective economic and social policies and enhanced cooperation among the member countries of the ESCWA and with other countries, giving special consideration to the least developed and conflict-stricken countries.³²

II. Key features of evaluation in 2016-2017

- **Framework:** ESCWA had robust evaluation systems in place across all relevant Evaluation Dashboard indicators. Its function was part of a unit that was not solely dedicated to evaluation, and its most senior professional responsible for evaluation was at the P-4. A strong evaluation policy, plan and procedures were in place.
- **Report spending, output and coverage:** Estimated expenditure on evaluation reports increased to 0.65% of total programme budget, which exceeded the minimum financial benchmark for carrying out evaluation and indicated a higher level of organizational commitment for learning and accountability.
- **Report quality:** 100% of sampled reports (3 of 3) were rated good or very good for their overall quality, suggesting strong evaluation practice in place. There were however gaps in the area of human rights as with most entities in scope.

III. Areas for strengthening evaluation

- **Report spending, output and coverage:** Evaluation activity can achieve greater programmatic coverage.
- **Report quality:** Evaluation reports can more fully meet UNEG quality standards, including through greater integration of human rights dimensions.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)





- Expenditure on other evaluation activities was estimated at \$180,050 and included:
 - revision of evaluation policy;
 - development of meta-analysis;
 - development of roster for external evaluation consultants;
 - development of new evaluation tools and revision of existing ones;
 - outreach activities and development of communication materials;
 - reporting on UN System-wide Action Plan on Gender Equality and Empowerment of Women (UN-SWAP);
 - tracking recommendations; and,
 - engaging in regional and global evaluation networks, such as the Evaluation Group of the Middle East and UNEG.

³² A/70/6/Sect.22, para. 22.1

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- ESCWA launched a revised Evaluation Policy. The comprehensive update reflects a dynamic policy that adapts to the developments in the UN evaluation community and in the global development work. It integrates UNEG new Norms and Standards, the 2030 Agenda, and the concept of transformative change. It renews ESCWA's commitment to uphold and advance Human Rights and Gender Equality.
- ESCWA developed a roster of evaluators with regional experience.

ESCWA Evaluation Dashboard, 2016-17

	Indicator	Status		Δ since 2014-15
 Framework	1 Type of function	Unit not dedicated to evaluation	2/4	●
	2 Reporting line		3/3	●
	3 Level of senior-most evaluation professional	P-4		●
	4 Policy score		38/38	●
	5 Procedures in use		6/6	●
	6 Plan score		16/16	●
 Resources	7a M&E budget	\$1,210,600		▲
	7b M&E as % of total programme budget	0.83% avg	1.47%	▲
 Report spending, output and coverage	8a Expenditure on reports	\$542,600		▲
	8b Expenditure on reports as % of total programme budget	0.5% threshold	0.65%	▲
	9 Evaluation reports	8		▼
	10 Subprogrammes referenced by reports	4/7		▼
 Report quality	11 Report quality (% good/very good)		100%	▲
	12 Recommendations (% good/very good)		67%	▲
	13 Gender (% meets UN-SWAP criteria)		100%	●
	14 Human rights (% satisfactorily/fully integrated)		33%	▲

Notes:

Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively. 3 of 8 evaluation reports were sampled for the quality assessment indicators #11-14.

Color key:	Indicator #					
	#2	#4	#5	#6	#8b	#11-14
High	3	26-38	4-6	11-16	> 0.5%	67-100%
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%

Icon key: ▼ = decrease; ● = no change; ▲ = increase

Economic Commission for Africa (ECA)

Dashboard Group: Regional cooperation

I. Entity objective

The overall objective of ECA is to promote inclusive and sustainable economic and social development in support of accelerating Africa's structural transformation, in line with the priorities and vision articulated in the African Union's Agenda 2063, the New Partnership for Africa's Development (NEPAD) programme and the internationally agreed development goals, including those contained in the United Nations development agenda beyond 2015 (as and when approved by the General Assembly) and the outcomes of other major United Nations conferences and international agreements concluded since 1992.³³

II. Key features of evaluation in 2016-2017

- **Framework:** ECA maintained relatively strong evaluation systems, but there was room for improvement in several areas. Its function was organized into a dedicated evaluation unit within a multifunctional division, and its most senior evaluation professional was at the P-5 level. Robust evaluation policy and procedures were in place, but its planning was comparatively weaker.
- **Report spending, output and coverage:** Estimated expenditure on evaluation reports increased to 0.66% of total programme budget, which exceeded the minimum financial benchmark for carrying out evaluation and indicated a higher level of organizational commitment for learning and accountability.
- **Report quality:** None of the sampled reports (0 of 3) were rated good or very good for overall quality, suggesting significant room for improvement for evaluation report quality.

III. Areas for strengthening evaluation

- **Framework:** Evaluation plans can be further strengthened, including articulation of a formal procedure for developing evaluation plans, and a procedure for submission to the head of the entity or governing body for review/approval.
- **Report quality:** Evaluation reports can more fully meet UNEG quality standards, including greater integration of gender and human rights dimensions. Recommendations of reports should be actionable and targeted.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)





- Expenditure on other evaluation activities was estimated at \$513,656 and included:
 - substantive inputs and servicing external audits and system wide reviews;
 - review and perception surveys of ECA major events;
 - Task Force Recommendation review; and,
 - substantive contribution to Programme Performance Reviews that happen at the level of the Commission.

³³ A/70/6/Sect.18, para. 18A.1

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- ECA developed an online audit and evaluation tracking system, where actions and recommendations are systematically tracked and can be updated in real time. Process leads are responsible to not only implement the actions, but report against them making use of the online portal. The system is yet to be fully functional.
- ECA set up an evaluation reference group to quality assure the evaluation outputs and its processes.
- ECA increased emphasis of evaluation on gender and human rights criteria along with other evaluation criteria.

ECA Evaluation Dashboard, 2016-17

	Indicator	Status	Δ since 2014-15
 Framework	1 Type of function	Dedicated evaluation unit within a multifunctional division 3/4	●
	2 Reporting line	1/3	▼
	3 Level of senior-most evaluation professional	P-5	●
	4 Policy score	30/38	▼
	5 Procedures in use	6/6	▲
	6 Plan score	7/16	▼
 Resources	7a M&E budget	\$1,488,400	▼
	7b M&E as % of total programme budget	0.83% avg 0.73%	▼
 Report spending, output and coverage	8a Expenditure on reports	\$1,344,488	▲
	8b Expenditure on reports as % of total programme budget	0.5% threshold 0.66%	▲
	9 Evaluation reports	7	▲
	10 Subprogrammes referenced by reports	7/9	N/A
 Report quality	11 Report quality (% good/very good)	0%	N/A
	12 Recommendations (% good/very good)	33%	N/A
	13 Gender (% meets UN-SWAP criteria)	0%	N/A
	14 Human rights (% satisfactorily/fully integrated)	0%	N/A

Notes:

Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively.
3 of 7 evaluation reports were sampled for the quality assessment indicators #11-14.

Color key:	Indicator #					
Threshold	#2	#4	#5	#6	#8b	#11-14
High	3	26-38	4-6	11-16	> 0.5%	67-100%
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%

Icon key: ▼ = decrease; ● = no change; ▲ = increase

Economic Commission for Europe (ECE)

Dashboard Group: Regional cooperation

I. Entity objective

The overall objective of ECE is: to support the normative work through the exchange of experiences and the development and implementation of international legal instruments, norms and standards, as well as the identification and dissemination of best practices in and outside the region; and to promote technical cooperation with countries in the region, including economies in transition, with a view to integrating them into the world economy and achieving sustainable development in the region.³⁴

II. Key features of evaluation in 2016-2017

- **Framework:** ECE maintained robust evaluation systems across applicable Dashboard indicators. Its function was part of a unit that was not solely dedicated to evaluation, and its most senior evaluation professional was at the P-5 level. A strong evaluation policy, plan and procedures were in place.
- **Report spending, output and coverage:** Estimated expenditure on evaluation reports increased to 0.25% of total programme budget, but still did not meet the minimum financial benchmark for carrying out evaluation for learning and accountability purposes.
- **Report quality:** 50% of sampled reports (2 of 4) were rated good or very good for their overall quality, suggesting significant room for improvement for evaluation report quality.

III. Areas for strengthening evaluation

- **Framework:** The evaluation policy and plans can be further strengthened, including:
 - Evaluation policy discussion around the evaluation function's independence and required evaluator competencies.
 - Evaluation plan articulation of a formal procedure for developing evaluation plans, and procedure for submission to the head of the entity or governing body for review/approval.
- **Report spending, output and coverage:** Expenditure on evaluation can be increased to meet a minimum of 0.5% of programme expenditure.
- **Report quality:** Evaluation reports can more fully meet UNEG quality standards, including greater integration of gender and human rights dimensions. Recommendations of reports should be actionable and targeted.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)

- As of 2017, ECE reports on the key results of evaluations annually to the Executive Committee. The report summarizes key evaluations, plans and recommendations for future action. The 2017 Annual Report on Evaluations was presented to the Executive Committee in its ninety seventh meeting in March 2018.

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)





- In September 2016, the ECE Executive Committee requested the Secretariat to increase and strengthen the evaluation function in ECE. In line with the request, a P-4 post was

³⁴ A/70/6/Sect.20, para. 20.3

proposed in the 2018-2019 Proposed programme budget under Executive Direction and Management to perform programme evaluation and audit. This post was approved by the General Assembly in its resolution 72/261.

- An Annual Exchange on Evaluations conducted in 2018 was organized in March 2019. A report promoting lessons learned and recommendations identified in the evaluations was disseminated across the organization.
- With the recruitment of the full complement of staff resources in August 2018, a backlog of 118 outstanding recommendations from internal evaluations conducted since 2014 was reviewed during the last quarter of 2018. As a result, 97 recommendations (82%) have been fully implemented and closed.
- ECE now reports twice a year on the implementation of outstanding recommendations from internal evaluations. Management responses and Progress reports are available at: <http://www.unece.org/info/open-unece/evaluation-and-audit.html>.

ECE Evaluation Dashboard, 2016-17

	Indicator	Status		Δ since 2014-15
 Framework	1 Type of function	Unit not dedicated to evaluation	2/4	●
	2 Reporting line		3/3	▲
	3 Level of senior-most evaluation professional	P-5		●
	4 Policy score		27/38	▼
	5 Procedures in use		6/6	▲
	6 Plan score		11/16	▼
 Resources	7a M&E budget	\$1,256,000		▲
	7b M&E as % of total programme budget	0.83% avg	1.24%	▲
 Report spending, output and coverage	8a Expenditure on reports	\$261,000		▲
	8b Expenditure on reports as % of total programme budget	0.5% threshold	0.25%	▲
	9 Evaluation reports	11		▲
	10 Subprogrammes referenced by reports	6/8		▲
 Report quality	11 Report quality (% good/very good)		50%	●
	12 Recommendations (% good/very good)		50%	▼
	13 Gender (% meets UN-SWAP criteria)		25%	▼
	14 Human rights (% satisfactorily/fully integrated)		25%	▲

Notes:

Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively. 4 of 11 evaluation reports were sampled for the quality assessment indicators #11-14.

Color key:	Indicator #					
	#2	#4	#5	#6	#8b	#11-14
Threshold						
High	3	26-38	4-6	11-16	> 0.5%	67-100%
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%

Icon key: ▼ = decrease; ● = no change; ▲ = increase

Economic Commission for Latin America and the Caribbean (ECLAC)

Dashboard Group: Regional cooperation

I. Entity objective

The overall objectives of ECLAC are to promote the economic, social and environmentally sustainable development of Latin America and the Caribbean through international cooperation by undertaking applied research and comparative analysis of development processes and providing the relevant normative, operational and technical cooperation services in support of regional development efforts.³⁵

II. Key features of evaluation in 2016-2017

- **Framework:** ECLAC had relatively strong evaluation systems in place. Its function was part of a unit that was not solely dedicated to evaluation, and its most senior evaluation professional was at P-4 level. Strong evaluation policy and procedures were in place, but its evaluation work planning was comparatively weaker.
- **Report spending, output and coverage:** Estimated expenditure on evaluation reports decreased to 0.30% of total programme budget and did not meet the minimum financial benchmark for carrying out evaluation for learning and accountability purposes.
- **Report quality:** 100% of sampled reports (3 of 3) were rated good or very good for their overall quality, suggesting very strong evaluation practice in place across all relevant UN standards for evaluation report quality.

III. Areas for strengthening evaluation

- **Framework:** Evaluation plans can be further strengthened, including articulation of the types of planned evaluations, the purpose of evaluations, a formal procedure for developing evaluation plans, and procedures for submission to the head of the entity or governing body for review/approval.
- **Report spending, output and coverage:** Expenditure on evaluation can be increased to meet a minimum of 0.5% of programme expenditure.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)















- Expenditure on other evaluation activities was estimated at \$75,600 and included:
 - updating of the Evaluation Policy and Strategy and Evaluation Guidelines;
 - providing follow-up to the implementation of recommendations of 11 evaluations in total;
 - preparing and disseminating a lessons learned and recommendations knowledge-sharing document;
 - actively participating in planning and project monitoring meetings with substantive Divisions to make sure evaluation results feed the programming cycle; and,
 - participating in Results Based Management training course specifically by imparting a section on evaluation at ECLAC.

³⁵ A/70/6/Sect.21, para. 21.1

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- Revision and updating of ECLAC's Evaluation Policy and Strategy in accordance with the updated UNEG evaluation norms and standards.
- Publication of internal guidelines for preparing and conducting evaluations.
- Enhancement of the formal mechanism for the follow-up of the implementation of recommendations.
- Preparation and dissemination of the first edition of an internal evaluation knowledge-sharing document to promote best practices, lessons learned and recommendations identified in the evaluations.

ECLAC Evaluation Dashboard, 2016-17

	Indicator	Status	Δ since 2014-15
 Framework	1 Type of function	Unit not dedicated to evaluation 2/4	●
	2 Reporting line	 1/3	●
	3 Level of senior-most evaluation professional	P-4	●
	4 Policy score	 38/38	●
	5 Procedures in use	 5/6	▲
	6 Plan score	 8/16	▼
 Resources	7a M&E budget	\$697,700	▼
	7b M&E as % of total programme budget	 0.52%	▼
 Report spending, output and coverage	8a Expenditure on reports	\$407,790	▼
	8b Expenditure on reports as % of total programme budget	 0.30%	▼
	9 Evaluation reports	7	▼
	10 Subprogrammes referenced by reports	11/14	▲
 Report quality	11 Report quality (% good/very good)	 100%	▲
	12 Recommendations (% good/very good)	 67%	▼
	13 Gender (% meets UN-SWAP criteria)	 67%	▼
	14 Human rights (% satisfactorily/fully integrated)	 100%	▲

Notes:

Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively. 3 of the 7 evaluation reports were sampled for the quality assessment indicators #11-14.

Color key:	Indicator #					
	#2	#4	#5	#6	#8b	#11-14
High	3	26-38	4-6	11-16	> 0.5%	67-100%
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%

Icon key: ▼ = decrease; ● = no change; ▲ = increase

International Trade Centre (ITC)

Dashboard Group: Norm-setting and development

I. Entity objective

The overall objective of ITC is to assist developing countries, especially least developed countries and countries with economies in transition, to integrate beneficially into the global economy in support of inclusive and sustainable growth and development.³⁶

Key features of evaluation in 2016-2017

- **Framework:** ITC had robust evaluation systems in place. Its function was organized into a dedicated evaluation unit within a multifunctional division, and its most senior evaluation professional was at the P-4 level. A strong evaluation policy, plan and procedures were in place.
- **Report spending, output and coverage:** Estimated expenditure on evaluation reports increased to an estimated 0.54% of total programme budget, which met the minimum financial benchmark for carrying out evaluation and indicated a higher level of organizational commitment for learning and accountability.
- **Report quality:** 33% of sampled reports (1 of 3) were rated good or very good for their overall quality, suggesting significant room for improvement for evaluation report quality.

III. Areas for strengthening evaluation

- **Report quality:** Evaluation reports can more fully meet UNEG quality standards, including greater integration of gender and human rights dimensions.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)

- Expenditure on other evaluation activities was estimated at \$523,800 and included:
 - draft revision of ITC Evaluation Guidelines;
 - design of ITC e-learning modules;
 - diffusion of evaluation findings, conclusions and recommendations to different categories of stakeholders;
 - follow-up to evaluation recommendations implementation;
 - evaluation advisory services to support managers in self-evaluations and project designers in project design;
 - two Annual Evaluation Synthesis Reports (AESRs) for 2016 and 2017;
 - Joint Inspection Unit (JIU) focal point activities, OIOS evaluation focal point activities, UNEG activities, and reporting on UN-SWAP; and,
 - contributions to corporate reporting.

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)





- The autonomy of the Independent Evaluation Unit's Head was reaffirmed in terms of managing the evaluation process, including evaluation clearance and diffusion, choice and application of methodologies, seeking and leveraging cooperation, finalization of work

³⁶ A/70/6/Sect.12, para. 12.1

programme based on broad consultations, organizational development needs, and resources available.

- Predictability of resources were enforced with a budget as a separate item in the regular budget.
- Linkages to lessons learned and knowledge management expanded with the inclusion of donor-led evaluations in learning scope of AESR; a 3-tier system expanded the scope of evaluation.

ITC Evaluation Dashboard, 2016-17

	Indicator	Status	Δ since 2014-15
 Framework	1 Type of function	Dedicated evaluation unit within a multifunctional division 3/4	●
	2 Reporting line	3/3	▲
	3 Level of senior-most evaluation professional	P-4	●
	4 Policy score	35/38	▼
	5 Procedures in use	6/6	▲
	6 Plan score	14/16	▼
 Resources	7a M&E budget	\$1,613,000	▼
	7b M&E as % of total programme budget	0.83% avg 0.90%	▼
 Report spending, output and coverage	8a Expenditure on reports	\$964,638	▲
	8b Expenditure on reports as % of total programme budget	0.5% threshold 0.54%	▲
	9 Evaluation reports	8	▲
	10 Subprogrammes referenced by reports	4/6	▼
 Report quality	11 Report quality (% good/very good)	33%	▼
	12 Recommendations (% good/very good)	67%	▼
	13 Gender (% meets UN-SWAP criteria)	33%	▼
	14 Human rights (% satisfactorily/fully integrated)	33%	▲

Notes:

Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively. 3 of 8 evaluation reports were sampled for the quality assessment indicators #11-14.

Color key:		Indicator #					
Threshold	#2	#4	#5	#6	#8b	#11-14	
High	3	26-38	4-6	11-16	> 0.5%	67-100%	
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%	
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%	

Icon key: ▼ = decrease; ● = no change; ▲ = increase

Office of Disarmament Affairs (ODA)

Dashboard Group: Peace and Security

I. Entity objective

The overall objective of ODA is general and complete disarmament under strict and effective international control.³⁷

II. Key features of evaluation in 2016-2017

- **Framework:** ODA lacked evaluation systems across most relevant indicators. It had no evaluation unit, and no professional evaluation staff. Evaluation policy and procedures were in place but weak; no planning system was in use.
- **Report spending, output and coverage:** No evaluation reports were produced during the period under review, and consequently its expenditure did not meet the minimum financial benchmark for carrying out evaluation for learning and accountability purposes.

III. Areas for strengthening evaluation

- **Framework:** The evaluation policy, plans and procedures can be significantly strengthened, including:
 - Evaluation policy discussion around the evaluation function's independence, where relevant measures to ensure the quality of evaluations (e.g. peer review; QA processes), and both gender equality and human rights dimensions.
 - Establishment of evaluation plans and procedures for self-evaluation activities.
- **Report spending, output and coverage:** Expenditure on evaluation can be increased to meet a minimum of 0.5% of programme expenditure by increasing report output and, as a result, programmatic coverage.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)



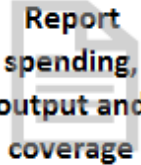

- [No information provided.]

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- [No information provided.]

³⁷ A/70/6/Sect.4, para. 4.1

ODA Evaluation Dashboard, 2016-17

	Indicator	Status	Δ since 2014-15
 Framework	1 Type of function	Minimal or no evaluation activity	0/4
	2 Reporting line		0/3
	3 Level of senior-most evaluation professional	None	
	4 Policy score	<div style="width: 100%; background-color: #ccc;"></div>	23/38
	5 Procedures in use	<div style="width: 10%; background-color: #ccc;"></div>	1/6
	6 Plan score		0/16
 Resources	7a M&E budget	\$60,400	
	7b M&E as % of total programme budget	<div style="width: 100%; background-color: #ccc; position: relative;"> 0.83% avg </div>	0.11%
 Report spending, output and coverage	8a Expenditure on reports	\$0	
	8b Expenditure on reports as % of total programme budget	<div style="width: 100%; background-color: #ccc; position: relative;"> 0.5% threshold </div>	0.00%
	9 Evaluation reports	0	
	10 Subprogrammes referenced by reports	0/5	
 Report quality	11 Report quality (% good/very good)		N/A
	12 Recommendations (% good/very good)		N/A
	13 Gender (% meets UN-SWAP criteria)		N/A
	14 Human rights (% satisfactorily/fully integrated)		N/A

Note:
Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively.

Threshold	Indicator #					
	#2	#4	#5	#6	#8b	#11-14
High	3	26-38	4-6	11-16	> 0.5%	67-100%
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%

Icon key: ▼ = decrease; ● = no change; ▲ = increase

Office of Legal Affairs (OLA)

Dashboard Group: Management and support

I. Entity objective

The overall objective OLA is to support the accomplishment of the objectives of the UN by providing advice to the principal and subsidiary organs of the UN and by promoting among Member States a better understanding of and respect for the principles and norms of international law.³⁸

II. Key features of evaluation in 2016-2017

- **Framework:** OLA has made steps to strengthen its evaluation systems across relevant Evaluation Dashboard indicators. It had no evaluation unit but some evaluation activity. There was no centralized evaluation staff reported. Strong evaluation policy and procedures were in place, although planning remained comparatively weaker.
- **Report spending, output and coverage:** Estimated expenditure on evaluation reports increased to 0.08% of total programme budget but did not meet the minimum financial benchmark for carrying out evaluation for learning and accountability purposes.
- **Report quality:** None of OLA's evaluation reports (0 of 1) were rated good or very good for overall quality, suggesting significant room for improvement for evaluation report quality.

III. Areas for strengthening evaluation

- **Framework:** Evaluation plans and procedures can be further strengthened, including:
 - Evaluation plan articulation of resources for planned evaluations, target dates for evaluations, a formal procedure for developing evaluation plans, and a procedure for submission to the head of the entity or governing body for review/approval.
 - Establishment of evaluation procedures for: developing action plans for implementing evaluation recommendations; and tracking and/or monitoring the implementation of evaluation recommendations.
- **Report spending, output and coverage:** Expenditure on evaluation can be increased to meet a minimum of 0.5% of programme expenditure by increasing report output and, as a result, programmatic coverage.
- **Report quality:** Evaluation reports can more fully meet UNEG quality standards, including greater integration of human rights dimensions. Recommendations of reports should be actionable and targeted.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)

- OLA monitoring and evaluation of its results has experienced constant development since 2017, the year that the OLA Evaluation Policy was approved. The Policy aims at ensuring that evaluation is a systemic and ongoing part of OLA's work, in addition to other management tools and applicable forms of evaluation, and that the quality of its management, work and organizational structure can be improved through regular and systematic evaluations.



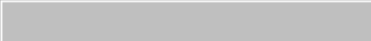

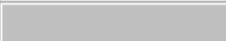


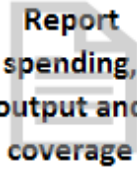

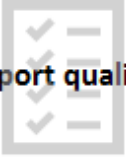

³⁸ A/70/6/Sect.8, para. 8.1

- OLA has recognized the importance and need for consistent monitoring and self-evaluation, and started to implement recent initiatives for strengthening monitoring and advancing self-evaluation, including the Policy self-evaluation strategy and an evaluation work-plan which produced its first in-house evaluation. This first evaluation focused on the training courses programmes and the Audio-visual Library of International Law of the Programme of Assistance in the Teaching, Study, Dissemination and Wider Appreciation of International Law was established by General Assembly resolution 2099 of 20 December 1965 during the 2016-2017 biennium with the objective of assessing the relevance, effectiveness and impact of these two outward looking sub-programmes. OLA has been in contact with OIOS in order to improve OLA's capacity to assess its delivery of its functions in a manner that conforms to OIOS' expectations.

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- During 2018, the Division for Ocean Affairs and Law of the Sea culminated its self-evaluation report on the assessment of the coherence and relevance of coordination and cooperation between the United Nations, its agencies and other multilateral bodies in ocean affairs and the law of the sea (UN-Oceans). The self-evaluation highlighted the potential of UN-Oceans to deliver effective assistance to support Member States, in particular developing countries, in the implementation of the international legal instruments and other relevant policy mandates, including the 2030 Agenda and the annual General Assembly resolutions on oceans and the law of the sea and sustainable fisheries.
- OIOS has finished the evaluation of OLA. As part of the recommendations, OLA will be strengthening its monitoring and self-evaluation practices, including through the anticipated establishment of a dedicated mechanism that periodically reviews performance, supported by a dedicated function that implements the OLA evaluation policy. OLA will be in contact with OIOS and other relevant offices and departments in order to develop and consolidate the evaluation culture at OLA.
- A review of OLA information management systems and workflows for core business was carried out in September and October 2018, which resulted in recommendations that address many of OLA issues in this regard. OLA management was in the process of devising a plan to implement its recommendations at the time of this evaluation.

OLA Evaluation Dashboard, 2016-17

	Indicator	Status		Δ since 2014-15
 Framework	1 Type of function	No evaluation unit but evaluation activity	1/4	●
	2 Reporting line		3/3	●
	3 Level of senior-most evaluation professional	None		●
	4 Policy score		31/38	▲
	5 Procedures in use		4/6	▲
	6 Plan score		8/16	▲
 Resources	7a M&E budget	\$561,500		▼
	7b M&E as % of total programme budget	 0.83% avg	0.70%	▼
 Report spending, output and coverage	8a Expenditure on reports	\$59,698		▲
	8b Expenditure on reports as % of total programme budget	 0.5% threshold	0.08%	▲
	9 Evaluation reports	1		▲
	10 Subprogrammes referenced by reports	1/6		▲
 Report quality	11 Report quality (% good/very good)	0%		N/A
	12 Recommendations (% good/very good)	0%		N/A
	13 Gender (% meets UN-SWAP criteria)		100%	N/A
	14 Human rights (% satisfactorily/fully integrated)	0%		N/A

Note:
Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively.

Threshold	Indicator #					
	#2	#4	#5	#6	#8b	#11-14
High	3	26-38	4-6	11-16	> 0.5%	67-100%
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%

Icon key: ▼ = decrease; ● = no change; ▲ = increase

Office for the Coordination of Humanitarian Affairs (OCHA)

Dashboard Group: Human rights and humanitarian

I. Entity objective

The overall objective of the OCHA is to ensure the timely, coherent and coordinated and principled response of the international community to disasters and emergencies and to facilitate the transition from emergency relief to rehabilitation and sustainable development.³⁹

II. Key features of evaluation in 2016-2017

- **Framework:** OCHA maintained strong evaluation systems in place across most relevant Evaluation Dashboard indicators. Its function was organized into a dedicated evaluation unit within a multifunctional section, and its most senior evaluation professional was at the P-5 level. Strong evaluation policy and procedures were in place, but the planning of its evaluation work was comparatively weaker.
- **Report spending, output and coverage:** Estimated expenditure on evaluation reports increased to 0.23% of total programme budget, but still did not meet the minimum financial benchmark for carrying out evaluation for learning and accountability purposes.
- **Report quality:** 100% of sampled reports (2 of 2) were rated good or very good for their overall quality, suggesting strong evaluation practice in place. There were however gaps in the areas of integrating human rights and gender into evaluation practice.

III. Areas for strengthening evaluation

- **Framework:** Evaluation plans can be further strengthened, including articulation of procedures for submission to the head of the entity or governing body for review/approval.
- **Report spending, output and coverage:** Expenditure on evaluation can be increased to meet a minimum of 0.5% of programme expenditure.
- **Report quality:** While overall of good quality, evaluation reports can achieve greater integration of gender and human rights dimensions.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)

- Expenditure on other evaluation activities was estimated at \$736,000 and included:
 - Provision of leadership and strategic direction to system-wide humanitarian evaluations by chairing the Inter-Agency Humanitarian Evaluations Steering Group. OCHA also acted as secretariat of the group, organizing their meetings, preparing background papers etc.
 - Publication of Synthesis of key findings from Inter-Agency Humanitarian Evaluations (July 2016).
 - Maintaining a strategic partnership with UNEG.
 - Tracking of and follow-up on the implementation of recommendations from evaluations, audits and other reviews, in an online database.
 - Coordination with other entities conducting evaluations or other reviews of OCHA's work, including OIOS and JIU, and providing inputs and responses.



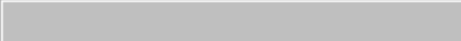

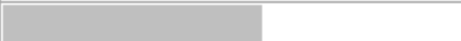





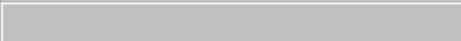


³⁹ A/70/6/Sect.27, para. 27.1

- OCHA is in the process of establishing new 'systems contracts' (long-term agreements) with evaluation companies, to ensure the quick recruitment of evaluation teams for new evaluations and high-quality reports.

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- OCHA is increasing the number of evaluations it conducts. In 2018 the Evaluation of Duty of Care was published, and two evaluations, an evaluation of Country-Based Pooled Funds and an Inter-Agency Humanitarian Evaluation (IAHE) of the Drought Response in Ethiopia, were launched. Preparations for another IAHE, on Gender Equality and the Empowerment of Women and Girls, are underway.
- Following an independent review of IAHEs, the mechanism has been strengthened, with new guidelines, a rolling 4-year workplan, and greater engagement with the Inter-Agency Standing Committee and other stakeholders.

OCHA Evaluation Dashboard, 2016-17

	Indicator	Status	Δ since 2014-15
 Framework	1 Type of function	Dedicated evaluation unit within a multifunctional division 3/4	●
	2 Reporting line	 1/3	●
	3 Level of senior-most evaluation professional	P-5	●
	4 Policy score	 38/38	●
	5 Procedures in use	 6/6	▲
	6 Plan score	 9/16	▲
 Resources	7a M&E budget	\$5,160,700	▲
	7b M&E as % of total programme budget	 0.83% avg 0.69%	▲
 Report spending, output and coverage	8a Expenditure on reports	\$1,763,475	▲
	8b Expenditure on reports as % of total programme budget	 0.5% threshold 0.23%	▲
	9 Evaluation reports	3	▼
	10 Subprogrammes referenced by reports	4/5	N/A
 Report quality	11 Report quality (% good/very good)	 100%	▲
	12 Recommendations (% good/very good)	 100%	●
	13 Gender (% meets UN-SWAP criteria)	0%	▼
	14 Human rights (% satisfactorily/fully integrated)	 50%	●

Notes:

Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively. 2 of the 3 evaluation reports were sampled for the quality assessment indicators #11-14.

Color key:	Indicator #					
	#2	#4	#5	#6	#8b	#11-14
High	3	26-38	4-6	11-16	> 0.5%	67-100%
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%

Icon key: ▼ = decrease; ● = no change; ▲ = increase

Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States (OHRLLS)

Dashboard Group: Norm-setting and development

I. Entity objective

The overall objectives of OHRLLS are: (a) mobilization and coordination of international support and resources for the effective implementation of the Istanbul Programme of Action for the Least Developed Countries for the Decade 2011-2020, the Vienna Programme of Action for the Landlocked Developing Countries for the Decade 2014-2024, and Samoa Pathway; (b) enhanced monitoring and follow-up to the three programmes of action; (c) awareness-raising and advocacy with respect to the three groups of countries (least developed countries, landlocked developing countries and small island developing States) and their respective programmes of action; and (d) reporting on the implementation of the programmes of action as effective tools for reaching the international development goals of the three groups of countries.⁴⁰

II. Key features of evaluation in 2016-2017

- **Framework:** OHRLLS had evaluation systems in place but demonstrated room for improvement in several areas. Its function had no evaluation unit, and no centralized evaluation staff were reported. Strong evaluation procedures were in use, but its policy and planning remained weak.
- **Report spending, output and coverage:** No evaluation reports were produced during the period under review, and consequently its expenditure did not meet the minimum financial benchmark for carrying out evaluation for learning and accountability purposes.

III. Areas for strengthening evaluation

- **Framework:** The evaluation policy and plans and procedures can be further strengthened, including:
 - Evaluation policy discussion around the programme's definition of evaluation, reporting lines, measures to ensure the quality of evaluations (e.g. peer review; QA processes), follow-up of evaluation results, report disclosure parameters, and both gender equality and human rights dimensions.
 - Evaluation plan articulation of who will conduct the evaluations, who is responsible for the evaluations, resources for the evaluations, a formal procedure for developing evaluation plans, and a procedure for submission to the head of the entity or governing body for review/approval.
- **Report spending, output and coverage:** Expenditure on evaluation can be increased to meet a minimum of 0.5% of programme expenditure by increasing report output and, as a result, programmatic coverage.

⁴⁰ A/70/6/Sect.10, para. 10.2





IV. Other evaluation activities undertaken during 2016-2017 (self-reported)

- Expenditure on other evaluation activities was estimated at \$60,450 and included self-evaluation exercises after major activities of the office, as well as focused discussions on lessons learned among staff members and with the senior management.

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- OHRLLS systematically asks for feedback of participants at meetings organized by the office and have internal feedback sessions after any major deliverable by our office. Conclusions for enhancement are reflected in staff meeting notes.
- OHRLLS has recently established a document management system including a section on evaluation to store lessons learned, meeting notes and other evaluation related documents.

OHRLLS Evaluation Dashboard, 2016-17

	Indicator	Status		Δ since 2014-15
 Framework	1 Type of function	No evaluation unit but evaluation activity	1/4	●
	2 Reporting line		3/3	▲
	3 Level of senior-most evaluation professional	None		
	4 Policy score		16/38	▼
	5 Procedures in use		5/6	▲
	6 Plan score		4/16	▲
 Resources	7a M&E budget	\$280,500		●
	7b M&E as % of total programme budget	0.83% avg	1.99%	▲
 Report spending, output and coverage	8a Expenditure on reports	\$0		●
	8b Expenditure on reports as % of total programme budget	0.5% threshold	0.00%	●
	9 Evaluation reports	0		●
	10 Subprogrammes referenced by reports	0/3		●
 Report quality	11 Report quality (% good/very good)		N/A	N/A
	12 Recommendations (% good/very good)		N/A	N/A
	13 Gender (% meets UN-SWAP criteria)		N/A	N/A
	14 Human rights (% satisfactorily/fully integrated)		N/A	N/A

Notes:

Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively.

Color key:		Indicator #					
Threshold	#2	#4	#5	#6	#8b	#11-14	
High	3	26-38	4-6	11-16	> 0.5%	67-100%	
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%	
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%	

Icon key: ▼ = decrease; ● = no change; ▲ = increase

Office of the Special Adviser on Africa (OSAA)

Dashboard Group: Norm-setting and development

I. Entity objective

The overall objective of OSAA is to coordinate reports and advocacy in support of the New Partnership for Africa's Development (NEPAD).⁴¹

II. Key features of evaluation in 2016-2017

- **Framework:** OSAA had evaluation systems in place but demonstrated room for improvement in several areas. Its function had no evaluation unit, but some evaluation activity was reported. No centralized evaluation staff were reported. Strong evaluation policy and procedures were in place, but planning was not in use.
- **Report spending, output and coverage:** Estimated expenditure on evaluation reports remained at 0.27% of total programme budget, and still did not meet the minimum financial benchmark for carrying out evaluation for learning and accountability purposes.
- **Report quality:** The one evaluation report produced during the biennium was not able to be reviewed by OIOS as part of the quality assessment exercise due to its late submission.

III. Areas for strengthening evaluation

- **Framework:** The evaluation policy and plans can be further strengthened, including:
 - Evaluation policy discussion around the participatory nature of the evaluation process.
 - Evaluation plan establishment.
- **Report spending, output and coverage:** Expenditure on evaluation can be increased to meet a minimum of 0.5% of programme expenditure by increasing report output and, as a result, programmatic coverage.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)


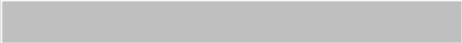
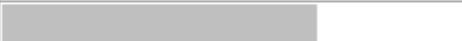






- OSAA adopted the Policy Statement on Self-Evaluation in January 2016.

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- OSAA, through an independent consultant, conducted a strategic institutional assessment in July 2018.

⁴¹ A/70/6/Sect.11, para. 11.1

OSAA Evaluation Dashboard, 2016-17

	Indicator	Status	Δ since 2014-15
 Framework	1 Type of function	No evaluation unit but evaluation activity 1/4	●
	2 Reporting line	 3/3	●
	3 Level of senior-most evaluation professional	None	●
	4 Policy score	 26/38	▲
	5 Procedures in use	 5/6	▲
	6 Plan score	0/16	●
 Resources	7a M&E budget	\$215,400	▲
	7b M&E as % of total programme budget	 0.83% avg 1.28%	▲
 Report spending, output and coverage	8a Expenditure on reports	\$44,650	▲
	8b Expenditure on reports as % of total programme budget	 0.5% threshold 0.27%	▲
	9 Evaluation reports	1	●
	10 Subprogrammes referenced by reports	1/3	●
 Report quality	11 Report quality (% good/very good)	Not assessed	N/A
	12 Recommendations (% good/very good)		N/A
	13 Gender (% meets UN-SWAP criteria)		N/A
	14 Human rights (% satisfactorily/fully integrated)		N/A

Notes:

Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively. OSAA submitted its one evaluation report after the requested deadline, and OIOS was therefore unable to include the report in the QA exercise. For this reason, indicators #11-14 were not assessed.

Color key:	Indicator #					
	#2	#4	#5	#6	#8b	#11-14
Threshold						
High	3	26-38	4-6	11-16	> 0.5%	67-100%
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%

Icon key: ▼ = decrease; ● = no change; ▲ = increase

Office of the United Nations High Commissioner for Human Rights (OHCHR)

Dashboard Group: Human rights and humanitarian

I. Entity objective

The overall objective of OHCHR is to promote and protect the effective enjoyment by all of all human rights.⁴²

II. Key features of evaluation in 2016-2017

- **Framework:** OHCHR had robust evaluation systems in place across all relevant Evaluation Dashboard indicators. Its function was organized into a dedicated evaluation unit within a multifunctional division, and its most senior evaluation professional was at the P-5 level. A strong evaluation policy, plan and procedures were in place.
- **Report spending, output and coverage:** Estimated expenditure on evaluation reports decreased to 0.18% of total programme budget, and continued to fall short of the minimum financial benchmark for carrying out evaluation for learning and accountability purposes.
- **Report quality:** 50% of sampled reports (2 of 4) were rated good or very good for their overall quality, showing further room for improvement for evaluation report quality.

III. Areas for strengthening evaluation

- **Framework:** The evaluation policy and plans can be further strengthened, including:
 - Evaluation policy discussion around required evaluator competencies, and report dissemination parameters.
 - Evaluation plan articulation of resources for the evaluations, and target dates for the evaluations.
- **Report spending, output and coverage:** Expenditure on evaluation can be increased to meet a minimum of 0.5% of programme expenditure.
- **Report quality:** Evaluation reports can more fully meet UNEG quality standards, including greater integration of gender. Recommendations of reports should be actionable and targeted.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)





- Internal reviews of field presences.
- Support to evaluations conducted by OIOS and Multilateral Organization Performance Assessment Network.
- Development of guidance on the preparation of evaluation reports and the follow-up to evaluations.
- Evaluation management responses and follow-up action plans prepared and monitored.
- Meta-analysis of the evaluations conducted the previous programming cycle to provide inputs for the Management Plan 2018-2021.
- Co-convening the UNEG working group on integration of gender equality and human rights in evaluations.

⁴² A/70/6/Sect.24, para. 24.1

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- A guidance document on the preparation of evaluation reports (including the integration of gender and human rights), and another document on the dissemination and follow-up to evaluation recommendations were developed.
- The action plans for the implementation of the recommendations of evaluations conducted have been submitted to the Programme and Budget Review Board and their status monitored periodically.
- A meta-analysis of the results of the evaluations and audits conducted during the programming cycle 2014-2017 was undertaken in order to provide inputs for the formulation of the Office's Management Plan 2018-2021. The evaluation conclusions, good practices, lessons learned and recommendations were categorized and analysed by thematic area and geographical scope, and used during the thematic consultations, the preparation of the pillar strategies and the formulation of the country programs for the new cycle.

OHCHR Evaluation Dashboard, 2016-17

	Indicator	Status	Δ since 2014-15
 Framework	1 Type of function	Dedicated evaluation unit within a multifunctional division 3/4	●
	2 Reporting line	3/3	●
	3 Level of senior-most evaluation professional	P-5	●
	4 Policy score	30/38	▼
	5 Procedures in use	6/6	▲
	6 Plan score	10/16	▼
 Resources	7a M&E budget	\$1,464,000	▼
	7b M&E as % of total programme budget	0.83% avg 0.31%	▼
 Report spending, output and coverage	8a Expenditure on reports	\$855,600	▼
	8b Expenditure on reports as % of total programme budget	0.5% threshold 0.18%	▼
	9 Evaluation reports	5	▼
	10 Subprogrammes referenced by reports	3/4	●
 Report quality	11 Report quality (% good/very good)	50%	▲
	12 Recommendations (% good/very good)	50%	▼
	13 Gender (% meets UN-SWAP criteria)	25%	▼
	14 Human rights (% satisfactorily/fully integrated)	75%	▼

Notes:

Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively. 4 of 5 evaluation reports were sampled for the quality assessment indicators #11-14.

Color key:	Indicator #					
	#2	#4	#5	#6	#8b	#11-14
Threshold						
High	3	26-38	4-6	11-16	> 0.5%	67-100%
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%

Icon key: ▼ = decrease; ● = no change; ▲ = increase

Office of the United Nations High Commissioner for Refugees (UNHCR)

Dashboard Group: Human rights and humanitarian

I. Entity objective

The overall objective of the programme is to ensure international protection to refugees and others of concern to UNHCR and to seek permanent solutions to their problems in cooperation with States and other organizations, including through the provision of humanitarian assistance.⁴³

II. Key features of evaluation in 2016-2017

- **Framework:** UNHCR had evaluation systems in place but demonstrated room for improvement in several areas. Its function was organized into a stand-alone evaluation unit, and its most senior evaluation professional was at the D-1 level. A strong evaluation policy was in place, but both procedures and planning remained comparatively weaker.
- **Report spending, output and coverage:** Estimated expenditure on evaluation reports remained at 0.01% of total programme budget, and consequently did not meet the minimum financial benchmark for carrying out evaluation for learning and accountability purposes.
- **Report quality:** 75% of sampled reports (3 of 4) were rated good or very good for their overall quality, suggesting strong evaluation practice in place. There were however gaps in the areas of human rights as with most entities in scope.

III. Areas for strengthening evaluation

- **Framework:** The evaluation plans and procedures can be further strengthened, including:
 - Evaluation plan articulation of the purpose of evaluations, resources for the evaluations, a formal procedure for developing evaluation plans, and procedure for submission to the head of the entity or governing body for review/approval.
 - Establishment of evaluation procedures for: developing an evaluation workplan; developing action plans for implementing evaluation recommendations; and tracking and/or monitoring the implementation of evaluation recommendations.
- **Report spending, output and coverage:** Expenditure on evaluation can be increased to meet a minimum of 0.5% of programme expenditure.
- **Report quality:** While of overall high quality, evaluation reports can achieve a greater integration of human rights dimensions.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)

- Expenditure on other evaluation activities was estimated at \$974,432 and included:
 - evaluation Quality Assurance Guidelines;
 - Interagency Humanitarian Evaluations;
 - designing, commissioning and managing evaluations completed in 2018;
 - evaluative reviews and evaluability assessments;
 - technical support to determine if an evaluation should be conducted; and,





⁴³ A/70/6/Sect.25

- outreach to academia and researchers.

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- Improved procedures and processes were put in place for developing terms of reference, selecting topics, and dissemination of evaluations.
- Frame agreements were signed with evaluation service providers to increase efficiency and quality of evaluations.
- Quality assurance was significantly improved with additional evaluation expertise on the team.
- Evaluation coverage and utility were significantly strengthened.

UNHCR Evaluation Dashboard, 2016-17

	Indicator	Status		Δ since 2014-15
 Framework	1 Type of function	Stand-alone evaluation unit	4/4	●
	2 Reporting line		3/3	●
	3 Level of senior-most evaluation professional	D-1		●
	4 Policy score		34/38	▲
	5 Procedures in use		3/6	●
	6 Plan score		8/16	▼
 Resources	7a M&E budget	\$4,484,713		▲
	7b M&E as % of total programme budget	0.83% avg	0.03%	▲
 Report spending, output and coverage	8a Expenditure on reports	\$2,610,628		▲
	8b Expenditure on reports as % of total programme budget	0.5% threshold	0.01%	●
	9 Evaluation reports	10		●
	10 Subprogrammes referenced by reports	N/A		N/A
 Report quality	11 Report quality (% good/very good)		75%	▼
	12 Recommendations (% good/very good)		75%	▼
	13 Gender (% meets UN-SWAP criteria)		75%	▼
	14 Human rights (% satisfactorily/fully integrated)		25%	▼

Notes:

Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively. 4 of 10 evaluation reports were sampled for the quality assessment indicators #11-14.

Threshold	Indicator #					
	#2	#4	#5	#6	#8b	#11-14
High	3	26-38	4-6	11-16	> 0.5%	67-100%
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%

Icon key: ▼ = decrease; ● = no change; ▲ = increase

United Nations Conference on Trade and Development (UNCTAD)

Dashboard Group: Norm-setting and development

I. Entity objective

The overall objective of UNCTAD is to assist developing countries, especially the least developed countries, and countries with economies in transition, in integrating beneficially into the global economy in support of inclusive and sustainable growth and development.⁴⁴

II. Key features of evaluation in 2016-2017

- **Framework:** UNCTAD had robust evaluation systems in place across all relevant Evaluation Dashboard indicators. Its function was organized into a stand-alone evaluation unit, and its most senior evaluation professional was at the P-4 level. Strong evaluation policy, procedures and planning were in place.
- **Report spending, output and coverage:** Estimated expenditure on evaluation reports decreased to 0.35% of total programme budget and stayed below the minimum financial benchmark for carrying out evaluation for learning and accountability purposes.
- **Report quality:** 100% of sampled reports (2 of 2) were rated good or very good for their overall quality, suggesting strong evaluation practice in place. There were however gaps in the areas of integrating human rights standards into evaluation practice.

III. Areas for strengthening evaluation

- **Report spending, output and coverage:** Expenditure on evaluation can be increased to meet a minimum of 0.5% of programme expenditure.
- **Report quality:** Evaluation reports can more fully meet UNEG quality standards, including greater integration of gender and human rights dimensions. Recommendations of reports should be actionable and targeted.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)

- Expenditure on other evaluation activities was estimated at \$222,700 and included:
 - national evaluation capacity-building training in Tanzania;
 - High-Level Political Forum side-event on evaluation organized by UNCTAD;
 - evaluation capacity-building integrated into reinvigorated results-based management training for UNCTAD staff;
 - assessment of the extent of evaluation integration in High-Level Political Forum voluntary national reviews conducted jointly with the United Nations Development Programme, International Institute for Environment and Development, EVALSDGs; and,
 - consultations with member States, including on work plan.













V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- Implementation of a new system for evaluation recommendations follow-up.
- Inclusion of human rights as evaluation criteria in all terms of reference.
- Clearance of the evaluation plans in all project documents through an automated system.

⁴⁴ A/70/6/Sect.12, para. 12.1

- Development of a standardized evaluation template and development of inception report guidelines; and development of self-evaluation guidelines.
- Preparation of evaluation briefs for our project evaluations.
- Revision of evaluation policy.

UNCTAD Evaluation Dashboard, 2016-17

	Indicator	Status		Δ since 2014-15	
 Framework	1 Type of function	Stand-alone evaluation unit	4/4	●	
	2 Reporting line		3/3	●	
	3 Level of senior-most evaluation professional	P-4		●	
	4 Policy score		32/38	▼	
	5 Procedures in use		6/6	▲	
	6 Plan score		16/16	▲	
 Resources	7a M&E budget	\$1,655,800		▼	
	7b M&E as % of total programme budget	 0.83% avg	0.75%	▼	
 Report spending, output and coverage	8a Expenditure on reports	\$795,997		▼	
	8b Expenditure on reports as % of total programme budget	 0.5% threshold	0.35%	▼	
	9 Evaluation reports	6		▼	
	10 Subprogrammes referenced by reports	3/5		▼	
 Report quality	11 Report quality (% good/very good)		100%	▲	
	12 Recommendations (% good/very good)		50%	▲	
	13 Gender (% meets UN-SWAP criteria)			0%	▼
	14 Human rights (% satisfactorily/fully integrated)			0%	●

Notes:

Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively. 2 of 6 evaluation reports were sampled for the quality assessment indicators #11-14.

Color key:		Indicator #					
Threshold	#2	#4	#5	#6	#8b	#11-14	
High	3	26-38	4-6	11-16	> 0.5%	67-100%	
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%	
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%	

Icon key: ▼ = decrease; ● = no change; ▲ = increase

United Nations Entity for Gender Equality and the Empowerment of Women (UN Women)

Dashboard Group: Norm-setting and development⁴⁵

I. Entity objective

The overall objective of UN Women is to achieve the elimination of discrimination against women and girls, the empowerment and advancement of women and the realization of equality between women and men as partners and beneficiaries of development, human rights, humanitarian action and peace and security.⁴⁶

II. Key features of evaluation in 2016-2017

- **Framework:** UN Women had robust evaluation systems in place across all relevant Evaluation Dashboard indicators. Its function was organized into a stand-alone evaluation unit⁴⁷ and its most senior evaluation professional was at the D-1 level. Strong evaluation policy, procedures and planning were in place.
- **Report spending, output and coverage:** Estimated expenditure on evaluation reports increased to 0.85% of total programme budget, which exceeded the minimum financial benchmark for carrying out evaluation and indicated a higher level of organizational commitment to learning and accountability.
- **Report quality:** 67% of sampled reports (8 of 12) were rated good or very good for their overall quality, suggesting very strong evaluation practice in place across relevant UN standards for evaluation report quality, including the inclusion of human rights dimensions.

III. Areas for strengthening evaluation

- **Report quality:** While evaluation reports demonstrated overall good quality in meeting UNEG standards, recommendations can be more actionable and targeted.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)

- Expenditure on other evaluation activities was estimated at \$5,555,320 and included:
 - UN coordination on gender responsive evaluation promoted;
 - National Evaluation Capacities for gender responsive M&E systems strengthened;
 - new evaluation approaches and methods developed;
 - facilitation of the use of evaluation; and,
 - evaluations in preparation phase.

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- In late 2017, the Executive Board approved the decision for UN Women to setup its in-house internal audit function and combined this with the independent evaluation function

⁴⁵ UN Women also engages in areas that fall under other Dashboard thematic groupings, including peace and security, human rights and humanitarian affairs.





⁴⁶ A/70/6/Sect.17, para. 17.1

⁴⁷ UN Women restructured to a dedicated evaluation unit within a multi-functional division as of January 2018 after its Executive Board approved its co-location with audit services in August 2017 (see [UNW/2018/4](#)).

into one oversight office. The Independent Evaluation and Audit Services took effect in January 2018. The Executive Board also approved the funding of this office from the institutional budget of UN Women.

- The Director post was upgraded to D-2 level for the newly constituted oversight office, which evidences continued commitment to the importance of the evaluation function.
- In early 2019, the terms of reference of the Advisory Committee on Oversight, which comprises individuals independent to UN Women, were updated and now include a stronger emphasis on evaluation.
- A new charter was developed that outlines the mandate, scope of work and roles and responsibilities of the new office to provide an oversight service umbrella and for the independent evaluation and internal audit.

UN Women Evaluation Dashboard, 2016-17

	Indicator	Status		Δ since 2014-15
 Framework	1 Type of function	Stand-alone evaluation unit	4/4	●
	2 Reporting line		3/3	●
	3 Level of senior-most evaluation professional	D-1		●
	4 Policy score		38/38	●
	5 Procedures in use		6/6	●
	6 Plan score		14/16	▼
 Resources	7a M&E budget	\$14,106,079		▲
	7b M&E as % of total programme budget	0.83% avg	1.58%	▲
 Report spending, output and coverage	8a Expenditure on reports	\$7,598,220		▲
	8b Expenditure on reports as % of total programme budget	0.5% threshold	0.85%	▲
	9 Evaluation reports	75		▲
	10 Subprogrammes referenced by reports	2/2		●
 Report quality	11 Report quality (% good/very good)		67%	▼
	12 Recommendations (% good/very good)		50%	▼
	13 Gender (% meets UN-SWAP criteria)		92%	▼
	14 Human rights (% satisfactorily/fully integrated)		83%	▲

Notes:

Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively. 12 of 75 evaluation reports were sampled for the quality assessment indicators #11-14. The sample did not encompass corporate evaluations.

Threshold	Indicator #					
	#2	#4	#5	#6	#8b	#11-14
High	3	26-38	4-6	11-16	> 0.5%	67-100%
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%

Icon key: ▼ = decrease; ● = no change; ▲ = increase

United Nations Environment Programme (UNEP)

Dashboard Group: Norm-setting and development

I. Entity objective

The overall objectives of UNEP are to promote the coherent implementation of the environmental dimension of sustainable development based on the recognition that poverty eradication, changing unsustainable patterns of consumption and production and promoting sustainable patterns of consumption and production, and protecting and managing the natural resource base of economic and social development are the overarching objectives and essential requirements of sustainable development, as well as on the protection and sustainable use of ecosystem services, coherent and improved environmental governance and the reduction of environmental risks.⁴⁸

II. Key features of evaluation in 2016-2017

- **Framework:** UNEP had robust evaluation systems in place across all relevant Evaluation Dashboard indicators. Its function was organized into a stand-alone evaluation unit, and its most senior evaluation professional was at D-1 level. A strong evaluation policy, plan, and procedures were in place.
- **Report spending, output and coverage:** Estimated expenditure on evaluation reports increased to 0.63% of total programme budget, which exceeded the minimum financial benchmark for carrying out evaluation and indicated a higher level of organizational commitment for learning and accountability.
- **Report quality:** 67% of sampled reports (8 of 12) were rated good or very good for their overall quality, suggesting strong evaluation practice in place. There were however gaps in the areas of integrating gender and human rights standards into evaluation practice.

III. Areas for strengthening evaluation

- **Report quality:** While evaluation reports demonstrated overall good quality in meeting UNEG standards, reports can achieve greater integration of gender and human rights dimensions.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)

- Expenditure on other evaluation activities was estimated at \$114,856 and included: contribution to UNEG working groups (Peer Review, Gender, UN-SWAP); development of framework of lessons and recommendations; and support to institutional learning.
- The Evaluation Director Chaired the UNEG Professional Peer Review of the UNICEF evaluation function.
- The Evaluation Office revised and updated its evaluation guidance and templates integrating the use of Theory of Change approaches across standard evaluation criteria.





V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- Re-worked terms of reference for project evaluations and production of detailed guidance for evaluators, evaluation managers and project managers.

⁴⁸ A/70/6/Sect.14, para. 14.3

- The Evaluation Office prepared a matrix of evaluation criteria and performance ratings defining the conditions and supporting evidence required. This improves the consistency of evaluative judgments made across evaluated initiatives and among evaluation experts and staff.

UNEP Evaluation Dashboard, 2016-17

	Indicator	Status	Δ since 2014-15
 Framework	1 Type of function	Stand-alone evaluation unit 4/4	●
	2 Reporting line	3/3	●
	3 Level of senior-most evaluation professional	D-1	●
	4 Policy score	38/38	●
	5 Procedures in use	6/6	●
	6 Plan score	15/16	▼
 Resources	7a M&E budget	\$2,574,400	▼
	7b M&E as % of total programme budget	0.83% avg 0.38%	▼
 Report spending, output and coverage	8a Expenditure on reports	\$4,271,578	▲
	8b Expenditure on reports as % of total programme budget	0.5% threshold 0.63%	▲
	9 Evaluation reports	75	▲
	10 Subprogrammes referenced by reports	6/7	▼
 Report quality	11 Report quality (% good/very good)	67%	▲
	12 Recommendations (% good/very good)	75%	▲
	13 Gender (% meets UN-SWAP criteria)	8%	▼
	14 Human rights (% satisfactorily/fully integrated)	8%	▼

Notes:

Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively. 12 of 75 evaluation reports were sampled for the quality assessment indicators #11-14.

Color key:	Indicator #					
	#2	#4	#5	#6	#8b	#11-14
High	3	26-38	4-6	11-16	> 0.5%	67-100%
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%

Icon key: ▼ = decrease; ● = no change; ▲ = increase

United Nations Human Settlements Programme (UN-Habitat)

Dashboard Group: Norm-setting and development

I. Entity objective:

The overall objective of UN-Habitat is to achieve adequate shelter for all and sustainable human settlements development in an urbanizing world.⁴⁹

II. Key features of evaluation in 2016-2017

- **Framework:** UN-Habitat had robust evaluation systems in place across all relevant Evaluation Dashboard indicators. Its function was organized into a stand-alone evaluation unit, and its most senior evaluation professional was at the P-5 level. A strong evaluation policy, plan and procedures were in place.
- **Report spending, output and coverage:** Estimated expenditure on evaluation reports increased to 0.32% of total programme budget, but still did not meet the minimum financial benchmark for carrying out evaluation for learning and accountability purposes.
- **Report quality:** 50% of sampled reports (2 of 4) were rated good or very good for their overall quality, showing some further room for improvement for evaluation report quality.

III. Areas for strengthening evaluation

- **Report spending, output and coverage:** Expenditure on evaluation can be increased to meet a minimum of 0.5% of programme expenditure.
- **Report quality:** Evaluation reports can more fully meet UNEG quality standards, including greater integration of gender and human rights dimensions.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)

- Expenditure on other evaluation activities included mainly capacity building of the evaluation staff through attending professional workshops and training.
- Supporting the external assessment of UN-Habitat by the Multilateral Organisation Performance Assessment Network, which started in February 2016 and concluded in early 2017 with issuance of assessment report followed by management response.⁵⁰
- Involvement in UNEG activities including conducting a UN-SWAP Peer Learning Exchange between the International Organization for Migration and UN-Habitat, which reviewed a sample of three evaluation reports regarding integration of gender equality and empowerment of women in the evaluation approach and evaluation findings.
- The Evaluation Unit created and disseminated evaluative knowledge. Sharing lessons from evaluations increased engagement with the UN-Habitat Management to allow discussions on evaluation findings, recommendations and lessons learned from evaluations for application to new programme designs. Evaluation videos and briefs were initiated to communicate evaluative knowledge to a range of audiences.
- To increase evaluation coverage, UN-Habitat introduced an innovative instrument with cluster evaluations, which evaluate clusters of projects/programmes within the same

⁴⁹ A/70/6/Sect.15, para. 15.1

⁵⁰ <https://unhabitat.org/books/mopan-institutional-assessment-of-un-habitat/>





sector of similar objectives. For instance, the Evaluation of the Sida/UN-Habitat agreement in 2016 included 19 programmes/projects; an evaluation of the Achieving Sustainable Urban Development programme in 2017 implemented in 5 countries included over 15 projects; and the evaluation of Afghanistan country programme in 2017.

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- The UN-Habitat Evaluation Manual was approved and endorsed by the Executive Director in April 2018.⁵¹ It replaces the Monitoring and Evaluation Guide published in 2003. The manual draws on a variety of evaluation sources from other UN agencies and other donor communities and targets widely staff in UN-Habitat, evaluation consultants, and others on how to plan, conduct and manage credible and useful evaluation in accordance with norms and standards for evaluation in the UN system. The manual reinforces and enhances processes for preparing evaluation plans, conduct of self-evaluation, centralized and decentralized evaluations, including quality assessment of reports.
- Great emphasis is placed in helping to improve self-evaluation processes for the evaluations that are initiated by those that plan and implement the programmes/projects being evaluated. Emphasis is also placed on quality at the design stage of programme to ensure that programmes and projects have appropriate results-frameworks when they are formulated.

⁵¹ <https://unhabitat.org/wp-content/uploads/2018/07/UN-Habitat-Evaluation-Manual-April-2018.pdf>

UN-Habitat Evaluation Dashboard, 2016-17

	Indicator	Status	Δ since 2014-15
 Framework	1 Type of function	Stand-alone evaluation unit 4/4	●
	2 Reporting line	3/3	●
	3 Level of senior-most evaluation professional	P-5	●
	4 Policy score	38/38	●
	5 Procedures in use	6/6	▲
	6 Plan score	12/16	▼
 Resources	7a M&E budget	\$3,172,900	▲
	7b M&E as % of total programme budget	0.83% avg 0.66%	▼
 Report spending, output and coverage	8a Expenditure on reports	\$1,566,145	▲
	8b Expenditure on reports as % of total programme budget	0.5% threshold 0.32%	▲
	9 Evaluation reports	10	▲
	10 Subprogrammes referenced by reports	7/7	●
 Report quality	11 Report quality (% good/very good)	50%	▼
	12 Recommendations (% good/very good)	75%	▲
	13 Gender (% meets UN-SWAP criteria)	25%	▼
	14 Human rights (% satisfactorily/fully integrated)	25%	▼

Notes:

Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively. 4 of 10 evaluation reports were sampled for the quality assessment indicators #11-14.

Color key:	Indicator #					
	#2	#4	#5	#6	#8b	#11-14
High	3	26-38	4-6	11-16	> 0.5%	67-100%
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%

Icon key: ▼ = decrease; ● = no change; ▲ = increase

United Nations Office at Geneva (UNOG)

Dashboard Group: Management and support

I. Entity objective

The overall objectives of UNOG are to provide administrative and other support services to Secretariat departments and offices and to entities of the UN common system located in Geneva; and to the UN funds and programmes, specialized agencies and other organizations of the UN common system on a reimbursable basis. A number of Geneva-based operations rely on the aforementioned services, in particular in the context of expanding humanitarian and human rights activities.⁵²

II. Key features of evaluation in 2016-2017

- **Framework:** UNOG lacked evaluation systems across most relevant Evaluation Dashboard indicators. It had no evaluation unit, and no professional evaluation staff. Evaluation policy and planning were not in use; some procedures were in use but were weak.
- **Report spending, output and coverage:** No evaluation reports were produced during the period under review, and consequently its expenditure did not meet the minimum financial benchmark for carrying out evaluation for learning and accountability purposes.

III. Areas for strengthening evaluation

- **Framework:** The evaluation framework can be significantly strengthened, including through the establishment of a policy and plan.
- **Report spending, output and coverage:** Expenditure on evaluation can be increased to meet a minimum of 0.5% of programme expenditure by increasing report output and, as a result, programmatic coverage.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)









- Programme Performance Monitoring and Reporting;
- Client Satisfaction Survey;
- Quarterly monitoring of key operating indicators covering workload volume statistics and performance data across all areas of administration;
- Human Resources Scorecard monitoring of strategic indicators;
- UN-SWAP inputs;
- Monitoring of human resources strategic and operational indicators for the UNOG Director-General Compact with the Secretary-General, UNOG Gender Steering Group, etc.;
- Utilization of flexible working arrangements; and
- Compliance assessments requested by the Office of Information Communications Technology at the regional level.

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- Greater emphasis was placed on discretionary self-evaluation through a quarterly report showing key operational indicators across all areas of administration. This quarterly report aims at monitoring service workload volume and in some areas speed of service delivery.

⁵² A/70/6/Sect.29F, para. 29F.3

UNOG Evaluation Dashboard, 2016-17

	Indicator	Status	Δ since 2014-15
 Framework	1 Type of function	No evaluation unit but evaluation activity 1/4	●
	2 Reporting line	 1/3	●
	3 Level of senior-most evaluation professional	None	●
	4 Policy score	0/38	●
	5 Procedures in use	 3/6	●
	6 Plan score	0/16	●
 Resources	7a M&E budget	\$933,300	▲
	7b M&E as % of total programme budget	 0.83% avg 0.45%	▲
 Report spending, output and coverage	8a Expenditure on reports	\$0	●
	8b Expenditure on reports as % of total programme budget	 0.5% threshold 0.00%	●
	9 Evaluation reports	0	●
	10 Subprogrammes referenced by reports	0/5	●
 Report quality	11 Report quality (% good/very good)	N/A	N/A
	12 Recommendations (% good/very good)	N/A	N/A
	13 Gender (% meets UN-SWAP criteria)	N/A	N/A
	14 Human rights (% satisfactorily/fully integrated)	N/A	N/A

Notes:

Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively.

Color key:	Indicator #					
Threshold	#2	#4	#5	#6	#8b	#11-14
High	3	26-38	4-6	11-16	> 0.5%	67-100%
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%

Icon key: ▼ = decrease; ● = no change; ▲ = increase

United Nations Office at Nairobi (UNON)

Dashboard Group: Management and support

I. Entity objective

The overall objectives of UNON are to provide UNEP and UN-Habitat with a full range of administrative and other support services; under various agreements with offices of other organizations of the UN system located in Nairobi to administer common support services for those offices and manage the UN facilities in Nairobi.⁵³

II. Key features of evaluation in 2016-2017

- **Framework:** UNON lacked evaluation systems across all relevant Evaluation Dashboard indicators. It had no evaluation unit, and no professional evaluation staff. No evaluation policy, procedures and planning were in use.
- **Report spending, output and coverage:** No evaluation reports were produced during the period under review, and consequently its expenditure did not meet the minimum financial benchmark for carrying out evaluation for learning and accountability purposes.

III. Areas for strengthening evaluation

- **Framework:** The evaluation framework can be significantly strengthened, including through the establishment of a policy, plan and procedures.
- **Report spending, output and coverage:** Expenditure on evaluation can be increased to meet a minimum of 0.5% of programme expenditure by increasing report output and, as a result, programmatic coverage.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)



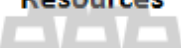

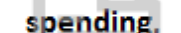

- [No information provided.]

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- [No information provided.]

⁵³ A/70/6/Sect.29H, para. 29H.1

UNON Evaluation Dashboard, 2016-17

	Indicator	Status	Δ since 2014-15
 Framework	1 Type of function	Minimal or no evaluation activity	0/4
	2 Reporting line		0/3
	3 Level of senior-most evaluation professional	None	
	4 Policy score		0/38
	5 Procedures in use		0/6
	6 Plan score		0/16
 Resources	7a M&E budget	\$392,300	▲
	7b M&E as % of total programme budget	 0.83% avg	0.56% ▲
 Report spending, output and coverage	8a Expenditure on reports	\$0	●
	8b Expenditure on reports as % of total programme budget	 0.5% threshold	0.00% ●
	9 Evaluation reports	0	●
	10 Subprogrammes referenced by reports	0/4	●
 Report quality	11 Report quality (% good/very good)		N/A
	12 Recommendations (% good/very good)		N/A
	13 Gender (% meets UN-SWAP criteria)		N/A
	14 Human rights (% satisfactorily/fully integrated)		N/A

Note:

Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively.

Color key:	Indicator #					
	#2	#4	#5	#6	#8b	#11-14
High	3	26-38	4-6	11-16	> 0.5%	67-100%
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%

Icon key: ▼ = decrease; ● = no change; ▲ = increase

United Nations Office at Vienna (UNOV)

Dashboard Group: Management and support

I. Entity objective

The overall objectives of UNOV are to provide administrative support to the UN Secretariat units located in Vienna, including: UNODC, OOSA, the International Trade Law Division of OLA, the secretariat of the United Nations Scientific Committee on the Effects of Atomic Radiation, the UN Information Service, OIOS, the ODA (Vienna), the Office of the Ombudsman (Vienna) and the UN Register of Damage Caused by the Construction of the Wall in the Occupied Palestinian Territory. It additionally provides some administrative support on a common service basis to other international organizations based in the Vienna International Centre.⁵⁴

II. Key features of evaluation in 2016-2017

- **Framework:** UNOV lacked evaluation systems across all relevant Evaluation Dashboard indicators. It had no evaluation unit, and no professional evaluation staff. No evaluation policy, procedures and planning were in use.
- **Report spending, output and coverage:** No evaluation reports were produced during the period under review, and consequently its expenditure did not meet the minimum financial benchmark for carrying out evaluation for learning and accountability purposes.

III. Areas for strengthening evaluation

- **Framework:** The evaluation framework can be significantly strengthened, including through the establishment of a policy, plan and procedures.
- **Report spending, output and coverage:** Expenditure on evaluation can be increased to meet a minimum of 0.5% of programme expenditure by increasing report output and, as a result, programmatic coverage.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)







- [No information provided.]

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- [No information provided.]

⁵⁴ A/70/6/Sect.29G, para. 29G2 and 29G3

UNOV Evaluation Dashboard, 2016-17

	Indicator	Status	Δ since 2014-15
 Framework	1 Type of function	Minimal or no evaluation activity 0/4	●
	2 Reporting line	0/3	●
	3 Level of senior-most evaluation professional	None	
	4 Policy score	0/38	●
	5 Procedures in use	0/6	●
	6 Plan score	0/16	●
 Resources	7a M&E budget	\$482,500	▼
	7b M&E as % of total programme budget	 0.83% avg 0.70%	▼
 Report spending, output and coverage	8a Expenditure on reports	\$0	●
	8b Expenditure on reports as % of total programme budget	 0.5% threshold 0.00%	●
	9 Evaluation reports	0	●
	10 Subprogrammes referenced by reports	0/4	N/A
 Report quality	11 Report quality (% good/very good)	N/A	N/A
	12 Recommendations (% good/very good)	N/A	N/A
	13 Gender (% meets UN-SWAP criteria)	N/A	N/A
	14 Human rights (% satisfactorily/fully integrated)	N/A	N/A

Note:

Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively.

Color key:	Indicator #					
	#2	#4	#5	#6	#8b	#11-14
Threshold						
High	3	26-38	4-6	11-16	> 0.5%	67-100%
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%

Icon key: ▼ = decrease; ● = no change; ▲ = increase

United Nations Office for Outer Space Affairs (OOSA)

Dashboard Group: Norm-setting and development

I. Entity objective

The overall objective of OOSA is to promote international cooperation in the peaceful uses of outer space for economic, social and scientific development, in particular for the benefit of developing countries.⁵⁵

II. Key features of evaluation in 2016-2017

- **Framework:** OOSA had some evaluation systems in place but demonstrated significant room for improvement. It had no evaluation unit, and no centralized evaluation staff were reported. Evaluation policy and procedures partially in place but weak; no planning was in use.
- **Report spending, output and coverage:** No evaluation reports were produced during the period under review, and consequently its expenditure did not meet the minimum financial benchmark for carrying out evaluation for learning and accountability purposes.

III. Areas for strengthening evaluation

- **Framework:** The evaluation policy and plans can be further strengthened, including:
 - Evaluation policy discussion around evaluation standards (e.g. utility, credibility and independence), the evaluation function's independence, reporting lines, required evaluator competencies, how evaluation plans are formulated, participatory nature of evaluation process, report disclosure and dissemination, and both gender equality and human rights dimensions.
 - Evaluation plan establishment.
- **Report spending, output and coverage:** Expenditure on evaluation can be increased to meet a minimum of 0.5% of programme expenditure by increasing report output and, as a result, programmatic coverage.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)









- Expenditure on other evaluation activities was estimated at \$27,800 and included self-assessment related actions, including lessons learned, post-activity reviews and questionnaires as well as the work undertaken in the context of programme performance monitoring and report.
- Periodic support to evaluation-related requests being conducted/led by other UN entities or by external stakeholders.

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- [No information provided.]

⁵⁵ A/70/6/Sect.6, para. 6.1

OOSA Evaluation Dashboard, 2016-17

	Indicator	Status		Δ since 2014-15
 Framework	1 Type of function	No evaluation unit but evaluation activity	1/4	●
	2 Reporting line		0/3	●
	3 Level of senior-most evaluation professional	None		●
	4 Policy score		15/38	▲
	5 Procedures in use		3/6	▲
	6 Plan score		0/16	●
 Resources	7a M&E budget	\$416,100		▼
	7b M&E as % of total programme budget	 0.83% avg	4.58%	▼
 Report spending, output and coverage	8a Expenditure on reports	\$0		●
	8b Expenditure on reports as % of total programme budget	 0.5% threshold	0.00%	●
	9 Evaluation reports	0		●
	10 Subprogrammes referenced by reports	N/A		●
 Report quality	11 Report quality (% good/very good)		N/A	N/A
	12 Recommendations (% good/very good)		N/A	N/A
	13 Gender (% meets UN-SWAP criteria)		N/A	N/A
	14 Human rights (% satisfactorily/fully integrated)		N/A	N/A

Note:

Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively.

Color key:		Indicator #				
Threshold	#2	#4	#5	#6	#8b	#11-14
High	3	26-38	4-6	11-16	> 0.5%	67-100%
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%

Icon key: ▼ = decrease; ● = no change; ▲ = increase

United Nations Office on Drugs and Crime (UNODC)

Dashboard Group: Norm-setting and development

I. Entity objective

The overall objectives of UNODC are to enhance the response of Member States to the interconnected problems of drug use, illicit drug trafficking, trafficking in human beings and firearms, transnational crime, corruption and terrorism.⁵⁶

II. Key features of evaluation in 2016-2017

- **Framework:** UNODC had robust evaluation systems in place across all relevant Evaluation Dashboard indicators. Its function was organized into a stand-alone evaluation unit, and its most senior centralized evaluation professional was at the P-5 level. A strong evaluation policy, plan and procedures were in place.
- **Report spending, output and coverage:** Estimated expenditure on evaluation reports decreased to 0.11% of total programme budget, which did not meet the minimum financial benchmark for carrying out evaluation for learning and accountability purposes.
- **Report quality:** 30% of sampled reports (3 of 10) were rated good or very good for their overall quality, suggesting significant room for improvement for evaluation report quality.

III. Areas for strengthening evaluation

- **Report spending, output and coverage:** Expenditure on evaluation can be increased to meet a minimum of 0.5% of programme expenditure.
- **Report quality:** Evaluation reports can more fully meet UNEG quality standards, including greater integration of gender and human rights dimensions. Recommendations of reports should be actionable and targeted.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)

- Strengthening National Evaluation Capacities in the Kingdom of Morocco, including the development of a master's module on evaluation vis-à-vis Sustainable Development Goal (SDG) 16 in the University of Meknes.
- Internal and external evaluation capacity building, including through the development of two e-Learning modules.
- External quality assessment of all evaluation reports, including UN-SWAP criteria to allow for an independent assessment of gender equality considerations in UNODC evaluations.
- Engagement in various UNEG activities, including its mid-term review and hosting together with other Vienna-based evaluation functions the UNEG Evaluation Week 2017 in Vienna.
- Development of a new UNODC Evaluation Handbook as well as dedicated guidelines for human rights and gender equality in UNODC evaluations.
- Development of the new web-based evaluation management application "Unite Evaluations", based on the Lotus Notes-based predecessor application.
- Meta-analysis of all evaluation results 2016-2017 as well as an evaluation-based analysis of capacity building in UNODC.

⁵⁶ A/70/6/Sect.16, para. 16.1





- Reporting to Member States, including in capitals, and fundraising activities to finance evaluation-related services and products (e.g. Meta-Analysis; Unite Evaluations; National Evaluation Capacity Building).
- Strengthening results-based management in all evaluation-related processes.
- Peer Review of the UNODC Evaluation Function (published in 2016) by UNEG and the Development Assistance Committee of the Organisation for Economic Co-operation and Development.
- In-depth review of Independent Evaluation Section (IES) communication strategy and dissemination of evaluation results.

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- The independent, external quality assessment of evaluation reports commissioned by the UNODC IES showed a drastic increase in the quality of evaluation reports from 2015 - 46% of all reports were assessed as "good" or "very good" by the external experts - to 87% in 2017 and 100% in 2018, thereby clearly showing the high quality of UNODC evaluation reports, fully meeting UNEG norms and standards.
- IES fully mainstreamed assessment of the UN-SWAP Evaluation Performance Indicators in its independent evaluation quality assessment. The assessment, as validated by UNEG and UN Women, showed an increase from a rating of 4 points in 2015 to 8 points in 2017 as well as 2018, thereby "meeting requirements". This assessment clearly highlights that UNODC evaluation reports fully mainstream human rights and gender equality in all UNODC evaluations.
- IES finalised three gender-responsive in-depth evaluations.⁵⁷
- IES is now observer at the UNODC Executive Committee and participating in the Programme Review Committee.
- All IES guidelines and templates were revised, including guidance on gender-responsive evaluations as well as SDGs and a full revision of the Evaluation Handbook.
- IES developed an evaluation budgeting matrix to support evaluation planning and budgeting.
- IES conducted side events at the Governing Bodies to ensure relevant information from evaluations is shared.

⁵⁷ See <https://www.unodc.org/unodc/en/evaluation/index.html>

UNODC Evaluation Dashboard, 2016-17

	Indicator	Status		Δ since 2014-15
 Framework	1 Type of function	Stand-alone evaluation unit	4/4	●
	2 Reporting line		3/3	●
	3 Level of senior-most evaluation professional	P-5		●
	4 Policy score		33/38	▼
	5 Procedures in use		6/6	●
	6 Plan score		11/16	▼
 Resources	7a M&E budget	\$4,146,600		▲
	7b M&E as % of total programme budget	0.83% avg	0.69%	▲
 Report spending, output and coverage	8a Expenditure on reports	\$1,687,625		▼
	8b Expenditure on reports as % of total programme budget	0.5% threshold	0.19%	▼
	9 Evaluation reports	29		▼
	10 Subprogrammes referenced by reports	7/9		▲
 Report quality	11 Report quality (% good/very good)		30%	▼
	12 Recommendations (% good/very good)		30%	▼
	13 Gender (% meets UN-SWAP criteria)		30%	▼
	14 Human rights (% satisfactorily/fully integrated)		50%	▼

Notes:

Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively. 10 of 29 evaluation reports were sampled for quality assessment for indicators #11-14.

Color key:		Indicator #					
Threshold	#2	#4	#5	#6	#8b	#11-14	
High	3	26-38	4-6	11-16	> 0.5%	67-100%	
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%	
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%	

Icon key: ▼ = decrease; ● = no change; ▲ = increase

United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA)

Dashboard Group: Human rights and humanitarian

I. Entity objective

The overall objective of UNRWA is to protect, preserve and promote a long and healthy life, acquired knowledge and skills, a decent standard of living and human rights enjoyed to the fullest, while focusing on two particularly acute but related needs: a lack of enjoyment of human rights and transecting the intergenerational transmission of poverty.⁵⁸

II. Key features of evaluation in 2016-2017

- **Framework:** UNRWA had strong evaluation systems in place. Its function was organized into a dedicated evaluation unit within a multifunctional division, and its most senior evaluation professional was at the P-5 level. Strong evaluation policy, procedures and plan were in place.
- **Report spending, output and coverage:** Estimated expenditure on evaluation reports decreased to 0.01% of total programme budget, which fell far below the minimum financial benchmark for carrying out evaluation for learning and accountability purposes.
- **Report quality:** None of sampled reports (0 of 2) were rated good or very good for their overall quality, suggesting significant room for improvement for evaluation report quality.

III. Areas for strengthening evaluation

- **Report spending, output and coverage:** Expenditure on evaluation can be increased to meet a minimum of 0.5% of programme expenditure.
- **Report quality:** Evaluation reports can more fully meet UNEG quality standards, including greater integration of gender and human rights dimensions. Recommendations of reports should be actionable and targeted.

IV. Other evaluation activities undertaken during 2016-2017 (self-reported)











- Expenditure on other evaluation activities was estimated at \$654,800.

V. Key enhancements made since the end of the 2016-2017 biennium (self-reported)

- [No information provided.]

⁵⁸ A/70/6/Sect.26, para 26.3

UNRWA Evaluation Dashboard, 2016-17

	Indicator	Status	Δ since 2014-15
 Framework	1 Type of function	Dedicated evaluation unit within a multifunctional division 3/4	●
	2 Reporting line	 2/3	●
	3 Level of senior-most evaluation professional	P-5	●
	4 Policy score	 28/38	▼
	5 Procedures in use	 6/6	▲
	6 Plan score	 14/16	●
 Resources	7a M&E budget	\$2,156,000	▼
	7b M&E as % of total programme budget	 0.83% avg 0.09%	▼
 Report spending, output and coverage	8a Expenditure on reports	\$307,007	▼
	8b Expenditure on reports as % of total programme budget	 0.5% threshold 0.01%	▼
	9 Evaluation reports	3	▼
	10 Subprogrammes referenced by reports	3/4	▼
 Report quality	11 Report quality (% good/very good)	0%	▼
	12 Recommendations (% good/very good)	0%	▼
	13 Gender (% meets UN-SWAP criteria)	0%	▼
	14 Human rights (% satisfactorily/fully integrated)	0%	▼

Notes:

Entity-wide averages were \$2.2 million and \$1.3 million for indicators #7a and #8a, respectively. 2 of 3 evaluation reports were sampled for quality assessment for indicators #11-14.

Color key:		Indicator #					
Threshold	#2	#4	#5	#6	#8b	#11-14	
High	3	26-38	4-6	11-16	> 0.5%	67-100%	
Medium	2	13-25	2-3	6-10	0.1-0.5%	33-66%	
Low	0-1	0-12	0-1	0-5	< 0.1%	0-32%	

Icon key: ▼ = decrease; ● = no change; ▲ = increase

4 Annexes

Annex I. Comments from United Nations entities in scope

Department for General Assembly and Conference Management

1. This is in reference to your memo of 9 April 2019 transmitting the draft report of the Office of Internal Oversight Services on the United Nations Evaluation Dashboard 2016-2017.

2. We have previously shared informal comments which are not reflected. We would like to repeat some of these comments and to comment on the resources.

3. On resources, spending and expenditures on evaluation overall, we are not sure if the report takes into full account the fact that DGACM budget, including for evaluation of its activities, encompasses New York well as Geneva, Vienna and Nairobi. Should OIOS wish to limit its evaluation to New York only, then the DGACM budget should not be used as reference. If the entire DGACM budget is to be considered, evaluation resources related to conference management for the four relevant duty station have to be taken into account.

4. On the paragraph in “framework” which states that “its evaluation function was organized into a dedicated unit within a multifunctional division, and the most senior centralized evaluation professional was at the P-4 level”, it should be highlighted that the P-4 in question has been overseen by a P-5 professional since 2017.

5. In the same paragraph, it is stated that “evaluation policy, procedures and planning were in place but remained relatively weak.”, without specifying much. Comparing to the dashboard for 2014-2015, in 2016, DGACM developed (i) a Monitoring Plan, (ii) an Evaluation Plan, (iii) a standardized Evaluation Template (to be used across all duty stations and to supplement the Evaluation Plan), and (iv) a roadmap to track and monitor the implementation of recommendations on performance evaluation and key performance indicators (KPIs) for the Department across the four duty stations, under the purview of the Departmental Steering Group.

6. These evaluations are shared amongst the duty stations to ensure they are within agreed parameters. Evaluation results are fed back into programme planning. Evaluation reports are shared with Departmental senior and line managers for review and are used to inform their decision-making process and future programme planning and implementation. A lot of work has been done recently regarding evaluation and it is important for this to be acknowledged. One possibility would be to state that: “policies, procedures and planning were in place and continuously improved”.

7. Concerning evaluation activities performed by DGACM during 2016-2017, it should be highlighted that DGACM’s performance would be more accurately reflected if it was more clearly indicated that the Department prepared many evaluation products during the biennium, but that the OIOS does not consider them to be evaluation reports as per its criteria. Otherwise, an impression is given that the evaluation function is not valued by DGACM and that resources that were supposed

to be invested in evaluation activities were diverted to fulfil operational needs. The development of an evaluation policy, plan and template in early 2016 will lead, in the future, to products that fully meet OIOS standards.

OIOS response to DGACM comment

OIOS maintains that it fully considered and responded as appropriate to DGACM's informal comments on the draft report. The DGACM monitoring and evaluation budget information in this report is based on information reported at the departmental level through the budgeting process and information on staff resources as self-reported by DGACM through the OIOS focal point survey.

Department of Political and Peacebuilding Affairs

1. Thank you for your memorandum (OIOS-2019-00807) transmitting the draft report of the Office of Internal Oversight (OIOS) on the United Nations Evaluation Dashboard 2016-17. We welcome OIOS' ongoing effort which will help the Department to continue strengthening its evaluation function.

2. We are very pleased to note that the Department's scoring has improved across nine (9) indicators in 2016-17 as compared to the 2014-15 biennium. This is encouraging, and we are committed to maintain the upward trajectory.

3. On areas for strengthening evaluation, DPPA welcomes the recommendation that greater integration of gender and human rights dimensions should be reflected in the evaluation report methodology and/or findings. Please note, the Department revised its Evaluation Policy in end of 2017 to place a stronger emphasis on United Nations Evaluation Group (UNEG) Norm on human rights and gender equality. In future, the Department looks to closer collaboration with OIOS and leveraging the expertise of UNEG members to incorporate these important principles in a meaningful way while conducting evaluations.

4. On the indicator "level of senior-most evaluation professional" (#3), we understand this to mean as a professional staff devoted full-time to evaluation. At the beginning of 2017, DPA established a full capacity, at a P-4 level, dedicated to evaluation. However, overall evaluation function still falls under the responsibilities of a senior programme management officer at P-5 level. As such, if this indicator is not about a "full-time" evaluation function, we kindly request that the dashboard reflect this the function at a P-5 level.

5. Finally, I express my appreciation to you and your team for applying a participative approach during the drafting of this dashboard.

OIOS response to DPPA comment

Para. 4 of the DPPA management response correctly interprets the UN Evaluation Dashboard indicator #3 to reflect the seniority of a *dedicated evaluation professional staff member*, and accordingly its departmental dashboard reflects the P-4 level for this indicator.

Economic Commission for Africa

I would like to thank you for sharing the draft OIOS - Evaluation Dashboard Report for the period 2016-2017.

We thank you for the thorough analysis of the evaluation function at the Economic Commission for Africa which will help us strengthen our corporate institutional evaluation framework for organizational learning and accountability for results.

We have noted with satisfaction the strengths identified in the report including ECA's strong evaluation systems, its robust evaluation policy and procedures, report spending, output and coverage which as stated in the assessment indicate a higher level of organizational commitment for learning and accountability.

ECA also acknowledges with thanks the emphasis on the key enhancements made since the end of the 2016-2017 biennium, including its online audit and evaluation tracking system, where actions and recommendations are systematically tracked and can be updated in real time as well as the setup of evaluation reference groups to quality assure the evaluation outputs and its processes.

We have also taken good notes of areas requiring improvement which we will commit to improve moving forward particularly in relation to establishing formal procedures for the approval of our evaluation plans, greater integration of gender and human rights dimensions as well as ensuring that evaluation recommendations are actionable and targeted.

Finally we would also like to formally record our reservations that we had already shared with OIOS during the review of the preliminary draft and are listed as follows:

1. With regard to the quality assessment of our evaluation reports, ECA had strongly suggested that OIOS reviews the sampling given that the selected reports were not representative of the large number of reports that were submitted. For example, the evaluation on DA project considered for the assessment was an evaluation conducted long after completion of the project and upon request from headquarters which was challenging in terms of reaching out to the beneficiaries of the project, not the right timing to assess concrete and robust results etc. The second report considered for this exercise - the review of the Commission's intergovernmental process was not an evaluation per se but rather an external review of the governing structure and associated subsidiary organs which focused on assessing the extent to which these bodies were functioning as per existing rules of procedures and not in accordance to UNEG norms and standards. As per OIOS request, the report was submitted as part of "other activities" undertaken during the period under review.

2. As stated earlier, the above two reports may be the shortest but do not represent a solid and robust sampling of the substantive evaluation outputs of the Commission and as such do not give due credit to evaluations delivered during the period 2016-2017, i.e.:

- African mineral development center evaluation
- Evaluation of the African Trade Policy Center on Boosting intra Africa trade
- Evaluation on Civil registration of vital services
- Evaluation of the Joint financing agreement covering five different sub programmes
- Evaluation of DA project on mobile statistics

We hope that the above comments will be recorded while issuing the final version of the evaluation dashboard report.

I would like to take the opportunity to thank you and the entire OIOS evaluation team for a very useful assessment that will help us strengthen ECA's evaluation function.

OIOS response to ECA comment

OIOS maintains that the referenced ECA review of its intergovernmental process was submitted as part of a body of evaluation reports in response to the OIOS data request.

Economic Commission for Europe

1. I refer to your memorandum dated 9 April 2019 transmitting the formal draft report of the Office of Internal Oversight Services (OIOS) on the United Nations Dashboard 2016-2017.

2. UNECE appreciates the ongoing efforts of OIOS to highlight the importance of evaluation in the UN Secretariat. The Compendium of Good Evaluation Practices released by OIOS in December 2018 and carried out as part of the above-mentioned report has already been helpful to improve the quality of UNECE evaluations.

3. UNECE is committed to enhancing the role of evaluation findings to programme design, delivery and policy directives. However, UNECE reiterates its ongoing concern about the challenges identifying commensurate resources from the regular budget to meet the minimum organizational benchmark of 0.5 per cent of the programme budget allocated to evaluation. Independence, and the quality of evaluations are inextricably linked to dedicated resources for engaging external evaluators.

4. I take this opportunity to thank you for the opportunity to comment on the Draft Report OIOS on the United Nations Evaluation Dashboard 2016-2017, and the ongoing constructive engagement between our respective offices.

Economic and Social Commission for Asia and the Pacific

ESCAP welcomes the report of OIOS on the United Nations Evaluation Dashboard 2016-2017. We are grateful to our colleagues in OIOS for this report, which provides key statistics on evaluation capacity and practices as well as an overview each entity's evaluation function. To this end, we noted with appreciation the areas of strength of ESCAP's evaluation function featured in the report, including putting in place a dedicated evaluation unit and a strong evaluation policy, procedures and plan; giving high priority to the evaluation function in terms of budget allocation and improving the quality of evaluation reports. In terms of areas for improvement, ESCAP will take immediate step to address the integration of gender and human rights issues in its evaluation reports.

International Trade Centre

1. Thank you for your memorandum dated 9 April 2019, transmitting the draft report of the Office of the Internal Oversight Services on the United Nations Evaluation Dashboard 2016-2017.

2. We appreciate the opportunity you had offered to our staff on the earlier informal draft, and the extended opportunity to comment on the final draft of the report.

3. ITC appreciates the quality of the report, and thanks OIOS and its staff for the good cooperation in conducting the evaluation study.

United Nations Entity for Gender Equality and the Empowerment of Women (UN Women)

1. Thank you for the draft report “United Nations Evaluation Dashboard 2016-2017”.

2. I welcome this important initiative that provides an overview of the status of evaluation capacity of the entities since the “United Nations Evaluation Dashboard 2014-2015”.

3. I am pleased to note that UN Women has been recognized for our high level of organizational commitment to learning and accountability as we exceeded the minimum financial benchmark for evaluation and received a ‘high’ rating against eight indicators.

4. UN Women conducts its own external assessment of the quality of evaluation reports in line with the United Nations Evaluation Group (UNEG) Norms and Standards. We will further review our own assessment criteria against the dashboard criteria related to evaluation plans and recommendations to support further improvements.

5. I fully welcome and support the emphasis given to gender equality and human rights within evaluation and reiterate UN Women’s support to strengthen capacity in this regard.

6. Finally, I would like to take this opportunity to thank you and your staff for their excellent collaboration throughout this process.

Office of the United Nations High Commissioner for Refugees

1. UNHCR thanks the Office of Internal Oversight Services/Inspection and Evaluation Division (OIOS-IED) for the opportunity to provide a management response on the above-referenced evaluation dashboard. UNHCR has read the dashboard with great interest and has taken note of its findings.

2. Many of these findings are consistent with the very steps that UNHCR has taken in the latter half of 2017 and subsequently in 2018 and 2019 to increase its evaluation capacity, as well as the coverage and utility of evaluations in the organization.

3. As recognised in the dashboard, UNHCR’s policy framework improved with the issuance at the end of 2016 of a revised Evaluation Policy. The policy makes it clear that UNHCR, subject to availability of funds, is committed to increasing the level of resources to sustain progress towards

UNEG and other global parameters recommended for a robust evaluation function. Further to the policy, the Evaluation Service formulated a five-year Evaluation Strategy for UNHCR, covering 2018-2022. The Strategy sets targets for gradual increased in allocation of financial resources for evaluation, specifically stating that “The five-year budget proposal has a starting point of 0.07% of total expenditure in 2017 and plans a gradual increase starting in 2018.” We note that UNHCR’s expenditure for the Evaluation Service had a yearly average of USD 2,384,810 in the biennium 2016-2017, and the budget for 2018 was USD 6,479,721, with further increase anticipated for 2019, 2020 and 2021. This reflects the commitment to expected, significant increase in evaluation expenditures going forward.

4. In this regard, UNHCR appreciates the report’s recognition of methodological challenges for these indicators of separating monitoring and evaluation expenditure. UNHCR would like to highlight that the evaluation budget and expenditure figures for the organization do not include expenditure on monitoring. Such expenditures if included, would increase the total expenditure for activities related to measuring results and understanding impact and effectiveness.

5. The process for planning for evaluations has now been implemented for two years, and has led to the development of annual evaluation workplans for 2018 and 2019 respectively. These workplans are shared widely internally and made available externally. Based on the 2018 work plan, and in line with the strategic aim of increasing coverage, UNHCR had 22 evaluations/report in progress during 2018, of which 13 were completed. This marks a significant increase from the 10 reports included in the 2016-2017 biennium report, an increase foreseen to continue for the duration of the strategy, with close to 29 evaluative reviews/evaluations foreseen during 2019 and an even higher target for 2020. The increase reflects an investment in capacity both at central and decentralized level and is supported by various initiatives to facilitate the evaluation process, such as the establishment of Master Frame Agreements with 15 firms having evaluation expertise.

6. UNHCR is committed to improve usage of evaluations and the Evaluation Service has continued to find ways to increase both awareness and use of evaluations. One specific activity is production in 2018 of a brief video aimed at building understanding and awareness for evaluation among UNHCR staff. Meanwhile, UNHCR considers the tracking of recommendations and the follow-up to such recommendations as the responsibility of the senior management directly concerned, including the Senior Executive Team. As such the emphasis is on creating accountability for results, with evaluations being one element of contribution. It may be noted that although the Evaluation Service does not currently track implementation of evaluation recommendations per se, it continues to engage actively with operations on use and follow-up. Furthermore, Regional Bureaux and large country operations track recommendations emerging from all oversight activities, including evaluations.

7. UNHCR notes that only 4 of 10 evaluation reports were sampled for the quality assessment indicators #11-14 and considers the relatively low score regarding inclusion of Human Rights in its evaluations with this in mind. UNHCR brings attention to the recently-published Multilateral Organisation Performance Assessment Network (MOPAN) report on UNHCR, that states, as a main strength “a human rights and protection focus that is well-assimilated, prioritised and mainstreamed”; linked to the UNHCR’s clear mandate and protection function, based on a review of evaluation reports. Examples of attention to human rights is further evident in recent evaluations, such as the Independent evaluation of UNHCR’s emergency response to the Rohingya refugees

influx in Bangladesh August 2017– September 2018, or the Evaluation of UNHCR prevention and response to SGBV in the refugee population in Lebanon (2016–2018).

8. Once again, UNHCR welcomes the opportunity to comment on the UN Evaluation Dashboard and appreciates the efforts of OIOS to highlight the importance of evaluation in the UN system. We look forward to our continued collaboration.

9. Thank you.

United Nations Human Settlements Programme

1. Thank you for the opportunity to comment. UN-Habitat contributed to the report through inputs on the survey and interviews, and provided comments to OIOS on the informal draft report. We therefore have no further comment on the draft report, which we note contains our inputs.

United Nations Office on Drugs and Crime

The United Nations Office on Drugs and Crime (UNODC) welcomes the OIOS UN Evaluation Dashboard for the 2016-17 biennium. In this context, the currently ongoing United Nations reforms demand increased accountability and evaluation at all levels, with special emphasis on evaluating results at the strategic level. Investing in evaluation is essential to fulfil these demands and to ensure that the requirements for the 2030 Agenda and the UN reforms are met, while also continuing to independently evaluate the effectiveness of programmes and projects. OIOS studies are a valuable input to this process. In this context, UNODC welcomes the assessment that “UNODC had robust evaluation systems in place across all relevant Evaluation Dashboard indicators”.

UNODC has actively engaged with OIOS throughout this study and provided in-depth comments at various stages. While fully understanding the complexity of this assignment, UNODC highlights the importance of a strengthened methodological approach for assessing evaluation reports in future biennial studies. In particular, the sampling approach for evaluation reports should be further developed, and the assessment should ensure inter-rater reliability to increase its objectivity and comparability. Moreover, independent evaluation quality assessments – if available - should be included in the analysis to highlight potential discrepancies.

Whilst OIOS assessed only 10 UNODC evaluation reports which are not representative of UNODC’s evaluation portfolio – only 1 out of 5 In-Depth Evaluations, and 3 evaluations of projects with a budget below USD 1,000,000 were sampled -, UNODC would like to highlight that all evaluation reports are independently reviewed and independently assessed. This rigorous, external Evaluation Quality Assessment (EQA) is conducted fully in line with United Nations Evaluation Group (UNEG) Norms and Standards, respective evaluation quality assessment guidance documents, the UN-SWAP Evaluation Performance Indicator, etc. by two independent senior evaluation experts, based in New York, ensuring inter-rater reliability. The results showed an increase from 4% (very good) and 41% (good) in 2015 to 33% and 54% respectively in 2017, thereby constituting a distinct increase of evaluation quality compared to previous years. Moreover, the EQA in 2017 highlighted that UNODC evaluation reports showed a distinct improvement compared to 2015 in relation to the inclusion of

human rights and gender analysis with 80% of reports being rated as “good” or “very good”, thereby reflecting the results of increased investments of the Independent Evaluation Section (IES) in mainstreaming human rights and gender equality in all evaluations.

However, considering the increased complexity of evaluations, UNODC is currently revising its Evaluation Policy to ensure that the quality of evaluation reports is further improved and the increasing complexity of evaluations at UNODC is fully considered. Moreover, different models of evaluations for smaller initiatives – as primarily assessed by OIOS – will be reviewed and considered in the revised policy.

UNODC further reiterates the importance of fully mainstreaming human rights and gender equality in evaluation, as already referred to above. UNODC’s IES invested in further strengthening Human Rights and Gender Equality in all its independent evaluations since 2016. This entailed the inclusion of dedicated gender experts in three selected In-Depth Evaluations, developing tailored evaluation guidance documents, dedicated capacity building, and fully mainstreaming these important issues in all UNODC evaluations. This is also reflected in reaching “meeting requirements” in the UN-SWAP Evaluation Performance Indicator in 2017 as well as 2018, as independently rated in the annual Evaluation Quality Assessment.

Moreover, UNODC further focused during the assessed biennium on developing the web-based application “Unite Evaluation”, developed by the Independent Evaluation Section in cooperation with the OICT Enterprise Application Center in Vienna, which was highlighted by OIOS biennial study on “Strengthening the role of evaluation and the application of evaluation findings on programme design, delivery and policy directives” (A/74/67) as a “notable good practice”. This innovative tool is based on a predecessor application, which was already highlighted as a “best practice” in the UNEG-OECD/DAC Peer Review of the UNODC Evaluation Function in 2016. “Unite Evaluation” ensures efficient evaluation processes, allows reporting of evaluation results vis-à-vis the SDGs, enhances dissemination of lessons learned and further strengthens transparency and accountability to Member States, fully responding to the Secretary-General’s report A/72/492/Add.2 and the UN Secretary-General’s “Strategy on new technologies” (2018). This constitutes one example of how UNODC responds to the increased need for evaluation in the UN reforms.

Finally, UNODC acknowledges the area for strengthening evaluation, as highlighted by OIOS, that 0.19 per cent of UNODC’s *programme budget* are spent on evaluation reports, thereby not meeting the range indicated by the Joint Inspection Unit of 0.5 to 3 per cent of organisational *expenditure* (JIU/REP/2014/6, para 77). UNODC reiterates its commitment to further strengthen evaluation at UNODC, thereby ensuring further enhanced accountability, transparency and learning in line with key aspects of the UN reforms and the 2030 agenda.

Annex II. Evaluation Dashboard definitions and data sources framework

The following provides an overview of how Dashboards were scored and color-coded. It provides Dashboard indicator definitions, and is organized by the four overall areas of: (A) framework; (B) M&E resources; (C) report spending, output and coverage; and (D) report quality. Below each entity Dashboard is a table of the thresholds for color-coding performance to show the range – either in points or percentage – that corresponds to the level of performance. Thresholds were set for high, medium and low evaluation capacity for selected indicators #2, #4-6, and #11-14.

Threshold	Indicator #					
	#2	#4	#5	#6	#8b	#11-14
High	3	26-38	5-6	11-16	> 0.5%	67-100%
Medium	2	13-25	3-4	6-10	0.1-0.5%	33-66%
Low	0-1	0-12	0-2	0-5	< 0.1%	0-32%

A. Framework

1. Type of function (#): Type of structure of the evaluation function.⁵⁹

- 4 – Stand-alone evaluation unit
- 3 – Dedicated evaluation unit within a multifunctional division
- 2 – Unit not dedicated to evaluation (includes other activities within a multifunctional division)
- 1 – No evaluation unit but evaluation activity
- 0 – Minimal or no evaluation activity

Source: Focal point survey

2. Reporting line (#): Extent to which the evaluation function reporting line is independent.

- High:** 3 – Evaluation function reports to the governing body and/or the head of the entity
- Medium:** 2 – Evaluation function reports to an independent oversight function
- Low:** 1 – Evaluation function reports to another management function
- 0 – Evaluation function has no clear reporting line or no evaluation function exists

Source: Focal point survey

3. Seniority (#): Level of the senior-most dedicated evaluation professional staff

- 4 – Evaluation function is led by a D2
- 3 – Evaluation function is led by a D1
- 2 – Evaluation function is led by a P5
- 1 – Evaluation function is led by a P4

Source: Focal point survey

⁵⁹ Indicator #1 only includes a low, red-colored threshold where there is minimal or no evaluation activity, and is not included in the reference table under each Dashboard. This approach intends to highlight the need for minimal evaluation activity, while also recognizing the need for flexibility in structuring evaluation functions based on a number of entity-specific contextual factors (e.g. entity size and mandate).

4. Policy Score (#): Total score across 19 quality criteria, scored individually on a 0-2 scale (0=not at all; 1=partially; 2=fully) across 8 dimensions, if in place during 2016-17.

Policy score Dashboard thresholds
High: 26-38 points – Evaluation policy meets most/all of quality criteria
Medium: 13-25 points – Evaluation policy meets some quality criteria
Low: 0-12 points – Evaluation policy meets little/no quality criteria, or does not exist

Policy score dimensions and quality criteria
<p><i>Clear explanation of concept and role of evaluation</i></p> <ol style="list-style-type: none"> 1. Does the policy clearly state how the programme defines evaluation? 2. Is the purpose of the evaluation function clearly stated? 3. Is the purpose stated for accountability? 4. Is the purpose stated for learning? <p><i>Contains general evaluation standards</i></p> <ol style="list-style-type: none"> 5. Are standards such as utility, credibility and independence discussed? <p><i>Clearly define the institutional framework</i></p> <ol style="list-style-type: none"> 6. Is the independence of the function discussed or defined? 7. Does the policy indicate what are the reporting lines? <p><i>Explain how evaluations are prioritized and planned</i></p> <ol style="list-style-type: none"> 8. Does the policy state what are the competencies required for evaluators? <p><i>Describe how evaluations are organized, managed and budgeted</i></p> <ol style="list-style-type: none"> 9. Does the policy state how evaluation plans are formulated? 10. Does the policy state who will manage evaluations? 11. Does the policy state the measures to ensure the quality of evaluations (e.g. peer review; QA processes)? 12. Does the policy state how participatory the evaluation process will be? 13. Does the policy state how evaluation function resources are commensurate with the size and function of the organization? <p><i>Emphasize the mechanisms for the follow up of evaluations</i></p> <ol style="list-style-type: none"> 14. Does the policy state how results will be followed up on? 15. Does the policy state how evaluation results will feed into org learning/KM systems? <p><i>Clearly state the practice on disclosure and dissemination of evaluations</i></p> <ol style="list-style-type: none"> 16. Does the policy indicate the disclosure parameters? 17. Does the policy state how evaluations will be disseminated? <p><i>Integrates gender equality and human rights</i></p> <ol style="list-style-type: none"> 18. Does the policy promote gender equality? 19. Does the policy promote human rights?

Source: Document review (based on focal point submission)

5. Procedures in use (#): Total score across 6 procedural dimensions in use, scored individually on a 0-1 scale (0=no; 1=yes), if in place during 2016-17.

Procedure score Dashboard thresholds
High: 5-6 points – Most/all of evaluation procedures in place
Medium: 3-4 points – Some of evaluation procedures in place
Low: 0-2 points – Little/no evaluation procedures in place

Procedure score dimensions
1. Developing an evaluation work plan
2. Developing action plans for implementing evaluation recommendations
3. Tracking and/or monitoring the implementation of evaluation recommendations
4. Sharing and/or disseminated evaluation reports
5. Sharing and/or disseminating lessons learned from the evaluation
6. Feeding evaluation results back into programme planning and implementation

Source: Focal point survey

6. Plan scores (#): Total score across 8 quality dimensions, scored individually on a 0-2 scale (0=not at all; 1=partially; 2=fully), if in place at during 2016-17.

Plan score Dashboard thresholds
High: 11-16 points – Evaluation plan meets most/all of quality criteria
Medium: 6-10 points – Evaluation plan meets some quality criteria
Low: 0-5 points – Evaluation plan meets little/no quality criteria, or does not exist

Plan score dimensions
1. Are the types of planned evaluations clear?
2. Does the plan state the purpose of the evaluations?
3. Does the plan state who will conduct the evaluation?
4. Does the plan specify who is responsible for the evaluations?
5. Does the plan specify resources for the evaluations?
6. Does the plan state target dates for the evaluations?
7. Does the entity have a formal procedure for developing evaluation plans?
8. Is the plan submitted to the head of the entity or governing body for review/approval?

Source: Document review (based on focal point submission)

B. M&E resources

Source: Financial data analysed for indicators #7a-7b were obtained from the Proposed Programme Budget (A/70/6) and validated by the UN Office of Programme Planning, Budget and Accounts .

7a. M&E budget (\$): M&E budget as reported in Proposed Programme Budget (Form 12) provided by the UN Office of Programme Planning, Budget and Accounts . The minimum and maximum amount for this indicator is \$60,400 and \$14.1 million.

7b. M&E budget as percentage of total programme budget (%): M&E budget as a percentage of total programme budget. The entity-wide average of 0.83% is shown as a blue bar. The grey progress bar has a maximum of 4.6%.

C. Evaluation spending, outputs and coverage

8a. Estimated expenditure on evaluation reports (\$): Reported amount spent on screened evaluation reports. The minimum and maximum amount for this indicator is \$0 and \$7.6 million.

Source: Focal point survey

8b. Estimated expenditure on evaluation reports as percentage of overall programme budget (%): Estimated expenditure on evaluation reports as a proportion of total programme budget for 2016-17. The JIU minimum threshold of 0.5% is shown as a red bar. The grey progress bar has a maximum of 3%.

Source: Focal point survey

Evaluation expenditure Dashboard thresholds
High: Greater than 0.5% of programme budget spent on evaluation reports
Medium: Between 0.1 and 0.5% of programme budget spent on evaluation reports
Low: Less than 0.1% of programme budget spent on evaluation reports

9. Evaluation reports (#): Number of reports screened as evaluations by OIOS. The data point will be blank if no reports were submitted or screened.

Source: Document review (based on submission by focal points)

10. Subprogramme coverage (#): Number of subprogrammes covered by evaluation reports out of total number of subprogrammes.

Source: Focal point survey

D. Report quality

Source: Indicators #11-14 indicators are sourced from the QA review of sampled evaluation reports, whose methodology is explained in the following Annex III.

Evaluation report quality Dashboard thresholds
High: 67-100% of evaluation reports achieved the specified level of quality for indicators #11-14
Medium: 33-66% of evaluation reports achieved the specified level of quality for indicators #11-14
Low: 0-32% of evaluation reports achieved the specified level of quality for indicators #11-14

11. Report quality (%): Percentage of sampled evaluation reports which received 'Good' or 'Very good' for overall quality.

12. Recommendations in reports (%): Percentage of sampled evaluation reports which received 'Good' or 'Very good' for their recommendations.

13. Gender in reports (%): Percentage of sampled evaluation reports that received 'Meets requirements' or 'Exceeds requirements' across three UN-SWAP criteria on gender equality and women's empowerment,⁶⁰ which translates into a score of 7-9 points per evaluation report.

⁶⁰ See UN-SWAP Evaluation Performance Indicator Technical Note, April 2018

14. Human rights in reports (%): Percentage of sampled evaluation reports rated as having ‘Satisfactorily integrated’ or ‘Fully integrated’ human rights considerations into the report (including where applicable: scope/analysis; criteria/design; methods/tools; data analysis techniques; and/or findings, conclusions and recommendations).

Annex III. Methodology for quality assessment of evaluation reports

A. Screening and sampling

OIOS-IED carried out a sampling of evaluation reports to conduct its QA and meta-evaluation exercise. The sampling of reports aimed to capture: (1) all entities in scope, and (2) the diversity of both programming and management contexts across entities. To achieve this objective, the study adopted a *stratified purposive sample* consisting of the below steps.

1. Screening and tagging of evaluation reports submitted by UN entities across criteria. In total 439 reports were screened, and 335 were considered evaluation reports. Screening criteria comprised whether the evaluation was conducted by an external body (e.g. OIOS and JIU) in which case it was excluded,⁶¹ and whether it met the following criteria for inclusion:

- assessed an element of the programme’s performance relative to its mandate or goals;
- articulated a methodology (i.e. data sources, data collection and analysis methods and their limitations and underlying analytical assumptions);
- provided evidence to support findings and conclusions; and,
- provided findings and conclusions.

Meta-data and tagging were performed for managing the distribution of reports to consultants, as well as used for the purposive sampling described below. This data comprised the following components: evaluation report title, language, type, scope, and geographic coverage.

2. Establishment of thresholds for report inclusion per UN entity using percentage cut-offs according the number of reports submitted. Due to OIOS capacity limitation, entities with greater number of reports generally had a less representative sample of their total evaluations.

<i>Number of evaluation reports per entity</i>		<i>Percentage sampled</i>
<i>Minimum</i>	<i>Maximum</i>	
1	1	100%
2	5	75%
6	15	40%
16	30	33%
31	75	16%

⁶¹ Note however that a random selection of 5 OIOS evaluations conducted over the 2016-17 period were included in the final sample of 100 evaluations. This was applied after the screening process for inclusion in the QA sample to provide OIOS an indication of its own report quality, and to feed into the parallel meta-evaluation and synthesis of report findings.

3. **Purposive selection of sampled reports** was performed with the aim of capturing the most representative sample of the overall universe of evaluation reports according to the following criteria. For each criterion and sub-criterion, frequencies are provided for comparison across both the overall report universe and selected sample.

<i>Criteria</i>	<i>% in report universe</i>	<i>% in sample</i>
Scope		
Project-level	69%	68%
Country-level	9%	9%
Thematic	5%	7%
Programme-level (i.e. entity-level)	3%	4%
Subprogramme-level	7%	6%
Other	6%	6%
Geographic coverage		
Country	39%	34%
Global	36%	38%
Region	25%	28%
Type		
Final	67%	64%
Midterm	28%	30%
Other	6%	6%

Note: Figures are rounded and may not add to 100% for each criterion.

B. Quality assessment parameters and tool

1. **The QA framework** comprised 7 parameters (background, methodology, findings, conclusions & lessons learned, recommendations, gender & human rights, and report structure) and 23 standards. Report background details were also included in the Excel-based rating sheet.
2. **Revisions** were made to the QA parameters and standards from the previous version, as well as their individual weighting, after a review of the following:
 - comments from UN Secretariat entities during the last biennial study;
 - other UN entity practices carrying out QA exercises of evaluation reports, including UN Women,⁶² UNDP,⁶³ UNEP,⁶⁴ and UNFPA⁶⁵;
 - relevant UNEG guidance, including the Norms and Standards,⁶⁶ quality checklist for evaluation reports,⁶⁷ and guidance on rating reports against the UN-SWAP.⁶⁸

⁶² UN Women, 'Global Evaluation Report Assessment and Analysis System (GERAAS) Report Template', Independent Evaluation Service, 2018

⁶³ UNDP, 'Quality Assessment System for Decentralized Evaluation Reports', Independent Evaluation Office, Nov 2016.

⁶⁴ UNEP, 'Quality Assessment of the Evaluation Report', Evaluation Office, Oct 2017

⁶⁵ UNFPA, 'Evaluation Quality Assurance and Assessment: Tools and Guidance', Independent Evaluation Office, 2017.

⁶⁶ UNEG, 'Norms and Standards for Evaluation', reissued Nov 2017.

⁶⁷ UNEG, 'Quality Checklist for Evaluation Reports', 2010.

⁶⁸ UNEG, 'UN-SWAP Evaluation Performance Indicator Technical Note', Apr 2018.

Substantive revisions to the parameters and standards included:

- *Gender and human rights* – The revised tool aligned with UN system-wide standards for measuring evaluation report quality around gender equality and women’s empowerment.⁶⁹ The human rights standard is integrated as one overarching standard.
- *Report structure* – The previous parameters of “Executive summary” and “Format” were combined into one parameter on “Report structure”.

3. **Definitions** of each QA parameter and standard are provided below, including their respective weights.

QA parameter/standard (weight %)	
Parameter 1. Background (15%): Are the evaluation's subject, context, purpose, objectives and scope sufficiently clear to frame and guide the evaluation?	
1	The report clearly specifies the <u>subject</u> of the evaluation, and for programmes or projects: intervention logic or theory of change; budget; human resources; time frame; implementing partners, modalities and status. (25%)
2	The report provides sufficient information for understanding the <u>context</u> within which the subject of the evaluation operated (e.g. key social, political, economic, demographic and institutional factors). (25%)
3	The report clearly specifies the <u>purpose</u> and <u>objectives</u> of the evaluation. (25%)
4	The report specifies the <u>scope</u> of what the evaluation covers (e.g. time span, geographical coverage). (25%)
Parameter 2. Methodology (15%): Is the methodology used for the evaluation clearly described and is the rationale for the methodological choice justified?	
5	The report specifies and explains the chosen evaluation <u>questions</u> , <u>criteria</u> , performance standards or other criteria. (40%)
6	The methodology clearly describes the level of stakeholder participation, data sources, and data collection and analysis methods. (30%)
7	The chosen methodology is adequately robust/appropriate for answering the key evaluation questions, including adequate measures to ensure data quality/validity. (15%)
8	The methodology addresses methodological challenges and/or limitations. (15%)
Parameter 3. Findings (25%): Are the findings clearly presented, relevant and based on evidence and sound analysis?	
9	Findings are presented with <u>clarity</u> , <u>logic</u> , and <u>coherence</u> (e.g. avoid ambiguities). (20%)
10	Findings clearly relate to the evaluation <u>criteria</u> and <u>questions</u> defined in the scope in terms of report structure and substance. (30%)
11	Findings are <u>objective</u> and are supported by sufficient <u>evidence</u> reflecting systematic and appropriate analysis and interpretation of the data; they are free from subjective judgements made by the evaluators. (30%)
12	Findings uncover underlying <u>causes</u> for accomplishments/difficulties and <u>opportunities</u> to build on. (20%)
Parameter 4. Conclusions and lessons learned (10%): Are the conclusions clearly presented based on findings and substantiated by evidence?	
13	Conclusions are <u>clearly presented</u> and <u>logically linked</u> to the findings. (40%)

⁶⁹ The UN-SWAP Evaluation Performance Indicators (EPI) assess the extent to which the evaluation reports of an entity meet the gender-related UNEG Norms and Standards and demonstrate effective use of the UNEG Guidance on integrating human rights and gender equality during all phases of the evaluation. Three of four indicators are integrated, while the fourth EPI indicator does not apply since it measures whether an entity has led a corporate evaluation of gender.

14	Conclusions reflect reasonable <u>judgments</u> of the evaluator(s) in relation to the main evaluation questions, and <u>add value</u> to the findings (e.g. include lessons learned; focus on significant issues; answer the evaluation's big questions). (60%)
	Parameter 5. Recommendations (15%): Are the recommendations well-grounded in the evaluation and clear?
15	Recommendations are <u>logically derived</u> from the findings and/or conclusions. (33%)
16	Recommendations are <u>clear</u> , <u>realistic</u> (e.g. reflect an understanding of the subject's potential constraints to follow-up) and <u>manageable</u> (e.g. avoid providing a laundry list or being overly prescriptive). (33%)
17	Recommendations are <u>actionable</u> (e.g. specifies who should implement them) and formulated with their use in mind. (33%)
	Parameter 6. Gender and human rights (10%):** Are gender and human rights perspectives integrated and well addressed in the process of the evaluation as well as in the evaluation report?
18	<u>Gender equality and women's empowerment</u> (GEWE) is integrated in the evaluation scope of analysis and evaluation criteria and questions are designed in a way that ensures GEWE related data will be collected. (16.67%)
19	A gender-responsive methodology, methods and tools, and data analysis techniques are selected. (16.67%)
20	The evaluation findings, conclusions and recommendation reflect a gender analysis. (16.67%)
21	<u>Human rights</u> considerations are integrated in the following, where applicable: evaluation scope of analysis; evaluation criteria and questions design; methods and tools, and data analysis techniques; evaluation findings, conclusions and recommendations (50%)
	Parameter 7. Report structure (10%): Is the report well structured, logical, clear and complete?
22	The <u>executive summary</u> is a stand-alone section with a clear structure along the key elements of the report: subject, purpose and objectives of the evaluation; methodology; main results; conclusions; and recommendations. It is reasonably concise. (50%)
23	The report is <u>well-structured</u> (50%): -easily readable (i.e. concise, avoids complex language and unexplained acronyms); -cohesive and logical; -contains relevant graphics for illustrating key points (e.g. tables, charts and pictures); -includes <u>annexes</u> where applicable on methodology such as the Terms of Reference, evaluation matrix, bibliography, and a list of people consulted; and -states <u>when</u> the evaluation was conducted (<u>period</u> of the evaluation) and by <u>whom</u> the evaluation (evaluator names not required).

4. **Scale and scoring** for each of the 23 standards was done individually on 5-point scale. Raw scores for standards were first weighted and aggregated into a percentage for their respective parameter scores. Then, parameter scores were weighted and aggregated into an overall report score. The thresholds for assigning the rating scale are provided in the tables below.

Rating*	Definition	Raw score	% threshold (parameter/overall rating)*
Very poor	Very weak; missing; fails to meet standard	0	<20%
Poor	Weak; hardly meets standard	1	≥ 20 and < 40%
Fair	Partly meets standard; acceptable	2	≥ 40 and < 60%

Good	Satisfactory; respectable	3	≥ 60 and < 80%
Very good	Strong; above average; best practice	4	≥ 80%

*Parameter ratings are aggregated from their corresponding weighted standard scores; the overall report score is aggregated from the parameter scores

Ratings for gender and human rights are given according to the UN-SWAP Evaluation Performance Indicator 4-point scale, and then in the same manner above weighted for the parameter score before being aggregated for integration into the overall score.

UN-SWAP scale	Definition	Raw score
Not at all integrated	Applies when none of the elements under a criterion are met.	0
Partially integrated	Applies when some minimal elements are met but further progress is needed and remedial action to meet the standard is required.	1
Satisfactorily integrated	Applies when a satisfactory level has been reached and many of the elements are met but still improvement could be done.	2
Fully integrated	Applies when all elements under a criterion are met, used and fully integrated in the evaluation and no remedial action is required.	3

Source: UNEG, UN-SWAP Evaluation Performance Indicator Technical Note, Apr 2018

C. Limitations

The QA methodology faced several challenges. First, OIOS was not able to achieve a fully representative sample across the total body of evaluation reports. The final QA sample of 100 out of 335 total evaluation reports translated to an approximate margin of error of 8%. In some cases, entities with higher report output had an increased theoretical margin of error.

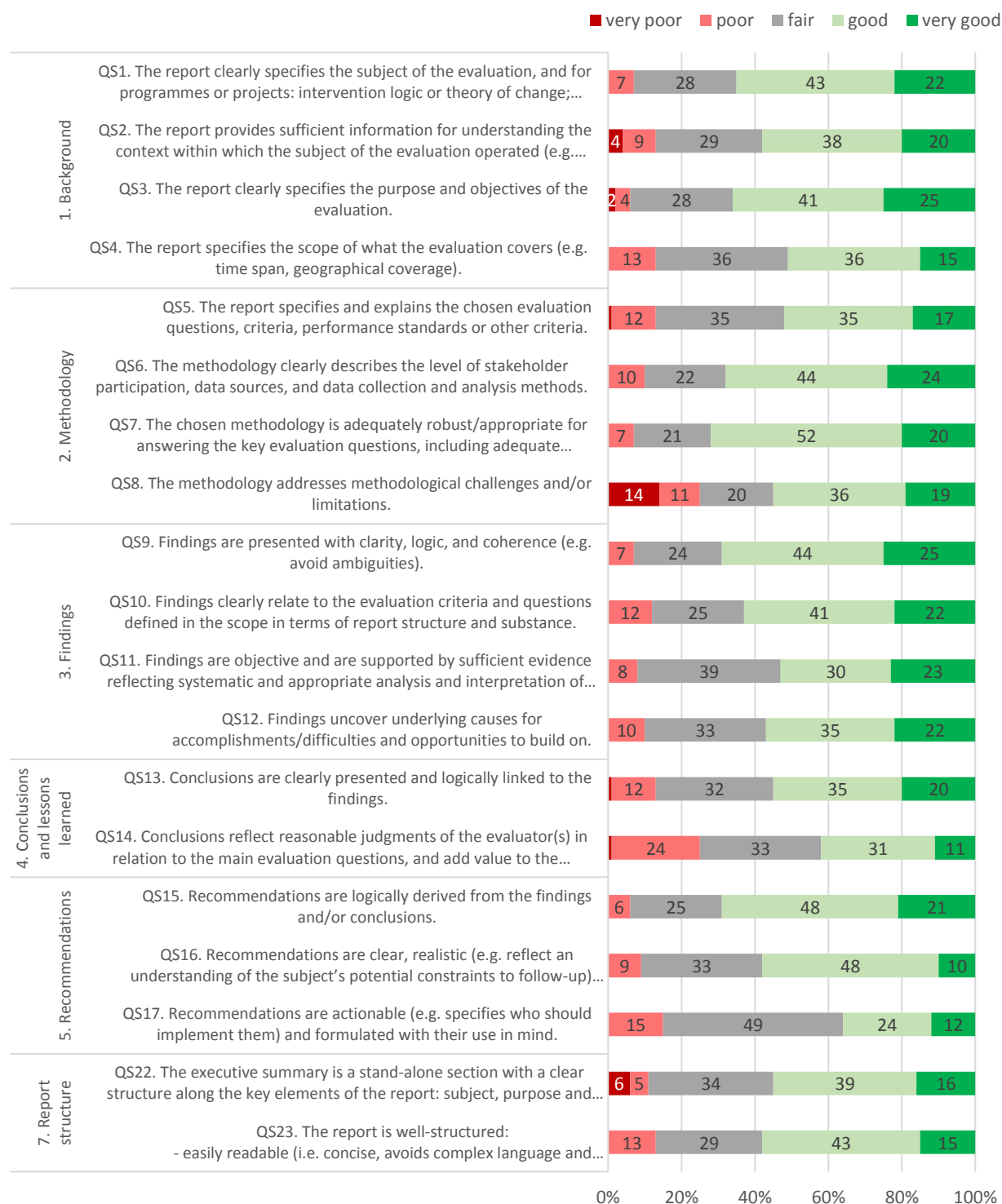
Second, the QA entailed subjective judgement that introduced potential bias. Two teams of external consultants were hired to conduct the exercise, and reports of any one entity were assessed by a single consultant team. To enhance consistency in scoring approaches and mitigate potential bias, OIOS: (i) piloted the QA tool on two evaluation reports; (ii) compared pilot scores and identified potential areas for error or bias; (iii) held a conference call to discuss and address these findings; and (iv) shared revised guidance materials with consultant teams with consistent definitions, protocols and tools for conducting the QA exercise.

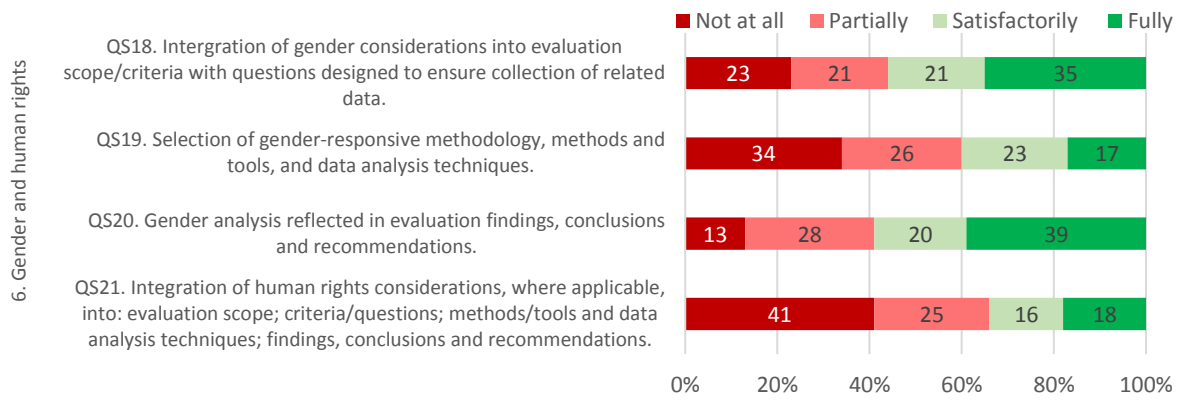
Third, the QA faced challenges related to changes to methodology compared to the previous biennium: (i) the number of quality standards was reduced from 30 to 23; (ii) a new parameter on gender and human rights was introduced; and (iii) the computation of rating scores was changed to a 0-4 scale. These adjustments may have affected the comparability of some of the results at the quality standard level to results of the previous exercise. Finally, the QA instrument was created for the purposes of assessing evaluation quality across a diverse range of programmatic and operational contexts of the entities in scope. Its generic nature may therefore not capture the specificity of entity-level QA instruments with criteria tailored to their respective organizational priorities.

Annex IV. Results of evaluation quality assessment

The distribution of scores across the 100 reports for each of the 23 quality standards (QS) is provided in detail below and organized by the 7 parameters. Gender and human rights received low scores relative to other categories, with gender rated on a scale adjusted to the UN-SWAP rating system.

Evaluation report ratings by quality standard (n=100 evaluation reports)





Source: OIOS quality assessment of 100 evaluation reports