GUIDANCE FOR EVALUATION MANAGERS

IOM Central Evaluation Unit

Department of Strategic Planning and

Organizational Performance

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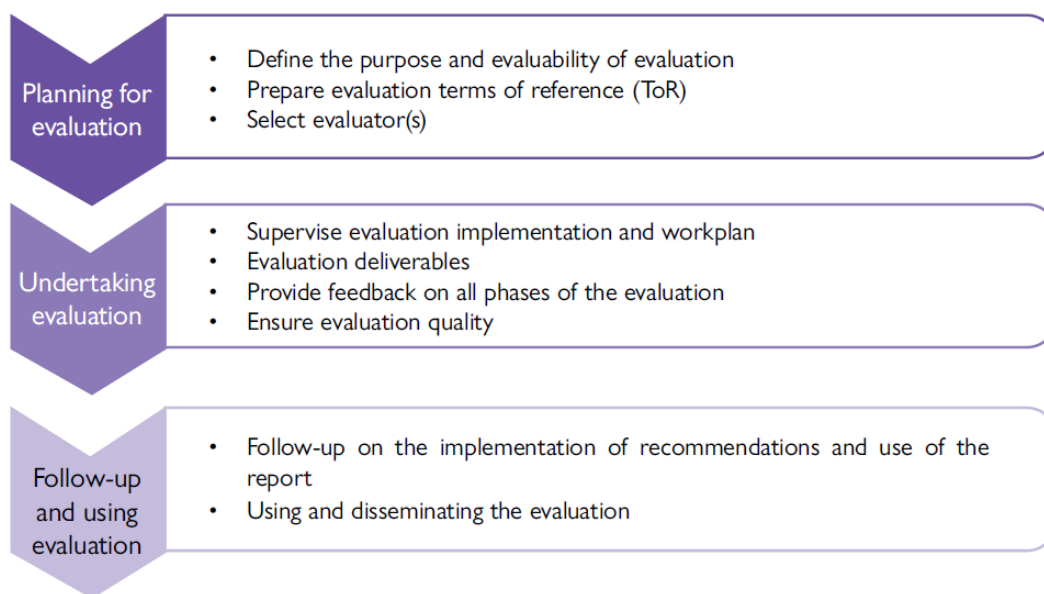# GUIDANCE NOTE FOR EVALUATION MANAGERS

INTRODUCTION

This Guidance is part of a common set of guidance notes issued by the Central Evaluation function of IOM as part of the OIG Monitoring and Evaluation Strategy 2021-2023 for the management of evaluation and monitoring functions and supports the implementation of the IOM Evaluation Policy (September 2018). Guidance notes are technical documents that set IOM standards and provide explanations on the processes and methodologies used for conducting both monitoring as well as evaluation (M&E) work at IOM.

This Guidance Note is aimed at IOM staff who will manage evaluations, hereinafter referred to as Evaluation Managers (EM). Very often in IOM, Evaluation Managers are also the Programme Managers (PM). The Guidance Note will guide them in the process of managing the conduct of an evaluation and direct them to the relevant documentation for further information. It has been developed in the form of a checklist to ease its utility as well as to ensure that all steps are considered and followed chronologically throughout the process.

The key source of reference for evaluation managers is the 'Evaluation' page of the M&E Guidelines, which provides an extensive overview and guidance on evaluation at IOM. The Evaluation Policy provides on its side an overview of the expectations, roles and responsibilities for Evaluation. Finally, should the management of evaluation concern an IDF project, the Evaluation Guidelines for IOM Development Fund Projects should then also be reviewed.

The following provides a short overview of the process of managing an evaluation

Planning for evaluation	• Define the purpose and evaluability of evaluation • Prepare evaluation terms of reference (ToR) • Select evaluator(s)
Undertaking evaluation	• Supervise evaluation implementation and workplan • Evaluation deliverables • Provide feedback on all phases of the evaluation • Ensure evaluation quality
Follow-up and using evaluation	• Follow-up on the implementation of recommendations and use of the report • Using and disseminating the evaluation

Source: 'Planning for Evaluation' section, 'Evaluation' page, IOM M&E Guidelines

CHECKLIST FOR EVALUATION MANAGERS

	Step	Key Information	References
		Planning for Evaluation	
☐	**1. Planning for an evaluation**	Planning for the evaluation typically occurs a few months before the evaluation takes place and involves three main components: (a) defining the purpose and evaluability of the evaluation. (b) preparing the evaluation terms of reference (ToR). (c) selecting the evaluators.	'Evaluation' page, subsection on 'Planning for Evaluation'
☐	a) Defining the purpose and evaluability of evaluation	The first step in planning for an evaluation is to define the purpose and evaluability of an evaluation. The evaluation purpose describes the overall reason why the evaluation is being conducted and its expected results. To define the purpose and assess the evaluability of an evaluation, Evaluation Managers must be aware of the common types of evaluations, methodologies, and evaluation criteria. They should also consider if other stakeholders need to be involved in the planning, preparation and conduct of the evaluation. It is also important to update and review the information on PRIMA concerning the evaluation. The Evaluation tab in PRIMA provides an overview of the timing of the evaluation, and whether the evaluation will be internal or external. The budget should show the funding available for the evaluation. Information on the commissioner could also be useful if commissioned for instance by the donor and/or government.	'Evaluation' page, subsection on 'Defining the purpose and evaluability of evaluation' PRIMA End-User Training Guide 'Evaluation' page, subsection on 'Planning for Evaluation'
☐	i. Commissioning and initial planning: Funding and type of evaluator	If there was no or limited funding for the evaluation, the EM should discuss with the PM, the CoM and the Regional M&E Officer to determine what may be feasible and if it is worth commissioning an evaluation. Solutions could be identifying an amount for the evaluation, limiting the scope of the evaluation by for instance limiting the selection of evaluation criteria to the most relevant, considering that an internal evaluator is a low-cost solution but with its limitations, combining the evaluation with another one for a programmatic or thematic approach. Some of these approaches may require discussion and agreement with the Donor.	'Evaluation' page, subsection 'Select Evaluators' on Internal vs external evaluators 'Evaluation' page, subsection 'Planning for Evaluation' on Types of evaluation Continuity of Monitoring and Evaluation Interventions during COVID-19

☐	ii.	Considering stakeholder engagement and reference groups set-up	EM should consider to what extent a stakeholder engagement, a reference, a learning, a steering and/or an advisory group may be valuable. Reference groups provide an inclusive and diverse way of having stakeholders engaged and lend ownership, relevance and credibility to the evaluation. They can also support evaluation use at the end of the process. This should be included in the ToR of the evaluation and specific ToRs for the group may be necessary to provide parameters of responsibilities.	'Evaluation' page, subsection 'Roles in Evaluation'
☐	b)	Preparing evaluation terms of reference (ToRs)	Terms of Reference should be developed by the Evaluation Manager and is the most important document to frame the evaluation and ensure that a good quality product will be delivered at the end. The ToR should be reviewed by other stakeholders such as the PM or members of the project team, the Regional M&E Officer, or external partners when relevant (see also below). In the case where the Donor has commissioned the evaluation and developed the ToR, IOM should request to have the opportunity to provide input to the ToR.	Prior to developing ToR, EMs should read section on purpose and evaluability of evaluaion, to understand the various elements of Evaluation and the types of evaluation. All these elements will be important in the evaluation. 'Evaluation' page, subsection 'Roles in Evaluation' Subsection 'Prepare evaluation ToR', provides an overview of the components of the ToRs. Annex on IOM Evaluation ToR template After completing the ToRs, the IOM Checklist – Evaluation ToRs should be reviewed.
☐	c)	Selecting evaluators: INTERNAL	The Regional M&E Officer should be consulted. They can identify possible evaluator(s) from the Roster of Internal Evaluators and check their availability.	'Evaluation' page, subsection 'Select Evaluators' on Internal vs external evaluators

		This information will be passed on to the EM who will decide if the candidate is suitable.	
		EMs should consider an extended period to conduct and complete the evaluation by Internal Evaluators once they are selected (a *minimum* of three months), as they have other responsibilities that will continue alongside the evaluation process.	
☐	d) Selecting evaluators: EXTERNAL	An evaluation can be done by an individual consultant, or a firm recruited externally. The decision between an individual consultant or a company should ideally be taken early in the process: for instance, should a team with diversified competencies be required, then a firm may be selected for facilitated contractual purposes (an individual consultant can always build an evaluation team but should include the identified consultant partners in the evaluation proposal). Regional M&E Officers and the Central Evaluation function can provide guidance and suggestion as to how to disseminate the call for proposals for the evaluation.	'Evaluation' page subsection on 'Tips for deciding between an evaluator or a team of evaluators' 'Evaluation' page, subsection on 'Processes for selecting individual consultants or firms'
		EMs should liaise with the Regional M&E Officer or the Central Evaluation function, if unable to determine between a firm or a consultant, and for further guidance on the Request for Proposal for consulting firms versus consultants.	
☐	e) Ensuring understanding of the ethics, norms and standards in evaluation	All TORs should include a statement about the norms and standards of evaluation to be adhered to and respected, as well as ethical principles. IOM uses the UN Evaluation Group (UNEG) Norms and Standards and the UNEG Ethical Guidelines for Evaluation, IOM being a member of UNEG. Evaluation Managers may also ask Evaluator(s) to sign the '*Pledge of Commitment to Ethical Conduct in Evaluation*' of UNEG, which can complement the IOM ethical principles that are included in all IOM contracts.	UNEG Norms and Standards, Ethical guidelines, and Pledge

		Undertaking Evaluation		
☐	2.	**Undertaking the Evaluation**	Once the evaluator(s) is/are selected, the evaluation work itself can start and the evaluation manager has three main tasks to perform: (a) Supervising the evaluation implementation and work plan. (b) Providing feedback on the activities conducted for the development of the report and on the draft report itself. (c) Ensuring quality requirements are understood and quality review is monitored.	'Evaluation' page, subsection on 'Undertaking Evaluation'
☐	a)	Supervising evaluation implementation and workplan	The process of overseeing the implementation of the evaluation implies not only supervising the evaluator(s), but also managing and organizing the collection of documents and other materials for the evaluation, organizing the field visits, interviews and written surveys, as well as maintaining communication with key stakeholders. As a complement to the ToRs and the contract, the Guidance for Evaluators is shared with the evaluator(s) to ensure that expectations are understood and that the process is transparent. The EM should review the document and links to ensure that they correspond with the needs of the specific evaluation and provide any additional information and support that may be needed.	'Evaluation' page, subsection on 'Supervise evaluation implementation and work plan' Guidance for Evaluators
☐	b)	Evaluation deliverables	The EM should review each deliverable and ensure that expectations and quality requirements are met throughout. Deliverables may need to be shared with other stakeholders such as the PM, the implementation team, a reference group etc. EM is responsible for compiling the feedback and sending one response to the evaluator(s) with coordinated feedback. Open and clear communication with the evaluator(s) and other stakeholders is key, consider: - Setting up regular meetings - Planning meetings with reference groups - Discussing expectations from the beginning - Discussing any points of disagreement or confusion. Some deliverables issued before the final product may also require the approval of other stakeholders in addition to the EM, for instance, the commissioner or the management group. Such an approval process needs to be discussed during the preparation phase and may be explicitly mentioned in the ToR.	'Evaluation' page, subsection on 'Evaluation deliverables' 'Evaluation' page, subsection on Providing feedback Guidance on Quality Management of IOM Evaluations

☐	c)	Providing feedback on all phases of the evaluation	Feedback should focus on the technical aspects of the evaluation and factual evidence. Regional M&E officers and/or the Central Evaluation function can assist if there is such a disagreement. If the Evaluation Manager and evaluator(s) do not reach an agreement on the interpretation of data and/ or on the conclusions and recommendations that flow from it, the EM can prepare a management opinion, highlighting the disagreements with justifications.	'Evaluation' page, subsection on Providing feedback On the management opinion, see Management Response and Follow-up on IOM Evaluation Recommendations
☐	d)	Ensuring evaluation quality	By reviewing each deliverable and having an open dialogue with the evaluator(s), the EM should be able to identify potential quality concerns in the evaluation early. In such cases, Regional M&E Officers can be consulted to identify the possible recourse for rectifying the situation or, in extreme circumstances, the EM can discuss with the Regional M&E Officer and/or the Central Evaluation function about terminating an agreement in line with contractual conditions. In the case of termination, LEG would need to be consulted before informing the evaluator. For internal evaluators not meeting required quality expectations, the EM can initiate discussions with the Regional M&E officers to identify another IOM staff knowledgeable of evaluation that can complete the exercise satisfactorily if discussions on improvements have not been successful.	Guidance on Quality Management of IOM Evaluations

Follow-up Evaluation and Using Evaluation				
☐	3.	**Follow-up Evaluation and Using Evaluation**	After receiving all the deliverables, including the final evaluation report, the evaluator(s)' role has been completed and the Evaluation Manager should follow the following steps: (a) Follow-up on the implementation of recommendations and use of the report (b) Using and disseminating the evaluation.	'Evaluaton' page, subsection on follow-up and use
☐	a)	Following-up on the implementation of recommendations and use of report	EMs are responsible for ensuring that the management response matrix is complete. The management response will be attached to the final evaluation and made available in the Evaluation Repository.	Management Response and Follow-up on IOM Evaluation Recommendations PRIMA End-User Training Guide

			It can either be filled out in the template offline and then uploaded in PRIMA or filled out directly into PRIMA. Inclusion in PRIMA is mandatory for all PRIMA registered projects. It is important that all deliverables be included in PRIMA as the Central Evaluation function and PRIMA are working on facilitating the access to the evaluation reports and management responses within the Evaluation Repository. It will avoid unnecessary work for the Evaluation Managers. If you are not sure on how to do enter data and deliverables, please contact PRIMA or the Central Evaluation function. Evaluation management responses should be followed up on a regular basis until all the follow-up actions have been implemented or are no longer applicable. The EM could facilitate this process by identifying specific staff to be in charge of this follow-up.	
☐	i)	Final evaluation report and Management Response	Once the final evaluation report, the brief and the management response have been completed, these should be submitted to DPP/Evaluation together within this FORM for inclusion in the Evaluation Repository. This would be added to the repository within a two-month period. As specified in IOM Evaluation Policy, all evaluations will be included in the Evaluation Repository available to the public and all staff worldwide, except if not meeting quality standards or at the request of the commissioner if containing sensitive information. In such exceptional cases, the reports will be available only internally with restrictions for further distribution. Should any questions about the publication of the report arise, the Central Evaluation function can address them through eva@iom.int. At one point, PRIMA will eventually replace the need for the Office Form to submit your evaluation.	Evaluation Repository FORM
☐	b)	Using and disseminating the evaluation	The EM, together with the PM and/or the Chief of Mission / Head of Office should agree on how to disseminate the evaluation. The link to the Evaluation Repository can be shared with relevant stakeholders such as implementing partners, donors, and the government to ensure that the evaluation can be used by all parties.	'Evaluation' page, subsection on using and disseminating the evaluation

		There are many ways of communicating the results of the evaluation. Ideas and examples are provided below.	

Generating Use of Evaluation by Communicating on Results

Evaluation use should preferably be discussed at the planning stage of an evaluation for example to include a budget to develop communication products and/or to ask to prepare communication products such as video recording of the key findings or workshops in the evaluator(s)' TOR. Plans to further develop some of these evaluation products may be discussed with IOM media and communication staff as well as with Knowledge Management focal points. Engaging direct and potential users from the beginning may also be useful.

Below are examples of ways to communicate the results of an evaluation to ensure wide knowledge, readership and understanding. It also means that IOM needs to be prepared to explain which necessary steps will be taken to improve implementation. IOM staff should liaise with Regional M&E Officers to inform them about their communication efforts and share other methods that they may be interested to use.

Webinar with stakeholders, including donors	A webinar can be organized with the evaluator(s) presenting the evaluation finding and IOM its response. It is an opportunity to show transparency, effective use and what IOM will be doing related to the recommendations of the evaluation. The webinars can also be used as a means of consultation with the stakeholders to agree on joint efforts and activities and to promote a **participatory approach** towards the evaluation exercise. Informing beneficiaries of a project on the feedback from an evaluation is strongly encouraged whenever possible and in particular, if they have been involved in surveys or other preparatory events, such as focus groups for the development of the TOR. Here is an example of a validation workshop undertaken by WFP. The webinar/workshop could also be done through different formats such as a panel discussion, or a roundtable to present it in various ways. For example, this impact evaluation was presented to external stakeholders through a panel discussion facilitated by IOM.
Webinar with IOM staff	A webinar can be organized with IOM staff as a means of sharing the results of the evaluation and providing an opportunity for others to learn about the programme evaluated. This could be jointly organized with the regional office or a specific department in HQ. The programme implementation team participation remains important, being fully aware of the evaluation and way forward.
Identifying short opportunities to present the findings	Short presentations of the evaluation and the way forward can be organized in conjunction with other events such as conferences, regional meetings, thematic meetings etc. to raise awareness of the evaluation and IOM's efforts to adapt accordingly. For this, a presentation may be developed by the evaluator(s) as part of the initial deliverables suggested.
Infographic of the evaluation	In addition to the evaluation brief that is required for all evaluations, an infographic may also be useful to capture key information about the evaluation, in particular for beneficiaries as a means of providing key information of relevance to them. Here is an example from IFAD of an infographic of an evaluation. Here is another example of an infographic from an IAHE evaluation.
Social media posts	Offices could consider providing key messages in the forms of Tweets or posts in various social media forums to highlight key elements of the evaluation and share links to the evaluation. The messages can focus on a specific finding and/or recommendation

	to draw the attention of the viewers. See an example of the messages proposed for one interagency evaluation. Here is another example of a notification of the release of an evaluation from IFAD: New evaluation product from IFAD: Republic of Sierra Leone Country Strategy and Programme Evaluation (MailChimp.mp). Here is another example of a notification of the release of an evaluation from IAHE: The Inter-Agency Humanitarian Evaluation (IAHE) on Gender Equality and the Empowerment of Women and Girls (GEEWG) evaluation.
Yammer posts	Internally, offices can provide key messages in the form of Yammer posts to highlight key elements of the evaluation and share links to the evaluation. The messages can focus on a specific finding and/or recommendation to draw the attention of the IOM staff.
Videos	Videos of the evaluation exercise can also be produced. Ideally, this could be planned alongside the evaluation so that it can be finalized in parallel with the evaluation. In the event it was not done, the video can still be recorded later including short interviews with key staff (PMs, the evaluators, and other stakeholders). Example: Joint Evaluation IOM/UNDP with video on evaluation Please find below the audio-visual (AV) evaluation initiative on EU funded and IOM implemented projects. Overview page FR http://www.collateralcreations.com/Collateral-Creations-va-realiser EN http://www.collateralcreations.com/Collateral-Creations-va-realiser?lang=en Video link (short) http://www.collateralcreations.com/Collateral-Creations-va-realiser?lang=en
Screensaver for IOM	In coordination with IT, the evaluation can be advertised through the IOM screensavers to draw the attention of staff to the evaluation.
Podcasts	A podcast could be recorded on the evaluation and its findings. Here is an example of a podcast series from the independent office of evaluation at IFAD.