

**Monitoring  
&  
Evaluation  
Framework**



**UNISDR**

The United Nations Office for Disaster Risk Reduction

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## 1. Introduction to Monitoring & Evaluation

Monitoring and evaluation enhance the effectiveness of UNISDR assistance by establishing clear links between past, present and future interventions and results. Monitoring and evaluation can help an organization to extract, from past and ongoing activities, relevant information that can subsequently be used as the basis for programmatic fine-tuning, reorientation and planning. Without monitoring and evaluation, it would be impossible to judge if work was going in the right direction, whether progress and success could be claimed, and how future efforts might be improved.

The purpose of this Framework is to provide a consistent approach to the monitoring and evaluation of the UNISDR' Programmes and Projects, so that sufficient data and information is captured to review the progress and impact of UNISDR Work Programme. Lessons learned will also be used to inform best practice guidelines.

An overarching Monitoring and Evaluation Framework is being developed for the Accord as a whole. As part of this, Programme and Project level results indicators and performance measures have been drafted and key evaluation questions identified. This Framework sets out the proposed minimum monitoring and evaluation requirements to enable effective review of the UNISDR.

### 1.1 Why Monitoring & Evaluation?

Monitoring and evaluation help improve performance and achieve results. More precisely, the overall purpose of monitoring and evaluation is the measurement and assessment of performance in order to more effectively manage the outcomes and outputs known as development results. Performance is defined as progress towards and achievement of results. As part of the emphasis on results in UNISDR, the need to demonstrate performance is placing new demands on monitoring and evaluation. Monitoring and evaluation focused on assessing inputs and implementation processes. The focus is on assessing the contributions of various factors to a given development outcome, with such factors including outputs, partnerships, policy advice and dialogue, advocacy and brokering/coordination. Programme

### 1.2 Purposes and Definitions

Managers are being asked to actively apply the information obtained through monitoring and evaluation to improve strategies, programmes and other activities.

The main objectives of today's results-oriented monitoring and evaluation are to:

- Enhance organizational and development learning;
- Ensure informed decision-making;
- Support substantive accountability and UNISDR's repositioning;
- Build the capacities of UNISDR's regional offices in each of these areas and in monitoring and evaluating functions in general.

These objectives are linked together in a continuous process, as shown in Figure 1.

Learning from the past contributes to more informed decision-making. Better decisions lead to greater accountability to stakeholders. Better decisions also improve performance, allowing for

UNISDR activities to be repositioned continually. Partnering closely with key stakeholders throughout this process also promotes shared knowledge creation and learning, helps transfer skills for planning, monitoring and evaluation. These stakeholders also provide valuable feedback that can be used to improve performance and learning. In this way, good practices at the heart of monitoring and evaluation are continually reinforced, making a positive contribution to the overall effectiveness of development.

### **1.3 Definitions of Monitoring and Evaluation**

**Monitoring** can be defined as a continuing function that aims primarily to provide the management and main stakeholders of an ongoing intervention with early indications of progress, or lack thereof, in the achievement of results. An ongoing intervention might be a project, programme or other kind of support to an outcome.

**Evaluation** is a selective exercise that attempts to systematically and objectively assess progress towards and the achievement of an outcome. Evaluation is not a one-time event, but an exercise involving assessments of differing scope and depth carried out at several points in time in response to evolving needs for evaluative knowledge and learning during the effort to achieve an outcome. All evaluations, even project evaluations that assess relevance, performance and other criteria need to be linked to outcomes as opposed to only implementation or immediate outputs.

**Reporting** is an integral part of monitoring and evaluation. Reporting is the systematic and timely provision of essential information at periodic intervals.

Monitoring and evaluation take place at two distinct but closely connected levels: One level focuses on the outputs, which are the specific products and services that emerge from processing inputs through programme, project and other activities such as through ad hoc soft assistance delivered outside of projects and programmes.

The other level focuses on the outcomes of UNISDR development efforts, which are the changes in development conditions that UNISDR aims to achieve through its projects and programmes. Outcomes incorporate the production of outputs and the contributions of partners.

Two other terms frequently used in monitoring and evaluation are defined below:

**Feedback** is a process within the framework of monitoring and evaluation by which information and knowledge are disseminated and used to assess overall progress towards results or confirm the achievement of results. Feedback may consist of findings, conclusions, recommendations and lessons from experience. It can be used to improve performance and as a basis for decision-making and the promotion of learning in an organization.

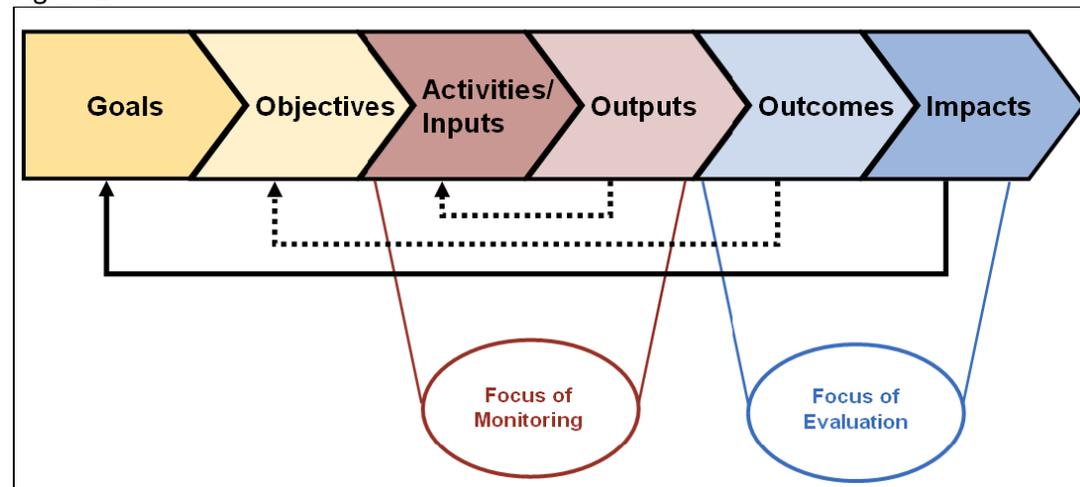
**A lesson learned** is an instructive example based on experience that is applicable to a general situation rather than to a specific circumstance. It is learning from experience. The lessons learned from an activity through evaluation are considered evaluative knowledge, which stakeholders are more likely to internalize if they have been involved in the evaluation process. Lessons learned can reveal “good practices” that suggest how and why different strategies work in different situations valuable information that needs to be documented.

## 2. M&E Framework

Monitoring tracks mainly the use of inputs (activities) and outputs, but in some degree also tracks (intermediate) outcomes.

In contrast, evaluation takes place at specific moments, and permits an assessment of a program's progress over a longer period of time. Evaluation tracks changes and focuses more on the outcome and impact level. This is illustrated by the following graphic, which shows the link of the chain of inputs, outputs, outcomes and impacts with the planning cycle.

Figure 1



Output measurement shows the realization of activities. Outcome measurement shows in what degree direct objectives and anticipated results are realized. And impact assessment shows the degree in which the overall objective or goal of the program is realized. Without defining clear and measurable goals, objectives and activities at the design stage, M&E becomes an impossible endeavor. This requires the development of measurable indicators: Specific, Measurable, Achievable / Agreed upon, Relevant/Realistic, Time-bound (SMART) that permit objective verification at a reasonable cost.

At the same time more qualitative indicators also need to be developed, particularly for the outcome and impact level: Subjective, Participatory, Interpreted and communicated, Compared/Cross-checked, Empowering, Diversity/Desegregation (SPICED). These SPICED qualitative indicators address more subjective aspects in M&E.

The first step is to decide on the scope, recognizing that all the activities described above may be necessary, but that the resources and capacity of the UNISDR for M&E are likely to be limited. Specific M&E requirements (e.g. for donor-funded projects) will be priorities. Beyond these, a careful balance is needed between investing resources in management activities and in assessing their impact. Second, appropriate indicators (i.e. units of information that, when measured over time, will document change) must be selected, as it is not possible to monitor every species or process. A baseline assessment of ecological and socioeconomic characteristics and of the threats is thus essential. In many cases, unrealistic indicators are selected that are

too difficult to measure regularly with available skills and capacity, or that are found later not to measure impact or success.

## 2.1 Performance Indicators

Performance indicators are measures of inputs, processes, outputs, outcomes, and impacts for development projects, programs, or strategies. When supported with sound data collection—perhaps involving formal surveys—analysis and reporting, indicators enable managers to track progress, demonstrate results, and take corrective action to improve service delivery. Participation of key stakeholders in defining indicators is important because they are then more likely to understand and use indicators for management decision-making.

Setting performance targets and assessing progress toward achieving them.

- Identifying problems via an early warning system to allow corrective action to be taken.
- Indicating whether an in-depth evaluation or review is needed.

## 2.2 Selecting Indicators

Selection must be based on, a careful analysis of the objectives and the types of changes wanted as well as how progress might be measured and an analysis of available human, technical and financial resources.

A good indicator should closely track the objective that it is intended to measure. For example, development and utilization of DRR Action Plans would be good indicators if the objective is to reduce disaster risks at national and local levels. Selection should also be based on an understanding of threats. For example, if natural disasters are a potential threat, indicators should include resources and mechanisms in place to reduce the impact of nature disasters. Two types of indicator are necessary:

- 1) **Outcome / Impact indicators** (that measure changes in the system (e.g. resource allocation for DRR based on Strategic Action Plans)
- 2) **Output / Process indicators** (that measure the degree to which activities are being implemented (e.g. number of stakeholder developed Strategic Action Plans).

Note that it may be difficult to attribute a change, or effect, to one particular cause. For example, resource allocation for DRR could be due to good management of the DRR agencies / authorities outside the UNISDR support.

A good indicator should be precise and unambiguous so that different people can measure it and get similarly reliable results. Each indicator should concern just one type of data (e.g. number of UNISDR supported Strategic Action Plans rather than number of Strategic Action Plans in general). Quantitative measurements (i.e. numerical) are most useful, but often only qualitative data (i.e. based on individual judgments) are available, and this has its own value. Selecting indicators for visible objectives or activities (e.g. early warning system installed or capacity assessment undertaken) is easier than for objectives concerning behavioral changes (e.g. awareness raised, community empowerment increased).

### 2.3 Criteria for Selecting Indicators

Choosing the most appropriate indicators can be difficult. Development of a successful accountability system requires that several people be involved in identifying indicators, including those who will collect the data, those who will use the data, and those who have the technical expertise to understand the strengths and limitations of specific measures. Some questions that may guide the selection of indicators are:

- **Does this indicator enable one to know about the expected result or condition?**  
Indicators should, to the extent possible, provide the most direct evidence of the condition or result they are measuring. For example, if the desired result is a reduction in human loss due to disasters, achievement would be best measured by an outcome indicator, such as the mortality rate. The number of individuals receiving training on DRR would not be an optimal measure for this result; however, it might well be a good output measure for monitoring the service delivery necessary to reduce mortality rates due to disasters.

Proxy measures may sometimes be necessary due to data collection or time constraints. For example, there are few direct measures of community preparedness. Instead, a number of measures are used to approximate this: community's participation in disaster risk reduction initiatives, government capacity to address disaster risk reduction, and resources available for disaster preparedness and risk reduction. When using proxy measures, planners must acknowledge that they will not always provide the best evidence of conditions or results.

- **Is the indicator defined in the same way over time? Are data for the indicator collected in the same way over time?**  
To draw conclusions over a period of time, decision-makers must be certain that they are looking at data which measure the same phenomenon (often called reliability). The definition of an indicator must therefore remain consistent each time it is measured. For example, assessment of the indicator successful employment must rely on the same definition of successful (i.e., three months in a full-time job) each time data is collected. Likewise, where percentages are used, the denominator must be clearly identified and consistently applied. For example, when measuring children mortality rates after disaster over time, the population of target community from which children are counted must be consistent (i.e., children ages between 0 - 14). Additionally, care must be taken to use the same measurement instrument or data collection protocol to ensure consistent data collection.
- **Will data be available for an indicator?**  
Data on indicators must be collected frequently enough to be useful to decision-makers. Data on outcomes are often only available on an annual basis; those measuring outputs, processes, and inputs are typically available more frequently.
- **Are data currently being collected? If not, can cost effective instruments for data collection be developed?**  
As demands for accountability are growing, resources for monitoring and evaluation are decreasing. Data, especially data relating to input and output indicators and some standard outcome indicators, will often already be collected. Where data are not

currently collected, the cost of additional collection efforts must be weighed against the potential utility of the additional data.

- **Is this indicator important to most people? Will this indicator provide sufficient information about a condition or result to convince both supporters and skeptics?**

Indicators which are publicly reported must have high credibility. They must provide information that will be both easily understood and accepted by important stakeholders. However, indicators that are highly technical or which require a lot of explanation (such as indices) may be necessary for those more intimately involved in programs.

- **Is the indicator quantitative?**

Numeric indicators often provide the most useful and understandable information to decision-makers. In some cases, however, qualitative information may be necessary to understand the measured phenomenon.

#### **2.4. IMDIS and HFA Linkages**

Integrated Monitoring and Documentation Information System (IMDIS) is UN Secretariat-wide performance monitoring plan against the Biennial UN Strategic Framework. It has been accepted and utilized as the UN Secretariat-wide system for programme performance monitoring and reporting including the preparation of the Secretary-General's Programme Performance Report. It has been enhanced to adapt to the needs of results-based planning and monitoring.

The General Assembly affirmed the responsibilities of Programme Managers in the preparation of the Programme Performance Report (PPR) and reassigned the programme monitoring functions, and the task of preparing the PPR based on the inputs, from the Office of Internal Oversight Services (OIOS) to the Department of Management (DM).

Therefore, to fulfill the responsibilities for the Programme Performance Report (PPR), output level performance monitoring indicators for UNISDR Biennium will be categorized according to the Final Outputs defined in the Integrated Monitoring and Documentation Information System (IMDIS). Categorizing UNISDR's performance monitoring indicators will help programme officers in monitoring and reporting requirements for IMDIS output reporting. These final output categories from IMDIS are listed below:

- Substantive Service of Meetings
- Parliamentary documentation
- Expert groups, rapporteurs, depository services
- Recurrent publications
- Non-recurrent publications
- Other substantive activities
- International cooperation, inter-agency coordination and liaison
- Advisory services
- Training Courses, seminar and workshops
- Fellowships and grants
- Field projects
- Conference services, administration, oversight

Similarly, output level indicators from UNISDR's Work Plan will also be linked with the five (5) priority areas of the Hyogo Framework of Action (HFA). These linkages will help identify UNISDR's contribution towards achieving HFA Goals.

## **2.5 Implementing M&E**

Given the complexity of M&E, a general plan (Performance Monitoring Plan) should be developed for the UNISDR comprising:

- A timetable for the main activities and components;
- Indicators and data collection methods;
- Responsibilities for each component;
- Reporting requirements (i.e. formats, frequency) for the protected area agency, donor and other authorities;
- Budget (note that funding for different components may come from different sources).

Since monitoring often appears less immediately important than day-to-day management issues, M&E responsibilities must be clearly specified in the TOR of relevant staff, and adequate time made available for analysis and interpretation. Compliance with the tasks specified in the M&E plan should be monitored and adjustments made as appropriate. Separate plans may be required for particular components (e.g. monitoring level of preparedness, which will involve specific methods, schedules and personnel). However, the various sectoral components must be integrated into the overall M&E plan.

Monitoring is best carried out by, or with the full involvement of, UNISDR personnel and relevant stakeholders. It may be necessary, and is often beneficial, to use external researchers (and in the case of evaluations, external consultants); but in such cases it is essential that results are passed back to the UNISDR and used for management decisions. Involvement of stakeholders such as private sector, governments, inter-governmental organizations, UN system partners, DRR advocates, civil society organizations regional, sub-regional organizations, national authorities, local communities and can raise awareness about the UNISDR, provide useful information and feedback, and increase general capacity.

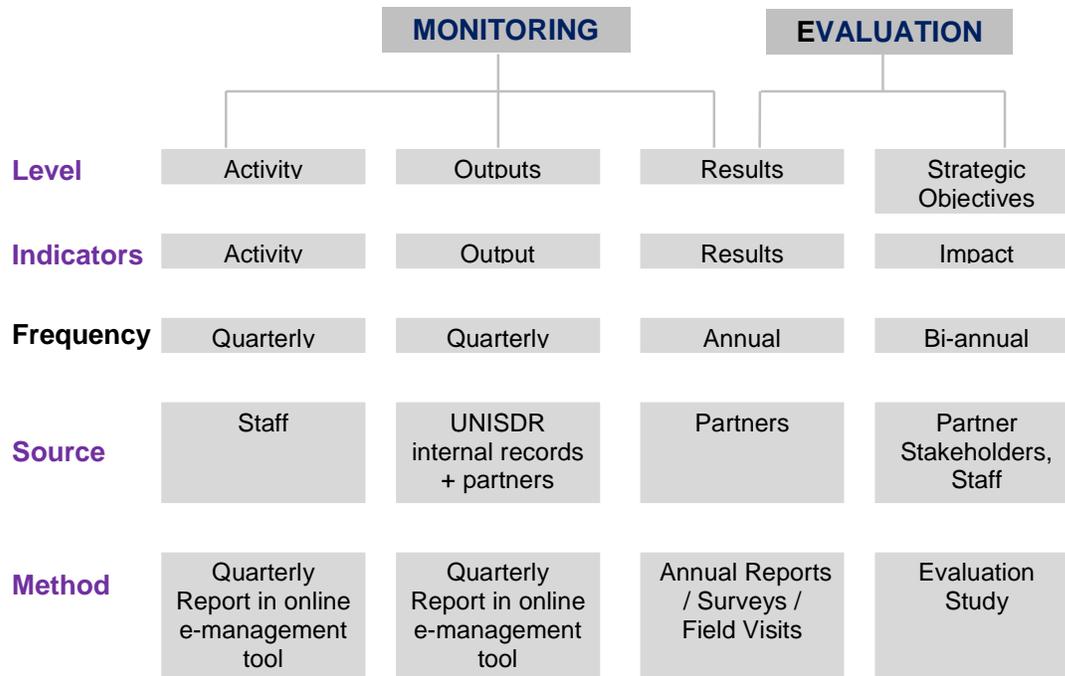
The frequency of data gathering (e.g. biennial, annual and monthly) depends on the parameter monitored. For example, annual monitoring of level of preparedness at National and local level may be adequate, but monitoring capacity building initiatives might need to be done quarterly. Simple methods are often the best.

## **2.6 Performance Monitoring Plan (PMP)**

Performance monitoring plans is extremely useful for proper implementation of Monitoring and Evaluation Activities.

Monitoring and Evaluation are two different types of exercise in the project management cycle, although they are designed to complement each other, but they should be carried out separately in order to have unbiased assessment on the implementation of programmes and projects. Therefore in the PMP they both must be dealt separately because frequency, approach, methodology and scope are different for both exercises. Two separate plans will be developed to address the need and methodology of both the exercises, as described in Figure 2.6.1 below.

Figure 2.6.1



## 2.7 Monitoring

### i. Definition of Indicator should be clearly defined in the PMP.

Definition / detailed narration of indicators will be mentioned against each indicator for proper data collection. The definition / explanation of indicators is extremely important in terms of proper clarification and common understanding of needs for data collection.

### ii. Type of Indicator

As mentioned above there are two main types of Indicators (Impact / Outcome Indicator and Output Indicators). Therefore, it must be clearly defined in the PMP, because data collection for both of the indicators would be different. Generally, data collection for Impact / Outcome indicators are undertaken during the Evaluation Exercise and data collection for output indicators are undertaken during regular monitoring exercises. But again this is not hard and fast rule for Monitoring & Evaluation. Both types of indicators can be part of Monitoring or Evaluation exercises, depending on the scope and frequency of the data collection exercise(s).

### iii. Nature / Category of Indicators

Nature of Indicators must also be clearly defined in the PMP, i.e. Quantitative / Qualitative. Approach, data collection methodology and tools may differ for these two categories of indicators.

### iv. Unit of Measurement (UoM)

Unit of measurement for indicators is extremely important in data collection exercise. The unit against each indicator must be clearly defined for proper data collection in order to measure the level of achievement against the indicators.

**v. Targets**

Biennial targets must be set in the Performance Monitoring Plan. Target should be realistic, and should be set at the time of biennial planning in consultations with the stakeholders and partners. The targets can be revisited and revised at the time of annual review. All the targets must be in quantitative form, even for the qualitative indicators, target should be quantitative in order to assess the level of progress against them.

**vi. Baseline**

Baseline is extremely important in assess the level of progress achieved by any programme / project. Baseline provides a benchmark at different point of project implementation, for comparison and analysis with actual progress. This is proposed that UNISDR should conduct at least two Baseline exercise in order to establish benchmark for the progress, once at the beginning of biennium and once at the mid of the biennium. However it is also appropriate to conduct baseline only once at the start of biennium and at the mid progress made against the indicator considered as baseline for next year.

**vii. Data collection frequency**

Defining frequency for each category and type of indicator is extremely important. As described earlier, data collection frequency depends on the type, category and availability of financial / human resource for M&E. For instance data collection frequency for Impact / Outcome indicator may differ from Output Indicators, depending on the methodology and approach. Therefore, for monitoring of output level indicators, data collection frequency will be on quarterly basis, and outcome level indicators will be tracked on yearly basis.

**viii. Data collection source(s)**

Data collection sources may also differ for different categories and types of indicators in the PMP. Therefore, careful selection of data collection sources should be decided and mentioned in the PMP. There should be more than one data sources, in order to triangulate the information. For each indicator, there should be at least two sources i.e. primary and secondary data sources.

**ix. Data collection methodology / Tools**

Methodology for data collection is a vital component of Performance Monitoring Plan. Data collection methodology usually depends on the category and type of the indicator. For instance data collection methodology for Impact / Outcome indicators may be different from Output indicators, because Impact / Outcome indicators demand information to be collected from the grass-root level were activities are actually being carried out, in order to assess actual outcome / impact of the activities.

In contrast to the Outcome / Impact indicators, data collection methods for most of the Output level indicators in case of UNISDR would be its regular reporting mechanism through regional and HQ section offices. Tools / instruments being used for data collection should also be decided and described in the PMP, specifically for the Qualitative indicators, where information collected during the process need to be quantified for proper assessment. Some of the most common and relevant data collection methods and tools are defined hereunder:

Examples of different data collection methods are given below.

- **Periodic Progress Reports:** Annual / Quarterly Progress Reports submitted by the UNISDR partners
- **Project Completion Reports:** Project completion reports by UNISDR's partners
- **Field visits:** Field visits to UNISDR system partners in different countries
- **External assessments / monitoring:** Assessment / monitoring exercises by external organizations, collaborators and consultants.
- **Evaluations:** Internal and external Evaluation exercise by organizations or individual consultants
- **Stakeholder meetings:** Periodic stakeholder meetings with UNISDR's implementing partners
- **Reviews:** Annual reviews / evaluation studies by the partners / donors
- **Behavior Observation Checklist:** a list of behaviors or actions among participants being observed. A tally is kept for each behavior or action observed. This method is commonly used against qualitative indicator for proper data collection
- **Opinion Surveys:** an assessment of how a person or group feels about a particular issue.
- **Performance tests:** testing the ability to perform or master a particular skill.
- **Delphi Technique:** a method of survey research that requires surveying the same group of respondents repeatedly on the same issue in order to reach a consensus.
- **Self-Ratings:** a method used by participants to rank their own performance, knowledge, or attitudes.
- **Questionnaire:** a group of questions that people respond to verbally or in writing.
- **Case Studies:** experiences and characteristics of selected persons involved with a project.
- **Individual Interviews:** individual's responses, opinions, and views.
- **Group Interviews:** small groups' responses, opinions, and views.
- **Wear and Tear:** measuring the apparent wear or accumulation on physical objects, such as a display or exhibit.
- **Panels, Hearings:** opinions and ideas.
- **Document Review / Records:** information from records, files, Reports or receipts.
- **Simulations:** a person's behavior in simulated settings.

#### x. Data collection responsibility

The responsibilities for monitoring are different at each programming level, where the focus is on higher-level results at each higher level of programming. The office management focuses on the regional and sub-regional Programmes / projects, UNISDR's overall performance and HFA Targets; and the implementation organization involved in the implementation of activities focus on the project documents and outputs.

#### xi. Data analysis / reporting methodology and frequency

Data analysis and reporting is also very important after data collection. In most of the cases, data collection and data analysis frequencies remain same, but in some special cases they both may differ. In UNISDR, data collection and reporting against output level indicators of programmes and projects will be done on bi-annual basis and will be reported in UNISDR Mid-term Progress Report. Data analysis against outcome level

indicators from programmes and projects will be done annually and will be reported in UNISDR's Annual Progress Report.

**xii. Data analysis / reporting responsibility**

Programme officers will prepare two reports i.e. Mid-term Reports (bi-annual) and Annual Progress Report (Annually), against the outputs and results respectively. RBMS Focal Points along Head of Office will be responsible of collecting and compiling all the progress report on bi-annually and annually, and will develop cumulative progress reports for submission to Executive Office. Mid-term reports will be based on the activities/outputs undertaken during the quarter and comprehensive Annual Progress Report will be against the Results and Results Indicators from the UNISR Biennial Work Programmes.

**xiii. Means of Verification (MoV)**

Monitoring demand tangible prove for progress reported against each performance indicator at output and outcome level. These means of verification could be any physical prove of progress reported against indicators e.g. reports, publications, products, policy documents and workshop / seminar reports etc. During the data collection against the indicators, means of verification will be collected against each output and outcome indicators for authentication and verification of reported progress.

## 2.8 Evaluation

Evaluation is the systematic identification of the effects – positive or negative, intended or not – on individual households, institutions, and the environment caused by a given development activity such as a program or project. Evaluation helps us better understand the extent to which activities reach the poor and the magnitude of their effects on people's welfare. Evaluations can range from large scale sample surveys in which populations and control groups are compared before and after, and possibly at several points during program intervention; to small-scale rapid assessment and participatory appraisals where estimates of impact are obtained from combining group interviews, key informants, case studies and available secondary data.

UNISDR's evaluations cycle follows its planning cycle. UNISDR have two tier planning process that includes Long Term Strategic Plan for 05 years and Short Term Biennial Work Programme. An impact evaluation (formative) of UNISDR's performance will be done on every 5 years to inform the development of new strategic framework. Similarly an Outcome (summative) evaluation will be carried out every two years to inform the development of next biennial work programmes. The terms of reference and the type of evaluations UNISDR plan to undergo are explained below.

### 2.8b) Types of Evaluation

There are many different types of evaluations depending on the object being evaluated and the purpose of the evaluation. Perhaps the most important basic distinction in evaluation types is that between *formative* and *summative* evaluation. Formative evaluations strengthen or improve the object being evaluated -- they help form it by examining the delivery of the program or technology, the quality of its implementation, and the assessment of the organizational context, personnel, procedures, inputs, and so on. Summative evaluations, in contrast, examine the effects or outcomes of some object -- they summarize it by describing

what happens subsequent to delivery of the program or technology; assessing whether the object can be said to have caused the outcome; determining the overall impact of the causal factor beyond only the immediate target outcomes; and, estimating the relative costs associated with the object.

**Formative evaluation** includes several evaluation types:

- **needs assessment** determines who needs the program, how great the need is, and what might work to meet the need
- **evaluability assessment** determines whether an evaluation is feasible and how stakeholders can help shape its usefulness
- **structured conceptualization** helps stakeholders define the program or technology, the target population, and the possible outcomes
- **implementation evaluation** monitors the fidelity of the program or technology delivery
- **process evaluation** investigates the process of delivering the program or technology, including alternative delivery procedures

**Summative evaluation** can also be subdivided:

- **outcome evaluations** investigate whether the program or technology caused demonstrable effects on specifically defined target outcomes
- **impact evaluation** is broader and assesses the overall or net effects -- intended or unintended -- of the program or technology as a whole
- **cost-effectiveness and cost-benefit analysis** address questions of efficiency by standardizing outcomes in terms of their dollar costs and values
- **secondary analysis** reexamines existing data to address new questions or use methods not previously employed
- **meta-analysis** integrates the outcome estimates from multiple studies to arrive at an overall or summary judgment on an evaluation question

For UNISDR secretariat it is recommended that both formative and summative evaluation exercises should be conducted. Process Evaluation should be conducted after the implementation of each biennial work programme and an Impact Evaluation should be conducted every four to five years, against the long term Strategic Framework. In addition, Final / Impact Evaluations of different projects, conducted by the donor organizations should be taken into account for impact level assessment of UNISDR interventions. Different ongoing mechanisms for impact assessment of UNISDR's interventions like Global Assessment Report and HFA Review Exercises should be utilized to assess the impacts of UNISDR interventions. These mechanisms will also serve as secondary sources for proper assessment and comparison of different evaluation exercises conducted by UNISDR.

## 2.8b) Evaluation Framework

Often, management wants to know everything about their products, services or programs. However, limited resources usually force managers to prioritize what they need to know to make current decisions.

Program evaluation plans depend on what information need to be collected in order to make major decisions. Usually, management is faced with having to make major decisions due to decreased funding, ongoing complaints, unmet needs among customers and clients, the need to polish service delivery, etc. For example, do we want to know more about what is actually

going on in your programs, whether your programs are meeting their goals, the impact of your programs on stakeholders, etc?

But the more focused we are about what we want to examine by the evaluation, the more efficient we can be in our evaluation, the shorter the time it will take and ultimately the less it will cost (whether in our own time, the time of our employees and/or the time of a consultant).

There are trade offs, too, in the breadth and depth of information we get. The more breadth we want, usually the less depth we get (unless we have a great deal of resources to carry out the evaluation). On the other hand, if we want to examine a certain aspect of a program in great detail, we will likely not get as much information about other aspects of the program.

### **I). Key Considerations:**

Following key questions should be considered for designing a program evaluation.

1. For what purposes is the evaluation being done, i.e., what do we want to be able to decide as a result of the evaluation?
2. Who are the audiences for the information from the evaluation, e.g., stakeholders, UN system partners, donors, inter-governmental organizations, management, staff, etc?
3. What kinds of information are needed to make the decision we need to make and/or enlighten our intended audiences, e.g., information to really understand the process of the product or program (its inputs, activities and outputs), the stakeholders or partners who experience the product or program, strengths and weaknesses of the product or program, benefits to stakeholders (outcomes), how the product or program failed and why, etc.
4. From what sources should the information be collected, e.g., employees, stakeholders, partners and program documentation, etc
5. How can that information be collected in a reasonable fashion, e.g., questionnaires, interviews, examining documentation, observing customers or employees, conducting focus groups among customers or employees, etc.
6. When is the information needed (so, by when must it be collected)?
7. What resources are available to collect the information?

### **II) Evaluation Questions and Methods**

Evaluators ask many different kinds of questions and use a variety of methods to address them. These are considered within the framework of formative and summative evaluation as presented above.

**Informative research the major questions and methodologies are:**

*What is the definition and scope of the problem or issue, or what's the question?*

Formulating and conceptualizing methods might be used including brainstorming, focus groups, nominal group techniques, Delphi methods, brainwriting, stakeholder analysis, synectics, lateral thinking, input-output analysis, and concept mapping.

***Where is the problem and how big or serious is it?***

The most common method used here is "needs assessment" which can include: analysis of existing data sources, and the use of sample surveys, interviews of constituent populations, qualitative research, expert testimony, and focus groups.

***How should the program or technology be delivered to address the problem?***

Some of the methods already listed apply here, as do detailing methodologies like simulation techniques, or multivariate methods like multi-attribute utility theory or exploratory causal modeling; decision-making methods; and project planning and implementation methods like flow charting, PERT/CPM, and project scheduling.

***How well is the program or technology delivered?***

Qualitative and quantitative monitoring techniques, the use of management information systems, and implementation assessment would be appropriate methodologies here.

**The questions and methods addressed under summative evaluation include:**

***What type of evaluation is feasible?***

Evaluability assessment can be used here, as well as standard approaches for selecting an appropriate evaluation design.

***What was the effectiveness of the program or technology?***

One would choose from observational and co relational methods for demonstrating whether desired effects occurred, and quasi-experimental and experimental designs for determining whether observed effects can reasonably be attributed to the intervention and not to other sources.

***What is the net impact of the program?***

Econometric methods for assessing cost effectiveness and cost/benefits would apply here, along with qualitative methods that enable us to summarize the full range of intended and unintended impacts.

Clearly, this introduction is not meant to be exhaustive. Each of these methods, and the many not mentioned, are supported by an extensive methodological research literature. This is a formidable set of tools. But the need to improve, update and adapt these methods to changing circumstances means that methodological research and development needs to have a major place in evaluation work.

### III) Overview of Methods to Collect Information

The following table provides an overview of the major methods used for collecting data during evaluations.

Method	Overall Purpose	Advantages	Challenges
questionnaires, surveys, checklists	when need to quickly and/or easily get lots of information from people in a non threatening way	<ul style="list-style-type: none"> <li>-can complete anonymously</li> <li>-inexpensive to administer</li> <li>-easy to compare and analyze</li> <li>-administer to many people</li> <li>-can get lots of data</li> <li>-many sample questionnaires already exist</li> </ul>	<ul style="list-style-type: none"> <li>-might not get careful feedback</li> <li>-wording can bias client's responses</li> <li>-are impersonal</li> <li>-in surveys, may need sampling expert</li> <li>- doesn't get full story</li> </ul>
interviews	when want to fully understand someone's impressions or experiences, or learn more about their answers to questionnaires	<ul style="list-style-type: none"> <li>-get full range and depth of information</li> <li>-develops relationship with client</li> <li>-can be flexible with client</li> </ul>	<ul style="list-style-type: none"> <li>-can take much time</li> <li>-can be hard to analyze and compare</li> <li>-can be costly</li> <li>-interviewer can bias client's responses</li> </ul>
documentation review	when want impression of how program operates without interrupting the program; is from review of applications, finances, memos, minutes, etc.	<ul style="list-style-type: none"> <li>-get comprehensive and historical information</li> <li>-doesn't interrupt program or client's routine in program</li> <li>-information already exists</li> <li>-few biases about information</li> </ul>	<ul style="list-style-type: none"> <li>-often takes much time</li> <li>-info may be incomplete</li> <li>-need to be quite clear about what looking for</li> <li>-not flexible means to get data; data restricted to what already exists</li> </ul>
observation	to gather accurate information about how a program actually operates, particularly about processes	<ul style="list-style-type: none"> <li>-view operations of a program as they are actually occurring</li> <li>-can adapt to events as they occur</li> </ul>	<ul style="list-style-type: none"> <li>-can be difficult to interpret seen behaviors</li> <li>-can be complex to categorize observations</li> <li>-can influence behaviors of program participants</li> <li>-can be expensive</li> </ul>

#### d. Stakeholders Involvement

Requirement for the involvement of different stakeholder from the region should be identified. Identifies stakeholders should be involved right from the beginning, in planning and design, and throughout the evaluation exercise in information collection, analysis, evaluation reporting and result sharing.

Stakeholder participation is fundamental to UNISDR’s evaluations. The consultant is expected to conduct a participatory evaluation providing for active and meaningful involvement by UNISDR’s partners, beneficiaries and other interested parties. Stakeholder participation is to be an integral component of evaluation design and planning; information collection; the development of findings; evaluation reporting; and results dissemination.

**IV. Responsibilities**

Roles and responsibilities to be carried out by UNISDR and the evaluator should be clearly identified and delineated.

UNISDR should assign a person for evaluation for representing the Agency during the evaluation. The evaluation focal person will be responsible for:

1. Overall responsibility and accountability for the evaluation.
2. Guidance throughout all phases of execution.
3. Approval of all deliverables.
4. Co-ordination of the Agency's internal review process.

The Consultant should be responsible for:

1. Detailed study design in collaboration with UNISDR and its technical team;
2. Conducting the evaluation;
3. The day-to-day management of operations;
4. Regular progress reporting to UNISDR’s evaluation focal person; the development of
5. results;
6. The production of deliverables in accordance with contractual requirements;
7. The Consultant will report to UNISDR’s evaluation focal person.

**V) Duration and Deliverables**

Requirement for deliverables should be adequately identified and described. Target dates should be assigned for the production of deliverables. Duration of the evaluation exercise should be carefully identified to cover all the tasks that had to be performed for successful completion of the study. Following is an example to how deliverable and their time schedule should be defined:

<b>S #.</b>	<b>Deliverable</b>	<b>Duration</b>
1	Methodological framework and work plan for evaluation	X days / weeks
2	Cleaned and fully referenced “electronic data sets” in an agreed format with copies of the original data collection instruments	X days / weeks
3	Full transcripts of all in-depth interviews and focus group discussions in an electronic format	X days / weeks
4	A complete draft report	X days / weeks
4	Final Evaluation report	X days / weeks
	<b>Total Duration</b>	<b>X weeks / Months</b>

## VI) Evaluation Cost

Cost for the evaluation study should be carefully calculated. The basis for payment and payment scheduling should be determined during contract negotiations. Options for method of payment can include:

1. One time at beginning or end of the study (mutually agreed between UNISDR and the consultant)
2. Staged payment, according to the deliverables agreed between UNISDR and the consultant. Sample cost project is given below:

S #.	Deliverable	%age	Amount
1	In the beginning upon signing of the contract	20%	XXXXX
2	Upon submission of Methodological Framework and work plan for evaluation study	30%	XXXXX
3	Upon submission of draft evaluation report	20%	XXXXX
4	Upon submission of Final Evaluation report	30%	XXXXX
	<b>Total Amount</b>		<b>XXXXX</b>

## VII) Evaluator's Qualifications

Requirements for Evaluator's Qualification should be adequately describe the experience, skills and abilities needed to meet management's expectations:

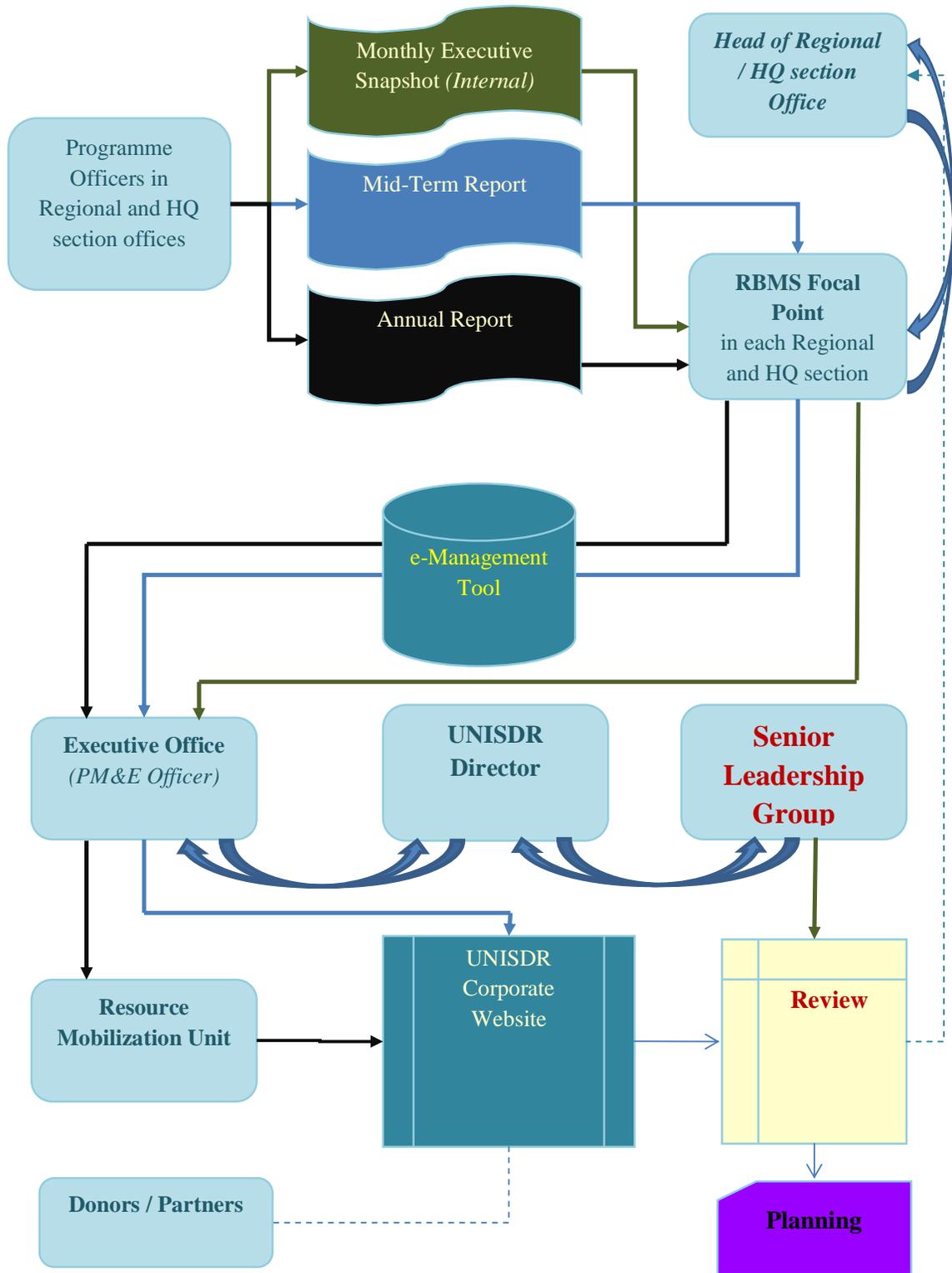
The evaluator must fulfill the following requirements and background:

- Postgraduate degree in economics, social, political science, development studies or equivalent;
- Minimum 8-10 year of progressively responsible professional work experience at the national and international levels in the field of disaster preparedness, mitigation, risk reduction, research
- A reliable and effective project manager with extensive experience in conducting evaluations (preferably with the UN and other international organizations) and a proven record in delivering professional results.
- Experience in working on M&E issues
- Familiarity with advanced evaluation standards, principles and standard guidelines for evaluation. Fully acquainted with UNEG Evaluation guidelines and practices.
- Familiarity with results-based management concepts and the logical framework approach.
- Proven skills in report writing and fluent communication skills in English. (*Fluency in other UN Languages would be an added advantage*)
- Experienced in the region

### 3. REPORTING

#### 3.1 Reporting Mechanism

Report	Frequency Type	Deadline	Responsibility	Format/Features	Utilization / Purpose
Monthly Executive Snapshot	Monthly Incremental	Last Friday of each month	RBMS Focal Points	<ul style="list-style-type: none"> <li>• Update on human resources</li> <li>• Update on financial status</li> <li>• Bulleted progress on activities carried out during the month</li> <li>• Upcoming activities for next month</li> <li>• Challenges / opportunities</li> <li>• Critical issues share with Senior Management</li> </ul>	EO coordinates and follow-up with the RBMS Focal Points in the regional and HQ section offices for the timely submission of the reports. Once submitted, EO further submits the individual reports from each office, to SRSG office. The reports are then utilized to update SRSG on the progress, before her monthly meeting with all the regional and HQ section offices.
Mid-term Review	Annual Cumulative	End of July		<ul style="list-style-type: none"> <li>• Summary of achievements against the Strategic Objectives (One chateaux against each SO)</li> <li>• Progress update against the Results Indicators, at global and regional levels.</li> <li>• Challenges / opportunities</li> <li>• Analysis on the progress</li> <li>• Corrective measures / adjustments required.</li> </ul>	EO coordinates and follow-up with the RBMS Focal Points in the regional and HQ section offices for the timely submission of the reports. Once the report from all the regional and HQ section are received, EO then further reviews the reports and compiles one report at the HQ level. The final product is presented to the SLG for progress updated and further actions.
Annual Report	Annual Cumulative	End of December		<ul style="list-style-type: none"> <li>• Summary of achievements against the Strategic Objectives</li> <li>• Progress update against the Results Indicators, at global and regional levels.</li> <li>• Means of verification for the reported progress against the Results Indicators</li> <li>• Outcome/impact level progress updated against the 5 Programmes</li> <li>• Challenges / opportunities</li> <li>• Good Practices</li> <li>• Feedback from partners.</li> <li>• Financial Updated</li> </ul>	EO coordinates and follow-up with the RBMS Focal Points in the regional and HQ section offices for the timely submission of the reports. Once the report from all the regional and HQ section are received, EO then compiles one report against the Results Indicators. The Results Indicator progress Report is then further shared with Resource Mobilization Unit (RMU), along with rest of the information from offices. The RMU then develops finished product (UNISDR Annual Report), based on it. Once published, the report is shared with the partners and donors. This report is also important in terms of financial management, since the contribution from many donors is subject to completion and submission of this report.



### 3.2 e-Management Tool (e-Tool)

UNISDR has developed an online e-management tool for planning, resource and project management. This online e-management tool follows same approach as described in the Planning Framework for UNISDR. The e-management tool is designed to track all the financial and programmatic information in an organized way, including tracking of monitoring indicators. Programme officers and other staff members utilize his online management system for planning and reporting purposes. Programme officers and RBMS Focal Points are responsible of updating financial and programmatic information in the online e-management tool, Monthly, Bi-annual and annual basis. Progress reporting at activity level is done on Monthly basis along, output level on bi-annual and result level on annual basis. :

**Table 3.2.1**

S #	Stages	Link	Level	Responsibility	Frequency
1	<b>Monthly Executive Snapshot</b>	Annex –II	Progress against activities	Programme Officers	Monthly
2	<b>Mid-term Report</b>	Annex III	Progress against Results Indicators	RBMS Focal Points through Head of Offices	Bi-annual
3	<b>Annual Progress Report</b>	Annex-IV	Progress against Results, Indicators and Programmes	RBMS Focal Points through Head of Offices	Annual

#### 3.2h) Output Reports from e-Management tool

Different output reports will be generated from the e-Management Tool, for proper analysis. These reports will provide basis for further assessment analysis of programme / project achievements, over the period of time. These reports will help us in compiling different Progress Reports for submission to Geneva office and to the donors, as described in the Reporting Mechanism above. Electronic status / progress reporting in online project management system will provide UNISDR with the possibilities to extract and analyze the information in different ways according to the requirements, but mainly following reports will be generated from the online project management system:

- 1) Cumulative UNISDR Progress Report
- 2) Project wise Progress Reports
- 3) Cumulative Activity progress Report
- 4) Cumulative Performance Indicator Progress Report
- 5) Project wise Activity Progress Report
- 6) Project wise Performance Indicator Progress Report
- 7) Cumulative Financial Report
- 8) Project Wise Financial Report



Annex - II



**Mid-term Report**

**Year**  **Unit/RO**

**Result Indicator**

Target	Baseline	Actual	MOVs / Attachments

**A. Analysis on the reported progress** *(Please provide assessment of the progress achieved – 250 word max)*

**B. Challenges / Opportunities** *(25 words max.)*

**C. Adjustments needed** *(Please mentioned if there is some adjustment needed in order to achieve the targets – 250 words max.)*

## Annex - III



## Annual Progress Report

**Year**  **Unit/RO**

**Programme**

**A. Analysis on the achievements against the programme** *(Please provide assessment of the progress achieved against this programme – 1000 words max)*

**A. Analysis on the achievements against the Work Streams** *(progress made against the work streams– 250 words max. for each work stream)*

**Work Stream 1**

**Result Indicator 1**

Target	Baseline	Actual	MOVs / Attachments
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**Work Stream 2**

**Result Indicator 2**

Target	Baseline	Actual	MOVs / Attachments
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**Work Stream 3**

**Result Indicator 3**

Target	Baseline	Actual	MOVs / Attachments
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**Challenges / Opportunities / Lesson Learnt**



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