LEAVING NO ONE BEHIND: EVALUATION for 2030

Proceedings from the 2019 National Evaluation Capacities Conference
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20–24 October 2019, Hurghada, Egypt

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ACKNOWLEDGEMENTS

The United Nations Development Programme (UNDP) Independent Evaluation Office (IEO) and the Ministry of Planning, Monitoring and Administrative Reform of the Government of Egypt partnered to organize the 2019 National Evaluation Capacities Conference. The UNDP IEO is very grateful to the Government of Egypt for its generous contributions, without which the conference would have not been possible.

The UNDP IEO wishes to recognize the excellent collaboration with the Ministry of Planning, Monitoring and Administrative Reform, in particular with Mr. Ahmed Kamaly, Deputy Minister, and his team led by Mr. Gamil Helmy Abdul Wahed, Assistant Minister; Ms. Yara Nour Eldin, Head of Communications; Mr. Ahmed Ragab Seif, Director of Public Relations and Protocol; Ms. Aya Fouda, Events and Conferences Manager; and Ms. Zeina Ossama, Communication and Partnerships Officer.

The UNDP IEO greatly appreciates the engagement of Mr. Mourad Wahba, United Nations Assistant Secretary-General, UNDP Acting Associate Administrator, and Director of the UNDP Regional Bureau for Arab States, and his team in New York, Amman and Egypt.

Additional generous financial support from the Government of Denmark and the World Bank facilitated participation of representatives from a wide range of countries, enriching the exchanges and insights shared during the conference.

The contributions of the World Bank in conceptualizing some of the sessions, under the leadership of Mr. Jos Vaessen, greatly enhanced the quality of the programme. The United Nations Children’s Fund Evaluation Office also provided valuable inputs to the conference workshops and programme and through sponsoring of panellists from several different countries.

Many other United Nations organizations and individuals contributed their time and expertise to make the conference a world-class event. The UNDP IEO gratefully acknowledges the pre-conference workshop trainers – Ms. Ada Ocampo Cobos, Ms. Agathe Devaux, Ms. Aisha Ali, Mr. Amjad Al-Attar, Mr. Amos Menard, Ms. Angela Bester, Ms. April Nakaima, Mr. Boubacar Aw, Ms. Dominika Wojtowicz, Ms. Dorothy Lucks, Ms. Heba Gamal Eldin, Mr. Jos Vaessen, Ms. Madina Tall, Mr. Mohamed El-Fouly, Ms. Nermine Wally, Mr. Raghavan Narayanan, Mr. Raymond Onana, Mr. Robert Stryk, Mr. Sanjeev Sridharan, Mr. Stephen Porter, Mr. Tamer El-Fouly, Mr. Tomasz Kupiec, Mr. Velayuthan Sivagnanasothy, Ms. Vijayalakshmi Vadivelu and Ms. Yomn Mohamed Hafez El Hamaky – for their substantive contributions.
Ms. Megan Kennedy-Chouane, Mr. Bassirou Chitou and Mr. Dugan Fraser deserve special mention for their contributions to workshops and different segments of the conference. The support from evaluation offices of the United Nations and multilateral partners is also recognized.

The following staff of the UNDP IEO contributed to the conference and the materials for this report:

- Mr. Arild Hauge, Deputy Director
- Ms. Heather Bryant, Conference Manager
- Conference organizing team: Ms. Genta Konci, Ms. Sasha Jahic, Mr. Shabbir Naik, Mr. Anish Pradhan
- Additional contributors: Mr. Alan Fox, Ms. Maristela Gabric, Mr. Richard Jones, Ms. Antana Locs, Ms. Vijayalakshmi Vadivelu, Ms. Jin Zhang
- Ms. Caterina Falcinelli, intern, also provided valuable support.
It was my pleasure as Director of the United Nations Development Programme (UNDP) Regional Bureau for Arab States to partner with the Ministry of Planning, Monitoring and Administrative Reform of the Government of Egypt and the UNDP Independent Evaluation Office to organize the sixth National Evaluation Capacities (NEC) Conference, which took place in Hurghada, Egypt, from 20 to 24 October 2019 on the theme, “Leaving No One Behind: Evaluation for 2030”.

The event brought together government representatives, evaluation practitioners and networks, United Nations agencies, academia and private sector actors from more than 100 countries, including from many countries in the Arab States region. This high level of participation reflects the important role evaluation can and will play in the successful implementations of the Sustainable Development Goals (SDGs) over the crucial next decade.

The NEC 2019 brought to the fore pivotal themes key to leaving no one behind and placed evaluation at the heart of the SDGs. Evaluation is critical to ensuring that no one is left behind, as it can facilitate understanding of what works in what contexts and for whom, highlighting the intersections between different types of inequalities, considering realities of different development contexts, analysing disaggregated data and using a combination of new and traditional tools and methods.

Through the NEC 2019, UNDP continued to connect countries and professionals to share knowledge and evaluation practices from all corners of the world. Governments are pivotal in driving the evaluation agenda, and government representatives were centre stage at this event, exchanging their successes, challenges, opportunities and innovations.

UNDP remains committed to supporting countries to strengthen their institutions and national evaluation capacities for advancing inclusive and equitable development, ensuring that no one is left behind.

Mourad Wahba
Acting Associate Administrator
UNDP
FOREWORD

It gives me great pleasure to write the foreword for these proceedings, marking a significant milestone in the evolution of the National Evaluation Capacities (NEC) Conference series over the 11 years since its launch in 2009 in Morocco. This is the sixth in the series, organized jointly by the Governments of the host countries and the Independent Evaluation Office of UNDP, the UNDP regional bureaux and professional association partners. Previous conferences, held biennially since 2009, took place in Morocco, South Africa, Brazil, Thailand and Turkey. The NEC ship has circled the globe in the past decade, and in its second global voyage returns to the Arab States on the shores of the Red Sea. The NEC conference is now the most visible evaluation event globally, distinguished by high-level government participation, training focused on attainment of the Sustainable Development Goals (SDGs) and the peer-to-peer construct. We are fortunate that this has occurred under the overarching leadership of the United Nations, which is committed to supporting countries in implementing the 2030 Agenda for Sustainable Development. Four years into the time frame of the 2030 Agenda, the feedback received thus far at the High-Level Political Forums on Sustainable Development at the United Nations and from the voluntary national reviews is that at current rates of progress, the hope of attaining the SDGs, with the breadth and depth necessary for no one to be left behind, is elusive.

As different parts of these proceedings illustrate, each of the previous NEC events hosted by Governments and supported by partners added a dimension to the current focus of the NEC, which is to use evaluations in support of the SDGs in a manner that is empowering for countries themselves. The IEO is proud to have been a part of this journey over the last decade, contributing in the process to developing the evaluation profession, fostering critical dialogues and serving as an integrator and connector between countries, people and the values of the United Nations.

The implementation of the SDGs can be accelerated globally through evaluation, a powerful tool that improves public accountability.

– Indran Naidoo
Former Director,
UNDP IEO
My sincere thanks go to the Government of Egypt, in particular the Ministry of Planning, Monitoring and Administrative Reform, which gave us incredible support and was an outstanding organizing partner. I also give special thanks to the Government of Denmark and the Independent Evaluation Group of the World Bank for their financial support for participants’ bursaries. The Government of Egypt was a most generous host, receiving delegates from over 100 countries and ensuring that the NEC conference received maximum visibility and was recorded, allowing us to share these insights globally as building blocks for attaining the SDGs. The NEC 2019 was crafted to address this urgency; the 21 pre-conference training sessions, with over 280 participants from across the globe and a large Egyptian contingent, were customized to equip delegates with practical skills and to enable government-to-government knowledge exchange. Various informal exchanges and social events provided participants an opportunity to talk candidly about the realpolitik of national evaluation in the SDG era. Well over 500 people attended the conference, including representatives of 117 nations and Governments. These are impressive numbers that show our joint commitment to eradicating poverty, fighting inequality, protecting the planet and ensuring prosperity for all.

As we know, 193 countries united in 2015 to adopt the 17 SDGs, aiming for a better world by 2030. As Ms. Amina J. Mohammed, United Nations Deputy Secretary-General, mentioned in her video opening, the implementation of the SDGs can be accelerated globally through evaluation, a powerful tool that improves public accountability.

The NEC series has now touched 165 countries – much of the globe – and has made an important contribution to advancing key United Nations values of transparency and accountability, good governance, giving voice to the marginalized, helping to advance equity and addressing discrimination in all its forms, in essence trying to create a better world through constructive dialogue. This, as we all know, has not been easy and remains a work in progress. Each of us within the United Nations system – as we are all members of that august body – have a particularly important role to play as evaluators, seasoned in the experience we gain from events like the NEC conferences and other networks, committed to the key evaluation principles of independence, credibility, utility and being open to learning from the science of research and the wisdom of the evaluation elders. National evaluation capacities are increasingly critical to countries’ overall abilities to capture and demonstrate SDG results. During NEC 2019, we revisited the critical question of criteria, or perspective, in a session that echoed the Istanbul 2017 event on evaluation criteria. We took a more reflective view and took stock of a set of criteria that largely informed the lenses used by evaluators for decades.

In the 26 sessions, we received country-level perspectives from the government-rich cohort of participants, professionals who irrespective of their titles, work in an oversight
and accountability cluster. The NEC conferences have always been about country-to-country sharing, with the IEO of UNDP using its convening power to facilitate learning. The deliberations during this conference enabled mutual knowledge-sharing and networking and reinforced the principles of national development evaluations.

This publication captures key messages from the conference, contributing to knowledge-sharing and cooperation among countries to strengthen evaluation practices that leave no one behind. The report includes analytical papers as well as 13 papers that provide national perspectives on the issues of building national evaluation systems and capacities in the SDG era. We hope that this report serves as an advocacy tool to promote cooperation, knowledge-sharing, engagement, innovation and perspectives for strengthening evaluation practice in countries.

Indran Naidoo
Former Director (February 2012–March 2020)
Independent Evaluation Office
UNDP
It is an honour and a pleasure to introduce these proceedings of the sixth National Evaluation Capacities (NEC) Conference. I was actively involved in the first NEC conference in Morocco in 2009, the broad purpose of which was to provide a forum for open discussion on issues confronting capacity development in evaluation, enabling participants to draw on the recent and innovative experiences of other countries. The conference also promoted understanding of international standards in evaluation and advocacy for evaluation as a means of managing for development results, improving public accountability and learning.

One of the recommendations emerging from the gathering was that follow-up events should be organized regularly. The Independent Evaluation Office (IEO) of the United Nations Development Programme (UNDP) took that recommendation to heart and has been organizing biennial conferences ever since. My predecessor, Indran Naidoo, in his role as Director of the UNDP IEO, took the conference to new heights over the last several years, culminating in the 2019 event in Hurghada, Egypt.

The objectives of the first NEC conference remain relevant today. Since the event in 2015, with the advent of the Sustainable Development Goals (SDGs), the NEC conferences have added an additional element of focus, addressing how Governments can develop the necessary national evaluation capacities to meet the new challenges of the SDGs. In 2019, conference participants sharpened their regard on the question of leaving no one behind, not only in terms of development but in terms of evaluation.

Ensuring that we leave no one behind has become even more acute. Pedro Conceição, Director of the UNDP Human Development Report Office, mentioned in the first plenary session of the conference that “shocks – whether violent conflict, natural

As countries respond to this crisis, adjusting policies and programmes to prepare, respond and recover from the pandemic, evaluation – and national evaluation capacities – will be ever more critical.

– Oscar A. Garcia
Director, UNDP IEO
disasters or even health shocks, such as epidemic outbreaks – disproportionally impact those already left behind and may leave new groups behind.” In the few short months that have passed between the conference and the penning of these words, we have seen how a pandemic has wreaked havoc across the globe, leaving the vulnerable even more at risk. As countries respond to this crisis, adjusting policies and programmes to prepare, respond and recover from the pandemic, evaluation – and national evaluation capacities – will be ever more critical. Evidence and understanding of what works, where and for whom, will be essential to ensure that resources are used efficiently and effectively to strengthen interventions that reach those who are furthest behind.

The UNDP IEO is committed to strengthening its engagement with partners in the international evaluation community and with national Governments to further its support to the development of national evaluation capacities. I hope that these proceedings will provide inspiration and insight as we move into a new era, with new challenges but also with a renewed commitment to foster a more inclusive and sustainable development pathway.

Oscar A. Garcia
Director
Independent Evaluation Office
UNDP
PART 3
Architecture for Evaluation Effectiveness
INTRODUCTION

The evaluation profession has rapidly grown globally, with most Governments and development partners drawing on evaluative knowledge and expertise to improve performance and demonstrate accountability. In any oversight and accountability type of evaluation, key principles are important and need to permeate the evaluation architecture. The United Nations Development Programme (UNDP) references its evaluation function and offices to the 2016 United Nations Evaluation Group (UNEG) Norms and Standards for Evaluation. These are foundational principles that explain what constitutes a sound evaluation function. An important issue to note is that for evaluation reports to be taken seriously and acted upon, they need to emanate from credible evaluation units, the key to which is the principle of independence. Evaluations make a judgment about the quality and worth of a strategy, programme or project, offering a basis for discussion on what needs to be changed and how. Evaluation thus cannot be compromised by bias, and therefore structural, financial, content and behavioural independence are critical.

This paper discusses the independent evaluation function of UNDP, providing lessons from the largest independent evaluation office in the United Nations system. It describes key issues that have been addressed in policy and practice to make the Independent Evaluation Office (IEO) of UNDP a model office. The paper focuses on four areas critical for strengthening any evaluation function, i.e., evaluation policy, evaluation quality, evaluation coverage and communication.

STRENGTHENING THE EVALUATION FUNCTION

As UNDP implements its new Strategic Plan, 2018-2021, the vision of which is “to help countries achieve sustainable development by eradicating poverty in all its forms and dimensions, accelerating structural transformations for sustainable development and
building resilience to crises and shocks”, to be delivered through country support platforms for the Sustainable Development Goals (SDGs) and global development and advisory and implementation support platforms, with an increased focus on innovative solutions to support development.\textsuperscript{42} It is increasingly relevant for the organization to have a strong, credible and independent evaluation function. Such an evaluation function will ensure the accountability and transparency of its operations and contribute to promoting learning across the organization and strengthening evidence-based policymaking.\textsuperscript{43} The independence of the UNDP evaluation function remains essential to insulate the IEO from undue influence and uphold its credibility in judging the programmatic effectiveness of UNDP.\textsuperscript{44} It is important to emphasize the two dimensions of the independence of the evaluation function which include behavioural and organizational independence. The former entails the ability to conduct evaluations without undue influence of a third party while the latter refers to the structural independence from management functions.\textsuperscript{45} These dimensions are reinforced at the IEO.

The IEO abides by the Evaluation Policy of UNDP.\textsuperscript{46} UNDP has had an evaluation function since shortly after its establishment in 1967, but did not have an evaluation policy until 2005. According to Trochim,\textsuperscript{47} “an Evaluation Policy is any rule or principle that a group or organization uses to guide its decisions and actions when doing evaluation”. The UNDP Evaluation Policy has evolved considerably over time, having been revised in 2011, 2016 and again in 2019. Developing a national evaluation policy may also take time, or may evolve over time, with subsequent iterations. The purpose of the policy is to establish a common institutional basis for the UNDP evaluation function. The policy seeks to increase transparency, coherence and efficiency in generating and using evaluative knowledge for organizational learning and effective management for results, and to support accountability. The elements of the 2016 and 2019 UNDP Evaluation Policies remain critical for any evaluation office, for example, foundational principles such as reporting lines, behavioural independence (term limitations of heads to prevent conflict of interest), and operational and budgetary independence.

\textsuperscript{42} UNDP Strategic Plan, 2018-2021: https://undocs.org/DP/2017/38
\textsuperscript{45} UNEG Norms and Standards for Evaluation, 2016.
\textsuperscript{46} http://web.undp.org/evaluation/policy.shtml
The IEO has successfully established its own structure, budget and professional and managerial independence. It has put in place measures to protect the evaluation function of UNDP from erosion and undue influence to ensure the continued credibility of its work and the transparency and accountability of the organization as a whole. As outlined in the UNDP Evaluation Policy, clear budgeting benchmarks were established to ensure that the work of IEO cannot be restricted through financial constraints. UNDP management continues to affirm the importance of independence in the work of the IEO and its value in strengthening the development contribution of the organization. This recognition has resulted in a fourfold increase in independent evaluations by the office, with US$7.2 billion in programming being evaluated in 2018 and 2019. A critical mass has been reached in advancing a reflective evaluation culture.

Another question that arises with respect to independent evaluation functions is, who oversees the evaluation office? In UNDP there are three levels of oversight. The Executive Board of UNDP is the custodian of the Evaluation Policy. The IEO reports to the Executive Board, which also approves its budget and multi-year programme of work. In addition, IEO engages with the UNDP Audit and Evaluation Advisory Committee and the IEO Evaluation Advisory Panel. The Panel advises on the office's work and provides periodic quality assurance of evaluations which contributes to monitoring both structural and substantive independence within the organization.48

However, the independence of the evaluation function is not inconsistent with the practices of consulting stakeholders during the evaluation process.49 It rather strengthens transparency and ensures an inclusive evaluation approach, which are key elements of credibility according to the UNEG Norms and Standards for Evaluation.50

“In the Philippines we have had an evaluation policy framework in place for three years. We receive funding on an annual basis. The system is still in its infancy; we are pilot testing some evaluations. We have an annual [monitoring and evaluation] forum where we share the lessons from the initial evaluations with all government stakeholders and other partners, including academia, development partners and civil society. We now have two pending bills in the Senate and the lower house to pass an evaluation act.”

– VIOLETA CORPUS, DIRECTOR IV, NATIONAL ECONOMIC AND DEVELOPMENT AUTHORITY, GOVERNMENT OF THE PHILIPPINES

49 Ibid.
It is important to note that although independent, the office continues to engage fully with UNDP management and programme teams in undertaking evaluations to ensure that findings, conclusions and recommendations are thoroughly considered, and as a result, are taken into account in adjusting or developing new policies, programmes and development approaches across the organization.

**EVALUATION COVERAGE**

Evaluation coverage of the organization’s programme is critical in ensuring accountability and learning. The coverage affects three dimensions of the evaluation which include the subject (what is supposed to be done by the evaluation agency), the focus of the evaluation and the type of evaluation methods and techniques to be used.51

The IEO of UNDP conducts evaluations of UNDP country programmes prior to the submission of a new four- or five-year country programme document to the UNDP Executive Board.

Our move towards 100 percent independent evaluation coverage of all country programmes that are scheduled for a new strategy is a key milestone for IEO. This coverage relates to visibility and impact, and issues of scale and scope are pertinent.

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Implementing an evaluation strategy that facilitates 100 percent coverage of countries allows for a more in-depth examination of key issues within clusters or typology of countries. The IEO recognizes that expanding country programme evaluation coverage requires both product innovation (i.e., in the content and scope of evaluations) and process innovation (i.e., in the ways country programme evaluations are conducted).

The IEO also carries out corporate thematic evaluations designed to inform the organization’s global policies and programmes. These evaluations are tabled for formal consideration and decision by the UNDP Executive Board, generate considerable discussion within the organization and among other key stakeholders, and also inform UNDP global policies and strategies.

“The title of this session, Architecture for Evaluation Effectiveness, is very relevant, as it points to the fact that we are actually building something. In Montenegro, over the last decade, public administration reform and institution building has been largely determined by the [European Union] accession process. This has resulted in a ‘hyper production’ of strategic documents. However, when we mapped our strategic framework, we realized that only a third of the more than 120 strategies in our system envisaged evaluation. From 2017 we have been working on the legal framework for strategic planning, which includes reference to the need for all strategies to be evaluated. Evaluation is now an inherent part of the policy cycle.”

– ZORKA KORDIC, SECRETARIAT-GENERAL OF THE GOVERNMENT OF MONTENEGRO, DEPUTY SECRETARY-GENERAL OF THE GOVERNMENT, HEAD OF DEPARTMENT FOR GOVERNMENT STRATEGIES, MONTENEGRO

**EVALUATION QUALITY**

Evaluation quality has been subject of significant contributions in the literature. Many authors have emphasized a wide range of criteria to ensure quality. Cooksy and Mark\(^52\) highlighted two necessary criteria, which include the use of the right methods based on the evaluation objectives and the sufficiency of data collected with appropriate rigour. The application of the right methods needs to respond to the context without compromising evaluation quality, which in turn can undermine the legitimacy of the

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PART 3. ARCHITECTURE FOR EVALUATION EFFECTIVENESS
CHAPTER 1

Evaluation quality is also impacted by several factors including limited resources, insufficient understanding of the evaluation function, poor data, non-alignment of timing and scope of the evaluation with the budget cycles. In UNDP, the allocation of resources to the evaluation function is a critical issue addressed by the UNDP Evaluation Policy. This is consistent with the literature which identifies the evaluation policy as an important contextual variable that affects evaluation quality by the way it defines allocation of resources and conditions under which evaluations are carried out.

Quality is therefore a key issue for evaluation. Independence does not mean ignoring quality. Credibility is based on quality. Since 2012, when I joined the office, the IEO has made considerable progress in building internal mechanisms, platforms and processes for optimizing its independent evaluation, oversight, quality assurance and outreach functions. To ensure evaluation quality at a lower cost, the office has strengthened its team of professional evaluators as well as its research team, enabling more research and data collection prior to country visits when initial desk-related findings are verified.

Establishment of an Evaluation Advisory Panel is one of the key measures taken by the IEO for outside scrutiny and advice to strengthen the quality of independent evaluations. The members of the Panel are eminent and internationally recognized leaders in evaluation who support the quality assurance function of the IEO Director. The Evaluation Advisory Panel has reviewed and made recommendations on various IEO products; provided the IEO with strategic advice; conducted several training sessions on various topics relating to development, evaluation theory and practice; provided guidance on methodology, communications, outreach, a knowledge management strategy and staff professionalization and capacity; and participated with the IEO in a number of external outreach events and conferences, including the National Evaluation Capacities (NEC) conferences. The NEC conference is part of the IEO strategy to support the development of national evaluation capacities across the globe.

Evaluations conducted by programme units are important building blocks for independent evaluations, hence their quality assumes importance. One of the tasks of the IEO is the assessment of the quality of the evaluations conducted by programme units, which has resulted in a steady improvement of evaluations. The process aids UNDP in

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54 Naidoo, 2018b.

55 Trochim, 2009; Cooksy and Mark, 2012.

identifying weaknesses across the implementation of evaluations that may need further strengthening, support or capacity-building, both geographically and by evaluation type. Quality assessment data, comments and recommendations are readily available to improve implementation and use of resources. IEO developed comprehensive UNDP evaluation guidelines which reflect the commitment of UNDP to evaluation and its desire to improve evaluation quality, credibility and usability.

**EVALUATION COMMUNICATION**

Evaluation communication is crucial in the evaluation process as poor communication, in the sense of wrong messaging or not recognizing language nuance, affects timely delivery of evaluations to the right audiences.\(^57\) According to Torres, Preskill, and Piontek,\(^58\) the use of evaluation, which is the most fundamental aspect of evaluation, is related to how we communicate about evaluation activities and report findings. The issues related to communication are of concern not only at the time of the final report dissemination but also throughout the whole evaluation process. The authors conducted a survey with 246 respondents from the United States membership pool of the American Evaluation Association and found that good practices of evaluation communication include involving stakeholders in the evaluation design, using clear language and timely reporting of results to a variety of audiences.

In IEO, communication has been deliberately strengthened to involve stakeholders and communicate key evaluation messages to them throughout the evaluation processes. The IEO website, the face of the office, was redesigned and revamped to become more user-friendly with innovative features. Several communication strategies and processes have been introduced and transformed the one product into multiple digestible products with the goal to increase the visibility of IEO and strengthen an evaluation culture within UNDP. As a result, the IEO, in addition to its full reports, now creates illustrated summaries, briefs, infographics, expanded annual reports, newsletters, summaries, animated videos and regular posts to social media networks.\(^59\) These strategies have led to increased access to evaluations on both the Internet and outreach platforms.

A key principle of independence is the ability to share findings and recommendations in a timely manner. All UNDP independent evaluations are undertaken in close collaboration

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59 Multimedia and media resources that IEO engaged with: Video of Sriniv Pillay, M.D., CEO and Founder of NeuroBusiness Group; Assistant Professor (Part-time), Harvard Medical School, [https://drive.google.com/file/d/1qvlvGAQb23JFXUisdtGjJEoqpG3pl2Dr/view?ts=5dad633e](https://drive.google.com/file/d/1qvlvGAQb23JFXUisdtGjJEoqpG3pl2Dr/view?ts=5dad633e)
with programme units within UNDP as well as partners and stakeholders. Continued strong communication and cooperation with UNDP have ensured highly informative and detailed evaluator findings and robust and detailed management responses to recommendations. It is critical that messages, irrespective of how challenging they are, be shared in the public domain. UNDP decentralized evaluations, as well as independent evaluation, are shared on a public repository (https://erc.undp.org/).

Country programme evaluations are shared with the respective Governments and other key partners of UNDP. Corporate thematic evaluations are shared with the UNDP Executive Board at informal and formal sessions, where the IEO presents detailed evaluation findings, giving opportunities for robust discussion. In addition, the office is increasingly developing new information pieces to keep the Board and partners informed of its work.

We have even explored brain science to understand how evaluands react to evaluative results. We have invested in our team, providing training on how to communicate results without making the evaluand feel defensive, but without compromising the message.

**CONCLUSION**

In summary, the ultimate goal of the evaluation function in UNDP is to make UNDP stronger, just as a national evaluation function seeks to help a country achieve its development goals. The independence of the evaluation function lends it credibility. Pursuing quality also strengthens credibility, and in turn, the potential for evaluation use for positive change. Quality evaluations also require effective communication to ensure evidence feeds into decision-making.

Strengthening an evaluation function, whether in an organization like UNDP or in a national context, is a journey, one that is not always easy nor straightforward.