UN WOMEN

Inception Report of the Evaluation of UN Women's Regional Architecture

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LIST OF ACRONYMS

AWPs	Annual workplans
CO	Country office
COAT	Country office assessment tool
CSO	Civil society organization
CSW	Commission on the Status of Women
DoA	Delegation of Authority
DRF	Development Results Framework
EVAW	Elimination of violence against women
FPIs	Flagship programming initiatives
GEEW	Gender equality and empowerment of women
HQ	Headquarters
IEO	Independent Evaluation Office
IOA	Institutional and Organizational Assessment
IOM	International Organization for Migration
KazAID	Kazakhstan Agency for International Development
MAR	Multilateral Aid Review
MCO	Multi-Country Office
MEP	Monitoring and evaluation plan
MOPAN	Multilateral Organization Performance Assessment Network
OA	Organizational Analysis

OEEF	Organizational Effectiveness and Efficiency Frameworks
PO	Programme office
PSU	Programme support unit
RA	Regional architecture
RCO	Resident Coordinator's Office
RMS	Results management system
RO	Regional Office
SSA/IC	Special service agreement
SDGs	Sustainable Development Goals
SWAP	Sector wide approach
TOR	Terms of reference
UN	United Nations
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNCT	United Nations Country Team
UNEG	United Nations Evaluation Group
UNIFEM	United Nations Development Fund for Women
UNFPA	United Nations Population Fund
UNV	United Nations Volunteers program
UNW	UN Women (United Nations Entity for Gender Equality and the Empowerment of Women)

TABLE OF CONTENTS

ANNEXES

ANNEX A: UN WOMEN TERMS OF REFERENCE

ANNEX B: EVALUATION MATRIX

ANNEX C: EVALUATION WORK PLAN

ANNEX D: DATA COLLECTION TOOLS

ANNEX E: CASE STUDY DRAFT OUTLINE

ANNEX F: STAKEHOLDER LIST—INCEPTION PHASE

ANNEX G: DOCUMENTS REVIEWED

ANNEX H: EVALUATION QUESTIONS DISCUSSION

ANNEX I: DISCUSSION OF EVALUATION QUESTIONS

ANNEX J: DRAFT CODEBOOK

1 INTRODUCTION

1.1 PURPOSE OF THIS REPORT

1. The purpose of this inception report is to articulate the context, purpose and scope of the evaluation of UN Women's regional architecture, refine the evaluation questions, and provide an overview of the approaches, methods and tools that will respond to those questions. "Regional architecture" refers to UN Women's organizational structure with strengthened field presence including greater delegation of authority to regional and country levels, as approved by its Executive Board in 2012, along with adaptations approved during its implementation.

2. This inception report is the culmination of an intensive inception phase undertaken by the evaluation team, which included a review of key documents, discussions with the Independent Evaluation Office of UN Women, interviews with headquarters and field UN Women staff and a 3-day mission to New York City (12–14 October 2015). During the inception phase, the evaluation team consulted 43 UN Women stakeholders (19 female and 14 male) and reviewed more than 70 documents (see Annexes F and G for an overview of stakeholders and documents consulted).

1.2 CONTEXT AND BACKGROUND

3. The United Nations General Assembly established UN Women in 2010 as part of its reform agenda, consolidating the organization's resources and mandate on gender equality to achieve greater impact. General principles included in resolution 64/289 included a key focus on universality and priority of member states. Based on the principle of universality, the resolution sites "the Entity shall provide, through its normative support functions and operational activities, guidance and technical support to all Member States, across all levels of development and in all regions, at their request, on gender equality, the empowerment and rights of women and gender mainstreaming". The resolution also sites a focus on member states, siting "the Entity shall operate on the basis of principles agreed to through the process of the comprehensive policy review of its operational activities, in particular by responding to the needs of and priorities determined by Member States, upon their request." [1]

4. The mandate of UN Women brought together four pre-existing entities to achieve better coverage and strategic presence and ensure closer linkages between the intergovernmental work and operations at the field level. The work of UN Women is focused on its core mandate

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[1] General Assembly 2010. Resolution adopted by General Assembly on 2 July 2010. 64/89 http://www.un.org/en/ga/search/view_doc.asp?symbol=A/RES/64/289

"to assist countries and the United Nations system in progressing more effectively and efficiently towards achieving gender equality and women's empowerment and upholding women's rights"[2] calling on the Entity to have universal coverage, strategic presence and ensure closer linkages between the norm-setting intergovernmental work and operations at the field level, as well as leading and coordinating United Nations system efforts to ensure that commitments on gender equality and gender mainstreaming translate into concrete action at the country level. [34] UN Women's Strategic Plans 2011-2013 and 2014-2017 provide overall direction for UN Women's strategic goals, outcomes and working principles.

5. UN Women's recently rolled-out 12 flagship programme initiatives are further designed to advance ongoing work to achieve transformative results in these three aspects of the mandate and the priority areas of the Strategic Plan: women's political empowerment, women's economic empowerment, elimination of violence against women, peace, security and humanitarian action, and planning and budgeting.[5]

6. The launch of the regional architecture enabled UN Women to adapt its organizational structure to support effective and efficient implementation of its core mandate (see the founding General Assembly resolution 64/289) [6]. In 2012, UN Women presented its plans for a new regional architecture. The overall goal of the regional architecture was to create a structure which maximized the organization's ability to deliver on its mandate in a more effective and efficient way, and bring capacity and decision-making closer to the field to achieve results. The goal of the RA was pursued through a number of means including capacity strengthening, consolidation of the meso level of the structure, creation of new country engagement modality, normalization of contract types and establishment of new planning and approval processes, among other

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[2] United Nations Entity for Gender Equality and the Empowerment of Women strategic plan, 2014-2017 "Making this the century for women and gender equality". UNW/2013/6

[3] United Nations Entity for Gender Equality and the Empowerment of Women strategic plan, 2011-2013. UNW/2011/9

[4] General Assembly 2010. Resolution adopted by General Assembly on 2 July 2010. 64/89
http://www.un.org/en/ga/search/view_doc.asp?symbol=A/RES/64/289

[5] Flagship Programmes Initiative 2015
http://www.unwomen.org/~/media/headquarters/attachments/sections/executive%20board/2015/2nd%20regular%20session/flagship%20programming%20initiatives%20-%20booklet.pdf?v=1&d=20150929T142446

[6] General Assembly 2010. Resolution adopted by General Assembly on 2 July 2010. 64/89
http://www.un.org/en/ga/search/view_doc.asp?symbol=A/RES/64/289

changes. The full implementation of the regional architecture was envisioned to be functioning by the end of 2013.[7]

7. UN Women has a strong record of accomplishment of using evaluation to support its mission to promote gender equality and the empowerment of women. It has an equally strong record of using evaluation to implement its work effectively, including in the context of its regional architecture that emphasizes decentralization. UN Women's decentralization model has pushed for meaningful devolution of authority and decision-making to regional, multi-country, country offices, programme offices, and even supporting activities in countries where there is no office. Previous evaluations and reviews offer useful insights for this evaluation. For example, the Multilateral Organization Performance Assessment Network assessment found UN Women to have core strengths in a clear mandate, clear delegation in the path toward decentralization, and an independent and credible evaluation function; it also found unevenness in the UN Women's capacity to lead and coordinate UN work on gender equality at the country level. [8]

8. The Regional Architecture consists of the establishment of six regional offices and six multi-country offices; the evolution of the current UN-Women subregional offices into regional offices, multi-country offices or country offices; greater decentralization of authority to the field, including the moving mid- and lower-level oversight functions from headquarters to regional offices; the transfer of some technical and operations functions from headquarters to the field; and corresponding changes at Headquarters to reflect changed roles. The five guiding principles of UN Women's regional architecture include decentralized operational support; achieving maximum impact from existing resources; coordination with the wider UN system; quality and accountability at all levels; and coherence in UN Women's role, messaging and mandate.[9]

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[7] Regional architecture: administrative, budgetary and financial implications and implementation plan. 18 September 2012. http://www.unwomen.org/~/media/headquarters/attachments/sections/executive%20board/eb-2012-s2-unw-2012-10-regionalarchitecture-en.pdf

[8] Multilateral Organisation Performance Assessment Network Synthesis Report United Nations Entity for Gender Equality and the Empowerment of Women (UN-Women) Draft, December 2014, page 46

[9] Regional architecture: administrative, budgetary and financial implications and implementation plan
Report of the Under-Secretary-General/Executive Director UNW/2012/10

1.3 EVALUATION PURPOSES, OBJECTIVES AND USE

PURPOSE OF THE EVALUATION

9. The evaluation intends to analyse the design, planning and implementation of regional architecture from its launch in 2012 to the last quarter of 2015[10]. The evaluation will be formative in nature and will assess the relevance, organizational effectiveness and administrative efficiency of UN Women's regional architecture, including its organizational capacity to deliver UN Women's mandate across all roles – normative, operational and UN coordination – at the global, regional and country levels. More details on each dimension of the evaluation scope are provided below.

10. The findings of the evaluation will be presented to the Executive Board in 2016 and will be used for strategic decisions, organizational learning and accountability.

OBJECTIVES OF THE EVALUATION

11. According to the TOR, the objectives of this evaluation are to:

   1. Assess the relevance of regional architecture, particularly whether it meets the needs of key UN Women stakeholders at global, regional and country levels
   2. Assess the organizational effectiveness of regional architecture to deliver UN Women's mandate across all roles – advocacy, normative, policy, UN Coordination and programmatic at global, regional and country levels
   3. Assess the efficiency of regional architecture's administrative systems, structure and processes, including mechanisms to ensure efficient communication linkages between headquarters (HQ) and the field
   4. Analyse how effective and efficient the regional architecture has been in promoting gender responsiveness and human rights-based approaches in programme management and administrative systems
   5. Provide forward-looking recommendations for strengthening the effectiveness and efficiency of regional architecture.

Exhibit 1: Working Definitions of Evaluation Criteria

Relevance is the extent to which the organization responds to the needs and priorities of partner countries and beneficiaries, and aligns with global priorities

Organizational effectiveness is the extent to which an organization is able to fulfil its goals

Administrative efficiency relates to how different work processes contribute to the overall value added in an organization

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[10] Last quarter includes on-going processes that are relevant to the RA and will inform it accordingly

EVALUATION QUESTIONS

12. Based on the site visit and an iterative process with the independent evaluation office, the evaluation team revised the evaluation questions from the TOR. Modifications included re-phrasing questions to fit the scope of the evaluation, removing or combining questions that were repetitive and overlapping, adding updated questions within the original list, and moving questions to go under appropriate criteria. To see a complete discussion of each question, see Annex H.

13. The evaluation team proposed criteria to define the evaluation— **relevance**, **organizational effectiveness** and **administrative efficiency** (see Exhibit 1). These definitions are derived from a combination of concepts presented in the Institutional and Organizational Assessment Model (IOA)[11] and the technical report by the Multilateral Organization Performance Assessment Network (MOPAN)[12] on their assessment of UN Women. The evaluation questions are ordered according to these criteria:

Relevance

1. How well does the regional architecture respond to the needs of governments, civil society and UN agencies at the global, regional and country levels? Are any improvements and adjustments needed (and what are they) to meet the needs of key stakeholders, including women and girls, and the most marginalized women?

2. How to ensure the regional architecture is fit to ensure the universality of SDGs and UN Women mandate?

Organizational Effectiveness

3. To what extent and in what ways have the objectives set in the Executive Board paper (UNW/2012/10) to establish an effective regional architecture been met?

4. To what extent and why does the regional architecture contribute to UN Women's achievements in the operational, normative and coordination mandate at global, regional and country levels in an effective manner? Are any improvements or adjustments to the institutional setup needed to enhance effectiveness?

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[11] Organization Assessment: A framework for improving performance (2002). Lusthaus, Ch., Adrien, M., Anderson, G., Carden, F., and Montalvan, G. International Research center. Available at http://www.idrc.ca/EN/Resources/Publications/Pages/IDRCBookDetails.aspx?PublicationID=241

[12] MOPAN (January 2015) Technical Report on UN Women, Volumes I and II

5. What systems and processes (both formal and informal) are in place to monitor and assess the effectiveness of regional architecture? Are the systems working adequately and do they feed the organization with useful lessons?

6. How has the Regional architecture enhanced integration between normative, operation and coordination work, and is there any adjustments needed to improve integration at all levels and why?

7. To what extent and why does the Regional Architecture increase UN Women's focus and capacity to apply rigorous gender analysis and human rights approach in programme design, monitoring and implementation at regional and country levels?

Administrative Efficiency

8. To what extent the regional architecture has been designed and implemented in a way that is responsive to needs, changes and actions emerging at the different levels of organization (HQ, Regional Offices, Multi-country and Country Offices)?

9. How efficient and responsive is the regional architecture in terms of delegation of authority, decision-making process and methods for setting direction? To what extent and why are the roles and responsibilities, coordination of labour and coordination of systems clear and efficient?

10. How efficient is the use of financial and human resources and IT systems in the framework of the regional architecture?

11. To what extent do the existing funding sources offer sustained support for the current staff structure and planned results of the regional architecture?

12. To what extent does the RA support or reinforce that management and administrative systems promote gender-sensitive approaches in day-to-day operations of regional architecture?

EVALUATION USE

14. The primary intended users of the evaluation's findings and recommendations are UN Women's Executive Board, senior management, staff at HQ, regional and country levels, as well as other agencies undergoing internal decentralization processes. The evaluation is intended to inform the mid-term review of the strategic plan and assist UN Women's senior leadership in assessing different elements of its organization and processes.

15. As the evaluation proceeds, interim findings will inform (and be informed by) other on-going processes, such as the Programme Divisions Business Process Review, typology of presence in different countries and the evaluation of UN Women's strategic partnerships and Evaluation of UN coordination . The evaluation team will complement these processes by engaging in a systematic review of evidence around key issues related to the regional architecture, including by reviewing key corporate evaluation i.e. evaluation of normative work and meta-analysis of decentralized evaluations.

1.4 EVALUATION SCOPE

16. As mentioned earlier, the evaluation will analyse the design, planning and implementation of regional architecture from its launch in 2012 to the last quarter of 2015[13]. The evaluation will assess the relevance, organizational effectiveness and administrative efficiency of UN Women's regional architecture, including its organizational capacity to deliver UN Women's mandate across all roles – normative, operational and UN coordination – at the global, regional and country levels.

FORMATIVE EVALUATION

17. The regional architecture is relatively new and is still in the process of being implemented across UN Women. For this reason, a formative evaluation is the most appropriate and will allow for a prospective and proactive orientation that provides direction for planning and programme management and opportunities for learning. Through this evaluation, analysis of data combined with feedback collected will enable improvements and serve quality assurance purpose. As the Reference Group suggested, this evaluation should be an accompanying process that will promote learning, and become a conduit for sharing and highlighting important experiences of staff at all levels and locations related to the regional architecture.

GLOBAL, REGIONAL AND COUNTRY LEVELS

18. The evaluation will seek to understand how the regional architecture is being implemented across global, regional and country levels. The evaluation will focus on 32 out of the 88 countries in which UN Women has a presence.[14] Thirty-two (32) will be the object of a detailed portfolio review, and seven types of offices (non-presence, programme presence, country office, regional office, multi-country office, Headquarters) will be the object of case studies, including field visits. The evaluation will focus on results by collecting primary data (including via desk review and interviews) for the portfolio analysis countries and HQ, and then complement it with secondary data from existing evaluations. The portfolio review will include in-depth analysis of the regional architecture in six regional offices, six multi-country offices and a representative sample of 20 UN Women country offices. Information from the desk review will be combined with data from semi-structured interviews and a global survey to provide a whole-systems view of the regional architecture and its contributions to UN Women. Country case studies will use a range of observational, participatory and mapping techniques appropriate to the individual country context, stakeholder group and specific objectives of each field visit. These include individual and

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[13] Last quarter includes on-going processes that are relevant to the RA and will inform it accordingly

[14] Strategic Plan 2014-2017, Annex 2

group interviews, focus group discussions, document review of operational and programme documents, direct observations and mapping of partners and activities, use of appreciative interviews, and outcome harvesting techniques. The final sample of country case studies includes Colombia (country office), Liberia (country office), Morocco (multi-country office), Tajikistan (programme presence country), and Thailand (Asia regional office),) and Malaysia (non-programme presence to address the universality of UN Women's mandate). To see more detailed criteria for see Annex E.

TIME FRAME

19. The work plan along with key tasks, deliverables and implementation timeline can be found in Annex C. The work plan assumes a start date of 28 August 2015, with completion of all deliverables by 30 May 2016.

2 EVALUABILITY AND UNDERSTANDING OF THE REGIONAL ARCHITECTURE

2.1 EVALUABILITY ASSESSMENT

20. As part of the inception phase of this evaluation, the evaluation team conducted a brief evaluability assessment of UN Women's regional architecture. The evaluability assessment addresses the extent to which 1) the object of the evaluation is adequately defined and progress towards results is measurable; and 2) data to inform the evaluation is available and of adequate quality. This assessment was informed by consultations with key stakeholders during the Inception phase and by an initial analysis of available data and documents.

21. **Exhibit 2** describes the differences in each level of the regional architecture, according to UN Executive Board Paper on regional architecture. [15]

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[15] Regional Architecture: administrative, budgetary and financial implications and implementation plan. 28-30 November 2012. http://www.unwomen.org/~/media/headquarters/attachments/sections/executive%20board/eb-2012-s2-d2012-06-regionalarchitecture-en.pdf

Exhibit 2: Wording in the Executive Board Paper describing each level of the regional architecture[16]

UN Women HQ
- Focuses on high-level strategic oversight and global technical and policy knowledge: emphasize global research and analysis; develop tools and guidance in thematic areas
- Provides greater support to country and regionally focused inter-agency processes
- Focuses on the UN-Women normative role

UN Women regional field offices
- Increase their programme management capacity
- Provide managerial and program oversight of country and multi-country offices, quality assurance, technical and operational support and policy advice
- Support knowledge-sharing
- Undertake inter-agency coordination at the regional level

UN Women Country and Multi- Country Offices
- Deliver UN Women Support to government and other country stakeholders in line with UN-Women mandate
- Carries out programmatic and operational activities
- Manage funds and plays technical advocacy role
- Support Normative Mandate by promoting awareness and adherence to international norms and standards

Programme Presence Countries
- Presence of Senior UN Women gender advisor to resident coordinator and UN country team
- Presence of other technical advisors to be provided as needed to UN Country teams

Non- Programme Presence Countries
- UN provides support to countries on basis of national requests
- HQ will continue to engage, depending on nature of support required in non-programme presence countries
- Regional Office will serve as primary point of contact for countries in their region.

EXTENT TO WHICH REGIONAL ARCHITECTURE'S OBJECTIVES ARE ADEQUATELY DEFINED

22. The regional architecture of UN Women is clearly defined in the Executive Board's papers and follow-up reviews including clear definitions of structure, the authorities of new offices and the intended outcomes for each level of the organization. Some strategic and tactical aspects are

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[16] Note this is language from the original Executive Board Paper (Regional Architecture: administrative, budgetary and financial implications and implementation plan. 28-30 November 2012.) The rollout of the RA does not fit this definition exactly and structure of programme presence offices vary based on country context.

unclear—such as the balance between regional initiatives and country support for Regional Offices—and these are being defined and adjusted over time. Such evolution is expected in any organization.

EXTENT TO WHICH PROGRESS IS MEASURABLE

23. Progress on the implementation of the regional architecture is measurable with some limitations. One of the main management tools currently used by UN Women to gauge performance and identify issues is the Country Office Assessment Tool (COAT).[17] Nine performance indicators used by UN Women to measure CO performance will be examined in the COAT to measure RA progress. It should be noted that while COAT indicators are an important measure of CO performance, there are recognized limitations to the validity and use of this data based on country context and therefore are not the only metric used by UN Women and shared with COs to measure their ongoing progress. Thus, we will also review Quarterly Monitoring Reports by region for narrative, anecdotal progress of country activities. Quarterly Monitoring Reports are submitted on a regional, rather than country level and therefore level of detail in documentation of country progress will differ based on regional reporting. In addition, the Executive Board's documents on the progress of the implementation of the regional architecture will also be used to note progress on roll out and updates on the status of implementation.[18] [19] [20] [21]

24. When it comes to effectiveness, the results management system (RMS) captures limited information related to outcomes at this time. Most countries in the RMS have not populated their monitoring results in terms of "Achieved, On Track, Off Track." The quantitative measures in the regional architecture's monitoring system offer one lens, but the interpretation of those measures requires additional information from countries. Interview and survey data will inform feedback on specific issues related to the design and implementation of the regional architecture.

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[17] Country Office Assessment Tool (COAT)
https://unwomen.sharepoint.com/sites/Extranet/Corporate%20Evaluations/COAT/COAT%2030%20APRIL%202015.pdf

[18] Report on Implementation of Regional Architecture12Sept2014

[19]Two Year Report on UN Women Regional Architecture Implementation

[20] Progress Update on Regional Architecture Implementation, April 2014

[21] Talking points for Regional Architecture Oral Presentation to Executive Board 2013.

AVAILABILITY AND QUALITY OF EXISTING DATA

25. The evaluation team analysed the availability, completeness and consistency of four main types of data and documents: regional architecture background documents, planning documents, monitoring data and financial documents. For background of the regional architecture, the evaluation team reviewed the board documents, progress reports, and the initial creation of the regional architecture in the Dalberg Report as well as others to understand the framework and context in which the regional architecture was created. The team reviewed planning documents such as strategic notes and annual reports, delegation of authority framework and additional board documents to understand the policies of the regional architecture and the planning of roll out and implementation of the regional architecture at every level. Financial documents including Internal Control Framework, Consolidated Post Costs and Line item budgets as well as the COAT were also reviewed. The team identified limitations relating to the documents' availability, consistency and quality. The majority of gaps in data related to monitoring and reporting data. For a complete list of documents reviewed and limitations noted, see Annex G. The following conclusions were made regarding the limitations in availability and quality of monitoring data:

LIMITATIONS OF COAT

COAT data, and particularly programme portfolio and the performance indicators, are largely used to measure and report on financial data (e.g., delivery amounts in dollars and delivery rates) as well as data on CORE and non-CORE funding. There is no performance monitoring and reporting on CO progress and performance related to the achievement of results linked to the annual work plan indicators. Since the COAT is, at present, a principal metric used by HQ and RO management to assess country performance, it must be used in tandem with other performance monitoring tools (e.g., RMS, quarterly monitoring reports) in order to get a full appreciation of CO performance. In addition, delivery and particularly delivery rates seem to lack context in the sense that there is no delivery rate-spending plan to compare the actual monthly figures with the planned monthly figures. COAT data is shared with countries periodically through emails and the intranet together with detailed information on each key indicator, including core versus non-core funding. This is intended to allow countries to have a full picture on their overall progress providing links to the detailed information for ease of detailed monitoring by ROs, COs and Programme Division. Finally, feedback from MCO's have noted that the COAT is not well adapted to MCO contexts and often times creates inaccuracies that must be corrected at HQ. The evaluation will explore the use and usefulness of COAT by countries.

LIMITATIONS OF RMS

26. While some countries populate and input AWP data into the RMS on Organizational Effectiveness and Efficiency Frameworks (OEEF) and Development Results Frameworks (DRF), overall there is still missing data, as it is not filled in by countries. Among the data inputted, there are more complete data on the DRF than the OEEF.

27. The RMS is still less than a year old and offices at every level and at HQ are still learning how to manipulate it. The principal limitation is that it is not linked to ATLAS, meaning any financial data found in the country reports, both DRF and OEEF, has to be manually inputted. Finally, quarterly monitoring reports are still prepared separately from RMS monitoring reports, which are input manually. Due to the recent roll out of the RMS, the evaluation team will need to reach out to countries directly to request documents that report on organization and development results.

LIMITATIONS IN LACK OF LINKAGE OF RMS TO ATLAS

28. The RMS is not linked to ATLAS at present. Because the COAT and RMS financial data are entered manually by those reporting, this means that all types of financial analysis and reporting from cost-benefit to results and resource-based management must be done manually. Ultimately, RMS will become the reporting format that will link ATLAS financial data and country-level results and OEEF performance data into one seamless analysis and reporting system. The transition process is still underway and may well be finished prior to the completion of the evaluation.

2.2 REGIONAL ARCHITECTURE'S FRAMEWORK

OVERVIEW OF UN WOMEN'S THEORY OF CHANGE FOR THE REGIONAL ARCHITECTURE

29. The regional architecture's goals, defined in UN Women Executive Board's paper UN Women/2012/10, include achieving the overall strengthened capacity of UN Women to deliver results for women and girls at the national level, as envisaged in its strategic plan and in response to national priorities, and to coordinate normative and operational functions at the global, regional and national levels.[22] The chain of outcomes envisioned in the regional architecture's goals as per board paper, is presented in **3**.

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[22] Regional Architecture: administrative, budgetary and financial implications and implementation plan. 28-30 November 2012. http://www.unwomen.org/~/media/headquarters/attachments/sections/executive%20board/eb-2012-s2-d2012-06-regionalarchitecture-en.pdf

Exhibit 3: The UN Women Regional Architecture's Logic Model

RA Actions	Immediate Outcomes	Intermediate Outcomes	Long-term Outcomes
• Establishment of 6 regional offices and 6 multi-country offices • Evolution of the current UN-Women sub-regional offices into regional offices, multi-country offices or country offices • Greater decentralization of authority to the field, including moving mid- and lower-level oversight functions from HQ to regional offices • Transfer of some technical and operations functions from HQ to the field • Corresponding changes at HQ to reflect changed roles	• Even capacity at all levels of the organization by recruiting new senior leaders • Decentralized decision and approval mechanisms • Aligned lines of reporting • Consistent internal communication and knowledge-sharing • Appropriate decision-making authority for UN-Women representatives, including with regard to financial resources • Adequate technical capacity at the field level	• Overall strengthened capacity of the organization: • Faster approvals • Low transaction costs • Effective oversight • Delivering results for women and girls at the national level, as envisaged in its strategic plan and in response to national priorities • Responsive to changes in UN Women's environment, e.g., increased regional initiatives, greater South-South cooperation and increases in country national capacity • Offer more relevant and timely support to national governments and partners • Substantive engagement with regional and sub-regional expert and intergovernmental bodies in gender equality and women's empowerment • Strengthened ability of the organization to draw upon regional and national experience/expertise to address its universal mandate	• As a dynamic and strong champion for women and girls, UN Women provides them with a powerful voice at the global, regional and local levels to achieve the: • elimination of discrimination against women and girls • empowerment of women • achievement of equality between women and men as partners and beneficiaries of development, human rights, humanitarian action and peace and security

30. The timing of these outcomes was envisioned as follows: actions completed in 2013, immediate outcomes would be visible shortly after implementation, and intermediate outcomes would be visible possibly a year after implementation, and long-term outcomes are part of the 2030 goals.

31. Subsequent documents, memos and reviews have made additions and modifications to the original regional architecture. A few of the most impactful modifications include:

• Introduction of a new matrix management for the programme/policy and intergovernmental areas to increase interdivisional collaboration and synergy.[23]

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[23] 01 08 15 Email communication on Accountability for interdivisional collaboration and synergy- Policy, Program and Strategic Partnerships Directors

- Introduction of flagship programming initiatives (FPIs) to ensure that UN Women is "fit for purpose" in the post-2015 development agenda.[24]

- Draft Decision 2015/6 requesting UN-Women to undertake an analysis of the post structure to specify how posts related to normative and operational functions would be covered in the future. Integrated budgets will be presented to the Executive Board no later than in its 2018–2019 budget proposal.[25]

- Signing of the *UN Women Leadership Charter: Towards a more unified and collaborative UN Women*, following the Global Retreat 2015, which agreed to the principles as "leadership without a title."[26]

- Revisions of the peer review group process including an increased focus on the implementation of the SDGs, integration of FPIs into strategic notes, and allowing offices to collectively review their draft AWPs at the regional level and thus share knowledge and experiences with each other, rather than only at the HQ level.[27]

ASSUMPTIONS

32. The regional architecture's logic model makes several assumptions including:

- Bringing decision-making closer to the country level will result in more responsive strategies and programming for UN Women
- The regional architecture will have an impact on business processes and operations
- The regional architecture will bring about improved coordination and strengthen the convening role of UN Women within the UN system
- A minimum office configuration is necessary for the establishment of the internal control framework and a prerequisite for the delegation of authority

33. In some cases, programme presence are better managed by a neighbouring country office or multi-country office than a regional office. . These assumptions will be tested in the regional architecture's evaluation.

KEY STAKEHOLDERS

34. The regional architecture defines much of the structure and operations of UN Women including roles and responsibilities of staff, and the internal authorities and processes of the organization.

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[24] Flagship Programme Initiatives Booklet. UN Women 2015

[25] Draft Decision 2015/6 on Integrated Budget for the biennium

[26] UN Women Leadership Charter

[27] Memo sent by Maria Noel Vaeza, 29 October 2015

Key stakeholders include a wide range of internal and external stakeholders whose experience will provide important contributions to the evaluation, and in turn, have a direct interest in the evaluation's findings and the subsequent response from UN Women.

35. Also, among the most important stakeholders are the members of the UN Women Executive Board, other UN Member States and UN Women senior leadership, all of whom make up the primary target audience for the evaluation of the regional architecture. These stakeholders will rely on the evaluation to inform their decision-making about strengthening the design and execution of the regional architecture in ways that continue to enable UN Women to perform its mandate and be fit-for-purpose to implement the 2030 Global Agenda.

INTERNAL STAKEHOLDERS

36. **Field staff at all levels** are directly affected by the structure, processes and operations of the regional architecture. For all office typologies, field staff will be essential interviewees in order to understand the functioning of the HQ and field offices' two-way flow of authority, work, knowledge and communication.

37. **Selected senior staff at all leve**ls were key informants during the inception phase, and as the evaluation team's understanding deepens, it will be crucial to check in with them throughout the evaluation process to provide a high altitude perspective on the implementation to date and cross-regional insights into the strengths and weaknesses of the overall system. They will also provide senior management's perspective on the evolving realization of UN Women's mandate, and keep the evaluation team up to date on other ongoing processes and developments.

38. In **all office types**, staff will have perspectives on how the regional architecture has or has not influenced the relative importance of the three pillars and identity of UN Women, and how it enhances or inhibits UN Women's ability to deliver on its mandate and contribute to the 2030 SDGs.

39. As emphasized during the inception meetings, lower level staff have distinct perspectives on the internal mechanics of the processes that are in place, what is successful and how they might be improved. The evaluation team will ensure that a representative sample of staff at all relevant levels is included in the interview list. Across levels and countries/regions, the team expects that field respondents will provide important ground-level views regarding UN Women's "fit for purpose."

40. At the **regional level**, staff will have awareness of and theories about the roles and performance of different types of offices in their regions. Regional policy advisors, regional operations managers and other staff with specific expertise in women's economic empowerment , governance and political participation , peace, security and humanitarian action, HIV/AIDS, and violence against women as well as specialists in M&E and planning and coordination, will

provide important information regarding the effective flow of information, support, communication of strategy, and oversight from HQ to field and vice versa in support of a shared approach and vision.

41. **HQ programme support staff** are the leading edge of the interface between HQ and the field and will have insights into the relative merits of different office typologies, and where the regional architecture supports and inhibits the relationship between HQ and the field. As discussed for field staff above, topics for these interviews will include the functioning of the HQ and field office two-way flow of authority, work, knowledge, and communication, albeit from another perspective. Again, it will be important to have some representation of staff at various levels.

42. **Content specialists and advisors** including policy advisors and those staff with specific expertise on women's economic empowerment, governance and political participation , peace, security and humanitarian action, HIV/AIDS, and violence against women will provide important information regarding the effective flow of information and communication of strategy from HQ to field and vice versa in support of a shared approach and vision. Possibly even more importantly, this group of stakeholders will have perspectives on how the regional architecture has or has not influenced the relative importance of the three pillars and the core identity of UN Women, and how the regional architecture enhances or inhibits UN Women's ability to deliver on its mandate and contribute to the 2030 SDGs.

43. **Operational support staff at HQ** will provide information on the functionality of the regional architecture, including those processes that have been streamlined, as well as those that are still bottlenecked. Their experience on the frontlines may provide important insights and suggestions for modifications of the regional architecture processes that can improve efficiency.

EXTERNAL STAKEHOLDERS

44. **Other UN agency partners at regional and country level, including UNDG teams and secretariats,** will provide insights into how the regional architecture has affected UN Women's effectiveness and relevance through engagement and participation in regional and country level UN multi-agency platforms. They may also have perspectives on the appropriateness and efficiency of UN Women's decentralization model as opposed to those in other agencies. They will have views on whether the higher-level representation under the regional architecture has resulted in greater influence and effectiveness within the UN system and regionally or nationally. In programme presence and non-programme presence countries, where there is not UN Women staff with Representative status, the UNDP Resident Representative will provide a perspective about the effectiveness of these typologies in delivering the UN Women mandate and furthering gender equality. The regional architecture evaluation will rely on UN Women's evaluation of coordination currently being finalized.

45. **Government stakeholders** will be important reality checks on whether process and authorization bottlenecks have been reduced through the delegation of authority under the regional architecture. Government stakeholders may also have important views about the effectiveness of the different office typologies. The government will be expected to have views on whether the higher-level representation provided to ROs, MCOs and COs under the regional architecture has resulted in greater influence and effectiveness.

46. **Civil Society**, as with government, will provide information about whether there has been an increase in UN Women's presence in important fora, and whether process and authorization bottlenecks have been reduced through the delegation of authority under the regional architecture. Civil society including Civil Society Advisory Groups will be of greatest importance where there are MCOs or COs, and at regional level, there may be regional CSOs that have important interactions with ROs. At the country level, CSOs will also provide perspectives as to whether UN Women's three-pillar mandate is being fully realized or whether the regional architecture has resulted in the emphasis of one pillar over others. The regional architecture evaluation will also rely on findings and conclusions from the evaluation of partnerships that UN Women will use for input on these stakeholders.

47. **Other development partners**, such as UN Women funders and international NGOs who work with UN Women, will have perspectives about whether higher-level representation under the regional architecture has resulted in greater influence and effectiveness, whether the devolution of authority has improved efficiency, and about the full integration and relative weighting of the three pillars.

KEY ISSUES RAISED IN INCEPTION INTERVIEWS

48. During the inception phase, UN Women staff from headquarters and the field defined the success of the evaluation. These issues are not confirmed by evidence, but offer the evaluation new areas of inquiry to pursue or reinforce and clarify the existing questions.

49. **The regional architecture is continually changing**. With significant changes in UN Women's top leadership in the last few months, which follow from the creation of the regional architecture, there is new energy and direction that influences the regional architecture. The new 12 flagship programmes further contribute to the ongoing programmatic work of UN Women in support of the 2030 Goals and articulate a clear platform for increasing resources. A new, collaborative planning process is being planned for all regions in which countries are sharing annual work plans and offering peer feedback. Therefore, the evaluation of the regional architecture must stay in touch with these dynamic developments, and engage in systematic and participatory processes that inform this dialogue that is taking place in the organization.

50. **Appreciation of the work underway**. While participating in interviews openly and passionately, numerous respondents cautioned the evaluation team about overreaching. Recognizing that the regional architecture is still being rolled out, especially respondents from the field suggested that, even if capacity has not been completely developed for some of the devolved functions, UN Women should show patience. Respondents cautioned that the evaluation team acknowledge what is being achieved at present.

51. **Mandate integration**. There was interest by respondents in seeing not only how the regional architecture enables or challenges the implementation of the three roles – normative, coordination, and operational - by UN Women, but also how the regional architecture supports the integration of these roles within the core mandate of assisting countries and the United Nations system in progressing more effectively and efficiently towards achieving gender equality and women's empowerment . Field respondents said that integration is an issue at the headquarters because of its particular structure that separates these three aspects of the mandate , while in the field one person frequently implements more than one or all threeroles .

52. **Empowerment, impact and accountability**. Both increased empowerment and accountability are viewed as mutually desired outcomes of the regional architecture (decentralization/devolution). The question raised was whether the way the regional architecture has been implemented to date is leading to an emphasis of one over the other, i.e., accountability over empowerment (which includes adequate resources to achieve planned results). Questions/issues raised by inception participants included: How do we protect the normative and coordination functions in an era of high accountability? The organization must safeguard against things that ask it to be compliant in an inflexible way. Many times staff mobilize in-kind resources for gender equality rather than cash/funds. It would be very important to count these achievements and the work.

53. **Flexibility**. Some participants questioned the minimum requirements for a country office. Similarly, inception participants wanted to review what is necessary and sufficient at regional level. Respondents suggested unpacking the flexibility, or lack of flexibility, of the regional architecture. How do UN Women's current country-level arrangements serve the three parts of the mandate of UN Women? How can they become more flexible?

54. **Clarity of role**. Inception participants raised several role clarity areas: boundaries between the regional and sub-regional responsibilities of regional and multi-country offices and their relationships to each other; the boundaries between country and regional programming (some felt that regional offices should be involved in regional programming, while others question whether that is an appropriate area of focus); and decision criteria on the choice of programme office, country office, and multi-country office, as well as who is responsible for what at different levels.

55. **A successful evaluation**. When asked about their vision of a successful evaluation, respondents gave the following feedback:

- A participatory and consultative process is critical. The credibility of the evaluation depends on its ability to represent and articulate clearly different perspectives from different stakeholders who experience the regional architecture. This inclusion of perspectives is probably even more important in light of the on-going changes in the regional architecture.
- Clearly articulating how the regional architecture works in different contexts, e.g., middle-income countries where it is more difficult to raise resources, or in current or post-crisis contexts.
- Understanding the implications of resource constraints. If we cannot afford the ideal regional architecture, for example, what do we lose by not having the full regional architecture implemented? How do we prioritize different areas where we need to invest?
- Includes quantitative measure that will provide a sense of how to organize and how to hold accountable.
- Not only identifying areas of shortcoming or challenge, but also providing analysis of why they exist, as well as clear and specific recommendations for rectifying them.

3 EVALUATION METHODS

3.1 EVALUATION APPROACH

ORGANIZATIONAL ANALYSIS FRAMEWORK

56. Organizational Analysis (OA) is concerned with the relevance, efficiency, effectiveness and sustainability of an organization. To conduct OA, the evaluation team will employ the Lusthaus model (**4**), as by evaluation ToR and in line with the approach used at the MOPAN. Lusthaus's model addresses performance by looking at three main areas that all contribute to performance:

1. Capacity – which is the most common metric for assessing organizational performance;
2. Motivation – which addresses the culture of the organization; and
3. Context or Environment – which addresses the external factors that affect how an organization performs.

Exhibit 4: Organizational Assessment Model

Source: Lusthaus[28] et al. 2002

CAPACITY

57. Capacity addresses whether an organization has the necessary skills to meet its objectives. This includes managerial (leadership, supervision, performance management, goal attainment), technical (gender, social inclusion, knowledge management, etc.) and administrative skills (finance, contract, IT, HR, event management, etc.). In UN Women, the evaluation team will consider capacities on these dimensions to operate in a decentralized global system. This includes clarity of roles and responsibilities in HQ, ROs, MCOs, COs and POs, an area in which a number of interviewees have expressed concern.

58. Another area of investigation is the capacities to foster integration across the three pillars of UN Women, including by fostering the development of systems and mechanisms.

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[28] Organization Assessment: A framework for improving performance (2002). Lusthaus, Ch., Adrien, M., Anderson, G., Carden, F., and Montalvan, G. International Research center. Available at
http://www.idrc.ca/EN/Resources/Publications/Pages/IDRCBookDetails.aspx?PublicationID=241

MOTIVATION

59. Motivation has two key components: the organizational and the personal. On the organizational side, this looks at what the organization values against what its objectives are. Is there alignment between the incentives for staff performance and the organization's objectives (i.e., ensuring integration across the three pillars, which is a key concern; it is not clear whether the model in practice supports that)? Does the organization identify and value the attributes and actions in its staff (management, technical and administrative staff), that contribute to goal achievement?

60. On the personal side, how does the organization reward and support its staff? What does the organization do to foster strong performance from its staff? Do, and how do, staff understand the three pillars and the integration of action across these pillars? Is there alignment between policy and practice? How consistent and aligned are practices across offices? Are there different incentives and motivations in HQ, ROs, COs, MCOs, POs?

CONTEXT

61. Context, or the environment in which an organization operates, plays a key role in what it can and cannot do. The legal environment is one dimension of this, but the social environment also plays a key role. What pressures and expectations are brought to bear on the organization and its staff in the places in which it operates that affect performance? Is and how is this reflected in implementation of the regional architecture in different countries or regions? How responsive is the regional architecture to variation in context? Questions on context will cut across cases as well as file reviews.

UN MODELS OF DECENTRALIZATION

62. UN Women's model for the regional architecture needs to be seen in the context of decentralization in the United Nations as a whole, and can learn from the experience of other organizations in the UN family.

63. The UNDP's review of decentralization underlines a number of key points that will be considered in the evaluation. UNDP's approach[29] underlines the importance of flexibility and consideration of local conditions as part of any effective architecture. As well, this review underlines the point that the pace of decentralization plays a major role in its success or failure – too slow and it falters (p. 11). The distinction the review makes between country level activities and global

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[29] DECENTRALIZATION:A SAMPLING OF DEFINITIONS: Working paper prepared in connection with the Joint UNDP-Government of Germany evaluation of the UNDP role in decentralization and local governance, October 1999

activities resonates with the issues raised in UN Women, particularly in terms of providing increasingly localized services without compromising the global mandate. This suggests several key areas of investigation for the case studies both in the regions and in HQ.

64. Furthermore, the architecture of the UNFPA[30] is important, as it is a model that has captured the attention and interest of many staff in UN Women, not only because of the architecture but also because of the similarity in nature of the organizations in both programming and advocacy mandates. UNFPA is a model that is appreciated by UN Women staff as it addresses some of the same issues (inter alia, core and external funding, efforts to address the unintentional siloing of different parts of the program, integration of regional and global programming to complement country programs), and has directly integrated into the architecture some flexibility in its operating parameters in different countries and regions. In particular, the experience of UNFPA's efforts to address silos in their 2014–2017 planning will be important to review.

65. The dimensions identified in the Lusthaus model will be used as key elements to structure the inquiry. As such, the inquiry will pay special attention not only to the capacities in place to implement the regional architecture, but also the incentives that the different actors have in its implementation and how that affects success. The study will also bring considerations of the specific contexts in which the work is being carried out into the data collection and analysis to understand how the environments in which UN Women staff are working affect their opportunities for success.

66. A comprehensive and multifaceted approach has been designed for the evaluation that corresponds to the purpose and objective of the evaluation and is informed by inputs provided by key evaluation stakeholders during the inception phase. The overall approach to the evaluation involves the following analytical methods: outcome mapping, quality improvement, appreciative inquiry, and a gender-responsive approach. Learning from other UN agencies experience will inform the entire evaluation process.

OUTCOME MAPPING

67. Outcome mapping[31] is an approach to design, monitor and evaluate programs or activities that are focused on creating change. In order to define and assess that change it focuses on changes in behaviour, actions or activities as the unit of analysis. Outcome mapping will play an important

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[30] UNITED NATIONS POPULATION FUND THE UNFPA STRATEGIC PLAN, 2014-2017: Annex 4, Financial Arrangements

[31] Earl, Sarah. Carden, Fred. and Smutylo, Terry. *Outcome Mapping: Building learning and reflection into development programs.* (IDRC / 2001-01-01).
http://www.idrc.ca/EN/Resources/Publications/Pages/IDRCBookDetails.aspx?PublicationID=121

role in examining the organizational behaviours that support the implementation of the regional architecture. Additionally, across the evaluation, the focus on evidence through changes in behaviour, action or activity, will be central.

68. Outcome mapping is especially appropriate for large, complex systems and programs where it takes high-level, ambitious outcomes—such as UN Women's three aspects of the mandate—and explores the underlying theory of change in terms of concrete changes at different levels of the system and for different organizations, organizational units and groups. The organizations or units that UN Women aims to serve and influence are called "boundary partners," and are deemed essential to carrying out the mandate.

69. A second key element of outcome mapping is the focus on boundary partners and assessing where there is a direct opportunity for influence. We will not use end state change as our measure but review whether and how the direct relationships that UN Women maintains with partners effectively support the regional architecture. This review will be incorporated in the vertical and horizontal analysis (presented later in this section) emphasizing organizations and groups where UN Women has direct relationships of influence. How well are corporate messages about the regional architecture translated from level to level in the decision chain? How well do knowledge management systems address the differential needs of different levels of UN Women and different parts of the organization?

70. Outcome mapping contributes to OA through an examination of whether the organizational practices in use in implementing the regional architecture are fostering the change in behaviors that the regional architecture requires. The team will examine the following: Are challenges in implementing the regional architecture effectively and promptly addressed? Does management seek feedback on the regional architecture and address issues it finds? Does UN Women seek feedback from other decentralized systems on its performance and approach? Is UN Women self-assessing implementation of the regional architecture on an ongoing or periodic manner (through this evaluation for the latter)? Is UN Women sharing good practices on regional architecture implementation across the organization, vertically as well as horizontally?

QUALITY IMPROVEMENT

71. Quality improvement (QI) consists of systematic and continuous actions that lead to measurable improvement in services and outcomes of targeted groups. [32] When using a quality lens to analyse an organization, that organization's current system is defined as *how things are done now*, whereas organizational performance is defined by an *organization's efficiency and*

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[32] http://www.hrsa.gov/quality/toolbox/methodology/qualityimprovement/index.html

outcomes, and level of customer (internal and external including intended beneficiary) satisfaction. Quality is directly linked to an organization's service delivery approach or underlying systems. To achieve a different level of performance (i.e., results) and improve quality, an organization's current system needs to change. Successful QI always incorporates the following four key principles:

- QI work as systems and processes
- Focus on customers (beneficiaries)
- Focus on being part of the team
- Focus on use of the data

FOCUS ON PROCESSES AND SYSTEMS

72. To make improvements, an organization needs to understand its own delivery system and key processes. The concepts behind QI recognize that both resources (inputs) and activities carried out (processes) are addressed together to ensure or improve quality of services and outcomes. In the case of UN Women, this means the regional architecture needs to enable the organization to be present and influential in fulfilling its mandate, and needs to enable this performance to be the best it could be, cost effectively.

73. Process mapping is a tool commonly used by an organization to better understand the processes within its practice system. A process map provides a visual diagram of a sequence of events that result in a particular outcome. By reviewing the steps and their sequence as to who performs each step, and how efficiently the process works, an organization can often visualize opportunities for improvement. The process-mapping tool may also be used to evaluate or redesign a current process. Through QI process analysis, the evaluation team will map key business processes that are defined by the implementation of the regional architecture. The evaluation will present the convergence and divergence of experiences at every level of the system for key processes and decisions related to planning, approvals, monitoring, oversight, reporting and evaluation.

FOCUS ON CUSTOMERS/BENEFICIARIES

74. An important measure of quality is the extent to which the needs and expectations of internal and external customers (and intended beneficiaries) are met. Services that are designed to meet the needs and expectations of UN Women internal customers (staff) and external customers (governments, other UN organizations, civil society, and women and girls) include:

- Systems that affect access to UN Women's resources, knowledge, services, and influence
- Approaches that promote gender equality and women's empowerment that are evidence-based

- Respect for all internal and external customers
- Support for engagement internally and with external partners
- Coordination of services across different roles of mandate and with different parts of the system (country, regional, national)
- Cultural competence, including honoring UN Women's organizational culture, responsiveness to country needs, and identifying most influential methods and partners to promote gender equality and women's empowerment

75. An important question is who defines quality? The focus on "customers" gives a voice to whoever is served by a process: countries are customers of regional offices; Regional Directors are customers of Deputy Executive Directors, and vice versa. The "customer dialogue" depicted in a tool called the Johari Window becomes a useful interaction for developing a shared understanding of purpose, process, and what a great outcomes looks like.

FOCUS ON TEAM WORK

76. At its core, QI is a team process. In UN Women, a highly complex organization, delivery on the three aspects of the mandate is by necessity the product of teams. The regional architecture needs to enable teams to harnesses the knowledge, skills, experience and perspectives of different individuals within the team to make lasting improvements. A team approach is most effective when:

- The process or system is complex
- No one person in an organization knows all the dimensions of an issue
- The process involves more than one discipline or work area
- Solutions require creativity
- Staff commitment and buy-in are needed

77. Whether UN Women is seeking to increase its presence in regional fora, leverage resources, reduce response time to country needs or influence transformative policy change, a team effort is needed across levels to achieve significant and lasting outcomes. The regional architecture needs to enable UN Women staff work effectively as teams across the organization to achieve desired outcomes. In fact, a key component of well-functioning teams is an effective infrastructure, such as, leadership, and policies and procedures to organize and facilitate the work of the team. Infrastructure support affords the team with tools, resources, clear expectations, and a forum for communication.

FOCUS ON DATA

78. Data are the cornerstone of QI. It is used to describe how well current systems are working; what happens when changes are applied, and to document successful performance. Using data:

- Separates what is *thought* to be happening from what is *really* happening
- Establishes a baseline (*Starting with low scores is ok*)
- Reduces placement of ineffective solutions
- Allows monitoring of procedural changes to ensure that improvements are sustained
- Indicates whether changes lead to improvements (for example, how will UN Women's Executive Director know that her instituting a matrix reporting structure has achieved a higher level of mandate integration and quality of support to regions and countries?)
- Allows comparisons of performance across the organization

79. Both *quantitative* and *qualitative* methods of data collection are helpful in QI efforts. *Quantitative* methods involve the use of numbers and frequencies that result in measurable data, for example, calculating the frequencies of timely response to country requests.

80. *Qualitative* methods collect data with descriptive characteristics, rather than numeric values that draw statistical inferences. Qualitative data are observable but not measurable, and it provides important information about patterns, relationships between systems, and is often used to provide context for needed improvements.

81. UN Women collects some data now, and has plans in place to link monitoring databases to allow for more useful tracking and analyses. Focusing on existing data in a disciplined and methodical way allows an organization to evaluate its current system, identify opportunities for improvement and monitor performance improvement over time.

82. When an organization wants to narrow its focus on specific data for its QI program, one strategy is to adopt standardized performance measures. Since performance measures include specific requirements that define exactly what data are needed for each measure, they target the data to be collected and monitored from the other data that is available to an organization. Choosing to measure a particular service sometimes has an immediate effect in improving it. Measuring conveys meaning to the organization, and the message is, "this is important." For example, if UN Women measures the delivery rate in the COAT conveys to countries that it is important, which becomes an incentive for UN Women staff to do what they can to increase it.

APPLYING QI TO THE REGIONAL ARCHITECTURE EVALUATION

83. Through QI process analysis, the evaluation team will:

- Compare expectations and reality of how things should and do work—including roles and responsibilities, timing and issues
- Variation of each process that is built into the design of the regional architecture, including each type of office
- Enabling factors that contribute to greater effectiveness and efficiency
- Incentives inherent in the regional architecture

- Challenges with the current system
- Recognition of current initiatives that aim to make adjustments to different business processes related to the regional architecture

84. In summary, QI will be used to analyze the operational aspect of the regional architecture, how people interact under the regional architecture to perform on UN Women's mandate, and how it uses different types of data to track progress and report. Based on QI analysis, we will draw conclusions across the variables of the Organizational Analysis in the Lusthaus model.

APPRECIATIVE INQUIRY

85. Appreciative inquiry is a process that aims at learning from successful experiences, exploring the alignment between regional architecture structures and processes, UN Women's values, mandate, and the human rights and women's empowerment framework. Appreciative evaluation[33] uses storytelling to understand context, process, roles and culture. It engages participants in analyzing exemplary experiences and exploring factors that enabled success (using cause and effect analysis). It seeks to understand how processes and systems worked in an organization when successful outcomes were achieved in the past. Then, it explores the frequency and variation of such experiences, and their enabling factors, and, based on these insights, to discuss the priority challenges and obstacles to successful outcomes. These priority challenges are explored through the checklist in the Lusthaus model that explore priority areas where UN Women can achieve the highest gains in effectiveness, efficiency and coherence in implementing its mandate. The inclusiveness, participatory and engaging nature of the appreciative process has several advantages. It:

- Invites respondents to speak of what they themselves know, which increases honesty, accuracy, specificity and confidence of responses
- Offers deep, rich understanding of context, motivation and values
- Increases engagement and buy-in in the evaluation process
- In group settings, facilitates learning in the moment, and offers valuable insights for the evaluation

86. Those new to appreciative inquiry may think that it is an approach that focuses on the positive. In fact, "appreciative" questions are not "positive" questions; rather, it means questions that seek the narrative behind an experience of internal alignment in an organization or team that produced outstanding outcomes. Then, it uses that narrative to explore enablers, core values and challenges (in the form of wishes).

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[33] Preskill, Hallie., Catsambas, Tessie., Reframing Evaluation Through Appreciative Inquiry, Sage Publications, 2006.

GENDER-RESPONSIVE EVALUATION

87. The evaluation is adopting a gender-responsive approach. In the interviews and analysis, it will explore relationships being attentive to power inequities, and position the evaluation to reflect experiences from stakeholders at different levels. This lens will enable us to provide honest and constructive insights into the realities of those with less power in each relationship, who might otherwise not have a natural forum to insert their perspectives into the future of the regional architecture. In concrete terms, this lens urges us to speak not only with managers but also people at different levels and in different roles in the UN Women system—both the organization and external stakeholders. In the analysis, as relevant we will also highlight the feminist critique of organizational development models, including UN gender architecture reform[34].

COMBINING METHODS

88. The methods selected for the regional architecture evaluation are synergistic. Outcome mapping offers a strategic way to unpack the UN Women theory of change, appreciating that UN Women is part of system and can only achieve its mandate in partnerships and interactions. Quality improvement offers a systematic way to explore the systems and processes that make up the regional architecture driven by a clearer understanding of what high-quality performance means in UN Women, and exploring existing evidence that informs UN Women about its performance. Appreciative inquiry offers a process of engagement with stakeholders to harvest their deepest knowledge of the organization—values, processes, outcomes—and their most creative ideas of how to translate lessons from best experiences to address larger issues in the organization. The gender-responsive lens adds a sensitivity to the underlying power inequities that exist in any system, and engenders a more equitable and inclusive evaluation. Findings, lessons, conclusions and recommendations will be organized around the Lusthaus model categories and elements.
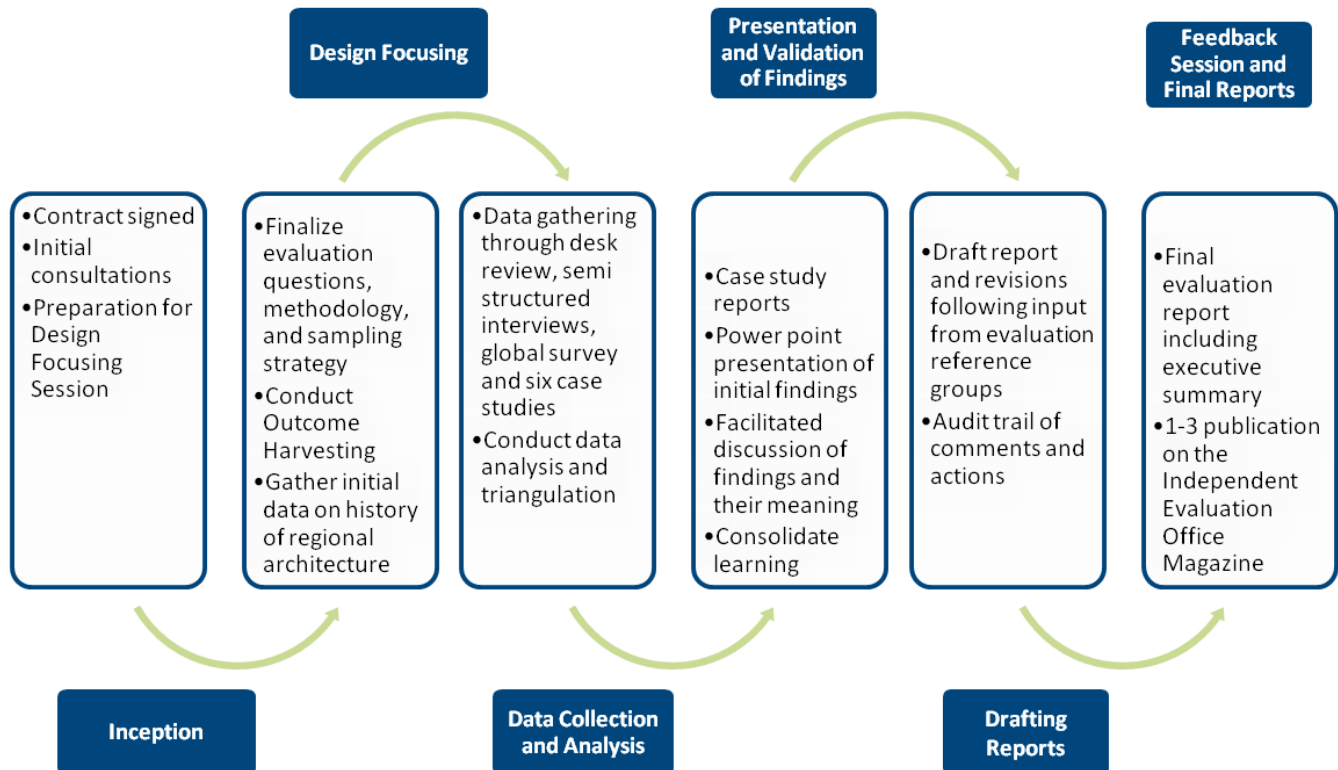
89. For example, when reviewing the delivery rate in a country, outcome mapping will help to understand what partner outcomes are influenced by this rate and in what ways. Quality improvement will help to explore the implications of that delivery rate for quality of performance and customer service, and identify the enablers and challenges that made it so in the whole system (not just the country). Appreciative inquiry will engage stakeholders in sharing what has worked in delivering on UN Women's mandate, and explore how delivery rates could increase in ways that increase quality performance for partners and clients. Gender-responsive evaluation will ensure the perspectives of all key stakeholders are reflected in this analysis.

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[34] Charlesworth, Hillary and Chinkin, Christine. The New United Nations "Gender Architecture": A Room with a View. A. von Bogdandy, A. Peters and R. Wolfrum, (eds.), 2013: Koninkijke Brill N.V.

THE EVALUATION PROCESS

90. Ongoing consultation and communication with UN Women and the evaluation reference group will facilitate a joint learning and planning process, with built-in checkpoints to ensure that the evaluation stays on track, and is focused on the evaluation goals and objectives. **5** illustrates the evaluation process.

Exhibit 5: Evaluation Process

91. A mixed methods approach will be used, consisting of three levels of analysis from four streams of data collection including a document review, in-depth country portfolio review (documents and interviews), a global survey of UN Women staff and seven case studies, including one at Headquarters and five country visits, and a non-presence country without a country visit for an in-depth study of country-level experiences with the regional architecture (the plan for the non-presence country will be finalized at a later date). Each of the four streams of data collection will serve different, but complementary purposes and selectively engage stakeholder groups that can provide the most relevant, useful data to address the evaluation questions and allow for triangulation of data across different sources and methods. Both quantitative and qualitative data will be gathered and appropriate analytic tools used to analyse, synthesize and summarize the data for presentation to UN Women for verification and interpretive discussion.

3.2 EVALUATION MATRIX

92. In order to provide a framework to collect, analyse and assess data to answer key objective questions, an evaluation matrix is featured in Annex B. This matrix with operationalized indicators, evaluation criteria and means of verification was developed during the inception phase with participatory input from the UN Women Independent Evaluation Office and the evaluation reference group.

3.3 SAMPLING

93. Sampling was used for two reasons during the design of the evaluation: 1) selection of countries to be included in the country case studies (five countries plus HQ) selection of countries to be included in the portfolio analysis (32 countries total). The sampling strategy was conducted using a participatory process that engaged the Independent Evaluation Office to finalize criteria categorization and weighting of each criterion. The sampling strategy identified countries that presented the best opportunity for learning from the implementation of the regional architecture, and for learning from them about what works and what could be strengthened.

94. In the selection of five field visits, five criteria were prioritized – type of office, geographic distribution, economic status, humanitarian context and evaluation fatigue. For in-depth portfolio analysis of 32 countries, six regional and six multi-country offices, an additional three criteria were applied including level of maturity, status of workforce and level of expenditure to draw a representative sample of countries. For more information, please see detailed sampling process in the Case Study (Annex F) and In-Depth Portfolio (Annex E) sections.

3.4 DATA COLLECTION AND ANALYSIS

95. The sequencing of data collection is designed specifically to allow incremental learning and tailoring of subsequent data collection to extend, build on and verify initial findings. The results of the desk review will be used to develop an initial set of semi-structured interviews with selected stakeholders (to be determined with UN Women) to further define the critical outcomes, changes processes, challenges and success factors related to the regional architecture. The combined findings from the desk review and interviews will inform the design and delivery of a global survey to all UN Women staff. Concurrently, visits to Headquarters and five countries will serve to gather primary data and context-specific understandings for case studies on how the regional architecture affects UN Women's ability to carry out its mandate at the country level.

DESK REVIEW

96. The desk review began during the inception phase to provide the organizational context (at the global, regional and country levels) for evaluating the organizational relevance, effectiveness and efficiency of the regional architecture. The desk review involved a systematic review and analysis of at least four types of documents: 1) UN Women's policy and strategic planning documents, including reports to the Executive Board; 2) UN Women's operational manual and guidelines for all levels of the UN Women system, but in particular to those related to the regional architecture; 3) reports from previous surveys and evaluations of UN Women regarding relevance, effectiveness and efficiency, including on-going evaluations and processes; and 4) financial reports. The desk review also includes selected documents from other UN agencies or the UN-wide system to serve as benchmarks or provide context on existing decentralization efforts in the United Nations.

IN-DEPTH PORTFOLIO REVIEW

97. The purpose of the in-depth portfolio review is to provide a whole-systems view of the regional architecture and its contributions to UN Women. The portfolio review will include in-depth analysis of the regional architecture in six regional offices, six multi-country offices and a representative sample of 20 UN Women country offices. Information from the desk review will be combined with data from semi-structured interviews and a global survey to provide a whole-systems view of the regional architecture and its contributions to UN Women.

SAMPLING CRITERIA

98. The sampling strategy identified countries that presented the best opportunity for learning from the implementation of the regional architecture, and for learning from them about what works and what could be strengthened. In the selection of 20 additional countries, the same criteria as case studies was prioritized, including type of office, geographic distribution, country context-income and humanitarian context. In addition, to draw a representative sample of countries for the in-depth portfolio review, an additional three criteria were applied; the level of maturity, based on DoA dates consolidated from the intranet and PSU; the status of the workforce, including staff and non-staff personnel, such as service contracts, SSA/IC, secondments, UNV, others and interns; and the level of expenditures based on a report sent by Finance from August 2015.

METHODOLOGY – DESK REVIEW

99. The desk review is based on documents provided by UN Women via ATLAS, Results Management System and UN Women Extranet. Documents will be reviewed across countries to compare

indicators across relevance, efficiency and effectiveness. An initial list of potential analysis is listed in Table 1. This analysis is subject to modification based on data discovered in initial document review, new documents that become available during the evaluation (e.g. RMS data that is currently being populated), and new information from the survey and in-depth interviews. In addition to the following quantitative analysis, documents will be coded and reviewed for qualitative analysis using Dedoose software. A codebook can be found in Annex J.

Table 1: Initial List of Potential Analysis

Analysis	Data Source	Evaluation Question /Reasoning
Quantitative Analysis		
Staff list currently in 2015 vs. Quarterly Monitoring Reports reporting vacant positions	Quarterly Monitoring Reports, Staffing Lists 2015	Have staffing positions been filled since roll out of DOA? What positions are still missing? Is there a theme in the type of positions missing? Quantitative indicators will be followed up with qualitative data regarding reasons for absence of staff and resulting outcomes
Staff funded by Core vs. Non Core Funds (Staff vs. Non Staff	COAT	How many positions are funded by Core vs. Non-Core? Where are the gaps in funding staff and how big are they?
Delivery Rate (Quarterly 2014- 2015)	COAT, Quarterly Monitoring Reports	Is Delivery Rate changing per country across time? Countries with increased delivery rate vs. decreased delivery rate. Disaggregate by Region, Typology, DOA date
AWP Funding Gap= Percentage Unfunded	COAT	How far are countries off from their approved AWP budgets? How much fundraising is needed? Are funding levels impacting delivery rate?
Month-End Checklist Compliance (2014, 2015)	COAT	Efficiency in approval of month-end checklists
Outstanding Partner Advances less than 6 months vs. greater than 6 months, across regions and countries.	COAT	How long are partner advances taking? Which countries are taking longer to complete partner advances?
Audit Recommendations	COAT	How many countries have been audited? How many have received unsatisfactory, satisfactory, very satisfactory ratings?
Percentage of Non-Core to be mobilized vs. Non-Core Approved in Budget (Resource Mobilization)	COAT	Ability to mobilize resources for non-core funding
Evaluation Recommendations	COAT	Are concerned offices implementing recommendations as per evaluation?

Analysis	Data Source	Evaluation Question /Reasoning
Countries On Track in OEEF & DRF	RMS	This will only be available for those countries who have populated the RMS. Tracking of "Achieved", "On Track", and "Off Track"
Core vs. Non- Core funds dedicated to OEEF vs. DRF	AWP/SN's, RMS	Percentage of funds that are core dedicated to OEEF and DRF. Provides clear understanding of where countries are spending money from IB vs. where they have made partnerships to support their non-core funding
Qualitative Data from Documents		
Staff Perception of UN Women	Staff Surveys (2014), Survey from Normative Review, and upcoming Staff Surveys	To see details of perception, see Annex B. All questions will align with evaluation questions
Feedback from AWP	Feedback from COAT	Is the feedback useful? How quickly is the feedback given?
Consolidated feedback from AWP	Consolidated feedback from AWP	Flow of information and technical assistance between HQ and field. Is it happening? How quickly

METHODOLOGY – INTERVIEWS

100. Semi-structured interviews will be conducted to expand on the findings of the desk review to investigate the perspectives of key stakeholder groups on the relevance, effectiveness and efficiency of the regional architecture, including the contributions and added value of the regional architecture to promoting gender equality and human rights-based programming. The selection of interviewees will be based on information from the document review and country case studies. The evaluation team plans to conduct approximately 40 interviews to inform the portfolio review with some follow up interviews as needed. These interviews will be primarily with UN Women staff, except for non-programme countries.

KEY DOCUMENTS – GENERAL

101. Documents will depend on country but the following key documents will be reviewed for all countries. For full list of Document titles see Annex H.

- Annual Work Plans (OEEF, DRF, MEP)
- Strategic Notes
- Quarterly Monitoring Reports to RO/MCO;
- Reports on implementation of regional architecture;
- Feedback from country office Assessment Tool (COAT) (if available) ;

- Consolidated feedback from AWP process in particular OEEF (if available);
- Process flow documents related to thematic areas linkages between RO and HQ;
- Staff Survey 2014
- Survey from Normative Evaluation
- Regional Survey (if available)
- Results Management Systems Reporting Documents
- HR Documents: Staff Lists
- Workforce Data
- Annual Reports - Data Companion-
  - UN SWAP
  - ATLAS, UN Women Financial System
- Partnership Surveys (in regions where available)

KEY DOCUMENTS- COUNTRY EXAMPLE

102. Key documents will depend on country context and type of office. For the pilot study, Colombia, the following types of documents were provided. This list will be used a template for requesting documents from other countries, acknowledging the differences in documents depending on typology (CO, RO, MCO, Programme Presence, Non- Programme Presence).

- CO Strategic Note
- AWP 2015
- AWP 2016 (temporary)
- Cooperation Framework with the Government of Colombia (in final negotiation stage)
- UNDAF
- Territorial Strategy
- KM Strategy
- Resource Mobilization Strategy
- Active projects (temporary)
- TORs Mid Term Review
- Territorial Planning
- HR Flowchart (Feb 2015)
- Yearly reports
- Quarterly report on DRF and OEEF, Sept 2015
- Management response to previous evaluations
- Audit of Colombia country office

CASE STUDIES

103. Case studies will involve a more in-depth analysis of the regional architecture in the following: HQ, and countries including a non-programme presence, programme presence, country office, multi-country office and regional office. They will also provide data for a rich analysis of the evolution of the regional architecture, in combination with the review of Executive Board papers.

SAMPLING CRITERIA

104. The in-depth case studies will consist of one in depth desk review and semi-structured interviews with a non-programme presence country, one field visit to Headquarters five field visits to countries selected based on criteria developed in consultation with the Independent Evaluation Office. Selection criteria included type of office, geographic distribution, country context-income and humanitarian context. The key criterion is that the country visit would generate useful information and learning about the relevance, effectiveness and efficiency of the regional architecture. As mentioned earlier, the final sample includes Colombia (country office), Liberia (country office), Morocco (multi-country office), Tajikistan (programme presence country), and Thailand (Asia regional office), and Malaysia or Japan, to be determined at a later date (non-programme presence to address the universality of UN Women's mandate), to be finalized.

105. Special issues that will be explored in different types of case studies follow.

HQ CASE STUDY

106. HQ plays a key role in implementing and managing the regional architecture model. Therefore, a key focus in this case will be on how it has played that role. As an actor in the regional architecture, HQ should ensure that the systems and incentives are in place to achieve success. The big question is whether HQ is organized to provide the conditions for success, to provide efficient services to the other offices and to align services between HQ and the regions.

107. This will include consideration of critical UN Women systems that affect all offices. Questions may include:

- Vision & Mission: How effective is HQ at communicating a global vision to the whole organization?
- Policies: How effective is HQ at developing and disseminating global policies that support regional architecture implementation? How does it address local specificities in this regard? How is differentiation and alignment addressed across the provision of services?
- Reporting structures and the integrated mandate: Does the structure in HQ as a managerial triad support the intent of UN Women?

- Knowledge Management: Do the Knowledge Management systems (including RMS) provide adequate, appropriate and timely information across the organization? Does the KM system strengthen the regional architecture model? Does the KM system respond to the requests and needs of the offices outside HQ? How is that support demonstrated? What parallel systems exist for KM in different parts of HQ and in different types of offices? Does the RMS development capture the information different parts of UN Women need for decision and reporting?

- Accountability: Is the approach to oversight appropriate to the regional architecture model for decentralization?

- Technical support: How effectively is HQ able to support the offices that lack local technical support?

- Human Resources: Are the systems under development (HR portal) responsive to the needs of the whole organization? Are staff clear on the roles and responsibilities of UN Women HQ and UN Women field staff (i.e., emphasis on oversight in HQ and "fit" with regional needs and expectations)? Do UN Women staff have clear expectations on the guidance and support provided by Human Resources, and when capacity for such support is not present, in what ways are those Human Resources' functions performed? What systems is Human Resources developing, and how will UN Women know that they work?

- In what ways has the implementation of regional architecture been informed by the experience of other UN agencies, notably UNFPA, UNICEF? What is the most useful evidence from the experiences of other decentralized agencies in the implementation of the regional architecture?

REGIONAL OFFICE CASE STUDY ANALYSIS

108. Regional offices play a key role in implementing and managing the regional architecture model in ways that increase presence in important regional fora and make UN Women more responsive to regional and country needs. Therefore, a key focus in this case will be on how it has played that role. As an actor in the regional architecture, regional offices should perform their oversight and support functions over MCO's and CO's well, and ensure alignment in performing UN Women's mandate by guiding countries, and addressing their needs. The big question is whether a regional office is organized and equipped to provide the conditions for success—how it balances regional needs and presence, and whether it provides efficient services to the countries to align services between HQ and countries. The dimensions and issues in analysis are similar to the HQ case study, adapted to what is appropriate at the regional level.

MULTI-COUNTRY AND COUNTRY OFFICE CASE STUDIES ANALYSIS

109. The multi-country office (MCO) and country office (CO) play a key role in implementing the regional architecture model in ways that increase presence in and respond most directly to

country needs. The case studies will explore how MCOs and COs receive guidance and are supported by ROs, and how they interact with HQ. MCOs and COs will be reviewed in terms of their capacity to perform on UN Women's mandate in terms of the design and implementation of their structure.

PROGRAMME PRESENCE COUNTRY CASE ANALYSIS

110. Programme presence countries may have large or small programme offices. The evaluation will explore ways in which programme staff contribute to the fulfillment of UN Women's mandate, and limitations. It will also explore how such staff are supported and enabled by the RO or MCO, and what relationship, including informal, they have with HQ.

NON-PRESENCE COUNTRY CASE ANALYSIS

111. Regional office's responsibilities include supporting non-presence countries. The evaluation will explore how the regional architecture enables or constrains UN Women to fulfil its mandate in non-presence countries. In addition, to address the issue of universality, the evaluation will also explore how different modalities (i.e. liaison office and National Committee) in developed countries are instrumental to advance UN Women mandate.

VERTICAL AND HORIZONTAL ANALYSIS

112. Horizontal and vertical analyses look at management and decision systems and whether and how they support the efficient and effective implementation of the regional architecture, through a quality improvement lens. They are quite simply a way to look at decision and coordination chains within UN Women. The case studies will be particularly useful in examining these relationships and information flows. There will be links here between the field case studies and the HQ study. The field studies will inform the HQ study questions; if field cases are delayed until after the HQ study some follow up in HQ may be needed to complete this analysis. We intend to follow some decision chains in detail to understand how they are implemented in practice.

113. Vertical analysis will look at the decision systems and how decisions flow within UN Women. Vertical analysis will be considered from the point of view of both HQ decision flows and field office decision flows. Are decisions timely and context-sensitive? Is guidance timely, useful and used? Are response systems effective (timely, appropriate)? How efficiently are decisions managed? Are quality improvements being actively pursued? Are DOA procedures efficient and effective (in terms of level of authority, timeliness of response, location of authority)? Do communication systems support decision processes and the implementation of a UN Women approach (in terms both of how levels function within UN Women as well as how the triple mandate is integrated or siloed).

114. Horizontal analysis looks across the organization for two things. First, it looks for consistency in global policy response, and responsiveness to local conditions, what many interviewees called 'flexibility'. (It looks at this from the perspective of the different types of offices in the system – regional offices, multi-country offices, country offices and project offices (which we include because of their scale in some settings such and European office). Looking within a type, how effective are MCOs and ROs where there is representation of multiple small countries versus offices that represent larger (in UN Women program terms) countries? Does differential DOA make a difference? Do different office types affect service to a country? Do communication and knowledge management systems support effective exchange and learning across the organization? Do they help reduce the barriers and break down silos?

115. Second, horizontal analysis looks at how and how well the regional architecture is supporting the integration of the three pillars of UN Women. Is the approach of having directors of the three pillars delivering on integration in all parts of UN Women the right one? Is integration stronger or weaker at some levels? Are there areas of weakness in this regard or major risks to mandate?

SURVEY

116. As part of the regional architecture evaluation, a web-based survey will be conducted online to a broad range of internal UN Women staff members to extend and validate information from the interviews and in-depth studies. UN Women has conducted surveys in the past to gauge staff perspective of the organization as a whole as well as parts of the regional architecture. The Workforce Survey conducted in 2014 and the surveys used in previous corporate evaluations (i.e. on normative work and on UN coordination) will be used to inform the design of this survey as well as used to triangulate survey results. The survey will use structured and open-ended questions to gather both qualitative and quantitative data on stakeholder perceptions, ratings on the relevance, effectiveness and administrative efficiency of the regional architecture, and ways in which they can be improved. A draft of the survey questionnaire will be created after the first three site visits and based on findings from these initial visits. The questionnaire will be shared with the Independent Evaluation Office and reference group, and finalized based on feedback. The survey will also be piloted to ensure that questions are easy to understand and appropriate. Because online surveys are self-administered, the costs of obtaining a large sample are minimal. Proposed target groups for the online survey include UN Women staff in HQ, regional and country offices. Data will be presented and analyzed by level (HQ, Regional and country level). Response rates of past surveys by EnCompass have ranged from 30 to 40 per cent. Response rate may be improved through brokering by UN Women Headquarters to enhance motivation and a greater sense of ownership. Open-ended responses will be coded using qualitative analysis techniques, while responses to the structured questions will be analysed using standard descriptive and comparative statistics.

3.5 VALIDATION

117. A first draft of the evaluation report will be prepared and submitted to the Independent Evaluation Office for review and feedback, undergo two rounds of revisions to incorporate input and feedback from the Independent Evaluation Office, and one round of revisions for feedback by the Evaluation Reference Group, unless there are special issues that need to be resolved. The evaluation team will maintain an audit trail of the comments received and actions taken to address them.

118. The final evaluation report will present a complete summary of the evaluation objectives, methodological approach, data analysis, key findings, lessons learned and recommendation for programme modification or improvement. The goal is not just to present data, but to offer UN Women a new narrative that highlights the value added of the regional architecture and its contributions to the achievement of UN Women's mandate. Emphasis will be given to feasible recommendations for which the evaluation has found consensus among UN Women stakeholders and partners. The final evaluation report will include a concise Executive Summary that can be used as a "standalone" for wider distribution and dissemination. Annexes will include data collection tools, lists of data sources and actual data tables and summary charts. The structure of the final evaluation report will follow that developed in the inception process and any modifications agreed upon during the course of the evaluation.

3.6 ETHICS

UNITED NATIONS EVALUATION GROUP (UNEG) ETHICS STANDARDS

119. This evaluation will be conducted in accordance with all UN Women evaluation norms and standards. This includes the United Nations Evaluation Group Ethical Guidelines, Code of Conduct for Evaluation in the UN System and the UN Women Evaluation Policy.[35,36] The evaluation will also be based on gender and human rights principles and adhere to the United Nations norms and standards for evaluation in the UN System.[37]

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[35] UN Women. Evaluation policy of the United Nations Entity for Gender Equality and the Empowerment of Women (UNW/2012/12)

[36] United Nations Evaluation Group, UNEG Ethical Guidelines, accessible at: http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=102

UNEG Code of Conduct for Evaluation in the UN system, accessible at: http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=100

[37] United Nations Evaluation Group, Norms and Standards for evaluation in the UN System, accessible at: http://www.uneval.org/normsandstandards/index.jsp?doc_cat_source_id=4; Integrating Human Rights and Gender and

3.7 EVALUATION RISKS AND LIMITATIONS

ASSUMPTIONS AND CONSTRAINTS

120. Confidentiality will be adhered in individual interviews conducted with members of the evaluation team and the Independent Evaluation Office. For group interviews, it will be clear that confidentiality is not possible.

121. This evaluation is taking place in the middle of new UN Women leadership and significant attention to issues that influence the regional architecture such as: a new, focused approach to resource mobilization to fund the regional architecture structure, review of the efficacy of certain aspects of the regional architecture, new efforts of collaborative planning at regional level, etc. During Inception, there was great openness to keeping the IEO and the evaluation team informed about the on-going changes. This is exciting in terms of the possibilities for a useful evaluation and at the same time, a risk that on-going changes may make the evaluation less relevant for what will have taken place after the evaluation is completed. There is a special caution to the evaluators to frame findings, conclusions and recommendations in terms that recognize the on-going processes.

DESIGN LIMITATIONS

122. The regional architecture is only one of several elements that influence the success of UN Women in achieving its mission. Any evaluation that looks at one of many elements such as this one will be limited by its focus. UN Women will be well served to look at a synthesis of the many complementary evaluations it has been conducting, including: meta-analysis of evaluations, coordination, normative, regional architecture, partnerships, multi-country offices, etc.

123. Another limitation is related to the data available to respond to the evaluation questions. During Inception, the evaluation team is finding that some important documents are not in place, and the IEO has been instrumental in supporting the team to gain access to those documents. Access to documents will be a special challenge during the portfolio review because many of those documents may reside at country level, and it will require significant effort to reach out to countries, especially for non-programme countries.

Equality in Evaluation - Towards UNEG Guidance, accessible at:
http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=1401

RISKS AND MITIGATING ACTIONS

124. Risks involve the availability of key staff during site visit and any unforeseen obstacles to site visits. If unavailability of key staff occurs, we will access people remotely prior to and following the site visit.

4 ORGANIZATION AND MANAGEMENT OF THE EVALUATION

4.1 EVALUATION MANAGEMENT

INDEPENDENT EVALUATION OFFICE (IEO)

125. As stipulated in the evaluation TOR, the IEO will be responsible for the overall management of the evaluation process and will constitute a quality assurance system for the evaluation in order to ensure that it is conducted in accordance with the UN Women Evaluation Policy, UNEG Ethical Guidelines and Code of Conduct for Evaluation in the UN System, and other key guidance documents. An IEO staff member will accompany the team in data collection.

EVALUATION REFERENCE GROUP

126. An Evaluation Reference group was formed and includes 18 senior managers and staff from headquarters, regional office, multi country offices and country offices. The reference group is a source of knowledge and quality assurance for the evaluation. The evaluation reference group will ensure the evaluation is relevant to staff and stakeholders, and correct any factual errors. The reference group will provide feedback at key stages of the evaluation; terms of reference; inception report; and draft and final reports.

EVALUATION TEAM

127. **Team Leader, Ms. Catsambas** will lead the conceptualization and design of the evaluation, inform the selection of the country visits, and support data review and analysis. She will lead two country case studies and the HQ case study. She will have ownership of the inception and final evaluation reports, although she will draft these reports in collaboration with her team members. She will facilitate all meetings with the UN Women Independent Evaluation Office, Reference Group Members, and other stakeholders as appropriate. She will coordinate the engagement of the Technical Advisory Group, and ensure that inputs and feedback from the Group are communicated to the team and incorporated into the work. She will lead the discussion of recommendations and findings, and help draft the evaluation articles. Ms.

Catsambas will provide technical guidance for and, as noted, maintain supervisory responsibility for all team members throughout the evaluation. She will coordinate the activities of the team and is responsible for the quality and timeliness of all deliverables.

128. **Leslie Fox, Senior Organizational Development/Decentralization Expert**, will contribute his significant expertise in organizational performance, performance management frameworks, decentralization, UN programming at the country level, and evaluation throughout all work phases. He will report directly to the Team Leader and work collaboratively and closely with all other team members to complete the requested deliverables. Mr. Fox participated in the inception meeting, as well as contributed to the design and implementation of the evaluation methodology and inception report. He will contribute to the desk review, lead a few of the country case studies, draft case study reports as appropriate, and contribute to the development of the final report, recommendations and evaluation articles. He will also conduct qualitative interviews and support data analysis.

129. **Katherine Bourne, Senior Evaluator,** will contribute her expertise in evaluation, gender, strategic planning, management, and organizational development throughout all work phases. She will backstop the Team Leader as needed for daily management support, provide technical guidance to team members and closely supervise the work of the Research Assistants. She will also accompany the team leader on visits to UN Women HQs throughout the project for management and planning, interviewing and review of findings. Ms. Bourne participated in the inception meeting, as well as contributed to the design and implementation of the evaluation methodology and inception report. She is also supporting the development of evaluation tools, including the interview and survey questions and protocols. She will report directly to the Team Leader and work collaboratively and closely with all other team members to complete the requested deliverables. Ms. Bourne will contribute to the desk review and inception report, lead one of the country case studies, draft case study reports as appropriate, and contribute to the development of the final report, recommendations and evaluation articles. She will also conduct qualitative interviews and support both qualitative and quantitative data analysis.

130. **Dr. Fred Carden, Senior Governance and Evaluation Adviser,** will contribute significant expertise in evaluation of decentralization, governance models, outcome mapping and decentralization systems. His co-authoring of publications such as "*Organizational Assessment: A framework for improving performance*" will serve as a basis for the conceptual framework used in this evaluation. Dr. Carden participated in the inception meeting and will assist in the development of organizational theory of change and with evaluating decentralization through different levels of the system by benchmarking against other similar evaluations. He will serve as a technical expert throughout the evaluation.

131. These core team members will be available to UN Women upon request, and will facilitate collaborations and open exchange among the UN Women Independent Evaluation Office, Reference Group members and other EnCompass team colleagues.

132. EnCompass has selected three well-qualified and experienced research assistants to support this core team. Research assistants bring experience supporting large evaluations and contributing to the design and implementation of research studies within the UN System and the larger international development community. Research assistants will help organize and gather materials, and coordinate team planning meetings and interviews with UN Women participants. They will support the desk review and survey process, conduct interviews as needed, and contribute to data coding and analysis. They will also support the drafting of evaluation briefs and status updates, as well as other work documents as required.

4.2 EVALUATION COORDINATION AND COMMUNICATION

133. Critical to accomplishing UN Women' objectives will be an open and collaborative approach in which the Evaluation Team Leader, Ms. Catsambas, maintains frequent substantive communication with UN Women. If a change in circumstances arises, Ms. Catsambas will work closely with UN Women to modify and re-tool the assignment and its parameters to maintain the right fit with UN Women's expectations. No activity will be undertaken without explicit dialogue with UN Women.

4.3 LOGISTICS AND SUPPORT

134. Throughout the evaluation, the evaluation team will require substantive and logistical support from the UN Women, in particular the IEO and HQ, regional and country-level staff.

4.4 QUALITY ASSURANCE

135. Responsibility for quality assurance rests with the evaluation team leader, Ms. Catsambas, and is based on strong communications both within the team and with the IEO, engagement in planning and implementing each step of the evaluation, and in-depth review of all team products. The team coordinates on an on-going basis, including regular weekly meetings. Any issues that arise will be discussed and agreed with the IEO evaluation manager along with solutions to mitigate them.