

The IUCN Evaluation Policy

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1. Evaluation in IUCN

1.1 Background

Prior to 1997 IUCN did not have a Secretariat wide approach to planning, monitoring and evaluating its work. Programming and evaluation took place in a decentralized and *ad hoc* manner using a wide variety of approaches. The External Reviews of IUCN (1993, 1996 and 1999) suggested that this *ad hoc* approach was inadequate for a modern complex organization such as IUCN. They recommended that the Union put in place both a Programming System and a Monitoring and Evaluation System at regional and global levels capable of tracking progress and measuring the performance of its programmes and projects (Christoffersen, 1993; 1996; Bruszt, 1999). They further recommended that IUCN develop a centralized Evaluation Unit at HQ to support the development and implementation of a system-wide approach to evaluation.

In 1997, acting on the recommendations of the Reviews, the Director General agreed to put in place an M&E System in two phases. Phase I (1997-1999) focused on training and capacity-building in monitoring and evaluation in five pilot regions, and to a limited extent, in Commissions and programmes at a global level. The purpose of this experimental phase was to provide a diagnosis of the type and scope of an M&E System that would be most appropriate for IUCN, to create positive engagement in an evaluative culture of learning, and to improve skills and capacities in project and programme design, and monitoring and evaluation.

The 1999 External Review acknowledged that important progress had been made in M&E during Phase I, and recommended that IUCN continue to support M&E capacity-building and skills development at regional and global levels. In addition it recommended that IUCN institutionalize M&E through an IUCN Evaluation Policy and set of evaluation standards.

1.2 Definition of Evaluation in IUCN

As used in this Policy, evaluation *is a periodic assessment, as systematic and impartial as possible, of the relevance, effectiveness, efficiency, impact and sustainability of a policy, programme, project Commission or organizational unit in the context of stated objectives. An evaluation may also include an assessment of unintended impacts.*

Evaluations are formal activities of IUCN. They comprise a set of applied research techniques to generate systematic information that can help improve performance of the work of the Union. Evaluation studies are usually undertaken as *an independent examination* of the background, strategy, objectives, results, activities, and means deployed, with a view to drawing lessons that may guide future work.

IUCN also supports and promotes self-evaluation processes, which although often considered less independent than external evaluations, can help to build an internal culture of reflection and evaluation, as well as stronger ownership of the results. Regardless of whether an evaluation is a self-evaluation or one carried out by an external evaluator, all evaluations must be carefully planned and conducted, based on IUCN's Evaluation Policy and Standards.

All evaluations, whether internal or external, should contribute to the overall Programme and goals of the Union. As a formal organizational process, evaluations form part of the corporate history and provide one of the important organizational learning tools. Evaluations, when done properly, help build confidence in the way the Union works and in the way it is regarded by its members, partners and funding agencies. As a membership organization this is particularly important for IUCN.

In this context, all managerial staff of programmes, projects and organizational units need to have a basic understanding of evaluation and the role it plays in the Union. At governance and senior management level the role of Council and the Director General in creating the demand for evaluation, and receiving and using the results of reviews and evaluations for improvements and accountability is critical.

1.3 Purpose of Evaluation in IUCN

Evaluations are a vital responsibility of IUCN managers at policy, programme, project level, as well as a key responsibility of the IUCN Council at the governance level. Evaluations provide performance information that is necessary for programme managers, the Director General, the Commissions and the Council, to carry out their accountability requirements. In addition, evaluations are part of the ongoing feedback, learning, and change process necessary for modern organizations.

Specifically, there are two purposes of evaluations within IUCN:

Learning and Improvement

- This focuses on using evaluation as part of the *learning* environment for IUCN and its members. It involves the creation of an environment that engages staff and their partners in creative ways to learn how to improve IUCN's work. In this context, evaluations are instruments for making IUCN's policies, programmes, projects, and organizational units more effective through the provision of useful feedback and a commitment to act on that feedback. By doing so, evaluations are a way to understand why IUCN activities succeed or not. Furthermore, as learning tools evaluations add to our body of knowledge with respect to best practices in evaluation and conservation.

Accountability

- Second, evaluations are part of IUCN's overall *accountability* system. IUCN is answerable to its members, partners and donors for determining whether IUCN's policies, programmes, and operations are working well, and showing that its resources are used in a responsible way. The evaluation process, together with the required documentation that accompanies each evaluation, holds IUCN staff and contracted implementing partners responsible for their performance.

2. Evaluation Criteria and Guiding Principles

2.1 Evaluation Criteria

In general, evaluations in IUCN explore five major criteria, not all of which need to be systematically reviewed in all cases. In certain cases, e.g. organizational evaluations such as Commissions or Regional Offices, IUCN will make modifications to these criteria to fit the specific nature of the evaluation. In all cases, an IUCN evaluation must first consider all these criteria and decide which are the most important for the situation. IUCN evaluation reports must explicitly state the criteria used in the evaluation.

Relevance – To what extent is the policy, programme, project or organizational unit contributing to the strategic direction of IUCN and/or its members and partners? Is it appropriate in the context of its environment?

Effectiveness – To what extent is the policy, programme, project, or organizational unit meeting its objectives and performing well?

Efficiency – To what extent is the policy, programme, project or organizational unit using its resources cost-effectively? Does the quality and quantity of results achieved justify the resources used to achieve the results? Are there more cost-effective methods of achieving the same result?

Impact – What are the positive, negative, primary and secondary, long term effects produced by an intervention (policy, programme, project) directly, indirectly, intended or unintended?

Sustainability – Is the enabling environment within which the policy, programme, project or organizational unit operates supportive to its continuity? To what extent will the activities and outputs be maintained after development support is withdrawn?

Other concerns such as financial viability, equity, gender, poverty are important criteria and should be explored as required by the situation.

2.2 Underlying Principles and Standards

IUCN sees evaluations as usable, practical activities that support accountability and learning. However, to be useful, they must be integrated into the overall Programme strategy and programme planning processes of the Union. Evaluations must be conducted carefully, based on systematic methods of data collection and analysis. Evaluations are guided by standards as set out in the IUCN's Standards Manual, and as well, adhere to the following principles¹:

Results-oriented accountability

A results orientation is one in which evaluations focus on the extent to which the work of IUCN contributes to policy, programme, and overall objectives of the Union, as well as the broader concerns of sustainable and equitable development. A results-oriented accountability regime recognizes that there are a number of approaches to obtain results. It provides the flexibility for managers to use their insights and creativity to obtain the results desired. Similarly, a results-oriented system supports a management and governance system that provides guidance to managers, and requires information from managers about performance and learning. System controls for accountability for inputs are primarily left to internal audit.

Improving planning and delivery

Evaluations must provide useful findings and recommendations. As such, those being evaluated should see evaluations as an asset – an asset aimed at improving programme results and thereby strengthening the organization. Sustained involvement in, and ownership of the evaluation process contributes to better planning, decision-making and strategy formulation at all levels.

Quality control

Evaluations involve the systematic integration of a wide assortment of knowledge and information related to a set of questions posed by the evaluation. As a result of gathering, analyzing and making judgements on the information, IUCN staff and their stakeholders make important decisions related to the quality of their work at the policy, programme, project and organizational level. To aid in improving the quality of IUCN evaluations, a Standards Manual will guide the designing, commissioning, management and use of evaluations.

Supporting an evaluation culture

Experience shows that evaluations are most effective when they form part of an organization's culture – a way of thinking and a way of acting. Concretely, evaluations are seen as an important part of all IUCN staff responsibilities. As such, IUCN's incentive systems need to support learning about and appropriately using evaluations. All staff should see the evaluation process as a tool that can help them improve their work and their results. In this context, the evaluation function can play a central role in helping the Director General, Council, IUCN managers and members maximize the potential benefits of evaluation.

¹ These principles and standards draw heavily on the Evaluation Principles as set out by the OECD DAC Expert Group on Evaluation, and the Program Evaluation Standards developed by the American Evaluation Association.

Work in partnership

Evaluations often involve multiple stakeholders and members. Those affected by the outcome of an evaluation have a right to be involved in the process. Stakeholders should be actively involved in all aspects of the evaluation process. Such involvement will make evaluations better understood, promote contributions and acceptance, and will increase the likelihood of use.

Transparency

The transparency of the evaluation process is an important aspect of ensuring that evaluations are extensively used by managers, the Director General and Council. Clear communication with stakeholders concerning the purpose of the evaluation, the key questions and intended uses of the results of the evaluation process, along with standards for the design, data collection and analysis will maximize the transparency of the evaluation process.

Accessibility

Not only does IUCN need to be transparent in planning and undertaking evaluations, it also needs to make evaluation results accessible to its members, partners, donors and other stakeholders between World Conservation Congresses, and at the Congress itself. Abstracts of all IUCN evaluations carried out since 2000 will be posted on the Website in English, French and Spanish, and complete evaluation reports will be available, where appropriate, from regional offices and the Evaluation Unit at HQ. In addition, the Director General will present a report summarizing the evaluation results of the term at each World Conservation Congress.

Ethical

IUCN will endeavour to ensure that its evaluations are ethical. This means that evaluations should provide due regard for the welfare of those involved in the evaluations, as well as those affected by the evaluations. It also involves ensuring that IUCN carefully considers whether an evaluation process is the appropriate 'tool' to address the questions and issues raised about any policy, programme, project or organizational unit, or if some other process is more suitable such as an audit or performance appraisal. Finally, ethical evaluations require that those commissioning an evaluation remain open to the results.

Impartial

Evaluations should be complete and fair in their examination and record the strengths and weaknesses of the policy, programme, project or organizational unit being evaluated. As much as possible, evaluation procedures should guard against distortion caused by personal feelings and biases of any party to the evaluation.

Credibility

IUCN is committed to ensuring that evaluation in IUCN is carried out according to a high quality of accepted standards in the professional field of evaluation. As such, IUCN will develop a set of Evaluation Standards based on best practice in the evaluation field to guide the design, methodology, commissioning and use of evaluations in IUCN. The use of these standards by IUCN managers will be reviewed on a regular basis, and progress towards improving the quality of IUCN's evaluations will be reported on an annual basis. Improving the quality of evaluations in IUCN is a critical aspect of the credibility of its evaluation work.

Utility

The final principle of the Evaluation Policy relates to evaluation use. Evaluations must serve the information needs of intended users. There is no point in engaging in evaluations unless they are seen as useful and are actually used in decision-making and programme improvement. Utility is one of the standards in assessing the quality of evaluations, and it is also linked to the culture of evaluation in IUCN. Assessments of the extent to which evaluations are used in IUCN will form part of regular reporting on evaluation in IUCN.

3. *Types of Evaluation*

IUCN engages in a range of types of evaluation for different purposes and levels, both during implementation and at the completion of activities. The following are the various types of evaluations undertaken:

- **Meta Evaluation:** This is a systematic review of previous evaluations and reviews conducted by IUCN. The primary purpose is to generate knowledge about the state of evaluation practice in IUCN – e.g. the quality of evaluations - range, focus, type, location, level, etc.
- **Synthesis Evaluation:** This is a systematic review that draws together the findings, recommendations and lessons of several evaluations conducted by IUCN (including partners) that have a common ‘thread’ - ecological, geographic, sector, issue - in order for IUCN to learn across programmes, projects and regions.
- **Policy Evaluation:** This is a systematic review of Council-approved policies. The major purpose of a policy evaluation is to determine the extent to which adequate guidance is given to the Union and its partners with respect to the specific issue, in order to improve the Union’s performance in the targeted policy area.
- **Organizational Evaluation:** This is a systematic review of the performance of one or more of its structural organizational units (Commissions, regional, country or thematic programme, administrative unit, etc). Its primary purpose is to identify ways to improve the management and delivery of IUCN’s results.
- **Programme (Thematic) Evaluation:** This is a systematic review of one or more programmes of the Secretariat as approved by the IUCN Council. In this context, a programme evaluation includes all activities and projects carried out under the management of an IUCN programme. The primary purpose of a programme evaluation is to assess the contribution the programme is making to the goals and objectives (Key Result Areas) of the Union. These evaluations are sometimes called thematic evaluations.
- **Project Evaluation:** This is a systematic review of a time-bound set of activities aimed at solving a specific conservation development problem. Typically, a project is part of a larger set of programme activities. The primary purpose of a project evaluation is to assess the contribution the project is making to solve the targeted conservation development problem, which in turn contributes to the broader thematic or regional programme objectives and the Key Result Areas of the overall Programme of the Union.
- **Strategic Review:** This is a selective evaluation of any of the above levels at the request of the Director General and senior management for the purpose of addressing one or more issues related to the rationale, relevance, effectiveness, efficiency and financial viability of the policy, programme, project or organizational unit. Strategic Reviews are generally triggered by annual programming and budgeting cycles, and focus on a limited set of questions and areas of performance.
- **Self-assessment:** This is an internally guided and controlled process of self-assessment of any of the above levels (policy, programme, project, organizational unit) using an agreed performance framework, questions and a facilitated process. Self-assessments are promoted in IUCN as ongoing processes of reflection and improvement, and as preparation for external evaluations or other critical decision making milestones.

To assist linking this Policy to management decisions related to undertaking evaluations, such as focus, coverage, timing, responsibilities, output and use, a conceptual framework is provided in Appendix II.

It is important to note that all the evaluation work of IUCN, regardless of the type of evaluation, is undertaken within a membership context. This means that member roles are seen as central to and integrated within the evaluation process where appropriate.

4. The Evaluation Process

4.1 Operational Procedures

Implementing the Evaluation Policy in IUCN should be seen as the responsibility of each manager and made part of every manager's programme, project, and organizational responsibility. The Global M&E Coordinator is responsible for working with all organizational units under the authority of the Director General to assist them in complying with the spirit, policy, guidelines and standards of evaluation as approved by Council. Also, the Coordinator is responsible for working with IUCN managers and staff to develop adequate evaluation capacity within the Union to carry out and use the results of evaluations. The Director General reports to Council on an annual basis on the state of evaluation activities and capacity in IUCN, and to each World Conservation Congress.

In addition, external groups carry out evaluations of IUCN's work – such as donor required and funded external evaluations. When IUCN managers approve external evaluations, external reviewers need to be given IUCN's Evaluation Policy, procedures and standards on evaluation to ensure higher quality evaluation results, and to minimize potential overlap and unnecessary duplication of effort. To the greatest extent possible, managers should work with donors to schedule external evaluations into the normal evaluation planning cycle of IUCN.

An IUCN Standards Manual and guidelines are being developed to provide operational guidance for the implementation of this Policy. These Standards will include guidelines for the design, methodology, commissioning, managing and use of evaluations in IUCN.

4.2 Deciding when an evaluation is needed

Evaluations use IUCN and donor resources, and as such, managers need to make wise decisions about what should and should not be evaluated. It is important to remember that not all IUCN work needs to be, or can be evaluated. There are many variables to consider when deciding on an evaluation. Is there a contractual obligation to do an evaluation? Will IUCN managers have an opportunity to learn from the evaluation exercise? Is there adequate information to engage in an evaluation? Is the evaluation cost-effective? Is an evaluation the right tool – or is an audit or performance appraisal more appropriate for the issues at hand?

When evaluations are part of a contractual obligation, managers should ensure that the scope of the evaluation is commensurate with its potential use and utility. In some instances, regular monitoring of performance can serve the purpose of evaluations. In other instances, more formal evaluations are appropriate.

The following criteria should always be considered when deciding whether to undertake an evaluation:

- **Accountability** – Is an evaluation necessary for managers or Council to fulfil their fiduciary role?
- **Donor requirement** – Is it part of a donor contractual obligation?
- **Policy and programme relevance** – Will the evaluation help IUCN improve its policies and/or its programme delivery?
- **Financial considerations** – Are the benefits greater than the costs?
- **Innovation** – Is it a programme or project activity that is new and needs a systematic review so that the approach might be applied with confidence elsewhere?
- **Learning and change** – Does it represent an opportunity for learning and change?

4.3 Managing Evaluations in IUCN

Planning

IUCN is committed to developing a multi-year evaluation strategy that guides annual evaluation work planning and reporting for the period between IUCN Congresses.

Every year, IUCN develops an Evaluation Plan for the evaluation of selected policies, programmes, projects, and organizational units that includes a resource analysis and a time schedule agreed to at the regional and global level. This should be part of the normal IUCN planning and budgeting system.

As noted earlier, not all policies, programmes, projects and organizational units can or should be evaluated. As part of the evaluation process, all potential evaluation activities should be subject to an evaluability assessment to ensure that an evaluation is possible in terms of available data, information, cost and benefits.

Capacity Development in Evaluation

Evaluation is a central part of all staff's responsibilities. IUCN supports the on-going implementation of training programmes and support in using evaluation approaches and tools. This is delivered through regional and global M&E staff whose role it is to support staff in fulfilling their evaluation responsibilities. Staff are responsible for regularly up-grading their evaluation skills and, where appropriate, utilizing the evaluation resources available to them. Ongoing needs assessments of the level of capacity to engage in evaluation in IUCN provides the basis for training and the development or adaptation of evaluation tools for IUCN purposes.

Quality Control and Standards

IUCN is developing a set of Standards to guide the practice of evaluation. All staff involved in evaluations should have access to these Standards and be able to use them for their evaluation work. All evaluations should meet minimal standards. IUCN reviews all evaluations on a regular basis to ensure standards are met and reports on progress towards improving the quality of evaluations on an annual basis.

Lessons Learned

Evaluations are an important source of lessons for IUCN's present and future work. The M&E Coordinator, in cooperation with the managers of regional and thematic programmes is responsible for developing processes and practices to generate lessons from evaluations that can be used to improve the delivery and content of IUCN's work.

Annual Reports and Studies

IUCN produces an annual description and assessment of its evaluation work for the Director General who presents this to Council. In addition, occasional special studies and training materials are published, including the development or adaptation of evaluation tools that can be useful to the broader conservation and evaluation field.

Linkages with International Agencies and Professional Evaluation Bodies

IUCN plays a leadership role in the conservation movement. It should play a similar role in the development of evaluation processes and methodologies that support conservation and sustainable development. In line with this, IUCN takes an active role in international agencies and professional associations working toward the use of evaluations as tools to support sustainable development.

Furthermore, IUCN establishes linkages with a range of evaluation units throughout the world to ensure that IUCN is utilizing the most recent evaluation knowledge in its work. These linkages also help to disseminate IUCN practices in the broader conservation and development network.

4.4 Roles and responsibilities for evaluation

IUCN is committed to maintaining a decentralized and regionalized approach to its evaluation system, one that builds on the strengths of the various parts of the Secretariat, the Commissions and the membership of the Union. Managers at all levels of IUCN – global, regional, country and project level and Commissions are responsible for ensuring that evaluations are initiated as required, and that the results are used to improve the quality of the work of the Union. Council also has an important role to play in ensuring the effectiveness of the evaluation system.

Council

- Approves the Evaluation Policy and the annual and multi-year plans submitted by the Director General, and ensures that resources have been allocated to support the Evaluation Policy.
- Reviews the summary of results of evaluations as submitted by the Director General.
- Sets the overall tone for the role evaluations play within the Union.
- Agrees on the framework of organizational performance for the Secretariat as proposed by the Director General.
- Council initiates the evaluations of Commissions as required in the IUCN Statutes.

The Director General and Senior Management

- Review the overall effectiveness of the evaluation system and monitor the results of evaluations. When appropriate, they take corrective action.
- Support an evaluative culture that encourages on-going learning and professional improvement.
- Create priorities for annual Secretariat initiated evaluations appropriate to available resource allocations.
- Manage the conduct of evaluations of policies, programmes, and operational units in a professional and efficient manner in order to provide relevant decision-making information to management on the relevance, results, and resource utilization of IUCN's work.
- Communicate evaluation plans and results to the Council in a timely manner.
- Communicate with donors on evaluation results.

Programme Managers (including Commission Chairs and managers)

- Initiate and manage programme and project evaluations that are contractually required by donors as well as those initiated internally.
- Ensure that resources for evaluation are built into programme and project budgets.
- Liaise with the M&E staff to obtain the necessary support to design, manage and deliver high quality evaluations.
- Actively use the results of evaluations for programme and project improvements.

Global Monitoring and Evaluation Unit

The Monitoring and Evaluation Coordinator, together with regional M&E staff:

- Co-ordinate and monitor the IUCN Evaluation System at global and regional levels. This involves supporting the development of processes that integrate evaluation as a key part of programme planning and strategic thinking at all levels in the Union.
- Present to the Director General a strategy as well as multi-year and annual plans for evaluation that link to the overall Programme cycle of IUCN.

- Prepare an annual review and report to the Director General on the evaluations conducted by the Secretariat and Commissions.
- Develop and monitor evaluation standards in the Secretariat.
- Co-ordinate with regional M&E staff and evaluation trainers, the provision of training and coaching for staff and managers and the development of evaluation tools.
- Co-ordinate with evaluation staff and specialists in regions, Commissions and members of IUCN to review evaluation practice.
- Create processes to help IUCN staff learn lessons from the Union's evaluation experience.
- Manage evaluation studies as requested by the Director General, senior management and the Director Global Programme.
- Represent the Union at international and professional evaluation meetings.

Regional M&E Staff

- Manage the M&E function in their respective regional programme. This involves consultation with programme managers to ensure that contractually required evaluations are initiated, managed and reported on at global, regional, country and project level.
- Build M&E capacity regionally by providing training and coaching to programme and project managers.
- Engage in the professional practice of evaluation by participating on a selective basis in evaluation teams regionally and globally.
- Represent the Union at regional professional evaluation meetings.
- Engage in research and development related to improved M&E tools and practices in the conservation field.
- Together with the global M&E Coordinator, ensure that a Union-wide M&E training programme is developed, building on the strengths of regional practice, and that training and capacity-building in M&E is integrated into the regions' work programme and budget.

Members

- Members play a role in evaluations either as implementing partners in evaluations of policies, programmes or projects, or as recipients of the results of evaluations at the World Conservation Congress, or between Congresses through Regional Offices and from the IUCN Website.
- Their broad role is to use the results of IUCN evaluations when providing their feedback to the World Conservation Congresses on improvements they wish to see in the overall IUCN Programme and policies and in the governance of the Union.
- If members are partners in the delivery of policies, programmes or projects their role in evaluation is the same as the IUCN staff – to use the results to improve the policy, programme or project under review.
- Some member organizations have considerable knowledge and experience in evaluation. In these cases members are potential partners in M&E practice, training and capacity building.

5. Resourcing Evaluations and Evaluation Capacity-Building

Evaluations are seen as an investment rather than a cost. By investing in evaluations, the Union should gain credibility from improved learning and more efficient and effective work. This should translate into better results and more impact.

Evaluations should be considered during planning and budget allocation procedures. Review of best practices in partner organizations and agencies suggest that three to five percent² of programmatic or organizational unit costs should be budgeted for evaluation work.

In addition, IUCN will seek financial support from various funders interested in developing specialized training programmes, tools, and practices to support evaluation in the conservation and development community.

Also, IUCN will encourage managers to set aside funds in training budgets to keep staff skills up-to-date on the use of evaluation techniques and tools.

6. Utilization of Evaluations

Evaluations use IUCN and donor resources, and as such, are costly undertakings. Managers will identify a process to communicate the results of evaluations to stakeholders, and to use the results to improve IUCN's work, whether in policy-making, or in ongoing conservation and development activities, or in decisions about new activities. The use of evaluations is a central part of IUCN's approach to knowledge management and is seen as an important component of learning and improving within the Union.

Internal Evaluations

Internal evaluations are seen as cooperative endeavours aimed at ensuring accountability and providing opportunities for learning and change. Evaluation findings, conclusions, and recommendations are normally reviewed with the responsible programme and project managers to obtain their comments on the report and commitment to corrective actions if required. This is done prior to the finalization of the report, and its presentation to those commissioning the review³. All final internal evaluation reports are sent to the Global M&E Coordinator, who will include them in the annual review of the evaluation work of the Secretariat.

External Evaluations

IUCN's Global M&E Coordinator and the appropriate regional M&E staff should be notified as early as possible of required external evaluations of an IUCN programme, project or organizational unit. External reviewers should be provided with IUCN's Evaluation Policy and Standards Manual, and their work should, as much as possible, be integrated into the annual Evaluation Plan of IUCN. All external reviewers are responsible for communicating their results to the appropriate IUCN manager and to provide a copy of their evaluation to the responsible manager and the Global M&E Coordinator.

Learning and Change

The use of evaluations for learning and change is central to the Evaluation Policy. The IUCN Global M&E Co-ordinator will work with programme and Commission staff to collate, analyse and disseminate the experience of IUCN's evaluation work. In this context, evaluations will help IUCN explore why activities succeed or fail and to produce information that helps to improve the relevance and effectiveness of IUCN's future work.

IUCN is committed to communicating and sharing learning from evaluations with members, partners and other stakeholders.

² This will depend on the size and scope of the evaluation work required.

³ It should be noted that all internal evaluation reports are required to follow IUCN Evaluation Standards.

Appendix I Selected Glossary⁴

TERM	DEFINITION
Accountability	An agency's, organization's or individual's obligation to demonstrate and take responsibility for performance in the light of agreed expectations. The functions of monitoring and evaluation thus support accountability.
Audit	An examination or review that assesses the extent to which predetermined standards or conditions are met. Formerly only a technical financial review, but now used to describe various kinds of limited evaluations or appraisals, for example 'environmental audit'.
Effectiveness	A term used in evaluation studies to describe the extent to which the results of a project have or are likely to results in the achievement of the project purpose.
Effects	Intended or unintended change due directly or indirectly to a development intervention.
Efficiency	The cost-effectiveness of converting resources (inputs) to outputs. Both direct costs and the means of delivery (e.g. management time) should be included. The distinction between Efficiency and Effectiveness is useful for evaluation studies.
Impact	The achievements of a policy, programme or project that are assessed with reference to purposes and goals (i.e., the results that are outside of the direct control of the project). Included are planned or unplanned, positive or negative changes in a situation to which a policy, programme or project contributes..
Indicator	Qualitative or quantitative factor or variable that provides a simple and reliable means to measure achievement and to reflect change connected to an intervention. An essential requirement for performance and impact measurement. Used in project and programme planning to redefine measurements that are designed to signal progress (or lack of progress) towards objectives, or to monitor assumptions. One or more indicators are given against each objective in a logical framework matrix.
Lessons Learned	The lessons based on the findings of one or more evaluations, which are presumed to apply to future programme or project design and implementation. Often, 'lessons learned' form a specific section of an evaluation report.
Management Framework	All the measures adopted by management to direct and monitor the affairs of the organizations. It begins with the organizational charter and uses this as the basis to define objectives and expected results. The management framework includes all planning and monitoring evaluation systems, policies, procedures, rules, regulations, guidelines and related instructions that guide organizational member's activities. Programme and project documents should be rationalized within the management framework.
Monitoring	The continuous collection and analysis of information. Monitoring is used to provide managers and other stakeholders with continuous feedback on the implementation of activities and use of resources.
Planning	A systematic approach to setting future directions for a project, programme, or unit. Organizational planning involves an understanding of the situation within which planning is taking place the setting of objectives, identifying the resource requirements to meet objectives, creating strategies to meet objectives etc. Planning activities are important pre condition for engaging in evaluation.
Programme	A functional group of activities that are designed to achieve a set of results, often involving a collection of projects. Programmes are generally not time-bound.
Project	A set of activities that are designed to produce a specific, and often time bound objective.
Project Cycle	Describes the stages of 'life' of a project: concept scoping, planning and design, appraisal, implementation, monitoring, reporting and evaluation. The project cycle provides a structure to ensure that stakeholders are consulted, and defines the key decisions, information requirements and responsibilities at each phase so that informed decisions can be made at key phases in the life of a project.
Results	The tangible products of services to be delivered by the project or programme, and for which managers can be held directly accountable for producing. The results are what the project or programme will have achieved by its completion.

⁴ For a full glossary of evaluation terms see the OECD Glossary of Evaluation Terms, June 2001 and the IUCN Glossary of M&E Terms, IUCN, March 2000.

Appendix II Evaluation Framework

ASPECT	PROJECT	PROGRAMME	ORGANIZATIONAL			
			POLICY	COMMISSION	ORG. UNIT	SYNTHESES/META
Focus	Progress measured against plans, contribution to larger programme	Progress toward programme targets	Utility of policy	Commission performance	Regional, country and global thematic programmes	Accountability and learning
Coverage	As required and useful	All formal programmes	All major policies	All commissions	All	Union
Timing	Within project life	Cyclical to support Programme planning	Every 3-5 years	Linked to Programme meetings	Cyclical	Annual
Responsibility	Project manager	Programme manager	Senior Management / M&E Co-ordinator	Council and DG	DG, Senior Management / M&E Co-ordinator	Senior Management / M&E Coordinator
Output - product	Evaluation Report External stakeholder dialogue	Programme evaluation report External stakeholder dialogue	Policy Evaluation Report	Report to Council	Report to senior management	Annual Strategy update and report Publications
Usage	Future projects, Programme development Project accountability to donors Project Lessons	Integrate into Programme reviews and plans Programme decision-making Programming lessons	Policy revisions	Statutory compliance – report to Congress Commission support and improvement	Improve Union strategies, programmes and structures	Internal and external accountability Organizational learning