Inception Report

For

*Title of Evaluation*

**Name of the Evaluator (s)**

**Date**

**Table of contents**

Contents

[1. Background and Context 3](#_Toc159947619)

[2. Purpose, Objectives and Scope of the Evaluation 3](#_Toc159947620)

[Sample Text 3](#_Toc159947621)

[3. Evaluation Methodology 4](#_Toc159947622)

[**3.1** **theory of change** 4](#_Toc159947623)

[**3.2** **Evaluation questions** 4](#_Toc159947624)

[**3.3** **Stakeholder Mapping** 4](#_Toc159947625)

[**3.4** **Methods of Data Collection and Analysis** 4](#_Toc159947626)

[**3.5** **Integration of Human Rights, Gender Equality, Disability Inclusion, and Leaving No One Behind** 5](#_Toc159947627)

[4. Evaluation Approach 5](#_Toc159947628)

[**4.1** **Field Visits and Logistics** 5](#_Toc159947629)

[**4.2** **Management Arrangements** 5](#_Toc159947630)

[5. Risks and Limitations 5](#_Toc159947631)

[6. Work Plan and Deliverables 5](#_Toc159947632)

[7. Annexes 7](#_Toc159947633)

[ Annex 1 - Evaluation Question Matrix *(template included)* 7](#_Toc159947634)

[ Annex 2- Workplan and Timeline *(template included)* 7](#_Toc159947635)

[ Annex 3 - List of documents reviewed 8](#_Toc159947636)

[ Annex 4 - List of interviewees, if interviews were conducted during the inception phase 8](#_Toc159947637)

[ Annex 5 - Draft data collection methods (interview questions, questionnaires, etc.) 8](#_Toc159947638)

[ Annex 6 - Stakeholder Mapping *(template included)* 8](#_Toc159947639)

[ Annex 7 - Preliminary list of stakeholders *(template included)* 9](#_Toc159947640)

# Background and Context

* Describe the project/programme being evaluated including key contextual elements, drawing from the desk review and preliminary discussions.
* Include information such as the project background, objective, timeframe, scope, and invested resources as well as actors involved in the process and to which extent.
* Include a summary of relevant conclusions and recommendations from any previous evaluations of the project/programme being evaluated.

# Purpose, Objectives and Scope of the Evaluation

* Explain, as set out in the Terms of Reference, the purpose, objectives, and scope (geographical coverage and time period covered) of the evaluation. Highlight any adjustments made to this.
* Outline the expected use of the evaluation i.e., who will use it.
* Mention the key stakeholders for the evaluation, both internal and external. A more detailed stakeholder mapping exercise is in Section 3.3.

### Sample Text

The purpose of this evaluation is to assess the programme and produce recommendations in terms of these seven evaluation criteria: … Please include these from the Terms of Reference

* Relevance…
* Efficiency…
* Effectiveness…
* Impact orientation…
* Sustainability…
* Gender and human rights (disability inclusion) integration…

The objectives of the evaluation are**:** Please include these from the Terms of Reference

The scope of the evaluation is…

The primary users of the evaluation are…

The key stakeholders for this evaluation are…

The evaluation will follow the UNEG Norms and Standards[[1]](#footnote-1) for Evaluation in the UN System, as well as the UNEG Handbook for Conducting Evaluations of Normative Work[[2]](#footnote-2) and the UNEG Ethical Guidelines for Evaluation[[3]](#footnote-3). Please mention this adherence to the UNEG Norms and Standards

# Evaluation Methodology

## theory of change

* Include an analysis of the theory of change for the project/programme being evaluated. In case the project or programme does not have a theory of change, this should be reconstructed by the evaluation team as part of the inception phase.[[4]](#footnote-4)

## Evaluation questions

* Specify evaluation questions, organised in the form of an Evaluation Question Matrix (EQM).
* The Terms of Reference may already provide a set of Evaluation Questions. They are not to be regarded as exhaustive and are meant to guide the evaluator in finding an appropriate evaluation methodology.
* The EQM should contain the following column headings: evaluation criteria, question, performance indicator (s), data collection method (s), data source (s), stakeholder (s), and analysis. The EQM is an evolving document like any other planning tool and is subject to updates as the evaluation progresses. A template for the EQM is presented in Annex 1.

## Stakeholder Mapping

* Conduct a stakeholder mapping and analysis to identify all potential evaluation stakeholders (including programme staff, beneficiaries, partners including implementation partners, donors, etc.) and their expected role in the intervention and during the different stages of evaluation preparation, implementation, and use.
* A template for stakeholder mapping is provided in Annex 6.

## Methods of Data Collection and Analysis

* Describe the data collection, data sources and data analysis methods that will be used, for example, questionnaires, surveys, interviews, etc.).
* Explain how you plan to triangulate the data.
* Specify the sample size, the geographical areas and population that will be analysed, the rationale and process for selection, sample precision / confidence and potential sample limitations.
* Include here a brief note of the missions to be conducted. A more detailed description is to be completed in Section 4.1.
* Discuss potential risks/ limitations in the methodology that could undermine the reliability and validity of evaluation data, and propose ways to mitigate the risks

**Standard data collection methods for OHCHR evaluations:[[5]](#footnote-5):**

* **Document review** of strategies, policy documents, result frameworks, work processes, outputs, documents, job descriptions, partnerships agreements, internal reports, reports to donors, previous evaluation results, meeting minutes and work plans.
* **Semi-structured or structured interviews** with staff, internal and external partners, UN agencies, donors, Member State representatives, CSOs, beneficiaries and other stakeholders, conducted in person, or virtually.
* **Focus group discussions, web-based surveys and questionnaires** conducted with key stakeholders;
* **Secondary data analysis** of existing data sets, particularly monitoring information contained in OHCHR’s systems and available in-country statistical information, when relevant.

## Integration of **Human Rights, Gender Equality, Disability Inclusion, and Leaving No One Behind**

* Explain how the evaluation was specifically designed to integrate Human Rights, Gender Equality, Disability Inclusion, and Leaving No One Behind, including data collection methods, data sources and processes, sampling frame, participatory tools, evaluation questions and validation processes.
* The evaluation should follow the UNEG Guidance “Integrating Human Rights and Gender Equality in Evaluations”[[6]](#footnote-6) and the UNEG Guidance on integrating disability inclusion in evaluations and reporting on the UNDIS accountability framework evaluation indicator[[7]](#footnote-7). This integration of GE, DI & HR will be assessed using the “UN SWAP Evaluation Performance Indicator Scorecard”[[8]](#footnote-8) and the “UNEG Guidance on integrating disability inclusion in evaluations and reporting on the UNDIS accountability framework evaluation indicator”[[9]](#footnote-9)

# Evaluation Approach

# Field Visits and Logistics

* Specify any planned field visits, if applicable together with the selection criteria.
* Discuss the logistics of carrying out the evaluation. Include any specific assistance required from OHCHR, such as providing interpretation.

# Management Arrangements

* Outline the evaluation management arrangements and how evaluation stakeholders will be engaged during the evaluation process.

# Risks and Limitations

* Highlight the risks and limitations that could undermine the reliability and validity of the evaluation, and propose ways to mitigate the risks overcome (e.g. more time in the field, logistics and support needed, etc).
* Highlight any consequences for and anticipated shortcomings of the Final Evaluation Report from these risks and limitations.

# Work Plan and Deliverables

* Develop a workplan with a timeline which shows the evaluation phases (data collection, data analysis and reporting) with their key deliverables and timing. A template can be found in Annex 2.
* Specify responsibilities for each evaluation phase.
* Any changes in the timeline proposed in the inception report should be communicated and agreed upon by the Evaluation Manager and the evaluation team.

**Key deliverables:**

The evaluation will produce the following major outputs, all of which will be grounded in UNEG Norms and Standards and good evaluation practice, to be disseminated to the appropriate audiences:

1. An Inception Report, not exceeding 15 pages without annexes.
2. A workshop, presenting the preliminary findings at the end of the data collection and field mission phases, to be made to the unit responsible for the programme being evaluated and the evaluation management.
3. A Draft Report, not exceeding 35 pages without annexes, which includes an Executive Summary of no more than 5 pages.
4. A Second Draft Report, not exceeding 35 pages without annexes, which incorporates comments received from the Evaluation Management and the Reference Group on the Draft Report.
5. A presentation of the evaluation conclusions and recommendations for discussion with the evaluation reference group and other relevant internal stakeholders.
6. A Final Report incorporating final comments from the Evaluation Management and the Reference Group on the second draft report, including those received during the presentation of results.

# Annexes

The Annexes for an inception report should include the following:

### Annex 1 - Evaluation Question Matrix *(template included)*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Evaluation Criteria | Question | Measure(s) or indicator (s) | Data sources | Data collection methods | Stakeholders to engage with to gather the information needed | Brief explanation of how the Analysis and Assessment of the data will be carried out |
| Relevance | How relevant has the project been for the situation of human rights in the region, the Office’s mandate, OHCHR’s Management Plan 2018-2021 and its extension, the Sustainable Development Goals, and the Strategy for Sweden’s regional development cooperation in the Region. | Correlation between identified regional human rights priorities and (i) evidence of OHCHR impact to date, and (ii) the extended OMP, (iii) relevant SDG targets and indicators, and (iv) | * Project documentation, OHCHR and Sida strategies/plans * SDG targets and indicators * Secondary sources on human rights issues and trends within the region. | * Desk review * Structured interviews with external (including donor) and internal stakeholders. | * Project staff * HQ based staff * Representatives from donors | * Identification of relevant plans and policies * Triangulation based on different data sources |
|  |  |  |  |  |  |  |

### Annex 2- Workplan and Timeline *(template included)*

|  |  |
| --- | --- |
| Activities and Deliverables | Timeline |
| Finalisation of Terms of Reference |  |
| Recruitment of Evaluation Team |  |
| Start of Evaluation |  |
| Inception Meeting |  |
| Desk Review and Scoping interviews |  |
| Development of Inception Report including Data Collection Tools |  |
| Draft Inception Report |  |
| Feedback from the Reference Group |  |
| Final inception report |  |
| Data Collection/Field Visits |  |
| Debriefing meeting |  |
| Data collation and drafting of the report |  |
| Submission of the first draft report |  |
| Feedback from the Reference Group |  |
| Submission of the second Draft Report |  |
| Feedback from the Reference Group |  |
| Webinar to present findings |  |
| Submission of the Final Report |  |

### Annex 3 - List of documents reviewed

### Annex 4 - List of interviewees, if interviews were conducted during the inception phase

### Annex 5 - Draft data collection methods (interview questions, questionnaires, etc.)

### Annex 6 - Stakeholder Mapping *(template included)*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Who are the stakeholders | What is their role in the intervention | What is their purpose of involvement in the evaluation | In what stage of the evaluation should they be involved? | How will they be involved? |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

### Annex 7 - Preliminary list of stakeholders *(template included)*

|  |  |  |  |
| --- | --- | --- | --- |
| Organisation/office | Full Name | Position | Contact Details |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

1. <http://www.uneval.org/document/detail/1914> [↑](#footnote-ref-1)
2. <http://www.uneval.org/document/detail/1484> [↑](#footnote-ref-2)
3. [Evaluation Knowledge Management Platform - UNEG Ethical Guidelines for Evaluation 2020.pdf (sharepoint.com)](https://unitednations.sharepoint.com/sites/OIOS_EVAL/Shared%20Documents/Forms/AllItems.aspx?id=%2Fsites%2FOIOS%5FEVAL%2FShared%20Documents%2FWorking%5FContents%2FTools%20and%20Guidelines%2FUNEG%2FUNEG%20Ethical%20Guidelines%20for%20Evaluation%202020%2Epdf&parent=%2Fsites%2FOIOS%5FEVAL%2FShared%20Documents%2FWorking%5FContents%2FTools%20and%20Guidelines%2FUNEG) [↑](#footnote-ref-3)
4. [Evaluation Knowledge Management Platform - ToC-guideline\_Jan-2023.pdf - All Documents (sharepoint.com)](https://unitednations.sharepoint.com/sites/OIOS_EVAL/SiteAssets/Forms/AllItems.aspx?id=%2Fsites%2FOIOS%5FEVAL%2FSiteAssets%2FSitePages%2FTools%2FToC%2Dguideline%5FJan%2D2023%2Epdf&parent=%2Fsites%2FOIOS%5FEVAL%2FSiteAssets%2FSitePages%2FTools) [↑](#footnote-ref-4)
5. Please consult the Terms of Reference for additional methods [↑](#footnote-ref-5)
6. <https://unevaluation.org/document/download/4218> [↑](#footnote-ref-6)
7. <http://www.uneval.org/document/detail/3050> [↑](#footnote-ref-7)
8. http://www.uneval.org/document/detail/1452 [↑](#footnote-ref-8)
9. http://www.uneval.org/document/detail/3050 [↑](#footnote-ref-9)