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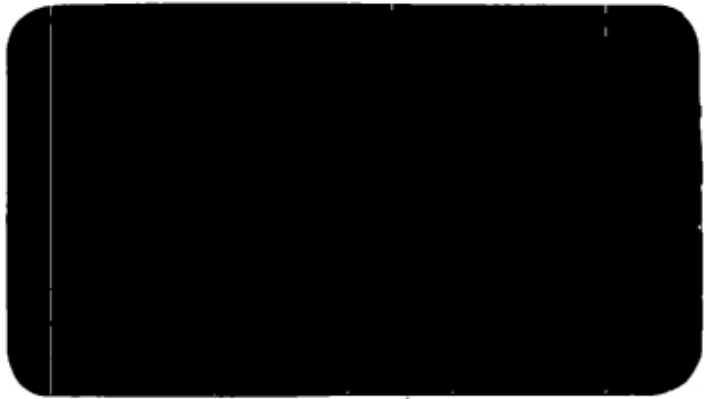
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Working Paper No.3, May 1998

DEMOCRATIC

EVALUATION
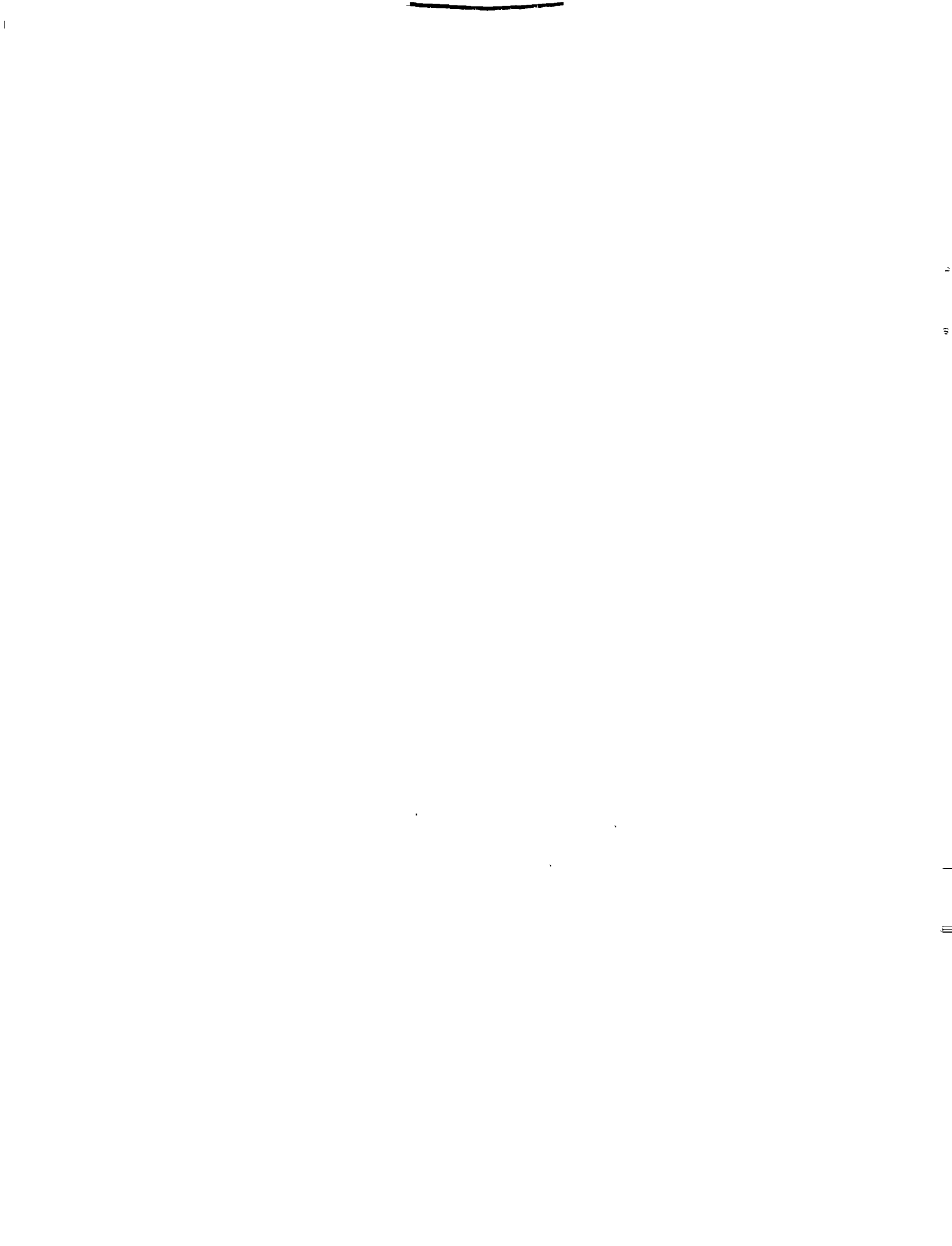
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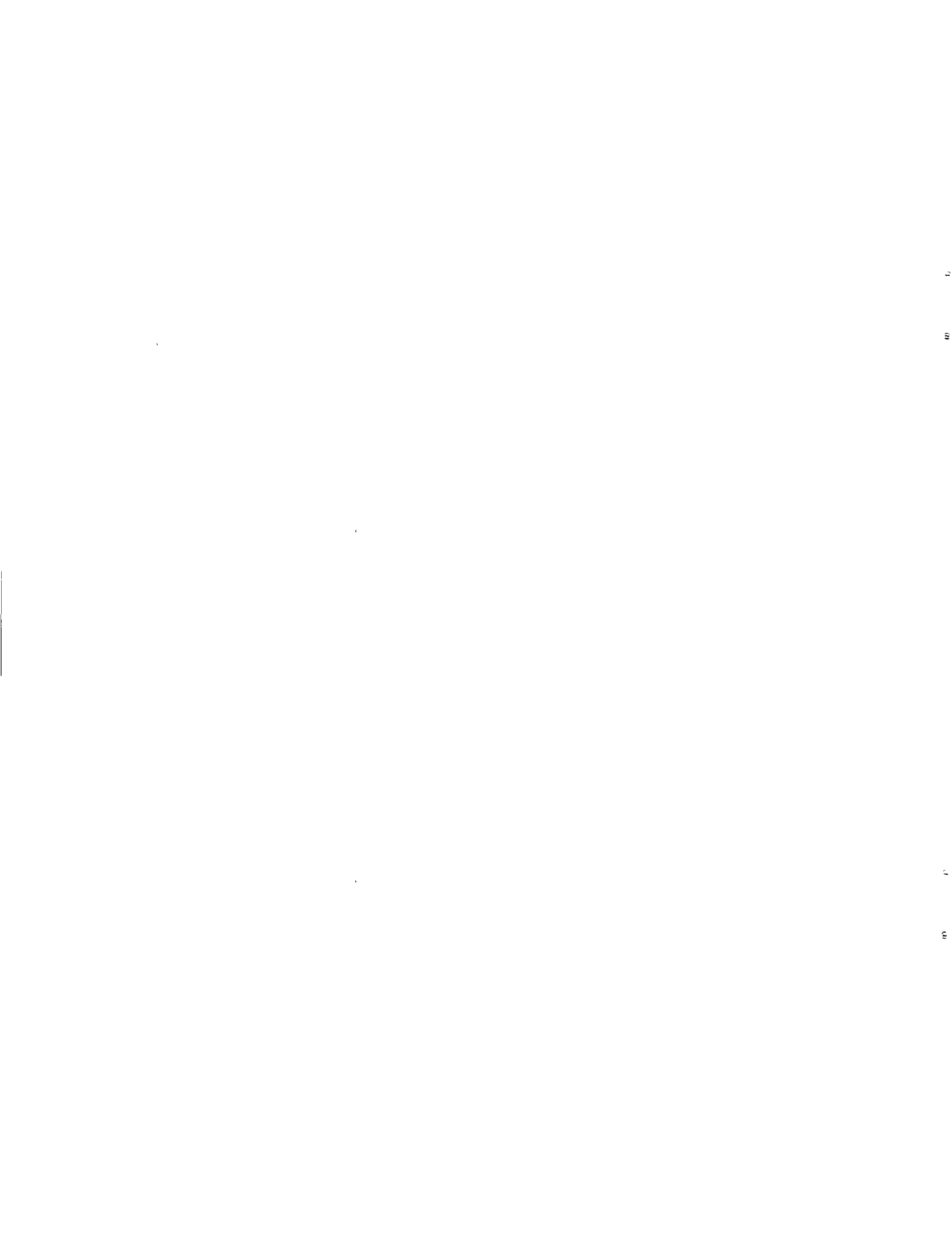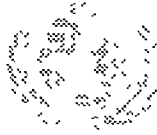the policies or viewpoint of UNICEF.

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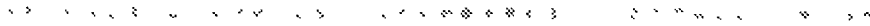
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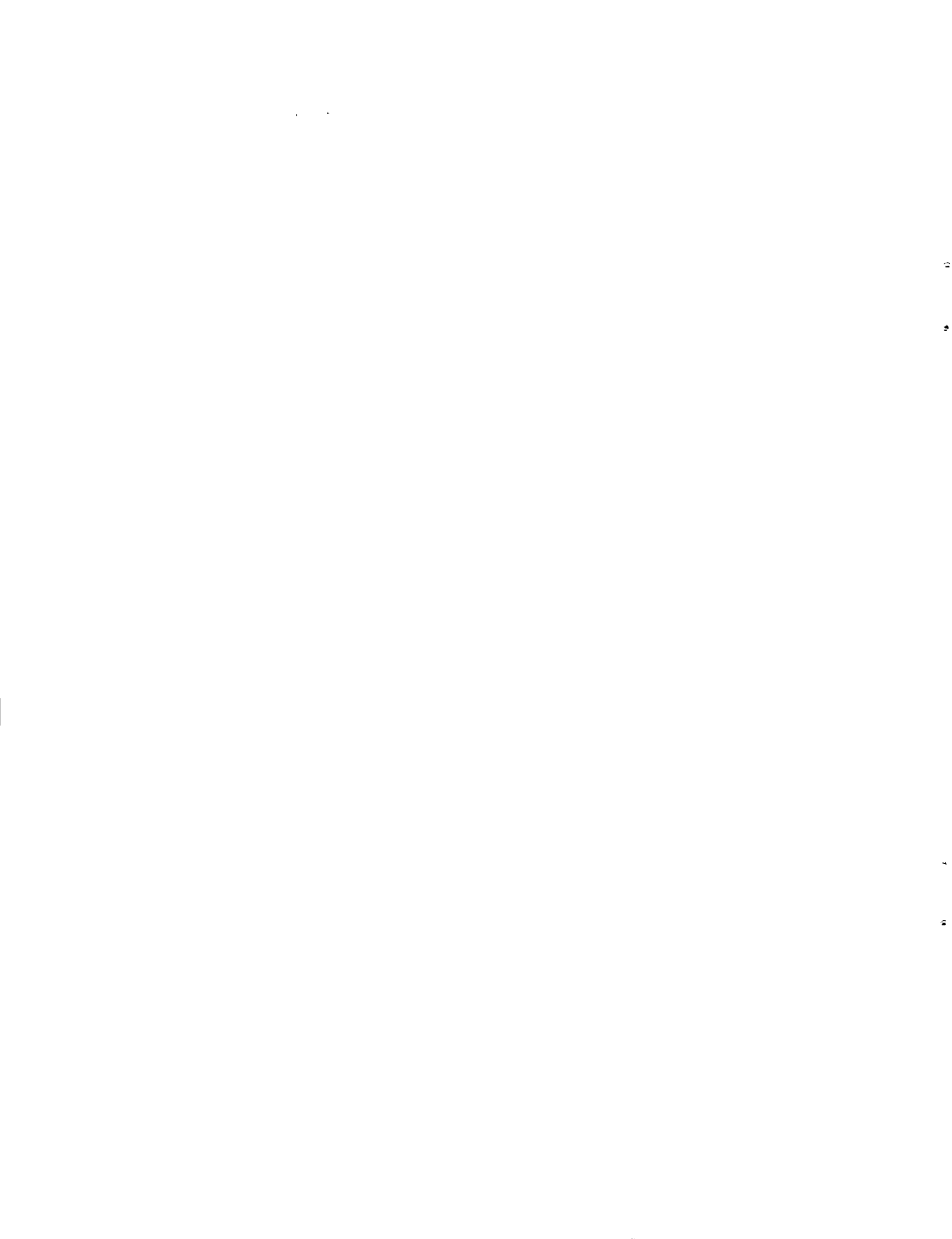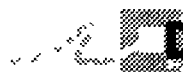
DEMOCRATIC EVALUATION
A proposal for strengthing the evaluation function in International Development Organizations

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I. Acknowledgements

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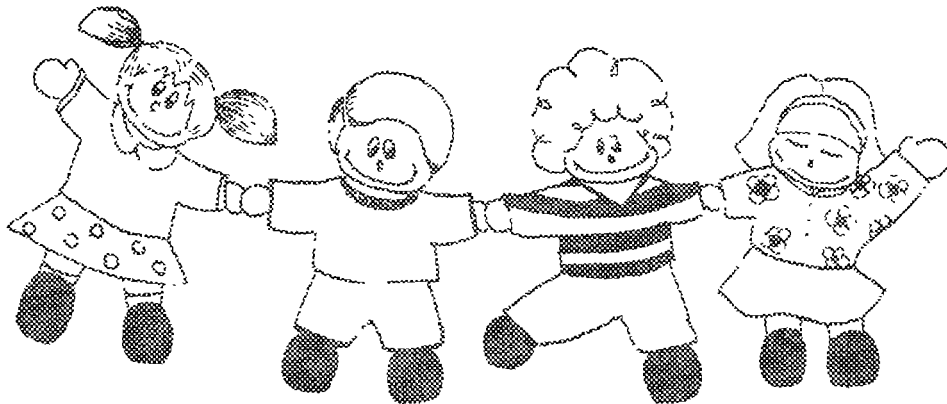
Source. UNICEF, Workshop on Programme Orientation, Process and Guidance New York, 1997

II. Introduction

The evaluation function is developing in response to a specific historical momentum, as an integral part of organizational culture Socio-political and economical tensions directly influence evaluation objectives and processes. In the context of international development organizations —such as the United Nations system, the World Bank, bilateral cooperation agencies, large NGOs— the evaluation function shifted from measurement and comparison in the 1950s/1970s to accountability and transparency in the 1980s, and subsequently towards a new perspective of understanding, learning, problem solving and decision making, without forgetting positive accountability.

This working paper was conceived to stimulate debate among international organizations about evaluation developments, shifts, different perspectives and approaches It is not a technical manual or handbook, but a reflection that proposes a new democratic approach to evaluation

If we accept the concept that democracy is a vision of the world, a way to think, to feel and to act that we can practice and live, a perspective for understanding and improving human and social relationships, then Democratic evaluation is a new way to approach the evaluation function, where the goals are to understand, to learn. to be self-accountable, to improve our own performance. efficiency and effectiveness, and the process is one of empowerment, where stakeholders have full control of their evaluation, where they are the evaluators who plan, carry out. internalise and follow-up on the evaluation findings, lessons learned and recommendations. A Democratic evaluation is a highly participatory and empowerment evaluative process centered on people that gives stakeholders the capacity to understand and carry out their own self-evaluation to improve their living conditions In the rights approach to development. participation is a central right and empowerment a winning strategy Our hypothesis is that Democratic evaluation is the more

effective approach for evaluating and improving international and national development programmes

Founded on the experience and on a process that UNICEF Latin America and the Caribbean (LAC) has been developing for almost two years, this paper finds its background in the UNICEF LAC Monitoring & Evaluation Workshop held in Santa Fé de Bogotá, Colombia, in May 1997. The results of a regional survey on evaluation practices were discussed and validated by all the Monitoring & Evaluation officers, who analyzed them in a participatory process

One of the main findings - confirmed also from other organizations and regions - is that a strong pro-evaluation culture is the basis for building and improving evaluation practices and function If people do not share a common understanding, and if the organizational environment is not enabling, technical capacities and skills will not produce an efficient and effective evaluation function. Only through this common framework are we able to distinguish among evaluation, monitoring, audit, performance measurement and quality assurance Only through this common understanding are we able to strengthen organizational learning and change, to really make use of the knowledge acquired and constructed during the evaluation process, only thus can we solve problems, make balanced decisions, plan strategically, argue our advocacies and message, or document our programme impact in effective communication and fund raising campaigns

Democratic evaluation is a new approach based both on the real utilization of evaluation findings, recommendations and lessons learned, and on the participatory process to empower stakeholders the goal is to transform evaluation from an old management perspective, where the objective is for managers to control employees pushing them to be more efficient, to a new democratic management tool available to all organization members to better understand the organization's environment and learn from past experience, to be more self-accountable and efficient

Evaluating in the framework of the Convention on the Rights of the Child (CRC) and the Convention on the Elimination of all forms of Discrimination Against Women (CEDAW) is going to be a challenge for UNICEF Latin America and the Caribbean In the context of the Regional M&E Framework, we have tried to analize what it means to evaluate with a child rights perspective and its implications for evaluation

This paper is divided into three parts The first part presents the evolution of evaluation thinking and practices, the relationship among monitoring, evaluation, research, audit, performance measurement and quality assurance; and the scope of evaluation The second part proposes a strategy for improving the evaluation function through strengthening pro-evaluation culture and a new democratic evaluative process. The third part proposes a Regional M&E Framework and strategy for UNICEF Latin America and the Caribbean, starting from the data available on evaluation practices.

The sources of this working paper are not only conventional bibliography, but also active exchange with other evaluators inside and outside UNICEF, through an on-going electronic debate in the main international evaluation networks, American Evaluation Association annual meetings and several universities in the USA and the UK which are specialized in evaluation ◆

Part I: Why Evaluate?

I.I The evolution of evaluation thinking and practices

Evaluation thinking and practice, as an integral part of the organizational process, developed against a back drop of certain socio-political and economic tensions. House (1993) speaks of evaluation intensifying with the late stages of capitalism in demise —i.e a crisis of government legitimation leading to greater demand for controls and accountability The current rise of technocracy in which governments have ambitions to drive social change with (usually economic) policy has led to the growth of in-house evaluation and a more bureaucratic approach to evaluation contracting. Kushner (1998) affirms that evaluation has never lost its principal orientation towards value-for-money criteria— in spite of the work of evaluators in Britain and in the USA arguing for evaluation to, respectively, create fora for the democratic debate on policy and to document programme experience

Traditionally, in the context of international development assistance, the objective of evaluation has been to measure project and programme outputs and outcomes. According to Cracknell (1988), in the 1950s evaluation began to be implemented in US-based organizations (World Bank, UN, USAID, etc), focusing on appraisal rather than evaluation Agencies were trying to design projects according to a logical model and to establish mechanisms and indicators to measure project outputs. In the 70s the Logical Framework Approach (LFA) was developed as a tool for planning, implementing, monitoring and evaluating projects according to criteria that permit

Box I: Stages in evaluation thinking and practices

Stage	Objective	Focus
First generation 1950s/70s	Measurement/comparison	Results
Second generation 1980s	Transparency/accountability	Results
Third generation 1990s	Understanding/learning/decision making/positive accountability	Results/process/ utilization

measurement of successful output clearly, at this stage we can speak of results-focused evaluation, highlighting evaluation as a product and not as a process.

In the second phase, during the 1980s, an expansion of interest in evaluation took place international agencies institutionalized it —evaluation units were set up not only in the United States but also in Europe— mainly as an accountability tool to satisfy public opinion and the governments' need to know how public aid funds were used. At this stage, international organizations became more professional in carrying out evaluations focused on the long-term impact of the aid assistance

In the current phase, agencies have internalized the meaning of and the need for the evaluation function within the organization, and in the recent years they have been focusing on evaluation as a strategic tool for knowledge acquisition and construction with the aim of facilitating decision making and organizational learning During this period, agencies are conscious of the relevance and importance of evaluation, but resources allocated to evaluation units are not sufficient to allow them to meet the objectives satisfactorily. and aid agencies still do not have the necessary capacity for developing theory and methodologies (Rebien 1997) Emphasis is given to the evaluation process as a tool for individual and organizational understanding and learning, without overlooking the need for accountability In this context. participatory and empowerment evaluation, as opposed to conventional evaluation, represents an interesting development in approach and methodology to achieve different objectives Now evaluation is a product-self —accountability, and a developmental process —learning Now evaluation is everybody's job Everyone should ask him/ herself "what can I do to improve both my performance and the organization's?"

I.2 Evaluation, research, audit, quality assurance, performance measurement and monitoring

Box 2: Evaluation, research, audit, quality assurance, performance measurement and monitoring

Evaluation = Learning + self-accountability
Research = Learning
Audit = Conventional accountability
Quality Assurance = Assure an acceptable level of quality
Performance measurement = Measurement/comparison of process and management indicators
Monitoring = Measurement/comparison of programme and project outputs and outcomes

Source: Adapted from UNDP (1997)

Matching UNICEF (1991) and UNDP (1997) definitions, monitoring can be defined as the periodic oversight or continuing function that aims primarily to provide project management and the main stakeholders with early indications of progress, or lack thereof, in the achievement of programme or project objectives. It establishes the extent to which input deliveries, work schedule, target outputs and other required actions are proceeding according to plan, so that timely actions can be taken to correct the deficiencies detected In the UNICEF context, monitoring is also a strategic tool for checking the situation of women and children, focusing on the progress of the World Summit for Children 2000 goals

UNICEF (1991) defines evaluation as a process which attempts to determine, as systematically and objectively as possible, the relevance, effectiveness, efficiency, sustainability, and impact of activities in the light of specific objectives. In the UNDP (1997) definition, the time-bound frame is highlighted, specifying that evaluation is to be carried out more selectively - not periodically or continually as monitoring - and project managers have the flexibility to decide why and when an evaluation is needed Both UNICEF and the Inter-American Development Bank (1997) agree that evaluation is a learning and action-oriented management tool for improving current and future project performance

In the evaluation context, accountability and learning seem to be in tension. a learning approach requires a "safe reporting environment", one in which people feel that they can report shortcomings and dissenting views without fear of punishment An accountability approach demands control processes whose objectives are to discover shortcomings and mistakes People are accountable —that is responsible and ready to assume the consequences of their actions. But this accountability can trigger a fear of evaluation, a

fear that somebody else might discover shortcomings. Patton (1998) determined the top ten staff fears about evaluation

- Fear of increased accountability and responsibility without increased control or resources.

- Fear of being blamed fear that evaluation will be used punitively;

- Fear of being shamed: fear that weaknesses will be highlighted and failures made visible, fear that researchers could make a stakeholder look "stupid" with fancy measures and charts,

- Fear of increased competition —when comparisons are involved— and the consequences of losing the competition;

- Fear that the evaluation will be unfair —e.g., inappropriate criteria applied, conclusions drawn and judgments made out of context;

- Fear of uncertainty· not being sure what will be involved, what will be found out, how results will be used, fear that the important things can't be measured or will be oversimplified,

- Fear of not being heard: evaluation's credibility is undermined by the way it is imposed, mandated, or required without staff involvement, consultation, participation, fear of evaluator arrogance,

- Fear derived from previous bad experiences with evaluation: broken promises, past abuses, misuses, irrelevant reports, missing important issues, recommendations pulled out of the air, etc.;

- Fear that the stakes are too high: jobs, careers, program survival, resources, reputation,

- Fear of politics skepticism about political considerations overriding all else, and of leaders cynicism using rhetoric that "this time will be different".

Kushner (1998) proposes two approaches to accountability· a pre-hoc accountability approach and a post-hoc accountability approach

In the pre-hoc accountability approach, people are given organizational objectives and told of their place within them They are seen as functional units within the overall operation of the organization This is a mechanical view in which each part of the mechanism contributes to overall efficient functioning Effectiveness is measured by efficiency. People know what they have to be doing before they start —evaluation operates as inspection and control— to ensure that objectives are followed. Individuals are held to account for responding to the needs of the organization Performance follows management. which sets goals and supervises action

In the post hoc accountability. the organization is seen to exist through the work of its individuals To be held accountable for what they do. people must be responsible for

what they do. Each person or unit is free to define their own goals, but in such a way that the organization meets its goals They must show that they are operating in accordance with those goals reflectively and monitoring themselves At the end of a process they have to account for what they have done It may well be, since goals are negotiable, that the original objectives are found to be unsuitable and it becomes acceptable to deviate from those objectives if it can be shown to have been justified by intelligent or responsive action The efficient organization —i e the one that follows its objectives relentlessly and without regard to experience— may not be the most effective one when it has to respond to its external environments and be adaptable. In this approach, the organization is accountable for its responsiveness to the needs of stakeholders. Management follows performance so as to act in a facilitative, supportive way.

Evaluation functions are different in each case. In the former, it is a management tool for control and supervision to ensure that objectives are followed; in the latter, it functions as a means of ensuring that people are using their organizational freedom responsibly, intelligently and to good effect. The former requires that the workforce and their practices be transparent to management, but there is little advantage in revealing the world of the manager to the workforce In the latter, transparency has to embrace all aspects of organization since there is mutual dependency and the more each knows about the other the better they can support the other's goals. In the former model, evaluation privileges the manager and ignores the information needs of most others In the latter model, evaluation provides a service for all who need it.

In the context of the international development environment, we'd prefer to call the Kushner pre-accountability approach "conventional accountability", and the Kushner post-accountability approach "self-accountability".

Fetterman (1997) recognizes that programs which adopt an empowerment evaluation process are taking responsibility for their own actions and holding themselves accountable, in a credible fashion, to supervisors and external agencies that committed the evaluation

Some organizations, responding and reacting to this tension, are trying to split accountability according the above two approaches. as few pure self-accountability organizations or conventional-accountability organizations exist. They are trying to shift the conventional-accountability approach to the audit function. and the self-accountability approach to the evaluation function

UNDP (1997) defines audit as an examination or review that assesses and reports on the extent to which a condition. process or performance conforms to predetermined standards or criteria It is concerned with resource allocation. financial and general administrative management and. to a certain extent. substantive issues. UNICEF (1984) defines as audit objectives the review and appraisal of effectiveness and efficiency, ascertaining the extent of compliance of the organization's processes and procedures with the financial policies and regulations

Broadly speaking, audit principally focuses on compliance with predetermined rules and regulations and not as much on the impact, relevance, effectiveness and sustainability of programme or project objectives as evaluation does.

The internal oversight function is developing very quickly: from the traditional concept of audit, many organizations developed processes of programme audit, quality assurance (QA) systems and performance measurement, among others. The clear relationships among these different approaches to the internal oversight function is still under development. To try to clarify this interesting world, we propose some working definitions.

Programme audits are a component of internal audit's oversight function of assessing the fulfilment of defined responsibilities and progress toward the achievement of the CPR objectives within a Country Programme As an audit, the exercise does not review the appropriateness of the programme design; and as it is implemented at the mid-point in a Country Programme it does not attempt to assess actual achievement of the 5-year programme objectives (Adkisson, 1998)

Some organizations gave new emphasis to quality assurance and performance measurements to strengthen the M&E system. These processes are not alternative to evaluation, but rather complementary.

Quality assurance is a management system designed to give maximum confidence that the acceptable level of product or service quality is being achieved in the organization That is, a properly functioning quality assurance system should give all managers the confidence that systems, organizations, processes, and products meet established quality standards. Quality control means a routine system of control, processing and approval procedures.

Performance indicators are measures of project impacts, outcomes, outputs, and inputs that are monitored during project implementation to assess progress towards project objectives (Mosse, 1996) They are also used later to evaluate a project's success Indicators organize information in a way that clarifies the relationships between a project's impacts, outcomes, outputs and inputs, and help to identify problems along the way that can impede the achievement of project objectives. The big difference between performance measurement and evaluation is in the objectives and the process the former has the objective of controlling the performance and the extent to which project outputs, outcomes and impacts are achieved, while evaluation has the objective of improving, learning and being self-accountable; the former is just a measurement. just a number to compare two variables, the latter has a value added, placing the indicator in the project context and giving it a meaning in relation to the context Whereas performance measurement gives a quick overview of the situation. even if not linked to the context (as managers often need very timely indicators to take decisions. even with incomplete information). evaluation gives a more integrated and contextualized image (but sometimes managers cannot wait till an evaluation process has produced its findings and recommendations. due to time and money constraints) Performance measurement can improve the quality of evaluation. but cannot replace it

Research is a learning process based on developing, exploring and testing hypotheses and/or theories, through observations and measurements of reality. Trochim (1996) identifies three basic types of questions that research can address: (a) descriptive, when the study mainly describes the reality, (b) relational, when the study looks at the relationships between two or more variables, and (c) causal, when the study determines whether one or more variables causes or affects one or more outcome variables Clearly, there are no accountability elements in research objectives and processes.

The practical approach to research is highlighted by Action research, which integrates the processes of traditional research with action, rejecting the concept of two separate processes in which research is carried out first by researchers and, in a second stage, the knowledge generated by the research is applied by practitioners (UEA, 1994) Action research is based on a spiral of action/reflection/more action/more reflection/etc., integrating research with real life, and reacting to on-going feedback

I.3 The scope of evaluation

The scope of evaluation has been changing throughout the years (see box 1) according to a process that embraces not only the evaluation function, but the entire process of organizational development. Years ago, when the aim of evaluation was to measure and judge, people and staff perceived evaluation as a repressive tool at the service of top management to control both organizational and individual performance. Today, international development organizations accept the idea that evaluation is a tool to improve programme or project performance —positive accountability— on behalf of stakeholders, giving decision-makers the needed information to take relevant decisions to solve problems. As one of the main objectives of evaluation is to build knowledge for organizational and individual learning, the PROCESS (see page 27), and not only the results of the evaluation, becomes very important.

In today's context, the following should be the aims of Evaluation

◆ Problem-solving and decision-making. Evaluation is an excellent management tool for gathering information and generating knowledge for understanding why a programme or project is not achieving its predetermined objectives. and what you can do to correct and strengthen the weak areas Data and information collected during the evaluation process are fundamental for highlighting "red flags" — critical process points that can negatively affect the project/programme's performance and results— and for providing the necessary input to enable decision-makers to weigh different alternatives and make relevant decisions

◆ Positive accountability and excellence. The aim of positive accountability is not to find mistakes and "punish" people. but to detect problems and propose related solutions to improve efficiency. effectiveness. relevance and sustainability In the

framework of the UNICEF Management Excellence Programme (MEP), evaluation can be a very effective instrument for facilitating and supporting the process of improving management and programme excellence.

◆ <u>Knowledge construction and capacity building</u> One of the main objectives of evaluation is to produce knowledge to be used in decision-making processes and strategic planning, and to build evaluation capacity through the evaluative process. The evaluation cycle is composed of several steps first of all, it is very important to choose the knowledge range, according to its relevance and transferability to similar programmes and projects, so as to be able to optimize the knowledge construction function One of the most efficient ways is to carry out sectorial, thematic or strategic evaluations that can facilitate learning across countries (UNDP, 1997). This step aims to extract lessons learned from experience in such a way that they can be used not only to solve problems of the evaluated project, but also to improve the performance of similar projects and to give inputs for planning future ones. The Inter-American Development Bank (1997) defines "lessons learned" as a general hypothesis based on the findings of one or more evaluations, which are presumed to relate to a general principle that may be more broadly applicable. Lessons are transformed into knowledge when they are analyzed, systematized, disseminated and internalized within the organization through participatory evaluative processes, workshops, training, networks or newsletters. Some organizations insist that the lessons learned should be able to accommodate both information needs that are identified by users (demand-driven) and those identified by producers (supply-driven). At present, the lessons learned process is mainly one-way, and not two-way as would be desirable, because the lessons are extracted from evaluations which reflect specific needs of the project evaluated, and not those of similar projects The use of lessons learned depends on the lessons relevance and timely dissemination, and the strengthening of the evaluation culture existing within the organization UNDP (1997) proposes that no programme or project should be considered for approval unless there is evidence that a comprehensive search for relevant lessons has been carried out and that the pertinent lessons have already been applied in designing the programme or project

◆ <u>Organizational learning and change, and strategic planning</u>. The new concept of evaluation as a function of organizational learning and strategic planning is being accepted both at the development agency level —UNDP, the World Bank, and UNICEF among others— and at the academic level (Preskill and Torres, 1997, Lysyk, 1997. Cousins, 1995) The evidence of this new tendency in development agencies is visible not only in the content of handbooks and documents produced, but also in the rethinking of the organizational structure an example is the new Evaluation and Strategic Planning Office of UNDP Headquarters and the new Evaluation, Policy and Planning Department of UNICEF Headquarters, both located in New York

Preskill and Torres (1997) define organizational learning as a continuous process of organizational growth and improvement that is integrated with work activities, that invokes the alignment of values, attitudes and perceptions among organization members, and use that information or feedback about both processes and outcomes to make changes. It is quite clear that organizational learning is not merely the sum of organization members' learning (Levitt and March, 1988; Fiol and Lyles, 1985), but rather a process that unfolds over time (Garvin, 1993). Organizational learning does not imply merely the use of information, but is based on the concept of knowledge acquisition and construction, which means gathering the relevant information, processing and analyzing it, efficiently communicating it to other members of the organization and being understood, accepted and internalized by the organization. This process facilitates behavioural and attitude change among organization members and enables continuous adaptation of the organization according to internal and environmental changes

Evaluation and systematic inquiry can support organizational learning and strategic planning not only through the gathering of information and data, but also through the construction of knowledge as mentioned above Also, empowerment and participatory evaluative approaches with direct involvement of organization members can lead to deeper and broader learning, since the individuals have stronger ownership and understanding and can engage in an authentic dialogue with peers about the meaning of data (Lysyl, 1997; Cousins, 1995) leading to deeper analysis and internalization of knowledge. This can lead to greater conceptual learning about the organizational framework and processes, and the relationship among participants.

Ansoff (1984) notes that organizations with established systematic enquiry processes not only perform significantly better on average, but are also generally more proactive concerning organizational decision making and strategizing. An assumption is that evaluation is not viewed as a discrete point in the life of the organization, but as ongoing and contributing to organizational change through the setting of new priorities, strategies and reconsideration of existing norms Cousins (1995) describes at least four ways in which participatory evaluation and systematic inquiry can lead to organizational learning

a)   discussion among organization members regarding organizational successes and failures,

b)   developing in organization members a finer appreciation of the interrelationships that exist among program components:

c)   helping organization members to develop their understanding of unintended organizational effects of programmes; and

d)   helping organization members to appreciate the significance and implications of changes in the organization's environment

To foster organizational change, the evaluator should see him/herself as an agent of change and should have the following attributes (Sonnichsen, 1994)

a)   s/he has to believe that organization members can facilitate change and affect the decision-making process;

b)   s/he has to think critically, challenging basic organizational assumptions and exploring alternatives;

c)   s/he has to have credibility among the organization members thanks to his/her objectivity and honesty, and complete knowledge of the organizational decision-making process

The evaluator must create a demand for evaluation as a value-added organizational exercise Organizational change is a very complex process, that depends on organizational culture and structure, and on individual personalities and relationships. It requires a risk-driven and risk-accepting organization, individual preparedness to discuss the organizational assumptions and to explore new alternatives through mainstreaming of different ideas and, last but not least, the support of top management. The objective of a change-focused evaluator should be to influence the organizational change process by producing objective and realistic evidence of the organization structure, process and performance.

Strategic planning is a process for ensuring that an organization is sensitive to its social, economic and political environment, can anticipate and respond to major environmental changes, and can prepare and implement effective approaches for improving its programme and operational performance (Fisk, 1994). Strategic planning is used by organizations to effectively plan future activities and strategies in order to achieve efficiently organizational objectives in the context of the overall mission and external environmental changes. The knowledge and lessons learned acquired and built through the evaluative process is a fundamental input to and support for this strategic organizational process

◆   Advocacy, fund raising and communication strategies Evaluation findings can be used to strengthen organizational positions in advocacy activities to improve the conditions of stakeholders, to document organizational activities, outputs and impacts for fund-raising purposes, and to effectively communicate the organization's message ◆

Part 2: How to Evaluate?

2.1 Strengthening the evaluation function

As already mentioned above, international development organizations recognize the importance of the evaluation function facilitating and supporting organizational learning and change, and the improvement of programme and project performance, but at this point the evaluation function has potentialities that can and should be developed Different international organizations have discovered that the key bottleneck is not technical capacity (evaluation practices), but weak evaluation culture. Participants at the UNICEF Workshop on Programme orientation, process and guidance (UNICEF, 1997) recognized that a pro-evaluation culture would improve programme performance, enhance accountability, and serve as a basis for decision-making and programme modification UNDP (1996) affirms the need to create a constituency for evaluation the most fundamental challenge is the frequent lack of genuine demand and ownership within countries for honest evaluation Creating technical capacities for evaluation makes little sense if undertaken in isolation from the essential processes of decision-making (UNDP. 1996). The Inter-American Development Bank (1997) declares that the first challenge in developing evaluation capacity is to produce a genuine evaluation culture Also the participants at the UNICEF Regional Monitoring & Evaluation Workshop held in Bogota in 1997 recognized that a weak evaluation culture is the fundamental obstacle to improving evaluation function

2.2 Evaluation culture: a new approach to learning and change

In May 1997, UNICEF Regional Office for Latin America and the Caribbean carried out a workshop where all the Monitoring & Evaluation Officers and/or Focal Points of the UNICEF Country Offices in this continent met together to analyze the Monitoring & Evaluation practices within the Region and to propose strategies to strengthen them. Through a participatory process, it was found that the organizational requirement for a strong evaluation function is a pro-evaluation culture (UNICEF, 1997). Participants worked together to analyze the concept of evaluation culture that was defined as "a set of values, attitudes and processes of participative and systematic reflections about the institutional mission, its objectives, strategies and programmes to generate knowledge, systematize experiences and conduct rigorous validation This includes daily process and practices which imply understanding of principles and bases of M&E, appreciation of the historic perspective, shared language, incorporation of independent voices within the evaluation and of the will to apply lessons learned. The results should allow people to feed back into and/or reorient plans, policies and programmes as a daily expression of the institution in order to learn from its experiences and achieve efficacy, efficiency, impact, sustainability and diffusion of knowledge" During the Workshop, it was stressed that evaluation has to be a daily process that involves all of the organization at different levels, and not only its technical or specialized personnel.

Kushner (1998) affirms that "a pro-evaluation culture should be part of a wider organizational culture which helps to create shared understandings about what words and actions mean, and within which interactions can take place with the minimum of negotiation but with a tolerance for argument. They are conditions which encourage people to orient their individual actions to the goals of the programme. Such conditions would be made up of a common vocabulary, sustained personal contact and a core (not a totality) of common values and interests, together with a tolerance for where those values and interests diverge An organizational culture is an achievement rather than a design, it is recognised through a feeling of community more than through statements of allegiance to common goals —it is, that is to say, experiential rather than rational"

There are two principle questions for international development organizations which evaluation might respond to (Kushner, 1998).

*   *Evaluation for developing a shared organisational culture internally*

    An international organisation confronts the challenge of creating a cohesive, integrated culture in itself International organizations face the difficulty of creating a common language, and of sharing a common core of values among people from different political cultures in the organization's offices Evaluation culture can be used to explore differ-
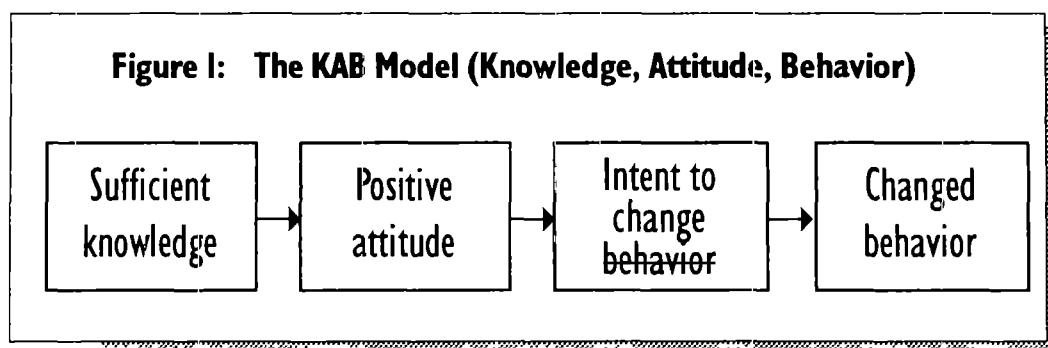
ences so as to agree (over time) on a base of shared values and a common language.

Evaluation to extend the internal culture to external operations

Much of what international organizations "are" and how they're defined takes place beyond their organisational boundaries —in the field, in other countries, in different kinds of political settings, etc This is where any organisation loses a degree of control over what it means— how its mission is translated into action, for example The ideal is that international organizations achieve a balance between the independence of its agents abroad, on the one hand, and faithfulness to the mission and style of the organisation at a global level Any freedoms within a corporate enterprise need to be balanced by positive accountability Evaluation can extend the organisational culture to its external operation by using the common language and common core of values as a platform for accountability —i e. people are free to operate strategically in the field so long as they can eventually justify their actions in accordance with commonly agreed criteria.

Participants in the Regional Workshop held in Bogotà defined the following enabling elements for strengthening the evaluation culture and function within an international development organization:

Leadership support and commitment. Top management at Headquarters, Regional and Country level should commit itself to supporting the evaluation function as a priority area for making the organization efficient, effective and self-accountable In the case of UNICEF, an international organization undergoing major changes, and shifting from a "service delivery" to a "knowledge center" approach, evaluation is a fundamental function for producing the knowledge needed to support advocacy and social mobilization for strengthening child rights promotion and protection worldwide Without official and real support by the organization's leadership, the evaluation function will not be able to improve.

Top management support implies, among others things, allocation of human and financial resources to Monitoring & Evaluation Without adequate financial resources, evaluation has a low impact, because with few and/or low quality evaluations it is not possible to create relevant knowledge that can influence the decision-making process and improve organizational learning During a free discussion taking place on Evaltak, the electronic network of the American Evaluation Association, several professional evaluators proposed to allocate at least 10% of every project budget to evaluation This is only an unofficial benchmark. but surely international development organizations are allocating less than 10% of some project budgets, and nothing at all in others On the other hand, many experts suggest it would be better to focus on a few very high quality evaluations that can have relevant impact on the organization instead of many low quality evaluations that lie on the desk of some specialized people

Figure I: The KAB Model (Knowledge, Attitude, Behavior)

| Sufficient knowledge | → | Positive attitude | → | Intent to change ~~behavior~~ | → | Changed behavior |

An organization that is not risk-averse, that is, an organization that stimulates innovation and risk-taking, allowing staff to learn from mistakes and negative past experiences. If the organizational environment is risk-averse, nobody will want to evaluate or be evaluated because of the possible consequences at the professional and personal levels. Being non risk-averse doesn't mean that the organization should accept any mistake committed, but that it should allow staff to take calculated risks to explore new strategies and directions, giving them the opportunity to make wrong decisions.

UNDP (1996) recognises that a successful evaluation function requires clarity in its institutional and policy roles, its legal mandate and independence.

Adapting the Knowledge-Attitude-Behavior (KAB) Model (see Figure 1) to an organization, we can see that to change an "organizational culture" several phases and times are needed At each stage, the KAB Model has two simple states, one that is OK and another that is not OK. For example, an individual has or does not have a sufficient knowledge, has or does not have a positive attitude to change, etc. To pass from one stage to the next, you need to have an OK state, otherwise you cannot pass The enabling elements above mentioned are, at the organizational level, not only enabling but compulsory if organization members are to pass from one stage to the next one

Box 3: Attempts to avoid evaluations in the United Nations System: a list of unacceptable excuses

The following selection of excuses to avoid conducting an evaluation was collected by someone in the United Nations System and recently updated by the UNDP Office of Evaluation and Strategic Planning. Combining two or more reasons may result in some very interesting "justification" for not carrying out evaluations

1.	Our project is different	26.	They just want to get us
2.	It will cost too much	27.	Think about the disruption it'll cause
3.	We don't have time	28.	It can't be done objectively
4.	The project is too small	29.	It's too much trouble to change
5.	It wasn't in the implementation plan	30.	We've always done it this way
6.	We've never done it before	31.	We did what we said we'd do
7.	The government won't like it	32.	We have already been evaluated
8.	Give me the money that you want to spend on evaluation	33.	We don't have any problems
		34.	There has been a change in the government
9.	Outsiders won't understand the complexity	35.	The financial crisis put us behind schedule
10.	It's an ivory tower exercise	36.	We were just audited
11.	I'm due for home leave	37.	The Rep says it one of his/her best projects
12.	It's not our problem	38.	It's a pilot/experimental/model/research project
13.	Why change it? It's working all right	39.	The project is too young/almost over/too far along
14.	We're not ready for it yet		
15.	It isn't in the budget	40.	Construction has not been completed
16.	The Rep./counterpart has left	41.	The equipment has not arrived/been installed yet
17.	The Rep./counterpart is new/has recently changed	42.	Legal status has not yet been provided/ approved
		43.	We can't find the original workplan
18.	The project director has not been appointed yet	44.	I wasn't the responsible officer when the project started
19.	The counterpart staff is till in training/on fellowship		
		45.	The government is satisfied with the project
20.	We're doing all right without one	46.	The government hasn't supplied its inputs yet
21.	It has never been tried before	47.	The project isn't "evaluable" owing to its nature
22.	There must be an additional reason	48.	We don't have the data
23.	I don't need anybody to teach me my job	49.	The project design is too vague
24.	That may work in any other organization/ region/country/technical field, but it will never work here	50.	We evaluate all the time ourselves
		51.	It's the rainy season
25.	I'm not convinced that it'll work	52.	We have a sound monitoring system

Source: UNDP 1997

2.2.1 Strategic elements

Several researchers and evaluators define the strategic elements and characteristics of a pro-Evaluation culture. All elements should be present, but not necessarily at the same time.

Trochim (1996) describes what the twenty-first century evaluation culture should be, defining the following elements:

◆ Action-oriented. Evaluation should be a strategic instrument that facilitates and supports the use of information and knowledge acquired during the evaluative process, with the aim of strengthening programme performance. The evaluation process does not end with the final report, but with the implementation of recommendations and follow-up actions. Evaluation should be integral part of the cycle supposition/action/evidence/revision, within the Action research cycle. Several researchers embrace this approach, including Patton with his Utilization-focused evaluations (see page 27) or UNDP with its Results-oriented evaluations.

◆ Interdisciplinary and holistic. Evaluation is not a sectorial discipline to be grafted onto other sectorial areas. Almost everybody nowadays agrees that evaluation should be completely integrated and deeply rooted in the organizational structure and in the planning and implementation of the Country Programme cycle, and not seen as a parallel function. Monitoring & Evaluation is an interdisciplinary function that cuts across all sectorial programmes/projects, being managerial tool applicable to entire organization sectors, whatever their nature and objectives.

◆ Inclusive, participatory and non-hierarchical. Evaluation is not a technical discipline only for specialized people. Participants of the UNICEF Latin America and the Caribbean M&E Workshop stated that Monitoring & Evaluation should be the responsibility of the entire office and not only of the corresponding officer or focal point Evaluation should be a daily activity of everybody working in the organization to better his/her personal performance and overall organizational performance For this reason many UNICEF Country Offices have decided to set up flexi-teams on Monitoring & Evaluation composed of officers working in completely different areas and with different positions

◆ Ethical, truth-seeking, open and fair Evaluation is a technical and political instrument, because political and value issues are an integral part of an evaluation Virtually every phase of the evaluation process has political implications (Kellogg, 1997) Evaluators must understand the implications of their actions and be sensitive to the concerns of the project director, staff and other stakeholders This understanding is based in an ongoing and two-way dialogue with all the group members involved It should be sufficiently rigorous in design, data collection

and analysis, but open-mind and ready to welcome the flexibility required by stakeholders. Social and development interventions are themselves a result of certain priorities and policy decisions in which values play an important role Evaluator and commissioner should identify from the beginning the perspective, procedure and rationale to be used to interpret findings, so that the bases for value judgements are clear. Evaluators should have a constructive and positive approach and perspective, so that they help organizations to develop and strengthen excellence.

Evaluation data (Rebien, 1997) enter a political decision-making system in which resources are being allocated, redistributed and prioritized Value, moral and ethical considerations are inherent to all these decisions, and evaluation results are used as input into this political game. For this reason, it is very important to conduct evaluations according to an ethical perspective and framework, bearing in mind that in no way should evaluation have the aim of deliberately hurting people or organizations, or taking personal advantage of evaluation findings

The American, Australasian and Canadian Evaluation Associations and Societies have prepared guidelines —or standards— for the ethical conduct of evaluations with the aim of promoting ethical practices The existence of independent, even though complementary, guidelines defined by the three biggest and most important evaluation associations in the world reflects the importance of and attention to ethical issues in conducting evaluations An integrated summary of the different guidelines, with a cross-cultural perspective and taking into consideration the particularity of the international approach, follows

Evaluators should act with integrity in their relationships with stakeholders, being sensitive to the cultural and social environment and conducting themselves in an appropriate manner according to the environment Evaluators have the responsibility of identifying and respecting differences among participants, such as differences in their culture, religion, gender, disability, age, sexual orientation and ethnicity, bearing in mind potential implications when planning, conducting and reporting their evaluation findings Conflicts of interest, either on the part of the evaluator or of the stakeholders. should be identified and dealt openly and honestly, so that they don't compromise the evaluation process and results Evaluators should guarantee confidentiality, privacy and ownership of findings and recommendations

Evaluators are to be competent in their provision of services. declare the limitations of the selected methodologies. and admit when they face circumstances beyond their competence Top management and selected stakeholders need to know these limitations during the decision-making process The evaluation process should be facilitated by people with the necessary qualifications. skills and authority. and evaluators should conduct themselves professionally so as to gain credibility. and assure that reports and findings are respected and used

Negative and/or critical conclusions should be communicated, ensuring the respect for the stakeholders' dignity and self-esteem. Evaluators should try to maximize the benefits and reduce any unnecessary harm that might occur, provided this will not compromise the integrity of the evaluation findings.

Forward-looking The evaluation function should be prospective, anticipating necessity and needs of the evaluation results. The planning of a simple Monitoring & Evaluation system should be an integral part of the planning process of every project and programme, so that the evaluation process can be utilized during programme implementation and not only at the programme's end

2.2.2 Strategic outcomes

An organization that is able to develop and strengthen an evaluation culture will have positives advantages in organizational processes and results. Preskill and Torres (1996) affirm that individual staff members and team members of such organizations:

- are more self-directed learners and use information to act,

- develop a greater sense of personal accountability and responsibility on the one hand but take higher risks on the other,

- are more consultive, more coaching and provide support for each other.

In this context, organizations

- develop new ideas and strategies,

- are able to change more quickly according to variations in the external environment,

- experience increased efficiency and effective use of lessons learned to improve projects and programmes,

- are able to unify processes.

Staff members have broader functions they work in teams. and the objective is not to meet instructions but to meet strategic goals defined through a participatory process There is less direction from the top management. and much more positiveness and self-accountability at all organizational levels.

2.3 Democratic evaluation: planning, implementing and using evaluation processes and results

Sometimes it happens that evaluation is only an external exercise to measure and judge a project/programme and evaluation results are presented only to the top management through a final report that will be forgotten on some officer's desk. For some years, also thanks to the new "evaluation generation", evaluation has been changing in objectives, strategies and processes.

Nowadays, many evaluators and organizations see evaluation as a strategic instrument to empower people —empowerment evaluation— and to improve project/programme performance, focusing evaluation on intended use by intended users —utilization-focused evaluation

Empowerment evaluation is defined as the use of evaluation concepts, techniques and findings to foster improvement and self-determination: it is designed to help people to help themselves (Fetterman, 1996). It's a democratic process in which people empower themselves with the assistance of an external expert who acts mainly as a coach and facilitator. Programme participants decide to carry out *their* own evaluation, *they* plan it, *they* implement it, *they* collect and analyze *their* data, *they* interpret *their* findings and draw *their* recommendations and lessons learned, and *they* implement *their* recommendations. The external professional evaluator's role is indeed fundamentally different from what it is in the conventional evaluations. S/he has to work directly *with* the stakeholders to carry out *their* evaluation, and not to work *for* them to carry out *his/her* evaluation The external evaluator should act as a coach, a facilitator, a trainer, an advisor, and not as a conventional evaluator.

From an empowerment perspective, the evaluation exercise is not the final programme point, but an ongoing improvement process wherein stakeholders learn to continually assess their progress towards self-determined goals and to re-direct their plans and strategies according to the findings of the continuous evaluative process Stevenson, Mitchell and Florin (1997) recognized a multilevel approach to empowerment evaluation, with three levels at which changes in power can occur.

a)   the individual level, at which a psychological empowerment (including knowledge, skills, perceived competencies and expectancies) takes place.

b)   the intraorganizational level, at which the empowering organization may make possible the collective empowering of its members at this level, empowerment evaluation helps the individual organization members to connect their needs, interests and abilities with the means, goal and mission of the organization (Mithuag, 1996), and

c) the extraorganizational level, from which relevant social systems may be judged to be more or less organizationally empowered, that is, successful in influencing their environment.

The empowerment evaluation approach is based on Rappaport's three guiding principles of an empowering philosophy (1981)

a) all people have existing strengths and capabilities as well as the capacity to become more competent;

b) the failure of a person to display competence is not due to deficiencies of the person but to the failure of the social system to provide or create opportunities for competencies to be displayed or acquired; and

c) in situations where existing capabilities need to be strengthened or new competencies need to be learned, they are best learned through experiences that lead people to make self-attributions about their capabilities to influence important life events.

Fetterman (1996) highlights some facets in empowerment evaluation

a) Training, where evaluators teach people to conduct their own evaluation, demystifing and internalizing the evaluation process. In a conventional evaluation, the evaluative process ends when the evaluator give the results to the managers; in an empowerment evaluation process, the evaluative process is internalized within the organization and becomes an ongoing and continuous self-assessment exercise to improve one's own performance

b) Facilitation, where the evaluator acts as a coach, as a facilitator to help people to conduct their self-evaluation The evaluator presents the different alternatives based on methodological and technical approaches, explaining benefits and concerns of each alternative, but the participant controls the decision making process s/he decides which methodological alternative to employ. helped by the facilitator/evaluator

c) Illumination and liberation Many participants experience the empowerment evaluation exercise as an enlightening and revealing experience that brings a new conceptualization of themselves Many experiences demonstrate how helping people to find useful ways to evaluate themselves liberates them from traditional expectations and roles, enabling them to find new opportunities. redefining their roles and identities and facilitating their seeing existing resources in a new light

Besides the above advantages. empowerment evaluation (Fetterman, 1997) facilitates the integration of quantitative and qualitative methods as stakeholders actively involved in the evaluation process provide qualitative inputs to the quantitative methods. helps demystify the evaluation process through the participatory and capacity building approach. supports reinvention and refinement of methods and techniques, and. last but not least. promotes institutionalization and internalization of evaluation processes and methods

Evaluators who apply the empowerment evaluation process recognize that some issues are not settled, and it will require more work to improve the concepts and practices, such as:

a) How objective can a self-evaluation be? As an evaluation has political, social, cultural and economic dimensions, the objectivity of a self-evaluation can lose strengths vs individual or corporate interests to be protected,

b) Is evaluation rigor and professionalism maintained? In this context, the new evaluator role as coach, trainer and facilitator is fundamental empowerment evaluation demystifies evaluation, but also empowers people, giving them the appropriate skills and competence to internalize the evaluation function In the process, some rigor may be lost;

c) Does empowerment evaluation abolish conventional evaluation? Empowerment evaluation addresses specific needs and it is not a substitute for other forms of evaluative inquiry or appraisal (Fetterman, 1996) We think empowerment evaluation is very relevant in the case of development assistance programmes, but it may not be the best approach for programmes of other nature

Figure 2: Degree of participation in empowerment and participatory evaluations

Source: Adapted from Cousins, Dimensions of form in collaborative inquiry, 1997
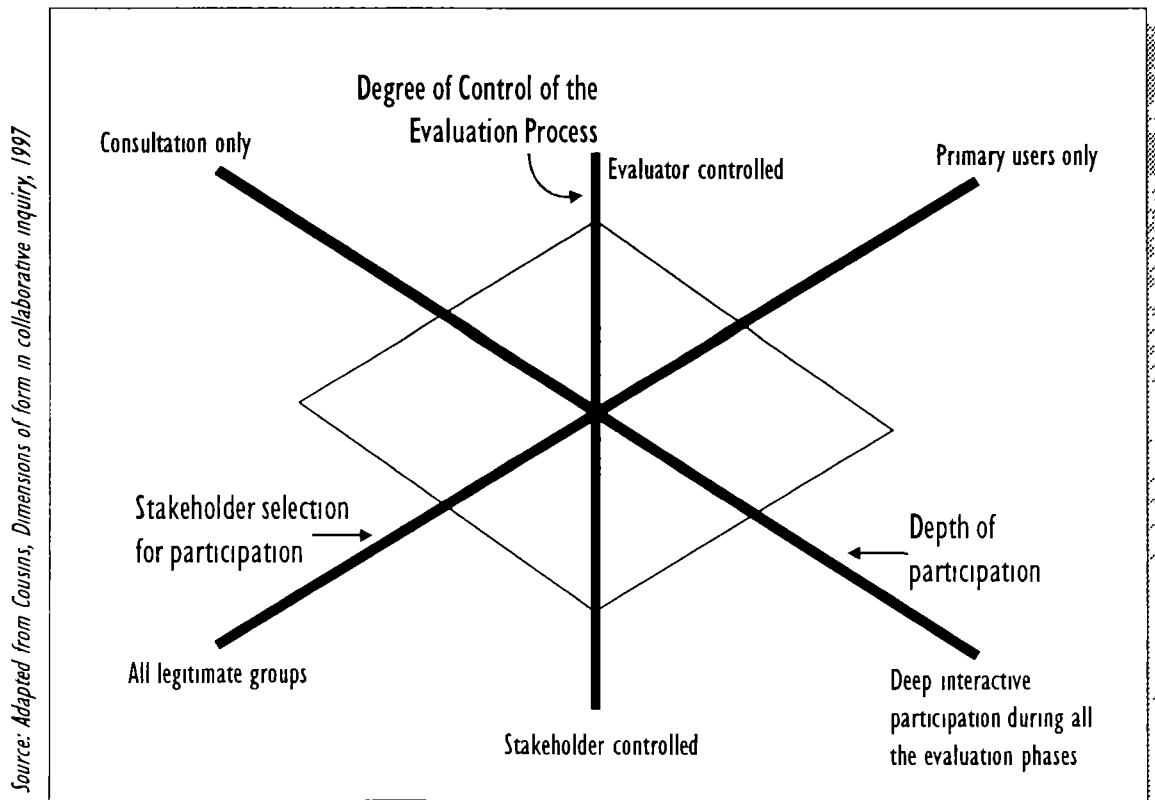
HOW PARTICIPATORY ARE YOU?
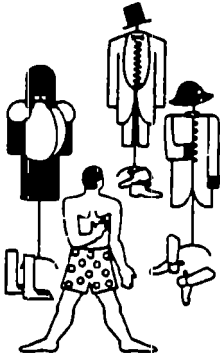
Is your own leadership style laissez-faire, authoritarian or democratic?
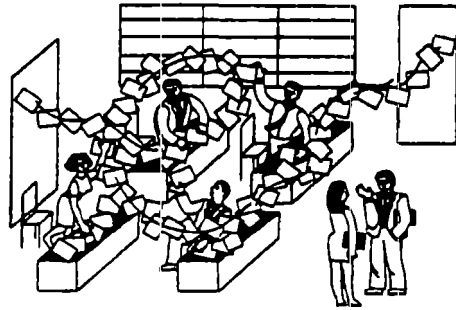
Do you circulate information freely throughout the office or circulate information on need-to-know basis?
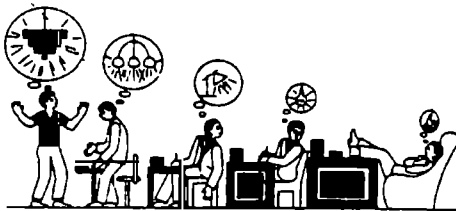
Do you delegate down responsibilities within the office?
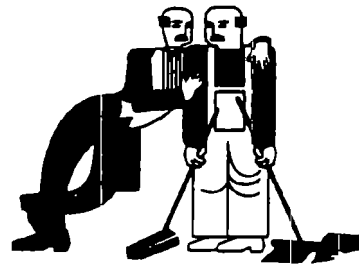
Do you involve others regardless of their rank or status in participation initiatives or are you exclusive?

Are you able to receive negative feedback constructively?
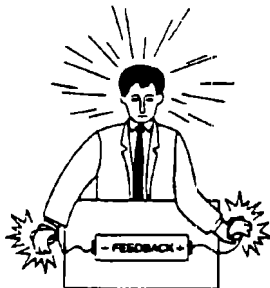
Do you see your role as controlling and supervising project recipients or supporting, enabling and empowering project recipients?

Are you flexible and patient?

Are you an empathetic listener?

Source: UNDP, 1997

Empowerment evaluation should not be confused with participatory evaluation even if the borderline is not very clear, the control of the evaluation process, the depth of participation and the selection of stakeholder for participation are the variables that distinguish empowerment from participatory evaluation. In the former, the evaluation process is controlled by participants —evaluators act as coaches and facilitators—, in the latter by the evaluator; in the former, the depth of participation is very high, continuous and goes on throughout the evaluation process, in the latter, no

Michael Quinn Patton is one of the major evaluators supporting and developing the concept of **Utilization-focused evaluation**, in which the focus is on the evaluation's intended use by intended users (Patton, 1997). A Utilization-focused evaluation is an evaluation designed to answer specific questions raised by those in charge of a programme so that the information provided can affect decisions about the programme's future (Newcomer, Hatry and Wholey, 1994) One objective of this evaluation approach is to narrow the gap between the evaluation findings and the utilization of those findings (Patton, 1997), helping programme managers to generate their own questions to be able to solve their own problems in order to strengthen and improve their own programmes

Figure 3: Democratic evaluation process
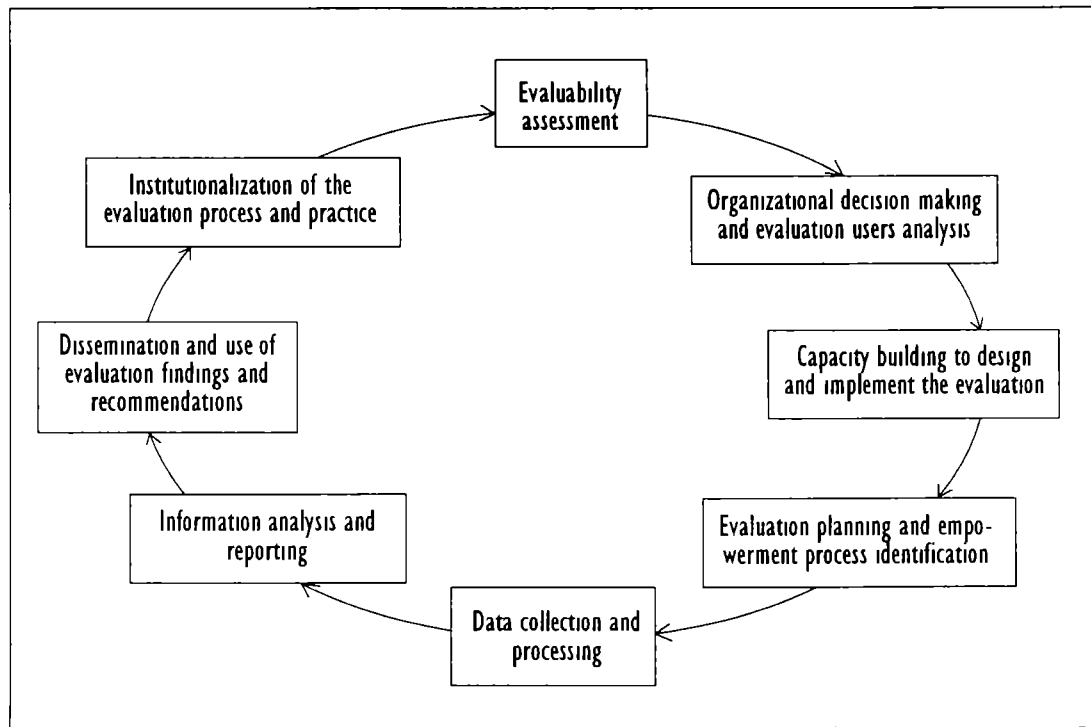
We tried to integrate these two perspectives to come out with an evaluation approach —**Democratic evaluation**— focused both on the empowerment process and the utilization of evaluation results and findings If we accept the concept that democracy is a vision of the world, a way to think, to feel and to act that we can practice and live, a perspective for understanding and improving human and social relationships, than democratic evaluation is a new way to approach the evaluation function, where the goals are to understand, to learn, to be self-accountable, to improve our own performance, efficiency and effectiveness, and the process is one of empowerment, where stakeholders have full control of their evaluation, where they are the evaluators who plan, carry out, internalise and follow-up on the evaluation findings, lessons learned and recommendations. A Democratic evaluation is a highly participatory and empowerment evaluation process centered on people that gives stakeholders the capacity to understand and carry out their own self-evaluation to improve their living conditions In the rights approach to development, participation is a central right and empowerment a winning strategy Our hypothesis is that democratic evaluation is the most effective approach for evaluating and improving international and national development programmes. This action and learning-oriented process is composed of the following phases.

A. **Evaluability assessment** Ideally, every programme should include an evaluation process in order to be able to maintain performance at an acceptable level in terms of excellence and to be able to continuously learn from past experience But since in the real world resources are limited, a selection of programmes and projects to be evaluated should be carried out through an evaluability assessment to assure the relevance, feasibility and likely usefulness of the evaluation. Newscomer, Hatry and Wholey (1994) developed an inquiry framework to carry out before starting the evaluative process, which includes the following questions

   a)   Is the programme significant and relevant enough to merit evaluation?

   b)   Are programme objectives well and clearly defined, plausible (realistic) and measurable?,

   c)   Can evaluation be done in time to be useful and used? Can the results of the evaluation influence decisions about the programme? d) Is the cost of the evaluation offset by the likely benefits it can bring to the improvement of programme?

B. **Organizational decision-making and evaluation user analysis** To allow evaluation findings to really be used with the aim of improving programme performance and of learning from past and present experiences, it is very important to carry out an organizational decision-making analysis to determine WHO the key actors are that need information to solve problems and WHO is likely to use evaluation findings and support follow-up actions based on evaluation recommendations It doesn't mean that only the top management has to be actively involved in the evaluation process from the first steps: very often the key actors are middle management. officers and stakeholders responsible for developing and implementing

the programme in the field. In this context, the personal factor is a key element for guaranteeing the impact of the evaluation findings. Patton (1997) defines the personal factor as the presence of an identifiable individual or group of people who personally care about the evaluation and the findings it generates. It represents the leadership, interest, enthusiasm, determination, commitment and caring of specific individual people. The use of evaluation findings is not only determined by hierarchical positions and organizational structure, but also by real, live, caring human beings. When carrying out the organizational decision-making analysis, both the organizational structure — leadership, authority— and the personal factor —enthusiasm, commitment, interest— have to be taken into consideration. This means identifying strategically located people who are willing and able to carry out the evaluation and to utilize its findings. External evaluators should create or strengthen the demand for evaluation findings and results, and an expectation that selected stakeholders can derive a benefit from participating and getting familiar with the evaluation process.

C. **Capacity building for designing and implementing the evaluation** Before participants reach consensus and agree on the evaluation design, the external evaluator has to act as a trainer to build the needed technical capacity among the participants, and as a coach to facilitate the knowledge and understanding of how their programme works, and to build trust that what they do will work S/he has to get to know the participants, acknowledge fears and demystify evaluation processes, building trust and a positive environment. S/he has to build capacity through training before taking action and coaching the group during the implementation phase. One lesson learned from past experience (Dugan, 1997) is the importance of dividing participants into small groups where for every X teaching time you have at least X time for interactive exchange, questions and practical activities Another lesson is that the external evaluator should be ready, if needed, to slow the process down to a pace every participant can handle.

D: **Evaluation Planning and Empowerment process identification** The strategically located people identified to carry out the evaluation should obviously be actively involved in the entire evaluation process, that is, from the very beginning When planning the evaluation, the external evaluator should not propose specific evaluation questions. but only a process for generating *stakeholders'* questions (Patton, 1997) That is the best way to focus the evaluation exactly on the needs of those people who later on will use the evaluation findings to improve and better the programme evaluated It is also the best way to assure that evaluation recommendations will be followed up.

When planning an evaluation, participants should answer the following questions (UNICEF, 1991) **why** (the purposes of the evaluation, who can/will use the results) and **when** (the timing of evaluation in the programme cycle and in the project's life) they want to carry out the evaluation: **what** is the scope and focus of the evaluation and the questions to be answered, **who** is responsible for managing, carrying out and following up on the evaluation: **how** to gather needed data

(evaluation methodologies and techniques to be applied); the **resources** (financial and human resources, supplies and material, infrastructure and logistics) needed to carry out the evaluation, and, last but not least, the **rationale** for interpreting the evaluation findings (see page 21)

The evaluator should act as a coach to facilitate and help participants to design the empowerment evaluation process, whose output will be an evaluation plan with a time frame and individual and team responsibilities

All these variables are very important in making an evaluation useful and relevant. The evaluation must respond to the information needs of those who are implementing the programme to be evaluated. Therefore, this kind of evaluation has to be designed according to each specific situation and reality, without following a standard model that could never respond to specific needs.

E. Data collection and processing. The implementation of the evaluation plan is the hardest step. The external evaluator should coach, advocate and train participants concerning methodologies and techniques for gathering and processing data, providing expert direction and support when needed. Participants may want to give up because they feel that they are not able to implement the evaluation, don't have enough time, or lack the commitment to go on. Usually the cause is the participants' lack of experience and fear of committing mistakes (Dugan, 1997) An external evaluator has to advocate and coach the group and individual participants, convincing them to trust their own evaluative processes.

F. Information analysis and reports Indicators and statistical data are just neutral numbers that need to be interpreted to give them meaning Interpretation is a key step in the evaluation process indicators can have a positive or negative meaning according to the interpretation framework and organizational and external environmental context to which they're related. There is no universal interpretation framework human, political, economical and cultural contexts influence the final results of an evaluation That is why this phase is extremely important and sensitive, and all participants should be actively involved The full and integrated participation of the selected stakeholder strengthens the learning process. improves evaluation results ownership. enriches and deepens the analysis and interpretation efforts and ensures the use of the findings and recommendations

The evaluation report should be the product of a participatory process where selected stakeholders reach a consensus on the content of the report Before presenting the final report to the public. a draft version should be circulated, discussed and cleared by evaluation participants, selected stakeholders and users, to avoid embarrassing surprises that could stop the utilization of the evaluation findings and recommendations When interpreting data and writing the report. try to think positively about negativities. the goal of the evaluation is NOT to offend or attack anybody, but to improve programme performance and to learn from past experience Try to focus the report or reports (if the intended users are different

Box 4: Democratic versus conventional evaluation

Items	Democratic Evaluation	Conventional Evaluation
Objectives	Problem solving and decision making, self and positive accountability, knowledge construction and capacity building, organizational learning and change, strategic planning	Judgement, conventional accountability, measurement
Process	Interdisciplinary, holistic Inclusive Non-hierarchical, horizontal	Sectorial Exclusive Hierarchical, vertical
Evaluation results	Internalization of evaluation process and practices in the organization	Evaluation final report
Responsibility	Stakeholders	External evaluator
Control and decision-making	Stakeholders	External evaluator
Expertise	Stakeholder through capacity building	External evaluator
Stakeholder participation	Power	Consultation
Ethnic, gender, social, political, economic, cultural and religious diversity	Appreciation	Indifference
Evaluation report's structure	Short and focused ad hoc reports (more than one report according to the different users need)	Long and comprehensive report (only one comprehensive report for all the different users)
Evaluation report's style	Active and involved style, written in first or second person	Passive and detached style, written in third person
Evaluation report's content	Selected findings, brief methodological description	All the findings, detailed methodological description
Evaluation report's perspective	Insider author, audience perspective and context	Outsider author, neutral perspective

and it is considered more effective to produce different ad-hoc reports) on the intended users, and not on some generic audience

Recommendations should be logically supported and linked to evaluation findings. easy to understand, realistic within the organizational context and the user's individual capacities and authority They should include an analysis of the recommendations' implications in terms of benefits and constraints. and propose strategies and a plan to implement follow-up actions.

G   Dissemination and use of evaluation findings and recommendations

Dissemination and use are two different phases: evaluation findings and recommendations can be disseminated widely but not used at all, or viceversa they can be distributed only to a specific audience and be effectively used to improve the project evaluated. What we propose is to strategically distribute short and concise ad-hoc reports meeting specific people's needs, reports which

*   present selected findings and recommendations;

*   focus on action-oriented recommendations and follow-up action described in the project/organization context and framework;

*   do not propose hypotheses and long methodological analyses,

*   present findings with many graphics to visually explain contents,

*   are written in the first person and with an involved tone and perspective.

The active participation of selected stakeholders and strategically located people in the evaluation process will support the real use of the evaluation findings and recommendations. The task of the external evaluator, however, does not end with the dissemination of the report, as s/he should facilitate and follow up on the implementation of the recommendations according to the implementation strategy and plan previously proposed, discussed and agreed upon with stakeholders.

Figure 4:   Relation of use/misuse and evaluation culture
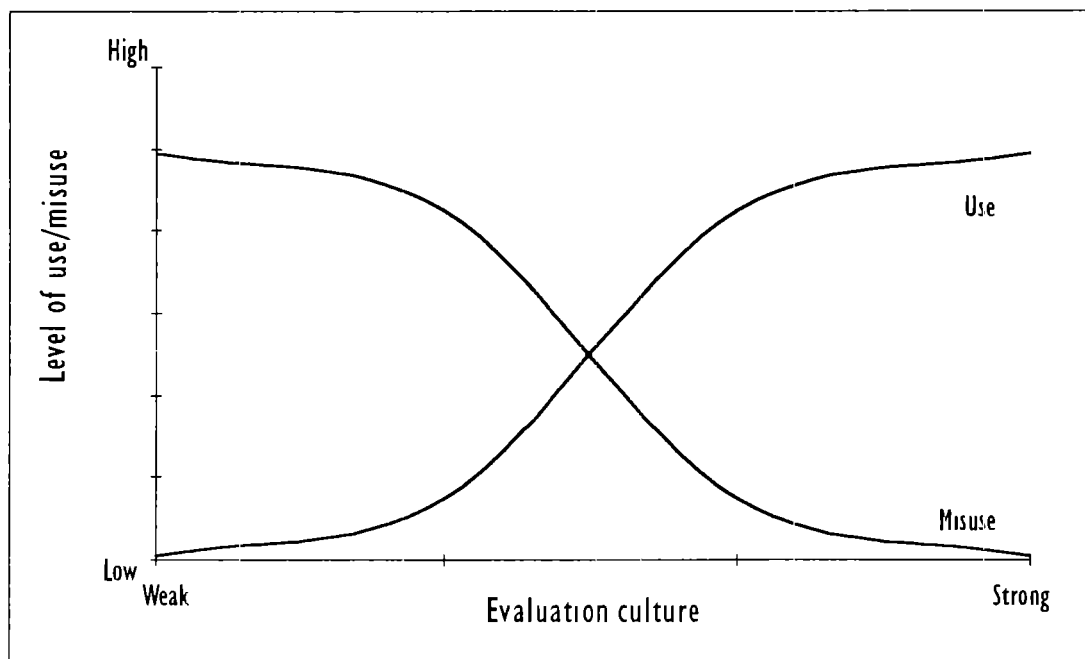
Evaluation findings can be misinterpreted and/or misused, whether intentionally or not. To counteract the former case, stakeholders can help to interpret and use findings in a fair and ethical way; in the latter case, evaluation culture is not strong enough and not widespread within the organizational processes and structure Patton (1997) formulates the hypothesis that if the findings are not used, there will be neither use nor misuse, but as soon as findings are used, misuse will proportionally increase. We take the liberty to insert a new variable according to our hypothesis, the relationship between use and misuse depends on the degree of utilization AND on the level of pro-evaluation culture existing in the organization. Starting from a nonuse point, where the evaluation culture is very weak, the degree of misuse is very high and the degree of use very low. Once the evaluation culture has been strengthened, misuse decreases and use increases, arriving at an intersection point in which evaluation culture has a medium strength. When the evaluation culture is very strong, the misuse grade is very low and the use grade very high The hypothesis is that, taking the same level of utilization, if the evaluation culture is weak, the misuse degree is very high and the use degree very low, if the evaluation culture is strong, the misuse degree is very low and the use degree very high (see Figure 4)

H. Institutionalization of evaluation process and practice One of the major outcomes of the above evaluation process is the institutionalization of the evaluation process within the organization. Once stakeholders gain the capacity to design and implement an evaluation, and understand the evaluation's importance and objective, they'll formally include evaluation elements when they plan new programmes and will carry out a day-by-day evaluation process of the on-going projects We think the democratic evaluation process is one of the best strategies for strengthening the evaluation culture and practices within an organization ●

Box 4: Dissemmination of Evaluation Plans, Procedures and Results

■ *Likely communication form*

Potential Audience

	Technical Report	Executive Summary	Technical Professional Paper	Popular Article	News Release	Press Conference	Media Appearance	Public Meeting	Staff Seminar, Workshop	Other (film, filmstrip, book, etc.)
Funding agencies for program or evaluation	■									
Program administrators	■	■	■	■	■				■	
Other relevant management-level staff		■		■						
Board members, trustees		■		■						
Technical advisory committees	■	■								
Relevant political bodies (for example, legislatures, city councils)		■		■						
Interested community groups			■				■			
Current clients (guardians where appropriate)			■				■			
Prospective clients			■				■			
Providers of program service (for example, instructors, counselors, distributors)		■		■						
Professional colleagues of evaluator(s)			■							
Organizations or professions concerned with program content			■							
Local, state, regional media					■	■		■		
National media					■	■				
Other										

SOURCE: UNICEF (1991).

Box 5: Who Needs to Get the Results, Why and How

| Audience	Role in evaluation and follow-up	Which results they need to get and why	How they can get them
Community not directly involved in programme	Takes a small part (e g , answering questionnaires)	Summary of results and recommendations so that they can help to put them into action.	Meetings Discussions Mass media Newsletters Pictures
Community not directly involved in programme	Takes part in planning and carrying out evaluation	Full results and recommendations so that they can help to put them into action	Through participation in evaluation. Meetings Study of results Mass media. Newsletters Pictures
Programme staff	Responsibility for co-ordination, facilitating community decision-making and action	Full results and recommendations to be able to put them into action	Through participation Meetings Study of report.
District-level departments agencies, organizations	Receive information and/or specified active role Disseminate lessons learnt Support future action	Full results or summary only for analysis of lessons learnt and policy decision-making	Full report or summary (1-2 pages). Discussions with evaluation co-ordinatiors Mass media
Regional level	Same as district level.	Same as district level	Probably summary only Discussions Meetings
National-level ministries, agencies, organisations	Receive information Disseminate lessons Support future action	Full results or summary for analysis of lessons lernt and policy-making	Summary. Discussions Meetings
External funding agency	Receive information Disseminate lessons Support future action	Full results for analysis of lessons learnt and policy making	Full report plus summary discussions
International agencies UN development agencies	Receive information Disseminate lessons. Support future action	Full results or summary for analysis of lessons learnt and policy-making	Probably summary only Discussions Meetings

Part 3: The Evaluation Function in UNICEF Latin America and the Caribbean

3.1 The evaluation practice baseline

To reflect the situation of Monitoring & Evaluation in the region with the aim of creating a baseline for producing the Regional M&E Plan of Action 1997/98 during the Regional M&E Workshop held in Bogota in May 1997, the Regional Office for Latin America and the Caribbean (TACRO) decided to carry out a survey in all the Country Offices, to try to devise an X-ray of evaluation practices, problems and potential areas of improvement.

Human resource allocation seems to be quite acceptable, if it is true that only 40% of the M&E Focal Points[1] are M&E officers by post designation, it is also true that 60 % declare that M&E is the principal or a strong commitment, above other responsibilities TACRO should ensure that the 40% who declared they have few M&E responsibilities will strengthen their involvement in this area, creating an enabling environment for improving evaluation culture and practices

Less than half (46%) of the Focal Points have had formal training on M&E, and 26% had only short training. M&E training needs, as declared by the Focal Points, are in qualitative data analysis, designing databases, design of evaluations, quantitative data analysis and development of indicators.
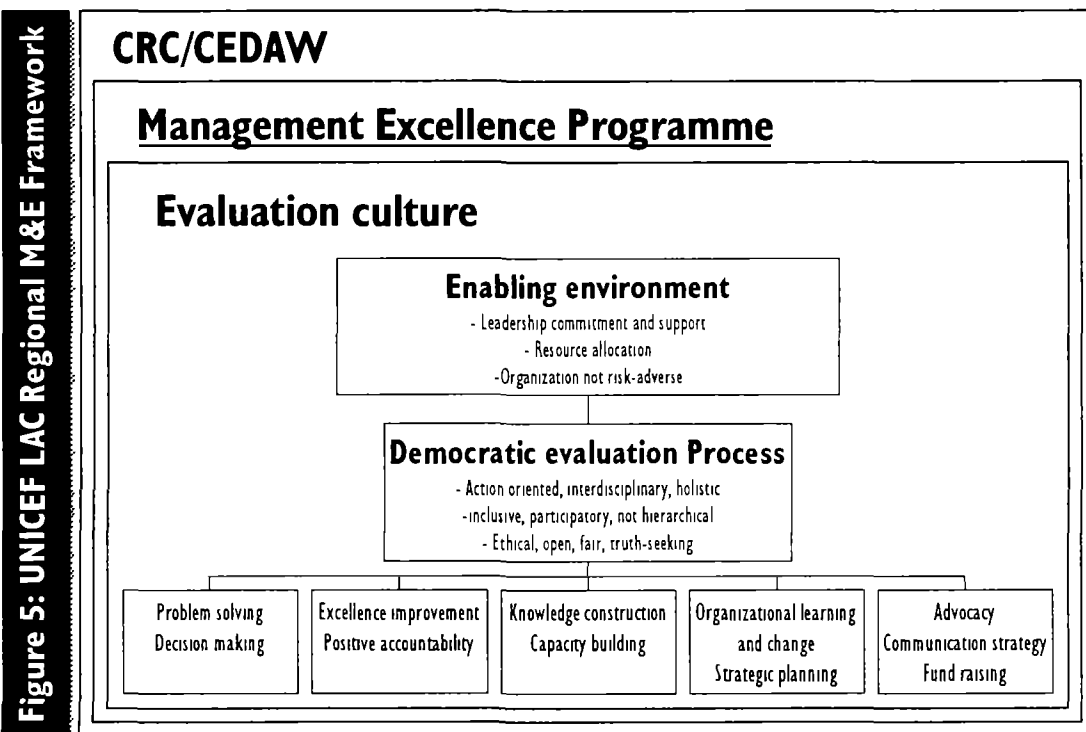
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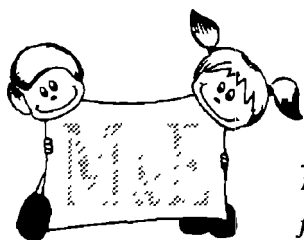
[1] *M&E Focal Point: a staff member who is the reference person in the office for facilitating and coordinating the Monitoring & Evaluation function*

From the results of the survey, it seems that in the Region there is quite strong technical knowledge and capacity at the theoretical level which is not efficiently transferred to practice The wealth of evaluation experience in COs allows us to affirm that there is a great potential for horizontal (Country Office - Country Office) cooperation, taking time limitations into account.

M&E plans in the Master Plan of Operation (MPO) are considered as a general framework with weak links to MPO objectives and indicators that are not well defined, and generally it is recognized that UNICEF makes limited use of lessons learned because they are not shared even among programmes and there is no mechanism for the incorporation of systematized experiences in the programme process

3.2 A Regional Monitoring & Evaluation Framework

As visually described in Figure 5, the Regional M&E Function should be developed in the context of the principles of the Convention of the Right of the Child (CRC) and the Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW), Management Excellence Programme (MEP) strategies and of a pro-evaluation culture. If an enabling environment is available, a democratic evaluation process can take

Figure 5: UNICEF LAC Regional M&E Framework

CRC/CEDAW

Management Excellence Programme

Evaluation culture

Enabling environment
- Leadership commitment and support
- Resource allocation
- Organization not risk-adverse

Democratic evaluation Process
- Action oriented, interdisciplinary, holistic
- inclusive, participatory, not hierarchical
- Ethical, open, fair, truth-seeking

| Problem solving Decision making | Excellence improvement Positive accountability | Knowledge construction Capacity building | Organizational learning and change Strategic planning | Advocacy Communication strategy Fund raising |

place with the aim of solving managerial and programme problems; achieving positive accountability and excellence, building knowledge to be used in advocacy, communication and fund raising strategies and activities, building evaluation capacity; strengthening the organizational learning and change process; and improving strategic planning

3.2.1 The rights approach to policy, programme and project evaluation[2]

The past twenty years have seen profound changes in international development Most significant among these is the emergence of human rights as the foundation for development. The new relationship between human rights and development entails certain changes in the way we think about development as well as the way we go about it Current efforts to approach development cooperation from the perspective of rights are rooted in a series of political and social trends that have dominated the international development scene since the early 1980s In addition, there is the extraordinary momentum behind the process of ratifying international human rights treaties, in particular the Convention on the Rights of the Child (CRC) and to a lesser extent the Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW). The growing acceptance of legally-binding, international human rights instruments has forged a new development ethic which grounds development firmly in rights. The CRC and the CEDAW give legal expression to the rights which all children and women possess by nature, and clarify the scope and content of the obligations which those rights create In ratifying these Conventions, the States Parties commit themselves to respecting the standards they establish. In tandem with this shift in the rationale for development there has been a shift in the definition of development Narrow economic definitions centered on GNP growth, the fulfilment of basic needs and utilitarian notions of "human capital formation" have given way to sustainable human development which focuses on securing access to good quality basic services in health. nutrition. education, family planning, and water and sanitation as a means for enabling people to live full and meaningful lives of their own choosing In this way, sustainable human development forces us to view the economic, political, social, and cultural dimensions of development as aspects of a whole It is thus a holistic vision of development. fully consistent with that of the CRC and the CEDAW This new definition of development, which is informed by human rights and puts people firmly at the center, is gaining credence Governments and international financial institutions increasingly recognize that expenditures on human development are not only sound economic investments but also obligations linked to human rights.

The specific human rights of women and children are need-based in origin and inspiration. The CRC in particular is a codification of interdependent and interrelated children's rights, all of which are need-based. Needs and rights are not at all antagonistic: in the CRC basic needs are expressed as social, economic, cultural and political rights. This marks an evolution: the fundamental change here is that meeting rights, unlike meeting basic needs, carries a sense of entitlement. Rights are due and collectable, while needs are not. According to the theory of inclusivity, the child now is seen as a citizen and rights-holder, and for this reason s/he is entitled to demand his/her rights. It goes beyond the charitable idea of needs, the concept of assistance. The evolution in attitudes to children from objects of charity to subjects of rights also means that they must be seen as people with an evolving capacity to participate in the processes that concern them and affect their lives. By ratifying the Convention, governments have committed themselves to seeing that these rights can and must be protected and fulfilled, by passing laws and developing programme and policies to this end.

The Committee on the Rights of the Child has emphasized the inseparability of children's and women's rights and the compatibility between the CRC and the CEDAW: "The Convention on the Rights of the Child and the Convention on the Elimination of All Forms of Discrimination against Women have a complementary and mutually reinforcing nature and they should be an essential framework for a forward-looking strategy to promote and protect the fundamental rights of girls and women and decisively eradicate inequality and discrimination".

In fact, the links between the two Conventions go beyond complementarity to a genuine symbiosis, related in large part to the fact that children's and women's well-being are very closely linked. For example, it is a well-established medical fact that a significant percentage of infant deaths —particularly those that occur within the first 28 days after birth— are attributable to the poor health and nutrition of the mother during pregnancy and in the immediate post-partum period. Also well-documented is the strong positive correlation between literacy for women and subsequent levels of girls' education. Women who have experienced the benefits of education themselves are much more eager to ensure their daughters are educated. Conversely, increasing girls' enrolment rates progressively serves to reduce the illiteracy rate among women. These examples demonstrate that addressing the rights of children requires attention to the rights of women.

This new child rights perspective has important and relevant implications for the evaluation function. Evaluating in the framework of the CRC —or from a rights perspective— means that in our evaluative work we must be mindful of the basic principles of human rights that have been universally recognized. The rights approach constitutes a perspective for understanding social relationships, for giving a specific sense of purpose to our efforts aimed at affecting the social order on behalf of children and women. As a perspective on the social order, the rights approach turns out to be like democracy, a world-view. At the same time it means that the child rights approach is not merely a set of rules or prescriptions, but a way to conceive social relationships. Consequently, the rights

approach has to affect primarily the way to carry out evaluation (processes, focuses, subjects, concepts, central topics). embracing what we have called a "democratic evaluation process"

When carrying out an evaluation, the CRC and CEDAW principles should be taken as a reference framework to guide our evaluation process. We should ask ourselves if the programme was planned and implemented according to the following CRC/CEDAW principles·

◆   Interdependence and indivisibility. One of the basic principles of international human rights law is the indivisibility and interdependence of rights The Committee on the Rights of the Child has pointed out that all rights are indivisible and interrelated, each and all of them being inherent to the human dignity of the child The implementation of each right set forth in the Convention should therefore take into account the implementation of and respect for many other rights of the child It means that no right is more important than another (although in specific circumstances it is possible that not all rights are given the same weight) and recognizes the interrelationship between the fulfillment of one right and that of another This case includes activities aimed at both the promotion of civil rights, such as that of having a name and nationality, and protection against exploitation and abuse. While no right can be ignored or disavowed, the principle of indivisibility does not mean that the activities programmed are not based on a detailed and careful analysis of the situation of children according to the specific characteristics of each country. Evaluation should assess how the programme affects the totality of child's integrity, and if the planning phase has analysed the situation in an holistic way Programmes must acknowledge and address the complex human needs of children and women. The survival and fullest potential development of a child depends on the convergence of several essential interventions, and not on sectoral approaches Traditionally, evaluation has focused disproportionally on economic and efficiency indicators. A rights perspective requires us to look critically at the economic approach, trying to understand the global causal relationship that brought about the violation of a child right, which includes an integral perspective regarding the national reality and environment. articulating economic. social. civil. cultural and political factors. recent changes or trends. and consideration of emerging problems pertaining to adolescents It is necessary to advance in dealing with some of the rights contained in the CRC which have not formed part of traditional programming practice in UNICEF. basically those referring to civil and cultural rights and the right to protection in the case of specific situations. such as the right to a name and nationality (Article 7). the right to freedom of thought (Article 14). the right to freedom of association and of peaceful assembly (Article 15). the right to freedom from arbitrary interference with the child's privacy (Article 16). the right to information (Article 17). the right to be protected from various forms of abuse, exploitation or negligence (Articles 32-34 and 37). the responsibility of parents and guardians (Article 18), adoption outside the country of origin (Article 21). social security (Article 26).

administration of juvenile justice (Article 40) and the diverse articles regarding family law.

◆ Universality This means that all human beings are born with inherent dignity and equality and there should be no exceptions in the interpretation of who should enjoy which rights. Every child and every women is entitled to have his/her rights respected and protected. In the evaluation process, this means that we cannot only analyse the numbers affected by problems, but we should disaggregate data according to urban and rural, ethnical, cultural, and social indicators, pointing out visible inequalities and local situations and realities where children's and women's rights are not protected and respected

◆ Non-discrimination All children have the same opportunity to develop their potential, whatever their attributes, such as race, color, sex, language, opinion, origin, disability or any other In relation to this principle, gender is of vital importance as an analytical category that can permit identification of discrimination, subordination, undervaluation, and invisibility of girls and women due to various causes.

◆ Best interest of the child. This must be the first principle in all evaluations regarding programmes for children This principle guides the development of a culture that is more equal and more respectful of the rights of all individuals, and that possesses the following characteristics it is a guarantee, since all decisions concerning children must consider primarily their rights, it is of great scope, as it obligates not only legislators but also all authorities, public and private institutions, and parents, it is a regulation for interpretation and/or resolution of litigation: finally, it is

Box 6: Changes of Emphasis for Working with the Rights Approach

FROM	TO
Ethical statements	Binding commitments
Basic needs	Rights
Verticality	Horizontality
Government policy	Public policy
Civil society as an option	Civil society and the private sphere as constituent elements of social relations
Assistance	Investment in institutions and cultural practices for development
Centralization	Decentralization
Sectorial approach	Intersectoriality
Individuals	Families
Representation	Participation
Supply programming	Demand programming

Source: UNICEF TACRO, The Rights Approach to Policy and Programme Development.

an orientation or guide for evaluating public policy, programmes and projects, permitting orientation of evaluation action towards harmonious development of the rights of all individuals, children and adults.

This new children's and women's rights approach has important and relevant implications for evaluation. We tried to analyse the evaluation function in UNICEF Latin America and the Caribbean from the rights perspective and found, in addition to the above implications, the following ones

◆ <u>Support for the creation and strengthening of a culture of rights</u> Judgement of the programmes's relevance should refer to the extent to which programme processes constitute a direct contribution to the creation of a culture of rights. Evaluation should assess whether the programme/project was oriented towards the need to advance in the creation and strengthening of a culture that conceives children and adolescents as full subjects of rights, that is, a culture that recognizes children as citizens, as full holders of rights, and not as objects of programmes, intervention or treatment. This means inclusion of their priorities and expectations when contributing to the development of a policy or when designing the corresponding programme In dealing with fulfillment of rights it would be necessary to see how any action clearly responds to: a) the fulfilment of specific rights, b) the continued building up of public consciousness and public commitments regarding a social order based upon rights, based upon the human rights of children, adolescents and women, c) the improvement of institutional responses to demands, and d) the involvement of civil society, families and children, qualifying their competency to express the demand for fulfillment of rights Programmes will need to be relevant and deal with aspects relating to the institutionality of the rights of the child, the nature of the values and cultural practices relating to the defense and guarantee of rights, the situation and the possibility of influencing the emotional responses of the population with regard to the rights, and the study of administrative mechanisms and procedures relating to fulfillment of the rights of the child

◆ <u>A focus on the whole child and woman.</u> The comprehensive scope of the rights outlined in the CRC means that in promoting child rights we need to look beyond physical well-being to understand and respond to the emotional, intellectual, social, and cultural needs of all children under 18 years of age This approach is generating much greater attention to society's youth —adolescents between the ages of 13 and 18 Similarly, the broad scope of the CEDAW forces us to recognize and value the multiple roles women play in society —as decision-makers, farmers, members of the labour force, managers, community activists— and not only as mothers

◆ <u>New social actors: civil society and the family</u> To date, the issue of civil society has been presented as a matter of choice, of usefulness or of strategic alliance In reality, we are seeing a process in which the non-governmental sphere appears

increasingly as a basic part of what is public, an environment in which the processes of society constitute a basic element of the articulation of social relationships Asking about values, opinions or feelings with regard to the rights of the child increasingly leads to examining the views, demands and proposals of civil society. It is becoming more evident that the formulation and implementation of tributary programmes will not be sustainable if they do not take civil society into account, simply because what is private is becoming an essential element of social organizations. The problem of the rights approach can no longer be formulated solely with regard to the institutional structure and mechanisms pertaining to the articulation of the government. The other half of the problem, and in some countries much more than half, has to do with the sphere of civil society Voluntary associations, what is usually called the private sector, religious institutions (especially those that express grassroots religious manifestations), trade unions, professional societies, minority group organizations, organizations that are expressions of diversity, and the communications media must, among other important manifestations of social organization, be regarded as basic social actors A programme that only marginally refers to this dimension of social life may overlook one of the most basic elements of the current and foreseeable environment In particular, lack of attention to this constituent element of today's societies would greatly weaken the capacity of a programme to deal with the area of children's and women's rights From the rights perspective, the family should strengthen its position as a referent of public policy. Possibly in accordance with the trend towards strengthening what is private and non-governmental it will be necessary to make a new effort aimed at creating the conditions necessary for the family to recover functions that have been gradually transferred to the public-governmental sphere. Thus, as the family is an actor that holds many rights, it can recover the right to be one of the most effective social agents for affirming the rights of the child

◆ Children's and women's participation. Both the CRC and the CEDAW attach great importance to the right to participation —the right of children and women to be agents of their own development This means not only that the strategies for promoting any particular set of rights must be participatory, involving children and women in meaningful and appropriate ways, but also that effective participation of children and women in their own development should be viewed as an objective in itself. The position of the child with regard to the mechanisms and processes for participation in the issues which concern him or her should be analysed from the point of view of his or her civil rights Equally, it will be necessary to examine the problems of equal opportunity, equity and access from the point of view of economic, social and cultural rights

◆ From results and outputs to processes It is also essential to change approaches and move from monitoring and evaluation systems based on "results and output" to the consideration of processes, since the achievement of rights takes place over

medium-term and long-term periods, the results of which are difficult to measure and quantify. Many strategies, such as participation, empowerment and capacity building, are processes of fundamental importance to the child rights approach.

3.3 A Regional Monitoring & Evaluation Strategy

In the context of the Regional Monitoring & Evaluation Framework, and taking into consideration the Regional baseline on evaluation practices and culture, and the recommendations developed during the Workshop on Programme orientation, process and guidance held in New York in June 1997, the following Regional strategic lines have been developed:

◆ <u>Strengthening of the evaluation culture and enabling environment</u> For UNICEF to improve its evaluation function, the organization has to develop an enabling environment (see page 17) (leadership commitment and support, resource allocation and no risk-adverse environment) and an evaluation culture (see page 16)

◆ <u>Improving M&E integrated planning and implementation</u> M&E should be an integral part of the planning process: when an office is planning its Country Programme, it has to integrate M&E elements to assure monitoring and evaluation of the CP. IMEP (Integrated M&E Plan) can be an effective instrument to facilitate this process

◆ <u>Strengthening of technical capacity.</u> Once the organizational environment demands and is willing to implement the planned M&E function, technical capacity is needed to carry out M&E activities The Regional Office organizes Regional M&E Workshops and Training, and Country Offices should facilitate technical capacity building for UNICEF officers and allies

◆ <u>Information and knowledge sharing</u> M&E focal points should be continuously updated regarding new methodologies, new techniques, new M&E directions and experiences, and new external and internal technical capacity building opportunities This function is being developed through the Regional M&E Electronic Network, with about 60 participants from all over the Region and from intersectorial areas, facilitated by the Regional Office

◆ <u>Developing methodologies to evaluate new emerging areas</u> UNICEF is quickly shifting from being a service delivery organization to being a knowledge center, moving towards new strategies and objectives. This global and regional shift places pressure on UNICEF to investigate, test and implement new methodologies and

techniques for evaluating emerging areas such as capacity building, advocacy and children's participation, and to translate the CRC/CEDAW principles into implemention tools for M&E

◆ <u>Strengthening democratic evaluations</u> Democratic evaluation (see page 27) is a strategic process for improving evaluation culture and practices within an organization ◆
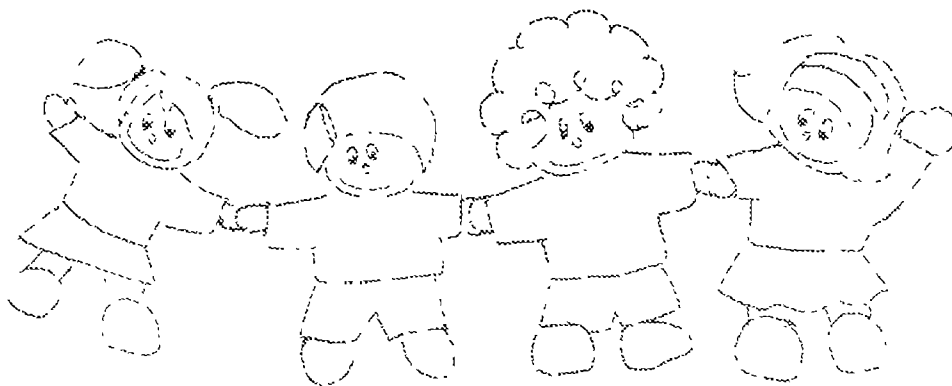
Acronyms

CO	Country Office
CEDAW	Convention on the Elimination of All Forms of Discrimination Against Women
CRC	Convention on the Rights of the Child
EVALTALK	American Evaluation Association list server
IDB	Inter-American Development Bank
IMEP	Integrated Monitoring & Evaluation Plan
LAC	Latin America and the Caribbean
LFA	Logical Framework Analysis
M&E	Monitoring & Evaluation
MEP	Management Excellence Programme
NGO	Non Governmental Organization
QA	Quality Assurance
QC	Quality Control
TACRO	UNICEF Regional Office for Latin America and the Caribbean
Rep	Country Representative
UN	United Nations
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund

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ANNEX I: International electronic networks relevant to evaluation and management

An electronic network —or list server or discussion list— is a virtual network where people from all over the world can write electronic messages (e-mail) to discuss and exchange opinions, ideas and experiences about topics and issues of common interest. It's a very practical, economic and effective way to always stay up-to-date with what is going on in other organizations and countries Generally, academics, officers of national and international organizations, independent experts and people interested in the issue are members of these networks To join one of the following selected international networks on evaluation and management you do not need to be an expert in computer or in the topics discussed You can be a passive member (you only receive messages, but you are not obliged to reply) and you just need to have access to e-mail You don't have to pay any subscription fee to become a member of one of the following networks
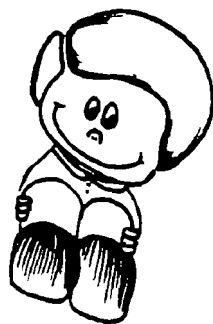
A. Evaltalk: American Evaluation Association

An open, unmoderated list for general discussion of evaluation and associated issues sponsored by the American Evaluation Association EVALTALK was established to provide a vehicle for open discussions concerning evaluation issues

Although sponsored by the American Evaluation Association (AEA), the list is open for use by anyone. To subscribe to EVALTALK, send e-mail to **listserv@ua1vm.ua.edu** The body of the message should read:

SUBSCRIBE EVALTALK FirstName LastName

Replace the terms FirstName and LastName with your first and last names. You will be automatically added to the list and will be sent a copy of the current information file. If you do not receive an acknowledgement from EVALTALK within a reasonable time, check with your local computer resource personnel to see if your local mailer provided your valid e-mail address on submissions to LISTSERV If you still cannot subscribe, send a request explaining the problem to **eal@ua1vm.ua.edu** (the Evaluation and Assessment Laboratory at The University of Alabama). Be sure to include your correct e-mail address in the request

B.   XC-EVAL: Cross-cultural and international evaluations

XC-EVAL is a network of evaluators and researchers interested in developing country and cross-cultural issues We are an informal discussion group with the following objectives, core areas of interest, and types of participants.

Objectives: The main purpose of this network is knowledge and information sharing We aim to provide a forum to facilitate and stimulate debate, discussion and problem solving We also wish to provide a tool, especially for Third World members, to access information on our core areas of interest which they might otherwise find difficult to obtain. At the same time, the network will enable developed country members to contact people in the field working on their areas of interest, provide a window on the problems being faced, and encourage participation in finding solutions

Core Areas of Interest: Our core umbrella topics are evaluation and research issues with a developing country or cross-cultural dimension We also provide a forum for broadcasting conference and training opportunity announcements, as well as requirements for consultancy services in these areas Recent postings have also included the following the broadcasting of study plans and protocol for peer review; exchanges of information between countries in assessing the relative risks of child mortality from vertically transmitted HIV and (lack of) breastfeeding, problems in administering survey questionnaires to nomadic population in areas with security problems (an oasis in Somalia may be mined); refugee epidemiology, and evaluation of post-conflict orphan reunification programs

Types of Participants: We are an inclusive network, open to anyone who is interested and has access to e-mail services We have no institutional affiliation and all members are members in their own personal right, rather than as members or employees of any institution or organization Our membership is growing rapidly and the composition may change somewhat over time.

Currently, about three-quarters of members are working in the Third World in an evaluation or research capacity Institutionally, their membership is roughly equally divided between United Nations organizations, especially UNICEF, non-governmental organizations, universities, and research institutes

XC-EVAL is based at Western Michigan University, home of The Evaluation Center. The following is a brief description of the commands that the mailserver implements:

Subscribe:

In order to subscribe to XC-EVAL, send a message saying
"SUBSCRIBE XC-EVAL FirstName LastName" to the following address:
mailserv@listserv.cc.wmich.edu

C. PREVAL: electronic network on project's evaluation

The principal objective of this network is to exchange information and knowledge about evaluation of rural projects: experiences, methodologies, and information about publications and events. The electronic network on project's evaluation is a strategy of the Preval's objective of strengthening institutional capacity in Latin America and the Caribbean to evaluate projects for the alleviation of rural poverty.

To subscribe to the network, you have to send a message to **listserv@conicyt.cl**

This message has to exclusively say the following

subscribe preval FirstName LastName

Example of the message subscribe preval Juan Perez

D. AELA-NET:
Electronic network on evaluation in Latin America

AELA-NET is an open and no moderate network with the objective of discussing general issues regarding evaluation in the Latin America context

This network is supported by the Evaluation Centre of the Western Michigan University. with the funding of the W K Kellogg Foundation To subscribe. send the following message to **aela-net-request@wmich.edu**

SUBSCRIBE AELA-NET FirstName LastName

Message example SUBSCRIBE AELA-NET Marco Segone

E.   EGAD List: Program evaluation, statistics and methodology list

To send a message to all the people currently subscribed to the list, just send mail to **egad@listserv.arizona.edu** This is called "sending mail to the list", because you send mail to a single address and LISTSERV makes copies for all the people who have subscribed This address **egad@listserv.arizona.edu** is also called the "list address". You must never try to send any command to that address, as it would be distributed to all the people who have subscribed. All commands must be sent to the "LISTSERV address", **listserv@listserv.arizona.edu**   It is very important to understand the difference between the two, but fortunately it is not complicated The LISTSERV address is like a FAX number that connects you to a machine, whereas the list address is like a normal voice line connecting you to a person If you make a mistake and dial the FAX number when you wanted to talk to someone on the phone, you will quickly realize that you used the wrong number and call again. No harm will have been done. If on the other hand you accidentally make your FAX call someone's voice line, the person receiving the call will be inconvenienced, especially if your FAX then re-dials every 5 minutes. The fact that most people will eventually connect the FAX machine to the voice line to allow the FAX to go through and make the calls stop does not mean that you should continue to send FAXes to the voice number People would just get mad at you It works pretty much the same way with mailing lists, with the difference that you are calling hundreds or thousands of people at the same time, and consequently you can expect a lot of people to get upset if you consistently send commands to the list address.

F.   LEARNING-ORG List

The "Learning-org mailing list" is a flow of messages over the Internet There is a list of subscribers and all subscribers receive all the messages Our robot keeps track of subscribers and distributes the messages To add your contribution to the flow, you send a simple e-mail message to our address and the robot takes care of everything else This is available to anyone who can send and receive Internet e-mail messages

We focus on practitioners, i e those working to build learning organizations, but our group is very diverse Most of our messages are thoughtful and inquiring Our aim is that the discussion on this mailing list be conducted in the spirit of learning and exploration Messages with an authoritarian tone are discouraged and "flaming" is not permitted. In other words, we are conducting a dialogue about building learning organizations, and you are welcome to join us

The Learning-org list was launched in June 1994 and now has a large number of participants. This a world-wide facility, with strong international representation English is the primary language for Learning-org

Subscribing to Learning-org: The mailing list is handled by Majordomo, our faithful robot, no human action is involved in list maintenance. But Majordomo only understands certain commands. Follow this example carefully. To subscribe for "individual messages" send an e-mail to: **majordomo@world.std.com**

The subject line is ignored; begin the message with two lines

> subscribe learning-org
> end

G. The Association of Management and the International Association of Management (AoM / IAoM)

The following is a list AoM Listservers. You can subscribe to any of these lists by following these steps:

① Send Message to **Listproc@sting.isu.edu** to add yourself to the appropriate listserver

NOTE: When mailer is accessed, leave Subject blank

② Type the following in the body of the message: subscribe 'NAME OF LIST' 'YOUR NAME'

Example: subscribe AoM-Bus@sting.isu.edu John Doe

NOTE. You should receive an acceptance message from the server shortly. To use any of the lists below, you must first follow the steps listed above.

◆ **LISTSERVER NAME**   AoM-OrgMgmt
   MAILING ADDRESS   AoM-OrgMgmt@sting isu.edu
   AoM DIVISIONS/REGIONS   Organizational Management

◆ **LISTSERVER NAME**   **AoM-HRM**
   MAILING ADDRESS   AoM-HRM@sting isu edu
   AoM DIVISIONS/REGIONS   Human Resources Management

◆ **LISTSERVER NAME**   **AoM-Ldrshp**
   MAILING ADDRESS   AoM-Ldrshp@sting isu edu
   AoM DIVISIONS/REGIONS   Leadership and Leaders

ANNEX 2: Internet Websites Relevant to the Evaluation of Development Programs and Projects[1]

American Evaluation Association
## <www.eval.org>

The Home Page of the American Evaluation Association (AEA), an international professional association of evaluators devoted to the application and exploration of program evaluation, personnel evaluation, technology, and many other forms of evaluation. Website contents AEA Electronic Lists, AEA Publications, AEA Guiding Principles for Evaluators, AEA Annual Meetings, other Conferences/Calls for Papers, AEA Job Bank, other sites of interest to Evaluators

Australasian Evaluation Society
<http://203.32.109.1/aes/>

This is a professional organisation for evaluation practitioners, with the aim of improving the theory, practice and use of evaluation. Website contents Publications, networks, conferences, annual awards, and meeting fellow practitioners.

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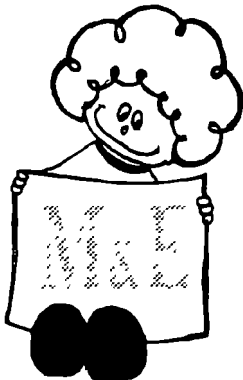
[1] Internet is changing very quickly If you are aware of new websites on M&E, please inform the author of this *Working Paper* at <msegone@unicef org>

Canadian Evaluation Society
<www.unites.uquam.ca/ces/ces-sce.html>

This is dedicated to the advancement of evaluation for its members and the public. Website contents The Canadian Journal of Program Evaluation, other publications, CES 1998 Conference, Future and Past Events and Professional Development

Development Assistance Committee (DAC) Expert Group on Evaluation <http://minweb.idrc.ca/cida/dacloge.htm>

This website contains a list of evaluation abstracts that various international development organizations have agreed to make available to the general public. The site is managed by the Canadian International Development Agency (CIDA) in conjunction with the International Development Research Centre (IDRC) The site will be updated on an ongoing basis as new abstracts become available. Should users wish to obtain a copy of an actual evaluation report they should request this from individual contributors. A list of contacts within each contributing organization is available through the Contacts page.

Danida's Evaluation Unit
<www.ing.dk/danida/danida.html>

The responsibility of Danida's Evaluation Unit is to assist in maintaining and improving the quality of Danish aid. Website contents: evaluations reports on poverty reduction, social infrastructure, economic infrastructure, production sectors and programme assistance.

ERIC Clearinghouse on Assessment and Evaluation
<http://ericae.net>

The ERIC Clearinghouse on Assessment and Evaluation seeks to provide balanced information concerning educational assessment and resources to encourage responsible test use Website contents Assessment & Evaluation on the Net on Action Research. Achievement Data. Alter Assessement, College Test Programs, Computer Assistance. Definitions. Demographics. Disabilities, Early Childhood, Fairness in Testing, Goals & Standards. Higher Education. Institution & Program Evaluation, International Educational Evaluation. Journals. Newsletters & Reports. Listservers. Math & Science, National Tests Organizations. Outcomes-Based Education. Pedagogy Education Measurement, Personnel Evaluation. Professional Standards. Qualitative Research. Research Support. Resources for Internet Search. Software Resources Online, Statistics, Test Construction. Test Descriptions. Test Preparation. Test Publishers, Test Reviews

European Evaluation Society (EES)
<www.europeanevaluation.org>

The society's primary goal is to promote theory, practice and utilization of high quality evaluation especially, but not exclusively, within the European countries. This goal is obtained by bringing together academics and practicioners from all over Europe and from any professional sector, thus creating a forum where all participants can benefit from the co-operation and bridge building The site offers a newsletter, coming events, professional networks and links.

Evaluation Center of the Western Michigan University
<www.wmich.edu/evalctr/>

The Evaluation Center, located at Western Michigan University, is a research and development unit that provides national and international leadership for advancing the theory and practice of evaluation as applied to education and human services. Website contents Evaluation Bibliography, Directory of Evaluators, Instruments, Models and Tools, Organizations.

Evaluators' Institute
<www.erols.com/cwisler/>

The 1997 program was endorsed by the Board of Directors of the American Evaluation Association as a service to the AEA membership and others interested in advancing the profession of evaluation Website contents training courses

Fidamerica's Virtual Library

<http://fidamerica.conicyt.cl:84/bvirtual/>

This is a virtual library containing books, magazines, articles and unpublished documents on evaluation Only in Spanish.

German Evaluation Society (Deutsche Gesellschaft für Evaluation e.V.)
<http://www.fal.de/~tissen/geproval.htm>

This site, only in German, offers a presentation of the German Evaluation Society, a program of future events, a bibliography and related links in Germany, Europe and world-wide

IFAD Office of Evaluation and Studies
<www.ifadeval.org>

The Evaluation Knowledge System, EKSYST, was conceived as a tool to generate, store and share evaluation-related information. So far, only parts of EKSYST have been incorporated into this Web site. It contains some lessons learned from project and programme evaluations that the OE has conducted

Inter-American Development Bank (IDB), Evaluation Office
<http://www.iadb.org/evo/evo_eng.htm>

The Evaluation Office is responsible for the evaluation of strategies, policies, programs, projects, including projects in execution, and systems, and for the dissemination within the Bank of evaluation findings The website presents the Evaluation office mission, a summary of special documents on evaluation, IDB annual reports on evaluation.

International and cross-cultural Evaluations
<www.wmich.edu/evalctr/ICCE/>

The International & Cross-Cultural Evaluation Topical Interest Group (I&CCE) is an organization that is affiliated with the American Evaluation Association. The purpose of the I&CCE is to provide evaluation professionals who are interested in cross-cultural issues with an opportunity to share their experiences with each other Website contents· Announcements, Annual Report, Papers presented at I&CCE sponsored sessions, links to international organizations, Directory of I&CCE members.

Italian Evaluation Association (Associazione italiana di Valutazione)
<www.valutazione.it>

This site. in Italian. offers the association program, the Italian evaluation review and an overview of Italian societies and institutions that carry out evaluation

Jossey-Bass Publishers
<www.josseybass.com>

At this website. you'll find many books and documents on Monitoring & Evaluation Search function is available

MandE News

<www.mande.co.uk/news.htm>

A news service oriented towards Non-Governmental Organisations (NGOs), designed to be accessible by e-mail (hence minimal graphics). Focusing on developments in monitoring and evaluation methods that are relevant to development projects with social development objectives. Website contents· coming events, new documents, editorial, information wanted, people wanted, book reviews, update service, M&E resources elsewhere on the World Wide Web

Preval

<www.fidamerica.cl/preval.htm> and <www.iica.ac.cr/english/index.htm>

Programme for strenghtening the regional capacity for evaluation of rural poverty alleviation projects in Latin America and the Caribbean Contents: Preval's objectives, first electronic workshop on evaluation of rural poverty alleviation projects in Latin America and the Caribbean, Preval's newsletter, glossary of key terms for evaluation of rural development projects, bibliography on project's evaluations, and a directory of evaluators and institutions working in the evaluation area.

Sage Publications

<www.sagepub.com>

Sage Publications, Inc is a leading international publisher of books, journals, software, newsletters, university papers, and annual series on evaluation Here you can find several good books on this subject

SIDA (Swedish International Development Cooperation Agency), Evaluation office

<www.sida.se/eng/infotek/eval/evaluation.html>

SIDA uses evaluation as a tool for management and learning. Providing information about the results of Swedish development cooperation to the general public and its elected representatives. evaluation also serves the purpose of accountability Available on the site are the evaluation newsletter. evaluation plan and evaluations and studies carried out in 1996 and 1997

UK Evaluation Society
<www.evaluation.org.uk>

This site is dedicated to supplying Society members (or anyone interested in the subject) with the latest evaluation news, information and reference material. Website contents about the UK Evaluation Society, Training and Professional Development activities, links to other Evaluation sites, UKES Newsletter and 1998 UKES Annual Conference.

UNDP, Evaluation Office
<www.undp.org/undp/eo>

The Evaluation Office (EO) is responsible for overall evaluation policy within UNDP, development of evaluation methodologies and guidelines, and the conduct of thematic and strategic evaluations It also provides guidance and technical support for project-level evaluations, the summaries of which are recorded in the central evaluation database (CEDAB) Website contents: evaluation reports, Monitoring & Evaluation methodologies, capacity building in Monitoring & Evaluation.

UN, Office of Internal Oversight
<www.un.org/depts/oios/>

The Office of Internal Oversight Services (OIOS) was created by the United Nations General Assembly in 1994 (Resolution 48/218B) to establish a credible, effective, and permanent system of oversight of UN operations. It incorporates all major oversight functions. internal audit and management consulting, programme evaluation and monitoring; inspection and investigations

UNICEF, Research and Evaluation
<www.unicef.org/reseval>

You can find out more about EPP (Evaluation, Policy and Planning). including where it fits in UNICEF, its on-going activities and some highlights of its work. In these pages, UNICEF will also keep you up-to-date on the results of policy analysis and research, as well as on the methodologies developed and used. The latest statistical data on children and women are provided including national level statistics, global comparisons and explanations of key indicators UNICEF posts the latest and back issues of its newsletter on evaluation, policy and planning, which is designed as a vehicle for generating debate. for dialogue between policy and practice. for exchange of ideas from country to country. for discovering resources available inside and outside of UNICEF Links to related websites can also be found here

USAID, Evaluation publications
<www.info.usaid.gov/pubs/usaid_eval/>

USAID's Center for Development Information and Evaluation (CDIE) publications for the 1996 calendar year are provided here arranged by CDIE publication series title Website contents: impact evaluations, performance Monitoring & Evaluation tips, program and operations assessments reports. special studies, reengineering best practices, USAID evaluation highlights, USAID evaluation news, USAID managing for results. Win-Win approaches to development and the environment. evaluation publications list 1996.

WFP, Evaluations and studies
<www.wfp.org/op_eval_home.html>

Website contents: School Canteen projects in West Africa. Country Programme Evaluation - Bolivia, Summary Evaluation Report - Guatemala Project 2587.

World Bank, Operations Evaluation Deptartment
<www.worldbank.org/html/oed/index.html>

The Operations Evaluations Department (OED), an independent evaluation unit reporting to the World Bank's executive directors, rates the development impact and performance of all the Bank's completed lending operations. Results and recommendations are reported to the executive directors and fed back into the design and implementation of new policies and projects. In addition to the individual operations and country assistance programs, OED evaluates the Bank's policies and processes OED publishes evaluation studies, impact evaluations, OED Précis, and Lessons & Practices On occasion, OED staff and consultants contribute individually to series published by the World Bank This website is very rich and interesting· you can easily find what you need through the search function ◆
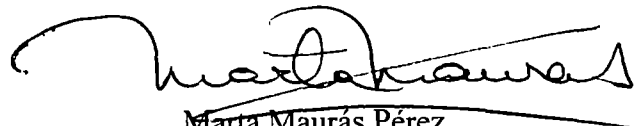
June 22, 1998

Dear colleagues,

I have the pleasure of presenting you our third *Working Paper*, titled "Democratic Evaluation: A Proposal for Strengthening the Evaluation Function in International Development Organizations" written by Marco Segone.

This paper analyses the evolution of evaluation thinking and practices, trying to distinguish evaluation from monitoring, audit, performance measurement, quality assurance and research. Studying the development of evaluation theory, the paper concludes with a proposal for a democratic approach to evaluation, a highly participatory and empowerment evaluative process centered on people that gives stakeholders the capacity to understand and carry out a self-evaluation to improve their living conditions.

If we accept the concept that democracy is a vision of the world, a way to think, to feel and to act that we can practice and live, a perspective for understanding and improving human and social relationships, then democratic evaluation is a new way to approach the evaluation function, where the goals are to understand, to learn, to be self-accountable, to improve our own performance, efficiency and effectiveness; and the process is one where stakeholders have full control of their evaluation, where they are the evaluators who plan, carry out, internalise and follow-up on the evaluation findings, lessons learned and recommendations.

This paper also proposes a Regional M&E Framework and an analysis of the rights approach to policy, programme and project evaluation; asking what the implications are for UNICEF?

Finally, two annexes are included, to strengthen knowledge acquisition and sharing within the Evaluation issue: one on list servers and electronic discussion lists, and another on websites relevant to evaluation.

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for Latin America and the Caribbean

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