UGANDA EVALUATION STANDARDS

QUALITY ASSURANCE OF DEVELOPMENT EVALUATION

Foreword

The evaluation discipline in Uganda is steadily growing in recognition of the need to determine the exact effects of development programmes and policies on the population. All institutions, whether in the public or private sector, are increasingly interested in rationalizing available resources so that the most strategic interventions are implemented. Knowing what works or does not can only be determined through implementation and dissemination of timely and credible evaluations. The National Policy on Public Sector Monitoring and Evaluation of 2011 provides a platform for Civil Society Organizations and private sector to participate more actively in the evaluation field to aid decision making at various levels.

The Uganda Evaluation Association, a non-profit non-governmental organization, brings together evaluation practitioners whole sole aim is to promote the practice, use, quality and ethics of Monitoring & Evaluation in Uganda's development process. Quality evaluations provide credible and useful evidence that strengthens accountability for development results as well as enhancing organization learning.

The Uganda Evaluation Standards, developed through consensus among UEA members, are intended to serve as an inspiration for improved evaluation practice in Uganda. They provide guidance on five standards: Utility; Feasibility; Quality and Precision; Ethical Conduct and Capacity Development. The standards can be used on their own or in combination with other international evaluation standards and guidelines. The standards were officially launched for use on 25th November 2013.

We thank the international peer reviewers Mr. Derek Poate the UK Evaluation Association President, Professor Reinhard Stockmann of Saarland University Germany and Ms. Johanna Pennarz of GIZ, the Ugandan reviewers and working committee who added great value to the technical content of the Standards.

Margaret Kakande
President, Uganda Evaluation Association

Contents

Preamble

The Uganda Evaluation Standards (UES) are copyrighted by the Uganda Evaluation Association (UEA). The UEA was registered in 2002 as a professional evaluation association and national chapter of the African Evaluation Association (Afrea). The mission is *"to promote the practice, use, quality and ethics of Monitoring & Evaluation in Uganda's development process"*. The vision is *"to be the leading professional evaluation association in Uganda"*. Ultimately, the UEA seeks to bring together and develop a community of evaluators in Uganda who are skilled and conduct evaluations following agreed standards and norms that are in line with international practice.

The Uganda Evaluation Standards, developed and endorsed by evaluators in Uganda for the first time in 2013, provide guidance on how evaluation professionals and users should behave, what concepts and practices evaluators should use, the benchmarks their products should meet, and the outcomes they should achieve. The eminent professionals who were involved in preparing the Standards and the peer reviewers are annexed. The standards are in conformity with the African Evaluation Association (Afrea) Guidelines and the good practices endorsed by the International Organization for Cooperation in Evaluation (IOCE).

The standards shall guide the professional practice of all evaluators working in Uganda; and inform evaluation clients and the general public about the standards that they can expect to be upheld by professional evaluators. The standards will be periodically evaluated and reviewed to bring on board emerging practices and trends in the field of evaluation. Where applicable and relevant, the UEA will strive to engender the evaluation processes and promote gender sensitivity in the development programmes that are under evaluation.

The standards shall be promoted by the UEA through a number of mechanisms including but not limited to:

1) Wide dissemination and lobbying for increased use of the Standards by the public and private sectors, research and academia, and non-government organizations.
2) Lobbying for the UEA and the standards to be recognized by Government.
3) Promoting the use of independent peer review of reports for quality control and assurance.

4) Making evaluation data and materials generated by UEA members more easily accessible online
5) Gradually encouraging evaluation practitioners to belong to UEA as a quality assurance measure; in the long-term, an accreditation system for evaluators in Uganda will be developed and enforced based on these standards and a competence framework.

1.0   Evaluation Context

Evaluation is defined in different ways, depending on the subject matter, applied methodology or the application of its results. In these standards, the definition of Evaluation in the National Policy on Public Sector Monitoring and Evaluation 2011 by the Office of the Prime Minister Uganda is adopted:

"Evaluation is an assessment, as systematic and impartial as possible, of an intervention and its contribution to global objectives. It focuses on expected and achieved accomplishments, examining the results, chain processes, contextual factors and causality, in order to understand achievements or the lack therefore. It aims at determining the relevance, impact, effectiveness, efficiency and sustainability of the interventions and the contributions of the implementing bodies. An evaluation should provide evidence based information that is credible, reliable and useful, enabling the incorporation of findings, recommendations and lessons into the decision making processes of the implementing agencies. Evaluation should feed into management and decision making processes, and make an essential contribution to managing results".

Cognizant of the diversity in the evaluation discipline, the standards are broad enough to cover all kinds of evaluations. Depending on the type of evaluation to be undertaken, all evaluations should be conducted in a timely manner to meet the needs of the clients. The Standards shall apply to the following, among many other types of evaluations:

- Ex-ante, mid-term and ex-post evaluations
- Internal and external evaluations
- Ongoing evaluations
- Thematic evaluations
- Policy, program and project evaluations

- Process, outcome and impact evaluations
- Strategic evaluations
- Operational evaluations
- Public and private evaluations

Evaluation capacity development will target four categories of audiences:

i. Evaluation practitioners in UEA and other evaluation units that design, implement, analyze and disseminate evaluations.
ii. Commissioners and funders of evaluations
iii. Evaluation users
iv. The general public

2.0   Purpose of the Evaluation Standards

The evaluation practice is relatively new in Uganda. The country has nascent technical evaluation capacity that has to be nurtured. The commissioners of evaluations and evaluators both have capacity inadequacies. The primary purpose of the Uganda Evaluation Standards is to *"enhance professionalism in undertaking, disseminating and using evaluations in Uganda".*

The key objectives of the Evaluation Standards are to:

1) Contribute to improving policy and program design, implementation and impact through improved specification of intervention logic, planned results and evaluability.
2) Promote and enhance the status, management and good practice of evaluation as a profession.
3) Promote capacity development of evaluators, commissioners of evaluation and professional societies
4) Protect evaluators, participants and the public from unprofessional practices in evaluation.
5) Help build a culture for ethical evaluation

Five Standards

S1. Utility

Ensure that the evaluation is useful and will serve the information needs of intended users and owned by all stakeholders.

S2. Feasibility

Ensure that the evaluation is participatory, realistic and efficient.

S3. Quality and Precision

Ensure that the evaluation results answer the evaluation questions that were set at the onset. The evaluation should collect technically relevant data, demonstrating efficiency, effectiveness, relevance and impact of project, program and policies to be evaluated. The data collection and analysis methods should be professionally suitable, with a high level of relevance, validity and reliability of the information used and resulting from the evaluation.

S4. Ethical Conduct

Ensure that the evaluator upholds ethics and integrity and safe guards the rights and well being of stakeholders involved in the evaluation or affected by its findings. The evaluation should be inclusive.
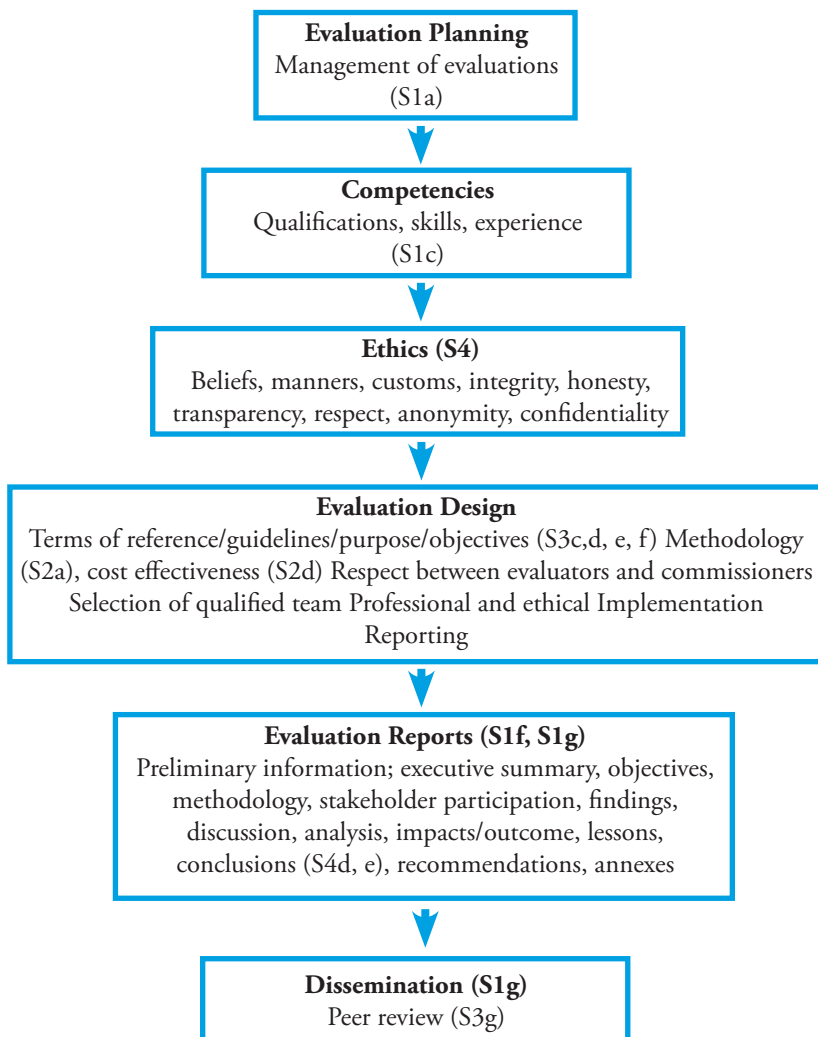
S5. Capacity Development

Ensure that the capacity of evaluators and commissioners of evaluations is continuously upgraded to reach the desired competencies.

3.0   Evaluation Conceptual Flow

This framework provides key processes (work flow) of implementing the Uganda Evaluation Standards. Reference is made to the relevant standards which are arranged thematically in the next section 4.0.

Evaluation Planning
Management of evaluations
(S1a)

⬇

Competencies
Qualifications, skills, experience
(S1c)

⬇

Ethics (S4)
Beliefs, manners, customs, integrity, honesty, transparency, respect, anonymity, confidentiality

⬇

Evaluation Design
Terms of reference/guidelines/purpose/objectives (S3c,d, e, f) Methodology (S2a), cost effectiveness (S2d) Respect between evaluators and commissioners Selection of qualified team Professional and ethical Implementation Reporting

⬇

Evaluation Reports (S1f, S1g)
Preliminary information; executive summary, objectives, methodology, stakeholder participation, findings, discussion, analysis, impacts/outcome, lessons, conclusions (S4d, e), recommendations, annexes

⬇

Dissemination (S1g)
Peer review (S3g)

4.0   Detailed Standards

S1. UTILITY		
S1a	**Evaluation plan and impact**	Evaluations must be comprehensively planned out for optimal utility. The evaluation should be planned, conducted and disseminated in such a way that the findings can effectively influence decision making and result in impactful operational changes that justify the evaluation effort. Decisions ought to be taken at the beginning of an evaluation on how the findings will be disseminated. Some evaluations may be for public entities while others may be for private clients. The evaluation plan should include a clear description of the objective of the evaluation, scope, evaluation questions, evaluation criteria, justified approach and methodology, indicators of measurements, intended audience with management and governance structures and timelines within which the evaluation will be accomplished and results disseminated.
S1b	**Stakeholder identification**	Persons and organizations involved in or affected by the intervention or program under evaluation should be identified and included in the evaluation process in a participatory manner; so that their needs can be addressed and evaluation findings are utilizable and owned by stakeholders, to the extent this is useful, feasible and allowed. Research and academia stakeholders should be included to provide peer review support.
S1c	**Credibility and competence of evaluator**	Evaluators and evaluation teams must be independent, trustworthy and transparently selected. They must have appropriate knowledge, skills mix, and proven competencies in evaluation methodology and specialist area(s). The evaluators should have professional work experience relevant to the evaluation. The evaluation team should be gender sensitive, where applicable.
S1d	**Information scope and selection**	Evaluations should employ systematic recognizable information and data collection, review, verification, and storage methods. Data and information collected should be broadly selected to address the evaluation questions representing the needs and interests of stakeholders. From a rights based approach, it is desirable to pay special attention to reach and effect of the intervention on vulnerable groups, where applicable. Data used in the evaluation should be made easily accessible to evaluators, such as online.

S1e	**Values identification**	The rationale, perspectives and methodology used to interpret the findings should be carefully described so that the basis for value judgments are clear (multiple interpretations of findings should be transparently reflected, provided that these interpretations respond to stakeholders' concerns and needs) for utilization purposes. Evaluators should discuss in a contextually appropriate way those values, assumptions, theories, methods, results, and analyses significantly affecting the interpretation of the evaluation findings. These statements apply to the evaluation process, from its initial conceptualization to the eventual use of findings.
S1f	**Report format and clarity**	Evaluation reports should clearly and concisely describe what is being evaluated and its context, the purpose, methodology, evidence and findings so that essential information is provided and easily understood, interpreted, and where necessary critiqued. The report format should be adapted to answer key evaluation questions set to assess a specific intervention or program. The report should be easy to read and accessible (in terms of content) to as many stakeholder groups involved in and affected by the intervention as possible. The stakeholder's comments and feedback on findings should be taken into consideration prior to the production of the final report.
S1g	**Report dissemination and organizational learning**	Findings of the evaluation should be disseminated to stakeholders of the program under evaluation, to the extent that this is useful, feasible and allowed. This should include among others; provision for draft reports, time frame for review and feedback to allow for possible technical corrections, if any. The evaluation report should be easily accessible by the stakeholders of the program under evaluation. Evaluation communications should have adequate scope and guard against misconceptions, biases, distortions, and errors. The evaluation process and findings should promote organizational learning in the institution whose program is being evaluated.

S2. FEASIBILITY		
S2a	**Practical procedures**	Evaluations methodologies should be practical and appropriate to help data collection if necessary. Evaluations should employ technically adequate designs and analyses that are appropriate for the evaluation purposes.
S2b	**Political viability**	Evaluation should be planned and conducted in a participatory manner to achieve total involvement of all stakeholders. It should be prepared and conducted based on scientific principles of neutrality and strictness to avoid disputes that may negatively impact on processes and findings as well as on implementation and recommendations.
S2c	**Pluralism**	Within the framework of the agreed approach and methodology, ample consideration should be given to multiple viewpoints from the stakeholders in the evaluation process. Once the evaluation is completed, the stakeholders may be consulted to provide their varied interpretations of the gathered data.
S2d	**Cost effectiveness**	The efficiency principle should be respected all along the evaluation value chain so that resources are optimally used. Those responsible for evaluation and all the other evaluation stakeholders should always utilize the budget, human and organizational resources in an optimal way to achieve the evaluation targets.
S3. QUALITY AND PRECISION		
S3a	**Context analysis**	The context of the intervention or program under evaluation should be examined in detail including: • Policy context, development agency and partner policies, objectives and strategies and frameworks both at national and global level; • Development context, including social, political, cultural, and environmental aspects. Gender should also be highlighted; Institutional context and stakeholder involvement.
S3b	**Programme documentation**	Any quality evaluation should start with looking at the intervention logic which is derived from the program documents. The evaluation should describe and assess the intervention logic or theory of the project, program including underlying assumptions and factors affecting the success or failure of the intervention.

S3c	**Described goals and procedures**	Evaluation goals and procedures should be clearly followed. They are defined in full details and refer to evaluation criteria that are agreed upon at the outset of the evaluation. The evaluation objectives are translated into relevant and specific evaluation questions. Evaluation questions are decided early on in the process and inform the development of the methodology. The evaluation questions also address cross-cutting issues, such as gender, environment and human rights.
S3d	**Range and quality**	The evaluation should be comprehensive and satisfactory. It should assess and review progress against project inputs, outputs, outcomes against specific objectives. Identify and analyze strengths and weaknesses of the evaluated project or program or policy. Its objective is to generate implementable and useful recommendations for establishing better practices in the evaluated programme.
S3e	**Information sources and data rigor**	The information sources utilized should be described in sufficient detail and must adhere to the highest technical standards appropriate to the methods used in addition to being up to date and relevant to the specific evaluation. The evaluation methodologies to be used for data collection, analysis and involvement of stakeholders should be appropriate to the subject to be evaluated, to ensure that the data collected is representative, accurate, valid, reliable and sufficient to meet the evaluation objectives, and that the assessment is complete, fair and unbiased. Appropriate methods and techniques should be employed to the highest technical standards, validating information using multiple measures and sources to guard against bias, and ensuring errors are corrected.
S3f	**Data analysis**	Both quantitative and qualitative data, whenever used, should be systematically analyzed to ensure that all the evaluation questions are addressed to generate timely and meaningful results. The data analysis should be professionally conducted to minimize biases and errors.
S3g	**Relevant and realistic conclusions and recommendations**	Conclusions should logically and objectively result from the data and analysis, and the recommendations should be derived from the conclusions. The conclusions and recommendations of the evaluation should be feasible, owned by all stakeholders and the limits of the methodologies in use should be disclosed to the extent of their strength over other methods.

S3h	**Impartiality of the report**	The evaluation report should be objectively prepared reflecting the true findings. It should reflect the professionalism of the evaluators, the interests of the commissioners and other stakeholders within society.
S3i	**Meta-evaluation**	Meta-evaluation is done to focus on retrospective assessment of completed evaluations with the objectives to; assess the performance of the evaluators in order to build evaluation capacities, enhancing organizational learning, and improving the quality and effectiveness of evaluation practices in Uganda. This method provides the opportunity for the meta-evaluators to advice the evaluators and provides the basis for a summative judgment about the quality of the evaluation.
S4. ETHICAL CONDUCT		
S4a	**Formal agreements**	Objectives, methodologies, responsibilities, duration and ownership of the evaluation should be negotiated and formalized within a liability charter that can be revised. Particular attention should be focused on implied and informal aspects of the commitment made by involved parties.
S4b	**Ethics and stakeholders rights**	The evaluation should be designed and conducted in compliance with rights and moral and physical integrity of stakeholders and their community. Respect of dignity, diversity and confidentiality of personal data collected should be observed. The evaluators should act with integrity and honesty in their relationships with all stakeholders.
S4c	**Human relations**	Evaluators should respect the dignity and the human value in their interaction with people involved in the evaluation in such a way these people do not feel threatened or harmed physically or culturally or in their religious beliefs.
S4d	**Disclosure of conclusions**	The findings of the evaluation should be owned by stakeholders and the limits of the methodologies in use should be precise. The results should be communicated in a manner that is transparent, open and honest, yet non invasive, always observing the rights and security of all stakeholders involved. Recommendations resulting from this ownership will be designed with stakeholders. Privacy and due confidentiality should be maintained during the whole process to avoid any attempt to intimidate executing agencies or evaluators.

S4e	Disputes over interests	The emerging disputes should be settled in an objective manner so that they do not jeopardize the evaluation process and results. The UEA will provide a forum dealing with professional conflicts.
S4f	Transparency	The evaluator should apply the principles of effectiveness and transparency in every management action linked to the project and in the conduct of the evaluation. Any deviations arising, especially those that could affect the outcome of the final and/or disclosure of the final results should be communicated to all shareholders, reviewed and approved at an appropriate time and in an appropriate forum before proceeding further with the evaluation process including implementation. The integrity of findings should be respected, irrespective of the format and methods of dissemination.
S5. CAPACITY DEVELOPMENT		
S5a	Professional development	Persons engaged in designing, conducting and managing evaluation activities should possess core evaluation competencies which should be maintained through a regular programme of continuing professional development. The professional capacity of evaluators and commissioners of evaluations will be continuously developed through improved knowledge and skills; strengthening evaluation management; stimulating demand for evaluations; and supporting an environment of accountability and learning.

5.0 Annex 1: UEA Evaluation Standards Working Committee

Name	Position on Committee	Work station details
Rosetti Nabbumba Nayenga	Chair	Deputy Head Budget Monitoring and Accountability Unit Ministry of Finance, Planning and Economic Development UEA General Secretary
Allan Gitta	Member	Finance Manager Budget Monitoring and Accountability Unit Ministry of Finance, Planning and Economic Development
Juliet C. Anewa Odeke	Member	Senior Research Officer Department of Research Parliament of Uganda
Agnes K. Kyambadde	Member	Director Slum Aid Project
Matthew Lubuulwa	Member	Technical Monitoring Officer Budget Monitoring and Accountability Unit Ministry of Finance, Planning and Economic Development
Santo Obina	Member	Managing Director Golden Stars Company Ltd
Angel B. Kirabo	Member	Director Seeds of Hope Ltd
Angella Basaasira Ssali	Member	Technical Monitoring Officer Budget Monitoring and Accountability Unit Ministry of Finance, Planning and Economic Development
Jude Tadeo Odaro	Member	Programme Officer Uganda Debt Network
Margaret Kakande	Oversight	Head Budget Monitoring and Accountability Unit Ministry of Finance, Planning and Economic Development UEA President

6.0 Annex 2: Peer Reviewers of the Uganda Evaluation Standards

1. Mr. Derek Poate — UK Evaluation Society
2. Prof. Reinhard Stockmann — Director Centre fur Evaluation, Saarland University Germany
3. Dr. Johanna Pennarz — GIZ/Office of the Prime Minister
4. Mrs. Margaret Kakande — Ministry of Finance, Planning and Economic Development (UEA President)
5. Mrs. Rosetti Nayenga N. — Ministry of Finance, Planning and Economic Development (UEA Secretary)
6. Mrs. Annette K. Oleng — Ministry of Finance, Planning and Economic Development
7. Ms. Sandra Mbabazi — Ministry of Finance, Planning and Economic Development
8. Mr. Namonyo Jimmy — UEA Administrator, Uganda Christian University
9. Mr. Lubega Daniel — Uganda Christian University
10. Mr. Nsubuga Charles — Ministry of Finance, Planning and Economic Development
11. Ms. Angel B. Kirabo — Seeds of Hope
12. Ms. CJ. Schellack — Clinton Health Access Initiative
13. Mr. Stuart Shirrell — IDinsight
14. Mr. Jeremy Fischer — IDinsight
15. Ms. Atuhaire Sylvia — Ministry of Finance, Planning and Economic Development
16. Ms. Muyise Valerian — Ministry of Finance, Planning and Economic Development
17. Mrs. A. Joy Turyamwijuka — Uganda Christian University
18. Mr. Matthew Lubuulwa — Ministry of Finance, Planning and Economic Development
19. Mr. John Mwebembezi — Ministry of Finance, Planning and Economic Development
20. Mr. David N. Mugabi — Ministry of Finance, Planning and Economic Development

21.	Mrs. Monica Mudondo K.	Ministry of Finance, Planning and Economic Development
22.	Mrs. Shyamala Balendra	Ministry of Finance, Planning and Economic Development
23.	Ms. Alice Ninsiima	Ministry of Finance, Planning and Economic Development
24.	Mr. Sylvester Kato	Ministry of Finance, Planning and Economic Development
25.	Mrs. Nakakande Mariam	Ministry of Finance, Planning and Economic Development
26.	Mrs. Noeline Gwokyala	Ministry of Finance, Planning and Economic Development
27.	Mrs. Angella Ssali	Ministry of Finance, Planning and Economic Development
28.	Mr. Isaac Senyonjo	Ministry of Finance, Planning and Economic Development
29.	Mrs. Josephine Watera	Parliament of Uganda/ Research Officer
30.	Mr. Ojok Reagan Ronald	Ministry of Finance, Planning and Economic Development
31.	Mr. Bwanika Godfrey	Uganda Management Institute
32.	Mr. Santo Obina	Golden Stars Ltd.
33.	Ms. Juliet Ssenkandi	UNICEF
34.	Mr. Samuel Odeke	OCHA
35.	Mr. Ibrahim Lubwama	Ministry of Finance, Planning and Economic Development
36.	Mrs. Juliet Anawa Odeke	Parliament of Uganda/ S. Research Officer/ Evaluator
37.	Mr. Andrew Kagoda	Uganda Road Fund
38.	Mrs. Agnes K. Kyambadde	Slum AID Project
39.	Mr. Mubende Besweri	Africa Development Torch/UMI
40.	Mr. Ssebagala Alex	Kampala City Council Authority
41.	Mr. Mawanda Isaac	Kampala City Council Authority