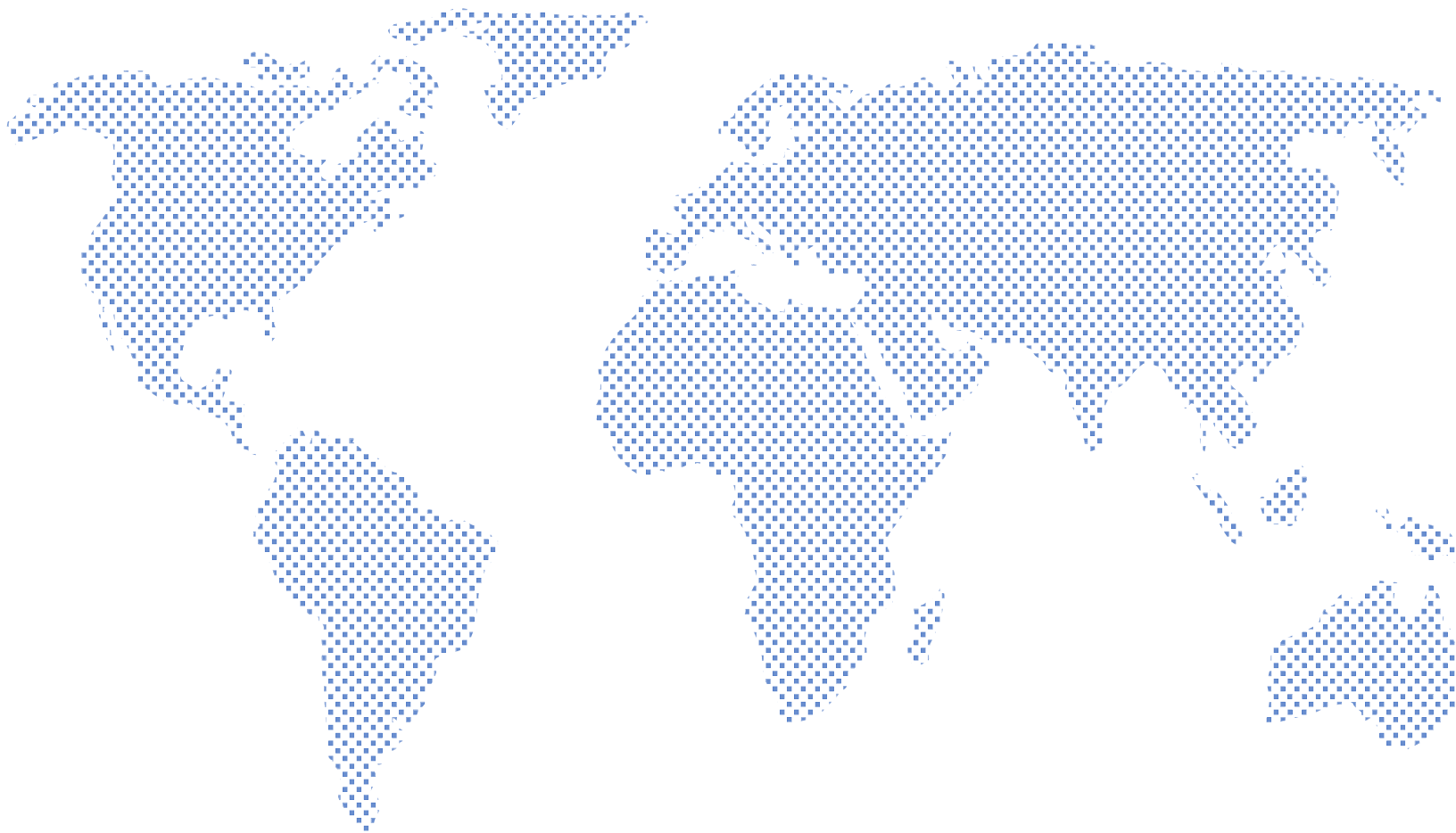**WIPO**

WORLD **INTELLECTUAL PROPERTY** ORGANIZATION

INTERNAL OVERSIGHT DIVISION
EXTERNAL QUALITY ASSESSMENT
OF THE
EVALUATION FUNCTION

Final Report
July 2019

Ian C. Davies, CE

This report was written by Ian Davies, Credentialed Evaluator, and Albine Guitard, independent external consultant, at the request of the Internal Oversight Division of WIPO.

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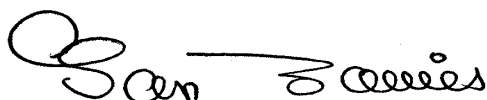
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In particular we wish to thank the Director General, Deputy Directors General, Administrative Directors General as well as all the professional staff that engaged fully with us in interviews and meetings and provided us with frank and comprehensive observations and suggestions for strengthening the evaluation function in WIPO.

Many thanks to the staff of the Internal Oversight Division who took the time to meet with us and share with us their insights and expertise, and in particular to the Director of IOD who supported fully this EQA from start to finish as well as the administrative staff of IOD who facilitated greatly the conduct of the review.

Special thanks to the professional staff of the Evaluation Section of IOD for their availability, frankness and collaboration, and especially the Head of the Evaluation Section of IOD whose full participation, openness and willingness to engage on the range of questions that drove the EQA were essential to the success of this review.

Ian C. Davies
Credentialed Evaluator

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Abbreviations and Acronyms

CE	Credentialed Evaluator
CEF	Central Evaluation Function
EQA	External Quality Assessment
ERG	Evaluation Reference Group
HRGE	Human Rights and Gender Equality
IAOC	Independent Advisory Oversight Committee
IOD	Internal Oversight Division
RBM	Results Based Management
TOR	Terms of Reference
UNEG	United Nations Evaluation Group
WIPO	World Intellectual Property Organization

Executive Summary

A. The EQA provides:
   - assurance on compliance of CEF practices with the United Nations Evaluation Group (UNEG) Norms and Standards for Evaluation in the UN system, with WIPO's Internal Oversight Charter and with its Evaluation Policy;
   - an assessment of the central evaluation function's effectiveness, capacity and processes;
   - recommendations to strengthen the performance of CEF and to improve WIPO's Evaluation Policy where warranted, including considerations of Human Rights and Gender Equality in evaluations.

Assessment of compliance

Statement of assurance

B. The EQA concludes that, overall, the IOD central evaluation function of WIPO is consistent in all material respects with applicable norms and standards for evaluation:

   a. UNEG Norms and Standards for Evaluation, specifically the norms regarding the independence, credibility and utility of the evaluation function.
   b. WIPO Internal Oversight Charter.
   c. WIPO Evaluation Policy.

C. The EQA notes a risk to the independence of the central evaluation function that should be addressed and mitigated appropriately.

D. The EQA on compliance should serve to support the implementation of recommendations as a result of the assessment of performance of the IOD central evaluation function.

Independence

E. The EQA considers that, overall, WIPO policies and practices with respect to CEF are consistent with UNEG Norms and Standards on the independence of the evaluation function.

F. There is however a risk to the behavioural independence of the evaluator during the "validation" of the draft evaluation report by the ERG, as the current process allows management to negotiate, and therefore influence, the tenor of the evaluation, including its conclusions. Although the significance of this risk may vary between evaluations and be exacerbated by the incentive to meet performance targets for evaluation, the validation process should be structured to preserve in all cases the behavioural independence of the evaluators.

G. WIPO's institutional framework and procedures safeguard reasonably the organisational independence of the IOD and therefore of CEF.

Credibility

H. The EQA considers that WIPO's central evaluation function has appropriate systems and processes in place to safeguard the impartiality of the central evaluation function and support its credibility.

Utility

I. The EQA considers that the central evaluation function's systems and practices, and their recent evolution, reflect its intention to support and strengthen the utility of evaluations for WIPO management and stakeholders, in a manner that is consistent with applicable norms and standards.

Assessment of performance

J. Going beyond CEF's conformity with applicable norms and standards, the EQA assesses CEF's effectiveness and capacity, i.e. how well CEF is managed to realise its potential, achieve its goals, support effectively WIPO to fulfil its mission and what it can do to strengthen its performance.

Effectiveness

K. The EQA concludes that, while CEF contributes positively to WIPO accountability and has taken steps to strengthen its contribution to learning, more could be done for CEF to generate value particularly with respect to knowledge creation and communication.

Capacity, process and quality

L. The EQA concludes that CEF's resources are adequate in terms of the quality of its professional evaluation staff.

M. It concludes that the structure by which the central evaluation function is part of WIPO's oversight division is assessed as adequate at present.

N. It concludes that evaluation processes are sound overall however there are signal opportunities for instituting a strategic management approach in CEF that articulates its value proposition and priorities, for improvements to the consultation process with ERG to facilitate and safeguard autonomy of evaluative judgment, to strengthen recommendations, inter alia through a co-production approach, and to implement a follow-up process based on value creation.

O. It concludes that there is an adequate framework and control process for quality of evaluations from a normative perspective, but that quality should be more broadly understood and defined from the perspective of value, including a clear and explicit distinction between quality control and quality assurance.

Evaluation Policy

Guidance

P. Based on the findings presented earlier in this EAA report, and consistent with their related conclusions, and taking into consideration the resources, structure and capacity of CEF within IOD, the Evaluation Policy, together with the IOD Charter and the Evaluation Manual, provide clear and useful guidance to staff and stakeholders.

Human Rights and Gender Equality

Q. Based on a systematic review of the policy document and the findings presented earlier in this EAA report, the EQA concludes that principles related to Human Rights and Gender Equality (HRGE) are not sufficiently integrated in the Evaluation Policy (2016).

Recommendations

R. CEF's systematic inclusion of stakeholders in its evaluations and its readiness to consider feedback from them is a notable positive feature of its evaluation practice. This openness to the perspectives of stakeholders translates into CEF's openness to consider improvements to its evaluation practice. The recommendations that are presented in the report build on this disposition.

S. Recommendations:
- Clarify and communicate the value proposition of the evaluation function.
- Focus the selection of evaluation topics.
- Invest in evaluation planning.
- Conduct evaluation focussing on communication and quality.
- Improve evaluation follow-up.
- Consider an external evaluation advisory panel.

Introduction

1. This document presents the results of the external quality assessment (EQA) of WIPO's central evaluation function (CEF) within its Internal Oversight Division (IOD). The first part of this report provides assurance on the extent to which CEF's practices are consistent with applicable norms, standards and policies; the second presents the assessment of the effectiveness, capacity, process and quality of the evaluation function; the third part considers the overall guidance for evaluation provided by the Evaluation Policy and the IOD Charter, as well as the inclusion of Human Rights and Gender Equality (HRGE); the fourth and final part presents recommendations.

Background

2. The Internal Oversight Division (IOD) of the World Intellectual Property Organization (WIPO) retained the professional services of Ian C Davies, Credentialed Evaluator (CE)[1], to conduct the EQA of its central evaluation function.

3. WIPO's Internal Oversight Charter stipulates that, for each of IOD's functions, i.e. investigation, audit and evaluation, *"independent external assessments shall be conducted at least once in every five years"*. The last EQA of WIPO's evaluation function took place in 2014.

Objectives

4. This EQA is first an assurance engagement to assess compliance of CEF practices with the United Nations Evaluation Group (UNEG) Norms and Standards for Evaluation in the UN system, with WIPO's Internal Oversight Charter and with its Evaluation Policy.

5. A second objective of the EQA is to assess the performance of relevant aspects of the central evaluation function such as effectiveness, capacity and processes.

6. A third objective is to provide recommendations to strengthen the performance of CEF and to improve WIPO's Evaluation Policy where warranted, including considerations of Human Rights and Gender Equality in evaluations.

Context

7. WIPO's central evaluation function is composed of three professional staff in the IOD evaluation section, i.e. the Head of Evaluation, one Senior Evaluation Officer and one Evaluation Officer. The year 2015 saw the departure of the Director of IOD, the Head of Evaluation as well as one of its professional staff. The remaining professional staff

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[1] With the assistance of Albine Guitard, External Consultant.

was on extended leave returning to the evaluation section in 2016. The current Head of Evaluation took up his position in September 2017. The current Director of IOD took office in February 2017.

8. The gap in professional resources over the period of these staff changes reduced to two the number of evaluation reports published in 2016. Numbers increased to three reports in 2017 and six in 2018.

Scope

9. This EQA covers the central evaluation function's activities over the period 2014 to date, with a focus on activities and evaluation reports from 2017 onwards given the context of transition over the period 2015-2016.

10. This EQA does not assess WIPO's decentralised evaluation activities, which are outside of those of CEF.

11. This EQA does not assess individual performance, nor provides a basis to do so.

Methodology

12. This EQA is a systematic organisational assessment to a review-level standard. It is based on reliable and timely data, sufficient and appropriate evidence, criterion based assessment, consideration of context and expert judgment of the assessor.

13. Consistent with UNEG's *"Modalities for Evaluating, Reviewing or Assessing an Evaluation Function"* the approach for this EQA combines normative assessment, i.e. consistency with criteria such as norms and standards, and functional assessment, i.e. consistency with principles of well-performing public organisations and value generation for the organisation.

14. Primary data were obtained through direct observation, interviews and meetings with IOD staff, WIPO executives and management staff at WIPO Head Quarters in Geneva from April 29 to May 3, 2019. Remote interviews were conducted with selected members of WIPO's Independent Advisory Oversight Committee (IAOC)[2]. Meetings and interviews were conducted in accordance with Chatham House Rules.

15. Secondary data were collected through systematic documentary review. The document review included all key guidance documents pertaining to the evaluation function in WIPO, full documentation on IOD, comprehensive documentation of the evaluation function of IOD including, but not limited to, working papers, evaluation reports, relevant job descriptions and staff backgrounds, evaluation documents from programming through to planning, conduct, reporting, follow up as well as documentation pertaining to external consultants.

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[2] Please see the list of interviews in annex 3.

EQA 2014 follow up

16. The EQA that was conducted in 2014 assessed both conformity with applicable norms and standards, as well as the central evaluation function's overall performance. Some improvements over 2014 are noted by the current EQA however key aspects of the evaluation function remain unchanged.

17. The evaluation function is still conceived, undertaken and perceived primarily as an accountability exercise, despite efforts to strengthen its contribution to organisational and programmatic "learning". This fact limits its ability to realise fully its value to WIPO.

18. There is still an opportunity to better safeguard the independence of evaluations by integrating clearly into their process the distinction between findings, evaluative reasoning and conclusions, particularly in engaging with the evaluation reference group (ERG) and more generally with stakeholders.

19. There is still an opportunity to strengthen quality assurance of evaluations.

20. This said, this EQA recognises the fact that, due to significant IOD and evaluation staff turnover, there was a transition period during which there was a notable reduction in evaluation activity, which, among other things, affected the full implementation of recommendations made by the EQA in 2014[3].

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[3] Table of follow-up on recommendations from 2014 EQA in annex 1.

PART 1
ASSESSMENT OF COMPLIANCE

Statement of assurance

21. The EQA concludes that, overall, the IOD central evaluation function of WIPO is consistent in all material respects with applicable norms and standards for evaluation:

    a.   UNEG Norms and Standards for Evaluation, specifically norms regarding the independence, credibility and utility of the evaluation function.
    b.   WIPO Internal Oversight Charter.
    c.   WIPO Evaluation Policy.

22. The EQA notes a risk to the independence of the central evaluation function that should be addressed and mitigated appropriately.

23. The EQA on compliance should serve to support the implementation of recommendations as a result of the assessment of performance (Part 2) of the IOD central evaluation function.

24. This part examines the extent to which the organisation, systems and processes of IOD and its evaluation function are consistent with, i.e. in compliance, norms and standards of the United Nations Evaluation Group (UNEG), IOD Charter and IOD Evaluation Policy.

25. Compliance with norms and standards is an ad minima proposition, i.e. it means that the organisation is set up, has procedures and behaves in a manner consistent with what are considered to be minimum criteria.

26. Examining and assessing compliance allows for flagging areas that may be below standard, i.e. do not conform, and that require immediate attention and correction as they are essential to the functioning of the organisation, as well as areas that conform partially and call for including or strengthening aspects that may be already in place or planned for.

27. It is however key to understand that compliance with norms and standards does not imply nor does it equate with good performance. Compliance is a necessary but not sufficient condition for good performance the question of which is dealt with in part 2.

1.1   UNEG norms and standards

28. The EQA focusses on three core norms: independence, credibility and utility, and their related standards, based on the UNEG framework for reviews of evaluation functions in the UN system[4].

1.1.1   Independence

29. Independence is appraised based on an examination of the behavioural independence of evaluators and of the organisational independence of CEF.

Behavioural independence
30. The behavioural independence of professionals working in the evaluation function is assessed against UNEG norm (N4) *"The evaluators have the ability to evaluate without undue influence by any party. Evaluators must have the full freedom to conduct their evaluative work impartially, without the risk of negative effects on their career development and must be able to freely express their assessment. The independence of the evaluation function underpins the free access to information that evaluators should have on the evaluation subject."* Behavioural independence was examined from the point at which the evaluation begins.

31. The EQA does not find evidence that evaluators are impeded in significant fashion in their access to sources of information or in their evaluation operations up to the point of presenting the draft report to the Evaluation Reference Group (ERG).

32. According to the 2016 WIPO Evaluation Manual: «*Members of the RG are expected to provide technical inputs and to ensure that information is exchanged on their area of work throughout the evaluation process and to provide feedback to evaluation products (ToR, inception and draft reports). Members of the RG are usually nominated by WIPO Senior Managers.* »

33. The EQA finds that the draft evaluation report is submitted by CEF to the ERG for "validation", i.e. reaching agreement on the content of the report.

34. The EQA finds that, in instances where management takes issue with aspects of the draft report, including its conclusions, the "validation" process can take longer than planned and that it can be perceived as oppositional by both management and by CEF.

35. According to the current Program and Budget of WIPO, a performance target for CEF is that 80% of evaluations should be completed within six months. The EQA finds that the validation process may delay the overall evaluation beyond the target.

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[4] http://www.uneval.org/document/detail/945

Organisational independence

36. The organisational independence of CEF is assessed against UNEG norm (N4) *"The central evaluation function, positioned independently from management functions, carries the responsibility of setting the evaluation agenda and is provided with adequate resources to conduct its work. Organizational independence also necessitates that evaluation managers have full discretion to directly submit evaluation reports to the appropriate level of decision-making and that they should report directly to an organization's governing body and/or the executive head. Independence is vested in the Evaluation Head to directly commission, produce, publish and disseminate duly quality-assured evaluation reports in the public domain without undue influence by any party."*

37. The EQA finds that the Internal Oversight Division (IOD) of WIPO, of which CEF forms part, is positioned independently from WIPO management functions.

38. The EQA finds that the "Evaluation Head" is the Director of IOD, who, according to the IOD Charter, *«reports administratively to the Director General but is not part of operational management. The Director, IOD, enjoys functional and operational independence form Management in the conduct of her/his duties. »* For all other matters the Director of IOD reports to the General Assembly and receives advice from its Independent Advisory and Oversight Committee (IAOC).

39. The EQA further finds that the Director of IOD has full responsibility for setting the evaluation agenda consistent with the resources allocated to CEF and in consultation with the head of the evaluation section in IOD responsible for the CEF.

40. The EQA finds that the Director of IOD may directly commission, publish and disseminate evaluation reports.

Assessment of compliance on independence

41. The EQA considers that, overall, WIPO policies and practices with respect to CEF are consistent with UNEG Norms and Standards on the independence of the evaluation function.

42. There is however a risk to the behavioural independence of the evaluator during the "validation" of the draft evaluation report by the ERG, as the current process allows management to negotiate, and therefore influence, the tenor of the evaluation, including its conclusions. Although the significance of this risk may vary between evaluations and be exacerbated by the incentive to meet performance targets for evaluation, the validation process should be structured to preserve in all cases the behavioural independence of the evaluators.

43. WIPO's institutional framework and procedures safeguard reasonably the organisational independence of the IOD and therefore of CEF.

1.1.2   Credibility

44. Credibility is to a large extent based on the perception that stakeholders have of evaluation. While there are factors that affect perception and fall outside the reasonable control of the central evaluation function, good practice as reflected in the following norms shows that there are key aspects of the way in which evaluation is conducted that affect positively and constructively credibility. Credibility is important because, among other things, it increases the likelihood of evaluation use.

45. According to UNEG norm (N3), *"Credibility is grounded on independence, impartiality and a rigorous methodology. Key elements of credibility include transparent evaluation processes, inclusive approaches involving relevant stakeholders and robust quality assurance systems. Evaluation results (or findings) and recommendations are derived from — or informed by — the conscientious, explicit and judicious use of the best available, objective, reliable and valid data and by accurate quantitative and qualitative analysis of evidence. Credibility requires that evaluations are ethically conducted and managed by evaluators that exhibit professional and cultural competencies."*

46. The EQA reviewed key elements to assess compliance of CEF overall with the normative requirements for credibility.

Impartiality

47. The impartiality of CEF is assessed against UNEG norm (N5) *"The key elements of impartiality are objectivity, professional integrity and absence of bias. The requirement for impartiality exists at all stages of the evaluation process, including planning an evaluation, formulating the mandate and scope, selecting the evaluation team, providing access to stakeholders, conducting the evaluation and formulating findings and recommendations. Evaluators need to be impartial, implying that evaluation team members must not have been (or expect to be in the near future) directly responsible for the policy setting, design or management of the evaluation subject."*

48. The requirement for impartiality is prescribed in the IOD Charter.

49. The EQA finds that the evaluations conducted by CEF are in all cases based on objective data, i.e. that can be objectively verified, both primary and secondary,

50. The EQA finds that CEF evaluations, and staff that conduct them, adhere to applicable professional norms and standards. The EQA finds no evidence of bias in the evaluations it reviewed nor systemic risk of bias in the practices of CEF.

51. The EQA finds that the system in place to select evaluation topics is designed and implemented in a manner that supports impartiality of choice. Potential topics for evaluation are identified based on a systematic preliminary risk analysis undertaken by IOD. CEF proceeds with selection of evaluation topics based on systematic consideration of factors such as relevance to WIPO, utility, diversification of types of evaluation, capacity of CEF, as well as requests and inputs from WIPO management

and Member States. Topics are selected in coordination with IOD and approved by the Director of IOD.

Methodology

52. The overall evaluation approach and related methodologies used by CEF are assessed against UNEG standard (S4.5): *"Evaluation methodologies must be sufficiently rigorous such that the evaluation responds to the scope and objectives, is designed to answer evaluation questions and leads to a complete, fair and unbiased assessment."*

53. Based on its examination of evaluation reports over the period covered by this review and corresponding data from evaluators and stakeholders, the EQA finds that evaluations are carried out and their reports written in a manner that is generally consistent with the scope and objectives of evaluations as expressed in the TOR at the start of the evaluation process.

54. The EQA further finds that generally evaluation reports address the evaluation questions formulated in the TOR, are fair and balanced in highlighting both strengths and weaknesses and taking into account contextual factors. The EQA does not find evidence of bias in the evaluative assessments contained in CEF evaluation reports.

55. The EQA finds that CEF evaluations are consistent with the Evaluation Manual and consistent in their application of OECD-DAC criteria for evaluating development assistance[5].

Transparency

56. The transparency of the evaluation process is assessed against UNEG norm (N7) *"Transparency is an essential element of evaluation that establishes trust and builds confidence, enhances stakeholder ownership and increases public accountability. Evaluation products should be publicly accessible."*

57. The EQA finds that stakeholders to evaluation consider generally evaluation processes to be transparent in that they are made aware of what is planned and what unfolds during the evaluation process. The EQA further finds that transparency and inclusion of stakeholders in the evaluation contributes to ownership, with the understanding that ownership is also and more significantly a function of the overall performance of CEF.

58. The EQA finds that evaluation reports published from the period 2010 up to now are publicly accessible through WIPO's website[6]. With the exception of two, all evaluation reports published over the review period 2014-2018 are accessible online.

59. The EQA finds that the transparency of CEF evaluations contributes to public accountability of WIPO.

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[5] http://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm
[6] https://www.wipo.int/about-wipo/en/oversight/iaod/evaluation/reports/index.html

Quality assurance and quality control

60. The quality assurance and quality control processes are assessed against UNEG standard for quality (S.5) *"The head of evaluation should ensure that there is an appropriate quality assurance system. The quality should be controlled during the design stage of evaluation and its final stage."*

61. The EQA finds that quality control takes place at key steps in the evaluation process, through systematic and regular consultation between professional staff involved in evaluation and the head of the evaluation section in IOD. The EQA further finds that quality control is done consistent with the guidelines of IOD's evaluation manual.

62. The EQA finds that quality assurance is undertaken by the Director of IOD, who reviews initial documents such as evaluation terms of reference and inception report, as well as the final evaluation report on which he signs off once he is satisfied that, among other considerations, all applicable norms and standards have been complied with.

63. The EQA did not find formal and explicit quality assurance assessment tools such as rating templates based on quality standards for evaluation reports.

64. The EQA finds that the Evaluation Reference Group (ERG) contributes to the quality assurance process by providing comment and feedback throughout the evaluation.

65. The EQA finds that external quality assessments of the evaluation function of IOD can contribute to improvements in quality of systems and practices, however it further finds that only some of the recommendations from the last EQA in 2014 were implemented.

Professionalism and competencies

66. Professional and cultural competencies are assessed against UNEG norm (N10) *"Key aspects of professionalism include access to knowledge; education and training; adherence to ethics and to these norms and standards; utilisation of evaluation competencies; recognition of knowledge, skills and experience. This should be supported by an enabling environment, institutional structures and adequate resources."* and standard (S3.1) *"Evaluation competencies refer to the qualifications, skills, experience, educational background and attributes required to carry out roles and responsibilities within an evaluation process as a means to ensure the credibility and quality of the process. Evaluators, evaluation managers and evaluation commissioners should continually seek to maintain and improve their competencies in order to provide the highest level of performance in producing and using evaluations within evolving institutional, national, regional and global contexts and needs. This may require continuing professional development and capacity building initiatives."*

67. The EQA finds that CEF has ongoing systematic professional development for its staff to maintain and enhance competencies in evaluation. It further finds that IOD has an annual training plan for its staff, including the evaluation function.

68. The EQA finds the WIPO human resource management function requirements for the professional positions in CEF consistent with the competencies generally required for

evaluators in the UN system. It further finds the process for recruiting external consultants to evaluations consistent with competency requirements.

Assessment of compliance on credibility

69. The EQA considers that WIPO's central evaluation function has appropriate systems and processes in place to safeguard the impartiality of the central evaluation function and support its credibility.

1.1.3   Utility

70. The utility of evaluation processes and products is assessed against UNEG norm (N2) "*In commissioning and conducting an evaluation, there should be a clear intention to use the resulting analysis, conclusions or recommendations to inform decisions and actions. The utility of evaluation is manifest through its use in making relevant and timely contributions to organizational learning, informed decision-making processes and accountability for results. Evaluations could also be used to contribute beyond the organization by generating knowledge and empowering stakeholders.*"

71. The EQA finds that evaluation reports generally express their intention to contribute to "*accountability and learning*". The EQA further finds a preponderance of statements on the learning purpose expressed in the set of evaluations conducted in 2017-2018.

72. The EQA finds that not all evaluation TOR made available by the CEF for the EQA systematically make clear what is the expected use of the evaluation results.

73. The EQA finds some examples of use in making relevant and timely contributions to organisational learning, informed decision-making processes, as well as to accountability for results.

74. The EQA finds that users assess evaluation products as more useful than they were 5 years ago, i.e. the information they contain is overall assessed by stakeholders as being increasingly relevant to their work and the evaluation function is perceived as striving to provide useful information.

Assessment of compliance on utility

75. The EQA considers that the central evaluation function's systems and practices, and their recent evolution, reflect its intention to support and strengthen the utility of evaluations for WIPO management and stakeholders, in a manner that is consistent with applicable norms and standards.

1.2   WIPO standards

76. WIPO evaluation practice is framed by 4 documents providing standards and guidance for the central evaluation function: the IOD Charter (2018), the Evaluation Policy (2016), the evaluation manual (2016) and the evaluation code of conduct (2012).

77. The EQA assessed compliance of the central evaluation function with the two main documents that are the IOD Charter and the Evaluation Policy.

1.2.1   IOD Charter

78. The Charter provides the foundational framework for the Internal Oversight Division (IOD).

Relevance, efficiency, effectiveness, impact and sustainability

79. The IOD Charter states that *"An evaluation is a systematic, objective and impartial assessment of an on-going or completed project, program or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, its efficiency, effectiveness, impact and sustainability. An evaluation should contribute to learning and accountability and provide credible, evidence-based information, enabling the incorporation of findings and recommendations into the decision-making processes of WIPO."* (par. 5)

80. The EQA finds that evaluation reports over the period under review refer to the OECD-DAC criteria of relevance, efficiency, effectiveness, impact and sustainability. It further finds that evaluation reports also generally state that evaluations are undertaken with the intention to contribute to accountability and learning. The EQA finds that the learning objective is more clearly put forward in the evaluation reports conducted in 2017-2018.

81. The EQA finds that evaluation reports generally provide credible, evidence-based information and that the findings and recommendations are shared with the evaluation reference group (ERG) including relevant decision-makers and managers of the program that is evaluated.

Evaluation reports

82. The IOD Charter states that *"At the completion of each audit, evaluation or investigation, the Director, IOD shall issue a report, which shall present the objectives, scope, methodology, findings, conclusions, remedial action or recommendations of the specific activity concerned and include, if applicable, recommendations for improvements and lessons learned from the activity. The Director, IOD shall ensure completeness, timeliness, fairness, objectivity and accuracy in the reporting of internal audits, evaluations and investigations. "* (par. 32)

83. The EQA finds that all of the reports produced over the period 2014-2018 effectively present the objectives, scope, methodology, findings, conclusions and recommendations for improvement. It further finds that the Director of IOD follows the progression of evaluation work to assure completeness, timeliness, fairness, objectivity and accuracy of the evaluation reports.

84. The EQA finds that draft evaluation reports are also presented to the program manager and other relevant stakeholders for the program or activity that is being evaluated, and that they are given the opportunity to respond to the draft report. It further finds that the evaluation reports reflect comments made by the managers concerned.

Reporting

85. The IOD Charter states that *"The Director, IOD shall submit final internal audit and evaluation reports to the Director General with a copy to the IAOC and the External Auditor. Upon request, the External Auditor shall be provided with any supporting documentation of internal audit and evaluation reports. The Director, IOD shall publish internal audit and evaluation reports, as well as Management Implication Reports resulting from investigations, on the WIPO website within one month of their issuance."* (par. 35,36)

86. The EQA finds that the Director of IOD submits final evaluation reports to the Director General with a copy to IAOC and to the External Auditor.

87. The EQA finds that evaluation reports are published, including management comments, on the WIPO website approximately within a month after their publication.

Assessment of compliance with IOD charter

88. The EQA considers that the central evaluation function complies with the IOD Charter.

1.2.2   Evaluation Policy

89. WIPO Evaluation Policy is divided into 7 sections. The three first sections present the background, purpose and objectives of the evaluation policy, as well as information on definitions and types of evaluation. Accordingly, for the purpose of providing assurance on compliance, the EQA, focusses on those sections pertaining to cooperation with programs (section 4), evaluation process (section 5) as well as purpose and use of evaluation outputs (section 6). The EQA also notes the evaluation policy review clause (section 7).

Cooperation with programs

90. The EQA finds that WIPO differentiates between centralised and decentralised evaluation functions. It further finds that the central evaluation function is managed by IOD, and that decentralised evaluation activities are undertaken by other programs *"with support from IOD as appropriate, e.g. by providing advice and tools. All evaluations conducted by the Secretariat are recorded and subject to quality checks by IOD. Program and project managers have the obligation to keep IOD informed of decentralized evaluations to be performed under their responsibility."*[7]

91. The EQA finds that CEF, occasionally and on demand, provides advice on some aspects of the conduct of decentralised evaluations, or is asked to share names of evaluators. The EQA finds that the decentralised evaluation function considers CEF helpful in providing guidance when required.

Evaluation process

92. With respect to evaluation process, the evaluation policy states that *"To support the programs, IOD coordinates and establishes a network with the focal points for Monitoring and Evaluation (M&E) in each sector. Evaluations are planned in consultation with managers so as to support them at critical phases of the program cycle."* The evaluation policy also affirms that *"IOD retains the final decision on the work program for centralized evaluations after considering their potential usefulness, as well as risk assessments and availability of resources."* And that *"Procedures for planning, implementing and reporting on evaluations shall be specified in the Evaluation Manual."*

93. The EQA finds that the network of focal points is not active.

94. The EQA finds that evaluations are conducted in consultation with managers, who are invited to participate in ERG. It further finds that ERG starts contributing to the evaluation process once evaluation topics are chosen, and that it does so consistent with the objectives and role of the ERG which are defined as follows: it is «*established to increase ownership, transparency and the learning effect of evaluations*», in meeting at « *critical junctures during the evaluation and to provide feedback and advice to the evaluation team throughout the process*».

95. The EQA finds that IOD effectively has the final decision on the work program for centralised evaluations after considering their potential usefulness, as well as risk assessments and availability of resources.

96. The EQA finds that IOD has an evaluation manual, revised in 2016 and again in 2018, that incudes procedures for planning, implementing and reporting on evaluations. It further finds that evaluations are conducted generally according to the procedures indicated in the manual.

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[7] Decentralised evaluation activities are outside of the scope of this EQA

Evaluation outputs

97. The evaluation policy defines outputs as *"reports, briefings and other forms of information exchanges"*. The evaluation policy also states that outputs can have a variety of purposes such as identify good practices, make proposals for improving future activities, provide a base for improved decision-making, promote and ensure accountability and contribute to knowledge sharing. Finally, the policy specifies the requirement to publish and disseminate evaluation reports, and highlights links between the central evaluation function and WIPO's Results Based Management (RBM) approach.

98. The EQA finds that the main evaluation outputs from CEF are its evaluation reports which are published and made available electronically to the public on the web[8].

99. The EQA finds that evaluation reports generally identify good practices and that all of the reports produced over the period 2014-2018 provide recommendations with a view to help in improving future activities.

100. The EQA finds that CEF provides information on its performance to the RBM system.

Review

101. The last clause of the Policy document requires that it *"will be reviewed on a regular basis, preferably every four years from the date of its issuance."*

102. The EQA finds that the current evaluation policy was published in 2016, and that the intention to revise it forms part of the TOR for this EQA.

Assessment of compliance with the evaluation policy

103. The EQA considers that, overall, CEF systems and practices are in accordance with WIPO evaluation policy.

104. Taking into account its capacity IOD should address its policy mandate with respect to the WIPO network of focal points for monitoring and evaluation in each sector.

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[8] https://www.wipo.int/about-wipo/en/oversight/iaod/evaluation/reports/index.html

PART 2
ASSESSMENT OF PERFORMANCE

105. Going beyond CEF's compliance with applicable norms and standards, i.e. a normative assessment to check that CEF systems and practices meet minimum expectations, this second part presents an overall assessment of the performance of the central evaluation function (CEF) of WIPO and considers CEF's performance relative to its potential value.

106. It assesses CEF's effectiveness and capacity, i.e. how well CEF is managed to realise its potential, achieve its goals, support effectively WIPO to fulfil its mission and what it can do to strengthen its performance.

2.1   Effectiveness

107. This section on effectiveness assesses how well WIPO's central evaluation function (CEF) in IOD creates value for WIPO and its stakeholders. Effectiveness of CEF is assessed relative to its ability to add value to WIPO by generating useful knowledge and contributing to meaningful accountability.

Conclusion on effectiveness

108. The EQA concludes that, while CEF contributes positively to WIPO accountability and has taken steps to strengthen its contribution to learning, more could be done for CEF to generate value, particularly with respect to knowledge creation and communication.

2.1.1   Evaluation in WIPO

How well is the Evaluation Function known and understood generally in WIPO?

Findings

109. The Director of IOD demonstrates openness and support to the evaluation function under his responsibility, an understanding of its distinction from the internal audit function and a willingness to see evaluation incorporate innovative practices that improve the performance and value of evaluations and of IOD overall.

110. The EQA also finds evidence of good collaboration between the evaluation section and the internal audit section within IOD, with staff showing an interest in gaining knowledge and experience in both domains, including piloting a joint evaluation and audit assignment.

111. In WIPO more generally, contrasts are found in the level of understanding of the distinction between the evaluation function and the rest of IOD's functions, depending on respondents' experience with IOD, i.e. managers who have been involved with either investigation, audit or evaluation exercises are more aware of the differences.

112. Management especially highlights a significant difference in the process for conducting evaluations that includes consultations and is perceived as more inclusive than the audit process. However, if the difference in process between evaluation and the other oversight functions appears relatively well understood by staff across WIPO, the distinct contribution that evaluation can bring to programs in WIPO, especially compared to audit, appears less clear.

113. The practical delineation between audit and evaluation in IOD, and in framing documents, such as the IOD Charter or the 2019 Annual Workplan (the section on "oversight activities planned for 2019"), is not always clear. IOD framing documents such as the IOD Charter tend to present audit and evaluation activities together, while those for investigation are presented separately.

114. As well, IOD management tools such as follow-up on recommendations and client satisfaction survey, are the same for audit and for evaluation.

2.1.2   Accountability and learning

How well does the Evaluation Function contribute to WIPO accountability and learning, as set forth in the Internal Oversight Charter and in the Evaluation Policy?
What are examples of effects, i.e. impacts, across WIPO of the Evaluation Function?

Findings
115. Evaluation reports, their publication and accessibility on WIPO's public website[9], their review by WIPO management, by the Independent Oversight and Accountability Committee as well as their reception by WIPO's General Assembly, together and inter alia, constitute evidence of the evaluation function's contribution to accountability and transparency.

116. Although the evaluation reports examined by the EQA give learning as an objective, they do not always present systematically and distinctly "lessons learned" or their equivalent, i.e. knowledge.

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[9] Over the period for this review (2014 to present) 18 evaluations were conducted; 16 were published and examined by this EQA.

117. The EQA was informed by management respondents that, in some cases, evaluations have provided information that was useful for improving programmes, however the EQA was unable to obtain more specific information or examples beyond the management comments to recommendations in the evaluation report.

118. This said, the evaluations, "Evaluation of WIPO's Pilot Project on the Professional Development of Women (May 2016)" and "Evaluation of the Pilot Program on Professional and Career Development (Phase 2) Sept 2018", reportedly led to practical improvements in WIPO's human resource management policies and processes.

119. The EQA did not find evidence of examples of impacts across WIPO of the central evaluation function, beyond its contribution to accountability and transparency.

120. The EQA was told by respondents that there is notable "oversight" fatigue among WIPO professional staff and management, and that because evaluation is part of oversight, the value that evaluation could contribute on the learning side is not well understood.

2.1.3   Follow-up

How well are evaluations incorporated and used in follow-up activities?

Findings

121. All evaluation reports contain recommendations as well as management comments to them, with indicative target dates and identification of responsible staff.

122. This practice is consistent with UNEG Norm 14 on "Evaluation use and follow up" and related standards.

123. Incorporation of evaluations and their use takes place formally through registration of evaluation recommendations and tracking of their implementation by IOD and CEF using audit management software.

124. WIPO management and staff that were interviewed as part of this EQA are generally of the view that the quality of evaluation recommendations is variable and would welcome improvements in this respect.

125. They further express a concern that, even though recommendations may appear sensible prima facie, the reality of their implementation is a function of adaptive management considerations, i.e. that consider systematically evolving priorities, rapidly changing business environments as well as priorities in the allocation and availability of resources.

126. WIPO management and staff that were interviewed made clear that the system of follow up of recommendations in its present configuration is perceived as a compliance exercise more than as value adding support to management.

127. They further consider that the system of follow up of evaluation recommendations and of audit recommendations being one and the same reinforces a compliance approach to evaluation recommendations that reduces their potential effectiveness and value.

2.1.4   Discussion

128. Although there is a rather clear understanding across WIPO of what evaluation does in terms of its activities compared to audit, and an organisational distinction is made between the two functions, the distinction is not as clear in terms of what evaluation contributes overall.

129. Evaluation is perceived and understood across WIPO to be an oversight and accountability tool, i.e. a form of audit. There is little if any understanding of evaluation as a learning tool and of CEF as a knowledge function.

130. As a result, the statement in the 2014 EQA report still holds true: *"the unique added value that evaluation can provide as a discipline and profession by drawing on its extensive and deep body of theory and practice, remains largely under-utilised."*

131. The EQA is of the view that this source of value remains largely untapped by WIPO despite that its management expresses a clear interest in, and demand for, meaningful knowledge to navigate complex and rapidly changing environments.

132. Examples of questions put by management to this EQA are: How can evaluation support WIPO as it considers artificial intelligence and its implications? The increasingly rapid pace of global change? Emerging economic and business models for sustainability?

133. The suggestion is not that evaluation provide the answers, but that the central evaluation function consider from a strategic perspective, and articulate in practical terms, its value proposition and do so in a manner that is relevant to the achievement of WIPO's mission. For as long as evaluation is considered primarily as an instrument of accountability, even though audit, especially performance audit, is designed for that very purpose and better at it than evaluation, the full value of evaluation will be difficult to realise.

134. The suggestion is that IOD and its CEF increase the value that evaluation brings to WIPO by:

- making explicit and communicating clearly, both in the Charter and the Evaluation Policy documents, the distinct nature and value proposition of evaluation in WIPO;
- using a strategic management approach to the central evaluation function;
- having systems and processes for evaluation that support its value proposition and distinguish it clearly from audit;
- increasing the focus of evaluation on learning.

2.2 Capacity, process and quality

Conclusion on capacity, process and quality

135. The EQA concludes that CEF's resources are adequate in terms of the quality of its professional evaluation staff.

136. It concludes that the structure by which the central evaluation function is part of WIPO's oversight division, is adequate at present.

137. It concludes that evaluation processes are sound overall, however there are signal opportunities for instituting a strategic management approach in CEF that articulates its value proposition and priorities.

138. It concludes that there is an adequate framework and control process for quality of evaluations from a normative perspective, but that quality should be more broadly understood and defined from the perspective of value, including a clear and explicit distinction between quality control and quality assurance.

2.2.1 Resources and structure

How does WIPO make sure that the Evaluation Function's resources and structure are adequate in light of its mandate and UNEG Norms and Standards?

Findings

139. The 2014 EQA addressed the question of adequacy of resources from the perspectives of both quality and quantity of staff resources allocated to CEF. It concluded that the quality of staff resources, i.e. competencies, were adequate but that the quantity may not be sufficient. It further recommended to monitor the level of allocation of qualified evaluation staff to the central evaluation function and its workplan, based on a systematic and data-based analysis of estimated workload.

140. This EQA finds that CEF has a systematic process in place for selecting professional staff with the competencies, i.e. knowledge, skills and abilities, required for evaluation in WIPO. It further finds that CEF has a systematic professional development approach to allow its professional evaluation staff to maintain and strengthen their competencies.

141. CEF's Evaluation Manual reflects and references UNEG Norms and Standards as well its mandate according to WIPO's Evaluation Policy and Internal Oversight Charter.

142. Professional staff of CEF conduct evaluations with the contribution of external consultants, as opposed to contracting out externally evaluations. The EQA finds that the evaluations in 2018 and 2017 were conducted by one professional CEF evaluation staff together with one external consultant.

143. The structure of CEF is such that it is located in WIPO's IOD. The formal responsibility for evaluation rests with the Director of IOD. The management responsibility rests with the Head of the Evaluation Section within IOD. There are at present three full time professional evaluation staff in the Evaluation Section, including the Head. It is regular practice to hire an external consultant on each evaluation.

Discussion

144. The evaluation workplan of CEF considers its available professional staff resources, including external consultants, with a view to achieving a reasonable balance between the number of evaluations conducted and their quality, and the capacity of the evaluation section and of IOD.

145. While recognising that, because of the size of CEF, it is possible to judge the workload relative to capacity based on experience and without having necessarily to use formal systems, a more systematic use of data, e.g. using a simple spreadsheet, reduces the risk of underestimating capacity and/or overestimating production. This is particularly useful when there is pressure to perform.

146. The use of external consultants appears reasonable given the number of staff. On the other hand, it should be clear that external consultants cannot substitute for regular professional staff with respect to CEF workload. In other words, external consultants should be retained primarily for their specific expertise rather than to add workload capacity. This point appears important inasmuch as WIPO management and staff expressed to this EQA a desire to see more WIPO related expertise, i.e. knowledge and experience of the business, in the evaluation teams. As well, the use of external consultants entails non-negligible transaction costs for the CEF team leader and for IOD.

147. The EQA reviewed comparable oversight services that also include audit to identify the number of professional staff allocated to evaluation. Although, prima facie, the numbers may appear comparable, e.g. OECD 2 full-time staff, Council of Europe 3 full-time staff, UNESCO 5 full-time staff; the models vary in respect of the extent to which evaluations are contracted out. This said, caution should be exercised in comparing numbers as these provide only partial understanding. Quality of both processes and products were not systematically compared and are more important arguably than the number of staff or the number of evaluations.

148. Based on the evaluation experience and expertise of the EQA team, the model whereby professional staff conduct evaluations, and considering the complexity of WIPO, its business and the environments in which it operates, the central evaluation function may benefit from additional staff at some point. Taking into account the cautionary statement in the preceding article, the EQA team's experience is that comparable

evaluations in comparable settings addressing complex issues in the multi-lateral system typically take about a year to a year and a half from start to finish and involve directly teams of 3 to 5 professionals.

149. In addition, and to the extent that WIPO and IOD increase the focus of CEF on learning and value creation, it is reasonable to expect that additional professional evaluation staff with commensurate qualifications may be required.

150. With respect to structure, the 2014 EQA report addressed both the advantages, e.g. organisational independence, and disadvantages, e.g. primary focus on accountability, of having CEF be part of IOD. This EQA, having assessed current CEF capacity and performance and recognising opportunities for practical improvement, considers the organisational arrangement suitable and appropriate at present.

151. Whether or not, at some later point, WIPO may wish to consider a stand-alone central evaluation unit, is a question that would warrant appropriate examination and prudent decision-making beyond the scope of this EQA. Nonetheless, this EQA considers more important at this stage, to focus on strengthening the quality and value of the central evaluation function and is of the view that there is room to do so within its current organisational structure.

2.2.2   Evaluation process

How well does the Evaluation Function make sure that its processes for conducting evaluations are sound?

Findings

152. The selection processes for evaluations draw on the IOD risk assessment approach, considerations of coverage, understood to include as well use of different types of evaluations as determined in the Evaluation Policy and in the Manual, and workload considerations.

153. There is an evaluability assessment process and tool outlined in the Evaluation Manual, which may be referred to however not necessarily systematically applied in all cases.

154. There is an overall IOD workplan that identifies annually the evaluations that will be undertaken. Each individual evaluation has a planned timeline.

155. There is a systematic process for identification of, and engagement with, stakeholders at the start of the evaluation, as well as for the establishment of the Evaluation Reference Group (ERG).

156. The EQA did not find evidence of systematic stakeholder analysis.

157. The EQA finds that the Evaluation Manual provides guidance and tools related to ERG and that each evaluation has one that is consulted at key stages in the evaluation process, consistent with the Evaluation Manual.

158. It further finds that, towards the end of the evaluation process, the draft evaluation report, including findings, conclusions and recommendations, is submitted to ERG for feedback.

159. As indicated with regards to behavioural independence, the EQA finds that, in the case of disagreements over the content of the draft evaluation report, its finalisation may be delayed. The EQA was informed that this occurred in the case of two evaluations that address organisational cross-cutting topics.

160. Recommendations are made in the draft evaluation reports and discussed by ERG. The final evaluation report contains both recommendations and formal management responses to these.

161. As indicated earlier in this EQA report, IOD has in place a system to register and track implementation and progress of evaluation recommendations.

Discussion

162. Since the last EQA in 2014, the Evaluation Policy has been updated (2016) as has the Evaluation Manual (2016). The IOD Charter is dated 2018. Overall, these framing, guidance and support documents constitute a coherent whole that, in the view of this EQA represent an improvement over the preceding overall framework.

163. Adjustments to the Evaluation Policy should be considered by WIPO and IOD, and these are suggested in part 3 of this report.

164. The Evaluation Manual would benefit from updates to reflect both the findings, conclusions and recommendations of this EQA, as well as up-to-date developments in the theory and practice of evaluation, as well as in reference frameworks in the UN and broader multi-lateral systems.

165. The relatively small size of the evaluation section within IOD is such that there is not a requirement for the establishment of formal procedures as may be the case with a larger, and hence more complicated, organisational unit. To the extent that CEF practices are consistent generally with the IOD Charter, WIPO Evaluation Policy and UNEG Norms and Standards, which the EQA considers to be the case, there are efficiencies gained by responsive individualised exchanges on as-needed basis within the evaluation section and IOD.

166. In considering ways in which CEF could improve its performance and value, the EQA takes into account the realities of efficiency trade-offs between current CEF practices that meet a minimum requirement for formal processes, and increased formalisation that may reduce efficiency and, in turn, effectiveness.

167. This said, IOD's evaluation section should, as indicated earlier, institute a strategic management approach to formulate evaluation's value proposition and determine priorities, which in turn provides an objective and explicit frame of reference for making management and operational decisions on evaluations, their selection and conduct.

168. A strategic reference framework takes into account WIPO and IOD guidance, as well as applicable norms and standards, and systematically analyses organisational strengths and weaknesses, opportunities and threats in the external environment, to establish priorities for evaluation that will provide the highest likelihood of value for WIPO and its stakeholders. As such, it is the principal frame of reference for making management and operational decisions.

169. This strategic frame of reference can guide the selection and planning of evaluations in a practical, systematic and data-informed manner. For example, the notion of "coverage", which constitutes an important audit consideration relative to the audit universe, does not have the same applicability to evaluation which considers practical and realistic opportunities to provide the best possible value for the evaluation investment.

170. As well, the idea should not be to have as many evaluations as possible of different types, but to diversify evaluation's processes and products as required to maximise its value for WIPO and its stakeholders. Better to have one or two evaluations that bring strong value than a half dozen that bring little.

171. Following on the recommendations of the 2014 EQA, clarifications have been made to the role of the Evaluation Reference Group. The information collected by this EQA from interview respondents, as well as from a review of client satisfaction surveys administered by CEF, feedback with respect to the quality of consultation and inclusion of WIPO management and staff in the evaluation process, appears on balance positive.

172. There is a risk in the way in which ERG plays its role is at the stage of consultation on the final draft evaluation report. As indicated with respect to independence there is a risk to the autonomy of judgment of the evaluation, but as well, to the overall efficiency and effectiveness of the evaluation through possible delays and bottlenecks.

173. One way to reduce these risks is to divide consultation in the final stages of preparation of the final report into three distinct, sequential and complementary steps:

- Clearance of findings of fact.
- Presentation of evaluation conclusions and reception of comments.
- Co-production of recommendations.

174. In respect of recommendations and the processes associated with them, there are significant opportunities for improving them and the value they can bring to WIPO.

175. CEF should consider recent guidance and support on evaluation recommendations in accordance with the following:
https://wmich.edu/sites/default/files/attachments/u3036/2019/eval-rec-feinstein.pdf
In particular, CEF should test co-production with management, of recommendations.

176. The follow-up system for evaluation recommendations is undistinguishable from that of audit recommendations and, as such, is viewed and treated in WIPO in much the same fashion, i.e. as a compliance exercise.

177. IOD and CEF should consider decoupling the follow up of audit recommendations from the ongoing and joint assessment of the value of evaluation recommendations relative to the management of programmes, of WIPO, of its mission and broader stakeholder expectations.

2.2.3   Human Rights and Gender Equality

How well does the Evaluation Function make sure that principles related to Human Rights and Gender Equality are integrated in evaluations?

Findings
178. The EQA finds that principles and implicit standards related to Gender Equality have been integrated in evaluations from 2014 onwards, according to the implementation of WIPO's Gender Equality Policy which provides a general framework for integrating a gender perspective in WIPO policies and programs.

179. The EQA did not find evidence of a cogent guidance framework and operational guidelines for the integration of Human Rights and Gender Equality (HRGE) into CEF evaluations. The evaluations over the period 2014-2018 report findings on gender issues, however do not do so for human rights nor explain why this is the case.

180. The EQA notes that the Head of the Evaluation Section is the focal point on gender for IOD within WIPO.

Discussion
181. While there is an improvement in integration of gender issues in evaluations over the period 2014-2018 compared to what was found in the previous 2014 EQA, there is has been little in the way of equivalent progress with respect to human rights.

182. Nor does the evaluation policy that was revised in 2016 show any substantive added focus on human rights over the preceding evaluation policy of 2010.

183. The centrality of rights in the mission of WIPO would seem to indicate the commensurate relevance and importance of human rights. This perspective is insufficiently well reflected in the IOD guidance framework for evaluation and in the evaluation themselves, including their reports.

184. A systematic approach to the question of human rights should be developed by IOD and CEF, and operationalised in evaluation processes and products.

2.2.4   Quality

How well does the Evaluation Function control for the quality of its products and services? How good is the Evaluation Function's quality assurance of its evaluations? To what extent do the external quality assessments of the Evaluation Function contribute to its quality?

Findings

185. The EQA finds that there are explicit quality expectations for evaluation reports presented in the evaluation manual, i.e. the "Checklist for assessing the quality of evaluation reports of the WIPO IOD Evaluation Function", as well as references to applicable quality norms and standards in UNEG and in OECD-DAC. As well, there are a few references to the importance of quality at some of the key stages in the evaluation, e.g. terms of reference, data collection, final report, recommendations.

186. The EQA finds that evaluation reports are reviewed by the Director of IOD and that these are also presented to IAOC.

187. The EQA does not find evidence in CEF and IOD guidance documentation of clear and explicit definitions of quality control and of quality assurance nor of the distinction and differences between them.

188. The EQA notes that there is little activity from IOD with respect to decentralised evaluation in WIPO. Expectations in this respect are outlined in the Evaluation Policy document.

Discussion

189. On balance there is a reference framework for quality of evaluations that appears adequate considering the small size of the central evaluation function in IOD, however it is primarily normative in nature.

190. Consistent with preceding comments in this report, this EQA is of the view that quality of evaluation could be conceived from the perspective of the value it creates in support of WIPO's mission, its stakeholders and the general public, i.e. functional quality.

191. This perspective would provide a broader and more meaningful basis in which to anchor and define quality of evaluation, with positive implications for identifying principles of good evaluation as well as expectations in terms of process and of communication.

192. Consistent with the conclusion and recommendations of the 2014 EQA report, quality control should be the responsibility of the evaluation team leader while quality assurance could be provided by "professionally qualified evaluation experts external

to IAOD to provide assurance and advice at key points in the evaluation process, e.g. planning based on approach papers, terms of reference and inception reports; analysis and assessment based on findings and preliminary conclusions; final reporting."

193. Decentralised evaluation in WIPO takes place primarily at project level and there is little in the way of a systematic relationship with CEF, although IOD provides support on an as-requested basis. Given the state of staff resources in CEF it appears difficult at present to envision greater implication of CEF in decentralised evaluations.

194. The EQA notes that there have been improvements to the quality of WIPO's central evaluation function since the last EQA in 2014 as a result of its observations and recommendations.

PART 3
EVALUATION POLICY

195. This third part highlights aspects of the IOD Charter and of the Evaluation Policy that should be reconsidered with a view to enabling the evaluation function to provide its full value. The findings relative to each of the questions on guidance and human rights and gender equality are presented in part 2 of this report. As such, this part presents a brief discussion and conclusion on each question.

3.1 Guidance

How well does the Evaluation Policy provide clear and useful guidance to staff of the Evaluation Function, of the Internal Oversight Division, of WIPO and of its stakeholders?

Conclusion

196. Based on the findings presented earlier in this EAA report, and consistent with their related conclusions, and taking into consideration the resources, structure and capacity of CEF within IOD, the EQA concludes that the Evaluation Policy, together with the IOD Charter and the Evaluation Manual, provide clear and useful guidance to staff and stakeholders.

Discussion

197. Overall, the guidance documents should be revised and improved to better reflect the distinction between the audit and central evaluation functions of IOD, consistent with the observations made earlier in this report, and summarised in part 4. The thrust of these improvements being to strengthen the enabling environment for value generating evaluation and to incorporate up-to-date developments in the theory and practice of evaluation.

198. The definition of evaluation, both in the IOD Charter and the Evaluation Policy, should be revised to focus on its value proposition, to emphasise its learning purpose, to allow for the adoption of the full range of approaches, e.g. systemic, social justice, etc., to take out reference to OECD-DAC "criteria", to allow for assessing the full range of evaluands, e.g. themes, systems, etc.

199. In particular, care should be taken to distinguish and articulate clearly and whenever possible, the conceptual, terminological and operational distinctions between audit and evaluation.

200. Evaluation is independent of management and, as such, is neither a function of management nor is RBM a pre-requisite for evaluation. The link between evaluation

and the RBM systems and processes in WIPO is generally portrayed as mutually inter-dependent when it shouldn't be. Performance assessment, including self-assessment and reporting, is a management responsibility and obligation. Guidance documentation for evaluation in WIPO should be updated for consistency with these core principles.

3.2 Human rights and gender equality

How well does the Evaluation Policy integrate principles related to Human Rights and Gender Equality?

Conclusion

201. Based on a systematic review of the policy document and the findings presented earlier in this EAA report, the EQA concludes that principles related to Human Rights and Gender Equality (HRGE) are not sufficiently integrated in the Evaluation Policy (2016).

Discussion

202. There is in the evaluation manual appropriate specifications to the consideration of gender and human rights and their systematic operationalisation and incorporation into key stages of the evaluation.

203. While these show a clear intent to address issues related to HRGE within evaluation, what is missing in the overall evaluation guidance and policy framework of WIPO, is a clear explanation of the critical importance of these values to WIPO's mission and why they are essential to sound evaluation.

204. Evaluation theory and practice has seen over the last few years rapid and rich development of HRGE thinking and practice, which should be incorporated into the WIPO evaluation guidance and support framework.

205. HRGE should also be the focus on ongoing professional development for evaluation professional staff in IOD.

PART 4
RECOMMENDATIONS

206. This fourth part presents the recommendations of the EQA for consideration by CEF and IOD. They draw on the analysis of the strengths and good practices of CEF and IOD, as explained in the preceding sections of this report, and the systematic identification of actionable opportunities for improvement of evaluation in WIPO.

207. CEF has, in WIPO's overall evaluation guidance framework and in the leadership of the Director of IOD, reliable and genuine support for its evaluation mission and for its continued improvement. The progress made since the last EQA in 2014, despite the significant turnover in staff resources in IOD and a transition period of over a year, as well as the notable increase in quality and quantity of evaluations especially in 2017 and 2018, are evidence of successful and sustained effort to build a strong central evaluation function.

208. The quality and commitment of professional evaluation staff and their colleagues in IOD, show clearly through activities of professional development and a willingness to cooperate and innovate.

209. The notion of an evaluation function in WIPO is well acquired among executive and professional staff in the organisation, and the EQA finds broad support for its existence as well as a genuine desire to see it contribute fully to supporting WIPO's mission.

210. CEF's systematic inclusion of stakeholders in its evaluations and its readiness to consider feedback from them is a notable positive feature of its evaluation practice. This openness to the perspectives of stakeholders translates into CEF's openness to consider improvements to its evaluation practice. The recommendations that are presented here build on this disposition.

Clarify and communicate the value proposition of the evaluation function

211. Institute a strategic management approach to articulate the value proposition of evaluation, and to communicate its intrinsic and distinct value.

212. To draw out the full value of evaluation, it should not be envisaged as an extension of audit, and hence conceptualized from a normative point of view, but rather as a system function to help programs adapt to their fast-changing environment, to their specific challenges while contributing to the strategic objectives of WIPO.

213. Articulate a strategy for the evaluation function to lay-out its value proposition for WIPO, considering the specific context and requirements of the organisation. The strategy should be aligned with WIPO Strategic Plan and objectives.

214. Make clear evaluation's distinction from RBM

Focus the selection of evaluation topics

215. Select evaluations based on priorities and assessment of stakeholder needs. Evaluation topics should be selected according to their value proposition and based on needs assessment, more than coverage and risk assessment.

216. Provide a space for engaging with stakeholders in a process to gather meaningful inputs and exchanges beyond providing information to management on what has been decided in IOD.

Invest in evaluation planning

217. Sharpen the focus/scope of evaluations, by delineating more clearly what is concretely being evaluated and what are the activities that are not covered and why. The evaluation should also start with a clear, overarching evaluation question, framed by a perspective of knowledge generation instead of accountability, e.g. pilot a responsive and real-time evaluation

218. Diversify evaluation formats to help programs adapt to fast changing environments and tackle their specific challenges, e.g. developmental evaluation.

219. As part of utilization-focused planning clarify the specific value that the evaluation is intended to contribute to specific users and stakeholders, i.e. what difference will the evaluation make for them.

220. Have a clear and explicit evaluation plan. Do stakeholder analysis to identify all the key stakeholders to involve, to reduce "friction". Pay attention to the dispositions to preserve the autonomy of evaluative judgement. Establish the basis for assessment consistent with the evaluation approach, e.g. systemic, causal, rights-based, etc., and operationalize to rubrics, indicators, etc. as required and specific to the evaluand, i.e. do not use generic measurement concepts such as those of OECD-DAC as a one-size-fits-all for every evaluation.

221. Set quality management processes. Tailor the quality management process to the expectations for the evaluation. Quality management is focused not only on products and service quality but also on the means to achieve it; when planning the evaluation, make sure that all of the activities are aligned with the specific objectives of the evaluation.

222. Clarify the purpose of Evaluation Reference Groups (ERG), by stating a clear purpose and clear responsibilities in the TOR for ERG. A distinction should be made between a reference group that has sectoral or geographical expertise, can bring expert

knowledge and be a knowledge resource, and one that acts as a governance function, i.e. steering, and protects the independence of the evaluation.

Conduct evaluation focussing on communication and quality

223. Develop an overarching main question.

224. Use a "no surprises" communication approach.

225. Have systematic and credible quality control of the evaluation.

226. Have a structured quality assurance process from the start of the evaluation, possibly using external expert input, as and when required.

227. Evaluation purpose, approach, question, etc. should be formulated in a manner that is specific to the evaluand and the evaluation at hand, i.e. should not be applicable to other evaluands.

228. Collect only the data that are needed, you can always go back for more if required.

Improve evaluation follow-up

229. Co-produce recommendations with those that are directly responsible and involved with them.

230. Shift efforts from tracking, i.e. controlling for, the implementation of recommendations to supporting ongoing knowledge creation and feedback on evaluation contribution.

Establish an external evaluation advisory panel

231. Consider constituting an "Evaluation Advisory Panel"[10] to provide on an annual basis the Director of IOD and professional staff of the Evaluation Section, with high level expert advice and up-to-date evaluation knowledge relevant to strengthening WIPO's evaluation function.

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[10] http://web.undp.org/evaluation/documents/advisory-panel/IEO-International-Evaluation-Advisory-Panel-Members.pdf

Annex 1

Follow-up on recommendations from EQA 2014

Follow-up status

🟢 Implemented

🟠 Partially implemented

🔴 Not implemented

Conformity with UNEG Norms and Standards

Recommendations from EQA 2014		Comments / Actions taken
Publish, disseminate and communicate publicly all evaluation reports.	🟢	This requirement has been included in the IOD Charter, and implemented with exceptions (2 evaluations in 2014).
Address bottlenecks in the conduct of evaluations that threaten their timeliness.	🟠	Has improved, however, there are still bottlenecks that have not been tackled especially when it comes to managing the stakeholder contribution process.
Develop quality standards specific to the evaluation function and put in place an explicit quality control process to manage for quality each of the processes of programming, planning, implementation, communication and follow up.	🟠	Some quality processes have been set up, however these efforts have not been systematic, and are focused mainly on reports.
Address the evaluation function's ability to fulfil its learning mandate and contribute to organisational knowledge.	🟠	There has been an attempt to assess cross cutting topics that are found important for management, but the evaluations are still retrospective and fulfil essentially an accountability purpose.

Effectiveness

Recommendations from EQA 2014		Comments / Actions taken
Consider improving the quality and nature of IOD's engagement with WIPO management.	🟠	Engagement with stakeholders is now systematically done through their involvement in the ERG, however a stakeholder analysis would provide a basis for diversifying, adapting and further improving consultation processes.
Systematically include evaluability assessments at the programming stage of work planning for evaluations.	🔴	Evaluability assessments are not done.
Focus more systematically on intended users as part of programming and planning processes.	🟠	The evaluation process is based on an on-going relationship with intended users however more fulsome engagement at pre-planning and planning stages is required.
Consider diversifying the evaluation portfolio to conduct short cycle evaluations.	🟠	Evaluations are planned for coverage and use of each type of evaluation. Diversification should be a function of the evaluations specific value proposition and requirements of management among others, e.g. developmental evaluation.
Revisit the purpose and use of reference groups for evaluation.	🟠	The Evaluation Manual provides templates for writing TOR for ERG however the purposes and uses of ERG and other reference groups are not sufficiently well defined in documentation.

Human Rights and Gender Equality

Recommendations from EQA 2014		Comments / Actions taken
Maintain regular professional development sessions for evaluation staff on gender responsive evaluation.	🟠	The Head of the Evaluation Section is IOD's focal point for gender. There is no formal training plan on HRGE for the central evaluation function.

As part of to-be-developed quality control standards for evaluation, quality control and quality assurance processes operationalise and integrate HRGE.	🟠	There is an attempt to integrate UN-SWAP principles when conducting IOD's evaluations. And there are some indicators on these aspects in UNEG quality checklist for evaluation reports, used for quality control.
Access specialised HRGE resources so that evaluations provide assessments and recommendations to the stakeholders, programmes, organisations and networks on HRGE levers for effectiveness and sustainability.	🟠	IOD's central evaluation function has few resources and faces time constraints; it declares not being able to have a HRGE specialist for each evaluation.
Articulate a specific policy component for the integration of HRGE in all evaluations.	🔴	There is an increased number of recommendations on this topic, but there is no specific reference in the policy.
Develop annual operational plans for the integration of HRGE integration in evaluation.	🔴	No action taken.

Resources

Recommendations from EQA 2014		Comments / Actions taken
IOD monitors its level of allocation of qualified evaluation staff to its evaluation function and the feasibility of its intended workplan, based on a systematic and data based analysis of estimated workload.	🟠	Systematic and data-based analysis of workload would reduce the risk of underestimation/overestimation.

Quality Assurance

Recommendations from EQA 2014		Comments / Actions taken
Give priority to developing and instituting a quality control process for evaluation based on explicit quality standard.	🟠	Some quality processes have been set up, mostly on a case by case basis, however these should be improved.
Develop and institute a quality assurance process using professionally qualified evaluation experts external to IOD.	🔴	No action taken on this specific recommendation.

2015

- Evaluation of Program 3: Copyright and Related Rights 2010-2015 / Dec. 2015
- Evaluation of Program 30: Small and Medium-sized Enterprises and Innovation / Oct. 2015
- Evaluation Report on WIPO Rewards and Recognition Program (Pilot phases 2013-2014) / Feb. 2015
- Chile Country Portfolio Evaluation 2010-2014 Report / Jan. 2015

2014

- Evaluation Report on Strategic Goal VI: International Cooperation on Building Respect for Intellectual Property / Oct. 2014

WIPO – IOD / Quality

<u>External Quality Assessment</u>

- EQA 2014

<u>Satisfaction Survey</u>

- 2018 : post assignment (9) + after implementation of recommendations (3)
- 2017: post assignment (3) + one year after (6)
- 2016: post assignment (8) + one year after (3)
- 2015: post assignment (6) + one year after (2)

WIPO – IOD / Newsletters

UNEG – Guidance

- UNEG 2016 Norms & Standards

Annex 3

List of interviews

Participants to interviews and meetings in Geneva

Ms. Beatriz AMORIM-BOHRER	Director, Regional Bureau for Latin America and the Caribbean
Ms. Maya BACHNER	Director, Program Performance and Budget Division
Mr. Philippe BAECHTOLD	Director, PCT Services Department
Mr. Gregoire BISSON	Director, The Hague Registry
Mr. Ignacio de CASTRO-LLAMAS	Deputy Director, Arbitration and Mediation Center
Ms. Marion DIETRIECH	Director, Global Challenges Division
Mr. Marcelo DI PIETRO PERALTA	Director, South-South Cooperation and Special Projects
Ms. Julia ENGELHART	Senior Officer, Evaluation Office
Mr. Alain GARBA	Head, Audit Section
Mr. Oswaldo GIRONES	Senior Counsellor, Regional Bureau for Latin America and the Caribbean
Mr. Jean-Marc GUIRAMAND	Head of Performance and Development
Mr. George GHANDOUR	Senior Officer, Development Agenda Coordination Division
Mr. Francis GURRY	Director General, WIPO
Mr. Marcus HÖPPERGER	Director, Department for Trademarks, Industrial Designs and Geographical Indications
Mr. Claus MATTHES	Director, PCT Legal and International Affairs Department
Mr. Mario MATUS	Deputy Director General, Development
Ms. Cornelia MOUSSA	Director, HR Management Department
Mr. David MULS	Director, Madrid Registry
Ms. Chitra NARAYANASWAMY	Director, Program Planning and Finance Department
Mr. Patrice SAM	Head, Investigation Section
Mr. Rajesh SINGH	Director, Internal Oversight Division
Mr. Ramanathan Ambi SUNDARAM	Assistant Director General, Administration and Management

Mr. Yoshiyuki TAKAGI	Assistant Director General, Global Infrastructure
Ms. Macarena TORRES	Officer, Evaluation Office
Mr. Adan RUIZ VILLALBA	Head, Evaluation Office

Remote interviews participants

Mr. Mukesh ARYA	IAOC Member
Mr. Egbert KALTENBACH	(former) IAOC Member