

Evaluation of UNFPA support to population and housing census data to inform decision-making and policy formulation 2005-2014

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Acronyms

| | |
|----------|---|
| CO | Country offices |
| DHS | Demographic and Health Survey |
| EQA | Evaluation quality assessment |
| EO | Evaluation Office |
| HIV/AIDS | Human immunodeficiency virus/ Acquired immunodeficiency syndrome |
| HQ | Headquarters |
| ICPD | International Conference on Population and Development |
| M&E | Monitoring and evaluation |
| MDG | Millennium Development Goals |
| NSI | National Statistical Institute |
| OECD-DAC | Organisation for Economic Co-operation and Development/Development Assistance Committee |
| RO | Regional office |
| SRH | Sexual and Reproductive Health |
| TORs | Terms of reference |
| UNEG | United Nations Evaluation Group |
| UNFPA | United Nations Population Fund |
| UNSD | United Nations Statistics Division |

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1. Introduction

1.1 Purpose and objectives of the evaluation

The purpose of the evaluation, as set out in the terms of reference (ToR),¹ is to assess the extent to which the UNFPA support to population and housing censuses data to strengthen national capacity for the production and dissemination of quality disaggregated data, integrates evidence-based analysis into decision-making and policy formulation over the last 10 years.

The evaluation provides an opportunity to ensure accountability to partner countries, donors and other key stakeholders on the support of the UNFPA to the 2010 round of population and housing censuses and to the UNFPA Executive Board on performance against the 2008-2013 Strategic Plan. Furthermore, the evaluation will inform the programming and implementation of interventions under the current Strategic Plan (2014-2017) including key strategic orientations, gaps and opportunities for UNFPA support to population and housing census as well as to the post-2015 development agenda on data for development.

The primary objectives of the evaluation are:

- To assess the relevance, effectiveness, efficiency, and sustainability of the UNFPA support to the 2010 round of population and housing censuses.
- To assess the extent to which census data are disseminated and used to contribute to policies, development plans and programmes in relation to population dynamics, reproductive health and rights, youth, and gender equality issues.
- To identify lessons learned, capture good practices, and generate knowledge to inform the midterm review of the 2014 – 2017 Strategic Plan, in particular outcome 4, and to inform the support of UNFPA to the 2020 census round.

On the one hand the evaluation will analyse all supported technical areas of the census cycle from legal aspects, compliance with international standards, data collection operations, data processing and dissemination, to aspects associated to data quality frameworks. On the other hand, the core aim of the evaluation being to ensure the added value of the UNFPA support to censuses and the increase in use of census data in policy-making, the evaluation will focus as well on the analytical and policy-making side from the perspective of data users and policy makers at national and international level. The evaluation will concentrate on the use made of data in the core thematic areas of the International Conference on Population and Development (ICPD).

¹ The Terms of Reference are available in Annex 1.

1.2 Scope of the evaluation

Census operations are typically very large and complex and are seen as the most demanding statistical operation a country may undertake. The present evaluation will be tasked with evaluating:

- The relevance of UNFPA support to census data availability under the 2010 census round (2005-2014); and
- The implementation of the UNFPA support to enhancing national capacities on census data production, dissemination, analysis and utilization, focusing on the effectiveness, efficiency and sustainability evaluation criteria.²

This involves an assessment of all census stages that were supported with the array of UNFPA typology of interventions, and also includes the assessment on the use of innovative methods and data driven policy-making in core thematic areas. The scope of the evaluation leaves aside an in-depth assessment of census data quality as well as use of data in policy outside of the core thematic areas.

The scope of the evaluation includes both censuses where UNFPA has been directly involved by means of Annual Work Plans (AWP) and censuses where UNFPA has provided soft aid such as advocacy and policy dialogue, which are actions carried out by UNFPA staff and not implemented by means of AWP.³ A brief questionnaire will be sent to all UNFPA country offices (CO) to find out which specific soft aid activities were carried out during the period (see section 5.4 for more details). It must also be noted that the so-called direct involvement and soft aid are not mutually exclusive and the evaluation will also cover cases where both have taken place.

1.3 Purpose and structure of the inception report

This inception report aims at providing a methodological and organisational basis for conducting the evaluation. In order to guarantee a common understanding of censuses and its purpose, chapter 2 summarises the global context in which the UNFPA support to censuses has taken place by relating it to long term objectives of the ICPD, presenting the main objective of a census, providing a brief overview of the 2010 round and outlining the support provided by UNFPA during this round.

Chapter 3 explains in detail the support of UNFPA to population and housing censuses during the 2010 round analysing both programmatic and financial support.

Chapter 4 switches from the global perspective to the concrete strategies behind the UNFPA support to census worldwide covering the four UNFPA strategic frameworks covered during the period and briefly analysing their evolution. The intervention

² Annex 1, Terms of reference, page 9.

³ The team defines direct involvement as the support that is traceable through ATLAS, whereas soft aid is defined as activities that are conducted without being recorded in the system.

logic and the theory of change underlying UNFPA support to census are then reconstructed on the basis of these frameworks.

Chapter 5 presents the evaluation methodology and features a presentation of the analytical framework, introduces the rationale of each question and explains the sequence that goes from the evaluation questions to the data required to answer them. Based on the team's understanding of the questions, tools for data collection and analysis are suggested. The chapter concludes with a presentation of how cross cutting issues are included in the methodology.

Given that only one country per UNFPA region will be visited in the course of the evaluation, it is our aim to cover a balanced sample of countries in different development and support settings. Chapter 6 describes the sampling approach and selection criteria for case studies as well as for the *extended desk review* phase that will be conducted based on the initial survey to country offices carried out by the UNFPA Evaluation Office and on the findings of another two survey questionnaires administered by the evaluation: the *CO soft aid survey* and the *National Statistics Office (NSO) capacity survey* (see section 5.4 below).

Chapter 7 presents the risks and limitations faced by the evaluation associated with methodological considerations and with the selection method for case studies. The chapter also describes the foreseen risk management approach and mitigation measures as well as the assumptions underlying the overall evaluation approach.

Finally, chapter 8 describes the practical and managerial considerations related to the evaluation process covering, *inter alia*, the work plan, the team composition and the quality assurance mechanisms.

2. Global context

2.1 The International Conference on Population and Development and its 20 year review (beyond 2014)

The 1994 International Conference on Population and Development (ICPD) in Cairo proposed a new vision about the relationships between population, development and individual wellbeing. At the ICPD, 179 countries adopted a forward-looking, 20-year Programme of Action that built on the success of the population, maternal health and family planning programmes of the previous decades while addressing, with a new perspective, the need of the early years of the twenty-first century.

To support its goals, the ICPD Programme of Action specifies that:

“... valid, reliable, timely, culturally relevant and internationally comparable data form the basis for policy and programme development, implementation, monitoring and evaluation. Individuals, organizations and developing countries should have access, on a no-cost basis, to the data ... including those maintained by other countries and international agencies.”⁴

The key objectives of the ICPD Programme of Action are:

- To establish a factual basis for understanding the interrelationships between population and socio-economic issues.
- To strengthen national capacity to seek new information and meet the need for basic data collection, analysis and dissemination, in order to use the data in the formulation, implementation, monitoring and evaluation of overall sustainable development strategies and foster international cooperation.
- To ensure political commitment to, and understanding of, the need for data collection on a regular basis and the analysis, dissemination and full utilization of data.⁵

The Framework of Actions for the follow-up to the Programme of Action of the ICPD Beyond 2014 presented at the 47th Conference on Population and Development in 2014 aims at identifying progress and achievements made towards the goals set out in 1994, and at generating a renewed consensus and global commitment to create a more equal and more sustainable world.⁶ In particular, the report stresses that “Considerable weaknesses exist in the knowledge sector related to population and development in countries of the global South, including incomplete or unreliable data from civil registration, sample surveys and censuses, limited use of innovations such as geographic information systems, and, more generally, an underdeveloped

⁴ Programme of Action of the 1994 International Conference on Population and Development (ICPD). ISBN 978-0-89714-022-5. Paragraph 12.1.

⁵ Idib. Paragraph 12.2.

⁶ Framework of Actions for the follow-up to the Programme of Action of the International Conference on Population and Development (ICPD) Beyond 2014. Commission on Population and Development. E/CN.9/2014/4.

capacity for using data for development”. The report notes that despite significant improvements in data collection, in particular in the use of new technologies, progress in many countries has not yet been sufficient to foster effective knowledge-driven governance and development planning and strategies.

2.2 The Millennium Development Goals

In September 2000, 189 member states of the United Nations adopted the Millennium Declaration, including commitments to poverty eradication, gender equity and maternal health.⁷ A year later the UN Secretary General’s Road Map for implementing the Millennium Declaration formally unveiled eight goals, supported by 18 quantified and time-bound targets and 48 indicators, which became known as the Millennium Development Goals (MDGs). The MDGs focused the efforts of the world community on achieving significant, measurable improvements in people’s lives by the year 2015. This new process put evidence at the centre of the global effort to reduce poverty and promote economic and social development and thus presented a major opportunity as well as a challenge to the international statistical community. Actually, the demand that the 48 indicators of the MDGs and more generally the need for better quantitative indicators to monitor development goals posed on national statistical systems exceeded the capacity of the poorest countries.

2.3 The Marrakech action plan

To address the need to increase national statistical capacities, the Second International Roundtable on Managing for Development Results (Marrakech, 2004) adopted the Marrakech action plan for Statistics (MAPS), as the basis for a new global partnership for improving development statistics.⁸

The MAPS encompasses six actions: (1) mainstreaming strategic planning for the development of statistics; (2) preparing for the 2010 round of population censuses; (3) increasing financing for statistics; (4) setting up an International Household Survey Network (IHSN); (5) improving data for monitoring the Millennium Development Goals; and (6) improving accountability and coordination of the international statistical system.

The MAPS stated that the forthcoming round of population and housing censuses was especially critical because of the role that censuses played in providing the necessary underlying data for monitoring the MDGs. It stressed that population censuses were essential tools for policy and planning purposes, especially as no other data source provided the level of detail available in the census on location, age and gender. However, it noted that censuses were perhaps the most costly data collection activity that a national statistical system may undertake.

⁷ UN General Assembly, United Nations Millennium Declaration: Resolution adopted by the General Assembly 8 September 2000, A/55/L.2, available at: <http://www.un.org/millennium/declaration/ares552e.htm>

⁸ Paris21, Better Data for Better Results: An Action Plan for Improving Development Statistics, Marrakesh, 2004, available at:

epp.eurostat.ec.europa.eu/portal/page/portal/international_statistical_cooperation/documents/MARRAKECH_ACTION_PLAN_FOR_STATISTICS.PDF

The MAPS recommended developing an overall strategy for funding and conducting censuses in low-income countries. The first priority identified was to build consensus on the importance of the 2010 Census Round, recognizing the role that census data will play in measuring the MDGs in 2015. It was also recommended to build national capacity at the technical level and to coordinate and negotiate with donors and users, pooling together potential contributors in a cost-effective strategy.

2.4 The African symposia for statistical development

Following a report by the United Nations Secretary-General to the General Assembly in September 2005, which showed glaring data gaps in monitoring the progress made in Africa on the MDGs, African statisticians, led by Statistics South Africa, decided to organize an annual African Symposium for Statistical Development (ASSD). The first six symposia had the objective to:

- Call upon all African countries to participate in the 2010 round of Population and Housing Censuses.
- To share best practices on planning and management, execution, processing, analysis and dissemination.
- To promote South-South cooperation.⁹

2.5 Population and housings censuses

As already mentioned, population and housing censuses play a key role in providing periodically detailed data on the number and characteristics of the population and its housing conditions, not only for the country as a whole, but for each locality.

According to the international definition, a population and housing census is the total process of collecting, compiling, evaluating, analysing and publishing or otherwise disseminating demographic, economic and social data, pertaining, at a specified time, to all persons and to all living quarters in a country.¹⁰

The census, in its traditional form, is a complex and massive operation. It requires mapping the entire country, mobilizing and training thousands of enumerators, conducting a massive public campaign, canvassing all households, collecting individual information, compiling vast amounts of completed questionnaires, and analysing and disseminating the data. A census is not complete until the information collected is made available to potential users in a form suited to their needs.

⁹ UNECA, Population and Housing censuses, an African perspective. Presentation to the UN Expert Group Meeting on the Revision of the Principles and Recommendations on Population and Housing Census, November 2013 available at http://www.google.de/url?sa=t&rct=j&q=&esrc=s&source=web&cd=1&ved=0CCgQFjAA&url=http%3A%2F%2Funstats.un.org%2Funsd%2Fdemographic%2Fmeetings%2Fegm%2FNewYork%2F2013%2FUNECA_African_%2520perspective.ppt&ei=gjR_VKGwM4W7Pd3CgIgP&usg=AFQjCNHYfqsZVLMoFX8GB_ctUHLco0-kwA&sig2=HMwWFHvmfngvyVI9pCs7Bg&bvm=bv.80642063.d.ZWU

¹⁰ UNSD, UN Principles and Recommendations for Population and Housing Censuses, Rev. 2. Series M No. 67/Rev.2. New York, 2008, available at <http://unstats.un.org/unsd/demographic/sources/census/census3.htm>

The census is a critical planning tool, helping policymakers plan for the future in terms of schools, clinics and hospitals, roads, urban infrastructure and more. It can measure fertility, mortality and spatial distribution so as to predict and plan for demographic trends. Censuses are a rich source of information about the differences between men and women, girls and boys, or about the needs and requirements of population subgroups such as adolescents. They can uncover gender disparities in employment, literacy, age of marriage and assets. They can also reveal the number of people with disabilities and orphans by area and map out the types of dwellings, sources of drinking water, access to telecommunications and patterns of energy use, among many other things.¹¹ Combined with survey-based information, censuses allow analysis of geographical patterns of social characteristics, such as poverty mapping exercises. They also provide the basic sampling frame for household surveys. For example, the methodological guide for Demographic and Health Surveys (DHS) considers the census frames as generally the best available sampling frame in terms of coverage, cartographic materials and organization.¹²

Censuses also play a crucial role in assessing the comparability of indicators between countries. In many countries where the statistical system is not fully developed, population and housing censuses are often the main statistical operation.

Most of the Indicators of the MDGs cannot be computed directly from census data, but require data from either household sample surveys or vital statistics. However, some other indicators can potentially be computed from census data. In addition, the population census provides the total population figure, which is a denominator for most Indicators.¹³

2.6 The 2010 round of population and housing censuses

The UN Statistical Commission at its 36th session in 2005 approved the work programme of the 2010 round of population and housing censuses (2005-2014). The UN Economic and Social Council (ECOSOC) in its 2005/13 resolution stressed the importance of the 2010 round of census for socio-economic planning and encouraged Programme Countries to conduct a population and housing census, at least once during the period 2005 to 2014, and to disseminate census results as an essential source of information for national, regional and international planning and development.¹⁴

The main objectives of the 2010 round of census are:

- To agree on international principles and recommendations to conduct a population and housing census.

¹¹ UNFPA, *The Population and Housing Census: Counting Everyone*, available at http://countryoffice.unfpa.org/uganda/2014/10/15/10789/unfpa_supports_census_counting_everybody/

¹² ICF International. 2012. *Demographic and Health Survey Sampling and Household Listing Manual*. MEASURE DHS, Calverton, Maryland, U.S.A.: ICF International. ICF International. September 2012.

¹³ *UN Principles and Recommendations for Population and Housing Censuses, Revision 2* (United Nations publication, Sales No. ST/ESA/STAT/SER.M/67/Rev.2.)

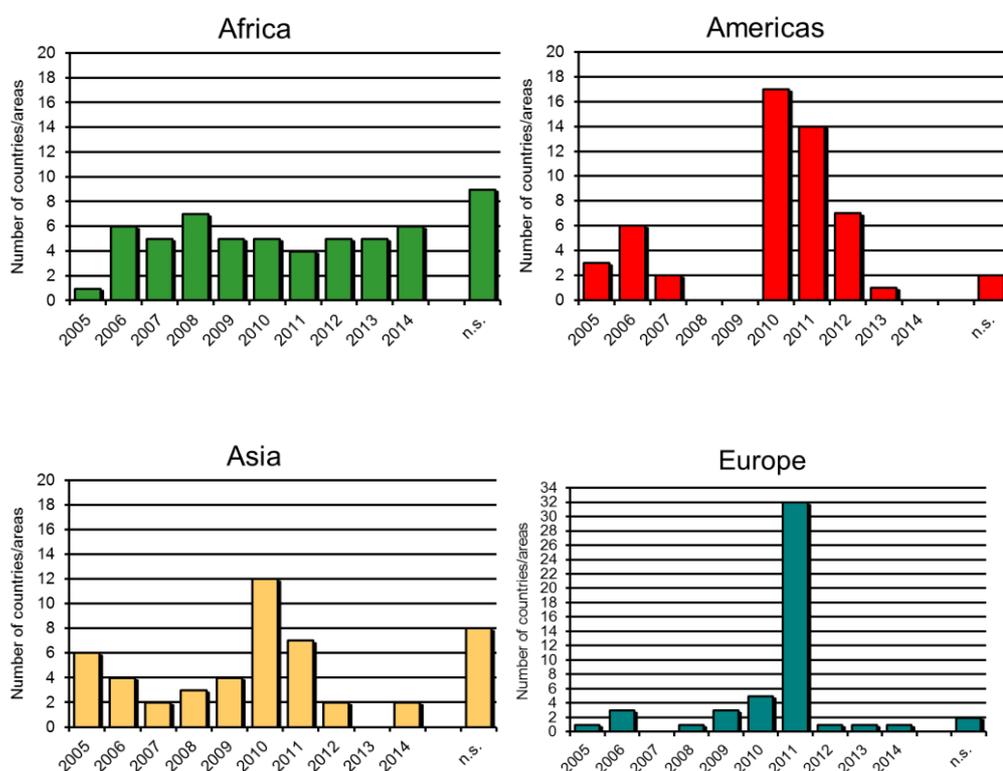
¹⁴ ECOSOC Resolution 2005/13: 2010 World Population and Housing Census Programme.

- To facilitate countries efforts in conducting a population and housing census at least once during the period 2005-2014 (2010 round).
- To assist countries to disseminate population and housing census results in a timely manner.

Regarding the implementation of the 2010 round, the peak of the census round in terms of the number of censuses taken was 2011. That year 60 countries or areas conducted a census.

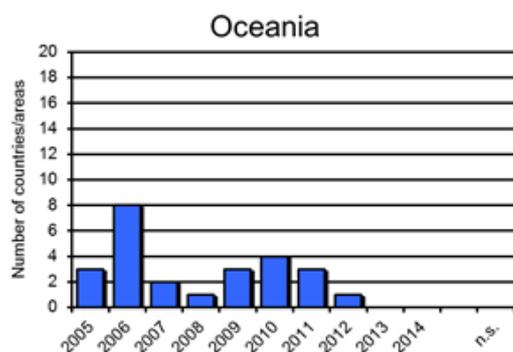
An estimated 6,391,500,187 persons (93% of the estimated world population) have been enumerated in the 214 censuses conducted as of 1st of December 2014.¹⁵ The single year with the highest number of persons enumerated was 2010, when 43 countries or areas (including China) with a population of over 2.5 billion (37% of the world population) conducted a census.¹⁶ However, it is noticeable that the conduct of censuses in Africa was quite spread over the period, and many countries postponed their implementation for financial reasons. Of the 21 countries or territories that had not conducted a census as of 1st of December 2014, nine were in Africa and eight in Asia, and the reasons were mainly due to conflict or instability situations (Figure 1).

Figure 1 - Distribution of conducted and scheduled censuses over the period of the 2010 round by region



¹⁵ UNSD, 2010 World Population and Housing Census Programme website, available at http://unstats.un.org/unsd/demographic/sources/census/2010_PHC/default.htm

¹⁶ Ibid.



Source: UNSD website

In comparison with the previous round, the 2010 round is far more successful. Indeed, the 2000 round was characterized by a certain number of failures in its implementation: 27 countries or territories did not carry out a census during the period 1995-2004, mainly in Africa where about half of the population was not enumerated.¹⁷ The main reasons included the political situation (instability, conflicts), but also budget issues linked to the heavy financial burden of the census for any country, in addition to a certain disengagement of international sponsors. Moreover, the quality of some of the censuses carried out during this cycle has been questioned, especially in terms of coverage of the population.

A global survey on country practices of censuses conducted by the United Nations Statistics Division (UNSD) reveals that many countries have attempted to conduct a census in more innovative ways during the 2010 round, in particular, by introducing new or multiple methods to obtain the census data and using modern technologies.¹⁸ Cartography is one of the census domains that have benefited the most from technological innovations. The fast growing capabilities of Geographic Information Systems (GIS), the easier access to satellite images and aerial photography, associated with coordinates obtained by Global Positioning Systems (GPS) to produce digitized maps, have considerably improved the quality of the maps produced for census purposes. The survey results show that 75 countries (64%) are using GIS in their 2010 census round. This is the most used type of technology especially in Africa, North America and Asia. Another emerging use of new technology witnessed by the 2010 round is the use of hand-held devices to collect data in the field, instead of using paper questionnaires.

At the same time, there have also been challenges such as rising costs of budgets for census operations, and the lack of technical expertise to utilize the available technology.

¹⁷ UNSD, The 2010 Round of Population and Housing Censuses: a global review, April 2011.

¹⁸ UNSD, Overview of national experiences for population and housing censuses of the 2010 round, June 2013.

3. The support of UNFPA to the 2010 census round

3.1 Programmatic support

UNFPA plays a unique role within the United Nations system: to address population and development issues, with an emphasis on reproductive health and gender equality, within the context of the ICPD Programme of Action and the MDGs.¹⁹ In collaboration with other United Nations agencies, in particular the United Nations Statistics Division (UNSD), UNFPA supports population and housing censuses by strengthening processes and enhancing the national capacity to generate, produce, analyse, utilize and disseminate high-quality statistical data. UNFPA support is mainly focused on advocacy, policy dialogue, advice, and knowledge management interventions. Census support is a key component of UNFPA interventions, and accounts for a significant proportion of resources within the population and development programmatic area at UNFPA.²⁰

During the 2010 round, UNFPA provided support to more than 130 countries through policy dialogue, advocacy, technical assistance, advice, capacity development, procurement of equipment or services, financial support coordination and south-south cooperation among others.²¹

In addition, in 2008 UNFPA launched the **Special Initiative on Census (SIC): supporting the 2010 round** to ensure that programme countries receive support to mobilize the funds and the technical capacity they need to complete a population census during the 2010 round.

The Special Initiative planned to bring together the technical resources of UNFPA at headquarters, regional and country level to support national efforts during the 2010 round of censuses. The Initiative intended to enhance the support provided through UNFPA Country Programmes by facilitating access to technical resources and training opportunities as well as by providing guidance on resource mobilization for population and housing censuses and by encouraging South-South cooperation across countries and regions. The Special Initiative also intended to assist National Statistical Offices to implement innovative technologies, such as geographic positioning system and mobile data entry devices. Furthermore, it aimed at ensuring that data generated from the 2010 census round was widely disseminated and extensively used for the preparation of development plans and programmes, as well as for their monitoring and evaluation.²²

¹⁹ United Nations Population Fund, the UNFPA Strategic Plan, 2014-2017. Paragraph 29, DP/FPA/2013/12.

²⁰ Ibid.

²¹ According to a survey sent to country offices by the Evaluation Office in June-October 2014.

²² 2011 Global and regional work plan: support to the 2010 round of population and housing census. Special initiative on census.

Planned activities of the SIC included needs assessment, inventory of available expertise on censuses, workshops, development of a website, development of prototype elements of specifications and programs as well as various guides. The SIC was discontinued in 2011 as a specific unit. However, a new post of Census Analyst was created in the Technical Division of UNFPA.

During the 2010 round of Population and Housing Censuses, the internal organization of UNFPA has undergone changes. In 2008, Regional Offices were reorganized and relocated to their respective geographical regions. This led to a re-articulation of the modalities for technical assistance: the direct technical assistance to countries was mostly resolved at the regional level, whereas the role of the Technical Division at Headquarters became more circumscribed to the upstream compilation of best practices and the development of general guidelines and technical products.²³

3.2 Financial support from 2005 until June 2014

The amount of UNFPA financial support to census during the 2010 Population and Housing Census Round was calculated based on data from two different sources: the Atlas and a survey sent by the Evaluation Office to country offices. Atlas, launched in 2004, is a financial and, to a lesser extent, programme management tool that provides basic data (mostly on budget, expenditure and implementation rates) on the work of UNFPA at country, regional and global level. To complement the records from Atlas, the Evaluation Office initiated a survey of country offices. The survey aimed to capture UNFPA support to censuses, including the number of stages supported, the contours of the support and the amount spent on censuses.²⁴

Even though, as noted above, data on financial support to census has been gathered from both the survey and Atlas, the information presented below is based solely on Atlas – specifically the “portfolio of interventions in support of census” (see volume 3, annex 1).²⁵ Results of the survey were however used for triangulation and, additionally, have served as the primary basis for the selection of country case studies.

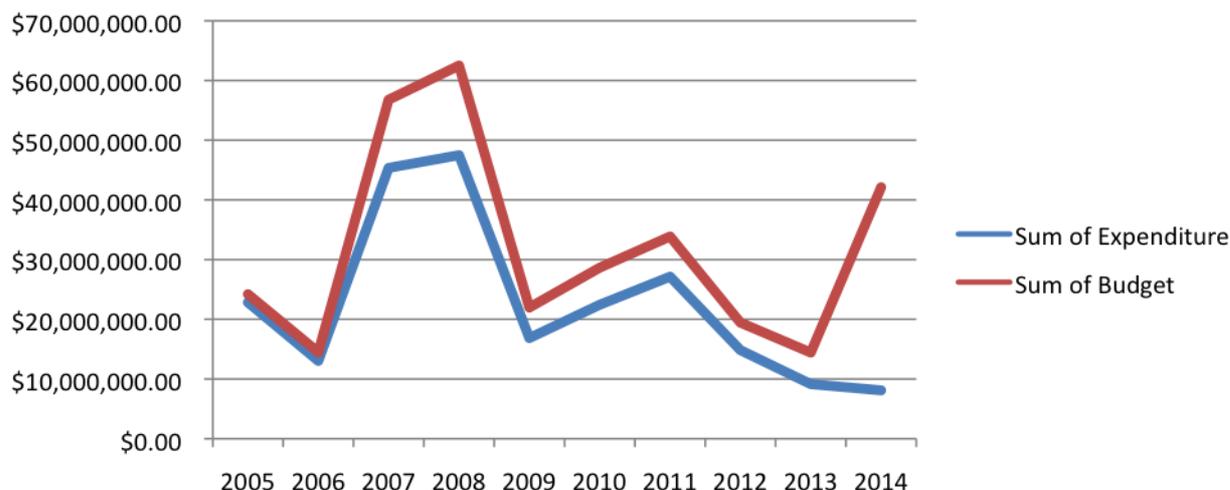
The total amount spent on census within the period under evaluation is \$227.2 million, with the amount spent varying considerably over time (see Figure 2). The total amount budgeted for census is \$318.4 million. While the amount budgeted each year exceeds the amount spent, it does not, on the whole, do so dramatically, suggesting strong implementation rates (see Table 1).

²³ UNFPA Technical Division, Population and Development Branch, *Activities developed under the Framework Agreement between the Government of Luxembourg and the United Nations Population Fund (UNFPA) in the area of Population and Development (“Demographic Evolutions”) 2008-2013*.

²⁴ For further details on the survey, including methodology and limitations, please see volume 3, annex 3.

²⁵ The methodology utilized to develop the portfolio of interventions can be found in volume 3, annex 2.

Figure 2 - Total amount budgeted and spent (including both core and non-core resources) on census



Source: Atlas (generated June 10, 2014)

Table 1 details implementation rates, underscoring strong rates over time. The low rate of implementation in 2014 may likely be attributed to the fact that the data, generated mid-way through 2014, does not capture expenditure in the second half of 2014.

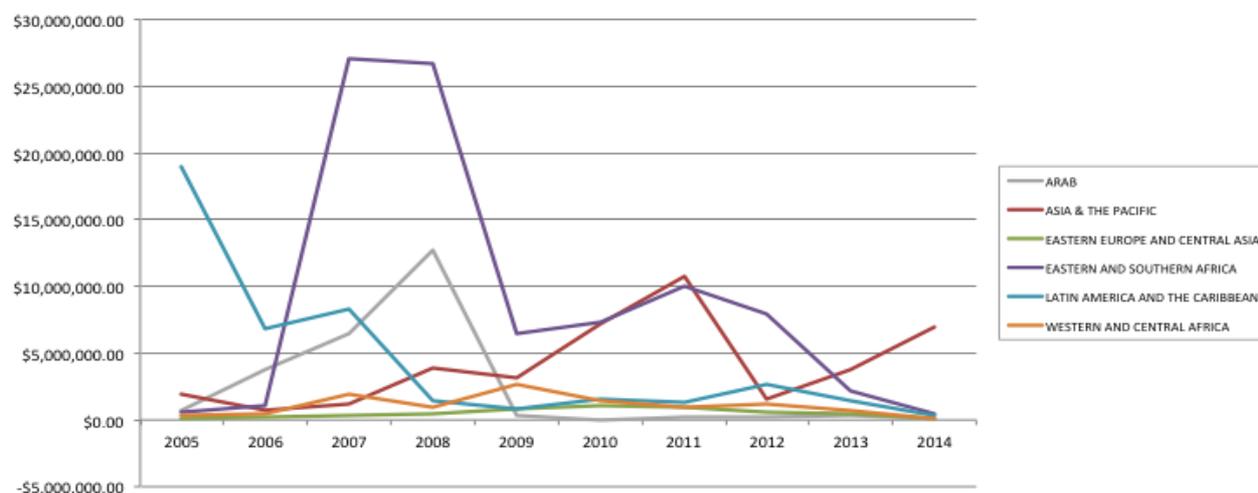
Table 1 Implementation Rates

| Year | Budgeted Amount for Census (USD) | Expenditure on Census (USD) | Implementation Rates |
|------|----------------------------------|-----------------------------|----------------------|
| 2005 | \$24,203,053.37 | \$22,829,497.70 | 94% |
| 2006 | \$14,473,758.71 | \$13,033,323.52 | 90% |
| 2007 | \$56,776,512.81 | \$45,358,149.86 | 80% |
| 2008 | \$62,503,881.35 | \$47,492,558.65 | 76% |
| 2009 | \$21,964,026.14 | \$16,852,357.46 | 77% |
| 2010 | \$28,647,978.78 | \$22,436,638.95 | 78% |
| 2011 | \$33,871,019.74 | \$27,142,581.26 | 80% |
| 2012 | \$19,444,677.17 | \$14,830,772.68 | 76% |
| 2013 | \$14,424,714.04 | \$9,142,614.03 | 63% |
| 2014 | \$42,116,554.40 | \$8,102,203.64 | 19% |
| | \$318,426,176.51 | \$227,220,697.75 | 71% |

Source: Atlas (generated June 10, 2014)

The total amount spent by country offices grouped by region is highlighted in Figure 3. The sum of country office expenditure on census over time is, on aggregate, the highest in Eastern and Southern Africa, with country offices in Latin America and the Caribbean, Asia Pacific, the Arab region, and Western and Central Africa following suit, respectively. Aggregate expenditure in Eastern Europe and Central Asia over time was the lowest.

Figure 3 - Total of census expenditure at country office level grouped by region from 2005 - June 10 2014



Source: Atlas (generated June 10, 2014)

The spike witnessed in 2007 and 2008 in Eastern and Southern Africa largely reflects a sharp increase in expenditure on census by country offices in Mozambique and Malawi. In 2007, UNFPA Mozambique contributed \$16.8 million in support of the census, while UNFPA Malawi spent \$11.2 million 2008 for the same purpose.

Within Latin America and the Caribbean, the high aggregate figures seen from 2005 to 2007 are a result of high levels of census expenditure by UNFPA in Peru. UNFPA Peru spent \$17.9 million in 2005, \$6.3 million in 2006, and \$7.9 million in 2007 in support of the two Peruvian censuses (the first taking place in 2005 and the second in 2007).²⁶ The smaller spike witnessed in 2012 is due to increased expenditure by UNFPA Dominican Republic, the country office spending \$2.0 million in support to census that year.

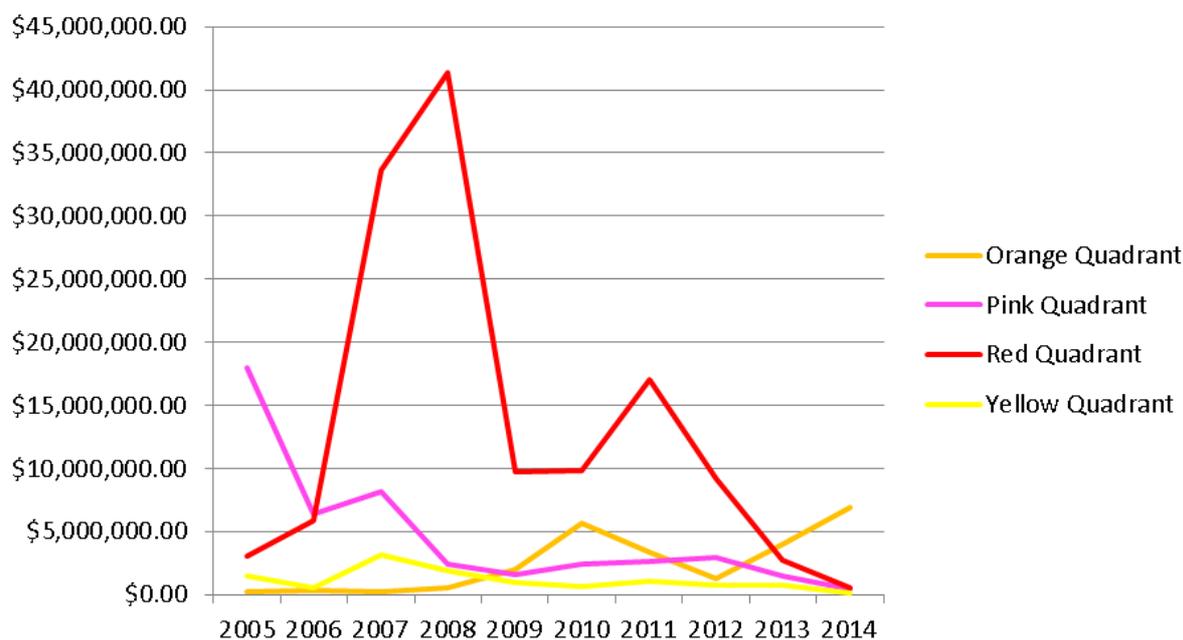
Within the Arab region, Palestine conducted a census in 2007 and Sudan in 2008 and UNFPA country offices within each country/territory spent a large amount in support of the census. In 2007, UNFPA Sudan spent \$3.6 million and UNFPA Palestine spent \$2.7 million, while in 2008, UNFPA Sudan spent \$11.3 million and UNFPA Palestine spent \$884,092, accounting for the striking upswing in aggregate expenditure seen in 2008. Additionally Sudan CO spent \$3.6 million in census support in 2006, which taken together with the country office's expenditure in 2007, explains the higher overall levels of expenditure seen from 2006-2007.

Asia Pacific witnessed a spike in 2011 due primarily to UNFPA Bangladesh, which spent \$6.2 million in 2011 in support of Bangladesh's census (which took place in 2011). That same year, Pakistan country office spent \$1.6 million and UNFPA Timor Leste spent \$1.1 million, further raising the aggregate and contributing to the upsurge seen in the Figure. Myanmar has recently conducted its census (in 2014),

²⁶ For more information, see volume 2; annex 11, which presents a detailed portfolio of interventions prepared for the Peru pilot country case study.

with Myanmar CO spending \$2.5 million in 2013 and \$6.5 million in 2014, which explains the climb in aggregate expenditure seen in 2014.

Figure 4 - Expenditure by Country Quadrant from 2005 - June, 10, 2014



Source: Atlas (generated June 10, 2014)

Figure 4 illustrates the total expenditure on census by UNFPA country quadrant, UNFPA current country classification system, which categorizes countries based on ability to finance and needs. Over time, census expenditure on the whole was highest in the red quadrant, comprised of countries with high unmet needs and low ability to finance. The sharp rise in expenditure within the red quadrant seen in 2007 and 2008 suggests a significant increase in census expenditure by COs within the quadrant. In 2007, both Mozambique CO and Ethiopia CO (red quadrant countries) spent a significant amount on census, contributing disproportionately to the rise seen that year, with Mozambique CO spending \$16.8 million and Ethiopia CO spending \$6.8 million. In 2008, Sudan CO, which spent \$11.3 million and Malawi CO, which contributed \$11.2 million, account for the spike observed, whereas in 2011, the spike in red quadrant expenditure may be attributed to a large extent to the expenditure of Bangladesh CO, namely \$6.2 million.

In 2005, Peru CO spent \$17.9 million in support of census, accounting for the peak seen in 2005 within the pink quadrant. Peru CO also spent \$6.3 million in 2006 and \$7.9 million in 2007, resulting in the higher overall expenditure seen from 2005-2007 in the pink quadrant. The slight rise in expenditure seen within the yellow quadrant in 2007 reflects high levels of expenditure by Palestine CO that year - \$2.7 million. The apexes seen in the orange quadrant in 2010 and 2014 are due, respectively, to UNFPA Pakistan, which spent \$3.3 million in 2010 and to UNFPA Myanmar, which spent \$6.5 million in 2014.

Figure 5 - Breakdown of type of expenditure on census

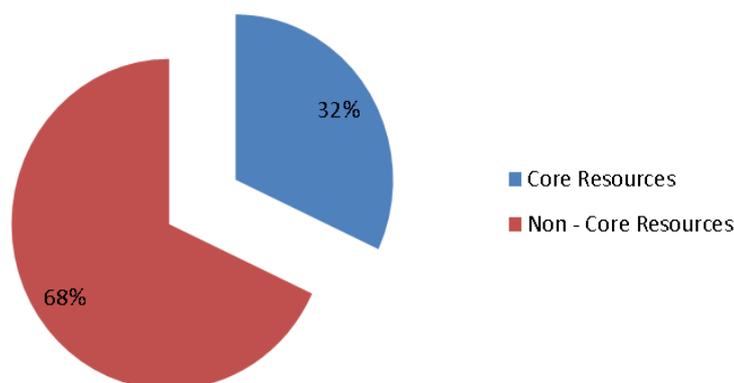


Figure 5 breaks down total expenditure on census over the entire timeframe by core and non-core resources. A large majority of expenditure for census is non-core (68%), while the remaining expenditure is core (32%).

Source: Atlas (generated June 10, 2014)

Figure 6 - Expenditure on Census as percentage total UNFPA Expenditure

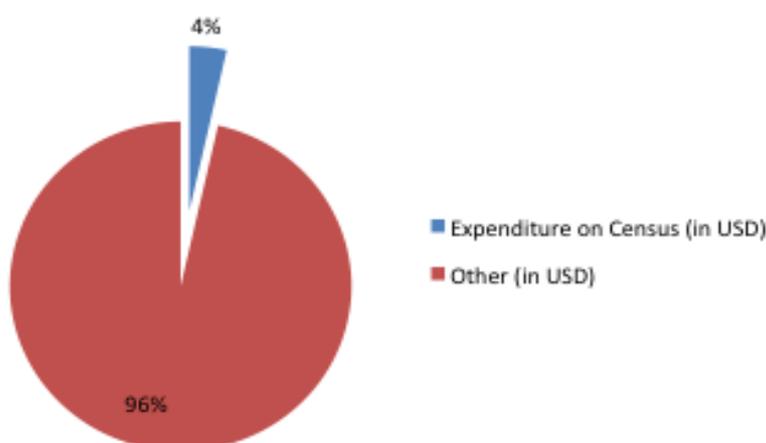


Figure 6 captures census expenditure as a percentage of total UNFPA expenditure,²⁷ that is, expenditure in all programmatic areas.²⁸ The amount spent on census, as noted above, is \$227.2 million or 4% of total UNFPA expenditure.

Source: Atlas (generated June 10, 2014)

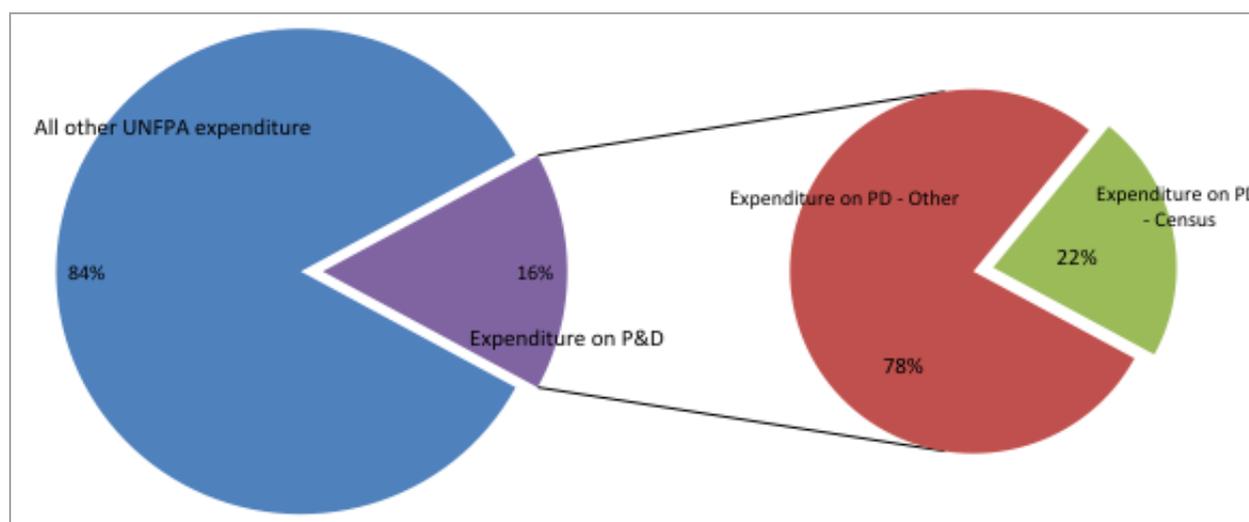
Figure 7 shows expenditure on Population and Development (P&D) as a percentage of total UNFPA expenditure. Expenditure on P&D amounted up to \$1.02 billion, or 16% of total UNFPA expenditure. The chart also illustrates the breakdown of P&D expenditure, with expenditure on census comprising 22% of the overall P&D expenditure.²⁹

²⁷ This includes both programmatic and management expenditure.

²⁸ Reproductive health, population dynamics, gender equality, human rights, and adolescents and youth.

²⁹ Though not reflected in Chart 7, not all census expenditure falls within Population and Development expenditure. A breakdown of census expenditure at coding level reveals that while 99% falls under Population and Development expenditure, 1% of census expenditure (i.e. \$1,482,008.04) falls outside (in the “All other UNFPA expenditure” slice), comprising about 0.027% of that slice.

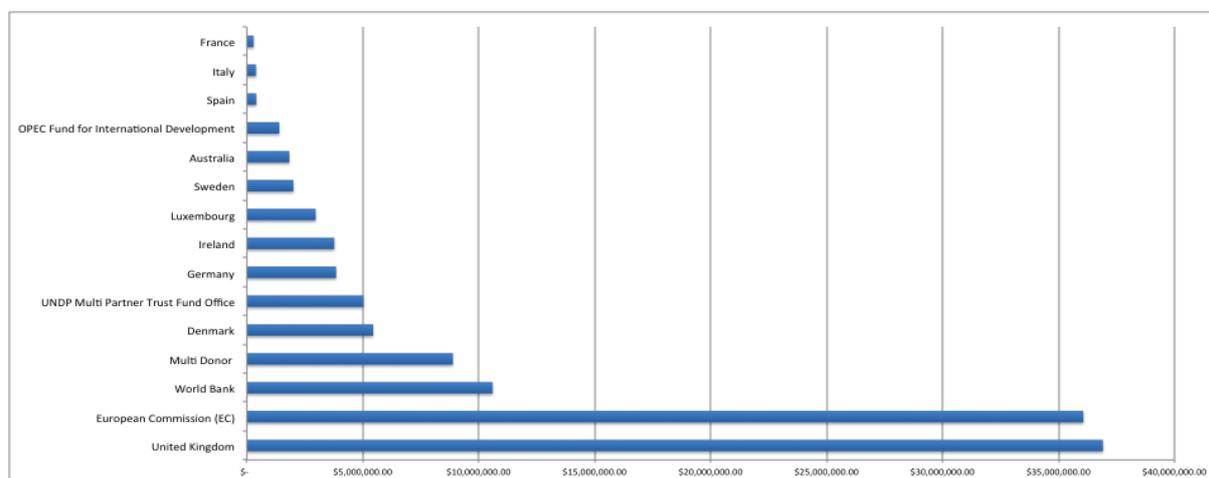
Figure 7 - Expenditure on P&D as percentage of total UNFPA expenditure and expenditure on census as percentage of total P&D expenditure



Source: Atlas (generated June 10, 2014)

Figure 8 shares the top 15 donors by expenditure. The United Kingdom stands as the largest source of non-core funding for census, followed by the European Commission. Donors listed in the chart are, in certain cases, the original source of funding (i.e. the UK) and, in other cases, indicate a multi-donor arrangement with an administrative agent.³⁰ In multi-donor funds, financial contribution is not attributed to one donor or another, but rather pooled (in this case, to fund the census).³¹

Figure 8 - Top 15 donors (non-core funding sources) for census by expenditure (2005-2014 June)



Source: Atlas (generated June 10, 2014)

³⁰ Entity responsible for administrating the funds received from the original source.

³¹ The donors listed under the funds administrated by the “UNDP Multi Partner Trust Fund Office” are: The UK, Ireland, Norway, Spain, Finland, Australia, Luxembourg, The Netherlands, Switzerland, Belgium, New Zealand, Canada, Sweden, France, the EU, Austria, Iceland, Japan, Republic of Korea, Denmark, Germany, Turkey, India, Kuwait, Qatar, The United States, Greece, and New Zealand. The donors listed under the funds managed by UNFPA under the “Multi - donor” category are: UNDP, WHO, UNICEF, Australia, Ireland, Italy, Norway, Switzerland, UK, Sweden, and Finland.

3.3 Typology of UNFPA support

On the basis of the results of the aforementioned survey sent by the Evaluation Office to country offices, UNFPA support to population and housing censuses can be classified according to the following typology of actions:³²

- Advocacy and policy dialogue to encourage the undertaking of censuses, resource mobilization, and create motivation and political commitment to collect and use internationally comparable data;
- Technical assistance and advice for planning, preparing, and carrying out the census including dissemination and analysis activities;
- Service delivery and procurement (with core or non-core funds): for example to procure equipment or services such as scanners for questionnaire data capture, printing of questionnaires, or to pay field staff directly.
- Facilitation of South-South and triangular cooperation.

According to the business model of the 2014-2017 Strategic Plan, countries' demand for UNFPA support is shifting: whereas there is almost unanimous demand for UNFPA involvement in strengthening national capacity through technical assistance, countries are less interested in service delivery and more keen on upstream work on advocacy and policy dialogue/advice. Additionally, countries – particularly middle-income countries – are increasingly asking UNFPA to assume a new role: a broker of high-level expertise. South – South and triangular cooperation will also become an increasingly important focus over the period 2014-2017.³³

From the EO survey to country offices, we attempted to classify UNFPA support to population and housing censuses during the 2010 round according to the four modes of UNFPA engagement noted previously. This will need to be confirmed through extended desk reviews and field visits.

Table 2 - UNFPA support to the 2010 round of Population and Housing Censuses by category and region

| Region | Advocacy- Policy dialogue | TA- Capacity building | Service delivery & procurement | South-South | Number of countries supported |
|--------------|---------------------------------|--------------------------|-----------------------------------|-------------|-------------------------------------|
| Asia-Pacific | 44% | 100% | 56% | 31% | 32 |
| Arab states | 29% | 93% | 36% | 14% | 14 |
| EECA | 47% | 87% | 60% | 20% | 15 |
| ESARO | 60% | 100% | 67% | 13% | 15 |
| LAC | 15% | 73% | 50% | 18% | 40 |
| WCARO | 89% | 100% | 89% | 0% | 18 |
| Total | 42% | 90% | 58% | 18% | 134 |

Source: Evaluation office survey, 2014

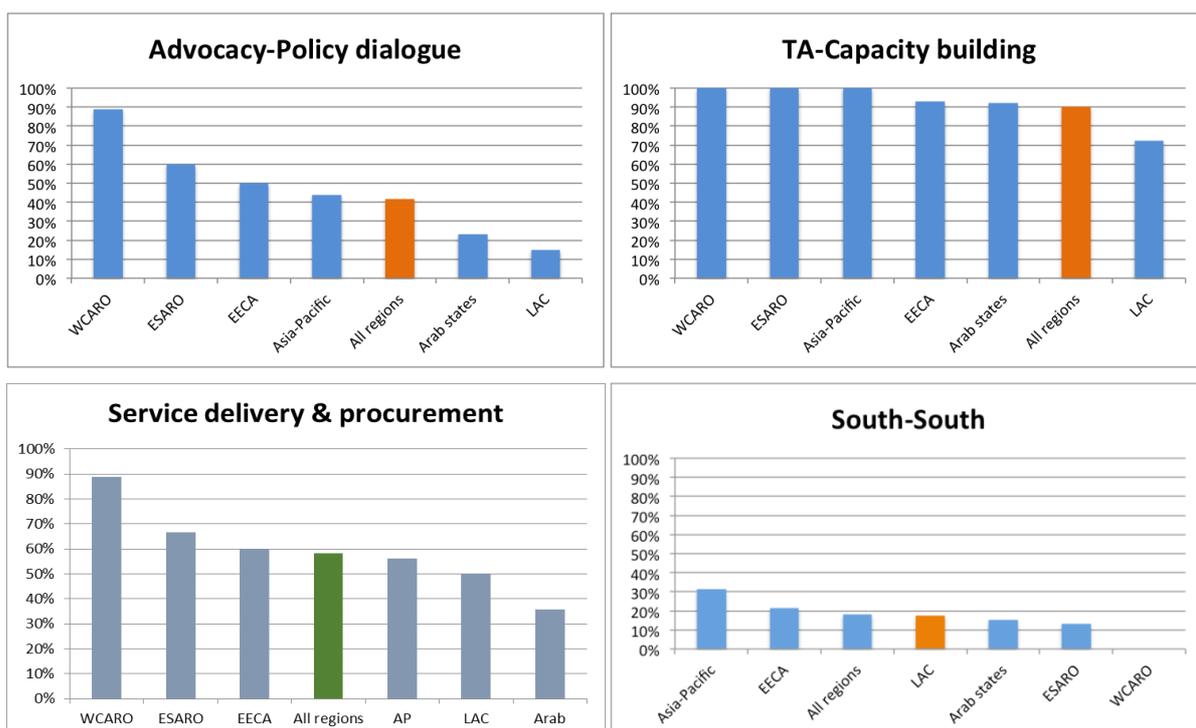
³² This typology is characterising interventions by natures, not domains of intervention.

³³ UNFPA, Annex 3 to the UNFPA strategic plan, 2014-2017: Business model.

In almost all countries supported for the census, UNFPA provided technical assistance (directly or indirectly). UNFPA engagement in advocacy/policy dialogue is more heterogeneous. It is undertaken in around 40% of the countries supported, although this percentage increases to 90% in the WCARO region (where governments tend to face greater financial challenges in covering the cost of a census). Africa is also the region where service delivery (such as payment of enumerators or the procurement of equipment) was often utilized: around 90% of the countries in Western and Central Africa and 60% in Eastern and Southern Africa.

Support to South-South cooperation was provided in only 18% of the countries, with the highest support (31%) in the Asia-Pacific region.

Figure 9 - Proportion of category of support by region



Source: UNFPA Evaluation office survey, 2014

4. UNFPA strategies and theory of change

This chapter starts with the analysis of the various strategic frameworks that were in place throughout the evaluation period and identifies the main elements of the intervention logic of the *UNFPA support to population and housing census data* (the subject of the evaluation). Once these elements are identified the section provides a first outline of the main ingredients of the theory of change behind the logic of intervention. These elements were double-checked and tested during the pilot mission to Peru and will subsequently be tested in the various field missions to Case Study countries. The present inception report includes a first approximation to the theory of change, whereas the final evaluation report will present a complete reconstruction, which will incorporate the nuances identified during the data collection and analysis phases.

The *support to population and housing census data* intervention to be evaluated has two features that explain to a great extent the process followed in this chapter. The first feature is that there is no stand-alone program framework for the *support to population and housing census data*; the program is inserted in the overall UNFPA program, but it cannot be singled out automatically in the strategic frameworks. The second feature is that although it is mainly related to the outputs and outcomes associated to the focus area on population and development, it has also strong links with the other two UNFPA focus areas, reproductive health and rights, and gender equality. The reason for this is that an increase in availability of disaggregated quality data (a main expected consequence of census support) are equally important to achieve the outputs and outcomes associated to reproductive health and rights and gender equality.

4.1 Overview of UNFPA priorities and result frameworks during the period

The evaluation of UNFPA support to population and housing census covers the period 2005-2014, which corresponds to four programmatic periods embedded in four specific planning documents: The UNFPA multi-year funding framework 2004-2007; the UNFPA Strategic Plan 2008-2011, Mid-term Review of the Strategic Plan 2012-13 and the UNFPA Strategic Plan 2014-2017.

These four programmatic frameworks constitute the thematic scope of the evaluation as well as the aggregated results framework to which the evaluated intervention aimed to contribute to. In addition, they contain the elements that constitute the intervention logic and the strategy that has guided the goals of UNFPA support to census from 2005 to 2014.

The need for improved availability of high-quality disaggregated data to be used in decision-making has been a priority throughout the period. However, the link in the strategic frameworks between this need and the support to census is made more explicit and detailed towards the end of the period. Actually, annex 2 of the UNFPA Strategic Plan 2014-2017, presents the theories of change for the four outcomes of the programme, one of which is directly linked to support to censuses (strengthened national policies and international development agendas through integration of

evidence-based analysis on population dynamics). From hereon we present a snapshot of this programmatic evolution.

At the beginning of the period evaluated and, as set out in the **UNFPA Multi-Year Funding Framework 2004-2007 (MYFF)**, priority population and development issues were population ageing, poverty, migration, and data quality, especially related to the implementation of the International Conference on Population and Development (ICPD).³⁴

The MYFF 2004–2007 identifies the need to improve national capacity to collect, analyse, disseminate and use information and to develop or update national sex-disaggregated databases, which are crucial for sound, gender-sensitive policy formulation, programme planning, monitoring and evaluation.³⁵ However the actual conduct of census is not explicitly mentioned in the document.

| Support to population and housing census data in the period 2004 - 2007 |
|---|
| Outcome |
| Utilization of age and sex disaggregated population-related data is improved. |
| Outcome indicator indirectly related to censuses |
| Sex and age disaggregated data from national and sub-national databases are used to monitor national development plans. |
| Number of countries with national development policies and plans and poverty reduction strategies comprehensively monitorable by time-bound indicators. ³⁶ |

Source: prepared by the Team on the basis of the 2004-2007 MYFF Strategic Results Framework and the MYFF 2004 – 2007 Executive Director’s cumulative report.

Specific mention of the census appears later at the end of this first framework, in the Executive Director’s cumulative report for the MYFF 2004 – 2007. The report says that “*UNFPA has supported countries, most notably **through census** and demographic health surveys, to build their capacity to collect, analyse and disseminate data and, most importantly, to use this information for development interventions*”.³⁷

Moreover, one of the indicators reporting on outcome 3 of the MYFF on reproductive health makes explicit mention to the conduct of censuses:

| Support to population and housing census data in the period 2004 - 2007 |
|---|
| Outcome |
| Demand for reproductive health is strengthened. |
| Outcome indicator related to censuses |

³⁴ Paragraph 18 of the UNFPA of the MYFF 2004-2007

³⁵ Paragraph 44 of the MYFF 2004–2007

³⁶ This indicator does not appear in the MYFF 2004-2007 but in the MYFF cumulative Report of the Executive’s Director (June 2007).

³⁷ Paragraph 61 of the MYFF 2004-2007 Cumulative Report.

Number of country offices with major or moderate interventions to increase national capacity to conduct *censuses* and surveys.³⁸

Source: prepared by the Team on the basis of the MYFF 2004 – 2007 Executive Director’s cumulative report.

The role of UNFPA support to census is made more explicit and detailed in the second programmatic framework covered by this evaluation and reflected in the **UNFPA Strategic Plan 2008-2011**. When analysing issues and challenges, the document presents censuses, together with household surveys, as a means to address a situation characterized by many countries continuing to have weak data systems impeding effective planning for development. The objective in this period was to collect information for analysis and utilization in policy development and for monitoring progress on the achievement of the MDGs and ICPD goals.³⁹

Moreover, the Strategic Plan clearly corroborates the role of censuses in paragraph 48 when it says that: *“UNFPA leadership in actively supporting data collection activities, especially censuses in developing countries is recognized among United Nations agencies and other development partners”*.

During this period the expected contributions to outcomes of the *support to census program* were essentially associated to the production of data for the development and monitoring of policies:

| Support to population and housing census data in the period 2008-2011 |
|--|
| Outcome |
| Data on population dynamics, gender equality, young people, sexual and reproductive health and HIV/AIDS available, analysed and used at national and sub-national levels to develop and monitor policies and programme implementation. |
| Outcome indicators related to censuses |
| Proportion of countries that have completed their 2010 round of population and housing <i>censuses</i> . |
| Disaggregated data from national and sub-national databases used for evidence based decision making and national development plan monitoring. |

Source: prepared by the Team on the basis of the Results Framework of the UNFPA Strategic Plan 2008-2011.

The nature of this outcome is maintained during the third programmatic period covered by the evaluation, that is, the **two-year period 2012-2013 reflected in the Mid-term Review of the Strategic Plan**. The role of census in this document is more prominent than in the previous frameworks: the document includes a presentation on selected achievements and one of the first ones to be mentioned is UNFPA having provided capacity-building support to nearly 80 countries in the preparation of the 2010 round of censuses, particularly in data analysis. Besides, the census part of the results framework for the two-year period is more elaborated than in the previous frameworks.

³⁸ This is one of the indicators reported against under outcome 3 in the MYFF cumulative Report.

³⁹ Paragraph 45 of the UNFPA Strategic Plan 2008-2011.

Support to population and housing census data in the period 2012-2013

Outcome

Improved data availability and analysis around population dynamics, SRH (including family planning) and gender equality.

Outcome indicator related to censuses

The number of countries that have completed their 2010 round of population and housing *censuses*.

Output

Enhanced national capacity for the production, utilization and dissemination of quality statistical data on population dynamics, youth, gender equality and SRH, including in humanitarian settings.

Output indicators related to censuses

Number (and percentage) of countries where UNFPA has supported capacity development to produce and disseminate *census*, survey and other statistical data.

Number of persons trained through UNFPA support in the production, analysis, dissemination of *census surveys* and other statistical data including in humanitarian settings.

Output

Strengthened national capacity for data analysis to inform decision-making and policy formulation around population dynamics, youth, gender equality and SRH.

Output indicator related to censuses

Number (and percentage) of countries where UNFPA has supported capacity development to produce in-depth analysis of *census* and survey data.

Source: prepared by the team based on the revised development results framework of the Mid-term Review of the Strategic Plan 2008-2013

The year 2014, the last year of the period evaluated, is part of a fourth framework, the **UNFPA Strategic Plan 2014-2017**. A key feature of this document is that it incorporates a substantial degree of detail in terms of describing the essential elements of the logic of intervention of UNFPA support to censuses.

Support to population and housing census data period 2014 - 2017

Outcome

Strengthened national policies and international development agendas through integration of evidence-based analysis on population dynamics and their links to sustainable development, sexual and reproductive health and reproductive rights, HIV and gender equality.

Outcome indicator related to censuses

Number of countries that had at least one census of good quality that was processed, analysed and disseminated following internationally agreed recommendations (during the last 10 years).

Source: prepared based on Annex 1 (Integrated results framework) of the UNFPA Strategic Plan 2014-2014.

The results framework for this period includes a series of four outputs, all linked to the aforementioned outcome. These outputs are associated to the strengthening of national capacity in relation to aspects that are linked with the production and use of census data:

- Strengthened national capacity for production and dissemination of quality disaggregated data on population and development issues;

- Increased availability of evidence through cutting-edge in-depth analysis on population dynamics;
- Strengthened capacity for the formulation and implementation of rights-based policies that integrate evidence on population dynamics; and
- Strengthened capacity for using data and evidence to monitor and evaluate national policies and programmes

The Strategic Plan 2014-2107 goes beyond the results framework and provides a clear presentation of the intervention strategies to be used in order to achieve these outputs as well as the role of the census in this context. Paragraph 34 of Annex 2 (outcome theories of change) of the UNFPA Strategic Plan 2014-2017 clearly states that:

“The main strategies to achieve these outputs include advocacy and policy dialogue, knowledge management, and capacity development. UNFPA will work at the country level to **develop capacity to collect, analyse and disseminate data from population census** (remaining 2010 round census countries and preparation for the 2020 census round), household surveys (DHS and MICS) and administrative records/vital registration systems.”

Paragraph 35 of the same annex sheds a lot of light on how censuses are intertwined with the overall logic of interventions and higher goals of the UNFPA programme when it says that: *“Increased availability of disaggregated quality data is essential for the achievement of all other outputs and outcomes in the UNFPA 2014-2017 strategic plan”*.

Figure 10 - Support to census and UNFPA outcomes: the contribution line

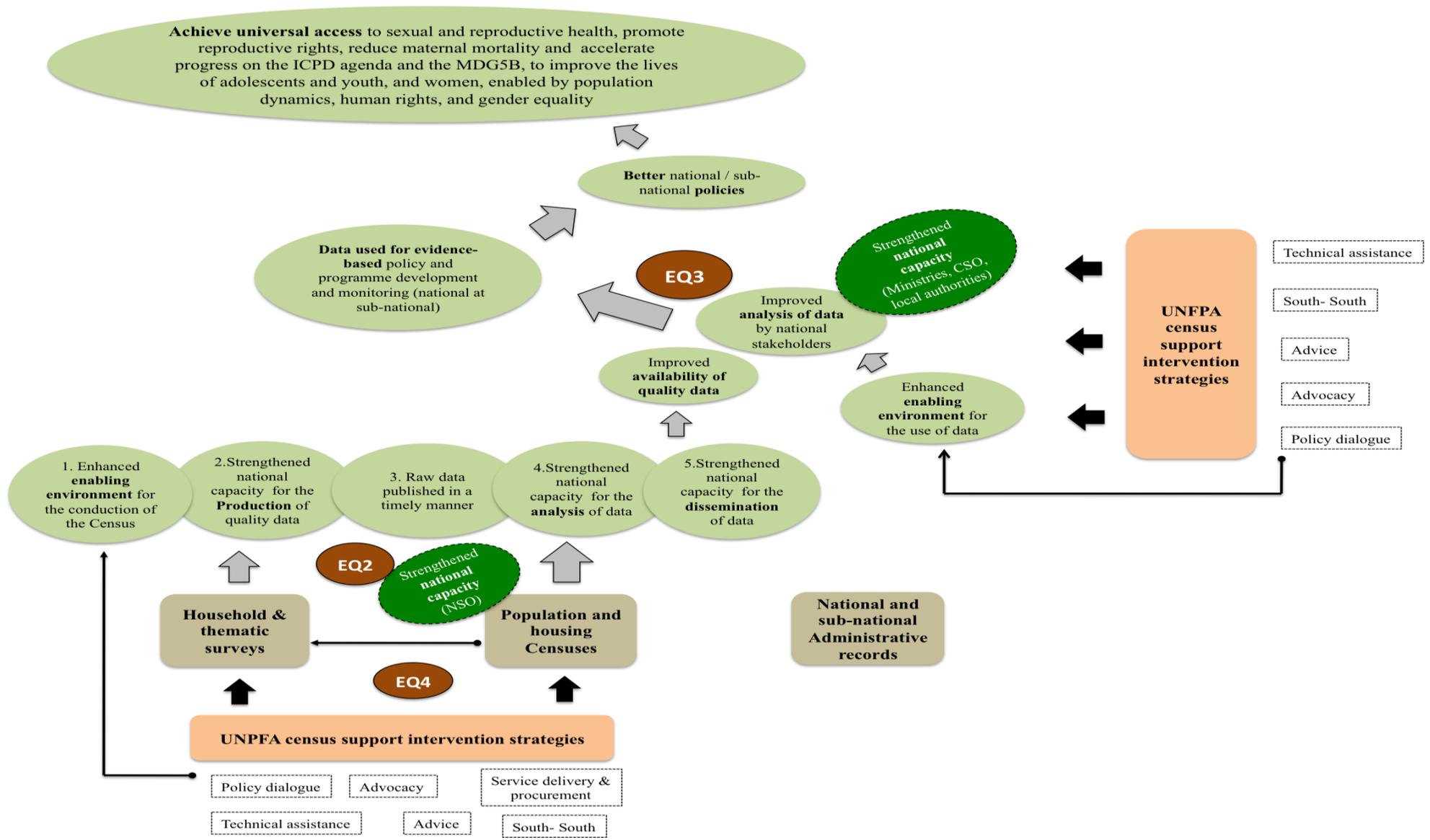


Figure 10 illustrates the essence of the intervention for the support to census within the broader logic of the UNFPA programme, and in particular within the changes UNFPA pursues in terms of better data for better policies. The figure depicts the *support to census line of contribution* to the UNFPA higher-objectives and contains a summary of the main outcome elements of the four frameworks described previously in this chapter. In short, the figure is an attempt to summarise the common essence and spirit of the four strategic frameworks and the sequence of changes they seek to pursue.

The green-shaded circles depict effects/changes at various levels of the result chain, whereas the white boxes indicate the types of intervention strategies used to support censuses. The following sub-sections will add detail to this illustration by further developing the intervention strategies, breaking down the census in stages and adding external factors and assumptions that explain the pathway from an outcome level to the next.

As a brief wrap-up, the table below summarises the main emphasis of each of the four strategic **frameworks** in terms of higher-level objectives (outcomes) linked to *support to censuses*. As it may be observed, the main elements are: data availability, data utilization, and the more specific goals of using the data to develop and monitor policies and using the data to strengthened policies by making them evidence-based.

| Framework | Focus / emphasis |
|--------------------------------------|---|
| MYFF 2004 -2007 | Improve utilization of population data |
| UNFPA Strategic Plan 2008-2011 | Data used at national and sub-national levels to develop and monitor policies and programme implementation. |
| MTR of the Strategic Plan, 2012-2013 | Improve data availability |
| UNFPA Strategic Plan 2014-2017 | Strengthened national policies by means of integrating evidence-based analysis on population dynamics |

4.2 Main elements of the theory of change

To construct a first approximation to the theory of change, the following **five ingredients** have been used: the types of intervention strategies, the elements of the intervention logic, the stages of the census, the type and level of expected changes and the external factors that influence and determine the causal links depicted in the theory of change diagram.

As presented in chapter 3, the typology of **intervention strategies** for the *support to population and housing census data* are:

- **Advocacy and policy dialogue** to encourage the undertaking of censuses and create motivation and political commitment to collect and use internationally comparable data, including support to governments to mobilizing resources.
- **Technical assistance and advise** for planning, preparing and carrying out the census.

- **Service delivery and procurement** (with core or non-core funds): for example to **procure equipment** or **services** such as scanners for questionnaire data capture, printing of questionnaires, or to pay field staff directly.
- Facilitation of **South-South and triangular cooperation** to foster and improve south-south knowledge sharing, networking, information and best practices exchanges, policy analysis and coordinated actions on major issues of concern.

As already stated in chapter 1, a population and housing census is a large and complex operation that comprises several stages. In order to describe these various stages, we propose to use the presentation and classifications used in the international recommendations, such as for example in the UN Handbook on Census Management for population and housing censuses.⁴⁰

| The stages of a census (brief description) | |
|---|--|
| Planning and preparation | |
| <ul style="list-style-type: none"> - Census legislation - Definition of census methodology - User consultation - Questionnaire design - Planning | <ul style="list-style-type: none"> - Pilot census - Budgeting - Cartographic preparation - Communication and outreach preparation |
| Enumeration | |
| <ul style="list-style-type: none"> - Recruitment and training - Map updates - Building listing | <ul style="list-style-type: none"> - Data collection - Post enumeration survey and quality controls |
| Data processing | |
| <ul style="list-style-type: none"> - Data entry - Coding | <ul style="list-style-type: none"> - Data editing - imputation - Quality controls |
| Analysis and dissemination | |
| <ul style="list-style-type: none"> - Dissemination plan (<i>what product for what users and on which media, including tables, thematic analysis maps...</i>) - Production of tables - Production of maps - Production of documentation (metadata) - Production of thematic reports | <ul style="list-style-type: none"> - Evaluation of the census - Data user seminars - Dissemination of microdata - Update of sample frame |

⁴⁰ United Nations, Series F. No 83/rev.1

Intervention logics are made up usually of five levels that depict the resource required (inputs) to do something (the implementation of the intervention i.e. the activities) and the effects or changes that this will entail (outputs, outcomes and impact). The **elements of the intervention logic** for the support to the population and housing census data that can be inferred from the review of the four aforementioned strategic frameworks are:

| |
|--|
| Inputs |
| UNFPA staff, implementing partners, agreements and contracts with implementing partners, AWP and their financial allocations, external consultants. |
| Activities |
| Carrying out relevant types of intervention strategies in the five census stages, that is advocacy and policy dialogue, technical assistance, advice, service delivery and south-south cooperation during the pre-census, census taking, census processing, census data analysis and post-census stages. |
| Outputs |
| The immediate or short-term improvements generated once the activities have been completed. In the support to census intervention this corresponds to quality improvements through the process that leads to the production and dissemination of good quality data. |
| Outcomes |
| These are medium-term changes that correspond to the use of such quality data for evidence-based policy and programme development and monitoring at national at sub-national levels. This level is the central level of assessment of this evaluation. ⁴¹ |
| Impact |
| Long-term changes on the population in terms of improvements in their conditions. |

As shown in figure 10, there is a second level of effects (corresponding to wider and/or longer term outcomes) between outcomes and impact. In other words, between *data used for evidence-based policy and programme* and *improvement in the lives of youth and women*, there is an intermediate level associated to the quality of the policies/programmes, both in terms of design and in terms of implementation.

As it will be explained in Chapter 5, the evaluation will neither cover the assessment of this second level of outcomes, nor the assessment of the impact level. The scope and focus of the evaluation will be at the output and outcome level, that is, at the short-term and medium-term changes, or in other words, at the level of assessing the quality of the census data and the use of these data. The chain of effects once the data are incorporated in policies and programmes is beyond the scope of the evaluation.

External factors

In order to have a full picture of the theory of change external factors have to be added to the elements of the intervention logic. External factors may be assumptions

⁴¹ The rationale section of the Terms of Reference set out that the evaluation will inform national efforts to promote data availability and analysis around population dynamics, sexual reproductive health and gender equality to inform decision-making and policy formulation at country level.

or hypotheses and contextual factors. *Hypotheses* are key events or conditions that must occur for the causal link to happen (in figures 10 and 11 the causal links are represented by arrows).⁴² *Contextual factors* are influences, events or circumstances, beyond the control of the program, that may inhibit the causal link from happening and which may thus affect the ability of the program to achieve the intended outputs and outcomes.⁴³

External factors enable the theory of change to explain what conditions have to be in place for each causal link to be realized, in other words, for one of the boxes to lead to the next. In this inception report external factors have been identified in two levels of the theory of change: short-term changes and mid-term changes.



First level (short-term changes; activities and outputs): possible external factors that might affect the extent to what UNFPA supporting activities to the census process are carried out smoothly, efficiently and effectively in order to produce **good quality and inclusive census data**.

Turnover of skilled personnel

This refers to the personnel engaged in the preparation of the census and the census undertaking. Often in developing countries, a counter-effect of benefiting from technical assistance projects is that staff leaves the public institution to work in the private sector once they have been trained. Therefore, the existence or absence of mechanisms to guarantee that employees remain in the institutions (e.g. incentive schemes, promotion prospects) affects the effectiveness of technical assistance, advice and capacity development.

Confidence of the population in the operation

This is a group of external factors rather than a single external factor. The quality of the data does not only depend on the quality and efficiency of the procedures and technical command of the implementing agency but also on the **truthfulness of the answers** given that a census is a free, albeit compulsory, declaration operation. When the population confuses censuses with administrative operations the likelihood of not obtaining honest answers is higher. Economic data and dwelling surfaces, for example tend to be under-reported for **fear of tax investigations**, and health dimensions are intricate as well, given that some people do not like to be recorded as handicapped, whereas others exaggerate hoping to obtain more social benefits. The **readiness and willingness** to participate in a census is also crucial: minorities that are aiming for separation for example, might be reluctant to be included (example Kosovo). **Public perception of corruption** in the government is another variable associated to trust in statistical information from the public that has an effect on the confidence that the population has in the exercise.

Risk of political interference

In some countries (e.g. Nigeria) the institution responsible for the census is a political-driven ad-hoc institution, such as a Special Commission in charge of the census – instead of the National Statistical Office. The involvement of such ad-hoc institutions may bring political interference.

Risk of pressures, fraud, resulting in tampering with census results

These risks are higher when specific sensitive questions, for example those related to ethnicity, are included in the census. These types of questions tend to have a high political impact, as they are

⁴² In this report they are called hypothesis to avoid confusion with hypothesis in the evaluation matrix.

⁴³ Blamey, A., & Mackenzie, M. (2007). Theories of change and realistic evaluation: Peas in a pod or apples and oranges. *Evaluation*, 13(4), 439–455

linked to power balances and sharing of power in the country.

Inter-institutional coordination

The census is a special operation that requires involvement of institutions besides the National Statistical Office in order, for example, to facilitate the recruitment of field workers, the provision of premises, ensuring security aspects, etc. Therefore the quality of the cooperation amongst these institutions and among them and the NSO plays a role in the quality of the census and its data.

Support from leaders

Support (or its absence) from leaders (political, opinion, religious, etc.) is a variable that tends to have a lot of influence in terms of the participation (or lack of it) of the population in a census.

Proneness of donors to coordinate in their financial support

When there are several donors in a country, donor coordination is an aspect that may affect positively or adversely how smooth and efficiently the census is conducted. Difficulties may appear when bilateral agencies and donors already have a clear idea of which areas they would like to support regardless of whether there are other financial support programs in the same area. This often leads to overlaps and overfunding in some stages of the census and shortages in others, which in turns affects the quality of the operation.

Political factors: turmoil in the country

Political instability and internal conflicts are factors that affect negatively the conduct of the census e.g. in Sudan the census was considered successful because it could be conducted, but that did not imply that the process and the resulting data was of high quality.

Political factors: changes of government

Changes of government previous or during the census may cause a phase out of development cooperation (as in Nicaragua after 2007), which may in turn reduce external funding for a census.

Natural disasters

Natural or similar disasters previous to or at the time of data collection tend to divert attention and resources from the census to other more urgent matters.

Outsourcing census operations

Whether census operations are outsourced and the extent and modality of the outsourcing may have an effect on how census are conducted, on the efficiency of the process and on the quality of the data obtained.



Second level (mid-term changes; outcomes): external factors that could affect / influence the extent to which **census data is used to inform** evidence-based decision-making and policy formulation at national and regional/local level.

Political situation

A sensitive political situation in a country may easily affect the processing of data and therefore the analysis and publication of certain items, which in turn will adversely affect the effective use of the data e.g. a government decision not to allow the publication of data on religion and fertility (the census held in Serbia and recently in Myanmar created some turmoil in this regard).

The maturity of governments (national and local) towards statistical information and evidence-based policy making

The degree of government efficiency and a culture of accountability is an important factor behind the use of data for evidence-base policy-making. This variable is in turn related to many other external factors such as the existence of patronage systems, the depth and quality of democratic

principles embedded in the political system of the country and education levels. In short, the extent to which a country is governed (at national and local level) on the basis of a culture of evidence, transparency and accountability, will have an effect of the use of census data.

The maturity of society towards statistical information and evidence-based policy making

This is usually reflected by the existence or absence of active and developed democratic forces in the country, such as rights-based NGOs, pressure groups and fairly independent media. Regardless of this degree of maturity, the government's stand towards such forces at a particular point in time can also be a variable of influence i.e. oppression on civil society organizations, budgetary cuts in research (implying no use of data in investigation), repression of NGOs (currently in Russia).

Political factors: cohabitation

Cohabitation is a situation where central government and regional/local governments represent opposed political forces. In such scenarios, the political legitimacy of the census may be in question, as the exercise may be perceived as a political tool/instrument of a political party alone, rather than an instrument for the interest of the nation as a whole. In these cases the legitimacy is adversely affected by the lack of consensus on what the *State interests* are in relation to the census.

The role of international organisations

International organizations who request data to engage in development programmes play a role in demanding data to be used in evidence-based decision-making by national and local governments.

Severe economic crisis

Severe economic downturns that lead to substantial decreases in private sector investment rates imply that industrial and commercial sectors' demand for census data in support of economic activity will be much lower and therefore there will be a lack of incentives to use census data.

Figure 11 - A first approximation to the theory of change

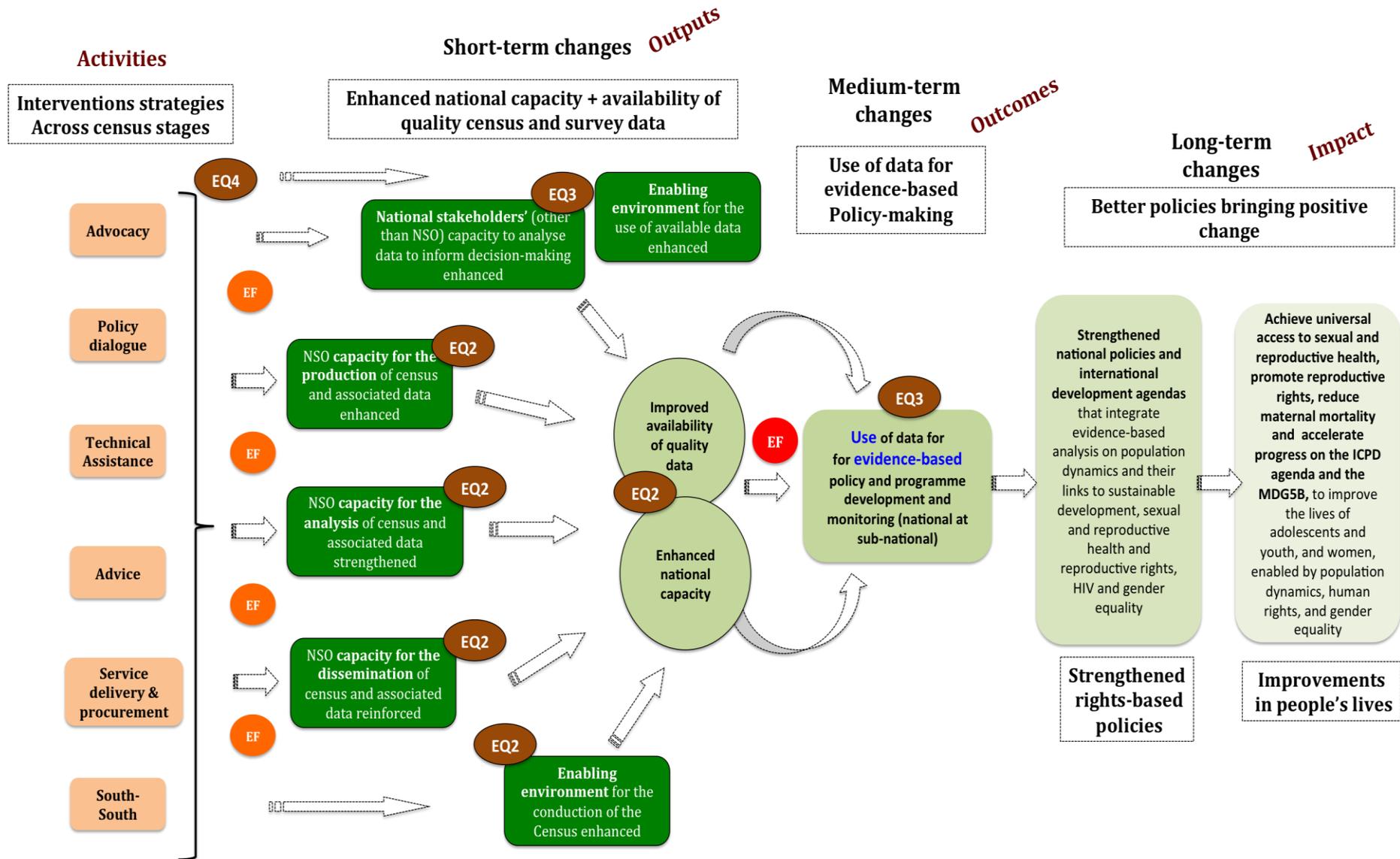


Figure 11 combines the five ingredients described above and articulates them into a first outline of the theory of change. The intensity of shades of green designates the level of effects i.e. the lighter the green the higher the effects. Black arrows represent implementation of activities and white arrows designate the generation of effects at output, outcome and impact levels.

It should be noted that the use of intervention strategies does not vary depending on the stage of the census that is being supported. All strategies may be used across census stages.

The final evaluation report will also include considerations on the **types of changes** and explanations on the **pathways to change**. These will complement the narrative of the theory of change that will be added to the graph above, which in turn will be updated in light of evidences from the case studies. Types of changes refer to the nature of the changes that have to take place for the outcomes to be generated e.g. changes in operational capacity, changes in attitudes towards use of data for evidence-based decision-making, changes in mindsets, changes in ways of managing procedures. The pathway to change, which very often will be country-specific, refers to the route followed by the changes i.e. the how these changes happen, how they occur and how one change leads to another. For example, how combining advice and informal meetings (soft activities) with the facilitation of South-South cooperation may lead to behavioural changes in decision-makers, provided that certain conditions (hypotheses) are in place (e.g. civil society pressure, political openness). Examples of behavioural changes could be the realizing the value of basing policy-making in evidence provided by quality data generated by censuses.

5. Evaluation methodology

5.1 Evaluation approach

Overall approach

The evaluation will use a mix of qualitative and quantitative methods. Qualitative methods for data collection will mainly consist of semi-structured interviews and group discussions, and qualitative methods for the analysis of the data will encompass taxonomy (desk study and content analysis), validation techniques and testing of causal assumptions amongst others. Quantitative methods will encompass compiling and analysing quantitative secondary data through statistical digests and other relevant reports, and using descriptive statistics to quantify and assess the results of the on-line surveys. Quantitative analysis will include data treatment by means of analysis of correlation whenever data allows doing so.

Contribution analysis will be used to assess causal links and triangulation will be applied in order to guarantee the reliability and robustness of findings and will consist in cross-referring different sources of data and data collection methods.

Considering the socio-political complexity and intricacy of censuses, particularly in vulnerable and/or developing countries, the evaluation will ensure that human rights-responsive and culturally sensitive approaches are adhered to at all times.

Contribution rather than attribution

When answering key evaluation questions 2 and 3 on effectiveness, the analytical sequence will follow a contribution analysis rather than an attribution analysis approach. There are two reasons for this. The first one is that it is not possible to separate the effect of UNFPA support to census from the effects generated by other development partners. The second is that the objective of the evaluation is more on the *how* and *why* the effects of the census support occur than on the *what*. In this context approaches like contribution analysis and testing of causal hypothesis, which are more qualitative, provide more insights on the *how* and *why* than attribution analysis techniques, which have an eminently quantitative focus.

Levels of analysis in terms of effects

The evaluation will focus on the output and outcome levels. There is no evaluation question enquiring about the level of impact, which according to the theory of change is associated with the implementation of policies and their effects on the population. The reason for this is that the contribution line becomes thinner at the level of impact, which integrates the aggregate contributions of a wide array of factors beyond the use of good quality data from the censuses. In any case, the evaluation of the impact of national policies is a responsibility of the government and thus falls beyond the scope of this evaluation.

Components of the evaluation

There will be three components: **country case study** analysis, **extended desk phase** analysis and **global analysis**. The difference between them will be the approach to data collection and analysis:

- Country case studies will imply field visits as well as the production of a report (the Country Case Study Note),
- Data from the extended desk phase will come from *non-visited* countries and therefore will be gathered remotely and there will not be specific country notes associated to these countries.⁴⁴

The first group, hereafter defined as **Type A countries** where country case studies will take place, will be comprised of a cluster of six countries selected on the basis of the criteria and process presented in chapter 6 below. Data collection for case study countries will be based on face-to-face semi-structured interviews, group discussions and direct observation. The Country Office (CO) soft aid survey and the NSO capacity survey (see section 5.4 below) will also be conducted in these six countries, given that these two surveys will cover all the countries supported by UNFPA in the 2010 Census round.

Data collection for the extended desk phase - **Type B countries** will be gathered from the study of documentation and, in a few selected cases, by remote interviews and an online survey targeted at stakeholders other than the NSO. The CO soft aid survey and the NSO capacity survey will also be conducted in the extended desk phase non-visited countries given that both surveys cover all countries.⁴⁵ Section 6.3 of this report discusses some considerations on the identification of the aforementioned few selected cases.

Cybermetric data collection will take place in both cases (cases studies and extended desk phase). Conversely, the study of information will take place in both cases but will tend to be more intense in non-visited countries, given the higher requirements for secondary data.

The collection of data for the **analysis of global aspects** of the support to the 2010 census round, the third unit of analysis, will encompass in-depth semi-structured interviews, group discussions and study of documentation. Interviews and group discussions will take place with staff at UNFPA Headquarters and Regional Offices as well as with other relevant informants at global and regional levels.

Types of countries

All in all, data collection will cover all countries of the 2010 Census round but with different degrees of depth and intensity. The following table provides a summary of the type of countries and the mean of gathering data that will be used for each of them:

⁴⁴ The so-called non-visited countries are defined as opposed to the country visited for the country case studies.

⁴⁵ As it may be inferred there will be three online surveys: the Country Office soft aid survey, the NSO capacity survey and the online survey for stakeholders other than the NSO. See section 5.4 for more details.

TYPE A countries

These are the six countries covered by the case studies. The selection of these countries is explained in section 6.2 of this inception report.

Data in these countries will be collected by means of face-to-face semi-structured interviews, group discussions, focus groups, direct observation, cybermetric data collection, the CO soft aid survey, the NSO capacity survey and the study of documentation.

TYPE B countries

Of the non-visited countries, type B countries are the few selected countries for which remote interviews and a specific online survey for stakeholders other than the NSO will be conducted. Type B countries are part of the extended desk phase analysis component of the evaluation. The selection of these countries is presented in section 6.3 of this inception report. At this stage, we propose seven countries, but this number could be adjusted upward or downward after the meeting with the Reference Group in New York the 8th and 9th of December.

Data in these countries will be collected by means of remote interviews (telephone and Skype), a specific online survey for stakeholders other than the CO soft aid survey, the NSO capacity survey, cybermetric data collection, and the study of documentation.

TYPE C countries

These account for the remainder of the non-visited countries. Type C countries are part of the extended desk phase analysis component of the evaluation.

Data in these countries will be collected by means of the study of documentation, the CO soft aid survey and the NSO capacity survey.

5.2 Analytical framework

The aim of the methodological framework of the evaluation is to provide credible and evidence-based answers to a series of evaluation questions. The methodological sequences followed by the analysis will be based on a logic chain of reasoning that starts with the application of evaluation criteria and evaluation questions and ends with the formulation of recommendations.

Each evaluation question is broken down into a series of assumptions, an interface between the evaluation question and the data sources required to answer it. The assumptions narrow evaluation questions further by specifying what evaluators should focus upon and what they should check precisely when attempting to answer the question. Data collection will concentrate on gathering evidences linked to those assumptions (and counter-assumptions). The triangulation of such evidence will result in findings that together will provide answers to the evaluation questions and become the basis for the formulation of conclusions on the census support program and the ensuing recommendations, in compliance with the forward looking essence of the evaluation.

5.3 Evaluation questions and their rationale

The proposed evaluation questions have been developed on the basis of the questions originally proposed in the Terms of Reference. This first set of questions

was discussed among evaluation team members, a process that resulted in some adjustments.

Further substantial adjustments were made subsequent to the pilot mission in Peru and to the comments received from Evaluation Group members on the first draft Inception Report. This section presents a summary of the main modifications made to the original questions and also presents the logic of such modifications.

Reformulation of Evaluation Question 2

This question has been fully reformulated. The original question focused on the assessment of the UNFPA support to the various stages of the census, whereas now the focus is on the assessment of to what extent UNFPA support has contributed to strengthen the capacity of the NSO in terms of production and availability of quality census data.

The focus has shifted from the census process in itself to building the capacity of the NSO to produce and make good quality census data available. Moreover, the question covers the effectiveness criterion while also incorporating a sustainability dimension, whereas the original question focused exclusively on effectiveness.

The original question on innovative and new technologies is turned into an assumption

The Terms of Reference included a question on the extent to which UNFPA facilitated the use of innovative and new technologies. This question has been removed as an evaluation questions and incorporated as an assumption in EQ2 (assumption A2.4). The rationale for the merge is that the use of innovative technologies leading to improved operations is an aspect related to the quality and scope of the support to the implementation the census, and thus it is ultimately related to the quality of the data, which is at the core of EQ2. The use of innovative technologies may or may not be an explanatory factor, and therefore it is better addressed as an assumption under this question.

The original questions on South-South Cooperation and on Partnerships were merged

The establishment of partnerships at all levels and the facilitation of exchanges among countries have in common that both are the result of UNFPA making use of its networks and/or expanding them. Following this point of view, it was decided to group the two evaluation questions under a single question enquiring about the extent to which UNFPA had made use of its existing networks to establish partnerships and to promote opportunities for South-South Cooperation.

The original question on strengthened national capacities, ownership and leadership has been broken down and integrated in other questions as assumptions

This question included three important UNFPA corporative factors that made more sense inserted in other questions than as a stand-alone question. The strengthening of national capacities is covered both in EQ2 and in two of the indicators of assumption A.2.3. The former covers the capacity of NSO whereas the latter covers the capacity of national stakeholders other than the NSO. Ownership and leadership have been integrated in EQ3 under the assumption A.3.3.

A question on mainstreaming of human rights and gender equality has been added

The original set of questions did not include any reference to the extent to which UNFPA support has contributed to the mainstreaming of human rights and gender equality in the census process. The newly added question EQ7 analyses these aspects.

The table below presents the definitive evaluation questions suggested by the Team by evaluation criteria and includes a brief explanation on their rationale.

| Evaluation question | Criteria | Rationale |
|---|---|---|
| <p>EQ1. To what extent was UNFPA support aligned with partner government priorities and to national, regional and global needs on availability of data on the one hand, and UNFPA policies and strategies on the other?</p> | <p>Relevance</p> | <p>This question focuses on alignment towards the needs and priorities of three key groups of stakeholders: the government priorities on availability of statistical data (national and sub-national levels), national and local actors besides the government (representing the national needs) and the UNFPA. This question is a must given that making sure that programs serve the needs of the target population as well as the values and objectives of the institutions that implement them is a core element that justifies the programs in the first place (relevance is the first one of the standard OECD/CAD evaluation criteria). Additionally, alignment with the interests, needs and priorities of the target populations constitute an integral principle of the Paris Declaration on Aid Effectiveness.</p> |
| <p>EQ2. To what extent has UNFPA support enhanced the capacity of National Statistical Offices (NSO) to enable the production and availability of quality census data? To what extent is this enhanced capacity sustainable?</p> | <p>Effectiveness & Sustainability</p> | <p>As stated in the ToR this is an “<i>independent evaluation of the UNFPA support to population and housing censuses data to strengthened national capacity for the production and dissemination of quality disaggregated data, integrate evidence-based analysis into decision-making and policy formulation (2005-2014)</i>”. EQ2 covers the core part of the central objective of the evaluation i.e. the strengthening national capacity. EQ2 focuses on the capacity of the NSO, which are the main counterpart and beneficiary in census related projects, as well as the leading organization when it comes to producing and disseminating census data (EQ3 covers other relevant national actors associated with the <i>use</i>, rather than with the <i>production</i> of census data). This question corresponds to the short-term changes in the theory of change (see chapter 4) and it will be answered using contribution analysis techniques to the extent possible (testing causal assumptions and counter-assumptions by means of triangulation).</p> |
| <p>EQ3. To what extent have UNFPA-supported interventions contributed (or are likely to contribute) to a sustained increase in the use of population and housing census and other relevant demographic and socio-economic data in the evidence-based development of plans, programmes and policies related to UNFPA mandate at national and decentralized levels?</p> | <p>Effectiveness & sustainability</p> | <p>This question is at the core of the evaluation and corresponds to the second part of the central objective mentioned above: the use (integration) of data into evidence-based decision making. This question also satisfies the central requirement of the evaluation, as set forth in the <i>rationale</i> section of the ToRs: “The evaluation will inform national efforts to promote data availability and analysis around population dynamics, sexual reproductive health and gender equality to inform decision-making and policy formulation at country level”. The question corresponds to the mid-term changes in the theory of change (see chapter 4) and it will also be answered using contribution analysis techniques to the extent possible (testing causal assumptions and counter-assumptions by means of triangulation).</p> |

| | | |
|---|---------------------------------------|--|
| <p>EQ4. To what extent were available resources adequate, made available and used in a timely manner to support the 2010 census round? To what extent did UNFPA utilize synergies at country, regional and global levels with a view to support the implementation of the 2010 Round.</p> | <p>Efficiency</p> | <p>This question addresses the OECD/DAC efficiency criterion and it is closely associated to accountability aspects of public funding. It will look at whether the support to censuses was delivered by the expected degree and standards and will cover considerations on value for money in line with the efforts described in the latest Strategic Plan in relation to actions that include the application of the principles of value for money, based on the concepts of economy, efficiency and effectiveness (paragraph 37). EQ4 looks at aspects in line with “improved mobilization, management, and alignment of resources through an increased focus on value for money”, which is part of the strengthening of its internal management and operations (paragraph 59) of the strategic plan). This question will place a special focus to the role of synergies with other programs and organization in order to maximise the use of resources.</p> |
| <p>EQ5. To what extent has UNFPA made use of its existing networks to establish partnerships at country, regional and global level as well as promoting opportunities for South-South Cooperation with a view to support the implementation of the 2010 Round in a way that ensured an swift implementation of the census and optimized the use of its results?</p> | <p>Efficiency & Effectiveness</p> | <p>This question enquires about UNFPA use of networks to foster two key pillars of the organization’s corporate mandate: partnerships and South-South Cooperation. Partnerships are one of the core elements of the UNFPA business model, and of the management results framework in particular. Moreover, partnerships and communications are seen at being at the heart of how UNFPA advances the ICPD agenda“(paragraph 69 of the latest Strategic Plan). In this context EQ5 will examine partnerships from a double perspective: as a means to making a better use of available resources (efficiency perspective) as a means to optimize the quality of the census and the use of census data (effectiveness perspective). As mentioned in paragraph 50 of the latest Strategic Plan, the nature of support requested of UNFPA from countries has shifted from direct provision of support to playing a brokering role, in South-South cooperation amongst other areas. Given that the emphasis of this evaluation is forward looking this question seeks to assess South-South Cooperation to date to provide future inputs in this area.</p> |
| <p>EQ6. To what extent does UNFPA support to population and housing census data generation, analysis, dissemination and use, add value in comparison to other UN agencies and development partners at national, regional and global levels?</p> | <p>Added value</p> | <p>This question goes beyond the standard DAC evaluation criteria as seeks to assess the organizations’ <i>added value</i>. The question will attempt at ascertaining the factors that confer UNFPA its added value as a development partner supporting the conduction of census. The answer to this question may be an important input on strategic positioning considerations at a corporate level. The question focuses on determining the comparative strengths of the UNFPA and on ascertaining what type of partner UNFPA is perceived as in relation to census support.</p> |
| <p>EQ7. To what extent has UNFPA support contributed to the mainstreaming of human rights and gender equality in the census process?</p> | <p>Effectiveness</p> | <p>This question connects UNFPA census support to other fields of action and outcomes of the agency. It seeks to answer the question on to which degree the census processes facilitate and improve the possibilities of UNFPA to promote gender equality, the overall interest of the youth and reproductive health and rights support. This EQ originates from the observation that census support is not only an output/outcome but also an instrumental means for the other priority areas of action of UNFPA.</p> |

The Evaluation Matrix

The evaluation questions are placed in the evaluation matrix, which is the central tool of the evaluation's analytical framework.⁴⁶ The matrix presents the seven evaluation questions by evaluation criteria and breaks them down into assumptions (aspects to focus upon), indicators associated to these assumptions, sources of information and sources and tools for data collection. The column on sources of information links the evaluation questions with the stakeholder mapping and paves the way for the production of the Informants Protocol, the tool that links the evaluation matrix with the data collection protocols (interview protocols, focus groups protocols and online surveys - see Figure 12).

In terms of scope, the evaluation matrix covers the entire evaluation, that is, its three components: country case study analysis, extended desk phase analysis and global analysis. Therefore, the Matrix is not intended only as a framework for the collection and analysis of country data but also as a framework for the global analysis, which covers the regional and global dimensions of UNFPA support to censuses.

In addition, country analyses are not expected to cover all the wide array of aspects (assumptions and indicators) addressed in the matrix with the same degree of detail. In other words, different countries will cover different parts of the matrix with different degrees of intensity and detail. Actually, the time the census was conducted is a key determinant for a particular country to be able to contribute to inform the Evaluation Matrix. This is shown in Annex 11, Country contribution to answering the evaluation questions, which depicts the extent to which each selected country (types A and B) may contribute to answering each evaluation question.

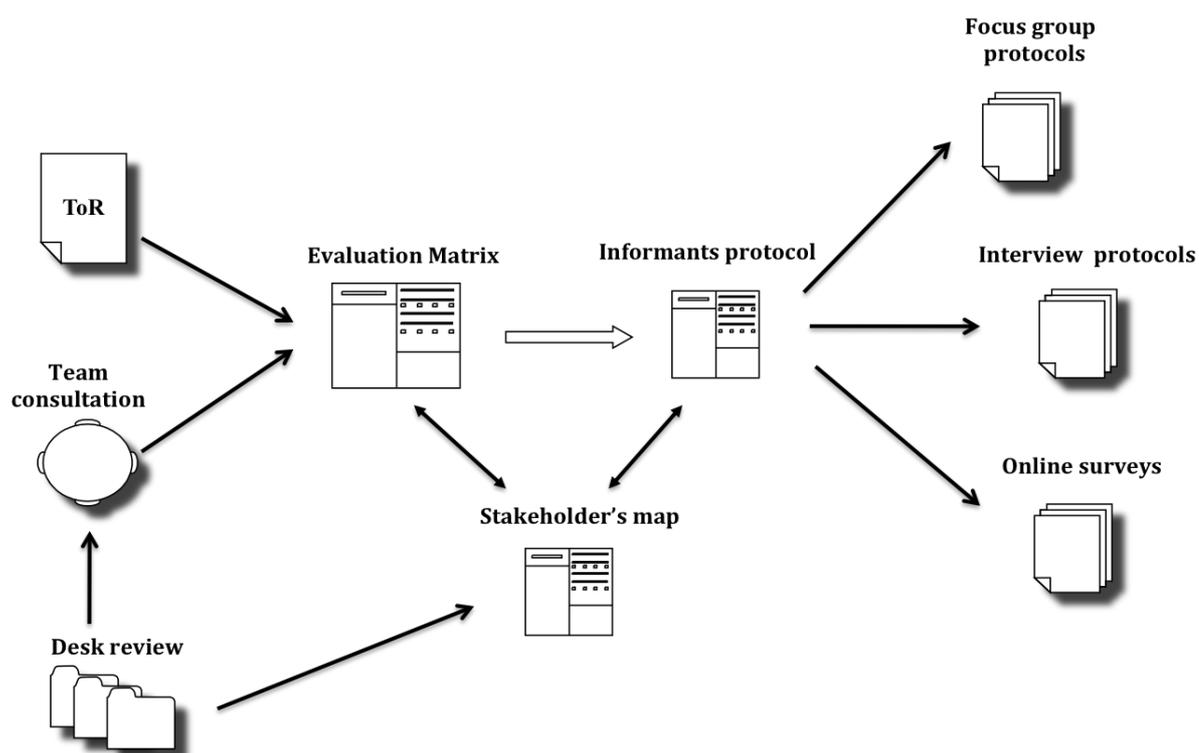
It is worth mentioning that whereas the seven evaluation questions and their associated assumptions (as formulated in Annex 4) will remain the same throughout the evaluation, indicators could still change. Given that the casuistic for evidences will vary considerably depending on the context and the modality of implementation of UNFPA support, new relevant indicators may be added and others may be replaced during data collection. Should there be modifications and adjustments in indicators, these will be duly explained in the Synthesis Report (the final report).

The Informants Protocol

The Informants Protocol (see Annex 6) links each evaluation question and associated assumptions with the types of stakeholders that should be enquired to collect evidence on the assumptions. This protocol is then used as a guide to produce the interview protocols by type of stakeholder as well as other data collection tools, in other words, it facilitates drawing up the list of aspects and questions that should be addressed in interviews (by type of stakeholder), in focus groups and online survey questionnaires, also by type of stakeholder. Figure 12 illustrates the sequence that interlinks the Evaluation Matrix, the Informants Protocol, the Stakeholder's map and the data collection tools.

⁴⁶ Annex 4 presents a complete first draft of the evaluation matrix.

Figure 12 - From the evaluation matrix to the data collection protocols



5.4 Tools for data collection

Study of documentation

Examination in detail of available secondary data made available in the form of documents, publications and statistical digests. Documents and publications will encompass a wide range of items both within and outside the UNFPA sphere.

UNFPA related documents and publications to be examined include UNFPA strategic documents such as UNFPA Strategic Plans as well as the analytical inputs to the strategic plans; UNFPA programmatic documents, such as the UNDAF, the CPD, the CPAP and AWP; and relevant parts of the UNFPA Policies & Procedure Manual, such as the Guidelines for Management of Quality Assured Technical Assistance. UNFPA progress reports will also be examined. These include for example, the UNFPA Annual Reports produced during the period 2005 – 2013, the Country Office Annual Reports (COAR) and the Annual Reports for the Executive Director.

The study of documentation will also cover the analysis of census related documents such as reports produced by NSO; analytical work on census produced by other organizations such as EUROSTAT, the UN Economic and Social Council and the UN Statistic Division; and analytical work on census produced by UNFPA.

The third broad category of documents that will be examined includes context documents at international, regional, and country specific level. This group encompasses a wide range of documents that go from the Program of Action of the ICPD and its associated review of implementation reports, to research studies, past evaluations, media reports and national development plans and policy and

programme documents related to demography and population, youth, reproductive health and gender equality.

The evaluation report will include a Document Review Matrix (see Annex 9). This grid will be used as a repository list for all the documents analysed during the evaluation and will specify the type of document and the evaluation question (s) that the document has been used to inform.

Semi-structured individual interviews

This will encompass one-to-one interviews and there will be two types, remote (Skype/Telephone) and face-to face in those countries covered by field visits. Interview protocols (annex 12) have been drawn by type of stakeholder on the basis of the Informants Protocol. Interviews will be registered in an interview logbook (see annex 7). The format for both the interview logbooks and the protocols was tested in the pilot mission in Peru and subsequently adapted. Tool 11, Checklist for sequencing interviews, and tool 12, How to conduct interviews: Interview logbook and practical tips of the *Handbook on how to design and conduct a country programme evaluations at UNFPA* will be used as reference instruments in order to ensure consistency amongst team members and a common approach to interviews.

Group discussions

Group discussions are interviews conducted with more than one person, usually to a group of people from the same organization or community. The protocols used for group discussions will be the same as for the semi-structured interviews. Similarly, the logbook for this type of group interviews will be the same as for individual interviews, with the difference that the names of all the people participating in the discussion will be registered.

Focus groups

These are structured group interviews that follow a discussion format directed by a facilitator rather than the question-answer followed with group discussions.

Focus groups may be conducted under the Global Analysis component of the evaluation as a means to double check and validate main findings and threads of arguments related to corporate aspects such as added value and partnerships. Focus group will not be conducted at country level

The main differences between group discussions and focus groups in the framework of this evaluation are: (i) that focus groups will be longer in terms of time, structured around a few previously agreed discussion topics and prepared well in advance; and (ii) that focus groups will be used for hypothesis testing and validation of findings, that is, as a data analysis tool (preliminary findings may be included in the protocol as statements to discuss) whereas group discussions are solely intended as a data collection tool.

Online survey questionnaires

There will be three surveys - the Country Office soft aid survey, the NSO capacity survey and the online survey for stakeholders other than the NSO:

1. The Country Office soft aid survey

Rationale: why conducting this survey?

As explained in section 1.2, the scope of the evaluation includes both censuses where UNFPA has been directly involved by means of AWP and censuses where UNFPA has provided soft aid. However, soft aid activities such as advocacy and policy dialogue are actions carried out by UNFPA staff and not implemented through AWP. The purpose of this survey is thus collecting information on the specific soft aid activities carried out by all UNFPA Country Office during the period.

Who are the target respondents?

The population and development staff at UNFPA country offices included in the 2010 Census round (132 offices).

When will the survey be launched?

This survey will be launched right at the start of the data collection phase, early in 2015. The information gathered through this survey will be used to characterize type A and B countries even further. The results of this survey will be crossed, at a later stage, with the results of the NSO capacity survey in order to find out whether there are any worth analysing patterns emerging from the data e.g. relationships between results in terms of NSO capacity (high or low degrees) and soft aid activities (type and intensity of the activities).

2. The National Statistical Offices (NSO) capacity survey

Rationale: why conducting this survey?

Being a worldwide thematic evaluation with a primary qualitative focus, the evaluation will work on the basis of samples of countries (illustrative samples). Having said that, and given the central importance of enhancing national capacity (specially of NSO), it was considered than in order to answer EQ2 with a certain degree of credibility, it is necessary to enquire all NSO involved in the 2010 Census round, and the most cost-effective way of doing so is an online survey. This survey will focus on NSO capacity aspects and particularly on the UNFPA contribution in this regard.

Who are the target respondents?

Managerial and technical staff at National Statistical Offices in all the countries supported by UNFPA in the 2010 Census round.

When will the survey be launched?

This survey will be launched after the reception of the responses to the CO soft aid survey. Actually the CO soft aid survey will include a section enquiring CO staff about key list of NSO personnel to whom the NSO capacity survey should be addressed.

3. The extended desk phase survey (online survey for stakeholders other than the NSO)

Rationale: why conducting this survey?

As it will be explained in section 6.3, the main purpose of the extended desk phase is to complement case studies by analysing in depth countries that show distinct and specific situations that could shed light on the type of intervention models that work best and the factors that influence the effectiveness of UNFPA support. The extended desk phase will take place in type B countries and therefore will not imply field visits. In this scenario it was considered highly necessary to complement remote data collection with a questionnaire targeted at the users of census data. This survey has two main purposes: (i) provide qualitative information on census data users in type B countries and add to the information required to answer EQ3; and (ii) identify organizations / people worth interviewing remotely who have not been suggested as interviewees by the UNFPA Country Office.

Who are the target respondents?

User of census data (line ministries, local authorities, civil society organizations, academia, donors and international agencies) in type B countries i.e. the few non-visited countries that will be analysed remotely.

When will the survey be launched?

The survey will be launched simultaneously to the NSO capacity survey.

The surveys will be tested previous to being launched with the purpose of double-checking their user-friendliness, their feasibility in terms of time and the their adequacy to the specific socio-cultural contexts. The evaluation team will require the support of UNFP Regional Offices to carry out the tests.

Cybermetric data collection

This is a method of data collection rather than a tool and encompasses examining the Web to find evidences on aspects related to the quality of the censuses and the use of census data. Cyber data will be collected from Internet websites, Internet forums, blogs and other social networks. Similarly, this tool will be applied to checking references and comments made to documents and data published as a result of the census as well as to check media sources in Internet that cover national debates on the census.

The cybermetric data collection will be carried out mostly by the national researchers /evaluators but also by the international evaluation team. The national researchers however, will adopt a more systematic approach by mapping country forums and blogs and analyse them on the basis of specific criteria that will emanate from the assumptions and indicators in the evaluation matrix. The international evaluation team members will use cybermetric data collection mainly as a tool to seek for evidences (for assumptions and counter-assumptions).

Direct observation

This will consist in team members observing users of UNFPA census support applying the applying knowledge received during the program or using the data generated by the census.⁴⁷

5.5 Tools for data analysis

Descriptive statistics

Descriptive statistics will be applied to the results of the online survey questionnaires data, to the assessment of financial data and to statistical digests.

⁴⁷ In practice, direct observation means interviewing users and asking them to show evaluators (to demonstrate) what they have learnt and to kindly ask them to show how they use census data in analysis and in the development of plans and programmes.

Whenever the quantity, quality and comparability of the data allows so, simple correlation techniques may be applied as well.

Triangulation

As aforementioned it will consist in crosschecking different sources of information/data and different data collection tools (whenever possible) for each assumption under the evaluation questions in order to produce robust findings.

Validation mechanisms

There will be several types of validation mechanisms: focus groups, internal team meetings, preliminary debriefing meetings at the end of the case study visits and meetings with the Evaluation reference Group in New York. These meetings will serve the purpose of validating on-going hypothesis, causal links in the theory of change, assumptions and preliminary findings.

Taxonomy

This technique will be used for the nomenclature and classification of evidences included in secondary sources of information (documents) and in interview logbooks. Documents containing evidences associated to indicators in the evaluation matrix will be codified, and the content of the interviews in the logbooks will also use codes to identify specific pieces of information linked to answers to specific evaluation questions.

Comparative analysis and benchmarking may also be used when analysis the case studies as well as the findings from non-visited countries.

5.6 Integrating cross cutting issues in the evaluation approach

In the documentation analysis the evaluation will assess how and up to which degree **gender** and **human rights** have been integrated in UNFPA support to the design of the census, in its conduct and in the production, analysis and dissemination of census (data). The analysis will pay special attention to the census form and to the process of its definition. The purpose is to assess the quality of the census data from the point of view on how the data produced by the census allows for gender and human rights responsive policies to be formed and to analyse the role of UNFPA in this.

In addition to general population data, the evaluation will analyse documentation to assess the degree to which UNFPA has supported the Government promoting the inclusion of questions in the census form that allow for the collection of age and gender disaggregated data and other human rights relevant data.

Youth specific questions in the census form include age structure, employment, educational attainment and the (potentially very) sensitive questions about violence. The evaluation will examine how UNFPA has supported the government recording information on vulnerable groups, such as disabled people and minorities. Even in cases where ethnicity as such is not included in the census for political reasons, the existence of the census form in all national languages is an additional element to be

recorded by the evaluation, or at least, the evaluation will look at fluency of enumerators in the local minority language.

In countries where UNFPA has supported the enumeration phase of the census, the evaluation will review documentation on the gender balance of enumerators and how they have been selected and trained should this information be available. In monolingual minority areas, enumerators fluent in that language should be used; otherwise data reliability may be questioned. A specific issue is whether UNFPA has provided or promoted training for asking sensitive questions in the census, and whether double enumerator teams including male and female persons have been used (particularly in countries where social barriers exist in communication between women and men).

The evaluation will analyse what data UNFPA has contributed to producing and publishing concerning gender equality, youth and vulnerable groups.

The evaluation will examine whether human rights and gender equality measures have been introduced subsequent to the census in national development plans, government policies and in advocacy activities of non-governmental organisations.

In census support evaluations the main interviewees are civil servants who were involved in the census, civil society organizations, academia and media. Absolute respect of confidentiality and anonymity, and non-discrimination will guide the interviews, including the voice tone and vocabulary used by the evaluation team members.

On the “user” side of census data, particularly when it comes to civil society at large, the evaluation will select for semi-structured interviews and/or groups discussions with organisations/associations (NGOs) representing women, youth and children and possibly (when relevant) ethnic minorities and other vulnerable groups. The evaluation team will make sure that in these cases there is a certain gender and age balance in the group. In practice, this will have to be done by asking the UNFPA CO and/or the local consultant to instruct civil society organisations to send to the interviews a gender balanced group of representatives (when applicable – e.g. women’s organisations will most probably only select female interviewees).

In practical interview/group discussion situations, special care will be taken to prevent dominant persons from occupying too much speech time and women and young persons will be encouraged to express themselves. The evaluation will try to guarantee the maximum degree of homogeneity in the group discussion with regard to educational and social status level.⁴⁸ With regards to the interview protocols and the online surveys, gender equality, youth and human rights related questions will be included as deemed relevant.

⁴⁸ On a case-by-case basis, the Evaluation Team will consider the possibility to start the group discussion requiring written answers, to key questions to counter distortions in data collection caused by potential group dynamics where group participants start aligning themselves along the positions of person(s) who might be more vocal, outspoken or hierarchically superior than rest. This method may be useful particularly in countries with high respect for hierarchies.

6. Selection of countries for case studies and extended desk review

6.1 Selection of country case studies

Type A countries

As stated in the ToR, case studies will be conducted in countries where support to census has been implemented and where examples can illustrate the range and modalities of UNFPA support to population and housing census to inform decision-making and policy formulation in different contexts. A prime aim of the case studies is to inform and provide input to the synthesis report.

Considering the small number of countries that will be selected, a random sampling approach is not relevant as it would not be possible to illustrate the diversity of country characteristics. In addition, only countries where at least 4 stages of the census have been supported are considered for similar reasons. The small number of country case studies is imposed by budgetary constraints and the team opted to make the most out of these limited number of visits, hence the selection of countries where there is an assurance to collect sufficient data on the whole evaluation matrix for proper analysis and triangulation.

One country has been selected in each of the UNFPA six regions of intervention to conduct a country visit,⁴⁹ taking into consideration:

- The different national contexts,
- The diverse needs and ways the census is conducted (new technologies, traditional),
- The range of capacities to conduct a census at country level,
- The different stages of the 2010 round,
- The different modalities of engagement, including south-south cooperation.

We used the following approach and **criteria** for the **purposeful selection** of a sample of countries for case studies:⁵⁰

- 1) Though we used Atlas data for triangulation purposes, the selection of case study countries is based on information shared in the EO survey. The EO survey captured, inter alia, the financial support reported by country offices, the date the census was taken, and the number of census stages supported. For more detailed information on the survey, see Volume III, Annex 3.
- 2) Financial support (core and non-core funds) and number of stages supported were two of the indicators used for selection. Using the survey data, country offices were organised, first, by number of stages to which support was provided

⁴⁹ (i) Western and Central Africa; (ii) Eastern and Southern Africa; (iii) Asia and the Pacific; (iv) Arab States; (v) Eastern Europe and Central Asia and (vi) Latin America and the Caribbean.

⁵⁰ Aspects related to representativity in terms of country population size are not considered as they are not relevant for the purpose of the selection of Type A countries, which focuses on the amount of information across all census stages that can be collected and the variety of contexts.

and then by amount of financial support provided. COs providing support to five or four (and, in exceptional cases, three)⁵¹ stages were selected and were then sorted by financial support (highest to lowest). See Volume III, Annex 3 for a listing of the top country offices by region according to these criteria.

- 3) UNFPA country quadrant classification - UNFPA country classification system – has been also used as an indicator for case study selection. Countries are grouped based on financial capacity (GNI) and need of support, as illustrated in the table below. The modes of engagement are then determined based on this delineation.

Table 3 UNFPA Country Quadrants - Modes of engagement by setting

| <i>Ability to finance</i> | <i>Need</i> | | | |
|---------------------------|-----------------|-----------------|-------------|---------|
| | Highest | High | Medium | Low |
| Low | A/P, KM, CD, SD | A/P, KM, CD, SD | A/P, KM, CD | A/P, KM |
| Lower-middle | A/P, KM, CD, SD | A/P, KM, CD | A/P, KM | A/P |
| Upper-middle | A/P, KM, CD | A/P, KM | A/P | A/P* |
| High | A/P* | A/P* | A/P* | A/P* |

Note: A/P = Advocacy and policy dialogue/advice, CD = Capacity development, KM = Knowledge management, SD = Service delivery. * Physical presence only in select countries

- 4) The impact of census data on policy making depends, in part, on government effectiveness. We therefore used the indicator calculated by the World Bank that captures perceptions of the quality of public services,⁵² the quality of the civil service and the degree of its independence from political pressures, the quality of policy formulation and implementation, and the credibility of the government's commitment to such policies. We grouped the countries covered by the indicator into four equal groups (quartiles), each group comprising a quarter of the countries. The first quartile is composed of the 25% of countries having the lowest indicator of government effectiveness, while the fourth quartile is comprised of the 25% of countries having the highest indicator of government effectiveness.
- 5) The date that the census was conducted was also considered in the selection process. A census conducted several years ago could, for example, allow for better assessment of the census data links to policy making, whereas a census conducted more recently could provide a clearer snapshot of challenges and successes (as the time lapsed is minimal), as well as better access to stakeholders.
- 6) The table below presents the results of the country selection based on the criteria identified above (census stage coverage, financial support, date census was taken, country quadrant and government effectiveness), as well as regional balance:

⁵¹ Support to three stages was included in the filter in cases where the number of countries was too limited at five or four stage coverage (as in the case of the Arab region and EECA).

⁵² <http://data.worldbank.org/data-catalog/worldwide-governance-indicators>

Table 4 Country selection by region and government effectiveness

| Region | Government effectiveness | | | |
|--|--|---|--|---|
| | 1 st quartile | 2 nd quartile | 3 rd quartile | 4 th quartile |
| Western and Central Africa | Cameroon Nigeria Mali Guinea-Bissau Mauritania | Niger | | |
| Eastern and Southern Africa | Zimbabwe Burundi | Mozambique Kenya Tanzania Ethiopia Zambia | Rwanda Botswana | |
| Asia and the Pacific | Myanmar DPR Korea Timor-Leste Cambodia Nepal | Mongolia | Bhutan | |
| Arab States | Sudan | | Palestine Iraq* (<i>census not conducted</i>) | Oman |
| Eastern Europe and Central Asia | | Tajikistan Kyrgyzstan | Georgia | Belarus* Turkmenistan Armenia* |
| Latin America and the Caribbean | | Bolivia Nicaragua | El Salvador | Peru* (pilot country) Dominican Republic Costa Rica Venezuela Uruguay |

*: countries adhering to the Paris declaration on aid effectiveness

Considering as important to ensure all four quadrants are represented, as well as a range of government effectiveness levels, we propose the following selection for country study visits:

Latin America and the Caribbean: Peru was selected (population 2013: 30.4 million, censuses in 2005 and 2007) as pilot case country. It will ensure the presence of a country of the pink quadrant, meaning UNFPA support focused on

advocacy and policy dialogue and advice, and a country of the highest group of government effectiveness. UNFPA support covered the five stages of census taking, with an expenditure of \$33.8million (consistent in Atlas and the EO survey).

Arab states: Oman belongs to the pink quadrant, already represented, and Sudan to the red one, heavily represented in Africa. It is proposed, therefore, to select **Palestine** (population 2013: 4.2 million, census in 2007), which belongs to the yellow quadrant and the third quartile in terms of government effectiveness. Palestine benefited from UNFPA support which began during the early stages, including support to drafting the project proposal for the census, conducting a donor conference meeting for fund raising, and preparing the action plan and time frame for the census implementation stages. UNFPA provided \$3,6million to cover fieldwork, supervision and printing census questionnaire, data processing and data entry and data dissemination.

Eastern Europe and Central Asia: Belarus, Turkmenistan and Armenia belong to the pink quadrant already represented. Georgia belongs to the yellow quadrant represented by Palestine. **Tajikistan** (population 2013: 8.2 million, census in 2010) belongs to the second quartile in terms of government effectiveness and to the orange quadrant (UNFPA support focuses on advocacy and policy dialogue and advice, knowledge management, and capacity development). UNFPA support covered all census stages, amounting to an expenditure of \$657,199. **Kyrgyzstan** (population 2013: 5.7 million, census in 2009) would also be a convenient choice with the same characteristics, with an amount spent of \$620,529 and all stages supported, including support to 13 thematic publications (funds provided by DFID).

Asia and the Pacific: in this region, the proposal is to select **Myanmar** (population: 51.4 million, census in 2014) given that Myanmar CO has had the highest level of investment in census across all UNFPA COs - \$36.3 million (inclusive of both core and non-core funds). The census was conducted in 2014, and so far only preliminary general results were released. It is thus unlikely that the real impact on policy-making could be observed in 2015. However, Myanmar will be an illustrative case of a specific role of UNFPA. **Timor-Leste** (population 2013: 1.2 million, census in 2010) could also be considered, as second country of the orange quadrant, and in the first quartile of government effectiveness. UNFPA spent around \$3.5 million to support all five stages of the census, from cartographic mapping to dissemination, including the preparation of 12 thematic reports launched in 2012.

Eastern and Southern Africa: in this region, we propose to select **Kenya** in the red quadrant and the second quartile of government effectiveness. **Kenya** (population 2013: 44.4 million) had a census in 2009 and was supported by UNFPA in all stages of the census (amount of \$8,5 million core and non-core funds). **Tanzania** (population 2013: 49.2 million) is another possible choice. Tanzania conducted its census more recently, in 2012, and was supported by UNFPA all along the five census stages, including census analysis and dissemination with an amount of expenditure of \$5.2 million.

Western and Central Africa: In this region, all countries are in the red quadrant. We propose to select a French speaking country of the first quartile of government effectiveness: **Mali** (population 2013: 15.3 million) conducted the

census in 2009 and UNFPA provided support in the amount of \$2.5 million, which includes support to data analysis. Mauritania (population 2013: 3.9 million, census in 2013) is another possible choice (depending on security conditions in Mali). UNFPA supported all stages of the census with an amount of \$1 million.

The proposed selection can be summarised in in table 5

Table 5 Proposed country selection

| Region | Year the census was conducted | | | | | | | | | |
|---------------------------------|---|------|---|------|---|--|------|--|--|---|
| | 2005 | 2006 | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 | 2013 | 2014 |
| Arab States | | | Palestine: Pop: 4.2m support: \$3.6m, 3 rd . gov. eff. qtl. | | | | | | | |
| Asia Pacific | | | | | | Timor Leste: Pop: 1.2m, support: \$3.5m, 1 st gov. eff. qtl. | | | | Myanmar Pop: 51.4m, support: \$36.3m, 1 st gov. eff. qtl. |
| Eastern Europe and Central Asia | | | | | Kyrgyzstan: Pop: 5.7m, support: \$0.6m, 2 nd gov. eff. qtl. | Tajikistan: Pop: 8.2m support: \$0.7m 2 nd gov. eff. qtl. | | | | |
| Eastern and Southern Africa | | | | | Kenya: Pop: 44.4m, support: \$8.5m, 2 nd gov. eff. qtl. | | | Tanzania: Pop: 49.2m, support: \$5.2m, 2 nd gov. eff. qtl. | | |
| Latin America and the Caribbean | Peru: pop: 30.4m, support: \$33.8m, 4 th gov. eff. qtl. | | Peru: pop: 30.4m, support: \$33.8m, 4 th gov. eff. qtl. | | | | | | | |
| Western and Central Africa | | | | | Mali: Pop: 15.3m, support: \$2.5m, 1 st gov. eff. qtl. | | | | Mauritania: Pop: 3.9m, support: \$1m, 1 st gov. eff. qtl. | |

Legend: the colours correspond to the UNFPA quadrants presented in table 3. Countries shaded are not selected in the final sample

6.2 Selection of countries for the extended desk review

Type B countries

To complement the country study visits an extended desk review will be conducted in some countries. The objective of the extended desk review is to analyse specific country cases that illustrate the variety of intervention models adopted and the factors that influence the effectiveness of UNFPA support. The main purpose is to assess what works (best) and what does not work in terms of UNFPA support, given different modalities and country contexts. The countries analyzed in the extended desk review belong to what has been described as type B countries, and their analysis will involve the study of documentation such as National Statistical Strategies, methodological documentation of the census and programmes and policy documents based on census data; but it will also involve the conduction of the three survey questionnaires mentioned in Chapter 5 (extended desk phase survey, soft aid survey and NSO capacity survey) as well as remote semi-structure interviews.

To avoid duplication with the country case study visits, the rationale for selection of Type B countries is different from the rationale used to select Type A countries. The rationale for extended desk review is to select countries presenting specific situations and casuistic related to census taking or to particular modalities of UNFPA support in order to complete the overall picture in terms of the scope of UNFPA interventions with distinct characteristics. Dimensions explored in more detail in these countries include South-South Cooperation, development of national capacities, humanitarian response, conflict situations and specific national emphasis on utilization of census data. The selection has been based on so-called outliers in the Evaluation Office country office survey, that is, countries that have received a higher-than-average support in one specific stage of the census or on one specific area (capacity development, south-south, etc.)

Assistance from the CO will be required to identify the aforementioned documents and the contact details for the NSO and users of census and associated survey data.

The following countries are proposed with their rationale for selection:

1. **Bangladesh** (157 million inhabitants, census in 2011): is a country where UNFPA support was reported as strongly oriented towards capacity-development. A national capacity building plan for the National Statistical Office was prepared and is currently implemented. This includes facilitation of an overseas training at Statistics Indonesia on Census data capturing, processing and analysis for 40 participants from Bangladesh Bureau of Statistics and other relevant government department officials. Additional local and international training is planned for 2014 and 2015. Other activities such as building in-house printing capacity or building data warehousing facility are also planned and implemented.
2. **Brazil** (200 million inhabitants, census in 2010): UNFPA did not support the preparation and conduct of the census as the government was financing and implementing the entire census operation. However, UNFPA supported various international seminars to share experiences, such as an international workshop to share the strategy of preparation and logistics of the 2010 census, which included the use of Personal Digital Assistant (PDAs) for the census enumeration.

Brazil supported several African countries in using PDAs. Brazil is therefore an interesting and important case of South-South cooperation.

3. **Cameroon** (22 million inhabitants): The census took place in 2005 with support of UNFPA in all stages of the census. There was a critical delay in the census process caused by insufficient funds and poor planning. But the provision of a Senior Technical Adviser brought an impetus to the process to get the census published in 2010. This specific situation is interesting to analyse from two aspects: why UNFPA support could not expedite the processing of the data and how UNFPA could bring a solution for completing the census process in the end. The evaluation team will build on the findings of the UNFPA Independent Cameroon Country Programme Evaluation from January 2012.
4. **Belarus** (9.5 million inhabitants): The census was conducted in 2009. UNFPA conducted an international tender and procurement of Data Capture System and brought international expertise on dissemination strategies. UNFPA also supported the development of a system for online interactive dissemination. This system allows providing easy and user-friendly online access of a wide range of users to the aggregated database of census results and representing data in the form of tables, graphs, diagrams and maps. Belarus is proposed as an example of Eastern Europe countries. According to the UNFPA Regional Office, these countries face specific challenges even though they belong to the pink quadrant.
5. **Indonesia** (250 million inhabitants): UNFPA supported many activities related to dissemination of the 2010 census such as thematic reports, use of the census in humanitarian disaster preparedness, and use of census micro data for small area statistics analysis at the village level related to the relationship of population dynamics and climate change. In addition, UNFPA supported a short course on data analysis to measure pregnancy related mortality in the Harvard Centre for Population and Development Studies, and a series of workshops on Census analysis. It would be of high interest to evaluate to what extent this focus on data utilization contributed to the use of census data for policy planning.
6. **Iraq** (33 million inhabitants): The census was not held for political reasons. However, the Ministry of Planning with support of UNFPA conducted two activities: the enumeration of the habitat (Housing) at national level (2012) and a National survey of 300,000 households to generate the key demographic indicators (Iraq Poverty Mapping and Maternal Mortality Ratio) (2013). It is estimated that about 1 million USD was invested in the South-South cooperation, in particular with Egypt. The case of Iraq is valuable to analyse the conditions and outcomes of a strong South-South cooperation.
7. **Rwanda** (12 million inhabitants): UNFPA supported the preparation, enumeration and data collection of the census but not the dissemination phase, beyond the dissemination of provisional results. However, Rwanda is a country with quite high government effectiveness and strong emphasis was put by the government on the timely dissemination of a complete series of thematic reports that could be used by public authorities for planning and policy making. The analysis of the UNFPA role (or the absence of it) on this particular census phase

would enlighten, by contrast, the UNFPA practice of supporting activities related to the use of the data.

6.3 Approach for country case study field visits

Each country mission will last for 8 to 10 days during which a team of one census specialist and one evaluation expert will be present. The team will be accompanied by a local consultant who will play a role in the preparation of the agendas and participate in field visits as required by the Team. The local consultant will have working experience in a relevant sector (evaluation, demography, politics, statistics) and will help to organize the field mission as well as assist in better understanding the country context. She/he will also participate in the interviews. The local consultant will be asked to guide the preparation of the mission by submitting relevant key documents needed for better understanding of the situation prior to the arrival of the evaluation team. The local consultant will also be asked to provide a list of key stakeholders (beyond those proposed by the CO) and assist with the country's stakeholder mapping exercise.

Data sources for field research will primarily include interviews with as many informants as possible and relevant, as well as field observation, documentary review and cybermetric data collection. Interviews will be conducted along the lines of the interview protocols in order to gather the relevant in-depth information necessary to answer the questions of the evaluation matrix. The interview protocols were tested in the pilot visit to Peru and revised accordingly.

As mentioned earlier, key country-level documents providing relevant information will be collected and analysed.

A country case study note will be drafted for each visited country containing all the main findings as well as observations for input to overall thematic evaluation report.

The approach to each of the field visits and related country case studies will involve the following steps:

Preparation: the evaluation team will work in coordination with EO and the national and/or regional offices to prepare for the visits. Lists of informants will be established and initial contacts will be made with support from UNFPA CO staff in the selected countries. Another essential part of preparatory activities will be to review available documents and other sources of information on the census in the country, on the support provided by UNFPA, as well as on policy documents that can illustrate the use of the census in policy making. This will lay a solid foundation for in-depth data collection during the field visits.

In order to formalise the preparation process the following procedure will be applied:

- One month before the field visit, the Atlas portfolio of interventions will be checked for a listing of key regional and local UNFPA counterparts (implementing partners and donors). The Regional Office will be contacted for documentation and information about other international and regional organisations involved in the design or implementation process and to obtain contacts of relevant informants for meetings if they are located in the visited country or for remote interviews if not.

- The Country Office of UNFPA will be contacted to obtain an initial list of involved stakeholders, recommendations for a local consultant and contact points in at least the NSO, Ministry of Health and Ministry of Education and key representatives of media and civil society.⁵³ Information and support letters for visa applications will also be explored in this phase.
- 15 days prior to the visit, the evaluation team will have gathered preliminary information and completed the evaluation matrix with the relevant information that could be found. Country specific questions should also be developed based on this preliminary research. The local consultant will be requested, when applicable, to provide a country brief regarding the evaluation topics to ensure complementarity with cultural and background context. Arrangement for local transportation and interpretation will be made at this point if deemed necessary.
- 8 days prior to the visit the agenda of the evaluation should be shared with the UNFPA EO and all meetings should be confirmed. In addition, a team meeting will be organised with the backstopping team and the UNFPA EO evaluation manager to ensure consistency of use of the tools between different countries, as there will be two evaluation teams performing the country case studies.

Field work: the field missions will last 8 working days in average.⁵⁴ At the first day of each mission an introductory briefing meeting presenting the evaluation objectives and approach as well as the key issues to be explored in each country visit will be held with the respective UNFPA CO representative and programme officials. Data collection will take place both in the capitals of each respective country and, if appropriate, at decentralized level. At the end of each site visit, the evaluation team members will share preliminary findings with the UNFPA team to validate emerging findings, elicit a first round of feedback, and identify potential areas for further inquiry (see example of the Peru briefing and debriefing presentations).

The evaluation team should also organise group discussions or multilateral thematic meetings when appropriate to gather information about the potential impact of census data in planning and policy making. This would not only include Line Ministries but also international and regional bodies using census data for their programmatic and planning, universities and researchers using census data or micro data to investigate indirect impact of the UNFPA intervention.

Reporting: The five country case study notes will be submitted within one month after the end of the mission. The Team Leader will present the results of the data collection phase in a reference group meeting in New York. The Team will organize a back-to-back analysis workshop to this event, during which the presentation of the findings from the data collection phase will be tested and discussed. The analysis of

⁵³ The list of Ministries is tentative and focuses on the core political topics in the scope of the evaluation

⁵⁴ The field work could range from 6 to 10 working days depending on different local circumstances like security of access to sub-national entities or presence of relevant informants.

the interview and survey data will have been thoroughly analysed previous to this workshop.

Role of national UNFPA focal points: In each case study country, UNFPA will nominate a member of their country office to coordinate the field visits. These focal points are expected to ensure government involvement and national ownership; to expedite data collection and access to information and key informants; to provide comments to the draft country case-study reports; to facilitate the dissemination of the results of the evaluation at country level. A close cooperation between the national UNFPA focal point and the local evaluation team consultant would be an undeniable asset for the evaluation. They will both assist in ensuring that the evaluation is rooted into the local context while focusing on the larger strategies and theory change relevant at regional and global level to the evaluation. An additional contribution in the preparation from the national focal point would be the identification of relevant stakeholders.

7. Data and methodological limitations and risks

This chapter presents the limitations and risks of the methodological approach and the chosen methods for sampling, data collection and data analysis, as well as the limitations and risks associated to operational and organizational aspects.

7.1 Methodological risks and limitations

7.1.1 Methodological approach

One limitation concerning how to measure change associated with UNFPA support (contribution analysis) is that only one census process per country will be studied and analyzed, making it difficult to measure change on the basis of comparing census over time. One alternative to overcome this limitation would be to study the earlier census forms and compare them with the one used in the 2010 census round, and then inquire the reasons of the changes (particularly if there are improvements in quality, quantity, reliability and human rights responsiveness). The pilot country visit in Peru showed that these comparisons across time are extremely difficult if not unfeasible. The relatively long periods of time elapsed between censuses poses a considerable challenge in this regard in context characterised by staff turnovers and frequent changes in leadership in national institutions, and at times, inadequate filing and administrative systems.

7.1.2 Sampling

In the case of census support over the 2010 round, UNFPA has actively supported 132 countries. The evaluation will use sampling in order to collect data on these countries i.e. not all countries will be visited or examined in the same degree of detail. All sampling methods – in evaluations and research – conducted on whichever criteria suffer from bias, unless random sampling is carried out on a large sample.⁵⁵ Actually, the main sampling method used in the evaluation is **purposeful sampling**, which has an inherent bias. Having said that, and given that the purpose of the evaluation is to find out what works and what does not work (in terms of UNFPA support models) in different contexts and scenarios, the implications of the bias is relatively acceptable and does not imply casting doubts on the credibility of the findings due on sampling grounds. The findings of the evaluation will not be able to be extrapolated to all countries (as they will not be representative) but they will be valid in terms of fulfilling the objectives of the evaluation. Moreover, the methodology includes a series of mitigating measures to the fact that the number of

⁵⁵ The exception would be the very large (country-wide or world-wide) and well resourced “randomized evaluations” such as those promoted by the Abdul Latif Jameel Poverty Action Lab (at MIT, Massachusetts Institute of Technology) and where the cases in a very large sample are supposed to “neutralize” deviating cases and bring forth only the representative features/characteristics (as in dual-blind medical experiments). This approach has been advocated for Jeffrey Sachs in the Millennium Villages. But many academic researchers express skepticism on whether real comparison between two villages or two countries can ever be relevant.

visited countries is confined to six (due to budgetary reasons). The NSO capacity survey, that will cover all the countries and the extended desk phase survey on type B countries, are examples of attempts aiming at expanding the sample of countries analysed and gathering data on all countries, even if partial data) to allow for cross comparisons and the identification of as many illustrative cases as possible.

Moreover the sample of case studies (type A) and extended desk phase countries (type B) includes both good and not-so-good experiences, offering a balanced overview on outliers (extreme positive and negative cases). The aim here is to collect as many illustrative cases as feasible.

7.1.3 Data collection and analysis methods

In consideration of the long period covered by the evaluation (2005-2014), staff turnover that reduces institutional memory at stakeholders' organizations may seriously limit the availability (and reliability) of data from **interviews, group discussions and focus groups**. The evaluation will aim at minimizing this risk by using multiple methods, for instance, document analysis and oral information from parallel sources in triangulation with interviews of persons who have no personal direct memory of earlier events/policies.

The evaluation is likely to face difficulties in identifying the most relevant stakeholders for interview (and/or internet-based survey), particularly in countries where the CO has experienced staff turnover after or during the census. Also political changes in the partner countries may increase the impact of this limitation, as in many countries with a majority political system the whole state administration is changed after elections. The team will use several approaches to mitigate this: (i) the use of snowball sampling of informants once in the countries, that is, asking interviewed informants to refer to relevant people that may be in the country and available for an interview; (ii) increase the coverage by using remote interviews (telephone/Skype) in the visited countries: in country visits the team will attempt to identify key players affected by staff turnovers and contact them remotely during or after the field visits; and (iii) the use of documentary sources will be intensified.

In order to minimize gender bias in interviewees, the team will expect and demand to have a gender-balanced sample of interviewees, particularly when it comes to enumerators and civil society representatives. Gender bias in interviewees may be less possible to avoid in the case of civil servants.

The organization and conduction of a high quality **focus group** may be complex, very demanding and time-consuming. One of the added values of focus groups as we would like to use them and a feature that differentiates them from group discussions is that they include a diversity of stakeholders. In this scenario staff turnover and the problems in availability of key informants could risk the composition of the focus groups and the quality of the results as a data collection and analysis tool. In order to minimize this risk, the team will start the preparation of the focus groups well in advance. It will be one of the preparation activities that will be prioritized in the data collection phase. If the composition of particular focus groups had a bias towards a particular stakeholder organization/type, the focus groups questions will be adjusted accordingly and the findings will be used appropriately (they will not be used as evidence to back up main findings, for example).

There is a main risk and a main limitation associated to the use of **online surveys**. The main limitation, inherent to any online survey, is self-selection bias,⁵⁶ and the main risk is the possibility of low response rates.

Two measures will be taken in order to offset the consequences of a low response rate. These are: (i) the period for responding to the questionnaire will be expanded and reminders will be sent to insist on the importance of the exercise (worldwide thematic evaluation); and (ii) the number of remote interviews will be expanded in those countries where survey response rates are particularly and comparatively low.

Potential low levels of quality and accuracy of the collected data is the main risk that could affect the validity of the data analysis. The general approach to minimise the consequences will be two-fold. Firstly, evaluators will triangulate and crosscheck various sources of data, especially when there are indications that data could be inaccurate. Secondly, data will be disregarded as a means to back up findings when indications of quality issues are substantial.

7.3 Organisational limitations and risks

Several organisation challenges have been identified. These challenges can however be controlled and relatively offset if dealt with timely and appropriately:

- Five country case studies will be conducted in roughly six months which is a tight agenda taking into consideration that each country study will run for about two weeks including travelling and also taking into account that it is envisaged that the first versions of the country case study notes are drafted in the weeks subsequent to the missions. In order to allow the evaluators to fully concentrate on each mission and report at a time, one mission per month will be organised in a way that no experts participate in two missions scheduled in two consecutive months. The new team split, which foresees to send only two experts to each country mission allows this approach and gives the flexibility in planning.
- Having in mind that it can be difficult to identify local experts in some of the countries to be selected for various reasons, the tasks foreseen for the local staff might need to be redistributed. We foresee to include either backstopping team member in these country missions and/or to allocate extra working days to the evaluation team members.
- A common problem faced during country studies is limited interest and availability of interview partners. In order to encourage as many of the identified interview partners as possible our strategy will be twofold: on the one hand the evaluation team, through the country offices, will provide early information explaining in detail the importance of this evaluation to the interview partners, on the other hand UNFPA Country Office will be involved from the onset and will

⁵⁶ This bias appears because most probably not everybody who receives the questionnaire will respond to it, and those responding it could have characteristics that are systematically different from those who do not answer, which would cause a systematic bias in responses.

liaise with the evaluation team by facilitating contacts to stakeholders as early as possible.

- As different teams will be sent to different countries an imaginable obstacle might be the comparability of the country reports. We have envisaged this difficulty thus after the final version of the inception report a team workshop will be organized discussing difficulties in the conduction of the pilot study both from organisational and methodological point of view. Regular group conferences will be organized throughout the evaluation as well with the objective of harmonize the data collection approach and minimize risks in terms of comparability. As described in the approach to country case studies, a refresher teleconference will be organised on the use of the evaluation tools to ensure consistency and comparability.
- Finally, translation of questionnaires as well as lacking knowledge of local languages can become an obstacle. The team covers a broad width of languages and we will try to set up the teams in a way that international working languages in most selected countries will be covered. However, local translators will be contracted if required to make sure that interviewers and respondents are clearly understood.

8. Evaluation management and team composition

During the inception phase of this evaluation, the team (as proposed in ICON's technical offer) has known a major shift in staffing given the large scope and complexity of this thematic evaluation. As originally indicated in the terms of reference the two main objectives of the evaluation are the following:

- (i) evaluation of the relevance, effectiveness, efficiency, and sustainability of the UNFPA support to the 2010 round of population and housing censuses;
- (ii) assessment of the extent to which census data are used, to contribute to policies, development plans and programmes in relation to UNFPA programmatic areas.

To reflect this shift, one evaluator and one policy expert and evaluator have joined the core team to reinforce the skills on evaluation methodologies and approaches. Three census experts will assist the evaluators in the evaluation of technical aspects. In line with the policy regarding conflict of interest, census experts will not actively participate to the data collection in countries where they have been involved supporting UNFPA during the 2010 round of census or will be active for the upcoming 2020 round of census.

I - Core team:

| Position | Name | Responsibilities |
|---|-------------------|--|
| EO Evaluation Manager, Evaluation Adviser | Alexandra Chambel | <ul style="list-style-type: none"> • Overall responsibility for the supervision and management of the evaluation, including leading the team of external consultants. • Chair the evaluation reference group • Provide methodological guidance to the team • Participate in the data collection process (conduct interviews, facilitate group discussions and focus groups) both at inception and data collection phases • Chair the induction and analysis workshops • Review, provide substantive comments and approve the evaluation products • Responsible for ensuring the quality and independence of the evaluation |
| Evaluation Expert – Methodology and quality assurance | Jordi del Bas | <ul style="list-style-type: none"> • Develop the overall methodology of the evaluation, in coordination with the EO evaluation manager and the senior Census Expert • Ensure consistency in the implementation of the methodology • Prepare and co-facilitate the induction and analysis workshops • Lead two country case studies (including pilot) • Contribute to the extended desk review including conducting remote interviews and data analysis for two countries • Design the soft aid survey and ensure consistency between all surveys • Conduct interviews at regional and global levels • Contribute to reporting (2 case studies and evaluation report) and quality assure the evaluation report. |

| Position | Name | Responsibilities |
|------------------------------|---------------------|--|
| Evaluation and policy Expert | Fabrice Henard | <ul style="list-style-type: none"> • Lead two country case studies • Develop the approach and coordinate the extended desk review for seven countries including conducting remote interviews and data analysis for two countries. • Analyse results from the surveys • Conduct interviews at global level as required • Prepare the conclusions workshops • Contribute to reporting (2 case studies and evaluation report) |
| Senior Census Expert | Jean – Michael Durr | <ul style="list-style-type: none"> • Contribute to overall methodology – inception report and extended desk approach • Participate on 3 country case study missions • Contribute to the extended desk review including conducting remote interviews and data analysis for two countries • Contribute to the design of the NSO survey • Conduct interviews at regional and global levels • Analyse results from the surveys • Contribute to reporting (4 case studies and evaluation report). • Ensure consistency across the analysis (responses to EQs) of the evaluation report. |

II- Supporting team:

| | | |
|--|--------------------------------------|---|
| Evaluation Expert Country Cases Studies | Anne Gillies | <ul style="list-style-type: none"> • Lead two country case studies • Contribute to reporting (2 case studies) • Co-facilitate the analysis workshop |
| Census Experts Country Cases Studies | Frank Eelens Isabelle de Pourbaix | <ul style="list-style-type: none"> • Participate on country case study missions • Contribute to country notes reporting |
| EO Research Assistant | Natalie Raaber | <ul style="list-style-type: none"> • Provide research and any assistance as required in support of evaluation manager |
| ICON backstopping | Christophe Dietrich | <ul style="list-style-type: none"> • Contracting authority • Organisation and logistics of missions • Editing (using UN editing rules), formatting and proofreading of all documents. • Programming and administration of the online surveys. • Tabulation and preliminary analysis of the surveys • Responsible for guaranteeing timeliness of evaluation. |

9. Work plan

| Evaluation Phases and Stages | Deliverables (*) | Dates | Meetings (**) |
|--|---|-----------------------|---|
| INCEPTION PHASE | | | |
| Structuring Stage Desk study | Inception report (1st draft) | October 2014 | |
| Peru pilot mission (Country case study #1) | Debriefing presentation to Country Office (PowerPoint) | October 2014 | Exit meeting in Country Office (Evaluation Manager, Leading Evaluator + team members) |
| | Inception report (2nd draft) | December 2014 | |
| | Presentation of the Inception report (incl. lessons from Pilot case study) to the Reference Group (PowerPoint) | December 2014 | Reference Group (Leading Evaluator + team members)) |
| | Inception report (final) | December 2014 | |
| Reporting Stage | Pilot country case study note (1st draft) | January 2015 | |
| | | | |
| | Pilot country case study note (final) | February 2015 | |
| DATA COLLECTION PHASE | | | |
| | | | |
| Induction workshop | Presentation of the tools and informants protocols for data collection | February 2015 | Workshop in Cologne (all team members + Evaluation Manager) |
| Field Missions to five UNFPA programme countries | Debriefing presentations to Country Offices (PowerPoint) | March- May 2015 | Exit meetings in Country Offices (Team leader + team members) |
| Surveys | Soft aid survey | February – March 2015 | |
| | NSO survey | February – March 2015 | |
| | Stakeholder survey in Type B countries | March – June 2015 | |
| Extended desk review | | March – June 2015 | |
| Reporting stage | 5 Country case study Notes (draft) | April – June 2015 | |
| | Presentation of the results of the data collection to the Reference Group (PowerPoint) | June 2015 | Reference Group Meeting in New York (Co-Team Leader + core team members) |

| | | | |
|----------------------------|---|-----------------------|--|
| | Analysis workshop (2 days) | June 2015 | Team leader + team members + Evaluation Manager |
| | 5 Country case study notes (Final) | June - September 2015 | |
| REPORTING PHASE | | | |
| | Draft final report | July - December 2015 | |
| | 1st draft final report – comments from the EO | End of September 2015 | |
| | 2nd draft final report – sent to the ERG | October 2015 | |
| | Presentation of the 3rd draft final report to the Reference Group (PowerPoint) | Early November 2015 | Reference Group Meeting in New York (Co-Team Leader) |
| | Final report | Early December 2015 | |
| MANAGEMENT RESPONSE | | | |
| | Management response | March 2016 | Coordinated by the Programme Division |
| DISSEMINATION | | | |
| | Evaluation briefs (English, French, Spanish) French and Spanish versions of the Executive summary of the final evaluation report | January - March 2016 | |
| | Management response | February 2016 | |
| | Presentation of the evaluation results (PowerPoint) at the stakeholder workshop | March 2016 | Presentation by the co-team leader in New York |
| | Presentation of the evaluation results and recommendations | June 2016 | Presentation to the Executive Board by the Evaluation Office |