



UNODC

United Nations Office on Drugs and Crime

Guidelines for Inception Reports

An *Inception Report* summarizes the review of documentation undertaken by an evaluator mandated by UNODC and specifies the evaluation methodology determining thereby the exact focus and scope of the exercise, including the evaluation questions. Consequently, the evaluator is expected to deliver an *Inception Report* as one of the key deliverables, which is shared with the project management, the Independent Evaluation Unit (IEU) and the Core Learning Partners (CLP)¹.

The following template serves the evaluator or evaluation team in preparing the *Inception Report*, which is not to exceed six pages. Proceed by elaborating on each point of the document by addressing the guiding comments in the grey textboxes. Delete the text boxes afterwards

The *Inception Report* is already the first step towards the *Final Report*. It will be shared for comments with the project management, IEU and CLP. The evaluator will discuss and consider these comments for inclusion.

¹ How the *Inception Report* interrelates with a typical UNODC Evaluation Process is presented comprehensively in a table which can be found in the UNODC Handbook of Evaluation as [ANNEX XYZ](#).

Inception Report: Structure and Content

(details in these Guidelines/Template)

Cover

Table of Content

Abbreviations and Acronyms

I. Introduction

A. Background and Context (sketched)

B. Purpose and Scope of the Evaluation

II. Methodology

A. Evaluation Questions

B. Indicators

C. Methods of Data Collection and Analysis

D. Sampling

E. Preliminary Findings

F. Limitations to the Evaluation

III. Work Plan

IV. Logistics and Support

Annexes (example)

I. Work Plan (mandatory)

II. Evaluation Matrix (mandatory)

III. Terms of Reference (mandatory)

IV. Documents reviewed (mandatory)

V. Draft Data collection instruments (mandatory)

Questionnaires (if used)

Interview Questions (if used)

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Final Report: Structure and Content

(see Annex V of the UNODC Evaluation Handbook for details)

Cover

Table of Content

Abbreviations and Acronyms

Summary Matrix of Findings, Supporting Evidences and Recommendations

Executive Summary

I. Introduction

A. Background and Context (in detail)

B. Purpose and Scope of the Evaluation

C. Executing Modalities of the Programme or Project (in detail)

D. Methodology

E. Limitations to the Evaluation

II. Major Findings and Analysis

III. Outcomes, impact and Sustainability

IV. Lessons Learned and Best Practices

V. Recommendations

VI. Conclusions

Annexes (example)

- Terms of Reference (mandatory)

- Work Plan (mandatory)

- Interview Guidelines (if used)

- List of Persons interviewed and field visit schedule (mandatory)

- Evaluation Assessment Questionnaire (mandatory)

- Data collection instruments (mandatory)

Questionnaires (if used)

Interview Questions (if used)

Date:

Inception Report

for

Final or Mid Term Evaluation

Project/Programme Number

Project Title

Country

Report of the Evaluation Team

Names, Titles

United Nations Office on Drugs and Crime

Vienna

Table of Content

I. Introduction

A. Background and Context

B. Purpose and Scope of the Evaluation

II. Methodology

A Evaluation Questions

B. Indicators

C. Methods of Data Collection and Analysis

D. Sampling

E. Preliminary Findings

F. Limitations

III. Work Plan

IV. Logistics and Support

Annexes

- I. Work Plan (mandatory)
- II. Evaluation Matrix (mandatory)
- III. Terms of Reference (mandatory)
- IV. Documents reviewed (mandatory)
- V. Draft Data collection instruments (mandatory)

Questionnaires (if used)

Interview Questions (if used)

Abbreviations and Acronyms

ToR
UNODC

Terms of Reference
United Nations Office on Drugs and Crime

I. Introduction

A. Background and Context

commence writing here

Briefly sketch the overall concept and design of the project or programme. Include information such as the project background, project objective, project timeframe and invested resources. If multiple actors are involved in the process, please specify who and to which extend.

B. Purpose and Scope of the Evaluation

commence writing here

Clearly and thoroughly state, in line with the Terms of Reference, the purpose of the evaluation (objective) and its scope (geographical coverage/time period covered).

II. Methodology

A. Evaluation Questions

commence writing here

Usually, the ToR already provide a set of Evaluation Questions. They are not to be regarded as exhaustive and are meant to guide the evaluator in finding an appropriate evaluation methodology. Consequently, proposed Evaluation Questions can be further elaborated.

B. Indicators

commence writing here

Usually the Project Document or other project-related sources studied in the Desk Review already provide a set of Indicators. If regarded as feasible, develop new Indicators or specify already existing Indicators for the Evaluation Questions. Please make sure that all indicators match the SMART criteria (specific, measurable, achievable, relevant, time bound).

C. Methods of Data Collection and Data Analysis

commence writing here

Introduce all data collection methods you plan to implement in the field (e.g. questionnaires, surveys, interviews, direct observation). Methods that will assess the counterfactual should be preferred where possible. In your elaboration, group methods to the evaluation questions they address. Further explain, how you plan to triangulate the data. As a final step, introduce the methods of data analysis that will be applied when processing the obtained data sets.

D. Sampling

commence writing here

Elaborate on the sampling techniques that will be applied for the different data collection methods (for example Random Sampling/Stratified Random Sampling or Broad-Based Sampling). Critically discuss, if the chosen sample size is statistical relevant and what sampling errors might occur.

Summarize all content presented so far in the section “II. Methodology” in the matrix tables (Annex Section of this document)

E. Preliminary Findings

commence writing here

Elaborate comprehensively on the results of the desk study and other preparatory work carried out to this point. Where already possible, present the findings in context to the presented evaluation methodology. Focus especially on any relevant findings in fields not or only indirectly addressed by the ToR.

F. Limitations

commence writing here

Present and give reasons for risks and limitations of the evaluation framework based on the applied methodology and the information obtained and analysed so far. Also try, as accurately as possible, to deduce the consequences for and anticipated shortcomings of the *Final Evaluation Report* from these risks and limitations. If possible, make propositions how these risks and shortcomings can be overcome (e.g. through more resources, more time in the field, evaluation team composition).

III. Work Plan

commence writing here

- (a) Develop a timeline which shows the evaluation phases (data collection, data analysis, and reporting) with their key deliverables. Also give reference in this paragraph of the Inception Report to the evaluation team composition and the distribution of duties and responsibilities.

If the ToR themselves propose a timeline, propositions and reasons for amendments can be presented in this section together with a short report in how far the work of the evaluator/evaluation team has proceeded according to the proposed timeframe.

- (b) Specify responsibilities and deliverables for each evaluation phase as accurately as possible.
- (c) Summarize the work plan in a matrix:
Find the corresponding spreadsheet (which provides examples) in the Annex section of this document.

IV. Logistics and Support

commence writing here

During his/her mandate, the evaluator will rely on infrastructure and expertise of UNODC. This applies to his/her work in the field; UNODC, especially the IEU, will provide as much assistance as possible to facilitate the evaluation.
Please specify all assistance needed in addition to that which is already listed in the ToR.

