
THE EVALUATION OF UNDP'S CONTRIBUTION AT THE COUNTRY LEVEL

UNDP Evaluation Office, *January 2009*



GUIDELINES FOR AN ASSESSMENT OF DEVELOPMENT RESULTS (ADR)

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1. Glossary of Terms

ACRONYMS AND ABBREVIATIONS

ADR	Assessment of Development Results
CO	Country Office
EO	Evaluation Office
ERC	Evaluation Resource Centre
GCF	Global Cooperation Framework
MDG	Millennium Development Goal
MYFF	Multi-year Funding Framework
OAI	Office of Audit and Investigation
OSG	Operation Support Group
PET	Programme Evaluation Team
RA	Research Assistant
RBM	Results Based Management
RBx	Regional Bureaux
RCF	Regional Cooperation Framework
RG	Reference Group
TL	Team Leader
TM	Task Manager
UNDAF	UN Development Assistance Framework
UNEG	UN Evaluation Group

INTRODUCTION TO THE GUIDELINES

The ADR Guidelines are divided into three parts each with a target audience:

A.	What is the Assessment of Development Results (ADR)?	An introduction for all stakeholders in the ADR process
B.	General Guidance and Method	Guidelines for Task managers and members of the ADR evaluation team
C.	The ADR process	A guide for the ADR Task Manager and Programme Associate

Separate guidance will be provided on methods for undertaking the ADR and suggested contents of the ADR reports (ADR Method Manual).

A. WHAT IS ASSESSMENT OF DEVELOPMENT RESULTS (ADR)?

An Introduction for All Stakeholders in the ADR Process

The United Nations Development Programme (UNDP) is the UN's global development network, an organization advocating for change and connecting countries to knowledge, experience and resources to help people build a better life. It is a decentralized, country-based organization, on the ground in 166 countries (though 135 country offices), working with them to generate their own solutions to global and national development challenges. UNDP subscribes to the overarching United Nations goal of reducing extreme poverty and hunger by half by 2015. It supports the efforts of partner countries to achieve the Millennium Development Goals (MDGs) and other development results. While emphasizing national ownership and capacity development, UNDP helps countries develop and share solutions to challenges in key strategic development areas. As resident coordinator of United Nations operational activities at the country level, UNDP promotes effective coordination of United Nations system support to national priorities.

The Evaluation Policy¹ of UNDP responds to General Assembly resolution 59/250 of 2004 which requires the systematic evaluation of United Nations system operational activities by assessing their impact on poverty eradication, economic growth and sustainable development of programme countries. The UNDP Evaluation Office (EO) conducts country evaluations called *Assessments of Development Results* (ADRs) to capture and demonstrate evaluative evidence of UNDP's contributions to development results at the country level. ADRs are carried out within the overall provisions contained in the UNDP Evaluation Policy. The overall goals of an ADR are to:

- Provide substantive support to the Administrator's accountability function in reporting to the Executive Board
- Support greater UNDP accountability to national stakeholders and partners in the programme country
- Serve as a means of quality assurance for UNDP interventions at the country level
- Contribute to learning at corporate, regional and country levels

The ADR is used by a variety of stakeholders in a country's development process. For country-level stakeholders it provides an objective assessment of the work of UNDP. UNDP's accountability to these stakeholders – government, civil society and private sector – is thus strengthened through the ADR process. For UNDP it supports the organisations accountability to its Executive Board.

ADRs address the following key areas:

- (a) Contribution to development results: effectiveness, efficiency and sustainability of UNDP programme;
- (b) Strategic Issues: relevance, responsiveness, equity and partnerships;
- (c) Cross-cutting issues (e.g. capacity development, Human Rights, Human Development, gender equality and South to South cooperation), as required in the specific country where the ADR is conducted.

¹ <http://www.undp.org/eo/policy.htm>

The ADR is not limited to the current UNDP country programme, but rather captures key results over the last seven years (normally corresponding to the ongoing and previous programming cycles). It evaluates the progress UNDP made in achieving its stated objectives and addressing key development issues in its areas of practice. An ADR does not provide a judgment on a country's overall development achievements but rather attempts to establish a credible linkage between UNDP interventions and outcomes at the country level. An ADR is not the sum of evaluations of UNDP's projects and programmes in a country. It will not delve into the details of all the programmes and projects in a UNDP country programme but will selectively consider programmes and projects. The selection will be defined during the ADR design phase and discussed with the key stakeholders.

Selection of ADR Countries: The number and selection of countries, and the timing of these evaluations, aims to ensure wide coverage and to allow findings and recommendations to feed into the preparation of subsequent programmes. The selection of countries is the responsibility of the Evaluation Office and is facilitated by regional knowledge of the Regional Bureaux. Between 15 and 18 countries are selected in any one year. The selection of the countries is reflected in the EO work programme approved by the Executive Board of UNDP.

The ADR Process: The ADR process can be summarised in three consecutive sets of activities as illustrated below.



- (a) During the preparation and inception phases the ADR Evaluation Team will be established and the relevant consultants recruited. A scoping mission (1 week) will be undertaken to the ADR country to gather basic data and to understand the key issues that need to be addressed in the overall assessment. It will therefore lead to the identification of the appropriate methodology for the ADR process and set in place further research as required.
- (b) The main ADR mission provides an opportunity for validating the data collected. It will be undertaken by the whole ADR Evaluation Team over a period of 2 to 3 weeks.
- (c) Following the main evaluation mission, the ADR team will draft the ADR Report. The draft report will undergo a thorough quality assurance exercise within EO and with external reviewers. It will then be submitted for comments to the concerned UNDP Country Office and thereafter to the Government.
- (d) A stakeholder workshop will be held in the country at the conclusion of the evaluation process to present the evaluation findings and discuss the recommendations.
- (e) The final report will be submitted to UNDP Administrator so that a management response can be prepared and will be made available to the UNDP Executive Board.
The ADR process takes about eight months from the scoping mission to the completion of the ADR report.

Roles and Responsibilities in the ADR Process: The ADR process is not undertaken by the UNDP Evaluation Office alone but is a shared effort among partners at the country level and headquarters. The responsibilities of the different partners can be summarised as follows:

- (a) The UNDP Evaluation Office is responsible for managing the ADRs and is accountable for their quality and independence.

- (b) The selected UNDP Country Offices are full partners in the ADR process and fully engaged in the exercise from the start. Full support from the Country Office is necessary in initiating and managing the ADR by the Evaluation Office.
- (c) The Government in the countries where the ADR is taking place is also fully engaged in the ADR process from the start (especially the Counterpart Coordinating Agency) as are other programme country stakeholders, (e.g. donor agencies, civil society organisations, private sector, research institutions).
- (d) The relevant UNDP Regional Bureau is closely involved in the process and will be involved in the discussion of country selection for ADRs.
- (e) The ADR is conducted by an independent Evaluation Team of development experts and evaluators, and the team is led by an expert with demonstrated development perspective, analytical and evaluation skills as well as regional/country knowledge and experience.

Uses of the ADR: The ADR process and the final report will be used by a wide range of stakeholders:

- (a) For the Executive Board, the ADR provides an independent assessment of past UNDP cooperation in a given country. ADR reports will be made available to the Executive Board along with new country programme documents submitted for the Board's review.
- (b) For ADR Country Governments and other national partners the ADR provides an objective and independent assessment of UNDP's work in the country and, more specifically, to its contribution to national development results. Implementation of recommendations produced through the ADR process will also strengthen UNDP's future programming in the country. It may also provide lessons that are useful for the government in its development work and its relationship with other international development partners.
- (c) For the UNDP Country Office the ADR will provide important lessons and recommendations that will inform the country-level programming process. The ADR process itself can also be used to facilitate dialogue with government and other national partners. Moreover, it will strengthen UNDP's country-level accountability to these partners. UNDP CO is responsible for preparing a management response to the ADR in consultation with the country government and other key stakeholders. The CO is also responsible for implementing the key actions in a timely manner and report on progress in the publicly available database, the Evaluation Resource Centre (ERC).
- (d) As already noted, at UNDP Headquarters the ADR will support the UNDP Administrator's accountability to the UNDP Executive Board. For the Regional Bureaux it will also provide lessons to strengthen its oversight role that can not only be used in the country under evaluation but also in the region or globally.
- (e) Findings and recommendations may also be useful for International Development Partners including other members of the UN system and other national stakeholders, such as civil society organisations, private sector, research institutions.

B. GENERAL GUIDANCE AND KEY PRINCIPLES

Guidelines for members of the ADR Evaluation Team

1. UNDP AND COUNTRY-LEVEL EVALUATION

UNDP is the UN's global development network, an organization advocating for change and connecting countries to knowledge, experience and resources to help people build a better life. It is a decentralized, **country-based organization**, on the ground in 166 countries (though 135 country offices), working with them on their own solutions to global and national development challenges. Country-level evaluation is therefore extremely important for the organisation.

In each country office, the UNDP Resident Representative normally also serves as the **Resident Coordinator** of development activities for the United Nations system as a whole. Through such coordination, UNDP seeks to ensure the most effective use of UN and international aid resources. At the country-level UNDP also works closely with other **partners** including national government at the central and local levels, legislatures, civil society and the private sector.

The UNDP **Executive Board** is made up of representatives from 36 countries around the world, who serve on a rotating basis. It is responsible for providing inter-governmental support to and supervision of the activities of UNDP in accordance with the overall policy guidance of the General Assembly and Economic and Social Council.

2. BACKGROUND TO THE GUIDELINES

The ADR evaluation format was introduced by UNDP in 2001. The ADR **aims** to provide an independent assessment of the attainment of intended and achieved results as well as UNDP contributions to development results at the country level. Accordingly the UNDP Evaluation Office (EO) has prepared an appropriate methodological framework and laid down the process for undertaking the ADR within a set of guidelines.

These ADR Guidelines are based within and build upon the following policy documents:

- The UN Evaluation Group Guidelines (UNEG) “*Norms for Evaluation in the UN System*”, “*Standards for Evaluation in the UN System*” (April 2005) and “*Ethical Guidelines for Evaluations*” (2007)
- The “*Evaluation Policy of UNDP*” (June 2006)
- ADR Guidelines (January 2007)

They are also consistent with the relevant parts of the UNDP “Programme and Operations Policies and Procedures (POPP)”, the UNDP Strategic Plan 2008-2011, the draft UNDP “*Handbook on Planning, monitoring and evaluating for development results*” (forthcoming 2009) and other EO resources such as the “*Publications Manual*” (revised version forthcoming 2009). An additional paper focusing on ADR contents and methods will also be produced in early 2009.

The Guidelines build on the significant experience gained in undertaking ADRs and the many lessons that have been learned about the effectiveness of the ADR process itself. They will continue to evolve as further lessons are learned and as the context within which they are used changes (for example with respect to UN system reform and the move towards joint agency assessments).

3. OBJECTIVES OF THE ADR

The **objectives** of the ADR are to strengthen UNDP's accountability and the process of learning for UNDP and its partners. The ADR is therefore closely linked to other corporate exercises and results based management (RBM) systems. The ADR process is independent of UNDP's operations management and will therefore contribute to **accountability within the organisation**. The ADR report will be made available to the UNDP Executive Board as an information document. The Regional Bureaux will submit to UNDP Executive Board their follow up to ADRs recommendations.

By providing programme country stakeholders with an objective assessment of UNDP's contribution to national development results for a given multi-year period, the ADR will also strengthen UNDP's **accountability to these national stakeholders**. ADRs contribute to learning at a corporate level and support the overall positioning and policy development processes of UNDP as a whole.

ADRs also facilitate **country-level learning** and contribute to the UNDP's country-level strategic repositioning by providing timely and relevant information for the preparation of new country programs (including the UNDAF) and by promoting reflections on what worked and did not work and the reasons why. In this way they will also facilitate **corporate learning** from country-level experience. In addition, the ADRs will facilitate **learning by other partners**, for example other programme governments or donor/development organisations, who may find the results of an ADR assist them in their work.

4. SCOPE OF THE ADR

The **scope of the ADR** will include, but not necessarily be confined to:

- UNDP achievements against stated objectives and development needs
- UNDP achievements in key cross-cutting areas (capacity development, Human Rights, Human Development, gender equality and South-South cooperation)
- UNDP's role in facilitating more effective UN Coordination
- Those aspects of programme management and business processes that contribute to achievement of development results and strategic positioning.
- UNDP's strategic positioning – alignment, partnerships, role, niche, approaches, etc

The examination of UNDP's **strategic positioning** in a county will ascertain its relevance to national development priorities, including relevance and alignment with the overarching goal of reducing poverty and achieving the Millennium Development Goals (MDGs). This may include an analysis of the perceived comparative strengths of the programme and a review of the major development challenges facing the country. The analysis also includes how UNDP maximised its areas of strength organisationally in achieving development results.

It will assess how UNDP has anticipated and responded to significant changes in the national development context within its core areas of focus and identify any missed opportunities. It will also review the synergies and alignment of UNDP support with other initiatives and partners, including that of the United Nations Development Assistance Framework (UNDAF), the Global Cooperation Framework (GCF) and the Regional Cooperation Framework (RCF).

The assessment should consider the influence of systemic issues, i.e. policy and administrative constraints affecting the programme, on both the donor and programme country sides, as well as how the

development results achieved and the partnerships established have contributed to ensure a relevant and strategic positioning of UNDP support. In this respect the ADR could include UNDP's **management** and **operational processes** to the extent that they have affected the attainment of development results.

To determine the contribution to national **development results** the assessment will undertake a comprehensive review of the UNDP programme portfolio and activities during the period under review, with a more in-depth focus on specific themes identified during the ADR process. In so doing it will provide an examination of the effectiveness and sustainability of the UNDP programme, by:

- highlighting main achievements and development results (outcomes) at national level over the period being examined and UNDP's contribution to these;
- ascertaining current progress made in achieving outcomes in the given thematic areas of UNDP's support;
- evaluating performance against intended results.

The ADR will examine non-project activities (for example UNDP's efforts in convening partners for development) as well as its activities within formal projects. It will also identify and analyse the main factors influencing results, including the range and quality of development partnerships forged and their contribution to outcomes, the provision of upstream assistance and policy advice and partnership strategy and how the positioning of UNDP influences the results. It will also assess the anticipated progress in achieving intended outcomes, against the benchmarks and indicators set under the corporate service lines and corresponding objectives, locally-set objectives, and, where this is relevant, against the MDG targets. The ADR will cover the ongoing and previous country programmes, normally within a time frame of about 7 years (covering the ongoing and previous programming cycles).

5. SELECTION OF COUNTRIES FOR ADRS

Countries will be selected in a three-year rolling plan for ADRs that will be updated annually. UNDP will typically conduct 15 to 18 ADR in a given year. The selection of countries for ADRs will be based on the following criteria:

- The overall population from which to select includes all countries that have new country programmes going to the Executive Board in the year after the ADR is conducted;
- Exclude countries where other overlapping evaluations are planned or underway ;
- Exclude countries with recent ADRs or because of other considerations (such as countries with an annual independent assessment mandated by the Executive Board);
- Ensure regional balance while recognizing that not all regions are equal in size; and,
- Ensure balance of type of programme and country (e.g., MICs, LDCs, SIDS; delivery size; post-conflict).

The selection of countries is the responsibility of the EO. The selection process will be facilitated by Regional Bureaux (RBx) who will provide regional knowledge.

6. GUIDING PRINCIPLES

The ADR process should encourage strong programme country engagement. An essential element of this approach will be to undertake comprehensive stakeholder mapping processes that identify groups of stakeholders, their relationships with each other and with the UNDP country programme. During the

course of the ADR, all relevant stakeholders identified, such as CO, RBx, governments, donor community, civil society organisations, the private sector, key beneficiaries will be approached and their perspectives systematically documented. The voices of all stakeholders will help form a complete picture of UNDP's activities and their effects and results. This also involves an emphasis on participatory approaches.

The inclusive approach includes support for **national ownership** of the development results against which UNDP's contribution is measured. UNDP recognizes, however, that not all development challenges may coincide with UNDP's mandate as well as the various agreements and declarations made by the General Assembly including the Millennium Declaration of 2000. In such cases an assessment will also be made of UNDP's contribution to the development results in the areas included in these agreements and declarations.

Wherever possible, ADRs may be conducted jointly with the evaluation outfits of other United Nations organizations that are active in the country. Where appropriate the ADR approach can be used to undertake **joint assessments** at the country level. Efforts will also be made by the EO to facilitate such approaches. Linkages will be made with UNDAF evaluations at the country level and with the approach and methodology as it evolves at HQs.

In all stages of the ADR process, **quality assurance** will be important. EO will ensure the process is in line with UNDP policy, UNEG Standards and Norms and forthcoming UNEG quality assurance rating instrument, EO good practices and ADR guidelines. An EO staff member will be assigned as internal peer reviewer. Two external reviewers will be identified for each ADR to review the final draft of the ADR thereby supplementing the internal review process. The reviewers will include a combination of experienced evaluators, country/regional specialists and specialists in the key themes for the ADR as appropriate.

The ADR will **focus on outcomes** (i.e. changes in specific development conditions), and UNDP's contribution to these against the intended results. The emphasis is to improve understanding of the outcome itself, its status and the factors that influence or contribute to its change. However, the ADR is different from an outcome evaluation which only addresses the short-term, medium-term and long-term results of a programme or cluster of related UNDP projects. The outcome evaluations are not the responsibility of the Evaluation Office but of a UNDP Country Office, Regional Bureau or other relevant UNDP headquarters bureau or unit. However, outcome evaluations, project evaluations and other decentralised evaluations are an important input to the ADR and should be considered by the evaluation team.

The ADR will also review outputs – the most strategic ones delivered by UNDP – but not attempt to list or review all outputs produced by UNDP. As many other concomitant factors may contribute to explain the final outcomes, the ADR will aim at plausibility of association between UNDP's output and the observed outcome, i.e. to establish a **credible link** between what UNDP did and what resulted from it (e.g. change processes). To put UNDP's contribution and positioning in perspective, the team is expected to collect key information on programmes supported by the Government, other donors or NGOs that are relevant to the UNDP programme and, if applicable, explain how those interventions may have interacted with the one supported by UNDP and whether interaction has been mutually beneficial or contradictions have emerged.

Based on an assessment of key results and achievements in the areas UNDP has supported over the last 5 to 7 years or so, and through the assessment of UNDP's strategic positioning and development results, the ADR attempts to assess whether UNDP is on track vis à vis its intended objectives and the key

development issues in its areas of intervention. The ADR will also attempt to capture the unintended effects of UNDP's development interventions.

The empirical evidence for ADRs will be gathered through various sources of information using a variety of methods and will be validated according to the concept of '**triangulation**'. The triangulation approach ensures that empirical evidence collected from one source, for example the available documentation, is validated from at least one other source, for example through interviews and surveys.

The ADR will not use a rigid set of **evaluation methods** but will identify the appropriate methods for the specific context in the ADR country. The methods will be described in the ADR Inception Report (see section 9 below) and could include the following:

- Detailed desk review of UNDP documentation and analysis
- Comprehensive client and/or partner surveys
- Focus group meetings with members of core stakeholder groups
- In-depth open-ended interviews (possibly tailored to each group of stakeholder)
- Field visits to areas where UNDP is active

A separate ADR manual focusing on report requirements and methods is being developed by EO.

7. ROLES AND RESPONSIBILITIES IN THE ADR PROCESS

The general roles and functions of the key stakeholders are described below. The next section in these guidelines on the ADR Process describes in more detail specific tasks to be undertaken by each partner.

- (a) The **UNDP Evaluation Office** is responsible for managing the ADRs and accountable for their quality and independence. The EO will consult closely with the country office and RBx concerned, and other corporate units as appropriate.
- (b) For each ADR country, an EO staff member will be designated to serve as **Task Manager (TM)** and be responsible for the overall management of the ADR process. The financial resources for these evaluations will be provided by corporate funding windows and channelled through the EO.
- (c) The **UNDP Regional Bureaux** will be closely involved in the process of the ADR exercise from the start. Although country selection remains the responsibility of the EO, the RBx will be expected to play a key role in terms of facilitating the strategic choice of countries to undergo such assessments. It will provide core inputs for shaping the development thinking and substantive focus for the country – and within the region. The RBx will advise on the scope, meet with the Evaluation Team and ideally take part on some of the country level discussions. The EO TM will meet with the RBx focal point for the CO early on to discuss the Bureau's involvement. In the dissemination of lessons learned, the engagement of the Bureau management will be vital to stakeholder meetings, follow-up and implementation of recommendations.
- (d) **UNDP Country Offices** will be involved in the exercise from the beginning of the evaluation process. Full support from the CO will be necessary in initiating and managing the ADR by the EO. The CO will appoint a focal-point for the ADR process as the main point of contact with the ADR Evaluation Team. Beyond the regular evaluation support, the country office management and staff substantive engagement and discussions are critical in particular for the stakeholders meetings and implementation of the findings and recommendations. Another key task of the CO would be to provide practical support to ADR missions in liaising with the government and other national stakeholders. Specifically the role of the CO will include:

- making all information available regarding suitable national consultants/institutions
 - preparing the documentation for the ADR team
 - supporting the stakeholder mapping process
 - arranging programme of meetings and field visits
 - processing contracts of national consultants/institutions and payments
 - arranging logistics for in-country travel and for going to meetings in town
 - arranging meetings with CO staff
 - ensuring that CO staff make themselves available to the ADR Evaluation Team
 - providing comments on the draft report within the agreed time framework
 - contributing to the organization of the stakeholder workshop
- (e) The **Government** in the countries where the ADR is taking place will also be fully engaged in the ADR process from the start (especially the Counterpart Coordinating Agency). The role of the government would be to engage in a debate on development effectiveness, national priorities and UNDP's contribution to national development results. Where appropriate UNDP's government counterparts will also facilitate the work of ADR missions, for example arranging meetings, and will be fully involved in all briefings and de-briefings. Other **programme country stakeholders**, for example civil society organisations, research institutions, and the private sector and beneficiaries in the field when appropriate, will also be consulted in the ADR in line with the inclusive approach described above.
- (f) The ADR will be conducted by a high-level and independent **Evaluation Team** of development experts and evaluators. The ADR Evaluation Team is responsible for designing the detailed ADR process, including identifying the appropriate methodology and methods, for data collection and analysis, and preparation of the ADR report. More information on the evaluation team can be found in section 8 below
- (g) The EO will have the overall responsibility of finalising the report in coordination with the ADR team.

8. THE EVALUATION TEAM

- (a) The team will be led by an expert with demonstrated development perspective, analytical and evaluation skills on the subject of development and more specifically in the UNDP practice areas. The Team Leader will have proven leadership skills and regional/country-specific knowledge. The **Team Leader** (TL) will be accountable for designing the technical aspects of the ADR process in consultation with the Task Manager and for drafting the final ADR report.
- (b) **Additional team members** with experience in evaluation and/or thematic areas will be added where appropriate. The extensive use of local expertise, research institutions and leaders within development – beyond the inclusion of a national consultant – should establish the basis for ownership and national follow-up.
- (c) The members selected are expected to bring different types of expertise and experience to the team and be experienced in the sector or technical areas addressed by the evaluation, or have a sound knowledge of the subject to be evaluated. The evaluation team should also possess a broad knowledge and understanding of the major economic and social development issues and problems in the country(ies) where the evaluation is taking place or in countries with similar conditions in the region.

- (d) A **Research Assistant** will also be hired by the EO to support the ADR Evaluation Team with basic documentation, research and analysis which would lead into drafting of the main report sections on the country context and UNDP programme characteristics. The documentation will be made available on an evaluation specific website managed by the RA and on CDs upon request of the team.
- (e) The composition of evaluation teams should be gender balanced, geographically diverse and include professionals from the countries or regions concerned. The gender and regional balance of consultants used in ADRs will be monitored by the EO and reported in the UNDP Annual Report on Evaluation presented to the Executive Board at its main session.
- (f) Guidance on selection of the TL and other team members is given in the section on ADR process which also identifies the roles and responsibilities of the team members in greater detail. Special efforts will be made to ensure that there the selection process is truly independent and that there is no conflict of interest.
- (g) Members of the ADR Evaluation Team – the evaluators – must conform to the *UNEG Ethical Guidelines for Evaluation* and the **basic evaluation ethics** set out in Norm 11 of the UNEG “*Norms for Evaluation in the UN System*”:
- Evaluators must have personal and professional integrity.
 - Evaluators must respect the right of institutions and individuals to provide information in confidence and ensure that sensitive data cannot be traced to its source. Evaluators must take care that those involved in evaluations have a chance to examine the statements attributed to them.
 - Evaluators must be sensitive to beliefs, manners and customs of the social and cultural environments in which they work.
 - In light of the United Nations Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender inequality.
 - Evaluations sometimes uncover evidence of wrongdoing. Such cases must be reported discreetly to the appropriate investigative body. Also, the evaluators are not expected to evaluate the personal performance of individuals and must balance an evaluation of management functions with due consideration for this principle.
- All team members and task managers are required to sign the UNEG “Code of Conduct”.

9. SUMMARY OF THE ADR PROCESS

- (a) The ADR process starts at a specified time following the selection of countries and appointment of an EO Task Manager (TM). It is not completed with the release of the ADR report but will require follow-up actions. The ADR process from start to release of report should take around eight months. Since all ADR reports will be made available at the EB main session in June of the year after, they will need to be ready for distribution by February of that year, at the latest. The process has been divided into **five phases**, each of which is summarised below and described in detail in the next section. It includes two missions to the ADR country, an initial scoping mission and a main mission of the full ADR Team.
- (b) At the start of the **preparation phase** of the ADR process the country will have been selected and the UNDP EO Task Manger (TM) appointed. Also at this stage the data collection process has yet to begin and the focus of the evaluation needs to be refined. It is expected that the length of the preparation phase will largely depend on the time it takes to identify and select the Team Leader (TL). The TM is responsible for this phase of the process.

- (c) The **inception phase** represents initial research to understand the basic issues that need to be addressed in the overall assessment. An important part of this phase will be the 1 week scoping mission which will be undertaken by the TM and TL to the ADR country in order to identify the range of stakeholders, the appropriate methodology to be used, and specific areas that the evaluation will focus on, the need for additional evaluators on the team and the need for additional research to be undertaken. The above would be written up in a detailed Inception Report. The phase would cover approximately one month but would not necessarily start immediately following preparation (i.e. there may be a gap while the research assistant and/or team leader are recruited/become available). The TL will be responsible for drafting the Inception Report, the main output of this phase, in consultation with the TM.
- (d) The inception phase lays the basic foundations of the evaluation. At the end of the phase there will already be significant understanding of the issues that need to be addressed, the information available and the methods that need to be used in the rest of the evaluation. At this stage the inception report needs to include a detailed work plan and budget. This **follow-up to inception phase** should start as soon as the Inception report is ready and should be completed within two weeks. The TM is responsible for this phase.
- (e) By the start of the main ADR mission the basic documentation will have been collected, and some additional country-based research undertaken if required. The **main ADR mission** (2/3 weeks) therefore provides an opportunity for validation of the existing findings largely through interviews and other methods identified in the inception report. The TL is responsible for the Main ADR Mission in country.
- (f) Following the ADR Mission the ADR team will draft the **ADR Report**, get it reviewed and then finalised. Although all of the ADR evaluation team members will contribute, the TL is responsible for the production of the ADR report. The TM is responsible for quality enhancement of the report, supervision of the TL, management of the review process and arranging submission to UNDP management and the Board. The preparation of the first draft report to the Task Manager is expected to take less than 5 weeks. Details below
- (g) Following are the typical phases of the **review process of the first draft report** (tentative duration)
- EO review by: (i) a designated EO staff member, two external reviewers, EO Senior Management² (~10 days)
 - Revision of the draft by TL and TM according to the above and preparation of audit trail (~10 days)
 - Comments by CO and RBx (~15 days)
 - Revision of the draft according to the comments from CO and RBx and preparation of audit trail (~7 days)
 - Comments by Government (~15 days)³
 - Revision of the draft according to the comments from Government and preparation of audit trail (~7 days)
- (h) Following the review process, the TM will arrange a **Stakeholder Meeting**. The meeting would bring together stakeholders consulted including national government at central and regional level), civil society organisations, private sector and international development partners (including the

² In case of report written in French or Spanish, the SM will only review the English translation of the Executive Summary and the chapter on Conclusions and Recommendations.

³ In case of non-response from CO or RBx without justification, the case will be reported by the EO Director to the UNDP Associate Administrator.

UNCT). The aim of the Stakeholder meeting is to discuss the recommendations and ways to take the UNDP count programme forward. The timing will be agreed with the UNDP Country Office so as to maximise its utility in the processes of preparing the new country programme. The meeting may be combined with other events designed as part of the programming process. While the standard model is a meeting in the ADR country, the meeting may be replaced by a videoconference, or a regional workshop. In exceptional cases, the workshop may be waived.

- (i) The report can be finalized after the stakeholder meeting. This will include the design, editing and printing of the report. It will also be uploaded to the UNDP ERC website and made available to the Executive Board together with UNDP management response.
- (j) Completion of the ADR report does not represent the completion of the ADR process and significant **follow-up** activities are required. A key element of this is the management response to the ADR which is described in more detail in Section 11 below. The process will include efforts to strengthen knowledge management including the development of knowledge products through **learning events**. The TM is responsible for the EO's follow-up activities. More details below.

10. THE ADR REPORTS

The total size of the **ADR Report** should be limited to 55 pages not including all front matter and annexes. The number of words should be between 35 and 44 thousand. The Report will follow the new guidelines to be developed by PET and will adhere to the UNDP EO "*Publications Manual*".

While the precise **structure** of the ADR will depend on the country context, it should include the following elements:

1. Introduction: Objectives and Methodology
2. Country Context
3. The UN and UNDP in the Country
4. UNDP's contribution to national development results: main thematic areas
5. UNDP's contribution to national development results: cross-cutting areas
6. UNDP's Strategic Positioning
7. Conclusions, lessons learned and recommendations

The report will contain the following annexes:

- Terms of Reference
- Persons consulted
- Documents Consulted

Additional annexes may be made available on the EO website as required

The report will be widely disseminated in printed form and will be available together with associated documentation on the EO website. An **Evaluation Brief** of two pages will also be prepared by the TL.

11. THE MANAGEMENT RESPONSE

An assessment should be more than just a report. As a measure for ensuring the timely and effective use of evaluations, UNDP has institutionalized a management response system. The management response system has two parts:

- Presentation of management response to key issues and recommendations, and key follow-up actions
- Follow-up by tracking actions.

All programme units are required to prepare a **management response** to evaluations within one month after the evaluation process is finalized (stakeholders' workshop). This should be done in close consultation with key stakeholders. The management response to evaluations should be clear and comprehensive and should address the following dimensions:

- Key recommendations: It should highlight the key recommendations made, and indicate acceptance of or modifications to the recommendations made and full explanation in case of non-acceptance or proposed modifications.
- Key actions: It should indicate a set of concrete measures or actions to be taken, and the key partners to be involved in carrying out the actions
- Implementation of the actions: It should indicate the units that would be responsible for implementing proposed actions and the time frame for implementation.

All management responses should be fully disclosed for accountability purposes.

After the management response is developed, the implementation of proposed actions is tracked. This way, it holds responsible units accountable for the timely application of evaluation information to actions. For the **tracking component** to provide timely and accurate information, the system requires programme units to enter their management response in the Evaluation Resource Centre (ERC), and regularly update the implementation status of the proposed actions. Relevant Regional Bureaus exercising a line oversight are responsible for monitoring the implementation progress.

12. FOLLOW-UP TO THE ADR REPORTS

- (a) Dissemination: The ADR report will be widely disseminated both electronically and in printed form. The report and supporting documentations (such as additional annexes not included in the report or background papers) will be made available on the EO website. The report will also be available on the UNDP Evaluation Resource Centre. Electronic dissemination will also be made through EvalNet and directly to stakeholders with whom the evaluation team engaged. Printed copies will be sent to RBx and other relevant HQ units, UNDP Country Offices and national partners in the ADR country.
- (b) Learning events: Events will be organized by the Programme Evaluation Team on specific issues emanating from the ADRs or on specific regions/sub-regions.
- (c) Synthesis: Once all the ADRs are complete, a synthesis report will be prepared by a consultant. The report will highlight the key findings and lessons from the ADRs. It will support the preparation of the Annual Report on Evaluation.

C. THE ADR PROCESS

A guide for the ADR Task Manager and EO Staff

This section is a practical guide for members of the ADR Evaluation Team and sets out the ADR process in six phases. Each phase represents a specific set of activities that should be completed before the next phase can begin. The activities within each phase are not in chronological order and will inevitably overlap. Annex 1 will provide specific information on responsibilities for, and participation in, the different elements of the process as well as estimates of timing. Annex 2 indicates the resources available – both ADR-specific and general EO resources – for each stage of the process.

The ADR process set out below includes the main activities in each element of each phase and the formal correspondence that needs to be undertaken. It does not include all correspondence including that between the TM and the CO focal point concerning, for example clarification of mission dates and operational issues.

ADR PHASE 1: PREPARATION

At the start of the preparation phase of the ADR process the country will have been selected and the UNDP EO Task Manager (TM) appointed. Also at this stage the data collection process has yet to begin and the focus of the evaluation is still unclear. It is expected that the preparation phase will last not more than two weeks and will largely depend on the time it takes to identify and select the Team Leader (TL). The TM is responsible for this phase of the process.

1. Development of Generic Terms of Reference for the ADR

- (a) At this stage only a "Basic" ADR ToR for the ADR can be prepared as the scope of the ADR, the key issues it will address and the precise methods to be used have yet to be identified. It will include a tentative Work Plan and Budget for the process.
- (b) The main purpose of the Basic ADR ToR is to inform counterparts about the forthcoming ADR process and for the recruitment of core members of the ADR Team.
- (c) The basic TOR will conform to the standard ADR TOR.

Responsibility: Based on the standard ADR Tor the TM will prepare the country specific TOR.

Tools and Resources (a) Guidelines for Basic ADR ToR (b) Guidelines for TM Job Description

Quality Control: PET Team leader will review the TOR.

2. Selection of Team Leader

- (a) The EO follows two approaches to ADR team. First, the EO hires independent consultants. Second, services of consulting firm are hired by EO. Either way each ADR team has a TL and the selection of the TL reflects the set of qualifications put forth by EO. If the ADR is carried by a firm the TL will be decided in consultation and approval of EO. Among other requirements the TL will have the following qualifications and skills: There will also be strong evaluation, thematic or geographical expertise among the consultants either in the TL or from additional consultants. Most importantly, the TL will need to have proven leadership skills. In the selection process, writing samples and reference

from previous employers will be sought. Candidates will be carefully interviewed on phone and in person when feasible.

- (b) A Job Description will be prepared by the TM according to guidelines and attached to the Basic ADR ToR above. The ToR will include benchmarks for payment of the TL and the rest of the ADR team.
- (c) The TM will prepare a Short List of at least three suitable candidates taking into account the qualification and skills, references of the individual, and writing samples evaluation reports, articles and academic papers authored by the consultant considered.
- (d) The short list will be discussed within the EO Programme Evaluation Team (PET) Leader and will be submitted to the EO senior management for consideration and approval.

Tools and Resources: (a) Guidelines for TL Job Description

3. Letters to UNDP CO RR, Member State representative and the RBx

- (a) Letters will be sent from the EO to the UNDP Resident Representative in the ADR country, the Member State Representative and the relevant Regional Bureau informing them of the forthcoming ADR process. Letters will have the Basic ToR and ADR Guidelines attached.

Responsibility: The TM is responsible for the preparation of the letters which will be signed by the EO Director

Tools and Resources: Guidelines for Initiation Letter

4. Recruitment of Research Assistant

- (a) A Research Assistant (RA) will be recruited to undertake basic document collection and data compilation. The normal duration for this assignment is 4 weeks up to the start of the scoping mission. In some cases it may be that further work will be required.

A Job Description will be prepared according to guidelines and attached to the Basic ADR ToR

Tools and Resources: Guidelines for RA Job Description

ADR PHASE 2: INCEPTION

Once preparation is complete and the core members of the ADR Evaluation Team are in place, the assessment can start. The Inception phase represents initial research to understand the basic issues that need to be addressed in the overall assessment. The phase would cover approximately one month. Research and documentation will be completed one month prior to the scoping mission. The TM will be responsible for ensuring research and documentation.

1. Basic Document Collection

- (a) The RA will collect a standard set of country-related and other relevant document according to basic standard list. Additional relevant documents are also identified.

- (b) The RA will also prepare summaries of country programmes activities and the national context according to a set of standard tables and presentation formats.
- (c) These are collected in electronic form and in paper form wherever required. All documentation placed on ADR website managed by the RA.

Responsibility: The RA under the guidance of the of the TM and TL

Tools and Resources: ADR Research Guide

2. Initial Desk Review and Evaluability Assessment

- (a) Based on the RA's work, a desk review will be carried out by the TL and TM (the desk review will continue after scoping mission as new data collected and new members come on board)
- (b) In addition to orientation for the ADR Evaluation Team members the desk review will lead to an evaluability assessment as an initial enquiry to settle a number of preliminary questions and help in the design of the eventual evaluation.
- (c) The evaluability assessment will be prepared according to specific guidelines and will be the responsibility of the TL.

Responsibility: The TL will be responsible for the Evaluability Assessment

ADR Team Participation: TM and RA

Tools and Resources: Guidelines for Evaluability Assessment

3. UNDP NY Briefing

- (a) It is important that the TL and TSp of the ADR team hold consultations with the relevant RBx and other headquarter units in advance of the Scoping Mission.
- (b) Either the TL will travel to NY before the scoping mission or s/he holds conference calls/video conference with the EO, RBx and other HQ bureaux. The possibility of a briefing in a regional centre should also be considered.

Responsibility: the TM is responsible for arranging the meeting and deciding if the TL visits NY or if a teleconference is more appropriate

4. The Scoping Mission

- (a) The TM and TL will undertake the Scoping Mission which will normally last 1 week. If the budget and recruitment process permit, the team specialist and national consultant may also participate in the scoping mission.
- (b) At the start of the scoping mission, it is a good practice to conduct an ADR Entry Workshop using a standardised PowerPoint presentation to explain the goals, methodology, process of the evaluation to the key stakeholders (such as government representatives, UN and donor agency representatives, CO staff, civil society, private sector, as appropriate). When the latter can be properly identified prior to

the scoping mission. Alternatively, the stakeholders will be identified during the scoping mission and briefed separately

- (c) The evaluation team will further refine the identification of the major stakeholder groups using stakeholder mapping processes and any additional documentation available including statistics.
- (d) It will also identify the main themes of the evaluation through discussion with key stakeholders in government and civil society as well as with CO senior management and key staff.
- (e) The methods to be used in the rest of the ADR process, including the main ADR mission but also the need for further research/data collection to be undertaken in advance of the mission will also be identified.
- (f) The TM and TL will also interview national consultants and/or national research organisations as appropriate to facilitate selection of consultant for extra research should it be required and for the position of the national consultant on the ADR team. A short list will be established.

Responsibility: The TM is responsible for ensuring that scoping mission runs smoothly and will liaise directly with the CO in this respect

Participation of the Team Leader: The TL will participate in ADRs which are carried out by the Consultant team constituted by the EO. For the ADRs where the services of the firms are hired, the TM will carryout the scoping mission.

Tools and Resources: (a) Guidelines for Entry Workshop (b) Entry Workshop Basic ADR Presentation

5. Inception report

- (a) An Inception Report will be prepared following the EO template. The task of writing the IR will rest with the TM if the services of consulting firm are hired for carrying out the ADR. The Inception Report will include a list of evaluation questions and will identify other tools and resources that could be used for the rest of the process. It will include a detailed work plan and budget.
- (b) Responsibility: The TL will prepare an Inception Report (IR) according to Guidelines for Inception Report. The task of writing the IR will rest with the TM if the services of consulting firm is hired for carrying out the ADR.

ADR Team Participation: TM and RA

Tools and Resources: (a) Guidelines for Inception Report (b) Template of Matrix of Evaluation Questions

Quality Control: The Inception Report will have two review process. Internally it will be reviewed by PET leader and an EO staff member. The EO reviewer will be identified during the preparation process by PET Leader/s. The external review will be carried out by two peer reviewers who are invited after careful consideration and due procedure. The EO reviewer, PET leader and external reviewers will also review the main report. The review process will not only ensure that the Inception Report is consistent with guidelines, and appropriate method of enquiry is used for assessing results.

The reviewers will also ensure that the IR is sound in identifying data gaps/requirements, evaluability assessment and stakeholder mapping.

Tools and Resources: (a) Guidelines for inviting peer reviewers.

ADR PHASE 3: FOLLOW UP TO INCEPTION .

(a) Send the IR to the Country Office and RB in preparation for the main mission.

(b) Recruit Additional Team Members / hiring the services of consultancy firm

- (a) The Team Specialist and National consultant will be recruited or the services of consultancy firm hired.
- (b) The inception phase will determine if further members of the ADR Team are required, for example with specific technical or geographical expertise.
- (c) It may be that the recruitment process will need to be undertaken earlier to ensure that momentum is not lost between the scoping mission and main ADR mission.

Responsibility: The TM is responsible for managing the recruitment process

ADR Team Participation: PET leader and TM

Tools and Resources: Guidelines for Team Specialist and National consultant Job description
Guidelines for hiring services of the consultancy firm.

(c) Organise additional data collection/research (as required)

- (a) The Inception Report will have identified the need for additional data collection/research and will include details of how this should be organised
- (b) Based on the Inception Report, the TM will prepare a ToR for the organisation/individuals
- (c) Using the short list established during the Inception Phase and in consultation with the PET leader, the TM will make a selection of appropriate organisations or individual(s)

Responsibility: The TM is responsible for managing this activity

ADR Team Participation: TL will comment on ToR and the CO will provide support as required

(d) Review of the Inception Reports

- (a) Quality assurance is important for entire process of ADR. Each ADR will have one internal reviewer in EO and two peer reviewers with expertise in one or more areas of UNDP programme, familiarity with the development issues of the ADR country and carrying out evaluations. The draft inception report will be revised according to the comments of the reviewers.
- (b) PET will identify and designate members of the group

Responsibility: the TM will prepare ToR for reviewers and inform them.

Tools and Resources: (a) Guidelines for peer reviewers

(e) Sending Revised Inception Reports to CO, RBx

Responsibility: The TM is responsible for sending the revised inception report.

Tools and Resources: Communication Matrix

ADR PHASE 4: THE MAIN EVALUATION MISSION

The procedure that will be followed in this phase will be same for the EO consultants led ADR and the one led by a consultancy firm.

By the start of the main ADR mission the basic documentation will have been collected, desk review completed, and additional country-based research undertaken if required. The main mission therefore provides an opportunity for validation of the existing findings largely through interviews and other methods identified in the inception report. Including the pre-departure meeting in New York and travel time the phase should last not more than three weeks depending on country context. The TM will arrange the pre-departure meeting but the TL is responsible for the Main ADR Mission in country.

1. ADR Team introduction to all CO staff in the ADR Country

- (a) As a first step the ADR Evaluation Team will meet the CO senior management and be introduced to CO staff at an introductory meeting.

Responsibility: The TL will be responsible for the introduction

ADR Team Participation: All ADR Evaluation Team members

2. Local Research Presentation (As applicable)

- (a) At the start of the mission, the full ADR Evaluation Team will meet the local organisation/individual(s) responsible for additional data collection/research to review the work undertaken.
- (b) The organisation or individual commissioned to undertake the research will be responsible for making a presentation of findings to the ADR Evaluation Team

Responsibility: The TM will organise the presentation with the support of the CO

ADR Team Participation: All ADR Evaluation Team members

3. Interviews with key stakeholders and other data collection processes

- (a) In line with the stakeholder mapping exercise undertaken in the inception phase, interviews will take place with key stakeholders

- (b) The interviews will be conducted by the members of the ADR Evaluation Team without the participation of UNDP CO staff. If the TM will participate in the meetings if on the mission.
- (c) Other data collection methods identified in the Inception Report and set out in the Full ADR ToR (for example surveys or focus group interviews) will also be implemented. The ADR mission will also include field visits to key project sites.
- (d) The ADR Evaluation team will also draw on a number of ADR tools that have been developed to help manage the data collected during interviews. These will have been identified in the Inception Report. The ADR team will follow the method identified in the IR and any changes will be communicated to the TM.

Responsibility: The TL will be responsible for selecting appropriate stakeholders and will work with the CO and/or local consultants to make appointments as appropriate. The stakeholder list will be shared with the TM.

ADR Team Participation: All ADR Evaluation Team members and TM if participating in the ADR.

Tools and Resources: (a) ADR Tools identified in the Inception Report. (b) Template for Interview Data Management

4. ADR Team debriefing

- (a) The ADR Evaluation Team will meet the CO team (senior management and staff members) to discuss the findings of the mission and the next steps in the ADR process. The Evaluation Team will have a debrief meeting with the key national counterparts. Debriefings will follow the ADR criteria but will not include recommendations, as it would be too early at this stage. PowerPoint presentations are recommended, normally not beyond 15-18 slides to provide ample time for discussions.

Responsibility: The TL will be responsible for the debriefing

ADR Team Participation: All ADR Evaluation Team members

ADR PHASE 5: REPORT WRITING

1. Final Meeting of ADR Evaluation Team

- (a) Before leaving the country where ADR is carried out the ADR team will meet to discuss data gaps, next steps, who does what, and timeline.

Responsibility: The TL will organise the meeting. The task manager will be informed about this.

ADR Team Participation: All ADR Evaluation Team members

2. New York debrief

- (a) It is always a good practice to debrief the country focal point in the RB (NY) on the key findings of the mission. This debriefing will take place in a meeting between the country focal point and the TM. The RB focal point for evaluation issues and a PET Coordinator may also participate, if required.

- (b) More formal briefing seminars in New York on an individual ADR will take place in special cases (large country or contentious issues) and will be the exception rather than the rule
- (c) At the end of the year, PET will seek to organise regional events to debrief the concerned RBx on key findings and insights stemming from the ADR conducted in a region in the same year.

3. Preparation of First Draft of the ADR Report

- (a) The ADR Report is the key output of the ADR process and must be prepared to a high standard
- (b) It is important that the overall structure of the Report conforms to UNEG quality standards and to the new requirements currently developed by EO.

The ADR Report

- (a) will be prepared according to a standard outline and within the ADR Report Guidelines
- (b) The Report will also follow the guidelines specified in the UNDP EO Publications Manual

Responsibility: Although different members of the ADR team will have the responsibility of contributing sections of the ADR Report, drafting the Report itself is the responsibility of the TL. The Team Leader will have the responsibility of ensuring the Team members contribute to the writing of the report. The TL will ensure the content and the format is in accordance with the requirements of the EO. The TL has the responsibility of submitting a complete report which fulfils the standards of EO. Quality enhancement of the report, supervision of the TL, management of the review process and arranging submission to UNDP management and the Board are the responsibility of the TM.

ADR Team Participation: All ADR team Members according to agreement within the team

Tools and Resources: (a) ADR Report Guidelines (b) UNDP EO Publication Manual; (c) new EO paper on ADR contents and methods

4. EO Review of the draft

- (a) It will be conducted by an EO internal reviewer, two external reviewers and the Senior Management of EO. Internally by the EO (PET Team Leader and QAT). At this stage it maybe necessary to produce a second draft before submission for further review.
- (b) The external reviewers for the ADR will review the document from a technical perspective and supply comments to the TM and TL. The ADR draft report will be subsequently revised for submission to the RB and CO.

5. Submission to CO and RBs for factual corrections

The document will be reviewed by the CO and RBs to ensure its factual accuracy. CO and RB comments will be provided to the TM and TL.

There will be three revisions to be carried out by the team after the draft has been accepted by the EO. The first review will be after quality assurance process that is the review by EO and peer reviewers. The second will be after receiving comments from the country office and government. TL will be responsible coordinating with the team and for revising it following both the review process

6. Submission to the Government for factual corrections

After revising the document, based on comments by CO and RB, the draft report will be reviewed by the relevant Government authorities and comments will be provided to the TM and TL.

Responsibility: The TM is responsible for organising the review process and for ensuring that the TL receives comments and corrections in a timely manner. TM will respond to the review tracking and explain the revisions made and reasons for not accepting certain comments and suggestions.

Tools and Resources: Template for Comments Request Letter

7. Final Stakeholder Workshop

- (a) A final stakeholder workshop will take place in the ADR country to discuss the findings, lessons and recommendations of a final draft ADR Report and provide feedback to the ADR Evaluation Team. It also enables stakeholders to discuss ways forward. Efforts will be made to coincide the workshop with the annual CPAP review meeting or other existing meetings in the programming cycle. The key stakeholders will be invited (CO, Government, UN agencies, International Organizations, Civil Society, Research Institutions, Private Sector). The latest report, revised as per comments from the Government will be presented. After the main presentations on findings, working groups will be formed to discuss the recommendations.
- (b) The TL/TM, senior RBx representative (Director or Deputy), PET TL, and EO senior management will participate as appropriate.

Responsibility: The TM is responsible for arranging the Final Stakeholder Workshop with the assistance of the UNDP CO

ADR Team Participation: The TL will participate in the stakeholder meeting and make a presentation on the findings and conclusions of the ADR.

Tools and Resources: Final Stakeholder Workshop Guidelines

8. Preparation of final document

- (a) The TL and TM will finalise the report
- (b) The ADR report will be translated into local language as the case may be. The TM is responsible for organising the translation.
- (c) When the final draft has been produced the TM should arrange editing of the report and submit editorial questions to the TL.
- (d) The TM in consultation with the IT officer and Communications officer in EO, should arrange printing of the ADR Report

Responsibility: The TL is responsible for finalising the final draft although other members may be requested to work on parts etc. The TM is responsible for ensuring that editorial changes are made and for organising the editing and printing of the ADR Report.

ADR Team Participation: All ADR Evaluation Team members will participate in the finalisation of the document

ADR PHASE 6: FOLLOW-UP TO THE ADR REPORT

1. Management Response Dissemination of findings

It will be prepared jointly by the CO and RB by one month after the stakeholders' workshop, using the standardised guideline and template.

2. Dissemination of findings

- (a) The ADR Report will be distributed within UNDP HQ and to COs. An electronic version will also be placed on the UNDP EO public website. Its availability should be announced on UNDP and external networks.
- (b) Short (2 page) ADR briefs will be prepared for government, other national stakeholders and UNDP senior management.
- (c) To facilitate greater national participation in the ADR process, ADR reports and briefs will be translated into national languages where appropriate.

Responsibility: The TM is responsible for dissemination activities. EO communication officer will provide technical support..

ADR Team Participation: ADR Evaluation Team members will comment on the briefs

Tools and Resources: (a) ADR Brief Guidelines (b) ADR Brief Good Example

3. Submission of final ADR Report to the UNDP Administrator and making it available to the Executive Board

- (a) The ADR Report is submitted to UNDP Associate Administrator who will request responses from RBx, COs and other UNDP units as required. The response will include specific actions that will be undertaken to implement the recommendations of the ADR Report. Responses should be submitted within one month of the finalisation of the ADR Report
- (b) The ADR Report and management response will be made available to the UNDP Executive Board at an agreed session (preferably the session where the new CPD for the ADR country is being discussed)

Responsibility: The TM (through the EO Director) is responsible for submitting the final ADR Report to UNDP management and making it available to the Executive Board. ADR CO is responsible for uploading the Management Response to the ERC

Tools and Resources: Guidelines for letters to management and the Board

4. Knowledge Management

- (a) Knowledge products will be developed leading to a number of "Learning Events" for thematic discussions about policy and practice areas, as well as electronic learning and networking. Learning

events could take place per ADR or groups of ADR (e.g., regional or thematic groups) organized with the relevant RBx and BDP within the UNDP practice areas and knowledge management system.

- (b) The TM will also organise a learning event for the EO and other relevant HQ staff on lessons learned regarding the ADR process and methodology itself. Staff of other UN evaluation units may be invited as appropriate. The TM (in consultation with the TL) will highlight the main lessons learned in a report and make them available on the UNDP EO Intranet website. The process of learning lessons will also help to identify good examples of the resources and tools used in the ADR process and that can be posted on the internal EO ADR website and included in Annex 2 of these guidelines.

Responsibility: With support from the EO knowledge management and communications officer, the TM is responsible for developing knowledge products and organising learning events and for identifying the lesson learned from the ADR process.

A short blurb will be prepared and submitted to the IT officer and knowledge management and communications officer to be used in the webpage (intra and external) and EO e-news.

ADR Team Participation: The TL or other members of the team may participate as appropriate

Tools and Resources: Good examples of learning events

ANNEX 1: GLOSSARY OF TERMS AND ORGANISATIONS

Accountability: Responsibility for the justification of expenditures, decisions or results of the discharge of authority and official duties, including duties delegated to a subordinate unit or individual. In regard to Programme and Project Managers, the responsibility to provide evidence to stakeholders that a programme or project is effective and conforms with planned results, legal and fiscal requirements. In organizations that promote learning, accountability may also be measured by the extent to which managers use monitoring and evaluation findings. Accountability is also an obligation to provide a true and fair view of performance and the results of operations. It relates to the obligations of development partners to act accordingly to clearly defined responsibilities, roles and performance expectations and to ensure credible monitoring, evaluation and reporting.

Attribution: The causal link between observed (or expected) changes and a specific intervention in view of the effects of other interventions or confounding factors. With regard to attribution for the achievement of outcomes, evaluations aim to demonstrate a credible linkage between UNDP's outputs and efforts in partnership with others and development change (outcome).

Effectiveness is assessed by an appreciation of the extent to which specific objectives were achieved or are expected to be achieved; taking into account the external factors that could have affected implementation.

Efficiency is used to measures of the outputs –qualitative and quantitative – achieved as a result of inputs.

Evaluation: A time-bound exercise that attempts to assess systematically and objectively the relevance, performance and success of ongoing and completed programmes and projects. Evaluation can also address outcomes or other development issues. Evaluation is undertaken selectively to answer specific questions to guide decision-makers and/or programme managers, and to provide information on whether underlying theories and assumptions used in programme development were valid, what worked and what did not work and why. Evaluation commonly aims to determine relevance, efficiency, effectiveness, impact and sustainability. Evaluation is a vehicle for extracting cross-cutting lessons from operating unit experiences and determining the need for modifications to the strategic results framework. Evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process. See also “project evaluation” and “outcome evaluation”.

Evaluation scope: The focus of an evaluation in terms of questions to address, limitations, what to analyze and what not to analyze.

Evaluation team: Group of specialists responsible for the detailed planning and conduct of an evaluation. An evaluation team writes the evaluation report.

Evaluator: An individual involved in all stages of the evaluation process, from defining the terms of reference and collecting and analyzing data to making recommendations and taking corrective action or making improvements.

Equity is used to evaluate if programme activities lead to reduced vulnerabilities in the country. Did UNDPs programme in any way influence the existing inequities in the society? Was the selection of geographical areas of intervention guided by need?

Independent evaluation: An evaluation carried out by persons separate from those responsible for managing, making decisions on, or implementing the project. It could include groups within the donor organization. The credibility of an evaluation depends in part on how independently it has been carried out, i.e., on the extent of autonomy and the ability to access information, carry out investigations and report findings free of political influence or organizational pressure.

Outcome: Actual or intended change in development conditions that UNDP interventions are seeking to support. It describes a change in development conditions between the completion of outputs and the achievement of impact. Examples: increased rice yield, increased income for the farmers. See “results”.

Relevance: The degree to which the objectives of a programme or project remain valid and pertinent as originally planned or as subsequently modified owing to changing circumstances within the immediate context and external environment of that programme or project. For an outcome, the extent to which the outcome reflects key national priorities and receives support from key partners.

Responsiveness is used to evaluate to the extent UNDPs programme responded to the development needs in Tajikistan and the timeliness. How has UNDP anticipated and responded to significant changes in the national development context.

Results: A broad term used to refer to the effects of a programme or project and/or activities. The terms “outputs”, “outcomes” and “impact” describe more precisely the different types of results at different levels of the log frame hierarchy.

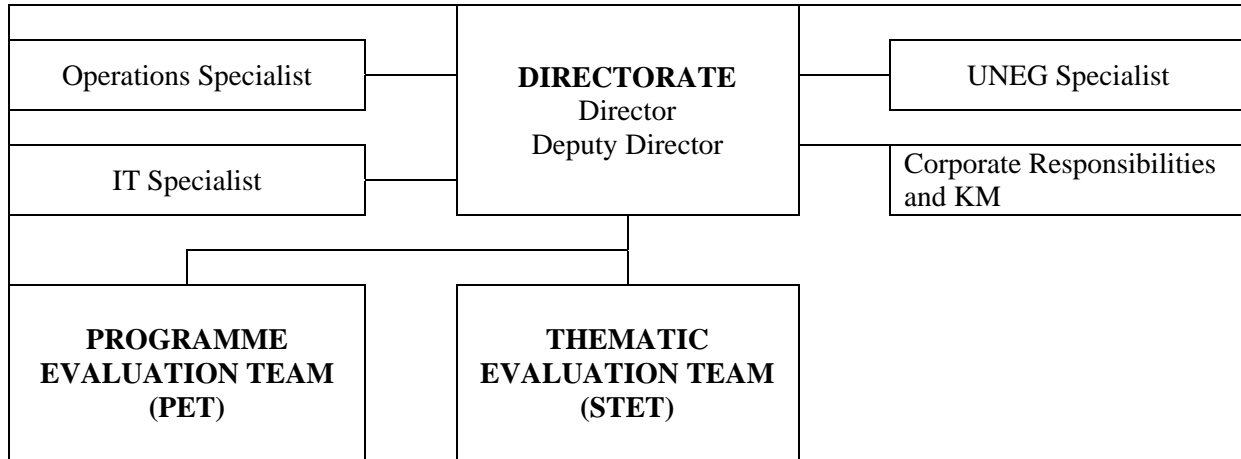
Stakeholders: People, groups or entities that have a role and interest in the objectives and implementation of a programme or project. They include the community whose situation the programme seeks to change; project field staff who implement activities; project and programme managers who oversee implementation; donors and other decision-makers who decide the course of action related to the programme; and supporters, critics and other persons who influence the programme environment. In participatory evaluation, stakeholders assume an increased role in the evaluation process as question-makers, evaluation planners, data gatherers and problem solvers.

Stakeholder Mapping: A process that identifies groups of stakeholders, their relationships with each other and, in the context of an ADR, with the UNDP country programme.

Sustainability is based on a considered assessment of whether the organizations has been able to develop permanent structures, procedures and professional capacity that would continue to perform the expected services within institutions. Are the results produced by the programme activities sustainable?

Triangulation: The triangulation approach ensures that empirical evidence collected from one source, for example documentation such as reports, is validated from at least one other source, for example through interviews or surveys. Methodological triangulation ensure that data collected though one method can be validated by data collected through an alternative method.

UNDP Evaluation Office (EO): The mandated responsibility of the Evaluation Office is to support the Administrator in his substantive accountability function and contributing to organizational learning through provision of systematic and independent assessment of results, effectiveness and impact of the substantive activities of the programme, including the special purpose funds under the Administrator's responsibility. The Office is divided into a Directorate, three teams (PET, STET, Corporate) and several support teams and functions (Training and Learning, Operations, IT and UNEG) as illustrated in the organisational chart below.



UNDP Executive Board (EB): The UNDP Executive Board is made up of representatives from 36 countries around the world, who serve on a rotating basis. Through its Bureau, consisting of representatives from five regional groups, the Board oversees and supports the activities of UNDP, ensuring that the organization remains responsive to the evolving needs of programme countries.

United Nations Evaluation Group (UNEG): The UN Evaluation Group (UNEG) was established in January 1984 (originally under the name of the Inter-Agency Working Group on Evaluation). Its objective is to provide a forum for the discussion of evaluation issues within the UN System and to promote simplification and harmonization of evaluation reporting practices among UNDP and the executing agencies. UNDP chairs UNEG and provides the Secretariat facilities.

UN Resident Coordinator System: The Resident Coordinator system encompasses all organizations of the United Nations system dealing with operational activities for development, regardless of their formal presence in the country. The RC system aims to bring together the different UN agencies to improve the efficiency and effectiveness of operational activities at the country level. Resident Coordinators, who are funded and managed by UNDP, lead UN country teams in more than 130 countries and are the designated representatives of the Secretary-General for development operations. Working closely with national governments, Resident Coordinators and country teams advocate the interests and mandates of the UN drawing on the support and guidance of the entire UN family.