ASSESSMENT OF DEVELOPMENT RESULTS

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GUIDELINES FOR AN ASSESSMENT OF DEVELOPMENT RESULTS (ADR)

CONTENTS

ACRONYMS AND ABBREVIATIONS

ADR	Assessment of Development Results
CO	Country Office
CSO	Civil Society Organisation
EO	Evaluation Office
ERC	Evaluation Resource Centre
GCF	Global Cooperation Framework
MDG	Millennium Development Goal
MYFF	Multi-year Funding Framework
OAPR	Office of Audit and Performance Review
OSG	Operation Support Group
PET	Programme Evaluation Team
QET	Quality Enhancement Team
RA	Research Assistant
RB	Regional Bureau
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

A. WHAT IS THE ASSESSMENT OF DEVELOPMENT RESULTS (ADR)?
An Introduction for All Stakeholders in the ADR Process

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, working with them to generate their own solutions to global and national development challenges. 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.

As a result of its country-level focus it is very important for UNDP and its partners to know how the organisation is contributing to national development results. The Assessment of Development Results (ADR) is the independent country-level evaluation tool used by the UNDP Evaluation Office to find out. In assessing UNDP's contribution to national development results it addresses two key questions:

- Is UNDP doing the right things?
- Is UNDP doing things right?

The ADR looks back at UNDP's contribution over a fixed period of time, usually the last five to seven years. It is, however, a forward looking exercise and will assess if UNDP is on the right course to where it aims to be; on whether the past results represent sufficient foundation for future progress; or if in certain areas corrective measures should be taken. In addition, it is important to note what the ADR is not:

- The ADR is not an assessment of a countries development or of government actions
- The ADR is not a sum of the evaluations of the UNDP projects and programmes in the country

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 also facilitate learning to inform current and future programming, not only for UNDP at corporate and county levels but also by other partners, for example other programme governments or donor/development organisations. The ADR process is inclusive in its approach and encourages strong programme country participation in the process. Moreover, where appropriate, it will be undertaken as a joint exercise with other members of the UN system at the country level.

B. ADR: THE EVALUATION OF UNDP'S CONTRIBUTION AT THE COUNTRY LEVEL
An Overview for All Stakeholders in the ADR Process

The ADR is an independent country-level evaluation of UNDP's attainment of its intended and achieved results as well as its contributions to the development results of the countries where it works. It is carried out by the UNDP Evaluation Office and addresses three sets of key questions:

(a) Is UNDP doing the right things, with a focus on relevance to the country's development goals, partnership, and strategic positioning for the future?

(b) Is UNDP doing things right, with a focus on the effectiveness of its activities, efficiency of execution, and efficacy given internal country and external global contextual factors? Are there better ways of achieving the results?

(c) Are the results sustainable? Do they ensure sustainability with a focus on national ownership, an enabling policy environment, capacity development, gender equality and other key drivers UNDP considers in assessing development effectiveness?

The ADR is not limited to the current UNDP country programme, but rather captures key results over the last five to seven years. It is, however, a forward looking exercise and will assess if UNDP is on the right course to where it aims to be; on whether the past results represent sufficient foundation for future progress; or if in certain areas corrective measures should be taken.

It does not assess a country's overall achievements but rather attempts to explain which parts of the national successes or failures are credibly linked to UNDP's efforts. Moreover, it is not the sum of evaluations of UNDP's projects and programmes in a country and therefore does not go into the details of all the programmes and projects in a UNDP country programme but will be selective depending on the design of the evaluation.

The ADR focuses on outcomes – the changes in specific development conditions – but 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.
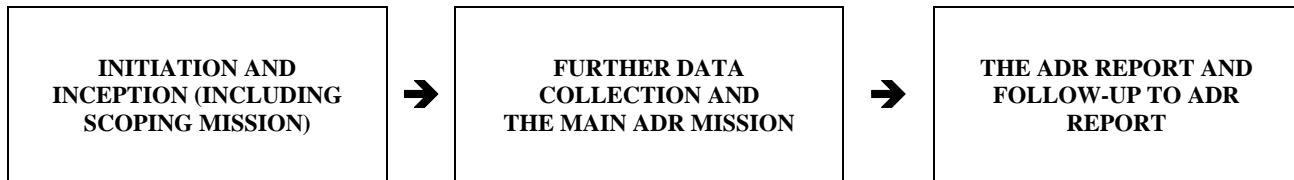
Objectives of the ADR: Since the ADR is independent of UNDP's operations management it contributes to greater accountability within the organisation. More specifically, it supports the UNDP Administrator's substantive accountability function to the Executive Board and serves as a vehicle for quality assurance of UNDP interventions at the country level. The UNDP Evaluation Office has sole responsibility for selection of countries for undertaking the ADR process and for selection of consultants to form the ADR Evaluation Team. The Evaluation Office is also responsible for the content and recommendations of the final ADR report.

The ADRs also provide programme country stakeholders with an objective assessment of results (specifically outcomes) that have been achieved through UNDP support and partnerships with other key actors for a given multi-year period. UNDP's accountability to these stakeholders – government, civil society and private sector – is thus strengthened through the ADR process.

ADRs facilitate learning to inform current and future programming, not only for UNDP at corporate and county levels but also by other partners, for example other programme governments or donor/development organisations. The ADR process is inclusive in its approach and encourages strong programme country participation in the process. Moreover, where appropriate, it will be undertaken as a joint exercise with other members of the UN system at the country level.

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. Countries are selected within a three-year rolling plan for ADRs that is updated annually. Between six and eight countries are selected in any one year.

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

INITIATION AND INCEPTION (INCLUDING SCOPING MISSION)		FURTHER DATA COLLECTION AND THE MAIN ADR MISSION		THE ADR REPORT AND FOLLOW-UP TO ADR REPORT
	➡		➡	

(a) During the initiation and inception phases the ADR Evaluation Team will be established and the relevant consultants recruited. A scoping mission 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 ADR Mission the ADR team will draft the ADR Report. 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 approximately six to eight months from the scoping mission to 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 <u>UNDP Evaluation Office</u> is responsible for managing the ADRs and is accountable for their quality and independence.

(b) The selected <u>UNDP Country Offices</u> 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 <u>Government</u> 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 <u>programme county stakeholders,</u> for example civil society organisations and the private sector as appropriate.

(d) The relevant <u>UNDP Regional Bureau</u> is closely involved in the process and is expected to play a key role in terms of facilitating the strategic choice of countries to undergo such assessments.

(e) The ADR is conducted by a high-level and independent <u>Evaluation Team</u> of development experts and evaluators, 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 in both UNDP's global effectiveness as well as in the ADR country's development.

(a) For <u>ADR Country Governments</u> 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 effectiveness in the country. It may also provide lessons that are useful for the government in its aid management work and its relationship with other international development partners.

(b) <u>For the UNDP Country Office</u> the ADR will provide important lessons and recommendations that will feed directly into 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.

(c) As already noted, at <u>UNDP Headquarters</u> the ADR will support the UNDP Administrator's accountability to the UNDP Executive Board. It will also provide lessons that can not only be used in the ADR country but also in the region or even UNDP globally.

(d) These lessons may also be useful for <u>International Development Partners</u> including other members of the UN system.

C. GUIDANCE AND METHODOLOGY
Guidelines for members of the ADR Evaluation Team

1. UNDP AND COUNTRY-LEVEL EVALUATION

(a) 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.

(b) It is a decentralized, **country-based organization**, on the ground in 166 countries, working with them on their own solutions to global and national development challenges. Country-level evaluation is therefore extremely important for the organisation.

(c) 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.

(d) 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.

(e) 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

(a) The ADR evaluation format and methodology 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.

(b) 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*" and "*Standards for Evaluation in the UN System*" (April 2005)
- The Evaluation Policy of UNDP (June 2006)

They are also consistent with the relevant parts of the UNDP "User Guide", the UNDP Evaluation Office (EO) "Handbook of Evaluation"(xxxx 2006) and other EO resources such as the "Publications Manual" (xxxx 2006).

(c) 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).

(d) The Guidelines are designed for people directly involved in implementing the ADR process (the ADR Evaluation Team). Resources for other stakeholders involved in the ADR will also be prepared within the framework of these Guidelines.

3. OBJECTIVES OF THE ADR

(a) The **objectives** of the ADR are to strengthen UNDP's <u>accountability</u> and the process of <u>learning</u> for UNDP and its partners. The ADR is therefore closely linked to other corporate exercises and results based management (RBM) systems.

(b) 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 not for its approval. The Annual Report of the Administrator on Evaluation summarises all ADRs undertaken in that year and is presented to the Board.

(c) Through 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**.

(d) ADRs facilitate **corporate learning** from experience and take into account self-evaluations (such as project and outcome evaluations) as well as the role of development partners (government and development agencies). In this way ADRs contribute to learning at a corporate level and support the overall positioning and policy development processes of UNDP as a whole.

(e) 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 country programs (including the UNDAF).

(f) 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

(a) The **scope of the ADR** will include, but not necessarily be confined to UNDP's:
- contribution to national development results
- responsiveness and alignment to country challenges and priorities
- strategic positioning including identification of missed opportunities
- use of comparative advantage
- engagement with partners
- operational efficiency

(b) The examination of UNDP's **strategic positioning** in a county will ascertain its relevance to national development priorities, including relevance and linkages 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.

(c) 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).

(d) The Evaluation 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 **operational efficiency** at the country level to the extent that issues are revealed in the analysis to greatly influence the attainment of development results.

(e) To determine its contribution to national **development results** the evaluation 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 in the last five years or so 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.

(f) The ADR 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.

(g) It will also assess the anticipated progress in achieving intended outcomes, against the bench marks and indicators set under the MYFF service lines and corresponding objectives, locally-set objectives, and, where this is relevant, against the MDG targets.

5. SELECTION OF COUNTRIES FOR ADRS

(a) Countries will be selected in a three-year rolling plan for ADRs that will be updated annually. The annual list of ADR countries will be submitted to the UNDP Executive Board. Between 6 and 8 countries will be selected in any one year. Selection will be based on the following criteria:
- The country programme cycle, timing the ADRs so that they would become available by the time the country programme is reaching its completion and a new one has to be designed.
- Expected changes would also be taken into account. For example, change in the country context as a result of an election or a change in UNDP policy that would have an impact on UNDP's role in the country.
- CO performance and the strategic importance of the country, either given UNDP's programme size or the country's characteristics (for example, lower or middle income status; development or post-conflict; unlikely to meet MDGs; etc).

(b) 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

(a) The ADR process should be **inclusive** and encourage strong programme country participation in particular. 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 (CSOs), the private sector and others, will be approached and their perspectives will be 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 a stress on participatory approaches such as stakeholder meetings.

(b) 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.

(c) Wherever possible, ADRs will be conducted in conjunction with other United Nations organizations. 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.

(d) In all stages of the ADR process, **quality control** will be important. The Quality Enhancement Team (QET) has designed a core set of guidelines within the EO will ensure the process is in line with UNDP policy, UNEG Standards and Norms, EO good practices and ADR guidelines (for example, on the ToR for the Team Leader or the structure of the ADR report). An internal Peer Review will be undertaken by two members of the EO including one from the Programme Evaluation Team (PET). EO Senior Management will also review the document and the PET Team Leader will have an overall role in quality assurance for all ADRs. An external Reference Group (RG) will be established for each ADR to review the final draft of the ADR thereby supplementing the internal review process. The group will include a combination of experienced evaluators, country/regional specialists and specialists in the key themes for the ADR as appropriate.

(a) The ADR does not assess a country's overall achievements but rather attempts to explain which parts of the national development results are credibly linked to UNDP's efforts. In line with UNDP's support for national ownership, these national development results are taken from a national, and not external, perspective. Moreover, the ADR is not the sum of evaluations of UNDP's projects and programmes in a country and therefore does not go into the details of all the programmes and projects in a UNDP country programme but will be selective depending on the design of the evaluation. Most ADRs will, however, include examination of a sample of projects/programmes, for example where taking the project as starting point may yield information in a cost-efficient manner. It is important, however, to analyze projects/programmes selectively according to specific criteria.

(b) Based on an assessment of key results and achievements in the areas UNDP has supported over the last five years or so, the ADR will provide a **forward-looking** analysis. Through the assessment of UNDP's strategic positioning and development results, the ADR attempts to answer if UNDP is on the right course to where it aims to be; on whether the past results represent sufficient foundation for future progress; or if in certain areas corrective measures should be taken.

(c) The ADR will **focus on outcomes** (i.e. changes in specific development conditions), and UNDP's contribution to these (in terms of its strategic outputs). The emphasis is to improve understanding of the outcome itself, its status and the factors that influence or contribute to its change. The ADR will *not* attempt to assess *impact* (i.e. the longer-term consequences of outcomes). 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.

(d) The ADR will also look at outputs – the most strategic ones delivered by UNDP – but not attempt to list or review all outputs produced by UNDP. However, the ADR will not attempt to provide a direct attribution of development results to UNDP. Lessons learned from previous outcome and impact assessments have shown that accurate attribution of development results is always a difficult issue. The ADR will therefore aim at a high plausibility of association between UNDP's output and the observed outcome, i.e. to establish a **credible link** between what UNDP did and what transpired from it. Furthermore, the ADR does *not* appraise the contribution of other development partners to results *nor* does it assess a government's performance. However, to put UNDP's contribution and positioning in perspective, the team must grasp a basic understanding of other partners' area of development support, their collaboration with UNDP, and their main strategy of intervention.

(e) The empirical evidence, on which the ADR will be based, 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 documentation such as reports, is validated from at least one other source, for example through interviews or surveys.

(f) The ADR will also attempt to **capture the unintended results** of UNDP's development interventions (both positive and negative). Two types of unintended results can be identified related to:
- what UNDP does (for example from supporting a policy that reduces poverty among one group but at the same time results in greater income inequality; or at the same time leads to strengthened protection of the environment)
- how it does it (for example, the excessive burden on government and other partners from inappropriate implementation arrangements or from overlapping missions; or capacity building of one government unit leading to increased capacity in another)

(g) 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 some of the following:
- 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
- Detailed desk review of UNDP documentation and analysis

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, as well as with the Oversight Group (which includes the Operations Support Group - OSG and the Office of Audit and Performance Review – OAPR) and other corporate units. 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.

(b) 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 would be expected to play a key role in terms of facilitating the strategic choice of countries to undergo such assessments. It would provide core inputs for shaping the development thinking and substantive focus for the country – and within the region. The RBx would advise on the scope, meet with the Evaluation Team and ideally take part on some of the country level discussions. The EO TM would 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 would be vital to stakeholder meetings, follow-up and implementation of recommendations.

(c) **UNDP Country Offices** selected will be involved as full partners in the exercise from the start. 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
- supporting the stakeholder mapping process
- arranging programme of meetings and field visits BUT not being required to participate in meetings/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

(d) 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 in terms of engaging 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 county stakeholders**, for example civil society organisations and the private sector, will also be consulted in the ADR in line with the inclusive approach described above (4a).

(e) 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

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 as well as proven leadership skills and regional/country-specific knowledge. The **Team Leader** (TL) will be accountable for designing the technical aspects of the ADR process and for drafting the final ADR report. The EO TM of a country ADR will also be a full member of the Evaluation Team.

(b) A **Research Assistant** will also be hired by the EO to support the ADR Evaluation Team with basic documentation, research and analysis. **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 must bring different types of expertise and experience to the team. If possible, at least one member of the team should be experienced in the sector or technical areas addressed by the evaluation, or have a sound knowledge of the subject to be evaluated. At least one other should preferably be an evaluation specialist and be experienced in using the specific evaluation methodologies that will be employed for that evaluation. 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 similar countries in the region.

(d) The composition of evaluation teams should be gender balanced, geographically diverse and include professionals from the countries or regions concerned.

(e) 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.

(f) Members of the ADR Evaluation Team – the evaluators – must conform to 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.

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 no longer than six (eight?) months. 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 initiation 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 is still unclear. It is expected that the **Initiation 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.

(c) Once initiation 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. An important part of this phase will be the short 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 initiation (i.e. there may be a gap while the research assistant and/or team leader are recruited/become available). Responsibility for this stage will be shared between the TM and TL but the TL will be responsible for the Inception Report, the main output of this phase.

(d) The inception phase lays the basic foundations of the assessment. 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 assessment. At this stage the inception report needs to be translated into a full ToR with work plan and budget. This **follow-up to inception phase** should start immediately 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 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.

(f) Following the ADR Mission the ADR team will be in a position to draft the **ADR Report**, get it reviewed and then finalised. During this phase the draft will be made to the Executive Board and submitted to UNDP management for a response. Although all of the ADR evaluation team members will contribute, the TL is responsible for the production of the ADR Report while arranging submission to UNDP management and the Board are the responsibility of the TM. The process is expected to last not more than 8 weeks not including Board submission which will depend on the timing for Board meetings.

(g) Completion of the ADR report does not represent the completion of the ADR process and significant **follow-up** activities are required. A key elements 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.

10. THE ADR REPORTS

(a) The total size of the **ADR Report** should be limited to 75 pages including all front matter and annexes. The number of words should be between 35 and 44 thousand. The Report should follow the more detailed "*Guidelines for ADR Report Structure*" and will also be consistent with the UNDP EO "*Publications Manual*".

(b) While the precise **structure** of the ADR will depend on the country context, it should include the following elements:
1. Introduction
2. National Development Context
3. UNDP in the Country
4. UNDP's programmatic contribution to national development results (ie MYFF Goals)
5. UNDP's non-programmatic contribution to national development results (eg drivers of development effectiveness plus other elements of the MYFF organisational strategy)
6. UNDP's Strategic Positioning
7. Operational/management issues related to programme implementation
8. Conclusions, lessons learned and recommendations

(c) The report will be widely disseminated in printed form and will be available together with associated documentation on the EO website.

11. THE MANAGEMENT RESPONSE

(a) An evaluation should be more than just a report. As one 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.

(b) All programme units are required to prepare a **management response** to evaluations within one month after the evaluation report is finalized. 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 issues and recommendations: It should highlight the key issues raised in the evaluation and the recommendations made, and indicate acceptance of or modifications to the recommendations made.
- 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.

(c) 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. Units exercising a line oversight are responsible for monitoring the implementation progress.

D. 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: INITIATION

At the start of the initiation 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 is still unclear. It is expected that the Initiation 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 Basic 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.

Responsibility: The Basic ADR ToR will be prepared by the TM

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

Quality Control: QET will review

2. Selection of Team Leader

(a) Although there is no standard ADR team, each one will have a TL and include the UNDP EO TM. 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.

(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 CV and references of the individual but also examples of the candidate's existing products such as evaluation reports, articles and academic papers.

(d) The short list will be discussed within the EO Programme Evaluation Team (PET) and a selection will be made. The selected candidate will be given to EO senior management for clearance.

Responsibility: The TM is responsible for preparing the TL Job Description and for managing the selection process although final decision on the selection of TL will be made by EO senior management

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 3 weeks up to the start of the scoping mission. In some cases it maybe that further work will be required.

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

(c) A short list will be established by the TM but the selection will be made by the EO PET.

Responsibility: The TM is responsible for preparing the RA Job Description, managing the selection process and selecting the RA

Tools and Resources: Guidelines for RA Job Description

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ADR PHASE 2: INCEPTION

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Once initiation 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 but would not necessarily start immediately following initiation (i.e. there may be a gap while the research assistant and/or team leader are recruited/become available).Responsibility for this stage will be shared

between the TM and TL but the TL will be responsible for the Inception Report, the main output of this phase.

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 and paper form. All documentation placed on ADR website and in a file.

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 Regional Bureaux Consultations

(a) It is important that the core ADR team holds consultations with the relevant RBx and other headquarter bureaux 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

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

ADR Team Participation: The TL may also participate

4. The Scoping Mission

(a) The TM and TL will undertake the Scoping Mission which will last approximately one week.

(b) At the start of the scoping mission an ADR Entry Workshop will be held to help focus the evaluation. Participants will include a combination of CO staff, UN and donor agency representatives, civil society, government and the private sector as appropriate.

(c) The mission will identify 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) Any interviews outside the UNDP CO will be conducted by the members of the ADR Evaluation Team without the participation of UNDP CO staff

(g) The TM and TL will also interview national consultants and/or national research organisations as appropriate to facilitate selection of candidates for extra research should it be required. A short list will be established.

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

ADR Team Participation: The TL will also participate and lead the mission

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

5. Inception report

(a) The TL will prepare an Inception Report according to relevant guidelines that would provide specific information on:
- The scope of the ADR and specifically the themes that will be covered
- The precise period that will be covered
- The methodology for the ADR main mission and further in-depth research/data collection requirements
- The detailed programme of interviews and visits for the main ADR report
- The need for additional local research work
- The need for additional team members – the team should also reflect the scope of the ADR identified in the report and ensure the right balance or skill mix with the ADR Evaluation Team
- The lessons learned from the ADR process so far (to be prepared by the TM)

(b) 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

Responsibility: The TL is responsible for preparing the Inception Report but it will also use specific inputs from the TM as agreed between them

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 Remove will be reviewed by an internal group of two peers and also by a member of the senior management. The review process will not only ensure that the Inception Report is consistent with guidelines, is of high quality and its proposal realistic but also to ensure that the ADR process is on the right track.

ADR PHASE 3: FOLLOW UP TO INCEPTION

The inception phase lays the basic foundations of the assessment. 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 assessment. At this stage the inception report needs to be translated into a full ToR with work plan and budget. This phase should start immediately the Inception report is ready and should be completed within two weeks. The TM is responsible for this phase.

1. Preparation of Full ADR ToR

(a) Based on the Inception Report, the TM will prepare a Full ADR ToR that will include a detailed work plan and budget. They will replace the Basic ADR ToR and describe the remainder of the process in detail.

Responsibility: The TM is responsible for preparing the Full ADR ToR

ADR Team Participation: TL will comment

Tools and Resources: Guidelines for Full ADR ToR

Quality Control: QET will review

2. Recruit Additional Team Members (as required)

(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: TL will comment

Tools and Resources: Guidelines for Technical Specialist Job description

3. 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 organisations/individuals

(c) Using the short list established during the Inception Phase and in consultation with the TL, 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

4. Establish External Reference Group

(a) Quality control is important and not just from first draft of the ADR but through out the process. The ADR External Reference Group (RG) will consist of up to three persons with technical experience in at least one of the following: evaluation, the key issues that the ADR is addressing or the development of the ADR country.

(b) The EO management will identify and designate members of the group

Responsibility: the TM will prepare ToR for members of the group and write to members designated by the EO management

ADR Team Participation: TL will comment

Tools and Resources: (a) Guidelines for Reference Group Job Description (b) Template for RG member letter

5. Write to CO, RBx and Member States with full ToR

(a) Letters need to be sent to the Country Offices, Member State and relevant Regional Bureau with the Full ADR ToR attached.

(b) The TM is responsible for producing the letter and will use the relevant guidelines and examples of good practice

Responsibility: The TM is responsible for preparing the letters

Tools and Resources: Guidelines for Full ADR ToR Letter

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 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. **Pre-departure Team Meeting at UNDP HQ**

(a) Before departing on the mission a briefing will be held at the EO in NY for the full ADR Evaluation Team. This will also allow further discussions with RBx and other UNDP Bx/units as required.

(b) The briefing will also allow new members of the ADR evaluation team to engage with fellow members before the new mission starts.

   Responsibility: The TM will organise the briefing and any other meetings as required

   ADR Team Participation: TL, new members of the evaluation team

2. **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

3. **Local Research Presentation**

(a) At the start pf 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

4. **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

(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

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

ADR Team Participation: All ADR Evaluation Team members

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

5. ADR Team debriefing with Resident Representative

(a) As a final step the ADR Evaluation Team will meet the CO senior management to discuss the findings of the mission and the next steps in the ADR process.

Responsibility: The TL will be responsible for the debriefing

ADR Team Participation: All ADR Evaluation Team members

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ADR PHASE 5: REPORT WRITING

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Following the ADR Mission the ADR team will be in a position to draft the ADR Report, get it reviewed and then finalised. During this phase the draft will be made to the Executive Board and submitted to UNDP management for a response. Although all of the ADR evaluation team members will contribute, the TL is responsible for the production of the ADR Report while arranging submission to UNDP management and the Board are the responsibility of the TM. The process is expected to last not more than 8 weeks not including Board submission which will depend on the timing for Board meetings.

1. Final Meeting of ADR Evaluation Team

(a) Where possible the ADR Evaluation Team will meet following the ADR mission to discuss data gaps, next steps, who does what, timeline etc

Responsibility: The TM will organise the meeting

ADR Team Participation: All ADR Evaluation Team members

2. 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 a standard approach. The ADR Report will be prepared according to a standard outline and within the ADR Report Guidelines.

(c) The Report will also follow the UNDP EO Publications Manual

Responsibility: Although different members of the evaluation team may draft specific sections of the ADR Report, drafting the Report itself is the responsibility of the TL

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

Quality Control: QET will review

3. Review of first and second drafts

(a) The initial review will be conducted internally by the EO (senior management, PET and QET). At this stage it maybe necessary to produce a second draft before submission for further review.

(b) The Reference Group established for the ADR will review the document from a technical perspective and supply comments to the TM and TL.

(c) The document will also be reviewed by key stakeholders to ensure its factual accuracy (eg UNDP CO, and RBx). Corrections to factual errors and omissions 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.

Quality Control: EO Senior management, PET, RG and QET will review

Tools and Resources: Template for Comments Request Letter

4. Final Stakeholder Workshop

(a) A final stakeholder workshop will take place in the ADR country to discus 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

(b) The TL/TM, senior RBx representative (Director or Deputy) 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 also participate

Tools and Resources: Final Stakeholder Workshop Guidelines

5. Preparation of final draft document

(a) A number of versions of the ADR Report may be made depending on comments of reference group and the nature of the factual errors identified. The TL will draw on other members of the ADR Evaluation Team as required.

(b) When the final draft has been produced the TM should arrange editing of the report and submit editorial questions to the TL.

(c) The TM 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

Tools and Resources: UNDP EO Publications Manual

ADR PHASE 6: FOLLOW-UP TO THE ADR REPORT

Completion of the ADR report does not represent the completion of the ADR process and significant follow-up activities are required. The process will be complete when the corporate and country-level responses to the ADR have been implemented. The TM is responsible for follow-up activities.

1. 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 (approximately five 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

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

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

2. 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 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 is responsible for submitting the final ADR Report to UNDP management, making the report available to the Executive Board and for uploading the Management Response to the ERC

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

3. 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: The TM is responsible for developing knowledge products and organising learning events and for identifying the lesson learned from the ADR process.

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).

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.

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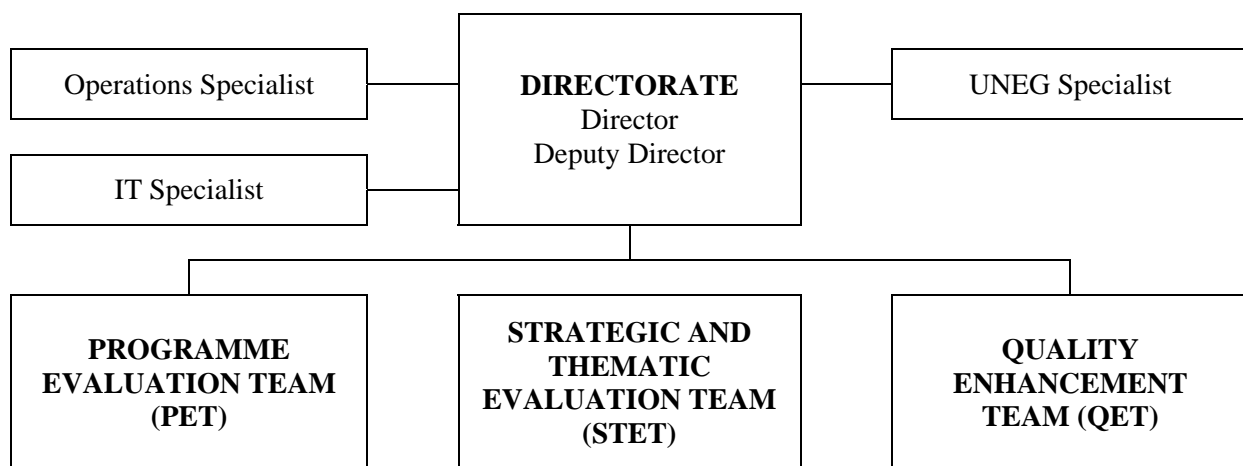
Results: A broad term used to refer to the effects of a programme or project and/or activities. The terms "outputs", "outcomes" and "impact" describe more precisely the different types of results at different levels of the logframe hierarchy.

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.

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

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 and QET) and various support functions (Operations, IT and UNEG) as illustrated in the organisational chart below.

Operations Specialist	**DIRECTORATE** Director Deputy Director	UNEG Specialist
IT Specialist		

PROGRAMME EVALUATION TEAM (PET)	**STRATEGIC AND THEMATIC EVALUATION TEAM (STET)**	**QUALITY ENHANCEMENT TEAM (QET)**

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.

ANNEX 2: SUMMARY OF ADR PROCESS

Responsibility in the context used here does not mean participation. In other words on persons will be responsible for each stage in each phase and will be held accountable for ensuring that the stage is implemented effectively or the output produced. Other members of the ADR Team will also participate in different stages of each phase and these are also indicated in the table.

	PHASE/ELEMENT	RESPONSIBILITY	PARTICIPANTS	TIMEFRAME	QUALITY CONTROL
	Phase 1: INITIATION				
1	Basic ToR		TM		EO/QET
2	Select Team Leader		TM	Not more than x weeks	
3	Letters to RR and Member States	Task Manager (TM)	TM		
4	Recruit Research Assistant		TM		
	Phase 2: INCEPTION				
1	Basic Document Collection	Research Assistant (RA)	RA		
2	Initial Desk Review/Evaluability	TL	TM/TL/RA	Not more than x weeks	
3	RBx Consultation	TM	TM/TL		
4	Inception/scoping mission		TM/TL		
5	Inception Report	Team Leader (TL)	TL/TM		EO/QET
	Phase 3: FOLLOW-UP TO INCEPTION				
1	Preparation of full ToR		TM/TL		EO/QET
2	Recruit additional team members		TM	Not more than x weeks	
3	Organise additional data collection	TM	TM		
4	Establish reference group		TM		
5	Write to CO and MS with full ToR		TM		
	Phase 4: THE ADR MISSION AND ANALYSIS				
1	Pre-departure meeting in NY	TM	ADR Team		
2	Team introduction to CO	TL	ADR Team	Not more than x weeks	
3	Local research Workshop	Local researchers	ADR Team		
4	Interviews	TL	ADR Team		
5	Team debriefing with RR	TL	ADR Team		
	Phase 5: REPORTING				
1	First Draft	TL	ADR Team	Not more than	EO/QET

	PHASE/ELEMENT	RESPONSIBILITY	PARTICIPANTS	TIMEFRAME	QUALITY CONTROL
2	Review	TM	Reference Group	x weeks	Reference Group
3	Final Stakeholder workshop		TM/TL		
4	Completion	TL			
	Phase 6: FOLLOW UP				
1	Dissemination of Findings	TM	TM	Not more than x weeks	
2	Make available to Snr Mgt and EB	TM	Board		
4	Knowledge Management		TM		

ANNEX 3: ADR TOOLS AND RESOURCES

Version 1: xx October 2006

ADR Tools and Resources have been designed to facilitate implementation of the ADR process and will continue to be developed and improved over time as lessons are learned about the process. A number of ADR-specific Tool and resources have been development and can be placed in one of three categories:

(a) In addition to the overall ADR Guidelines, **specific guidelines and templates** have been developed, for example on the structure of the ADR report, the use of statistics or selection of Team Leaders

(b) Another important resource will be **good examples** of key elements of the process such as ToRs, letters or reports. Since it is important that TMs do not simply replace one country with another but tailor these elements to the specific context of the country where the ADR is taking place, each example selected by ADR team in EO should be accompanied with an explanation of why they are considered good. In some cases there may be several related to one issue appropriate for different contexts.

(c) A third set of tools will be **generic guidelines, examples and best practices**, developed by the UNDP EO for the different types of evaluations it undertakes as well as those undertaken by other UNDP units and COs. For example, the EO publications manual, the relevant sections in the UNDP User Guide and the new Evaluation Handbook.

	PHASE/ELEMENT	ADR-SPECIFIC RESOURCES	REF	GENERIC EO RESOURCES
	Phase 1: INITIATION			
1	Development of ADR Basic ToR	• Guidelines for Basic ADR ToR • Guidelines for TM Job Description	Ph1-1a Ph1-1b	• "Commissioning an Evaluation" • "Commissioning an Evaluation"
2	Selection of Team Leader	• Guidelines for TL Job Description	Ph1-2a	• "Commissioning and Evaluation"
3	Letters to RR, Member States and RBx	• Guidelines for Initiation Letters	Ph1-3a	
4	Recruitment of Research Assistant	• Guidelines for RA Job Description	Ph1-4a	• "Commissioning and Evaluation"
	Phase 2: INCEPTION			
1	Basic Document Collection	• ADR Research Checklist	Ph2-1a	
2	Initial Desk Review and Eval. Assess.	• Guidelines for Evaluability Assessment	Ph2-2a	
3	RBx Consultation			
4	Scoping mission	• Guidelines for Entry Workshop • Entry Workshop Basic ADR Presentation • Template for Stakeholder Mapping	Ph2-4a Ph2-4b Ph2-4c	

	PHASE/ELEMENT	ADR-SPECIFIC RESOURCES	REF	GENERIC EO RESOURCES
5	Inception Report	• Guidelines for Inception Report • Template of Matrix of Evaluation Questions	Ph2-5a Ph2-5b	
	Phase 3: FOLLOW-UP TO INCEPTION			
1	Preparation of Full ADR ToR	• Guidelines for Full ADR ToR	Ph3-1a	• "Commissioning and Evaluation"
2	Recruit additional team members	• Guidelines for Technical Specialist Job Description	Ph3-2a	• "Commissioning and Evaluation"
3	Organise additional data collection			
4	Establish reference group	• Guidelines for RG Job Description • Template for RG members letter	Ph3-4a Ph3-4b	• "Commissioning and Evaluation"
5	Write to Co and MS with full ToR	• Guidelines for Full ToR Letter	Ph3-5a	
	Phase 4: THE ADR MISSION AND ANALYSIS			
1	Pre-departure meeting in NY			
2	Team introduction to CO			
3	Local research Workshop			
4	Interviews	• Templates for interview data management • Other tools identified in the Inception Report depending on methodology	Ph4-4a	
	Phase 5: REPORTING			
1	Initial Meeting of ADR Eval. Team			
2	First Draft	• Guidelines on ADR Report	Ph5-2a	• EO Publications Manual
3	Review of first and second drafts	• Template for comments request letter	Ph5-3a	
4	Preparation of final draft			• EO Office Publications Manual
5	Management response			• "Use of Evaluation"
6	Make available to the Board			
	Phase 6: FOLLOW UP			
1	Dissemination of Findings			• Guidelines for Evaluation Brief?
2	Final Stakeholder workshop			
3	Learning events			• "Use of Evaluation"