SECTION 4

EVALUATION IMPLEMENTATION AND USE

UNDP EVALUATION GUIDELINES

June 2021 update

CONTENTS

4. EVALUATION IMPLEMENTATION AND USE

Section 4 provides detailed guidance on the implementation of decentralized evaluations, beginning with the roles and responsibilities of the evaluation manager and other actors. The following subsections include: pre-evaluation steps, such as checking the readiness for evaluation; preparing for the evaluation; managing the evaluation and the evaluation team; and using the evaluation, including preparation of the management response.

The process for developing evaluations commissioned by programme units includes the following four key steps, outlined in detail in this section.

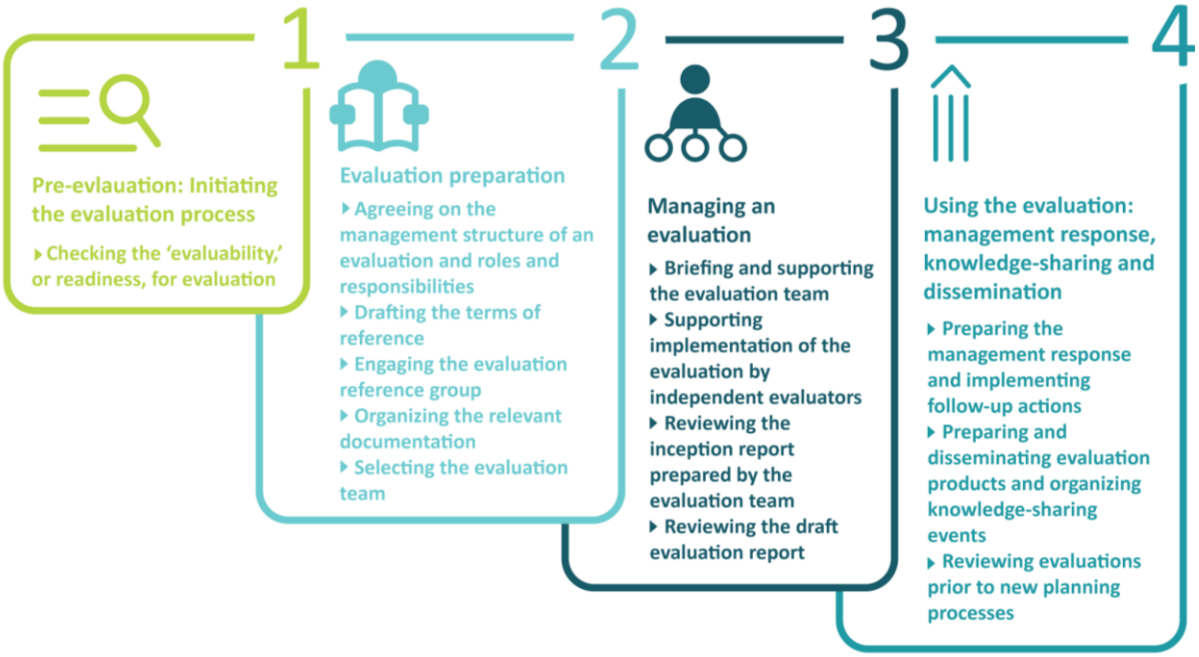

Figure 1. Key steps in the evaluation process

4.1 Evaluation implementation

Roles and Responsibilities

All evaluations should have a clearly defined organization and management structure, and well established and communicated roles and responsibilities, including an evaluation manager responsible for oversight of the whole evaluation process. Who this is will depend on the human resources available within the programme unit. To avoid conflicts of interest, the evaluation manager cannot be the manager of the programme/ project being evaluated.

This section defines and describes key members of the evaluation team.

Evaluation commissioner: in the context of these Guidelines, the evaluation commissioner is the agency or entity that calls for the evaluation to be conducted, in this case UNDP, and within UNDP, the senior manager that "owns" the evaluation plan under which the decentralized evaluation is being carried out. The evaluation commissioner, for example the resident representative for a country office, appoints the evaluation manager and approves the final terms of reference (TOR).

Programme/ project manager: This is the manager responsible for the programme, outcome, portfolio or project under evaluation (the "evaluand").[1] The programme/ project manager should take a supporting role in the implementation of the evaluation but, in order to ensure independence and credibility, will not manage the evaluation. They will provide documents and data as requested, support the overall evaluation and evaluation manager, and have a clear plan for using the results of the evaluation.

Evaluation manager: Evaluation management should be separate from programme/ project management. Where the UNDP implementing office has a monitoring and evaluation (M&E) specialist or focal point, they should take the evaluation management role. Where there is no such position, an evaluation manager should be assigned by senior management (e.g. the resident representative).

The evaluation manager can recommend final sign-off and approval of all aspects of the evaluation process including: (a) ensuring evaluability; (b) the evaluation TOR; (c) the evaluation team structure and recruitment; (d) the inception report; (e) coordinating comments on the draft evaluation report; and (f) the final evaluation report.

For a joint evaluation, there may be a co-commissioner and co-manager from the partner agency. The evaluation management structure, roles and responsibilities should be agreed prior to the evaluability stage of the evaluation process.

Box 1: Role of the M&E focal point, specialist or officer

Whether or not the M&E focal point/ specialist/ officer is the evaluation manager, they should still ensure the quality of all evaluations - outcome, project, vertical-funded projects (Global Environment Facility [GEF] and Green Climate Fund [GCF]), donor project evaluations, etc.

The M&E focal point/ specialist/ officer should approve each stage before moving to the next, including:

- Developing and reviewing the evaluation TOR, ensuring that they meet UNDP guidance requirements;
- Reviewing and approving the evaluation inception report, ensuring that it meets UNDP requirements;
- Reviewing and recommending acceptance of the draft and final evaluation reports; and
- Reviewing the management responses and key actions.

In addition, the M&E focal point or specialist maintains the programme unit evaluation plan on the Evaluation Resource Center (ERC), including:

- Uploading the evaluation plan and updating as required;
- Managing changes to the evaluation plan and getting approval from the regional evaluation focal point;
- Uploading evaluation documents (TOR, evaluation reports etc.) to the ERC within the timelines outlined;

[1] Typically, this includes senior management for country programme evaluations, global programme managers for global programme evaluations, outcome leads for outcome evaluations and/or programme officers (programme team leaders, programme analysts) for project evaluations.

- Uploading management responses and key actions and updating on a quarterly basis; and
- Reporting to management on compliance with the evaluation plan, completion of management responses and key actions and results of the quality assessment.

Evaluation reference group: The evaluation commissioner and evaluation manager should consider establishing an evaluation reference group made up of key partners and stakeholders who can support the evaluation and give comments and direction at key stages in the process. An evaluation reference group ensures transparency in the evaluation process and strengthens the credibility of the results.

Regional evaluation focal points oversee the implementation of country office evaluation plans, approve any adjustments to the plans with valid justification, and ensure that country offices meet the evaluation commitments made in the plans. The regional evaluation focal point also offers technical guidance on the implementation of evaluations to country offices, primarily to their management and M&E focal points or specialists, to ensure that commitments under evaluation plans are met and that evaluations are credible, independent and of the required quality. Evaluation focal points at central bureau level have the same role, overseeing central bureau evaluation plans and changes uploaded to the ERC.

In country offices where there is no dedicated M&E officer or specialist, the regional evaluation focal points should provide additional support to the assigned M&E focal points. Technical support can include: advice on the development of TORs, including the integration of gender equality perspectives; recruitment of evaluators; feedback on inception reports; implementation of evaluations; finalization of evaluations; and feedback on draft evaluation reports and management responses. Regional evaluation focal points are the main contacts when disputes arise in the evaluation process.

More details of roles and responsibilities in evaluation implementation can be found in section 5.

Table 1 details the roles and responsibilities and expected completion schedules for the entire evaluation process.

Table 1. Evaluation process checklist

STEP	ACTIVITY	TIME SCHEDULE	RESPONSIBILITY
ONE	Evaluability check	Six months before proposed commencement	▪ Evaluation commissioner ▪ Evaluation manager ▪ M&E specialist/ officer or focal point ▪ Programme/ project officer
TWO	Draft TOR	Three to six months before proposed commencement	▪ Evaluation commissioner ▪ Evaluation manager ▪ M&E specialist/ officer or focal point ▪ Evaluation reference group ▪ Programme/ project officer
	Final TOR	❖ Uploaded to ERC two weeks after completion of the TOR	▪ M&E specialist or focal point
	Recruit evaluation team	One month prior to proposed commencement or earlier	▪ Evaluation commissioner ▪ Evaluation manager ▪ M&E specialist or focal point ▪ Operations team

			▪ Programme/ project officer
THREE	Inception report review	According to the TOR (two to four weeks after contract signing)	▪ Evaluation commissioner ▪ Evaluation manager ▪ M&E specialist/ officer or focal point ▪ Evaluation reference group ▪ Programme/ project officer
	Data collection and field visits	According to the TOR and inception report	▪ Evaluation team
	Draft report review	Immediately on reception according to the TOR and inception report	▪ Evaluation commissioner ▪ Evaluation manager ▪ M&E specialist or focal point ▪ Evaluation reference group ▪ Programme/ project officer
	Audit report and comments	According to the TOR and inception report	▪ Evaluation team
	Final report completion	According to the TOR and inception report	▪ Evaluation team
	Final report uploaded to the ERC	Uploaded to ERC within two weeks of receipt	▪ M&E specialist or focal point
	Management response and key actions	Project and outcome evaluations: within **six weeks** of the final report	▪ Evaluation manager ▪ Evaluation reference group ▪ Programme/ project officer
	Final management response	Uploaded to ERC within **six weeks** of receipt of the final evaluation report	▪ M&E specialist or focal point
FOUR	Quarterly follow-up on key actions	Update ERC at the end of every quarter	▪ Evaluation manager ▪ M&E specialist or focal point based on inputs provided by programme units
	Management response and key actions closed	When all planned actions have been completed or after five years	▪ M&E specialist or focal point

Timings and schedules for each stage can be set by the programme units. However, the dates for completion and uploading to the ERC are set.

Step One: Evaluability

4.2 Step One: Pre-evaluation - initiating the evaluation process

Checking the "evaluability" or readiness of a programme/ project for evaluation

An evaluability assessment examines the extent to which a project, programme or other intervention can be evaluated in a reliable and credible way. It calls for the early review of a proposed project, programme or intervention in order to ascertain whether its objectives are adequately defined and its results verifiable.

UNDP programme units and stakeholders should undertake an evaluability assessment of any proposed evaluation (six months) prior to its commencement, to ensure that the activity (whether a programme, outcome, project, portfolio or thematic area) is in a position to be evaluated. This should be undertaken jointly by the evaluation commissioner, evaluation manager and/ or M&E focal point. Key stakeholders in the project, especially national counterparts, should be fully involved in the development of an evaluation and contribute to the evaluation design and results, including the evaluability assessment.

Table 2 provides a checklist which can guide the evaluability assessment, and highlights areas that may need to be improved and strengthened for an evaluation to move ahead.

Table 2. Evaluability checklist

		Y	N
1.	Does the subject of the evaluation have a **clearly defined theory of change**? Is there common understanding as to what initiatives will be subject to evaluation?		
2.	Is there a **well-defined results framework for the initiative(s)** that are subject to evaluation? Are goals, outcome statements, outputs, inputs and activities clearly defined? Are indicators SMART?[2]		
3.	Is there sufficient **data for evaluation**? This may include baseline data, data collected from monitoring against a set of targets, well-documented progress reports, field visit reports, reviews and previous evaluations.		
4.	Is the planned evaluation still **relevant**, given the evolving context? Are the purpose and scope of the evaluation clearly defined and commonly shared among stakeholders? What evaluation questions are of interest to whom? Are these questions realistic, given the project design and likely data availability and resources available for the evaluation?		
5.	Will **political, social and economic factors** allow for effective implementation and use of the evaluation as envisaged?		
6.	Are there **sufficient resources** (human and financial) allocated to the evaluation?		

[2] Specific, Measurable, Assignable, Relevant and Time-bound.

If the answer to one or more of **questions 1 to 3** above is 'no', the evaluation can still go ahead. The programme unit management, evaluation commissioner, evaluation manager and/ or the M&E focal point or specialist and stakeholders will need to make the appropriate adjustments and updates to bring the programme/ project into a position to be evaluated (which may cause implementation delays). Working with implementing partners, results models and frameworks and overall documentation should be brought up to date. **A well-managed and monitored programme/ project should have these prerequisites in place by the time of the evaluation.**

The relevance of an evaluation (question 4) may be a consideration where a project or outcome area has been reduced in importance due to resource mobilization limitations or changes in the organizational or country context that have led to a reduced focus for UNDP.

If **political and socioeconomic situations** (**question 5)** do not allow the team to carry out an evaluation in a meaningful manner, UNDP management, together with national stakeholders, may decide to wait for a more conducive environment to be secured. The evaluation may need to be flexible in its data collection approach and methodology to accommodate issues that arise (for example changing field visit sites). In crisis settings (see Box 2), such decisions should be made based on good, current analyses of the context, to ensure that the evaluation will be relevant to fast-changing situations. Factors such as security situations (safety of evaluators, staff and interviewees) and the potential impact of the evaluation on existing tensions should be carefully assessed.

Box 2: Planning, monitoring and evaluation in a crisis setting

If an initiative is being implemented in a crisis setting (relating to conflicts and disasters), this will have ramifications for all aspects of programming including planning, monitoring and evaluation. In general, the planning and M&E methods and mechanisms presented in these guidelines are transferable to crisis settings, with several important caveats:

- **Crisis situations are dynamic,** and UNDP programming should quickly respond to radical changes that can take place in such circumstances. Therefore, the situation should continually be analysed and monitored to ensure that programming remains relevant. Changes should be documented so that monitoring and evaluation of the relevance and appropriateness of development initiatives take into consideration the fluid situations in which they were conceived and implemented. This will involve continuous situational and conflict analysis.

- **Crisis situations are characteristically of (potentially) high tension** between different parties. Thus, crisis- and conflict-sensitivity should be exercised in all aspects of programming, including planning, monitoring and evaluation, to ensure that both the substance and process reduce, or at least do not heighten, tensions between different parties. The security of programme staff, beneficiaries and M&E staff can be a constant concern, and risk analysis for all those involved should be constantly monitored and factored into M&E activities.

- **It is important to keep a "big picture" perspective**, considering how projects and programmes connect to the wider peace process is critical, particularly for conflict prevention and peacebuilding programming. Planning, monitoring and evaluation should always factor this in to avoid a situation where a project is "successful" in terms of meeting the desired results, but has no – or negative - impacts on wider peace.

The 'Compendium on Planning, Monitoring and Evaluation in Crisis Prevention and Recovery Settings' provides further guidance.[3] Other resources are also available to support evaluation in crisis and humanitarian contexts.[4]

Covid-19 specific guidance is also available, providing tools and approaches for undertaking evaluations in fragile and crisis settings.[5]

Finally, sufficient resources (**question 6)** should have been assigned at the time of the design and approval of the country programme document (CPD) and evaluation plan. Where adequate resources are not available for the full scope of an evaluation, it is more prudent to delay implementation until adequate resources are available than to push ahead with an evaluation that is under-resourced and likely to suffer from reduced scope, utility and credibility.

Delaying an evaluation: If a project, programme or outcome is found not to be ready for evaluation, and a delay is required, adjustments can be made to the evaluation plan with a new evaluation completion date. The adjustment and justification should be submitted to the ERC for review and approval by the regional evaluation focal point.

Deletion of an evaluation: Programme units should make every effort to implement all evaluations in an evaluation plan. Only in exceptional circumstances should an evaluation be deleted from an evaluation plan (see section 3.8). If an evaluation is believed to be no longer relevant or is not expected to meet evaluability requirements, then UNDP senior and programme unit management should review and approve deletion with the M&E focal point or specialist and project manager, ensuring that the programme or project board has approved the deletion. The deletion request should be submitted to the ERC, along with clear and detailed justification, for review and approval by the regional evaluation focal point. All changes to the evaluation plan will be recorded on the ERC to support and strengthen oversight of the plan implementation.

[3] ALNAP, 2016, "Evaluation of Humanitarian Action Guide", https://www.alnap.org/help-library/evaluation-of-humanitarian-action-guide
[4] The ALNAP network has further guidance and tools for evaluation in crisis settings on its website: https://www.alnap.org/
[5] http://web.undp.org/evaluation/guideline/covid19.shtml

Step Two: Evaluation preparation

4.3 Step Two: Evaluation preparation

Figure 2. Steps in preparing an evaluation

Budgets and sources of funding for an evaluation should be agreed with partners during the drafting of the evaluation plan, and detailed in the plan.

- **Project evaluation budgets** should be detailed in project and programme documents. GEF projects have suggested budgets for midterm reviews and terminal evaluations.
- **Outcome evaluation budgets** can come from country office funds or be part-funded by individual projects and programmes.

Budgets should be realistic and enable credible and independent evaluations that produce usable results for the organization. A reduced or limited budget will limit the scope and depth of an evaluation and could limit its use and credibility. The annual report on evaluation from the Independent Evaluation Office (IEO) gives average budgets for different evaluation approaches globally and by region. These can be used as a reference.[6]

Individual evaluation budget considerations include:

- **Professional fees** for all evaluators or thematic experts undertaking the evaluation. There are often additional costs when hiring a professional firm.
- **Travel costs**, including flights to and from the evaluation country, where applicable, and travel within the country (for the evaluator, translator, UNDP accompanying staff and other participants).
- Additional and **non-professional costs** such as daily subsistence allowance for time in country for data collection and terminal expenses.
- Any **meeting costs** related to workshops (stakeholder, validation or evaluation reference group workshops) and focus group or data collection meetings (such as venue hire, snacks, participant transport costs etc.).
- **Translation costs** for interviews, field visits, and validation and dissemination workshops.
- **Communications costs** including editing, publication and dissemination costs.
- Additional **contingency costs** for unknown expenses arising during the evaluation.

Section 3 of this guidance includes an evaluation budget template.

4.3.1 Evaluation terms of reference

The TOR is a written document which defines the scope, requirements and expectations of the evaluation and serves as a guide and point of reference throughout the evaluation.

Quality TOR should be explicit and focused, providing a clear mandate for the evaluation team on *what* is being evaluated and why, *who* should be involved in the evaluation process, and the expected *outputs*. **TORs should be unique to the specific circumstances and purpose of each individual evaluation**. Since the TOR play a critical role in establishing the quality criteria and use of the evaluation report, adequate time should be allocated to their development.

The outcome, project, thematic area, or any other initiatives selected for evaluation, along with the timing, purpose, duration, available budget and scope of the evaluation, will dictate much of the substance of the TOR. However, because an evaluation cannot address all issues, developing the TOR involves strategic choices about the specific focus, parameters and outputs for the evaluation, given available resources.

The initial draft TOR should be developed by the evaluation manager with input from the evaluation commissioner and shared with the evaluation reference group for review and comment. Regional evaluation focal points and others with the necessary expertise may comment on the draft TOR to ensure that they meet corporate quality standards.

Writing TORs and engaging relevant stakeholders can be a time-consuming exercise. Therefore, it is recommended that this process is started **three to six months before** the proposed *commencement* of the evaluation, depending on the scope and complexity of the evaluation and the numbers of stakeholders involved.

The TOR template is intended to help UNDP programme units create TORs based on quality standards for evaluations consistent with evaluation good practice. When drafting TORs, programme units should consider how the evaluation covers UNDP quality standards for programming, as relevant and required (see Box 3).[7]

The TOR should retain enough flexibility on the evaluation methodology for the evaluation team to determine the best methods and tools for collecting and analysing data. For example, the TOR might suggest using questionnaires, field visits and interviews, but the evaluation team should be able to revise the approach in consultation with the evaluation manager and key stakeholders. These changes in approach should be agreed and reflected clearly in the inception report.

Box 3: UNDP quality standards for programming

[7] Access at: https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Programming%20Standards_Quality%20Standards%20for%20Programming.docx&action=default

Strategic

Programming priorities and results contribute to the Sustainable Development Goals (SDGs), are consistent with the UNDP Strategic Plan and aligned with United Nations Sustainable Development Cooperation Frameworks (UNSDCFs). Programmes and projects are based on clear analysis, backed by evidence and theories of change. The latter justify why the defined approach is most appropriate and will most likely achieve, or contribute to, desired development results along with partner contributions. The role of UNDP vis-à-vis partners is deliberately considered. New opportunities and changes in the development context are regularly reassessed, with any relevant adjustments made as appropriate.

Relevant

Programming objectives and results are consistent with national needs and priorities, as well as with feedback obtained through engaging excluded and/ or marginalized groups as relevant. Programming strategies consider interconnections between development challenges and results. A gender analysis is integrated to fully consider the different needs, roles and access to/ control over resources of women and men, and appropriate measures are taken to address these when relevant. Programmes and projects regularly capture and review knowledge and lessons learned to inform design, adapt and change plans and actions as appropriate, and plan for scaling up.

Principled

All programming applies the core principles of human rights, gender equality, resilience, sustainability and leaving no one behind. Social and environmental sustainability are systematically integrated. Potential harm to people and the environment is avoided wherever possible, and otherwise minimized, mitigated and managed. The complete Social and Environmental Standards can be found here.

Management and monitoring

Outcomes and outputs are defined at an appropriate level, are consistent with the theory of change, and have SMART, results-oriented indicators, with specified baselines and targets and identified data sources. Gender-responsive, sex-disaggregated indicators are used when appropriate. Relevant indicators from the Strategic Plan integrated results and resources framework have been adopted in the programme or project results framework. Comprehensive, costed M&E plans are in place and implemented to support evidence-based management, monitoring and evaluation. Risks, in terms of both threats and opportunities, are identified, with appropriate plans and actions taken to manage them. Governance of programmes and projects is defined, with clear roles and responsibilities, and provides active and regular oversight to inform decision-making.

Efficient

Programming budgets are justifiable and valid and programming design and implementation includes measures to ensure the efficient use of resources. The size and scope of programmes and projects are consistent with available resources and resource mobilization efforts. Plans include consideration of scaling up and links with other relevant initiatives to achieve greater impact. Procurement planning is done early and regularly reviewed. Monitoring and management include analysis, and actions, to improve efficiency in delivering the desired outputs with the required quality and timeliness, such as country office support to national implementation modalities. Costs are fully recovered (see the cost-recovery policy).

Effective

Programming design and implementation are informed by relevant knowledge, evaluation and lessons learned to develop strategy and inform course corrections. Targeted groups are systematically identified and engaged, prioritizing the marginalized and excluded. Results consistently respond to gender analysis and are accurately rated by the gender marker. Managers use monitoring data for

making decisions that maximize the achievement of desired results. South-South and triangular cooperation are used when relevant and captured in the results framework. Required implementing partner assessments have been conducted and the implementation modality is consistent with the results.

Sustainability and national ownership

Programming is accomplished in consultation with relevant stakeholders and national partners, who are engaged throughout the programming cycle in decision-making, implementation and monitoring. Programming includes assessing and strengthening the capacity and sustainability of national institutions. A strategy for use of national systems is defined and implemented, if relevant. Monitoring includes the use of relevant national data sources, where possible. Sustainability of results is accomplished through tracking capacity indicators and implementing transition and scale-up plans.

The TOR should, at a minimum, cover the elements described below which are outlined in more detail in annex 1.

1. **Background and context**
   - Detail the social, economic, political, geographic and demographic factors (at the time of programme / project design *and* of the evaluation).
   - Clearly describe the intervention to be evaluated (scale and complexity).
   - Provide details of project beneficiaries (gender, disability, vulnerable groups, and human rights issues).
   - Present outcomes, outputs, main achievements, results and the theory of change.

2. **Evaluation purpose, scope and objectives**
   - Detail *why* the evaluation is being conducted, *who* will use or act on the evaluation findings and recommendations and *how*.
   - Define the parameters and focus of the evaluation.
   - **Include gender equality and women's empowerment, disability and other cross-cutting issues** (see box 4).

3. **Evaluation criteria and key questions**
   - The Organization for Economic Cooperation and Development (OECD) Development Assistance Committee (DAC) criteria of relevance, coherence,[8] effectiveness, efficiency and sustainability (see Section 2) can be used to frame the evaluation questions.[9]
   - Include specific questions to be answered through the evaluation. All questions should be clear, well defined and manageable.
   - **Include at least one evaluation question related to gender equality and women's empowerment, and ideally at least one *per evaluation criterion*.**
   - Include evaluation questions related to disability and other cross-cutting issues.[10]

4. **Methodology**
   - Consider the overall approach and methodology.

[8] Coherence' is a new OECD DAC evaluation criteria introduced in 2019. For UNDP, ,coherence' is not a required criterion, but could be considered, if found pertinent.
[9] Access at: http://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm. We recommend that relevance, coherence, effectiveness, efficiency and sustainability are covered to ensure the full scope of an evaluation. If the commissioning unit chooses not to use one or more of the criteria, this should be explicitly stated in the TOR, including the reasons for the omission.
[10] Technical Notes. Entity Accountability Framework of the United Nations Disability Inclusion Strategy. Access at: https://www.un.org/en/disabilitystrategy/resources

- Include data sources, suggested collection methods and analysis approaches (with flexibility for refinement by the evaluation team).
- Refer to funding analysis requirements and sources of funding.
- **Methodologies for addressing gender-specific issues as well as inclusion of the SDGs should be requested from the evaluation teams.**

5. **Evaluation products (key deliverables)**
   - Details key evaluation products, which may include:
     (a) an evaluation inception report, including a workplan and evaluation schedule;
     (b) a draft evaluation report for comment;
     (c) an audit trail detailing how comments, questions and clarifications have been addressed;
     (d) a final report (addressing comments, questions and clarifications); and
     (e) any presentations or other knowledge products.
   - **All evaluation products need to address gender, disability and human rights issues.**

6. **Evaluation team composition and required competencies**
   - State the structure of the evaluation team and the number of evaluators required.
   - Detail specific skills, knowledge and expertise, competencies and characteristics required of the evaluator and each member of the evaluation team.
   - **Gender expertise and competencies are a must.**
   - At least one evaluation team member or reference group member needs to have knowledge and/ or experience of disability inclusion.

7. **Evaluation ethics**
   - Evaluation consultants will be held to the highest ethical standards and are required to sign a ***pledge of ethical conduct*** upon acceptance of the assignment.
   - UNDP evaluations are conducted in accordance with the principles outlined in the United Nations Evaluation Group (UNEG) Ethical Guidelines for Evaluation.[11]

8. **Management and implementation arrangements**
   - Describe the management and implementation structure and define the roles, key responsibilities and lines of authority of all parties involved in the evaluation process.
   - Outline the feedback mechanisms for the different evaluation products.

9. **Time frame for the evaluation process**
   - Details the number of days planned for the evaluation and the number of days allocated across the evaluation team.
   - Should also cover an evaluation timetable including dates for: (a) the start of the evaluation; (b) the evaluation deliverables; (c) fieldwork and data collection; and (d) completion of the evaluation.

10. **Submission process and basis for selection**
    - Details the structure and procedures for application, supporting documents and submission documents required and the criteria for review of applications.

11. **TOR annexes - links to supporting background documents and UNDP evaluation guidelines**
    - Intervention results framework and theory of change.
    - Key stakeholders and partners.
    - Documents to be reviewed and consulted.

[11] Access at: http://www.unevaluation.org/document/detail/2866

- Evaluation matrix template.
- Outline of the evaluation report format.
- Pledge of ethical conduct forms.
- UNDP Evaluation Guidelines, highlighting
    - Inception report template (section 4)
    - Evaluation report template and expected content (Section 4)
    - Quality Assessment process (Section 6)

The TOR will be assessed in the evaluation quality assurance. All points summarized above conform to the rating system (Annex 6).

Box 4: Integrating gender equality and women's empowerment perspectives in an evaluation TOR

In principle, all evaluations conducted or commissioned by UNDP must integrate human rights and gender equality, and aim to meet the requirements of the United Nations System-wide Action Plan (UN-SWAP) on Gender Equality and the Empowerment of Women Evaluation Performance Indicators[12] (see section 6 for more details).

IMPORTANT: Integrating gender equality and women's empowerment in the scope of the evaluation, as expressed in the TOR, is a critical first step. A gender-responsive evaluation should be carried out, even if the subject of evaluation was not gender-responsive in its design.

The UNEG guidance document, 'Integrating Human Rights and Gender Equality in Evaluations',[13] provides examples of how to incorporate these elements into the definition of the evaluation purpose, objectives, context and scope, and how to add a gender dimension to the standard evaluation criteria. Examples of tailored evaluation questions are also provided. (Annex 2)

What makes an evaluation gender-responsive?

Gender-responsiveness includes and relates to both *what* the evaluation examines and *how* it is undertaken. This means:

- assessing the degree to which gender and power relationships, including structural and other causes of inequities, discrimination and unequal power relations, change as a result of an intervention; and
- using a process that is inclusive, participatory and respectful of all stakeholders (rights holders and duty bearers).

A gender-responsive evaluation promotes accountability to gender equality, human rights and women's empowerment commitments by providing information on the way in which development programmes are affecting women and men differently and contributing towards the achievement of these commitments. It is applicable to all types of development programming, not just gender-

[12] Access at: https://www.unwomen.org/en/how-we-work/un-system-coordination/promoting-un-accountability/key-tools-and-resources
[13] Access at: http://www.uneval.org/document/detail/980

specific work (See UN Women Independent Evaluation Office, 2015, How to Manage Gender Responsive Evaluation. Evaluation Handbook).[14]

What does a gender-responsive evaluation methodology include?

- The evaluation specifies how gender issues are addressed in the methodology, including how data collection and analysis methods integrate gender considerations and ensure that data collected is disaggregated by sex.
- The evaluation methodology employs a mixed-methods approach, appropriate to evaluating gender equality and women's empowerment considerations.
- The evaluation employs a diverse range of data sources and processes (i.e. triangulation, validation) to guarantee inclusion, accuracy and credibility.
- The evaluation methods and sampling frame address the diversity of stakeholders affected by the intervention, particularly the most vulnerable, where appropriate.
- Ethical standards are considered throughout the evaluation and all stakeholder groups are treated with integrity and respect for confidentiality. [15]

IMPORTANT: A gender equality and women's empowerment perspective needs to be included throughout the TOR.

Where applicable, evaluations need to consider disability issues deriving from the United Nations Disability Inclusion Strategy and Technical Notes.[16] Box 5 details the elements to be addressed:

Box 5: Integrating disability issues in evaluations

- The evaluation TOR pays adequate attention to disability inclusion.
- Evaluation teams have knowledge and/ or experience of disability inclusion where relevant.
- Evaluation questions cover different aspects of disability inclusion.
- Evaluation stakeholder mapping and data collection methods involve persons with disabilities and their representative organizations.
- Evaluation findings and analysis provide data and evidence on disability inclusion.
- The conclusions and recommendations of evaluations reflect findings on disability inclusion.

GEF terminal evaluations and midterm reviews have their own TOR structure and requirements, which cover the above with additional GEF-specific requirements. These requirements are outlined in the GEF guidelines for terminal evaluations and midterm reviews.[17]

All TORs undergo a post-evaluation quality assessment conducted by IEO through the ERC quality assessment process. Details of the five quality assessment questions for TORs are given in section 6.

[14] Access at: https://www.unwomen.org/en/digital-library/publications/2015/4/un-women-evaluation-handbook-how-to-manage-gender-responsive-evaluation

[15] Further guidance on key elements of a gender-responsive evaluation methodology is provided on p. 37-41 and p. 91-110 in the UNEG Guidance Integrating Human Rights and Gender Equality in Evaluations. Access at: http://www.uneval.org/document/detail/980

[16] Access at: https://www.un.org/en/content/disabilitystrategy/

[17] Access at: http://web.undp.org/evaluation/guidance.shtml

All TORs are uploaded to the ERC and can be searched by evaluation type as well as their quality assessment ratings. Examples of TORs that can be used as a guide are detailed in Box 6 below.[18]

Box 6: Sample TORs

Country programme evaluation TORs

- Nepal, 2020, Mid Term Review of Country Programme Document

Outcome evaluation TORs

- El Salvador, 2019, Evaluación de la contribución del PNUD a la generación de capacidades de planificación y ejecución de la inversión pública a nivel nacional y local y su efecto en la cobertura y acceso universal a los servicios básicos de salud"
- Tanzania, 2019, Mid-term evaluation of democratic governance outcome
- Kazakhstan, 2018, Kazakhstan Country Programme Outcome Evaluation 2016-2018 Diversification of the economy provides decent work opportunities for the underemployed, youth, and socially vulnerable women and men

Project evaluation TORs

- Bangladesh, 2020, Final Evaluation of Partnership for a Tolerant, Inclusive Bangladesh (PTIB) project
- Nepal, 2020, Final Evaluation of Resilient Reconstruction and Recovery of Vulnerable Communities Severely Affected by 2015 Earthquake (EU II)
- Haiti, 2020, Évaluation finale du projet Promotion de la Cohésion sociale à Jérémie
- DPK Korea, 2020, End of Project Evaluation: Strengthening the Resilience of Communities through Community-Based-Disaster Risk Management

4.3.2 Supporting documentation for evaluations

Once the scope of an evaluation has been defined, the evaluation manager, with help from the project or programme manager, will compile basic documentation that will be provided to the evaluation team. Preliminary desk work may be carried out to gather information on the activities and outputs of partners, previous UNDP-related assistance and the current context of the project, programme or outcome. Table 3 provides more detail on the types and sources of information to be provided.

[18] The sample TORs provided in Box 6 were chosen due to their quality assessment ratings. Only TORs with a rating of satisfactory (5) or highly satisfactory (6), were chosen. Efforts will be made to update these annually.

Table 3. Sources of information for an evaluation team

SOURCES OF INFORMATION	DESCRIPTION OF INFORMATION
Country, regional and global programme results frameworks and theories of change	▪ Addressing the key outcomes that UNDP plans to achieve in a three- to five-year period ▪ Relevant theories of change at country and regional levels ▪ CPDs provide background information and UNDP perspective on development in a given country
Monitoring (regular reporting, reviews, steering committee meeting minutes) and evaluation reports	▪ Evaluation reports on related subjects commissioned by IEO, UNDP programme units, government or other development partners and stakeholders ▪ Annual and quarterly progress reports, field visit reports, and other outcome and key programme or project documentation ▪ The ERC can be used to search for relevant evaluations carried out by other UNDP units on similar topics
Reports on progress of partner initiatives	▪ Reports which show progress made by partners towards achieving the same outcome, and information about how they have strategized their partnership with UNDP
Data from official sources	▪ Information on progress towards outcome achievements may be obtained from sources from the government, private sector, academia and national, regional and international research institutes, including those in the United Nations system ▪ In many cases, nationally adopted DevInfo systems and the websites of national statistical authorities are good sources for national statistics ▪ Data disaggregated by sex and other relevant social categories should be provided whenever available
Research papers	▪ Topics related to the outcome being evaluated may have been addressed in research papers from the government, non-governmental organizations (NGOs), international financial institutions and academia
National, regional and global reports	▪ Data can be found in various reports such as the national Human Development Report (HDR), national SDG report and other reports published by national, regional and subregional organizations, international financial institutions, and United Nations organizations ▪ National strategies and sectoral strategies as well as progress reports ▪ Reports on the status of gender equality and the empowerment of women may be useful, such as the Gender Inequality Index of the HDR[19]
Financial and management information	▪ Relevant reports from Atlas, audit, Corporate Planning System, Executive Snapshot, Integrated Work Plan, Transparency Dashboard (International Aid Transparency Initiative)

[19]Access at: http://hdr.undp.org/en/composite/GII

	▪ A number of corporate tools provide financial and other management information that is relevant to evaluation. They include delivery, resource mobilization and human resource management ▪ Programme and project quality assurance reports
Additional sources at country level	
Reports of related regional and subregional projects and programmes	▪ These reports indicate the extent to which these projects and programmes have complemented contributions by UNDP and partners to progress towards the outcome
CPD or United Nations Development Assistance Partnership (UNDAP) in full Delivering as One countries and results-oriented annual report	▪ The results-oriented annual report provides a summary of the contributions of projects, programmes, sub-programmes and soft assistance that contribute to each outcome, on an annual basis ▪ Also included is information on key outputs, strategic partners, the partnership strategy, how much progress has been reported in previous years, the quality of outcome indicators, the need for further work and baseline information
UNDAF/ UNSDCF, UNDAP and country programme annual reviews and Common Country Assessments (CCAs) as well as evaluations	▪ These documents include baseline information on the country's development situation, partnerships and joint activities of UNDP and other United Nations organizations

4.3.3 Gender- and exclusion-sensitivity and rights-based approach

UNDP evaluations are guided by the principles of equity, justice, gender equality and respect for diversity.[20] As appropriate, UNDP evaluations assess the extent to which initiatives have addressed these principles through their various development efforts in a given country; and incorporated the UNDP commitment to gender mainstreaming and the rights-based approach in their design and implementation.

Mainstreaming a gender perspective is the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in all areas and at all levels. It is a strategy for making gender equality-related concerns an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres, so that women and men benefit equally, and inequality is not perpetuated.

UNDP evaluations should assess the extent to which UNDP initiatives have considered addressing gender equality issues in their design, implementation and outcomes, and whether women and men can equally access the programme's benefits to the degree intended. Similarly, evaluations should address the extent to which UNDP has advocated for the principles of equality and inclusive development, considering disability issues, and has contributed to empowering and addressing the needs of the most disadvantaged and vulnerable populations in a given society.

The rights-based approach to development requires ensuring that development strategies facilitate the claims of rights-holders and the corresponding obligations of duty-bearers. This approach emphasizes the need to address the immediate, underlying and structural causes for such rights not being realized. The concept of civic engagement, as a mechanism to claim rights, is an important aspect in the overall framework. When appropriate, evaluations should assess the extent to which an initiative has facilitated the capacity of rights-holders to claim their rights, and of duty-bearers to fulfil their obligations.

Evaluations should also address other cross-cutting issues, depending on the focus of the evaluation.

4.3.4 Choosing evaluators

The choice of evaluators is paramount to the quality and credibility of an evaluation. UNDP selects evaluators through a competetive and transparent process in accordance with the organization's rules and regulations for procurement.[21] Areas of expertise to be considered in the team composition include:

- Proven expertise and experience in conducting and managing evaluations.
- Proven experience in data analysis and report writing.
- Technical knowledge and experience in UNDP thematic areas, with specifics depending on the focus of the evaluation.
- Technical knowledge and experience in cross-cutting areas such as gender equality, disability issues, the rights-based approach and capacity development.
- Knowledge of the national/ regional situation and context.

[20] UNDP Evaluation Policy 2019, http://web.undp.org/evaluation/policy.shtml
[21] As detailed in the Programme and Operations Policies and Procedures (POPP), https://popp.undp.org/SitePages/POPPBSUnit.aspx?TermID=254a9f96-b883-476a-8ef8-e81f93a2b38d&Menu=BusinessUnit

Depending on the scope and resources for the evaluation, as well as its complexity, a programme unit may choose:

(a) an individual evaluator who may be national or international;
(b) a team of evaluators, made up of national and/or international experts; or
(c) a firm which provides an individual evaluator or team.

When procuring an evaluation through a firm, the implementing agency should still review the qualifications of the proposed team members to ensure that they meet the needs of the evaluation.

The selection process should start at least **one month prior to proposed commencement** of the evaluation**,** though it is recommended to start earlier as good evaluators are in high demand and not always available at the time requested.

It is advisable to have a team comprised of at least two evaluators, preferably national and international**.** This will allow for the evaluators to compare notes, verify the accuracy of information collected and recorded, divide efforts to interview more people and bounce ideas off of each other. In addition, **evaluation teams should be balanced, to the extent possible, in terms of gender and geographical composition.**

Box 7: Evaluator Databases[22]

There are several evaluator databases available across UNDP which can provide details of evaluators with sectoral, regional and country-level experience. The search for evaluators needs to consider knowledge and expertise in **evaluation** (including data analysis and report writing), relevant **thematic** areas and **cross-cutting** areas such as gender equality, disability issues, rights-based approach, capacity development and national/regional expertise.

➢ ***Global Policy Network (GPN) /ExpRes Roster***[23]

The GPN/ExpRes Roster is a recruitment and deployment mechanism which maintains technically-vetted consultants across 21 profiles and 79 sub-profiles to support the work of UNDP country offices, programme units and partner agencies. A similar roster was established in 2019 for midterm evaluations and reviews for vertical fund-financed projects which currently includes over 40 vetted candidates.

ExpRes Roster recruitment process

- Submit a request via the GPN/ExpRes Deployment Request Form . In the comments section you may mention the names of any specific candidates that you would like to consider, if any.
- The deployments team will share curriculum vitae (CVs) for you to rank informally for crisis-related assignments, where no formal desk review is needed. **For non-crisis assignments, a quick scoring index will be used**.

[22] The ERC contains a referral-based Database of Evaluators. This is not a fully vetted list of consultants. The consultants included in this roster are either referred by UNDP staff members working in the area of M&E or they were a team member working on one of the UNDP evaluations. UNDP IEO does not maintain any long-term agreement with any of the consultants in the database. Therefore, the hiring unit must do requisite due diligence in following the UNDP procurement process.
[23] This Roster is managed by the Global Policy Network/ ExpRes.

- Upon ranking, the deployments team will check availability and link you with the highest ranked available candidate to negotiate with and contract based on their fee on the roster.
- The 'bottom' fee range of the candidates provided will remain within 30% of the 'top' fee range. For example, if the fee of the highest priced consultant is $500 per day, the lowest priced consultant option cannot be less than $350 per day. Country offices may select an expert whose fee is no more than 30% higher than the next most suitable candidate, as long as they are the best technical option.
- No financial proposals are required, as fee information is provided on the roster. The deployments team will provide guidance on fee negotiations for longer assignments (over one month). The fee cannot exceed the stated rate on the roster.
- Signed individual contracts are to be shared with the deployments team. Any contract amendments also need to be shared, ensuring that the total cumulative amount stays below $100,000. If the case needs to go to the local Contracts, Assets, and Procurement Committee or Regional Advisory Committee on procurement, these approval documents will also need to be shared.
- Feedback/ written assessment on the work of each expert has to be provided via the GPN/ExpRes Evaluation or Individual Contract Evaluation Form.

➢ ***Regional evaluator rosters***

Several regional service centers maintain databases and rosters of evaluators, which can be accessed and used by programme units. These are updated regularly. In addition, regional evaluation focal points can share advice and experience on finding suitable evaluators.

➢ ***The Evaluation Resource Center***

The IEO offers a database of evaluation experts via the ERC (login required). Programme units can also add to this database. The database can be searched by name, thematic area, region and country, and can also link evaluators to their evaluation work for UNDP. The database is not vetted and programme units will need to request references.

Evaluators not in the main database can be searched using a general search of all reports. If they have undertaken evaluations for UNDP and their work is in the ERC, the reports can be found alongside the quality assessment review scores for their evaluations. A search of the ERC by regional, country or thematic area may also bring to light experts and evaluators who could be used.

A guidance note called "Finding good evaluators using the ERC and Quality Assessment scores" has also been made available. [24] A new roster is currently being developed.

In order to ensure the credibility and usability of an evaluation, programme units need to ensure the independence and impartiality of evaluators, and that they are free from conflicts of interest (see box 8).

[24] https://erc.undp.org/resources/docs/guidance/ERC-Guide-finding-good-evaluator.pdf

Evaluators should not have worked or contributed to the project, programme, outcome or UNDAF/ UNSDCF under evaluation, at any time, in any way. Equally, there should be no possibility of future contracts for the evaluator in the area under evaluation. In either of these cases, the evaluator would not be able to provide objective and impartial analysis of the evaluation subject.

Box 8: Sources of conflict of interest in evaluation

Conflict of interest due to past engagement

UNDP commissioning units may not assign consultants to the evaluation of former UNDAFs, country programmes, outcomes, sectors or thematic areas in which they have had prior involvement, whether in design, implementation, decision-making or financing. Following this principle, UNDP staff members, including advisers based in regional centres and headquarters units, civil servants or employees of NGOs that may be or have been directly or indirectly related to the programme or project, should not take part in the evaluation team.

More broadly, UNDP programme units should consider whether conducting multiple assignments could create a conflict of interest. Many consultants and evaluators undertake numerous assignments for UNDP and its partners over their professional careers. This can include a mixture of evaluation and advisory roles with multiple agencies at different levels. Programme units should make a judgement as to whether a consultant with a high reliance on work with UNDP may preclude them from producing an impartial evaluation. The ERC provides a recent history of evaluations undertaken by an evaluator.

Conflict of interest due to potential future involvement

Programme units must ensure that the evaluators will not be rendering any service (related or unrelated to the subject of the evaluation) to the programme unit of the project or outcome being evaluated in the immediate future. Evaluators should not subsequently be engaged in the implementation of a programme or project that was the subject of their evaluation. Equally, evaluators should not be engaged to design subsequent phases of projects that they have evaluated.

Evaluator's obligation to reveal any potential conflicts of interest

Evaluators must inform UNDP and stakeholders of any potential or actual conflict of interest. The evaluation report should address any potential or actual conflict of interest and indicate measures to mitigate any negative consequences. If a conflict of interest is uncovered or arises during the evaluation, the organization should determine whether the evaluator should be dismissed and/ or the evaluation terminated.

It is good practice to share the CVs of potential candidates with wider stakeholders and partners before engagement. This will help to ensure that there is no potential conflict of interest or objection to the selection. Check references by talking to colleagues and partners who have worked with the candidates previously to verify their competency as evaluators. The ERC and quality assessment ratings give a further check on the quality of an evaluator's work.

Step Three: Managing an evaluation

4.4 Step Three: Managing an evaluation

Figure 3. The phases of managing an evaluation

4.4.1 Briefing the evaluation team

To safeguard independence, implementing agencies should ensure that there is no interference in the implementation of an evaluation, but this does not exclude any cooperation, support or direction to the evaluation team. A successful evaluation requires a good level of cooperation and support from the commissioning unit to the evaluation team.

Supporting roles of the programme unit, evaluation manager and project manager include:

- **Briefing the evaluation team** on the purpose and scope of the evaluation and explaining the expectations of UNDP and its stakeholders in terms of the required quality standards for the evaluation process and products. Reaching a joint understanding on the TOR and objectives of the evaluation.
- **Providing the evaluation team with relevant UNDP Evaluation Policy guidelines,** including the quality standards for evaluation reports, UNEG Norms and Standards for Evaluation and the quality assessment guidance. In particular, evaluators must understand the requirement to follow ethical principles set out in the UNEG ethical guidelines for evaluators, and sign the pledge of ethical conduct for evaluators in the United Nations system.[25]
- **Ensuring that all relevant information is available to the evaluators**. If they encounter any difficulty in obtaining information that is critical for the conduct of evaluation, provide necessary support.
- **Providing preliminary partner, stakeholder and beneficiary information** for the evaluation team. While the evaluation team is responsible for identifying who they wish to meet and UNDP cannot interfere with their decisions, further suggestions can be made and access to partners, stakeholders and beneficiaries facilitated.
- **Organizing a kick-off meeting to introduce the evaluation team to the evaluation reference group and other partners and stakeholders** and facilitate initial contact.
- **Supporting the arrangement of interviews, meetings and field visits.** Programme units should support contact and send interview requests as needed to ensure that meetings are held.
- **Providing comments on and assuring the quality of the workplan and inception report**, including the elaborated evaluation methodology prepared by the evaluation team.
- **Ensuring the security of consultants, stakeholders and accompanying UNDP staff,** particularly in crisis situations. The evaluation team members should have passed relevant United Nations security exams and be aware of and compliant with related security protocols, including passing the United Nations Department of Safety and Security training courses on basic security in the

[25] UNEG, Pledge of Ethical Conduct in Evaluation, Access at: http://www.unevaluation.org/document/detail/2866 .

field II[26] and advanced security in the field.[27]

4.4.2 Supplying supporting information

Following the introductory meetings and briefings outlined above, the evaluation team will undertake a **thorough** desk review of all relevant reports and data. These should be supplied by the programme unit in a timely manner, and all efforts should be made to access missing reports and data prior to the development of the inception report and the data collection mission.

4.4.3 Evaluation inception report

The inception report is a written document prepared by the evaluator after an initial review of relevant documentation. It sets out the conceptual framework to be applied in the evaluation. It includes the understanding of the evaluation objectives, theory of change, evaluation questions and possible sub-questions, defines the methodology, and provides information on data sources and collection, sampling and key indicators.

Evaluators will commence the evaluation process with a desk review and preliminary analysis of the information supplied by the implementing agency. Based on the TOR, initial meetings with the UNDP programme unit/ evaluation manager (reference group) and the desk review, evaluators should develop an inception report. The evaluation manager needs to share the UNDP template for the inception report at the beginning of the assignment with the evaluation team leader. This includes a description of what is being evaluated, and illustrates the evaluators' understanding of the logic or theory of how the initiative is supposed to work, including strategies, activities, outputs and expected outcomes and their interrelationships (see box 9).

The inception report provides an opportunity to clarify issues and understanding of the objective and scope of the evaluation, such as resource requirements and delivery schedules. Any issues or misunderstandings identified should be addressed at this stage, prior to any data collection or field missions.

The commissioning unit and key stakeholders should review and assure the quality of the inception report and its **adherence to the TOR and goals of the evaluation,** as well as discussions held with the evaluation team. The inception report needs to be submitted according to the time frame in the TOR, usually two to four weeks after contract signing.

The inception report is a key milestone in the evaluation process, and it is important that the evaluation manager and reference group pay adequate attention to it. A separate meeting or call should be scheduled to discuss the methodological approach of the evaluation. The inception report needs to be officially approved by the evaluation manager / reference group before field missions can commence.

[26] Access at: https://training.dss.un.org/course/category/1
[27] Access at: https://training.dss.un.org/course/category/2

Box 9: Inception report content

1. **Background and context,** illustrating the understanding of the project/ outcome to be evaluated.
2. **Evaluation objective, purpose and scope.** A clear statement of the objectives of the evaluation and the main aspects or elements of the initiative to be examined.
3. **Evaluation criteria and questions.** The criteria the evaluation will use to assess performance and rationale. The stakeholders to be met and interview questions should be included and agreed, as well as a proposed schedule for field visits.
4. **Evaluability analysis.** Illustrates the evaluability analysis based on formal (clear outputs, indicators, baselines, data) and substantive (identification of problem addressed, theory of change, results framework) approaches, and the implications for the proposed methodology.
5. **Cross-cutting issues.** Provide details of how cross-cutting issues will be evaluated, considered and analysed throughout the evaluation. The description should specify how methods for data collection and analysis will integrate **gender considerations**, ensure that data collected is disaggregated by sex and other relevant categories, and employ a diverse range of data sources and processes to ensure the inclusion of diverse stakeholders, including the most vulnerable where appropriate.
6. **Evaluation approach and methodology,** highlighting the conceptual models to be adopted, and describing the data collection methods,[28] sources and analytical approaches to be employed, including the rationale for their selection (how they will inform the evaluation) and their limitations; data-collection tools, instruments, and protocols; and discussing their reliability and validity for the evaluation and the sampling plan.
7. **Evaluation matrix,** identifying the key evaluation questions and how they will be answered through the selected methods.
8. A revised **schedule of key milestones**, deliverables and responsibilities, including the evaluation phases (data collection, data analysis and reporting).
9. Detailed **resource requirements,** tied to evaluation activities and deliverables detailed in the workplan. Include specific assistance required from UNDP, such as providing arrangements for visiting particular field offices or sites
10. **Outline of the draft/ final report** as detailed in the guidelines, and ensuring quality and usability (outlined below). The agreed report outline should meet the quality standards outlined in these guidelines and the quality assessment requirements outlined in section 6.

4.4.4 Evaluation and data collection mission

Once the inception report has been agreed, with a detailed list of stakeholders and beneficiaries to be interviewed or met, UNDP should prepare a detailed workplan of meetings agreed with the evaluation team.

To ensure independence and confidentiality, **UNDP staff should not participate in any stakeholder or beneficiary meetings**. Interviews and meetings are confidential and evaluation reports should not assign any statements or findings to individuals.

Following the field missions, and prior to the drafting of the evaluation report, the evaluation team should **debrief the UNDP project/ programme and management teams** with preliminary findings.

[28] Annex 2 outlines different data collection methods.

Debriefings with key stakeholders and the evaluation reference group may also be organized. This gives an opportunity to discuss the preliminary findings and address any factual errors or misunderstandings, prior to writing the evaluation report.

4.4.5 Draft report and review process

The evaluation manager is ultimately responsible for the quality of the evaluation and should plan to review the relevance and accuracy of any reports, and their compliance with the TOR. The evaluation manager needs to share the UNDP evaluation report template with the evaluation team leader and inform them about the UNDP evaluation quality assurance system. Where the template has been shared earlier in the evaluation process, it is recommended to remind the evaluation team leader to adhere to the template.

Once the first draft of the evaluation report has been submitted, the evaluation manager and evaluation reference group should assure the quality of the report and provide comments.

The evaluation report should be logically structured, contain evidence-based findings, conclusions, lessons and recommendations, and be presented in a way that makes the information accessible and comprehensible. **A quality evaluation report should:**

- Have a concise executive summary (maximum four pages).
- Be well structured and complete.
- Describe sufficiently what exactly is being evaluated and why.
- Include an analysis of the project design, theory of change or results framework.
- Identify the evaluation questions of concern to users.
- Explain the steps and procedures used to answer those questions.
- Acknowledge limitations and constraints in undertaking the evaluation.
- Identify target groups covered by the evaluation, whether or not the needs of the target groups were addressed through the intervention, and why.
- Address gender equality and women's empowerment, disability and other cross-cutting issues.
- Present findings supported by credible evidence in response to the questions.
- Draw conclusions about the findings based on the evidence.
- Propose concrete and usable recommendations derived from the conclusions.
- Be written with the report users and how they will use the evaluation in mind.

Standard outline for an evaluation report

Annex 1 provides further information on the standard outline for the evaluation report. In brief, the minimum contents of an evaluation report include:

1. **Title and opening pages** with details of the project/ programme/ outcome being evaluated and the evaluation team.
2. **Project and evaluation details,** including the project title, Atlas number, budgets and project dates and other key information.
3. **Table of contents.**
4. **List of acronyms and abbreviations.**
5. **Executive summary,** a stand-alone section of maximum four pages including the quality standards and assurance ratings.
6. **Introduction and overview,** explaining what is being evaluated and why.
7. **Description of the intervention being evaluated**, providing the basis for readers to understand the design, general logic, results framework (theory of change) and other relevant information of the initiative being evaluated.

8. **Evaluation scope and objectives,** to provide a clear explanation of the evaluation scope, primary objectives and main questions.
9. **Evaluation approach and methods,** describing in detail the selected methodological approaches and methods.
10. **Data analysis,** describing the procedures used to analyse the data collected to answer the evaluation questions.
11. **Findings and conclusions,** setting out the evaluation findings, based on analysis of the data collected, and the conclusions drawn from these findings.
12. **Recommendations.** The report should provide a reasonable number of practical, feasible recommendations directed to the intended users of the report about what actions to take or decisions to make.
13. **Lessons learned.** As appropriate and when requested in the TOR, the report should include discussion of lessons learned from the evaluation of the intervention.
14. All **findings, conclusions, recommendations and lessons learned** need to consider gender equality and women's empowerment, disability, and other cross-cutting issues.
15. **Annexes.** At a minimum these should include:
    a. TOR for the evaluation.
    b. Evaluation matrix and data collection instruments
    c. List of individuals or groups interviewed or consulted, and sites visited.
    d. List of supporting documents reviewed.

When reviewing the evaluation report and its structure and content, evaluation managers should **consider the requirements of the quality assessment ratings**[29] which IEO uses to assess the quality of evaluation reports. More details of the quality assessment process and criteria can be found in section 6.

GEF terminal evaluations and midterm reviews have their own reporting requirements, which can be found in their evaluation guidelines.[30]

4.4.6 Evaluation review processes

Providing comments on the draft evaluation report

The evaluation manager should coordinate the collection of all comments, questions and requests for clarification into one document, which should be shared with the evaluation team within the agreed time schedule. This should include inputs, contributions and comments from UNDP, the evaluation reference group, and external stakeholders.

The evaluation manager needs to ensure that the draft evaluation report reflects the TOR, relates to the inception report including issues agreed during the inception phase, and is checked for factual accuracy.

Comments, questions, suggestions and requests for clarification on the evaluation draft should be provided in an evaluation "audit trail" document and not directly in the draft report (see Table 4).

[29] Access at: http://web.undp.org/evaluation/guideline/section-6.shtml
[30] Access at: http://web.undp.org/evaluation/guidance.shtml#gef

Where errors of fact or misunderstanding of approaches are found, documentation should be provided to support comments and requests.

The evaluator or evaluation team should reply to the comments through the evaluation audit trail document. If there is disagreement in findings, these should be documented through the evaluation audit trail and effort made to come to an agreement. If UNDP continues to disagree with the findings, conclusions or recommendations in an evaluation report, this should be clearly stated in the management response, with supporting reasons for the disagreement.

The evaluation audit trail is not part of the evaluation report and is not a public document, but is part of the process for completion of the evaluation report. The evaluation audit trail should not be included in the final report or uploaded to the ERC. In some circumstances where the commissioning unit and/ or stakeholders disagree with a finding, a note can be made in the report as to the disagreement.

Table 4. Audit trail form template

Chapter and section number	Paragraph number/ line number	Comments	Evaluation team responses and/ or actions taken

Programme units should not make any adjustments to an evaluation report but should address any disagreement of findings, conclusions or recommendations through the management response.

4.4.7 Complaints, dispute settlement and reporting wrongdoing

Complaints and dispute settlement

Disputes between evaluators and those being evaluated are not uncommon. The audit trail provides an avenue to highlight issues with an evaluation, and also for the evaluator to provide further evidence to support their findings.

If there is a continued disagreement, then either UNDP or the evaluation team can raise any material concerns with the Regional Bureau Deputy Director of the region where the evaluation is being undertaken, including the Independent Evaluation Office (IEO) in their correspondence (evaluation.office@undp.org).

The Regional Deputy Director will ensure a timely response, and act fairly to address concerns and seek to settle any disputes.

More details on individual contractor dispute settlement can be found in UNDP Programme and Operations Policies and Procedures (POPPs).[31]

Reporting wrongdoing

[31] Access at: https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_Individual%20Contract_Individual%20Contract%20Policy.docx&action=default

UNDP takes all reports of alleged wrongdoing seriously. In accordance with the UNDP Legal Framework for Addressing Non-Compliance with UN Standards of Conduct, the Office of Audit and Investigation is the principal channel to receive allegations.[32]

Anyone with information regarding fraud or other wrongdoing against UNDP programmes or involving UNDP staff is strongly encouraged to report this information through the Investigations Hotline (+1-844-595-5206).

People reporting wrongdoing to the Investigations Hotline have the option to leave relevant contact information or to remain anonymous. However, allegations of workplace harassment and abuse of authority cannot be reported anonymously.

When reporting to the Investigations Hotline, people are encouraged to be as specific as possible, including the basic details of who, what, where, when, and how any of these incidents occurred. Specific information will allow OAI to properly investigate the alleged wrongdoing.

The investigations hotline, managed by an independent service provider on behalf of UNDP to protect confidentiality, can be directly accessed worldwide and free of charge in different ways:

1. **ONLINE REFERRAL FORM** *(You will be redirected to an independent third-party site.)*

2. **PHONE - REVERSED CHARGES** Click here for worldwide numbers (interpreters available 24 hours/day) Call +1-844-595-5206 in the USA

3. **EMAIL** directly to OAI at: reportmisconduct@undp.org

4. **REGULAR MAIL**

   Deputy Director (Investigations)
   Office of Audit and Investigations
   United Nations Development Programme
   One UN Plaza, DC1, 4th Floor
   New York, NY 10017 USA

To ensure evaluators are fully aware of the complaints, dispute resolution and wrongdoing reporting processes in UNDP, details should be given to them at the time of the signing their contracts. A standard from to be included in all evaluator contracts is detailed in Annex 3.

[32] https://www.undp.org/accountability/audit/investigations

Step Four: Using the evaluation - management response, knowledge sharing and dissemination

4.5 Step Four: Using the evaluation

4.5.1 Preparing the management response for decentralized evaluations

Why do we prepare a management response?

A management response is a formal mechanism to ensure that evaluation findings, conclusions, lessons learned and recommendations will be used. A management response should contribute to the effectiveness, learning and accountability of the intervention being evaluated, and the organizations and institutions involved.

All UNDP evaluations have to develop management responses for each recommendation. This ensures the effective use of evaluation findings and recommendations, through considered follow-up actions.

Management responses should include detailed actions and highlight which agency or unit is responsible for each key action by when.

Management responses and key follow-up actions are closely monitored by headquarters, IEO and regional bureaux to ensure that lessons are being learned from evaluations. The preparation of a management response should not be seen as a one-time activity. Learning emanating from the management response process should be documented and reflected upon when designing a new project or programme or defining an outcome. The process of developing a management response to terminal project evaluations (specifically for projects that have been completed) allows key stakeholders to reflect on the project results and generate lessons that are applicable beyond a particular project to support other activities, projects and outcomes of the programme units.

What is in a management response?

Firstly, the management response outlines whether the programme unit accepts each recommendation and how it will deal with it**. Programme units can fully accept, partially accept or reject a recommendation,** and must provide justification for this.

- **Fully accepted:** agrees entirely with the whole recommendation and will seek actions to achieve it.
- **Partially accepted**: agrees with elements of the recommendation. The management response should detail the elements of agreement and those of disagreement, and give reasons why parts of the recommendations are not considered valid.
- **Rejected**: management must state why they reject the recommendation and will not follow up on it (no key actions need to be included in the response).

Key actions

When recommendations are fully or partially accepted, they require a corresponding management response and key follow-up actions.

Recommendations can have several key actions to ensure the evaluation recommendation is met. It is important that key actions:

- Clearly state the nature of the action and how it will address the recommendations.
- Indicate the parties (unit or organization) responsible for implementing the key action and accountable for its implementation.
- Are time-bound with clear deadlines and schedules for completion. Ideally, key actions should be completed within 18 months of an evaluation.
- Are of a reasonable number to facilitate implementation, tracking and oversight.

Management responses and key follow-up actions to evaluation recommendations need to be discussed and agreed within the project boards (where relevant). If UNDP or its implementing partner disagrees with a recommendation, they can so state in the management response and no key follow-up actions need to be added.

Management responses and key actions need to be agreed and entered into the ERC within six weeks of completion of the evaluation report. The management response template can be found in the annexes.

Box 10: Terms of reference and recommendations

It is important that the evaluation TOR clearly request recommendations that are targeted and anticipate actual follow-up and implementation. At the same time, the TOR should call for a realistic set of recommendations that are implementable and manageable in number (7-10) and, when draft reports are reviewed, evaluators should consider grouping recommendations under broad area headings to ensure this.

If there are too many recommendations they can be difficult to implement and manage and will considerably stretch resources in: (a) developing management responses and key actions; (b) entering recommendations, management responses and key actions to the ERC; and (c)monitoring and reporting on implementation of the management responses and key actions.

Joint project management responses

For joint projects and UNSDCF evaluations, UNDP should cooperate and coordinate with project partners in the development of management responses and key actions. UNDP programme units are only responsible for those recommendations targeted at them, and should develop management responses and key actions only for these.

Monitoring implementation of key actions

M&E specialists or focal points are responsible for monitoring the implementation of key actions and reporting on achievements through the ERC. This should be undertaken **on a quarterly basis,** and the ERC should be updated accordingly, with supporting documentation where applicable. Regional bureaux also oversee and monitor implementation and follow up with programme units on implementation. The ERC can be used to monitor implementation of management responses and key action commitments.

The IEO reports on the number of management responses and key actions completed, initiated, overdue or considered no longer applicable in its annual report.

The Evaluation Policy requires management responses to all evaluations regardless of the status of the initiative that was evaluated. The management response template can be found in the annexes.

4.5.2 Publication of the final evaluation report

All evaluation plans and evaluation reports must be uploaded to the ERC.[33] The ERC is an open information site accessible to all to view evaluation plans and evaluations. Some information on the ERC is for internal UNDP use only and requires IEO to provide access. Each programme unit can nominate several ERC focal points who will have different permissions across the site for uploading and accessing data for oversight purposes.

Access is required to upload evaluation plans, TORs and evaluations. Normally the M&E focal point or officer has this level of access to the ERC using their UNDP email and password.

Only the following documents need to be uploaded for completed evaluations:

- Final TOR for the evaluation, **uploaded within two weeks** of completion of the TOR.
- Final evaluation report **uploaded within two weeks** of agreement and completion of the report.
- Supporting annexes, **uploaded with the evaluation report** if not as part of the main report.

No other documents need to be uploaded. **Evaluation audit trails and inception reports should not be uploaded to the ERC.** Programme units should remember that the ERC site is public, and therefore only final documents should be uploaded. Documents should not contain comments or track changes and should ideally be uploaded as PDF files, although Word documents are acceptable. Therefore:

- Evaluation audit trails should not be uploaded to the ERC.
- Inception reports should not be uploaded separately to the ERC

Once the evaluation is complete and uploaded, information previously entered will need to be updated including the completion date, evaluation expenditure and the individual names and roles of the evaluation team members. More information is available in the ERC guidance.[34]

Recommendations, management responses and key actions

The following information also needs to be uploaded to the ERC by the evaluation manager within the schedule outlined below:

- Evaluation recommendations addressed to UNDP entered into the ERC when the final report is uploaded (**within two weeks of completion**).
- Evaluation management responses entered into the ERC **within six weeks** of receipt of the final evaluation report.
- Evaluation key actions entered into the ERC along with the management responses.

Recommendations are entered into the ERC individually and should not be cut and pasted as a single block of recommendations. Individual recommendations, management responses and key actions

[33] Access at: https://erc.undp.org/
[34] Access at: https://erc.undp.org/resources/docs/guidance/ERC-User-Guide.pdf

are reported and tracked separately so must be entered to the ERC individually. Where the TOR requires an evaluation team to produce lessons learned, these should also be uploaded. A separate page is available for this information.

Annexes

Annex 1. Evaluation TOR template

The TOR should, at a minimum, cover the elements described below.

1. Background and context

The background section makes clear what is being evaluated and identifies critical social, economic, political, geographic and demographic factors that have a direct bearing on the evaluation. This description should be focused and concise (a maximum of two pages) highlighting **only** those issues most pertinent to the evaluation. The key background and context descriptors that should be included are:

- Description of the intervention (outcome, programme, project, group of projects, themes, soft assistance) that is being evaluated.
- The name of the intervention (e.g., project name), purpose and objectives, including when and how it was initiated, who it is intended to benefit and what outcomes or outputs it is intended to achieve, the duration of the intervention and its implementation status within that time frame.
- The scale and complexity of the intervention, including, for example, the number of components, if more than one, and the size and description of the population each component is intended to serve, both directly and indirectly.
- The geographic context and boundaries, such as the region, country or landscape, and challenges where relevant.
- Total resources required for the intervention from all sources, including human resources and budgets comprising UNDP, donor and other contributions and total expenditures.
- Key partners involved in the intervention, including the implementing agencies and partners, other key stakeholders, and their interest, concerns and relevance for the evaluation.
- Observed changes since the beginning of implementation and contributing factors.
- State details of project beneficiaries (gender, disability, vulnerable groups, human rights issues, etc.)
- How the subject fits into: the partner government's strategies and priorities; international, regional or country development goals; strategies and frameworks; the SDGs, UNDP corporate goals and priorities; and UNDP global, regional or country programmes, as appropriate.
- Key features of the international, regional, and national economies and economic policies that have relevance for the evaluation.
- Description of how this evaluation fits within the context of other ongoing and previous evaluations and the evaluation cycle.

More detailed background and context information (e.g., initial funding proposal, strategic plans, **logical framework or theory of change**, monitoring plans and indicators) should be included or referenced in annexes.

Basic project information can also be included in table format as follows:

PROJECT/OUTCOME INFORMATION		
Project/outcome title		
Atlas ID		
Corporate outcome and output		
Country		
Region		
Date project document signed		
Project dates	**Start**	**Planned end**
Project budget		
Project expenditure at the time of evaluation		
Funding source		
Implementing party[35]		

2. Evaluation purpose, scope and objectives

This section of the TOR explains clearly *why* the evaluation is being conducted, *who* will use or act on the evaluation results and *how* they will use or act on the results. The purpose should include some background and justification for why the evaluation is needed at this time and how the evaluation fits within the programme unit's evaluation plan. A clear statement of purpose provides the foundation for a well-designed evaluation.

Scope and objectives of the evaluation should detail and include:

- aspects of the intervention to be covered by the evaluation. This can include the time frame, implementation phase, geographic area and target groups to be considered and, as applicable, which projects (outputs) are to be included.
- the primary issues of concern to users that the evaluation needs to address or objectives the evaluation must achieve.

Issues relate directly to the questions the evaluation must answer so that users will have the information they need for pending decisions or action. An issue may concern the relevance, coherence, efficiency, effectiveness or sustainability of the intervention. In addition, UNDP evaluations must address how the intervention sought to **mainstream gender in development efforts**, considered disability issues and applied the rights-based approach.

3. Evaluation criteria and key guiding questions

Evaluation questions define the information that the evaluation will generate. This section proposes the questions that, when answered, will give intended users of the evaluation the information they seek in order to make decisions, take actions or increase knowledge. Questions should be grouped

[35] This is the entity that has overall responsibility for implementation of the project (award), effective use of resources and delivery of outputs in the signed project document and workplan.

according to the four or five OECD-DAC evaluation criteria: (a) relevance; (b) coherence; (c) effectiveness; (d) efficiency; and (e) sustainability (and any other criteria used).

Individual evaluation questions should be developed by the evaluation manager to address the key concerns of the evaluation and should not just copied from the list below, which is illustrative.

The TOR should contain a reasonable and not exhaustive range of questions which can be realistically covered under a limited time evaluative exercise.

Sample questions for different types of evaluation:
Guiding evaluation questions need to be outlined in the TOR and further refined by the evaluation team and agreed with UNDP evaluation stakeholders.

Outcome evaluation sample questions

Relevance/Coherence

- To what extent is the initiative in line with the UNDP mandate, national priorities and the requirements of targeting women, men and vulnerable groups?
- To what extent is UNDP support relevant to the achievement of the SDGs in the country?
- To what extent did UNDP adopt gender-sensitive, human rights-based and conflict-sensitive approaches?
- To what extent is UNDP engagement a reflection of strategic considerations, including the role of UNDP in a particular development context and its comparative advantage?
- To what extent was the method of delivery selected by UNDP appropriate to the development context?
- To what extent was the theory of change presented in the outcome model a relevant and appropriate vision on which to base the initiatives?

Effectiveness

- To what extent has progress been made towards outcome achievement? What has been the UNDP contribution to the observed change?
- What have been the key results and changes attained for men, women and vulnerable groups?
- How has delivery of country programme outputs led to outcome-level progress?
- Have there been any unexpected outcome-level results achieved beyond the planned outcome?
- To what extent has UNDP improved the capacities of national implementing partners to advocate on environmental issues, including climate change issues and disaster risk reduction?
- To what extent has UNDP partnered with civil society and local communities to promote environmental and disaster risk awareness in the country?
- To what extent have the results at the outcome and output levels generated results for gender equality and the empowerment of women?
- To what extent have marginalized groups benefited?
- To what extent have triangular and South-South cooperation and knowledge management contributed to the results attained?
- Which programme areas are the most relevant and strategic for UNDP to scale up or consider going forward?

Efficiency

- To what extent have the programme or project outputs resulted from economic use of resources?

- To what extent were resources used to address inequalities and gender issues?
- To what extent were quality country programme outputs delivered on time?
- To what extent were partnership modalities conducive to the delivery of country programme outputs?
- To what extent did monitoring systems provide management with a stream of data, disaggregated by sex, that allowed it to learn and adjust implementation accordingly?
- To what extent did UNDP promote gender equality, the empowerment of women, human rights and human development in the delivery of country programme outputs?
- To what extent have UNDP practices, policies, processes and decision-making capabilities affected the achievement of the country programme outcomes?
- To what extent did UNDP engage or coordinate with different beneficiaries (men and women), implementing partners, other United Nations agencies and national counterparts to achieve outcome-level results?

Sustainability

- To what extent did UNDP establish mechanisms to ensure the sustainability for female and male beneficiaries of the country programme outcomes?
- To what extent do national partners have the institutional capacities, including sustainability strategies, in place to sustain the outcome-level results?
- To what extent are policy and regulatory frameworks in place that will support the continuation of benefits for men and women in the future?
- To what extent have partners committed to providing continuing support (financial, female and male staff, etc.)?
- To what extent do mechanisms, procedures and policies exist to carry forward the results attained on gender equality, empowerment of women, human rights, and human development by primary stakeholders?
- To what extent do partnerships exist with other national institutions, NGOs, United Nations agencies, the private sector and development partners to sustain the attained results?

Project evaluation sample questions:

Relevance/ Coherence

- To what extent was the project in line with national development priorities, country programme outputs and outcomes, the UNDP Strategic Plan, and the SDGs?
- To what extent does the project contribute to the theory of change for the relevant country programme outcome?
- To what extent were lessons learned from other relevant projects considered in the design?
- To what extent were perspectives of men and women who could affect the outcomes, and those who could contribute information or other resources to the attainment of stated results, taken into account during project design processes?
- To what extent does the project contribute to gender equality, the empowerment of women and the human rights-based approach?
- To what extent has the project been appropriately responsive to political, legal, economic, institutional, etc., changes in the country?

Effectiveness

- To what extent did the project contribute to the country programme outcomes and outputs, the SDGs, the UNDP Strategic Plan, and national development priorities?
- To what extent were the project outputs achieved, considering men, women, and vulnerable groups?

- What factors have contributed to achieving, or not, intended country programme outputs and outcomes?
- To what extent has the UNDP partnership strategy been appropriate and effective?
- What factors contributed to effectiveness or ineffectiveness?
- In which areas does the project have the greatest achievements? Why and what have been the supporting factors? How can the project build on or expand these achievements?
- In which areas does the project have the fewest achievements? What have been the constraining factors and why? How can or could they be overcome?
- What, if any, alternative strategies would have been more effective in achieving the project objectives?
- Are the project objectives and outputs clear, practical and feasible within its frame? Do they clearly address women, men and vulnerable groups?
- To what extent have different stakeholders been involved in project implementation?
- To what extent are project management and implementation participatory, and is this participation of men, women and vulnerable groups contributing towards achievement of the project objectives?
- To what extent has the project been appropriately responsive to the needs of the national constituents (men, women, other groups) and changing partner priorities?
- To what extent has the project contributed to gender equality, the empowerment of women and the realization of human rights?

Efficiency

- To what extent was the project management structure as outlined in the project document efficient in generating the expected results?
- To what extent were resources used to address inequalities in general, and gender issues in particular?
- To what extent have the UNDP project implementation strategy and execution been efficient and cost-effective?
- To what extent has there been an economical use of financial and human resources? Have resources (funds, male and female staff, time, expertise, etc.) been allocated strategically to achieve outcomes?
- To what extent have resources been used efficiently? Have activities supporting the strategy been cost-effective?
- To what extent have project funds and activities been delivered in a timely manner?
- To what extent do the M&E systems utilized by UNDP ensure effective and efficient project management?

Sustainability

- Are there any financial risks that may jeopardize the sustainability of project outputs affecting women, men and vulnerable groups?
- To what extent will targeted men, women and vulnerable people benefit from the project interventions in the long-term?
- To what extent will financial and economic resources be available to sustain the benefits achieved by the project?
- Are there any social or political risks that may jeopardize sustainability of project outputs and the project contributions to country programme outputs and outcomes?
- Do the legal frameworks, policies and governance structures and processes within which the project operates pose risks that may jeopardize sustainability of project benefits?
- To what extent did UNDP actions pose an environmental threat to the sustainability of project outputs, possibly affecting project beneficiaries (men and women) in a negative way? What is the

chance that the level of stakeholder ownership will be sufficient to allow for the project benefits to be sustained?

- To what extent do mechanisms, procedures and policies exist to allow primary stakeholders to carry forward the results attained on gender equality, empowerment of women, human rights and human development?
- To what extent do stakeholders (men, women, vulnerable groups) support the project's long-term objectives?
- To what extent are lessons learned documented by the project team on a continual basis and shared with appropriate parties who could learn from the project?
- To what extent do UNDP interventions have well-designed and well-planned exit strategies which include a gender dimension?
- What could be done to strengthen exit strategies and sustainability in order to support female and male project beneficiaries as well as marginalized groups?

Sample evaluation questions on cross-cutting issues

Human rights

- To what extent have poor, indigenous and physically challenged, women, men and other disadvantaged and marginalized groups benefited from the work of UNDP in the country?

Gender equality

All evaluation criteria and evaluation questions applied need to be checked to see if there are any further gender dimensions attached to them, in addition to the stated gender equality questions.

- To what extent have gender equality and the empowerment of women been addressed in the design, implementation and monitoring of the project?
- Is the gender marker assigned to this project representative of reality?
- To what extent has the project promoted positive changes in gender equality and the empowerment of women? Did any unintended effects emerge for women, men or vulnerable groups?

Disability

- Were persons with disabilities consulted and meaningfully involved in programme planning and implementation?
- What proportion of the beneficiaries of a programme were persons with disabilities?
- What barriers did persons with disabilities face?
- Was a twin-track approach adopted? [36]

4. Methodology

The TOR may **suggest** an overall approach and method for conducting the evaluation, as well as data sources and tools that will likely yield the most reliable and valid answers to the evaluation questions

[36] The twin-track approach combines mainstream programmes and projects that are inclusive of persons with disabilities as well as programmes and projects that are *targeted* towards persons with disabilities. It is an essential element of any strategy that seeks to mainstream disability inclusion successfully. Also, see chapter 9 of the Technical Notes. Entity Accountability Framework. United Nations Disability and Inclusion Strategy: https://www.un.org/en/disabilitystrategy/resources

within the limits of resources. However, final decisions about the specific design and methods for the evaluation should emerge from consultations with the programme unit, the evaluators and key stakeholders about what is appropriate and feasible to meet the evaluation purpose and objectives and answer the evaluation questions, given limitations of budget, time and data.

Evaluation should employ a combination of qualitative and quantitative evaluation methods and instruments. The evaluator is expected to follow a participatory and consultative approach that ensures close engagement with the evaluation managers, implementing partners and male and female direct beneficiaries. Suggested methodological tools and approaches may include:

- **Document review.** This would include a review of all relevant documentation, inter alia
  - Project document (contribution agreement).
  - Theory of change and results framework.
  - Programme and project quality assurance reports.
  - Annual workplans.
  - Activity designs.
  - Consolidated quarterly and annual reports.
  - Results-oriented monitoring report.
  - Highlights of project board meetings.
  - Technical/financial monitoring reports.
- **Interviews and meetings** with key stakeholders (men and women) such as key government counterparts, donor community members, representatives of key civil society organizations, United Nations country team (UNCT) members and implementing partners:
  - **Semi-structured interviews,** based on questions designed for different stakeholders based on evaluation questions around relevance, coherence, effectiveness, efficiency, and sustainability.
  - Key informant and **focus group discussions** with men and women, beneficiaries and stakeholders.
  - All interviews with men and women should be undertaken in full confidence and anonymity. The final evaluation report should not assign specific comments to individuals.
- **Surveys and questionnaires** including male and female participants in development programmes, UNCT members and/or surveys and questionnaires to other stakeholders at strategic and programmatic levels.
- **Field visits** and on-site validation of key tangible outputs and interventions.
- **Other methods** such as outcome mapping, observational visits, group discussions, etc.
- **Data review and analysis** of monitoring and other data sources and methods. To ensure maximum validity, reliability of data (quality) and promote use, the evaluation team will ensure triangulation of the various data sources.
- **Gender and human rights lens**. All evaluation products need to address gender, disability, and human right issues.

The final methodological approach including interview schedule, field visits and data to be used in the evaluation should be clearly outlined in the inception report and fully discussed and agreed between UNDP, key stakeholders and the evaluators.

5. Evaluation products (deliverables)

The TOR should clearly outline the outputs UNDP expects from the evaluation team, with a detailed timeline and schedule for completion of the evaluation products. Where relevant, the TOR should also detail the length of specific products (number of pages). These products could include:

- **Evaluation inception report (10-15 pages).** The inception report should be carried out following and based on preliminary discussions with UNDP after the desk review and should be produced before the evaluation starts (before any formal evaluation interviews, survey distribution or field visits) and prior to the country visit in the case of international evaluators.
- **Evaluation debriefings.** Immediately following an evaluation, UNDP may ask for a preliminary debriefing and findings.
- **Draft evaluation report (within an agreed length).** A length of 40 to 60 pages including executive summary is suggested.
- **Evaluation report audit trail.** The programme unit and key stakeholders in the evaluation should review the draft evaluation report and provide an amalgamated set of comments to the evaluator within an agreed period of time, as outlined in these guidelines. Comments and changes by the evaluator in response to the draft report should be retained by the evaluator to show how they have addressed comments.
- **Final evaluation report.**
- **Presentations to stakeholders and/ or evaluation reference group** (if required).
- **Evaluation brief and other knowledge products** or participation in knowledge-sharing events, if relevant to maximise use.

6. Evaluation team composition and required competencies

This section details the specific skills, competencies and characteristics required of the evaluator / individual evaluators in the evaluation team, and the expected structure and composition of the evaluation team, including roles and responsibilities of team members. This may include:

- **Required qualifications:** education, length of experience in conducting/ managing evaluations, relevant knowledge, and specific country/regional experience.
- **Technical competencies:** team leadership skills and experience, technical knowledge in UNDP thematic areas, with specifics depending on the focus of the evaluation, data analysis and report writing etc.
- **Technical knowledge and experience:** Gender expertise/competencies in the evaluation team are a must. At least one evaluation team member or reference group member needs to have knowledge and/or experience of disability inclusion. Technical knowledge and experience in other cross-cutting areas such equality, disability issues, rights-based approach, and capacity development.
- **Language skills required.**

The section also should specify the type of evidence (resumes, work samples, references) that will be expected to support claims of knowledge, skills and experience.

The TOR should explicitly demand evaluators' independence from any organizations that have been involved in designing, executing, or advising any aspect of the intervention that is the subject of the evaluation.[37]

7. Evaluation ethics

The TOR should include an explicit statement that evaluations in UNDP will be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation'.[38]

Standard text includes:

[37] For this reason, UNDP staff members based in other country offices, regional centres and headquarters units should not be part of the evaluation team.
[38] UNEG, 'Ethical Guidelines for Evaluation', 2020. Access at: http://www.unevaluation.org/document/detail/2866

"This evaluation will be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation'. The consultant must safeguard the rights and confidentiality of information providers, interviewees, and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The consultant must also ensure security of collected information before and after the evaluation and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information knowledge and data gathered in the evaluation process must also be solely used for the evaluation and not for other uses with the express authorization of UNDP and partners."

8. Implementation arrangements

This section describes the organization and management structure for the evaluation and defines the roles, key responsibilities and lines of authority of all parties involved in the evaluation process. Implementation arrangements are intended to clarify expectations, eliminate ambiguities, and facilitate an efficient and effective evaluation process.

The section should describe the specific roles and responsibilities of the evaluators, including those of the members of the team, the evaluation manager, the commissioning programme unit and key stakeholders. The composition and expected roles and responsibilities of the advisory panel members or other quality assurance entities and their working arrangements should also be made explicit. The feedback mechanism regarding different evaluation products need to be outlined.

In case of a joint evaluation, the roles and responsibilities of participating agencies should be clarified. Issues to consider include: lines of authority; lines of and processes for approval; logistical considerations, such as how office space, supplies, equipment and materials will be provided; and processes and responsibility for approving deliverables.

9. Time frame for the evaluation process

This section lists and describes all tasks and deliverables for which evaluators, or the evaluation team, will be responsible and accountable, as well as those involving the commissioning office (e.g. workplan, agreements, briefings, draft report, final report). This must indicate for each the due date or time frame, as well as who is responsible for its completion. At a minimum, the time breakdown for the following activities should be included:

- Desk review.
- Briefings of evaluators.
- Finalizing the evaluation design and methods and preparing the detailed inception report.
- In-country data collection and analysis (visits to the field, interviews, questionnaires).
- Preparing the draft report.
- Stakeholder meeting and review of the draft report (for quality assurance).
- Incorporating comments and finalizing the evaluation report.

In addition, the evaluators may be expected to support UNDP efforts in knowledge sharing and dissemination.

Required formats for the inception reports, evaluation reports and other deliverables should be included in the annexes of the TOR for the evaluation being commissioned. This section should also state the number of working days to be used by each member of the evaluation team and the period during which they will be engaged (e.g., 30 working days over a period of three months).

Example of working day allocation and schedule for an evaluation (outcome evaluation)

ACTIVITY	ESTIMATED # OF DAYS	DATE OF COMPLETION	PLACE	RESPONSIBLE PARTY
Phase One: Desk review and inception report				
Meeting briefing with UNDP (programme managers and project staff as needed)	-	At the time of contract signing 1 June 2018	UNDP or remote	Evaluation manager and commissioner
Sharing of the relevant documentation with the evaluation team	-	At the time of contract signing 1 June 2018	Via email	Evaluation manager and commissioner
Desk review, Evaluation design, methodology and updated workplan including the list of stakeholders to be interviewed	7 days	Within two weeks of contract signing 1 to 15 June 2018	Home- based	Evaluation Team
Submission of the inception report (15 pages maximum)	-	Within two weeks of contract signing 15 June 2018		Evaluation team
Comments and approval of inception report	-	Within one week of submission of the inception report 22 June 2018	UNDP	Evaluation manager
Phase Two: Data-collection mission				
Consultations and field visits, in-depth interviews, and focus groups	15 days	Within four weeks of contract signing 1 to 21 July 2018	In country With field visits	UNDP to organize with local project partners, project staff, local authorities, NGOs, etc.
Debriefing to UNDP and key stakeholders	1 day	21 July 2018	In country	Evaluation team
Phase Three: Evaluation report writing				
Preparation of draft evaluation report (50 pages maximum excluding annexes), executive summary (4-5 pages)	7 days	Within three weeks of the completion of the field mission 21 July to 15 August	Home- based	Evaluation team
Draft report submission	-	15 August		Evaluation team
Consolidated UNDP and stakeholder comments to the draft report	-	Within two weeks of submission of the draft evaluation report 29 August 2018	UNDP	Evaluation manager and evaluation reference group
Debriefing with UNDP	1 day	Within one week of receipt of comments 4 September 2018	Remotely UNDP	UNDP, evaluation reference group, stakeholder, and evaluation team
Finalization of the evaluation report incorporating additions and comments provided by project staff and UNDP country office	4 days	Within one week of final debriefing 11 September 2018	Home- based	Evaluation team
Submission of the final evaluation report to UNDP country office (50 pages maximum excluding executive summary and annexes)	-	Within one week of final debriefing 11 September 2018	Home- based	Evaluation team
Estimated total days for the evaluation	**35**			

This is an illustrative example and individual evaluations will have their own requirements based on the nature and complexity of outcomes or projects, budget available, size of the evaluation team and deadline for completion, sharing or inclusion in other processes. Complex and larger programme and project evaluations often require more than 30 days.

The evaluation scope, number of days and budgets must be realistic and balanced, otherwise it could jeopardize the credibility and hence the utility of the evaluation.

10. Application submission process and criteria for selection

As required by the programme unit.

11. TOR annexes

Annexes can be used to provide additional detail about evaluation background and requirements to facilitate the work of evaluators. Some examples include:

- **Intervention results framework and theory of change.** Provides more detailed information on the intervention being evaluated.
- **Key stakeholders and partners.** A list of key stakeholders and other individuals who should be consulted, together with an indication of their affiliation and relevance for the evaluation and their contact information. This annex can also suggest sites to be visited.
- **Documents to be consulted.** A list of important documents and web pages that the evaluators should read at the outset of the evaluation and before finalizing the evaluation design and inception report. This should be limited to the critical information that the evaluation team needs. Data sources and documents may include:
    - Relevant national strategy documents.
    - Strategic and other planning documents (e.g., programme and project documents).
    - Monitoring plans and indicators.
    - Partnership arrangements (e.g., agreements of cooperation with governments or partners).
    - Previous evaluations and assessments.
    - UNDP evaluation policy, UNEG norms and standards and other policy documents.

- **Evaluation matrix** (suggested as a deliverable to be included in the inception report). The evaluation matrix is a tool that evaluators create as a map and reference in planning and conducting an evaluation. It also serves as a useful tool for summarizing and visually presenting the evaluation design and methodology for discussions with stakeholders. It details evaluation questions that the evaluation will answer, data sources, data collection and analysis tools or methods appropriate for each data source, and the standard or measure by which each question will be evaluated. Table 5 provides a sample evaluation matrix template.

Table 5. Sample evaluation matrix

Relevant evaluation criteria	Key questions	Specific sub-questions	Data sources	Data collection methods/ tools	Indicators/ success standards	Methods for data analysis

- **Schedule of tasks, milestones, and deliverables.** Based on the time frame specified in the TOR, the evaluators present the detailed schedule.
- **Required format for the evaluation report.** The final report must include, but not necessarily be limited to, the elements outlined in the template for evaluation reports (see annex 4 below).
- **Dispute and wrongdoing resolution process and contact details** (annex 3)
- **Pledge of ethical conduct in evaluation.** UNDP programme units should request each member of the evaluation team to read carefully, understand and sign the 'Pledge of Ethical Conduct in Evaluation of the United Nations system'.[39]

[39] http://www.unevaluation.org/document/detail/2866#:~:text=The%20UNEG%20Ethical%20Guidelines%20for%20Evaluation%20were%20first%20published%20in%202008.&text=This%20document%20aims%20to%20support,day%20to%20day%20evaluation%20practice.

Annex 2. Summary of common data-collection methods/sources used in UNDP evaluations[40]

METHOD/SOURCE	DESCRIPTION	ADVANTAGES	CHALLENGES
UNDP monitoring systems	Uses performance indicators to measure progress, particularly actual results against expected results	▪ Can be a reliable, cost-efficient, objective method to assess progress of outputs and outcomes	▪ Dependent upon viable monitoring systems that have established baseline indicators and targets and have collected reliable data in relation to targets over time, as well as data relating to outcome indicators
Reports and documents	Existing documentation, including quantitative and descriptive information about the initiative, its outputs and outcomes, such as documentation from capacity development activities, donor reports and other evidentiary evidence	▪ Cost-efficient	▪ Documentary evidence can be difficult to code and analyse in response to questions ▪ Difficult to verify reliability and validity of data
Questionnaires	Provides a standardized approach to obtaining information on a wide range of topics from a large number or diversity of stakeholders (usually employing sampling techniques) to obtain information on their attitudes, beliefs, opinions, perceptions, level of satisfaction, etc. concerning the operations, inputs, outputs, and contextual factors of a UNDP initiative	▪ Good for gathering descriptive data on a wide range of topics quickly at relatively low cost ▪ Easy to analyse ▪ Gives anonymity to respondents	▪ Self-reporting may lead to biased reporting ▪ Data may provide a general picture but may lack depth ▪ May not provide adequate information on context ▪ Subject to sampling bias
Interviews	Solicit person-to-person responses to pre-determined questions designed to obtain in-depth information about a person's impressions or experiences, or to learn more	▪ Facilitates fuller coverage, range, and depth of information of a topic	▪ Can be time-consuming ▪ Can be difficult to analyse ▪ Can be costly

[40] Methods described are illustrative and not exhaustive of the types of methods applicable to the UNDP evaluation context.

	about their answers to questionnaires or surveys		▪ Potential for Interviewer to bias client's responses
On-site observation	Entails use of a detailed observation form to record accurate information on site about how a programme operates (ongoing activities, processes, discussions, social interactions, and observable results as directly observed, during the course of an initiative)	▪ Can see operations of a programme as they are occurring ▪ Can adapt to events as they occur	▪ Can be difficult to categorize or interpret observed behaviours ▪ Can be expensive ▪ Subject to (site) selection bias
Group interviews	A small group (six to eight people) is interviewed together to explore in-depth stakeholder opinions, similar or divergent points of view, or judgements about a development initiative or policy, to collect information around tangible and non-tangible changes resulting from an initiative	▪ Quick, reliable way to obtain common impressions from diverse stakeholders ▪ Efficient way to obtain a high degree of range and depth of information in a short time	▪ Can be hard to analyse responses ▪ Requires trained facilitator ▪ May be difficult to schedule
Key informants	Qualitative in-depth interviews, often one-on-one, with a wide range of stakeholders who have first-hand knowledge of the initiative's operations and context. These community experts can provide specific knowledge, and understanding of problems and recommend solutions	▪ Can provide insight on the nature of problems and give recommendations for solutions ▪ Can provide different perspectives on a single issue or on several issues	▪ Subject to sampling bias ▪ Must have some means to verify or corroborate information
Expert panels	A peer review, or reference group, composed of external experts to provide input on technical or other substance topics covered by the evaluation	▪ Adds credibility ▪ Can serve as added (expert) source of information that can provide greater depth ▪ Can verify or substantiate information and results in topic area	▪ Cost of consultancy and related expenses if any ▪ Must ensure impartiality and that there are no conflicts of interest

Case studies	Involves comprehensive examination through cross-comparison of cases to obtain in-depth information with the goal to fully understand the operational dynamics, activities, outputs, outcomes and interactions of a development project or programme	▪ Useful to fully explore factors that contribute to outputs and outcomes	▪ Requires considerable time and resources not usually available for commissioned evaluations ▪ Can be difficult to analyse
Remote/ virtual engagement	In times of crises, access challenges or other inconveniences remote/virtual tools could be feasible options such as Zoom, Skype, WhatsApp, telephone, and others. Additionally, new documentation could be anticipated, if applicable: GIS satellite images, social media analysis, or other big data information analysis.	▪ Can be cheap but costs for registration and different packages need to be considered ▪ Reduces travel costs ▪ Reduces the carbon footprints of individuals and organizations	▪ Requires a stable internet connection and access to technology (computers, mobile phones, internet, etc.) ▪ Requires specific IT, communication and facilitation skills ▪ Requires special experiences regarding data gathering, data analysis and data interpretation skills especially for new documentation as stated ▪ Meeting virtually is different than meeting in person (loss of certain communicational aspects in human psychology) ▪ Not possible to make observations or meet people coincidently or more informally. ▪ Certain groups and individuals may not have the opportunity to be involved ▪ More time for conducting an evaluation may need to be envisaged

Annex 3. UNDP Evaluation: complaints, dispute settlement and process for reporting wrongdoing

Complaints and dispute settlement

Should you or a member of the evaluation team have material concerns about the implementation of an evaluation or finalisation of an evaluation report, you are freely able to raise your concerns with the management within UNDP. You may submit your concerns anonymously at any stage of the evaluation process, including after an evaluation's completion, though UNDP encourages prompt reporting to ensure issues can be addressed in a timely manner.

For example, you may decide to alert UNDP management if:

- You feel unduly pressured to change the findings, conclusions or/and recommendations of an evaluation you have been contracted to undertake
- Payment for the evaluation is being withheld until it is adjusted to accommodate the requests of the evaluation commissioner (other than to address quality concerns in relation to the report)
- You have not been provided with information that you consider to be material to the evaluation report
- The scope or depth of the evaluation has been adversely affected because you have not been provided with adequate access to interview or make connections with stakeholders

Please raise any material concerns with the Deputy Director of the relevant Regional Bureau who will ensure a timely response, and act fairly to address your concerns and seek to settle any disputes. Please also include the Independent Evaluation Office, in your correspondence (evaluation.office@undp.org).

Reporting wrongdoing

UNDP takes all reports of alleged wrongdoing seriously. In accordance with the UNDP Legal Framework for Addressing Non-Compliance with UN Standards of Conduct, the Office of Audit and Investigation (OAI) is the principal channel to receive allegations.[41]

Anyone with information regarding fraud, waste, abuse or other wrongdoing against UNDP programmes or involving UNDP staff is strongly encouraged to report this information through the Investigations Hotline (+1-844-595-5206).

People reporting wrongdoing to the Investigations Hotline have the option to leave relevant contact information or to remain anonymous. However, allegations of workplace harassment and abuse of authority cannot be reported anonymously.

When reporting to the Investigations Hotline, people are encouraged to be as specific as possible, including the basic details of who, what, where, when and how any of these incidents occurred. Specific information will allow OAI to properly investigate the alleged wrongdoing.

The investigations hotline, managed by an independent service provider on behalf of UNDP to protect confidentiality, can be directly accessed worldwide and free of charge in different ways:

[41] https://www.undp.org/accountability/audit/investigations

ONLINE REFERRAL FORM *(You will be redirected to an independent third-party site.)*

PHONE - REVERSED CHARGES Click here for worldwide numbers (interpreters available 24 hours/day) Call +1-844-595-5206 in the USA

EMAIL directly to OAI at: reportmisconduct@undp.org

REGULAR MAIL
Deputy Director (Investigations)
Office of Audit and Investigations
United Nations Development Programme
One UN Plaza, DC1, 4th Floor
New York, NY 10017 USA

Annex 4. UNDP evaluation report template and quality standards

This **evaluation report template** is intended to serve as a guide for preparing meaningful, useful and credible evaluation reports that meet quality standards. It does not prescribe a definitive section-by-section format that all evaluation reports should follow. Rather, it suggests the areas of content that should be included in a quality evaluation report.

The evaluation report should be complete and logically organized. It should be written clearly and be understandable to the intended audience. In a country context, the report should be translated into local languages whenever possible. The report should include the following:

1. **Title and opening pages** should provide the following basic information:
   - Name of the evaluation intervention.
   - Time frame of the evaluation and date of the report.
   - Countries of the evaluation intervention.
   - Names and organizations of evaluators.
   - Name of the organization commissioning the evaluation.
   - Acknowledgements.

2. **Project and evaluation information details** to be included in all final versions of evaluation reports (non-GEF)[42] on second page (as one page):

Project/outcome Information		
Project/outcome title		
Atlas ID		
Corporate outcome and output		
Country		
Region		
Date project document signed		
Project dates	**Start**	**Planned end**
Total committed budget		
Project expenditure at the time of evaluation		
Funding source		
Implementing party[43]		

[42] GEF evaluations have their own project information template requirements.
[43] This is the entity that has overall responsibility for implementation of the project (award), effective use of resources and delivery of outputs in the signed project document and workplan.

Evaluation information		
Evaluation type (project/ outcome/thematic/country programme, etc.)		
Final/midterm review/ other		
Period under evaluation	**Start**	**End**
Evaluators		
Evaluator email address		
Evaluation dates	**Start**	**Completion**

3. **Table of contents,** including boxes, figures, tables, and annexes with page references.

4. **List of acronyms and abbreviations.**

5. **Executive summary (four/ five page maximum).** A stand-alone section of two to three pages that should:
   - Briefly describe the intervention of the evaluation (the project(s), programme(s), policies, or other intervention) that was evaluated.
   - Explain the purpose and objectives of the evaluation, including the audience for the evaluation and the intended uses.
   - Describe key aspects of the evaluation approach and methods.
   - Summarize principle findings, conclusions and recommendations.

6. **Introduction**
   - Explain why the evaluation was conducted (the purpose), why the intervention is being evaluated at this point in time, and why it addressed the questions it did.
   - Identify the primary audience or users of the evaluation, what they wanted to learn from the evaluation and why, and how they are expected to use the evaluation results.
   - Identify the intervention being evaluated (the project(s) programme(s) policies or other intervention).
   - Acquaint the reader with the structure and contents of the report and how the information contained in the report will meet the purposes of the evaluation and satisfy the information needs of the intended users.

7. **Description of the intervention** provides the basis for report users to understand the logic and assess the merits of the evaluation methodology and understand the applicability of the evaluation results. The description needs to provide sufficient detail for the report user to derive meaning from the evaluation. It should:
   - Describe **what is being evaluated**, **who seeks to benefit** and the **problem or issue** it seeks to address.
   - Explain the **expected results model or results framework**, **implementation strategies** and the key **assumptions** underlying the strategy / theory of change.
   - Link the intervention to **national priorities**, UNSDCF priorities, corporate multi-year funding frameworks or Strategic Plan goals, or other **programme or country-specific plans and goals.**

- Identify the **phase** in the implementation of the intervention and any **significant changes** (e.g., plans, strategies, logical frameworks, theory of change) that have occurred over time, and explain the implications of those changes for the evaluation.
- Identify and describe the **key partners** involved in the implementation and their roles.
- Include data and an analysis of **specific social groups** affected. Identify **relevant cross-cutting issues** addressed through the intervention, i.e., gender equality, human rights, vulnerable/ marginalized groups, leaving no one behind.
- Describe the **scale of the intervention**, such as the number of components (e.g., phases of a project) and the size of the target population (men and women) for each component.
- Indicate the **total resources**, including human resources and budgets.
- Describe the context of the **social, political, economic, and institutional factors**, and the **geographical landscape** within which the intervention operates, and explain the challenges and opportunities those factors present for its implementation and outcomes.
- Point out **design weaknesses** (e.g., intervention logic, theory of change) or other **implementation constraints** (e.g., resource limitations).

8. **Evaluation scope and objectives.** The report should provide a clear explanation of the evaluation's scope, primary objectives and main questions.
    - **Evaluation scope.** The report should define the parameters of the evaluation, for example, the time period, the segments of the target population and geographic area included, and which components, outputs or outcomes were or were not assessed.
    - **Evaluation objectives.** The report should spell out the types of decisions the evaluation will feed into, the issues to be considered in making those decisions and what the evaluation will need to achieve to contribute to those decisions.
    - **Evaluation criteria.** The report should define the evaluation criteria or performance standards used[44] and explain the rationale for selecting those particular criteria.
    - **Evaluation questions.** The report should detail the main evaluation questions addressed by the evaluation and explain how the answers to those questions address the information needs of users.

9. **Evaluation approach and methods.**[45] The evaluation report should describe in detail the selected methodological approaches, methods and analysis; the rationale for their selection; and how, within the time and money constraints, the approaches and methods employed yielded data that helped to answer the evaluation questions and achieved the evaluation purposes. **The report should specify how gender equality, disability, vulnerability and social inclusion were addressed in the methodology, including how data collection and analysis methods integrated gender considerations, use of disaggregated data and outreach to diverse stakeholder groups.** The description should help the report users judge the merits of the methods used in the evaluation and the credibility of the findings, conclusions and recommendations. The description of methodology should include discussion of each of the following:

    - **Evaluation approach.**
    - **Data sources:** the sources of information (documents reviewed and stakeholders met) as well as the rationale for their selection and how the information obtained addressed the evaluation questions.

[44] The evaluation criteria most commonly applied to UNDP evaluations are the OECD-DAC criteria of relevance, coherence, efficiency, effectiveness and sustainability.
[45] All aspects of the described methodology need to receive full treatment in the report. Some of the more detailed technical information may be contained in annexes to the report.

- **Sample and sampling frame.** If a sample was used, describe the sample size and characteristics, the sample selection criteria; the process for selecting the sample (e.g. random, purposive); if applicable, how comparison and treatment groups were assigned; and the extent to which the sample is representative of the entire target population, including discussion of the limitations of sample for generalizing results.
- **Data collection procedures and instruments:** methods or procedures used to collect data, including discussion of data-collection instruments (e.g., interview protocols), their appropriateness for the data source, and evidence of their reliability and validity, as well as gender-responsiveness.
- **Performance standards:**[46] the standard or measure that will be used to evaluate performance relative to the evaluation questions (e.g. national or regional indicators, rating scales).
- **Stakeholder participation:** who participated and how the level of involvement of men and women contributed to the credibility of the evaluation and the results.
- **Ethical considerations:** including the measures taken to protect the rights and confidentiality of informants (see UNEG 'Ethical Guidelines for Evaluators' for more information).[47]
- **Background information on evaluators:** the composition of the evaluation team, the background and skills of team members, and the appropriateness of the technical skill mix, gender balance and geographical representation for the evaluation.
- **Major limitations of the methodology** should be identified and openly discussed, as well as any steps taken to mitigate them.

10. **Data analysis.** The report should describe the procedures used to analyse the data collected to answer the evaluation questions. It should detail the various steps and stages of analysis that were carried out, including the steps to confirm the accuracy of data and the results for different stakeholder groups (men and women, different social groups, etc.). The report should also discuss the appropriateness of the analyses to the evaluation questions. Potential weaknesses in the data analysis and gaps or limitations of the data should be discussed, including their possible influence on the way findings may be interpreted and conclusions drawn.

11. **Findings** should be presented as statements of fact that are based on analysis of the data. They should be structured around the evaluation questions so that report users can readily make the connection between what was asked and what was found. Variances between planned and actual results should be explained, as well as factors affecting the achievement of intended results. Assumptions or risks in the project or programme design that subsequently affected implementation should be discussed. Findings should reflect gender equality and women's empowerment, disability and other cross-cutting issues, as well as possible unanticipated effects.

12. **Conclusions** should be comprehensive and balanced and highlight the strengths, weaknesses and outcomes of the intervention. They should be well substantiated by the evidence and logically connected to evaluation findings. They should respond to key evaluation questions and provide insights into the identification of and/or solutions to important problems or issues pertinent to the decision-making of intended users, including issues in relation to gender equality and women's empowerment as well as to disability and other cross-cutting issues.

[46] A summary matrix displaying, for each of the evaluation questions, the data sources, data collection tools or methods and the standard or measure by which each question was evaluated. This is a good illustrative tool to simplify the logic of the methodology for the report reader.
[47] UNEG, 2020, Ethical Guidelines for Evaluation: http://www.unevaluation.org/document/detail/2866

13. **Recommendations.** The report should provide a reasonable number of practical, actionable and feasible recommendations directed to the intended users of the report about what actions to take or decisions to make. The recommendations should be specifically supported by the evidence and linked to the findings and conclusions around key questions addressed by the evaluation. They should address sustainability of the initiative and comment on the adequacy of the project exit strategy, if applicable. Recommendations should also provide specific advice for future or similar projects or programming. Recommendations should address any gender equality and women's empowerment issues and priorities for action to improve these aspects. Recommendations regarding disability and other cross-cutting issues also need to be addressed.

14. **Lessons learned.** As appropriate and/or if requested in the TOR, the report should include discussion of lessons learned from the evaluation, that is, new knowledge gained from the particular circumstance (intervention, context, outcomes, even evaluation methods) that are applicable to a similar context. Lessons should be concise and based on specific evidence presented in the report. Gender equality and women's empowerment, disability and other cross-cutting issues should also be considered.

15. **Report annexes.** Suggested annexes should include the following to provide the report user with supplemental background and methodological details that enhance the credibility of the report:
    - TOR for the evaluation.
    - Additional methodology-related documentation, such as the evaluation matrix and data-collection instruments (questionnaires, interview guides, observation protocols, etc.) as appropriate.
    - List of individuals or groups interviewed or consulted, and sites visited. This can be omitted in the interest of confidentiality if agreed by the evaluation team and UNDP.
    - List of supporting documents reviewed.
    - Project or programme results model or results framework.
    - Summary tables of findings, such as tables displaying progress towards outputs, targets, and goals relative to established indicators.
    - Pledge of ethical conduct in evaluation signed by evaluators.

Annex 5. Management response template

UNDP management response template
[Name of the Evaluation] Date:

Prepared by: Position:
Unit/Bureau:
Cleared by: Position:
Unit/Bureau:
Input into and update in ERC: Position:
Unit/Bureau:

Evaluation recommendation 1.				
Management response:				
Key action(s)	**Completion date**	**Responsible unit(s)**	**Tracking***	
			Comments	**Status (initiated, completed or no due date)**
1.1				
1.2				
1.3				
Evaluation recommendation 2.				
Management response:				
Key action(s)	**Completion date**	**Responsible unit(s)**	**Tracking**	
			Comments	**Status (initiated, completed or no due date)**
2.1				
2.2				
2.3				
Evaluation recommendation 3.				
Management response:				
Key action(s)	**Completion date**	**Responsible unit(s)**	**Tracking**	
			Comments	**Status (initiated, completed or no due date)**
3.1				
3.2				
3.3				

* Status of implementation is tracked electronically in the ERC database.