

TERMS OF REFERENCE

BACKGROUND AND RATIONALE

The past two decades have seen the emergence, outside the established framework for multi-lateral aid, of an increasing number of funding instruments aimed at providing support to specific thematic or sectoral development challenges. On the one hand, philanthropic foundations have been set up by individuals and corporations with a view to tackling issues of particular concern, including health or education. On the other hand, acute development challenges, such as HIV/AIDS and environmental degradation, have brought together groups of donors—comprising governments, civil society and the private sector—that have established global funds with independent governance and management structures. In many cases, an underlying motivation of donors to make development financing available through global funds or philanthropic foundations has been disillusionment with the effectiveness, efficiency and timeliness of existing multilateral arrangements embodied by the United Nations and multilateral development banks. Donors have also sought to experiment with new approaches with a view to strengthening development effectiveness through a broader and more flexible range of funding instruments.

UNDP has established partnerships with a number of global funds and philanthropic foundations, at the global level as well as at the level of individual programme countries, prompted, in part, by changes in the aid architecture and dwindling core resources. Included among such partners are, for instance:

Table A1-1. Established UNDP partnerships

Global funds	Philanthropic foundations
Global Alliance for Vaccines and Immunization (GAVI)	Mohammed bin Rashid Al Makhtoum Foundation
Global Environment Facility (GEF)	Bill and Melinda Gates Foundation
Global Fund to Fight AIDS, Tuberculosis and Malaria (GFATM)	Open Society Institute
Multilateral Fund for the Implementation of the Montreal Protocol (MLF)	Rockefeller Foundation
Special Climate Change Fund	Zayed Bin Sultan Al Nahayan Charitable and Humanitarian Foundation

In partnering with such global funds and foundations, UNDP has sought to leverage its comparative advantage in supporting programme countries in accessing financial resources and in delivering related programmes and projects. Different partnership dynamics have resulted in a range of institutional arrangements at the corporate level. At the same time, UNDP has sought to adapt its partnerships to different country contexts where it has varyingly played the role of principal recipient, implementing agency, interlocutor, facilitator and adviser.

This evaluation exercise was approved as part of the programme of work of the UNDP Evaluation Office at the September 2008 session of the Executive Board.⁷⁶

⁷⁶ UNDP Executive Board, 'Decisions adopted by the Executive Board in 2008', DP/2009/2, New York, 8 October 2008.

PURPOSE

The purpose of the evaluation is to facilitate the Executive Board's review of UNDP partnership with global funds and philanthropic foundations over the past decade, and to provide strategic inputs into its deliberations on partnership with such funds and foundations in support of UNDP's work programme.

The evaluation will also provide UNDP management with conclusions and recommendations that are expected to assist in identifying strategies and operational approaches pertaining to UNDP partnership with global funds and philanthropic foundations, in coordination with other development partners.

OBJECTIVES

The primary objectives of the evaluation are to:

- Assess the relevance, effectiveness, efficiency and sustainability of UNDP support to the achievement of development results in partnership with global funds and philanthropic foundations;
- Clarify the added value of UNDP partnership with global funds and philanthropic foundations, and its comparative advantage in partnering with such funding instruments;
- Provide actionable recommendations with respect to UNDP partnership with global funds and philanthropic foundations.

SCOPE AND PRELIMINARY EVALUATION QUESTIONS

The evaluation will cover the period from 2001 to 2010. It will provide a broad perspective on how partnership between UNDP and a range of funding instruments, including global funds and philanthropic foundations, but also multi-donor trust funds, thematic trust funds and other possible instruments, has evolved. Against this

background, the evaluation will focus on UNDP partnership with global funds and philanthropic foundations.

A number of partnerships will be selected and reviewed in some detail—including cooperation at the policy and operational levels, at headquarters and in programme countries. A total of five or six partnerships will be selected as case studies, two or three from each of the two types of funding instruments (e.g. partnership with GFATM and the MLF would be reviewed more closely in the global fund category; and partnership with the Gates Foundation, Open Society Foundations and Al Maktoum Foundation would be analyzed in more detail in the philanthropic foundation category).

The evaluation will also assess how, from the perspective of selected programme countries, UNDP has partnered with a range of available funding instruments, and the particular roles it has played. Up to eight illustrative country case studies will be conducted in programme countries that will be selected to ensure broad coverage of all case studies on specific partnerships (see above), but also to reflect different levels of human development and experiences in different UNDP regions, with a particular focus on Africa.

The final selection of case studies will be specified in the Inception Report. The selection criteria will take into account the scope of UNDP cooperation with different partners, relevance to UNDP's work programme and the extent to which particular partnerships have already been evaluated by the Evaluation Office. For example, several recent evaluations on the subject of environment have also looked at UNDP partnership with GEF. As such, GEF is less likely to be included as a case study.

The evaluation will assess UNDP partnership with global funds and philanthropic foundations based on the following criteria:

- **Relevance and strategic positioning:** The evaluation will seek to draw conclusions as

to how UNDP has positioned itself vis-à-vis global funds and philanthropic foundations to maximize its relevance and leverage in providing support to programme countries;

- Effectiveness: The evaluation will assess UNDP's contribution to development results at the outcome level through its cooperation with global funds and philanthropic foundations. Issues regarding UNDP's outcome-orientation in partnering with such financing instruments will be reviewed, along with potential opportunity costs of such partnerships;
- Efficiency: The evaluation will assess partnership modalities, both at the broader corporate level, as well as in the context of specific countries, with a particular focus on timeless and resource utilization. UNDP internal arrangements in managing partnerships with global funds and philanthropic foundations will also be reviewed; and
- Sustainability: The sustainability of UNDP programmes is of central importance to the achievement of development outcomes and longer-term impacts. The evaluation will assess the extent to which concerns for sustainability have shaped UNDP partnership with global funds and philanthropic foundations.

In addition, the evaluation will assess the extent to which UNDP partnership with global funds and philanthropic foundations has promoted human development principles, and in particular gender equality.

The evaluation of UNDP partnership with global funds and philanthropic foundations will be guided by the following preliminary evaluation questions:

- How relevant and strategic has UNDP partnership been with global funds and philanthropic foundations at the global, regional and country levels?

- To what extent has UNDP partnership with global funds and philanthropic foundations affected their policy and programmatic orientation and/or delivery modalities?
- To what extent has UNDP partnership with global funds and philanthropic foundations affected its own programmatic orientation and delivery modalities at the country level, as well as broader corporate-level policy and programme priorities, especially with respect to relevant sectors and thematic areas?
- To what extent does UNDP partnership with global funds and philanthropic foundations at the country level provide additionality in terms of activities, resources and innovative or effective approaches, both in cases where UNDP already had a related track record as well as in cases where the partnership opened up an entirely new business area for UNDP?
- What comparative advantages does UNDP have in partnering with global funds and philanthropic foundations? To what extent to specific partnerships in fact build on such comparative advantages?
- How effective has UNDP been in supporting the achievement of sustainable development results in partnership with global funds and philanthropic foundations?
- How does UNDP's horizontal structure lend itself to the delivery of vertically-oriented (i.e. theme or sector-oriented) funds and foundations? How efficient has UNDP been in implementing programmes and projects in partnership with such funds and foundations?
- How do the governance structures of global funds and philanthropic foundations affect partnership with UNDP, and what are the implications for transparency and accountability?
- How efficient has UNDP's programmatic management and oversight been of its partnership with global funds and philanthropic foundations?

APPROACH

The evaluation will seek to obtain data from a range of sources, including through desk reviews and document analyses, surveys and questionnaires, as well as stakeholder consultations, interviews and focus groups at UNDP headquarters and in a range of programme countries, and other relevant institutions or locations. The rationale for using a range of data sources (data, perceptions, evidence) is to triangulate findings in a situation where much of the data, due to the very nature of UNDP partnerships, is qualitative, and its interpretation is thus critically dependent on the evaluators' judgment. Triangulation provides an important tool in shoring up evidence by using different data sources to inform the analysis of specific issues.

Where possible and appropriate, the evaluation should seek to obtain evidence as to what may or may not have occurred in the absence of UNDP partnership with global funds and philanthropic foundations. Some programme countries may not have benefited from UNDP partnership with such funding instruments for a range of reasons. They may thus serve to provide insights into the relative value added of UNDP partnership with global funds and philanthropic foundations.

PORTFOLIO SCAN AND HISTORICAL REVIEW

In launching the evaluation, an important, initial exercise will be to conduct a scan of the universe of partnerships with global funds and philanthropic foundations. This scan will assist in (i) determining the availability of data on which to base the evaluation, (ii) obtaining a better understanding of the overall profile of different partnerships, as well as trends over the past decade, (iii) developing operational categories for the evaluation, and (iv) defining a sampling methodology for case studies. This scan will be supplemented by a meta-analysis of all Evaluation Office Assessments of Development Results (ADRs) and, where appropriate, outcome evaluations.

As part of the evaluation, an historical review will be conducted of UNDP partnership with different funding instruments, including a range of global funds and philanthropic foundations. It will also look at UNDP partnership with bilateral donors in, for example, establishing thematic trust funds and multi-donor trust funds, as well as related cooperation with United Nations and other multilateral partners. This review will be primarily desk-based and draw on existing literature, evaluations and interviews with key individuals.

CASE STUDY APPROACH

The scope of the evaluation will not permit the selection of a sufficiently large number of case studies that could be considered a representative sample of partnerships. Therefore, based on the portfolio scan (see above), a number of working hypotheses will be developed pertaining to the nature of UNDP partnership with global funds and philanthropic foundations, taking into account a range of country scenarios or types, including, e.g. least developed countries, middle-income countries, conflict or disaster-affected countries. Based on these working hypotheses and coverage of country types, criteria will be developed to select two sets of case studies:

- Up to six partnership case studies will be conducted, whereby two to three partnerships will be looked at in more detail under each of the two types of funding instruments (e.g. GFATM and the MLF would be reviewed more closely in the global fund category; partnership with the Gates Foundation, Open Society Foundations and Al Makhtoum Foundation would be analyzed more thoroughly in the philanthropic foundation category).
- Up to eight illustrative country case studies will be conducted in programme countries to assess how UNDP has partnered with global funds, philanthropic foundations and other non-core funding instruments, as appropriate. Countries will be selected to

ensure broad coverage of all case studies on specific partnerships (see above), but also to reflect different levels of human development and experiences in different UNDP regions, with a particular focus on Africa.

The case study approach will comprise the following elements:

- Stakeholder analysis. An important initial exercise will be the conduct of stakeholder analyses in order to identify, inter alia, the institutional entities and individuals involved in planning, management and implementation of partnerships and related activities at the global, regional and country levels; and the primary target groups of different partnerships.
- Documentation reviews. Due to the range and scope of UNDP partnerships with global funds and philanthropic foundations, a large number of documents and reports (published and unpublished) may be collected. Some may be the subject of only a general review while others will be subjected to detailed review. Some of the key sources of information will comprise (i) programme and project documents and results frameworks, monitoring and financial reports, evaluations, as well as key project outputs, (ii) policy or strategy documents relating to specific partnerships, and (iii) documentation relating to the nature of selected funding instruments' partnership with other organizations—multilateral, bilateral, academic, non-governmental organizations, etc.
- Consultations and interviews. The main source of information will be through structured or semi-structured interviews and consultations at UNDP, global fund and philanthropic foundation headquarters and UNDP country offices. The results of these consultations and interviews are to be documented, for internal team analysis. In some cases, focus group discussions may be held to capture the dynamic of information sharing and debate, and to enrich the findings. In other cases,

interviews will be carried out by telephone or tele/video conference.

- Targeted surveys. Surveys can play an important role in validating information. As the 'stakeholder community' of UNDP partnership with global funds and philanthropic foundations is large and widespread, a series of surveys may be administered in order to collect additional information and perceptions.

STAKEHOLDER CONSULTATION

Stakeholders will be consulted during different phases of the evaluation in order to (i) ensure an adequate understanding of the nature of UNDP partnership with global funds and philanthropic foundations, as well as in different countries and circumstances; (ii) validate the overall evaluation approach; (iii) ensure that the evaluation report is factually correct and contains no errors of interpretation; and (iv) facilitate the formulation of conclusions and recommendations that are relevant and utilization-focused.

EVALUABILITY

The evaluation builds heavily on the conduct of background research to provide the lay of the land. This poses challenges because: (i) the funds and foundations are very different in nature and scope, and some are very large and others very small; and (ii) availability of up-front evaluative data is mixed in so far as some funds and foundations have large amounts of relevant data available while others have very little.

With five to six partnership-based case studies, suitable illustrative coverage through up to eight country case studies could be problematic, with a risk that the final product will lack sufficient evaluative rigour, affecting both internal and external validity. In developing the evaluation methodology, measures should be taken to minimize this risk, and should be specifically addressed in the Inception Report.

EXPECTED OUTPUTS AND TIME-FRAME

PRELIMINARY OUTPUTS

- A background scan of relevant partnerships, incorporating data from various sources, including ADRs;
- An Inception Report for the overall evaluation;
- An historical review of UNDP partnership with funding instruments, to be included as a chapter in the evaluation report;
- A case study report for each selected partnership and programme country, based on an agreed format;
- A comprehensive, thematic evaluation report covering the principle issues outlined in these terms of reference and further elaborated in the Inception Report, including an executive summary that highlights findings, recommendations and lessons learned. The format and presentation of the report will be based on prior Evaluation Office practice and should adhere to relevant Evaluation Office and UNDP editorial guidelines;
- PowerPoint presentations for senior managers, the Executive Board and other stakeholders to be used during stakeholder feedback sessions as necessary;
- A methodology brief to facilitate the learning of lessons from the evaluation process.

MANAGEMENT ARRANGEMENTS

In keeping with its basic mandate, the Evaluation Office will have overall responsibility for the content and production of the evaluation report and its presentation to the Executive Board. The Evaluation Office will manage the evaluation process, put in place a quality assurance system, provide administrative and substantive backstopping support, and ensure the coordination and liaison with concerned agencies at headquarters as well as the country level. It will also ensure that evaluations are conducted in accordance

with the Code of Conduct for Evaluation in the UN System, as approved by the members of the United Nations Evaluation Group on 19 July 2007.

OPERATIONAL AND TECHNICAL SUPPORT

A Task Manager will be designated by the Evaluation Office to provide administrative and substantive technical support to the evaluation team and will work closely with the evaluation Team Leader throughout. The Task Manager may also get involved in specific evaluative tasks. An Evaluation Office Programme Associate will be assigned to provide logistical support, including in the handling contracts and facilitating travel.

A substantive focal point will be nominated in each UNDP programme unit responsible for liaising with selected global funds and philanthropic foundations, and in each UNDP country office where a case study will be conducted. That person will, in close collaboration with the Task Manager, coordinate and organize meetings and all activities of the evaluation within the country. Where appropriate, other relevant UNDP bureaux will nominate a focal point who will provide support in coordinating queries and facilitating the collection of information.

QUALITY ASSURANCE

An external Advisory Panel, comprising at least three senior experts with experience in aid management, evaluation and organizational partnership, will be established to advise the Director of the Evaluation Office on the evaluation's scope, methodology, findings, conclusions and recommendations.

A reference group of headquarters-based peers from UNDP and other entities will be constituted to provide periodic comments on the evaluation's scope, methodology, findings, conclusions and recommendations.

In addition to the Evaluation Office Director and Deputy Director, who will provide oversight and

guidance in the design and conduct of the evaluation, two Evaluation Office evaluators will be appointed to provide quality support.

THE EVALUATION TEAM

The evaluation team will consist of externally recruited, independent consultants with extensive experience in their fields. The evaluation team will comprise a Team Leader, several evaluation specialists, one to two regional or national consultants per country case study, and a research consultant.

- The Team Leader will play a lead role during all phases of the evaluation and coordinate the work of all other team members. S/he will ensure the quality of the evaluation process, outputs, methodology and timely delivery of all products. The Team Leader, in close collaboration with the other evaluation team members, leads the inception workshop including the conceptualization and design of the evaluation, has primary responsibility for the case studies on specific global funds and philanthropic foundations, and has primary responsibility for shaping the findings, conclusions, and recommendations of the report.
- A senior expert with extensive knowledge of UNDP partnership with global funds, philanthropic foundations and other funding instruments will conduct an historical review of such partnerships, to be included as a chapter in the main evaluation report. S/he will also advise and support the Team Leader in the conduct of partnership case studies and in drafting the overall evaluation report.
- One or two evaluation specialists with relevant background and expertise will participate in the inception workshop (to the extent possible), contribute to designing the evaluation, and will provide inputs into the inception report. They will lead one or more country case studies and be responsible for the preparation of country case study reports, based on a standardized approach and format. They may also support the conduct of one or more partnership case studies. Each evaluation specialist will, under the overall supervision of the Team Leader, contribute to the preparation of the final report as necessary.
- One to two regional or national consultants will be recruited per case study country and, working closely with the country office focal point in consultation with the Task Manager and Team Leader, be responsible for the collection of all relevant data and preparation of the case study mission. The national consultant will contribute substantively to the work of the evaluation specialist, providing substantive advice and context in the preparation of the county case studies. Under the supervision of the evaluation specialist, the national consultant will participate in the preparation of the country case study report.
- A research consultant will be recruited to work in the Evaluation Office to support the Task Manager and Team Leader with background research and analysis as necessary to support the work of the evaluation team.