**TERMS OF REFERENCE**

**Service-Provider (Research Institute/Team) to Conduct the Mid-Term Review of the   
UN Development Assistance Framework (UNDAF) 2013-2017**

**1.    Background**

*The Sri Lanka UNDAF*

The United Nations Development Assistance Framework (UNDAF) is the strategic programme framework that describes the collective response of the UN system to national development priorities. The UNDAF provides the overarching framework for the work of the United Nations in Sri Lanka and was designed in 2012 to be in line with the national priorities of the then Government’s policy document Mahinda Chinthana, the Millennium Declaration and the Framework of the Millennium Development Goals. The UNDAF is reviewed annually to assess key achievements for the year and contributions of each UN agency against each outcome detailed in the document.

The year 2013 marked the first year of the new UNDAF 2013-2017 cycle. While the UN’s development interventions have focused to a large extent on securing sustainable recovery in the former conflict affected areas, there have also been significant achievements in other parts of the country and at the national policy level.

The current UNDAF for the UN system in Sri Lanka[[1]](#footnote-1) for the period 2013-2017 has four outcomes:

* Outcome 1: An enabled environment for equal opportunities to sustainable livelihoods, decent work and employability;
* Outcome 2: Strengthened provision of, access to and demand for equitable and quality social services delivery and enhanced capacity of national institutions for evidence-based policy development;
* Outcome 3: Communities empowered and institutions strengthened to support local governance, access to justice, social integration, gender equality, and monitoring, promotion and protection of human rights in alignment with international treaties and obligations and in alignment to the Constitution of Sri Lanka; and
* Outcome 4: Policies, programmes and capacities to ensure environmental sustainability, address climate change mitigation and adaptation and reduce disaster risks, in place at national, sub-national and community levels

*Development Context - Local*

Sri Lanka became a member state of the United Nations in 1955. In the first two decades since independence (1948), Sri Lanka enjoyed a period of relative calm with rather peaceful socio-political processes, despite episodes of protest of short duration ending up in violence. The war that prevailed in the northern and eastern parts of Sri Lanka since the mid-1980s, with impacts on other regions as well has been one of the most important background factors affecting economic, social and political change in Sri Lanka during that period as well as the subsequent era. Since the end of war in May 2009, the Government of Sri Lanka has prioritised economic development with a strong focus on infrastructure development, particularly in the North and East. There are however residual humanitarian needs on the ground in the conflict affected regions as well as significant gaps with regard to addressing economic and social well -being of the people, human rights and restoration of law and order in the areas. Effectively addressing these gaps is likely to contribute positively to the realisation of post-war reconciliation and long-term sustainable peace.

In January 2015, Sri Lanka saw a dramatic turn of events in its political history with the election of a new President, Maithripala Sirisena replacing the nine-year rule of Mahinda Rajapaksa. The new President has formed an interim National Government with representation cutting across the majority of the political parties. The President is committed to a 100 day programme, which serves as the guiding framework for the coalition partners of the interim national government, and prioritises four bills (a) abolition of the executive presidency and repealing the 18 amendment (b) introducing the bribery commission bill (c) establishing the Right to Information which it to be made a fundamental right and (d) introducing the national audit bill. The 100 day programme is to be followed by parliamentary elections in June, following which it is expected that additional issues including accountability, human rights and reconciliation will be addressed in depth.

*Development Context – International*

September 2015 marks the end date for the MDGs. The UN Summit at the General Assembly in September, is expected to see world leaders agree upon the new development agenda for the post-2015 era.

In December 2014 the UN Secretary General published a report that synthesized the full range of inputs available on the post-2015 development agenda, as an input to the intergovernmental negotiations. The report proposes one universal and transformative agenda for sustainable development, underpinned by rights, and with people and the planet at the centre. An integrated set of six essential elements is provided to help frame and reinforce the sustainable development agenda and ensure that the ambition and vision expressed by Member States communicates and is delivered at the country level:

(a) dignity: to end poverty and fight inequality;

(b) people: to ensure healthy lives, knowledge and the inclusion of women and children; (c) prosperity: to grow a strong, inclusive and transformative economy;

(d) planet: to protect our ecosystems for all societies and our children;

(e) justice: to promote safe and peaceful societies and strong institutions; and

(f) partnership: to catalyse global solidarity for sustainable development.

Contributing to the six elements, are the 17 proposed Sustainable Development Goals (SDGs) and 169 Indicators put forward by an open working group of the General Assembly. The SG’s report did not alter these, and they have subsequently been put forward in their original form to be deliberated during the inter-governmental negotiations. (For details on the 17 goals and the corresponding 169 indicators - <https://sustainabledevelopment.un.org/sdgsproposal>).

While the international community deliberates on the new development agenda, the United Nations system is also working towards ensuring that it is “Ffit for Purpose” to deliver on the post-2015 sustainable development agenda. By being ‘Fit for Purpose’, it must be relevant, innovative, agile, inclusive, coordinated and results-oriented. It must be guided by universal human rights and international norms, integrate the United Nations normative frameworks with its operational activities and be responsive to the differentiated needs of countries. It must provide specialized advice when requested, and be equally adept at ensuring an integrated approach, working across disciplines with relevant skill sets to better support Member States in addressing complex multi-sectoral challenges. The system must forge effective partnerships to leverage the expertise, capacities and resources of external partners. (further information can be accessed through <http://post2015.unssc.org/>)

**2. Purpose of the UNDAF MTR**

The overall purpose of the UNDAF MTR is to assess relevance in light of the many changes in the local and international context.

The first stage of the MTR is therefore to conduct a review of current context, taking into account both changes locally and those at a global level linked to the emerging agenda for the post-2015 era in terms of the Sustainable Development Goals and the UN ‘Fit For Purpose’ agenda. The second stage will assess the relevance of the UNDAF to the current context, taking into account the emerging national and global development priorities. The final stage will be the forward looking recommendations, including any proposed adjustments to the UNDAF design and architecture.

The MTR will be conducted in close partnership with the Government and other national counterparts and will serve as a major input for the remainder of the UNDAF cycle, providing the UNCT with tangible evidence on the progress made and the gaps that exist.

**3. Scope of work**

**3.1 Substantive components of the MTR**

The Mid-Term review will comprise three parts.

1. Context Analysis: Taking into account the rapidly changing national context and development priorities as well as the emerging sustainable development agenda and the SDGs. (approximately 10-15 pages)
2. Relevance of the current UNDAF towards emerging national and global development priorities (approximately 10-15 pages)
   * What have been the major achievements and lessons learnt since the UNDAF commenced in 2013?
   * Identify UN contributions, gaps and/or opportunities for further progress, to the country’s development priorities as identified in the UNDAF results and indicators framework.
   * Is the current UN assistance (UNDAF 2013-2017) still relevant to the national priorities, and emerging global development agenda?
   * Has the UN recognized and effectively responded to urgent and emerging priorities which were not originally in the UNDAF?
   * How can we ensure complementarity of the Ex-Com CPAPs with the UNDAF and GoE programmes?
   * 3. Forward looking recommendations for adjustments to UNDAF design and architecture Identify entry points to increase UN relevance to deliver on the national priorities and new global sustainable development agenda;
   * To what extent is the design of the UNDAF and its coordination architecture relevant to the rapidly evolving international and national development context? Are revisions required to ensure that the UN in Sri Lanka is “ Fit for Purpose”.

**3.2 Suggested methodology for preparing the MTR**

The UN Resident Coordinator’s Office will oversee the UNDAF MTR, in close collaboration with the UN Country Team, UNDAF M&E Group and national counterparts.

In preparing the report, the Service Provider is expected to draw upon all available material to conduct the analysis. The context analysis should include for example, but not be limited to, a review of key Government documents, and the World Bank’s recent Systematic Country Diagnostic (SCC).

The Service Provider is not expected to collect primary data through a formalised survey, although they will need to hold consultations (KIs and/or FDGs) with key stakeholders and partners, including UN colleagues, Government counterparts, development partners and civil society representatives.

The Service Provider will be supported by one UN colleague or international consultant with experience working in similar development contexts, i.e. especially in MIC countries, with a recent history of conflict/war and with a strong commitment towards strengthening democratic governance and rule of law. The international colleague will also be able to bring access to the latest information from UN HQ in terms of the emerging direction of the post-2015 development agenda, and ‘Fit for Purpose’ reforms. Tentative plans are for the international colleague to provide a combination of both remote (i.e. from outside Sri Lanka) and in-country support, with the in-country support ideally taking place during Phase 2.

**4. Deliverables**

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| --- | --- | --- | --- |
| **PHASE** | **CONTENT** | **DELIVERABLES** | **ESTIMATED TIMEFRAME** |
| PHASE 1 | 1.    Discussions with UN Country Team and key Government counterparts (i.e. the National Planning Department and External Resources Department)  2.    Desk review of reference documentation and secondary data sources.  3.    Based on 1 and 2, develop an inception report that includes an overview of findings so far, together with a proposed methodology for collection of additional information | ·    INCEPTION REPORT | 03 weeks  September 2015 |
| PHASE 2 | 1. Consultations with key stakeholders at all levels 2. Field visits (as required) 3. Working meetings with UN colleagues as required | ·     PRESENTATION OF INITIAL FINDINGS | 5 weeks  October 2015 |
| PHASE 3 | 1.    Prepare and submit first draft report to UN Resident Coordinator’s Office  2.    Based on feedback received from the UN via the RCO. Prepare and submit second draft report for review by UNCT and Government.  3.    Based on feedback received from UNCT and Government, Finalise Report | ·    1st DRAFT REPORT  ·    2nd DRAFT REPORT  ·    FINAL REPORT | 4 weeks  December 2015 |

**5. Implementation arrangements and provision of monitoring and progress controls**

The principal responsibility for overseeing the MTR lies with the RCO.

Administratively, the RCO is supported by UNDP and therefore UNDP will contract the Service-Provider.

**6. Selection of Service-Provider**

Selection will be based on an open and competitive bidding process. Interested applicants with the capacity to execute the scope of work described above should submit a detailed and realistic proposal **including methodology and work plan** along with **rationale** as to why it would be the best way to carry out the scope of work.  The information provided in the scope of work is not prescriptive and the UN remains open to interested bidders elaborating and presenting what they consider to be the most appropriate methodological approach and work plan to achieving the desired end results. However, the decision as to the final methodology to be followed in the Report will rest with the UN.

The consultancy is scheduled to begin in mid-July 2015

**7. Required qualifications of Service-Provider**

The research institute/team should comprise of national experts with high levels of technical, sectoral and policy expertise; rigorous research and drafting skills; and the capacity to conduct an independent and quality analysis. Specific requirements:

*Analytical/theoretical capability*

* + Excellent understanding of the local context, and in particular the new and emerging policy directions;
  + A deep understanding of development, its drivers and trends in Sri Lanka;
  + A sound understanding of the United Nations system and its modalities of working;
  + Familiarity with the global development agenda in terms of the MDGs, and the emerging post-2015 development agenda;
  + Prior experience conducting strategic policy reviews etc.; and
  + Proven ability to produce reports and high quality academic publications in English.

*Technical expertise*

•        Demonstrated ability to undertake similar assignments with adequate human resources.  The research team should bring extensive experience in research and policy analysis, with the lead researcher(s) having a PhD in a relevant field and bringing at least 10 years work experience.  Research Assistants should have an academic degree in a relevant field and experience;

•        Comprehensive background in research and strategic analysis;

* High degree of professionalism and able to adhere to agreed timelines and deliverables;

•        Good ICT infrastructure and support; and

•        Extensive operational contacts with government institutions, development partners and civil society partners.

**8). Technical evaluation criteria**

Overall technical evaluation criteria:

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| --- | --- | --- |
| **Summary of Technical Proposal** | **Total Points** |  |
|  |
| Section1: Expertise of organisation | 250 |  |
| Section 2: Proposed methodology, work plan and approach(es) | 200 |  |
| Section 3: Resource team/panel capacity | 250 |  |
| **Total** | **700** |  |

Details of evaluation criteria and marking scheme:

Section 1: Competence/expertise of the organisation:

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| --- | --- | --- |
| No | Criteria | Points |
| 1.1 | Previous experience in undertaking research and strategic analysis across multiple development sectors | 150 |
| 1.2 | Quality of relevant sample materials related to development submitted, such as research studies, evaluations, policy briefs, etc. | 50 |
| 1.3 | Previous clients and partners | 50 |

Section 2: Proposed methodology, work plan and approach(es)

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| --- | --- | --- |
| No | Criteria | Points |
| 2.1 | Methodology and approach | 100 |
| 2.2 | Realistic work plan | 50 |
| 2.3 | Defined tasks to carry out the scope of works and relevance to the Terms of Reference | 50 |

Section 3: Resource team/panel capacity

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| --- | --- | --- |
| No | Criteria | Points |
| 3.1 | Previous experience of resource panel | 100 |
| 3.2 | Sufficient human resources, with cross-sectoral composition, to undertake scope of work and deliverables | 100 |
| 3.3 | Relevant qualifications | 50 |

**Annex 5**

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Company Name: |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **1.** Contents of the Financial Proposal  The financial proposal should satisfy the following:  The calculation of fees should indicate the Total Cost for an ***“all-inclusive”*** cost in Sri Lanka Rupees (LKR) for the following breakdowns, as per the TOR:   |  |  | | --- | --- | | Cost Item | Item Cost (LKR) | | 1). Cost for Phase 1 |  | | 2). Cost for Phase 2 |  | | 3). Cost for Phase 3 |  | | **Grant Total** – ***“All Inclusive”(***Sri Lanka Rupees) |  |   b) Any and all incidental Out of Pocket Expenses (OPE) must be included in the overall “all-inclusive” fees submitted to the UNDP.  c) The fees proposed must be a total “fixed price” quotation indicating the overall total amount in Sri Lanka Rupees.  The total fees as quoted by your firm to UNDP for the purpose of the present RFP shall be firm and final.  d) All prices quoted must be exclusive of all taxes, since the UNDP is exempt from taxes as detailed in clause 18 of the General Conditions of Contract (Annexure III).  e) No amount other than the proposed total “all inclusive price” fees shall be paid by UNDP for the provision of the **UNDAF Mid Term Review** which is the subject of the present RFP.  f) The costs of preparing a proposal and of negotiating a contract are not reimbursable by UNDP. | | | | | | | | | | |  |  |  |

1. The United Nations Country Team (UNCT) in Sri Lanka is comprised of 16 Resident Agencies: ADB, UNFPA, IFAD, FAO, UNAIDS, ILO, WHO, World Bank, UNOPS, IOM, UNHCR, WFP, IMF, UN-Habitat, UNDP and UNICEF, together with 4 Non-Resident Agencies: UNIDO, UNWomen, UNODC, UNESCO [↑](#footnote-ref-1)