

ANNEX 7: EVALUATION TERMS OF REFERENCE

1. General Context: The MDGF Democratic Economic Governance (DEG) Window

In December 2006, the UNDP and the Government of Spain signed a major partnership agreement for the amount of €528 million with the aim of contributing to progress on the Millennium Development Goals (MDGs) and other development goals through the United Nations System. In addition, on 24 September 2008 Spain pledged €90 million towards the launch of a thematic window on Childhood and Nutrition. The MDG-F support joint programmes that seek replication of successful pilot experiences and impact in shaping public policies and improving peoples' life in 50 countries by accelerating progress towards the MDGs and other key development goals.

The MDG-F operates through the UN teams in each country, promoting increased coherence and effectiveness in development interventions through collaboration among UN agencies. The Fund uses a joint programme mode of intervention and has currently approved 130 joint programs in 50 countries. These reflect eight thematic windows that contribute in various ways towards progress on the MDGs, National Ownership and UN reform.

The Democratic Economic Governance (DEG) thematic window aims to contribute to a reduction in poverty and vulnerability in eligible countries by supporting interventions that improve environmental management and water supply and sanitation services provision at the national and local levels through promotion of good governance.

The Window includes 11 joint programmes that encompass a wide range of subjects and results. These programmes focus mainly on strengthening the government's capacity to manage water provision and water quality, including citizens, especially the poorest, in plans and policies regarding water, and increasing financial investments in the water provision sector.

These efforts contribute directly to meeting the MDG target of halving the proportion of people without sustainable access to safe drinking water by 2015, one of the targets of MDG 7.

The joint programmes within this thematic window serve a variety of participants²⁹, ranging from national and local governments to community-based organizations. All joint programmes include a support component directed at national and local governments. Other participants include civil society, communities and citizens.

The MDG-F M&E Strategy

A result oriented monitoring and evaluation strategy is under implementation in order to track and measure the overall impact of this historic contribution to the MDGs and to multilateralism. The MDG-F M&E strategy is based on the principles and standards of UNEG and OEDC/DAC regarding evaluation quality and independence. The strategy builds on the information needs and interests of the different stakeholders while pursuing a balance between their accountability and learning purposes.

²⁹ It refers to what previously was named beneficiaries

The strategy's main objectives are:

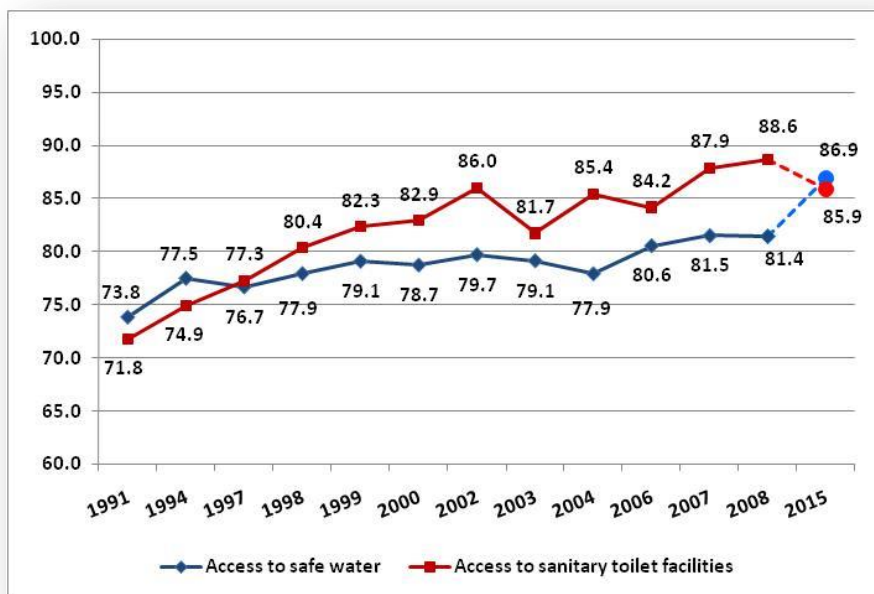
1. To support joint programmes to attain development results;
2. To determine the worth and merit of joint programmes and measure their contribution to the 3 MDG-F objectives, MDGS, Paris Declaration and Delivering as one; and
3. To obtain and compile evidence based knowledge and lessons learned to scale up and replicate successful development interventions.

Under the MDG-F M&E strategy and Programme Implementation Guidelines, each programme team is responsible for designing an M&E system, establishing baselines for (quantitative and qualitative) indicators and conducting a final evaluation with a summative focus.

The MDG-F Secretariat also commissioned mid-term evaluations for all joint programmes with a formative focus. Additionally, a total of nine-focus country evaluations (Ethiopia, Mauritania, Morocco, Timor-Leste, Philippines, Bosnia-Herzegovina, Brazil, Honduras and Ecuador) are planned to study more in depth the effects of joint programmes in a country context.

The Joint Programme on DEG in the Philippines

The Philippines 2010 Millennium Development Goals (MDGs) Achievement Report stated that there is medium probability of achieving the target on halving the population without access to safe and clean drinking water by 2015. Latest statistics show that while water supply coverage has been increasing in recent years, growth has been inconsistent with a slight decreasing registering from 2007 to 2008.



The report affirms the assessment of the Philippine Water Supply Sector Roadmap (PWSSR) that there are many factors hampering the achievement of the water supply target, including the lack of a cohesive policy brought about by the lack of a single driver in the sector, as well as the lack of capacities at the local level to ensure the effective and sustainable delivery of water services.

The Joint Programme on Enhancing Access to and Provision of Water Services with the Active Participation of the Poor, also referred as JP in this document, was approved in February 2008. Originally, the JP was to be implemented over a three year period (June 2009- May 2012). In March 2012, the JP was granted a 6-months no-cost extension for the conduct of the JP's final evaluation. At the same time, the JP was offered by the MDG-F Secretariat an additional US\$300,000 grant assistance for the crystallization of the JP results through systematization of the pilot experience, consolidation of partnerships and advocacy for enabling policies, and replication and scale up of the JP initiatives. Acknowledging that the crystallization activities will require an additional extension for implementation, the JP was granted a 7-months extension to complete all its activities (excluding the final evaluation). This is on top of the 6-months no-cost extension approved for the final evaluation. In view of these extensions, the JP will officially close in June 2013.

The JP focused on assisting LGUs and water service providers address the above key strategic issues directly affecting the achievement of the MDG target on water supply by pursuing the following outcomes, to wit:

- Recommending policy reforms that will encourage investment in poor waterless municipalities; and
- Enhancing local capacities to plan for, design, implement, operate and maintain, and manage water supply systems.

The JP is implemented in partnership with three government institutions (NEDA, DILG, and NWRB), two UN organizations (UNDP and UNICEF) and 36 local government units (LGUs) in 12 provinces in Regions 2 (Cagayan Valley), 5 (Bicol Region), 9 (Zamboanga), 10 (Northern Mindanao) and 13 (CARAGA Region). The implementation of various JP activities further entailed the active involvement as responsible/contracted partners 6 academic institutions, 5 civil society partners and 3 national government agencies (NGAs). Other academic institutions (at least 12), civil society groups (at least 3), NGAs and private sector entities have also been involved in a minor capacity.

The management arrangement of the JP consists of close collaboration, to the extent possible, between organic staffs from both the Government and the United Nations. Working with mandated agencies who, eventually, will apply what they have gained from the JP is an integral part of the JP's sustainability strategy. Below is an illustration of the management structure, followed by a table of the staff structure.

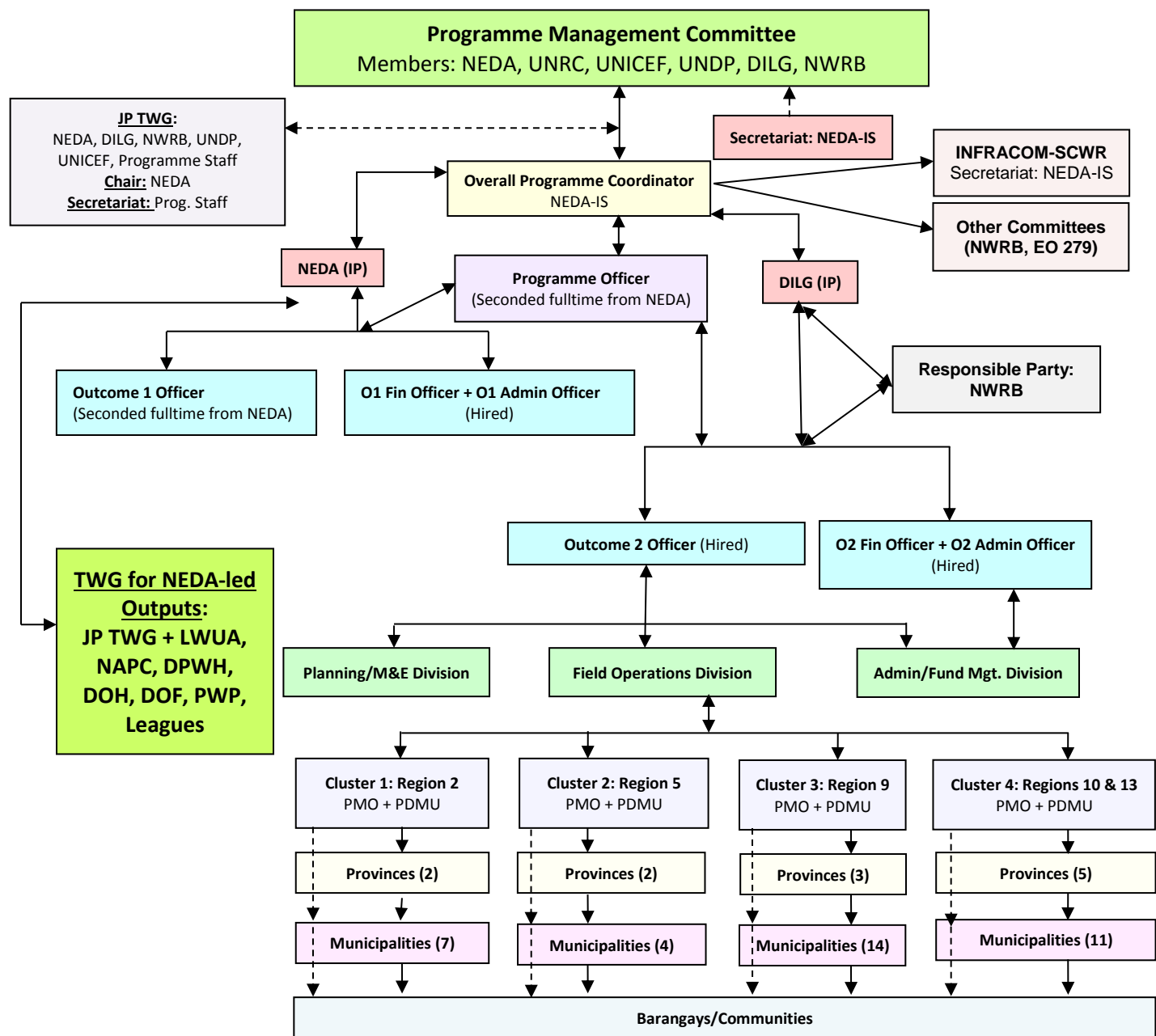
Table 1. Staff Structure

Agency	Staff/Number	Type
NEDA	<i>National Focal Point and Programme Coordinator - 1</i>	<i>NEDA organic</i>
	<i>Programme Officer - 1</i>	<i>Programme hired, full-time (Seconded)</i>
	<i>Outcome Officer - 1</i>	<i>Programme hired, full time (Seconded)</i>
	<i>Finance Officer - 1</i>	<i>Programme hired, full time</i>
	<i>Administrative Officer- 1</i>	<i>Programme hired, full time</i>
	<i>Driver/Utility - 1</i>	<i>Programme hired, full time</i>
	<i>Technical Staff - 8</i>	<i>NEDA, on-call</i>
DILG	<i>Outcome Officer - 1</i>	<i>Programme hired, full time</i>
	<i>Finance Officer - 1</i>	<i>Programme hired, full time</i>

	Administrative Officer - 1	Programme hired, full time
	Regional Coordinators - 4	DILG
	DILG Regional Focal Persons - 5	DILG Regional Offices
	Technical Staff - 10	DILG, on-call
NWRB	Technical Staff - 3	NWRB, on-call
UNDP	Technical Staff - 3	UNDP, on-call
UNICEF	Technical Staff - 3	UNICEF, on-call

Figure 1. JP Management Structure

Programme Management Unit



JP TWG: Core TWG undertakes JP work planning, budgeting, report preparation, and technical level discussions on implementation concerns.
 TWG: Expanded TWG to review outputs/deliverables (e.g., policy study reports, IEC plan) of experts hired under the JP.
 Regional Coordinators for 4 Clusters are hired in Manila but based in the regions supervise region-led activity implementation, and coordinate and facilitate activities of IPs, RP and experts at the local level.
 Programme Staff: Programme Officer (NEDA), Outcome Officers (NEDA & DILG), Finance Officers (NEDA & DILG), Admin Officers (NEDA & DILG)

The commissioner of the evaluation is seeking high-qualified consultants to conduct the final evaluation, of this JP.

2. OVERALL GOAL OF THE EVALUATION

One of the roles of the MDG-F Secretariat is to monitor and evaluate the MDG-F. This role is fulfilled in line with the instructions contained in the Monitoring and Evaluation Strategy and the Implementation Guide for Joint Programmes under the Millennium Development Goals Achievement Fund. These documents stipulate that all joint programmes will commission and finance a final independent evaluation.

Final evaluations are summative in nature and seek to:

1. Measure to what extent the JP has delivered outputs and attained outcomes, i.e., development results; and
2. Generate substantive evidence based knowledge, on one or more of the MDG-F thematic windows by identifying best practices and lessons learned that could be useful to other development interventions at national (scale up) and international level (replicability).

As a result, the findings, conclusions and recommendations generated by these evaluations will be part of the thematic window Meta evaluation, the MDG-F Secretariat is undertaking to synthesize the overall impact of the fund at national and international level.

3. SCOPE OF THE EVALUATION AND SPECIFIC OBJECTIVES

The final evaluation will cover the implementation of the MDG-F Joint Programme on Enhancing Access to and Provision of Water Services with the Active Participation of the Poor, also referred here as the JP. It will focus on measuring development results and potential impacts generated by the JP, based on the scope and criteria included in these terms of reference. This will enable conclusions and recommendations for the JP to be formed within a period between four and six months.

The unit of analysis or object of study for this evaluation is the JP, understood to be the set of components, outcomes, outputs, activities and inputs that were detailed in the JP document and in associated modifications made during implementation.

In the context of enhancing the potential of the beneficiary LGUs in accessing funds for water supply investments and/or deliver improved and sustained services, this final evaluation has the following specific objectives:

1. Measure to what extent the JP has contributed to solve the needs and problems identified in the design phase.
2. Measure the JP's degree of implementation, efficiency and quality delivered on outputs and outcomes, against what was originally planned or subsequently officially revised.
3. Measure to what extent the JP on water governance has attained development results to the targeted population, beneficiaries, participants whether individuals, communities, institutions, etc.

4. Measure the JP's contribution to the objectives set in their respective specific thematic windows as well as the overall MDG fund objectives at local and national level. (MDGs, Paris Declaration and Accra Principles and UN reform).
5. Identify and document substantive lessons learned and good practices on the specific topics of the thematic window, MDGs, Paris Declaration, Accra Principles and UN reform with the aim to support the sustainability of the JP or some of its components.

4. EVALUATION QUESTIONS, LEVELS OF ANALYSIS AND EVALUATION CRITERIA

The evaluation questions define the information that must be generated as a result of the evaluation process. The questions are grouped according to the criteria to be used in assessing and answering them. These criteria are, in turn, grouped according to the three levels of the programme.

Design level:

- **Relevance: The extent to which the objectives of a development intervention are consistent with the needs and interest of the people, the needs of the country and the Millennium Development Goals.**
 - a) To what extent was the design and strategy of the development intervention relevant (assess including link to MDGs, UNDAF and national priorities, stakeholder participation, national ownership design process)?
 - b) How much and in what ways did the JP contribute to solve the (socio-economical) needs and problems identified in the design phase?
 - c) To what extent was the JP designed, implemented, monitored and evaluated jointly?
 - d) To what extent was joint programming the best option to respond to development challenges stated in the programme document?
 - e) To what extent the implementing partners participating in the JP had an added value to solve the development challenges stated in the programme document?
 - f) To what extent did the JP have a useful and reliable M&E strategy that contributed to measure development results?
 - g) To what extent did the JP have a useful and reliable communication and advocacy (C&A) strategy?
 - h) If the programme was revised, did it reflect the changes that were needed? Did the JP follow the mid-term evaluation recommendations on the programme design?

Process level

- **Efficiency: Extent to which resources/inputs (funds, time, human resources, etc.) have been turned into results**
 - a) To what extent did the JP's management model (i.e. instruments; economic, human and technical resources; organizational structure; information flows; decision-making in management) was efficient in comparison to the development results attained?
 - b) To what extent was the implementation of a JP intervention (group of agencies) more efficient in comparison to what could have been through a single agency's intervention?
 - c) To what extent the governance of the fund at program level (PMC) and at national level (NSC) contributed to efficiency and effectiveness of the JP? To what extent these

governance structures were useful for development purposes, ownership, for working together as one? Did they enable management and delivery of outputs and results?

- d) To what extent and in what ways did the JP increase or reduce efficiency in delivering outputs and attaining outcomes?
- e) What type of work methodologies, financial instruments, business practices have the implementing partners used to increase efficiency in delivering as one?
- f) What was the progress of the JP in financial terms, indicating amounts committed and disbursed (total amounts and as percentage of total) by agency? Where there are large discrepancies between agencies, these should be analyzed.
- g) What type of (administrative, financial and managerial) obstacles did the JP face and to what extent have this affected its efficiency?
- h) To what extent and in what ways did the mid-term evaluation have an impact on the JP? Was it useful? Did the JP implement the improvement plan?

- Ownership in the process: Effective exercise of leadership by the country's national/local partners in development interventions

- a) To what extent did the targeted population, citizens, participants, local and national authorities made the programme their own, taking an active role in it? What modes of participation (leadership) have driven the process?
- b) To what extent and in what ways has ownership or the lack of it, impacted in the efficiency and effectiveness of the JP?
- c) To what extent did ownership lead to the use/application of JP outputs in regular processes of the institution? Were outputs treated as reference materials or were they applied/integrated as part of the enhancement of standard operation procedures or operational guidelines?
- d) To what extent did the participating UN organizations allowed their GOP partners to steer/drive the process in terms of determining strategic interventions that would complement their current efforts on water services provision and good governance? Was the GOP the main decision maker and exercised control over the resources, e.g., managed grant proceeds?

Results level

- Effectiveness: Extent to which the objectives of the development intervention have been achieved.

- a) To what extent did the JP contribute to the attainment of the development outputs and outcomes initially expected/stipulated in the programme document?
 - i. As the JP interventions are mainly on building capacities and developing tools, to what extent would these contribute to the attainment of the Millennium Development Goals at the local and national levels?
 - ii. To what extent and in what ways would the use of JP outputs contribute to the goals set in the thematic window?
 - iii. To what extent (policy, budgets, design, and implementation) and in what ways did the JP facilitated UN's adherence to the implementation of the principles of the Paris Declaration, in particular the principle of national ownership?
 - iv. To what extent and in what ways did the JP contribute to the goals of delivering as one at country level?

- v. What are the other expected and unplanned results and outcomes from activities of the JP?
- b) To what extent has the JP contributed to the advancement and the progress of fostering national ownership processes and outcomes (the design and implementation of National and Local Development Plans, Public Policies, UNDAF, etc)
 - c) To what extent were JP's outputs and outcomes synergistic and coherent to produce development results? What kinds of results were reached?
 - d) To what extent did the JP had an impact on the targeted citizens?
 - e) Have any good practices, success stories, lessons learned or transferable examples been identified? Please describe and document them.
 - f) What types of differentiated effects are resulting from the JP in accordance with the sex, race, ethnic group, rural or urban setting of the beneficiary population, and to what extent?
 - g) To what extent did the JP help to increase stakeholder/citizen dialogue and or engagement on development issues and policies?
 - h) To what extent and in what ways did the mid-term evaluation recommendations contribute to the JP's achievement of development results?

Sustainability: Probability of the benefits of the intervention continuing in the long term.

- a) To what extent did the JP decision making bodies and implementing partners have undertaken the necessary decisions and course of actions to ensure the sustainability of the effects of the programme?
- b) At local and national level:
 - i. To what extent did national and/or local institutions support the JP?
 - ii. Did these institutions show technical capacity and leadership commitment to keep working with the program or to scale it up?
 - iii. Have operating capacities been created, *enhanced*, and/or reinforced in national partners to ensure sustainability of JP outputs?
 - iv. Did the partners have sufficient financial capacity to keep up the benefits produced by the JP?
 - v. To what extent has the JP reached out to key local and national institutions?
- c) To what extent will the JP's outputs be replicable or scaled up at national or local levels?
- d) To what extent did the JP align itself with the National Development Strategies and/or the UNDAF?
- e) Does the JP have an exit strategy or sustainability plan that would work towards ensuring benefits will continue beyond the JP's life?

5. METHODOLOGICAL APPROACH

This final evaluation will use methodologies and techniques as determined by the specific needs for information, the questions set out in the TOR, and the availability of resources and the priorities of stakeholders. In all cases, consultants are expected to analyse all relevant information sources, such as reports, program documents, internal review reports, program files, strategic country development documents and related country documents wherein the JP may have contributed to, mid-term evaluations, and any other documents that may provide evidence on which to form judgements. Consultants are also expected to use interviews, surveys or any other relevant quantitative and/or qualitative tool as a means to collect relevant data for the final evaluation. The

evaluation team will make sure that the voices, opinions and information of targeted citizens/participants of the joint programme are taken into account.

The methodology and techniques to be used in the evaluation should be described in detail in the desk study report and the final evaluation report, and should contain, at minimum, information on the instruments used for data collection and analysis, whether these be documents, interviews, field visits, questionnaires or participatory techniques.

6. EVALUATION DELIVERABLES

The consultant is responsible for submitting the following deliverables to the commissioner and the manager of the evaluation:

- **Inception Report** (to be submitted within 15 days of the submission of all program documentation to the evaluation team)
This report will be 10 to 15 pages in length and will propose the methods, sources and procedures to be used for data collection. It will also include a proposed timeline of activities and submission of deliverables. The desk study report will propose initial lines of inquiry about the JP. This report will be used as an initial point of agreement and understanding between the consultant and the evaluation managers. The report will follow the outline stated in Annex 1.
- **Draft Final Report** (to be submitted within 15 days after the completion of the field visit, please send also to MDG-F Secretariat)
The draft final report will contain the same sections as the final report (described in the next paragraph) and will be 20 to 30 pages in length. This report will be shared among the evaluation reference group. It will also contain an executive report of no more than 5 pages that includes a brief description of the JP, its context and current situation, the purpose of the evaluation, its methodology and its main findings, conclusions and recommendations. The final report will be shared with evaluation reference group and MDG-F Secretariat to seek their comments and suggestions. This report will contain the same sections as the final report, described below.
- **Final Evaluation Report** (to be submitted within 5 days after reception of the draft final report comments, please send also to MDG-F Secretariat)
The final report will be 20 to 30 pages in length. It will also contain an executive summary of no more than 5 pages that includes a brief description of the joint programme, its context and current situation, the purpose of the evaluation, its methodology and its major findings, conclusions and recommendations. The final report will be sent to the evaluation reference group. This report will contain the sections establish in Annex 2.

7. EVALUATION REPORT QUALITY STANDARDS

The following UNEG standards should be taken into account when writing all evaluation reports³⁰:

³⁰ See UNEG Guidance Document “Standards for Evaluation in the UN System”, UNEG/FN/Standards (2005). http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=22

- a. The final report should be logically structured, containing evidence-based³¹ findings, conclusions, lessons and recommendations and should be free of information that is not relevant to the overall analysis (S-3.16).
- b. A reader of an evaluation report must be able to understand: the purpose of the evaluation; exactly what was evaluated; how the evaluation was designed and conducted; what evidence was found; what conclusions were drawn; what recommendations were made; what lessons were distilled (S-3.16).
- c. In all cases, evaluators should strive to present results as clearly and simply as possible so that clients and other stakeholders can easily understand the evaluation process and results (S-3.16).
- d. The level of participation of stakeholders in the evaluation should be described, including the rationale for selecting that particular level (S-4.10).
- e. The Executive Summary should “stand alone”, providing a synopsis of the substantive elements of the evaluation. The level of information should provide the uninitiated reader with a clear understanding of what was found and recommended and what was learned from the evaluation (see Outline in Annex 2 for more details) (S-4.2).
- f. The JP should be clearly described (as short as possible while ensuring that all pertinent information is provided). It should include the purpose, logic model, expected results chain and intended impact, its implementation strategy and key assumptions. Additional important elements include: the importance, scope and scale of the JP; a description of the recipients/intended beneficiaries and stakeholders; and budget figures (S-4.3).
- g. The role and contributions of the UN organizations and other stakeholders to the JP should be clearly described (who is involved, roles and contributions, participation, leadership) (S-4.4).
- h. In presenting the finding, inputs, outputs and outcomes/impacts should be measured to the extent possible (or an appropriate rationale given as to why not). The report should make a logical distinction in the findings, showing the progression from implementation to results with an appropriate measurement (use benchmarks when available) and analysis of the results chain (and unintended effects), or a rationale as to why an analysis of results was not provided. Findings regarding inputs for the completion of activities or process achievement should be distinguished clearly from outputs, outcomes (S-4.12).
- i. Additionally, reports should not segregate findings by data source (S-4.12).
- j. Conclusions need to be substantiated by findings consistent with data collected and methodology, and represent insights into identification and/or solutions of important problems or issues (S-4.15).
- k. Recommendations should be firmly based on evidence and analysis, be relevant and realistic, with priorities for action made clear (S-4.16).
- l. Lessons, when presented, should be generalized beyond the immediate subject being evaluated to indicate what wider relevance they might have (S-4.17).

8. KEY ROLES AND RESPONSABILITIES IN THE EVALUATION PROCESS

There will be 3 main actors involved in the implementation of MDG-F final evaluations:

³¹ Using evidence implies making a statement based on valid and reliable facts, documents, surveys, triangulation of informant’s views or any other appropriate means or techniques that contribute to create the internal validity of the evaluation. It is not enough to just state an informed opinion or reproduce an informant’s take on a specific issue.

1. The **Resident Coordinator Office** as **commissioner** of the final evaluation will have the following functions:
 - Lead the evaluation process throughout the 3 main phases of a final evaluation (design, implementation and dissemination);
 - Convene the evaluation reference group;
 - Lead the finalization of the evaluation ToR;
 - Coordinate the selection and recruitment of the evaluation team by making sure the lead agency undertakes the necessary procurement processes and contractual arrangements required to hire the evaluation team;
 - Ensure the evaluation products meet quality standards (in collaboration with the MDG-F Secretariat);
 - Provide clear specific advice and support to the evaluation manager and the evaluation team throughout the whole evaluation process;
 - Connect the evaluation team with the wider program unit, senior management and key evaluation stakeholders, and ensure a fully inclusive and transparent approach to the evaluation;
 - Take responsibility for disseminating and learning across evaluations on the various joint programme areas as well as the liaison with the National Steering Committee;
 - Safeguard the independence of the exercise, including the selection of the evaluation team; and
 - Endorse the final report to the MDG-F Secretariat.

2. The **programme coordinator** as **evaluation manager** will have the following functions:
 - Contribute to the finalization of the evaluation TOR;
 - Provide executive and coordination support to the reference group;
 - Provide the evaluators with administrative support and required data;
 - Liaise with and respond to the commissioners of evaluation;
 - Connect the evaluation team with the wider programme unit, senior management and key evaluation stakeholders, and ensure a fully inclusive and transparent approach to the evaluation;
 - Review the inception report and the draft evaluation report(s); and
 - Ensure that adequate funding and human resources are allocated for the evaluation

3. The **Programme Management Committee** will approve the documents that will emanate from the evaluation reference group (ERG). The group will be comprised of representatives from the implementing parties, e.g., NEDA, DILG, NWRB, UNDP, and UNICEF. The ERG will have the following functions:
 - Review the draft evaluation report and ensure final draft meets the required quality standards;
 - Facilitate the participation of those involved in the evaluation design;
 - Identify information needs, defining objectives and delimiting the scope of the evaluation;
 - Provide input and participate in finalizing the evaluation ToR;

- Facilitate the evaluation team’s access to all information and documentation relevant to the intervention, as well as to key actors and informants who should participate in interviews, focus groups or other information-gathering methods;
- Oversee progress and conduct of the evaluation and ensure the quality of the process and the products; and
- Disseminate the results of the evaluation

The proposed composition of the ERG is as follows:

1. Jenny Galorport – DILG-OPDS
2. Ulritz Uzein Corcuera – NEDA-Infrastructure Staff
3. Belen Juarez – NWRB
4. Emmanuel Buendia – UNDP (alternate: Pamela Grafilo)
5. Tim Grieve – UNICEF (alternate: Kathleen Solis)
6. Fernando Calabazon III – DILG Region 2
7. Renato Bolon – DILG Region 5
8. M. Ali Hasan – DILG Region 9
9. Marisia Naybe – DILG Region 10
10. Renelou Jaranilla – DILG Region 13
11. Kathleen Mangune – MDG-F 1919 Programme Officer
12. Fe Crisilla Banluta – MDG-F 1919 Outcome Officer

4. **The MDG-F Secretariat** that will function as a **quality assurance member** of the evaluation in cooperation with the commissioner of the evaluation, and will have the following functions:
 - Review and provide advice on the quality of the evaluation process, the evaluation products (comments and suggestions on the adapted ToR, draft reports, final report of the evaluation), and options for improvement.
5. **The evaluation team** will conduct the evaluation study by:

Fulfilling the contractual arrangements in line with the TOR, UNEG/OECD norms and standards and ethical guidelines; this includes developing an evaluation matrix as part of the inception report, drafting reports, and briefing the commissioner and stakeholders on the progress and key findings and recommendations, as needed