

# Annex 1: TERMS OF REFERENCE



## Yemen

### Independent Country Programme Evaluation (ICPE)

#### 1. INTRODUCTION

The Independent Evaluation Office (IEO) of the United Nations Development Program (UNDP) conducts “Independent Country Programme Evaluations (ICPEs)”, previously known as “Assessments of Development Results (ADRs),” to capture and demonstrate evaluative evidence of UNDP’s contributions to development results at the country level, as well as the effectiveness of UNDP’s strategy in facilitating national effort for achieving development results. The purpose of an ICPE is to support the development of the next UNDP Country Programme Document and strengthen accountability of UNDP to the Executive Board and the national stakeholders.

ICPEs are conducted in the penultimate year of a country programme. IEO includes Yemen in its 2018 work plan for ICPE, because the latest UNDP Yemen’s country programme runs until 2019; it’s anticipated that Yemen’s country programme will be reviewed by the Board in 2019. Results of the ICPE in 2018 are expected to feed into the development of a new country programme.

Given that Yemen has been experiencing violent conflict since 2011 and a L3 humanitarian crisis, Yemen’s country programme activities have been guided with additional planning priorities to reinforce the humanitarian assistance and to build resilience as a base for future recovery efforts.

#### 2. BACKGROUND ON YEMEN

The Republic of Yemen is an Arab sovereign state located at the southern end of the Arabian Peninsula, bordered by Saudi Arabia, Oman, the Red Sea, the Gulf of Aden and Arabian Sea. The country covers an area of 527 948 square kilometers and has a population of 27.5 million (2016). It is a lower middle-income country with low human development. Ranked 168 out of 188 countries and territories in the global Human Development Report 2016, Yemen is one of the least developed countries in the world and faces multiple development challenges.

Yemen has suffered from chronic poverty and inequality for decades. The country’s population growth rate (3%) is one of the highest in the world and outpaces its economic growth rate. As the World Bank estimated, Yemen’s population has increased from 12.06 million in 1990 to 27.58 million in 2016. The country has nearly 40 percent of the population under 15 years old, with a high dependency ratio. Only 34.6 percent of the population live in urban areas, and roughly 79% of the population live below the national poverty line . According to the most recent Human Development Report, Yemen’s Human Development Index is 0.482, which is below the average of 0.497 for countries in the low human development group and below the average of 0.687 for countries in Arab States. When the value is discounted for inequality, the HDI falls to 0.320, a loss of 33.7 percent due to inequality in the distribution of the HDI dimension indices. As the World Bank estimated, the GINI coefficient of Yemen in 2013 is

0.377. The labour force participation rate is as low as 36.3 percent, and women and youth have even lower rates – 6 percent and 25.8 percent respectively.

From the political perspective, the disagreement between the ruling party and the opposition remained unsolved since the unification of the Yemen. In addition, the government's corruption has been a highly serious problem. The country remains at the bottom of the Transparency International's Corruption Perception Index since the first publication of the Index. The country has long been dominated by the tiny elite consisting of military, tribal, political, and business leaders. The elite patronage networks and a system of grand corruption have proliferated due to the absence of strong state institutions. The political system operated to the benefit of the elite at the expenses of the poor majority. The gap between the elite and the public is huge. Today, despite the changes that have taken place in recent years, Yemen's wealth is still possessed by the privileged elite. The political and economic exclusion has long been a source of anger of Yemenis. Due to the chronic under-employment, poverty, corruption, and inequality, mass protests began in 2011, followed the initial stages of the Arab Spring. In 2015, the conflicts spiraled into a full-blown civil war between two factions: Houthi forces allied with supporters of the former president Ali Abdullah Saleh, based in Sana'a, and supporters of the government of Abdrabbuh Mansur Hadi, based in Aden.

The ongoing conflict has caused a catastrophic humanitarian crisis in Yemen. Majority of the population live in areas directly affected by the conflict, and over 80 percent of the population are in need of humanitarian assistance. Yemenis have suffered from forced displacement, commodity shortages, and collapse of basic services and institutions. Over 22 million Yemenis (more than 81 percent of the population) are food insecure, including over 7 million people severely food insecure. Malnutrition has increased 57 percent since late 2015 and affects over 3 million children and pregnant or lactating women, including 462,000 children under five. After the collapse of basic services, about 14.5 million Yemenis require assistance to ensure access to safe drinking water and sanitation, and an estimated 14.8 million Yemenis lack access to basic healthcare. The devastation of infrastructure, health, water and sanitation systems led to the worst cholera outbreak with 1,047,829 reported cases by December 2017, including 2,367 related deaths.

In terms of gender equality, Yemen is ranked at the bottom of the 2017 Global Gender Gap Index, with a score of 0.516. On UNDP's gender inequality index in 2015, it is also at the very bottom (with a score of 0.767). Yemeni women suffer from disadvantage in every aspect of their lives. According to the Global Gender Gap Report, women's enrolment rates in primary and secondary education are much lower than those of their male counterparts. Yemeni women's labor force participation is only a third of that of Yemeni men. When it comes to political empowerment, there is no woman in the parliament, and only 5.4 percent of the ministerial positions were held by women. Yemen's conflict is worsening conditions for women. For instance, the conflicts created more female-headed households who are struggling to support themselves. Violence against women and girls has also reportedly increased. Women are undergoing escalated abuse and exploitation when protection systems break down.

### **3. UNDP PROGRAMME IN YEMEN**

The UNDP programme in Yemen, which had five outcomes was overtaken by the internal and external conflicts prior to the start-up of implementation of its approved Country Programme Document 2012-2015. Based on these events, Yemen Programme was realigned and put into UN Transitional Plan for

Stabilisation and Development (endorsed by UNDG meeting that was held in Amman in March 2015) and later into “Yemen Resilience Programme” to reflect the needs on the ground under each of the phases.

Between 2012 and now, the Country Programme went through three distinct phases in Yemen’s country context. UNDP initially responded to the political transition under the GCC transition agreement of November 2011. UNDP quickly mobilized resources for the Presidential elections of February 2012 that brought in President Hadi’s transitional government, followed by support to core government functions to implement transitional priorities, support to the National Dialogue Conference and Constitutional drafting, youth employment and early recovery in conflict-affected areas of Sa’adah (post-war with Houthis) and Abyan (post-war with AQAP).

The second phase was marked by the armed takeover by the Houthis with support from ex-President Saleh of the capital Sana’a on 21 September 2014. Under UNDP support a MoU between Yemeni private sector and Government of Yemen was signed for the Yemeni private sector to be engaged in economic growth and youth employment. UNDP led the technical coordination of an MDG Acceleration Framework (MAF) for MDG 1 that was jointly developed by the Government, UN system, World Bank, local authorities and CSOs. This was endorsed by the UN/WB CEB meeting in Washington DC in October 2014 along with a Joint UN-WB Facility to support the implementation of the MDG Acceleration Framework.

The third phase (from April 2015) is responding to a country in civil war with a de jure government in exile in Riyadh and a de facto authority in Sana’a. UNDP initiated emergency livelihoods (cash for work) and CSO documentation and psycho-social support to victims of human rights violations (under Protection Cluster). UNDP formulated the Yemen Resilience Programme and started interventions in Abyan, Aden, Taizz, Hajjah, Sa’adah and Sana’a, partially transforming previous projects. UNDP also led the technical work for strategic reflection with UN agencies, World Bank, EU and other international partners on conflict analysis, lessons from the transition, resilience building and recovery preparations. The current resilience programme has four key objectives: 1) Strengthen community-based structures and systems and restore basic and social services to ensure they are progressively enhanced and accessible to all; 2) Increase opportunities for livelihoods and self-reliance through emergency employment, recovery and development of micro, small and medium-sized enterprises (MSMEs) and social businesses; 3) Enhance community security, informal justice mechanisms, community-based dialogue and social cohesion; 4) Clear mines and unexploded ordnance prioritizing essential social infrastructure, residential areas and agricultural lands for vulnerable populations. Also refer to Annex I for more highlights of UNDP Yemen’s programme activities since 2012.

#### **4. SCOPE OF THE EVALUATION**

Considering that the Yemen country office is yet to make a decision as to possibly further extending the current CPD cycle, the Yemen ICPE will present a snapshot of the Yemen country programme from 2016 to date, with the primary purpose of learning how UNDP Yemen adapts its programmes and operations in changing and extremely violent context. Any analysis based on available information will help UNDP, at the corporate level, to capture lessons from Yemen Country Programme and to verify if any prior lessons from comparable programme contexts, if any, have been applied or attempted.

Hence, the Yemen ICPE will narrow its scope and inquire into the following:

- How has the Yemen country programme adapted to the changed country situations and needs? Areas of inquiry will include programme tools/activities, operations (cost of doing business in particular), partnership and CT coordination, contingency planning and staff security.
- How effectively have the envisaged, closer programme links between UN humanitarian and development arms materialized in Yemen? What are the key factors contributing to the synergy and overall funding?

In addition, as data availability and counterpart continuity permits, the evaluation will also reflect on the programme activities and achievements between 2012 and 2014, and to what extent the CO's work earlier in the current CPD cycle and the staff skillsets has come to bear on its crisis response and the adjusted programme focus on resilience building.

## **5. METHODOLOGY AND DATA COLLECTION**

This evaluation will rely more on documents review and interviews in HQs and Amman, as travel to Yemen and any project sites are highly restricted. The evaluation methodology will adhere to the United Nations Evaluation Group (UNEG) Norms & Standards.

Data collection methods. The evaluation will use data from primary and secondary sources, including desk review of documentation, and interviews with key staff, partners and stakeholders, including but not limited to funding organizations, and project managers and national implementing organizations. Due to the security restrictions, the evaluation team will not be able to visit the project sites or reach the beneficiaries directly; instead will rely on secondary data. The evaluation will involve interviews with government representatives, identified by the CO. At present, no separate visit to Saudi Arabia is planned. Telephone interviews will be the means of reaching out to Yemen government representatives.

The IEO and the country office will identify an initial list of background and programme-related documents. Document reviews will include: background documents on the national context, documents prepared by UNDP, international partners and other UN agencies during the period under review; programmatic documents such as work plans and frameworks; progress reports; monitoring self-assessments such as the yearly UNDP Results Oriented Annual Reports (ROARs); and evaluations or lessons learning studies conducted by the country office and partners. An evaluation matrix will be used to guide how evaluation questions will be addressed with the available evidence. Interview data and information from document reviews will be triangulated to ensure its validity.

Special attention will be given to integrate a gender-focused approach to the evaluation. To assess gender across the portfolio, the evaluation will use the gender marker and the gender results effectiveness scale (GRES). The GRES, developed as part of the corporate evaluation on UNDP's contribution to gender equality and women's empowerment, classifies gender results into five categories: gender negative, gender blind, gender targeted, gender responsive, gender transformative.

Stakeholder involvement: a participatory and transparent process will be followed to engage with multiple stakeholders at all stages of the evaluation process. During the initial phase, a stakeholder analysis will be conducted to identify all relevant UNDP partners, including those that may have not worked with UNDP but play a key role in the outcomes to which UNDP contributes. This stakeholder analysis will serve to identify key informants for interviews during the data collection phase/and field visit of the evaluation.

## **6. MANAGEMENT ARRANGEMENTS**

**Independent Evaluation Office of UNDP:** The UNDP IEO will conduct the ICPE in consultation with the UNDP Yemen country office, the Regional Bureau for the Arab States and the Government of Yemen. The IEO lead evaluator will lead the evaluation and coordinate the evaluation team. The IEO will meet all costs directly related to the conduct of the ICPE.

**UNDP Country Office in Yemen:** The country office will support the evaluation team to liaise with key partners and other stakeholders, make available to the team all necessary information regarding UNDP's programmes, projects and activities in the country, and provide factual verifications of the draft report on a timely basis. The CO will provide support in kind (e.g. arranging meetings with project staff, partners and stakeholders). To ensure the anonymity of interviewees, the country office staff will not participate in the stakeholder interviews. The CO and IEO will jointly organize the final stakeholder debriefing, ensuring participation of key government counterparts, through a videoconference, where findings and results of the evaluation will be presented. Additionally, the CO will prepare a management response in consultation with RB and will support the use and dissemination of the final outputs of the ICPE process.

**UNDP Regional Bureau for the Arab States:** The UNDP Regional Bureau for the Arab States will support the evaluation through information sharing and will also participate in discussions on emerging conclusions and recommendations.

**Evaluation Team:** The IEO will constitute an evaluation team to undertake the ICPE. The IEO will ensure gender balance in the team which will include the following members:

- **Lead Evaluator (LE):** IEO staff member with overall responsibility for developing the evaluation design and terms of reference; managing the conduct of the ICPE, preparing/ finalizing the final report; and organizing the stakeholder debriefing, as appropriate, with the country office.
- **Associate Lead Evaluator (ALE):** IEO staff member with the general responsibility to support the LE, including in the preparation of terms of reference, data collection and analysis and the final report. Together with the LE, he/she will help backstop the work of other team members.
- **Consultants:** An external consultant with good knowledge of the country/region and relevant experience in development assistance and UNDP country operations will be recruited to assist in collecting/analysing data and in formulating findings and conclusions.
- **Research Assistant (RA):** A research assistant based in the IEO will provide backstopping support to research and data analysis.

**Other considerations:** Due to the ongoing crisis, key Government counterpart officials to UNDP are either in Riyadh (KSA) or in Aden, and sometimes in Cairo. Hence, pre- arrangements would be required on how to arrange face to face meeting with Yemeni officials or to opt for virtual arrangements. This is also applicable for our key development partners, in which some of them are in Riyadh and some in Amman.

## **7. EVALUATION PROCESS**

The ICPE will be conducted according to the approved IEO process. The following represents a summary of the five key phases of the process, which constitute framework for conducting the evaluation.

Phase 1: Preparatory work. The IEO prepares the TOR and evaluation design and recruits the consultant. IEO collects data first internally and then fill data gaps with help from the country office, and external resources. The evaluation questions are finalized in an evaluation matrix containing detailed questions and means of data collection and verification

Phase 2: Field data collection. During this phase, the evaluation team undertakes a mission to Amman to engage in data collection activities. The estimated duration of the mission will be a week to 10 days. The evaluation team will liaise with CO staff and management, partners and other stakeholders. The evaluation also will involve the national government stakeholders – it is now anticipated that after stakeholder analysis undertaken by IEO and CO, telephone interviews will be used primarily as the means of engagement with national government representatives, either during the field visit to Amman or separately afterwards. No separate field visit is planned at present to Saudi Arabia where the Yemen government is based. However, in case of any un-anticipated circumstances, the evaluation team may consider to conduct a separate visit to Saudi Arabia if appropriate and needed.

To avoid conducting field visit during Ramadan, the evaluation team will carry out additional document research after the planned field visit to Amman in early May 2018. Subject to agreement with the CO, a debriefing of the key preliminary findings could be conducted either right at the end of the field visit, or through video conference before drafting starts.

Phase 3: Analysis, report writing, quality review and debrief. Based on the analysis of data collected and triangulated, the evaluation team will undertake a synthesis process to write the ICPE report. The first draft (“zero draft”) of the ICPE report will be subject to peer review by IEO and the International Evaluation Advisory Panel (IEAP). This draft will be circulated to the country office, the UNDP Regional Bureau for Arab States, and national stakeholders (through the country office). A consolidated set of comments will be received by IEO for further revisions. The UNDP Yemen country office will prepare the management response to the ICPE, under the overall oversight of the regional bureau. The report will then be shared at a final debriefing where the results of the evaluation are presented to key stakeholders. The final evaluation report will be published after taking into account the discussions at the stakeholder event.

Phase 4: Publication and dissemination. The ICPE report will be distributed in hard and electronic versions. The evaluation report will be made available to UNDP Executive Board at the time of its approval of a new Country Programme Document. It will be distributed by the IEO within UNDP as well as to the evaluation units of other international organisations, evaluation societies/networks and research institutions in the region. The Yemen country office and the Government of Yemen will disseminate the report to stakeholders in the country. The report and the management response will be published on the UNDP website as well as in the Evaluation Resource Centre. The regional bureau will be responsible for monitoring and overseeing the implementation of follow-up actions in the Evaluation Resource Centre.

## 8. TIMEFRAME FOR THE ICPE PROCESS

The timeframe and responsibilities for the evaluation process are tentatively as follows:

Table 3: Timeframe for the ICPE process going to the Board in [September 2019]

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<b>Activity</b>	<b>Responsible party</b>	<b>Proposed timeframe</b>
Initial consultation with Bureau and the Yemen CO	Section Chief/Deputy Director	On-going
<b>Phase 1: Preparatory work</b>		
TOR – approval by the Independent Evaluation Office	LE	End of March 2018
<b>Phase 2: Desk analysis</b>		
Preliminary analysis of available data and context analysis	Evaluation team	April 2018
<b>Phase 3: Data Collection</b>		
Data collection and preliminary findings	Evaluation team	Mission: 1 week to 10 days [1 <sup>st</sup> half of May 2018 tentative]
Any follow-up data gathering needs, including additional documents or possibly a questionnaire to partners if considered feasible and needed	Evaluation Team	May
<b>Phase 4: Analysis, report writing, quality review and debrief</b>		
Analysis and Synthesis	Evaluation Team	May-June 2018
Reporting drafting	LE/Evaluation Team	June-July 2018
Zero draft ICPE for clearance by IEO and EAP	LE	August 2018
Draft ICPE for CO/RB/Gov (and other stakeholders) review	CO/RB	September 2018
Draft management response	CO/RB	October 2018
Final debriefing with national stakeholders	CO/LE	November 2018
<b>Phase 5: Production and Follow-up</b>		
Editing and formatting	IEO	November 2018
Final report and Evaluation Brief	IEO	November 2018
Dissemination of the final report	IEO/CO	November 2018