FINAL DRAFT

UNITED NATIONS
UZBEKISTAN

TERMS OF REFERENCE FOR EVALUATION

The UN Development Assistance Framework 2016-2020 for Uzbekistan

1. Introduction: Brief national context

Uzbekistan is a resource-rich, doubly-landlocked country, strategically located in the heart of Central Asia. It is Central Asia's most populous country and its population of about 33 million, approximately half of which lives in urban areas[1], comprise nearly half the region's total[2]. Uzbekistan is at a critical demographic juncture, with approximately 60 per cent of the population being youth under 30 years of age. It is a lower-middle-income economy[3].

Uzbekistan's economy grew rapidly over the last fifteen years lifting significant parts of the population out of poverty[4]. Based on the official statistics, the share of the population below the nationally define poverty line fell from 27.7 per cent in 2000 to 12.5 per cent in 2016[5]. According to the World Bank, country's economy is predicted to grow by 5.3 per cent in 2019, converging to about 6 per cent growth by 2021[6].

Despite significant economic growth, Uzbekistan has been facing challenges to sustain the positive dynamics. Favorable terms of trade (first in food commodity markets, and later gold), combined with expansionary fiscal policy and measures to boost credit, helped spark and sustain high growth in a deteriorating external environment. But growth has been capital intensive, and consequently light on job creation. Sustainable development prospects in Uzbekistan are in fact closely linked to its abilities to capitalize on the country's unfolding demographic window of opportunity, characterized by rapid growth of young population cohorts.

[1] "Demographic Situation in the Republic of Uzbekistan." Statistika Qo'mitasi - ASOSIY SAHIFA. Accessed June 04, 2019. https://stat.uz/en/435-analiticheskie-materialy-en1/2075-demographic-situation-in-the-republic-of-uzbekistan.

[2] "About Uzbekistan." UNDP in Uzbekistan. Accessed June 03, 2019. http://www.uz.undp.org/content/uzbekistan/en/home/countryinfo.html.

[3] "World Bank Country and Lending Groups." World Bank Country and Lending Groups – World Bank Data Help Desk. Accessed June 04, 2019. https://datahelpdesk.worldbank.org/knowledgebase/articles/906519-world-bank-country-and-lending-groups.

[4] World Bank. 2016. *Uzbekistan - Country partnership framework for the period FY16-20 (English)*. Washington, D.C. : World Bank Group. http://documents.worldbank.org/curated/en/537091467993490904/Uzbekistan-Country-partnership-framework-for-the-period-FY16-20

[5] *Mainstreaming, Acceleration and Policy Support (MAPS) for Achieving the Sustainable Development Goals in Uzbekistan.* http://www.un.uz/files/UN%20in%20Uzbekistan/MAPS%20Report%202018/UZB-MAPS%20Report%20-%20Final_Eng.pdf

[6] "Uzbekistan - Overview." World Bank. Accessed June 04, 2019. https://www.worldbank.org/en/country/uzbekistan/overview.

The unemployment rate in Uzbekistan was estimated at 9.3% in 2018, with the unemployment rates among youth believed to be twice as high (at ~19%). Youth employment remains a key priority for the Government, given that 60% of population are under 30 years of age. Over 600,000 people enter the job market each year, but only about 200,000 new jobs are created. This mismatch, and the resultant increase in unemployment levels, poses economic and social risks to the sustainability of the current growth model. Poverty is still characteristic for rural populations, and is driven by factors such as low agricultural productivity, high dependency rates within households, limited access to productive assets (for example, infrastructure, energy, land, water, and technical and financial services) and a high level of informality in rural labour markets[7].

Having integrated the MDGs into its development planning and having put the effort and resources behind its plans, Uzbekistan achieved the MDGs related to ensuring universal access to primary education, ensuring gender parity in primary and secondary schools and reducing maternal mortality. The country also made good progress towards meeting other national MDG targets, including reducing poverty, and reducing under-5 child mortality[8]. With most MDGs achieved, further enhancing the quality and sustainability of Uzbekistan's progress and reducing disparities in MDG progress among various groups of population, including rural and urban population, men and women, youth, people with disabilities and others remain a priority.

In 2017, the newly elected President of Uzbekistan Shavkat Mirziyoyev launched transformative reform initiatives, and in February 2017, the new trajectory was encoded into an "Action Strategy on the development of Uzbekistan in 2017-2021" covering five priorities: (i) governance and public administration; (ii) rule of law and judicial sector reforms; (iii) economic liberalization and growth; (iv) social sphere (including social protection); and (v) security, religious tolerance and inter-ethnic harmony, and mutually beneficial and constructive foreign policy.

This Strategy has been central to Uzbekistan's reform and development processes. It seeks to transform Uzbekistan's economy, which in turn will drive Uzbekistan's transition to upper middle-income status. It encompasses inter alia trade liberalization, human rights protection, anti-corruption, accountability and transparency, e-governance, labour and agricultural reform, migration, and health and education reform. The national Action Strategy is widely seen as providing a unique pathway to achieving the SDGs in Uzbekistan. Thus, achieving the national Action Strategy also means significant progress on implementing the 2030 Agenda, and vice versa.

In October 2018, having successfully completed a SDG localization process in consultative and participatory manner, the Government of Uzbekistan adopted national 16 Sustainable Development Goals and 125 targets, along with establishment of a high-level SDG Coordination mechanism and a Roadmap on SDG implementation. The national SDGs are fully aligned to the global SDG and hence, contribute to its implementation at global level. This step has demonstrated Uzbekistan's strong commitment to ensuring that the ongoing reforms are situated within a longer-term ambitious vision of the 2030 Agenda.

[7] Gender, Agriculture, and Rural Development in Uzbekistan, FAO Report, 2018

[8] http://www.un.uz/files/MDG_report_2015_ENG.pdf

In view of the speed and scope of these reforms, the UN system has been positioning itself as a partner of choice in terms of building technical capacity, introducing innovation and best-practice to meaningfully accelerate reforms as well as in supporting the Government in effective coordination, so that development partners' interventions are prioritized, aligned and coherent. The new openings have enabled the UN system in the country to broaden its ambition under the UN Development Assistance Framework (UNDAF) 2016-2020, particularly in reaching the most vulnerable groups including women, PwDs, migrants and youth, as well as on previously challenging governance, rule of law, justice and human rights priorities.

2. United Nations Development Partnership Framework (2016-2020) Background and Main Characteristics

In 2015, the UN system in Uzbekistan and the Government signed a United Nations Development Assistance Framework (UNDAF)[9] for years 2016-2020 to mark an important milestone in cooperation between the United Nations and the Republic of Uzbekistan. Being the strategic programme framework the UNDAF represents a joint commitment by the Government of Uzbekistan and the United Nations System to work together and a shared intention to promote progress in human development of all people living in the country, especially the most vulnerable and disadvantaged. The UNDAF 2016-2020 has become the central planning document of the UN system in the country, while its implementation architecture is expected to advance UN system cooperation towards Delivering as One in the country.

Through an intensive consultation process with the Government and key national stakeholders, eight UNDAF Outcomes have been identified in four strategic focus areas that respond to national needs and make use of the United Nations' comparative advantages as follows:

Focus area	Outcome
Inclusive economic development, with a focus on employment and social protection	**Outcome 1:** By 2020, equitable and sustainable economic growth through productive employment, improvement of environment for business, entrepreneurship and innovations expanded for all **Outcome 2:** By 2020 vulnerable groups benefit more from inclusive, financially sustainable and efficient social protection system **Outcome 3:** By 2020, children and women in need of protection are covered with comprehensive support in line with human rights standards
Quality health and education, to fully realize human potential	**Outcome 4:** By 2020, all people benefit from quality, equitable and accessible health services throughout their life course **Outcome 5:** By 2020, continuous quality education and lifelong learning for all are improved

[9] http://www.un.uz/files/UN%20in%20Uzbekistan/UNDAF/UZB_UNDAF_FINAL_ENG_print1.pdf

Environmental protection, to ensure sustainable development	**Outcome 6:** By 2020, rural population benefit from sustainable management of natural resources and resilience to disasters and climate change
Effective governance, to enhance public service delivery and the protection of rights	**Outcome 7:** By 2020, the quality of public administration is improved for equitable access to quality public services for all **Outcome 8:** By 2020, legal and judicial reforms further ensure strong protection of rights, freedoms and legitimate interests of citizens

These focus areas serve as a mutual accountability framework among the Government, other national implementing partners and the United Nations System. The UNDAF Results and Resources Framework (RRF) serves as a strategic tool through which the UN System and national partners mutually agreed on a set of performance indicators, baselines and targets, with corresponding means of verification, specifically designed to measure progress toward results over the implementation period. The UNDAF RRF represents an integral part of the document and is a key reference point for the final UNDAF evaluation.

In defining priorities and directions under these areas of cooperation, the UNDAF has drawn on extensive and inclusive consultations between resident and non-resident United Nations Agencies and national partners, including the Parliament, the executive branch of Government and rule of law institutions, as well as non-governmental organizations (NGOs) and donors and development partners. The UNDAF formulation process was underpinned by the Common Country Assessment and MDG progress assessment, taking into account the recommendations of the second cycle of the Universal Periodic Review, and findings of the independent evaluation of the UNDAF 2010-2015.

The UNDAF is fully aligned with Sustainable Development Goals and national development priorities. It also largely corresponds with the Government's Actions Strategy for 2017-2021 that was adopted by the Government in February 2017, during the second year of the UNDAF implementation.

The UNDAF has framed the work of the following UN Agencies who are formal signatories of the UNDAF: UNAIDS, UNDP, UNESCO, UNFPA, UNICEF, UNODC, UNV, UN Women, WHO, ILO, FAO, UNECE, UNCTAD and IAEA.

The UNDAF is operationalized through Joint Work Plans that define output-level results and contribution of United Nations Agencies to overall UNDAF Outcomes and, hence, to national priorities. The joint work plans have been developed for each Outcome area consecutively, starting with the biennial workplans for 2016-2017 and followed by the roll-out JWPs for 2018-2020.

The overall UNDAF management and accountability mechanism is established on the basis of a shared accountability principle between Government and the UN system. Its key elements includes a Joint Government-UN Steering Committee on UNDAF (Joint UNDAF Steering Committee) that provides strategic guidance and formal oversight and management direction throughout the UNDAF cycle and the UNDAF Results Groups established across six thematic areas and responsible for joint planning, implementation, monitoring and reporting with national partners.

Refinements and adjustments to the UNDAF are made in discussion with the Government and national partners, based on UNDAF annual reviews and taking into account changes in the country context and progress of the UN system programmes. The UNDAF annual reviews help ensure continuing relevance of the UNDAF and keep it as a living framework. The UNDAF annual review is conducted through the UNDAF Results Groups, with engagement of national counterparts, and with substantive support by the UN M&E and Data Group. The M&ED group is established as a quality assurance group assigned with responsibilities to provide technical advice and support on all aspects of Results Based Management to the UN Country Team and to Results Groups.

Pursuant to the UNDAF Monitoring and Evaluation plan, the UNCT Uzbekistan has agreed on to carry out a final independent UNDAF Evaluation in 2019 in order to assess the overall achievement of the expected UNDAF results in terms of relevance, efficiency, effectiveness and sustainability and more specifically to ensure forward-looking recommendations to inform subsequent planning for the next cooperation framework.

The UNDAF evaluation serves as the central independent assessment of the UN system at country level to support accountability, learning and decision-making towards the achievement of the 2030 Agenda and the SDGs, using the Common Country Analysis as a benchmark. UNDAF evaluations provide important information for strengthening programming and results at the country level, specifically informing the planning and decision-making for the next UNDAF programme cycle and for improving United Nations (UN) coordination at the country level.

Evaluation-based evidence and recommendations will be also used for resource leveraging and partnerships. The primary users of the evaluations will be the decision-makers within the UNCT, including non-resident UN agencies, key government counterparts, civil society and respective executive boards. In addition, bilateral and multilateral donors in programme countries, and the broader development partners are also seen as important audience of the evaluation.

3. UNDAF Evaluation purposes, objectives and scope

The overall **purposes** of the UNDAF evaluation are:

- To support greater institutional learning, about what works, what doesn't and why in the context of an UNDAF.

The evaluation is envisaged to provide important information for strengthening programming and results at the country level, specifically informing the subsequent UN visioning and planning processes and for improving the UN coordination at the country level and thus contributing to the strategic positioning of the UN system in a country.

- To promote greater accountability of the UNCT to UNDAF stakeholders.

By objectively verifying results achieved within the framework of the UNDAF and assessing the effectiveness of the strategies and interventions used, the evaluation will enable the various stakeholders in the UNDAF process, including national counterparts and donors, to hold the UN agencies and other parties accountable for fulfilling their roles and commitments.

The specific **objectives** of the evaluation are:

- Assess the contribution made by the UNCT in the framework of the UNDAF to national development results in the context of the SDGs through making judgements using evaluation criteria based on evidence (accountability).

- Identify the factors that have affected the UNCT's contribution, answering the question of why the performance is as it is and explaining the enabling factors and bottlenecks (learning).
- Evaluate the results of the cross-cutting programming and "leave no one behind" principles in the current UNDAF: assess the differential progress on vulnerable groups (women, children, persons with disabilities, Roma community, youth, older persons, low income families, etc).
- Assess the extent to which the UNDAF and coordination mechanisms have contributed to advance and streamline Results-based Management, Gender Equality and Human Rights Based Approach in UN agencies' programming.
- Advise on the suitability of indicators and other verification tools used to measure progress towards outcomes and outputs.
- Reach conclusions concerning the UN's contribution across the scope being examined.
- Provide actionable recommendations for improving the UNCT's contribution, especially for incorporation into the new Sustainable Development Cooperation Framework (the new name of the UNDAF). These recommendations should be logically linked to the conclusions and draw upon lessons learned identified through the evaluation.

The UNDAF evaluation should take a systemic approach, which acknowledges complexity and multiple causal pathways, when assessing whether planned UNDAF results were achieved, whether they made a worthwhile and durable contribution to national development processes and delivered on the commitment to leave no one behind, in a cost-efficient manner. It is expected to provide essential information on if the UN is collectively prioritizing support and contributing to the country's sustainable development as a whole, as well as seek to identify synergies, gaps, overlaps and missed opportunities. The Evaluation is conducted in the penultimate year of the current UNDAF period to serve as the foundation for subsequent UN Cooperation Framework planning.

The scope covered by the UNDAF evaluation should also include the overall results framework of the UNDAF 2016-2020 and its implementation instruments, specifically the Joint Work Plans 2016-2017 and 2018-2020. The evaluation should pay special attention to the systemic and intersectional assessment of the mainstreaming the UNDAF programming principles and the key cross-cutting issues of the 2030 Agenda. Leave no one behind (LNOB) is at the core, and underpinned by three other programming principles: human rights, gender equality and women's empowerment; sustainability and resilience; and accountability. These principles are grounded in the norms and standards that the United Nations.

4. Evaluation criteria and questions

The UNDAF evaluation is a programmatic evaluation in that it assesses performance against the UNDAF 2016-2020, its strategic intent and expected results, and the UNCT contribution to the national development outcomes contained in the results framework on the context of the SDG agenda.

Given that (a) outcomes are, by definition, the work of a number of partners, and (b) UNDAF outcomes are set at a very high level, that makes difficult to identify attribution of development change to the UNCT (in the sense of establishing a causal linkage between a development intervention and an observed result), the evaluation will therefore consider contribution of the UNCT to the change in the UNDAF outcomes.

As this is a country-level evaluation, it will be carried out jointly with the UNCT and the overall approach is participatory and orientated towards forward-looking learning on how to jointly enhance development results at the national level.

Evaluation criteria: The contribution of the UNCT to the UNDAF outcomes will be assessed according to a standard set of evaluation criteria:

Relevance. The extent to which the objectives of the UNDAF are consistent with country needs, national priorities, the country's international and regional commitments, including on human rights, and the recommendations of Human Rights mechanisms (including the treaty bodies, special procedures and UPR), sustainable development, environment, and the needs of women and men, girls and boys in the country.

1. Do the UNDAF outcomes address key issues, their underlying causes, and challenges identified by the CCA? Were new issues and their causes as well as challenges that arose during the UNDAF cycle adequately addressed?
2. Have the UNDAF outcomes been relevant in terms of internationally agreed goals and commitments, norms and standards guiding the work of agencies of the UN system (including the SDGs, UN Human Rights treaties, including special procedures and UPR)?
3. What has been UNDAF's relevance in contributing to the national development strategy? To what extent was UNDAF a relevant strategic framework in terms of Uzbekistan's efforts toward achievement of the SDGs?
4. To what extent have Uzbekistan's national, local authorities and civil society been taken into consideration, participated, or have become involved at the design stage of the UNDAF?
5. To what extent was the UNDAF results matrix designed as a results-oriented, coherent, and focused framework? Was it properly operationalized through the output and activity structure?
6. Are the UNDAF indicators relevant and do they meet the quality needed to measure the outputs and outcomes of the UNDAF? Did the design of the UNDAF results framework allow for easy monitoring and reporting against the stated outcomes?

Effectiveness. The extent to which the UNCT contributed to, or is likely to contribute to, the outcomes defined in the UNDAF. The evaluation should also note how the unintended results, if any, have affected national development positively or negatively and to what extent have they been foreseen and managed. Is the UNDAF likely progressing towards the attainment of the established outcomes, goals and targets as set in the UNDAF results matrix? Have the outputs been achieved, and to what extent they contribute to the UNDAF Outcomes (in comparison to other stakeholder interventions)? Can UNDAF outputs and activities be credibly linked to the achievement of the UNDAF Outcomes?

1. What is the level of UNCT interagency programmatic cohesion at the output and activity levels (assessment using the Joint Work Plan structure as a reference)?
2. Have the UNDAF results responded to the needs and priorities of the target populations? To what extent did the UNDAF interventions reached the vulnerable groups – (women, children, persons with disabilities, youth, older persons, low income families, etc)

3. What are the main factors that contributed to the realization or non-realization of the UNDAF outputs and outcomes? Has the UNDAF been used by UN agencies as a common programming tool for planning their activities and setting goals?
4. To what extent have human rights principles and gender equality been effectively streamlined in the implementation of the UNDAF? Have the human rights approach and the UNDAF cross-cutting principles been reflected as methods for effective implementation of the UNDAF interventions?
5. Has the UNDAF promoted effective partnerships and strategic alliances around the main UNDAF Outcomes (with and within the Government of Uzbekistan, with national partners and civil society, donors and other external support agencies)?
6. To what extent and in what ways has the UNDAF contributed to setting national priorities and implementing the Sustainable Development Goals at national and local levels?

Efficiency. The extent to which the UNDAF outcomes are achieved with the appropriate amount of resources and maintenance of minimum transaction cost (funds, expertise, time, administrative costs, etc.).

1. To what extent have the UNDAF Outcomes been achieved with the planned amount of resources and maintenance of minimum transaction cost (funds, expertise, time, administrative costs, etc.)?
2. Were the UNDAF priorities sufficiently defined to maximize efficiency? Was the distribution of roles and responsibilities among the different UNDAF stakeholders, partners and UN Agencies well defined to manifest efficient implementation of the UNDAF?
3. The extent to which resource allocation took into account or prioritised most marginalised groups including women and girls. To what extent were adequate resources provided for integrating Human Rights and Gender Equality in the UNDAF? Assess appropriateness of UNCT joint programmes in addressing cross sectoral issues.
4. To what extent did the UNDAF promote the UN transparency and accountability to beneficiaries of the implemented activities, including through clear mechanisms for accountability?
5. To what extent were adequate resources provided for integrating Human Rights and Gender Equality in the UNDAF?

Sustainability. The extent to which the benefits from a development intervention have continued, or are likely to continue, after it has been completed.

1. What are the main development changes achieved by UNDAF that are likely to last? Which outcomes can be permanently sustained without further interventions? Did the beneficiaries and their organizations gain significant new capacities in order pursuit of their own development objectives?
2. Does the UNDAF include strategies to ensure sustainability? What are the opportunities and risks to the sustainability of UNDAF? How has UNDAF contributed to sustainability of results of Country Programmes and projects of individual UN agencies?
3. Has UNDAF enabled innovative approaches embedded in institutional learning for national capacity development (government, civil society and NGOSs) to enable these

actors to continue achieving positive results without the UN/development partners' support?

4. To what extent did the UNDAF contribute to developing an enabling environment (including capacities of rights holders and duty bearers) and institutional changes to advance Human Rights and Gender Equality issues? Did UNDAF manage to create sufficient technical expertise, financial independence and mechanisms through which rights-holders may participate in and assert the fulfilment of their rights?

Enabling / explanatory factors: While assessing performance using the above criteria the evaluators will have to identify the various factors that can explain the performance. This will allow lessons to be learned about why the UNCT performed as it did.

The evaluation matrix should also incorporate the following **cross-cutting questions** related to the internal UN coordination and application of the UNDAF programming principles in the implementation of the UNDAF:

UN Coordination. Did UN coordination reduce transaction costs and increase the efficiency of UNDAF implementation? To what extent did the UNDAF create actual synergies among agencies and involve concerted efforts to optimize results and avoid duplication?

UNDAF Programming Principles. To what extent have the UNDAF programming principles (Leaving no one behind, (LNOB), Human Rights-based approach, Gender Equality and Women Empowerment, Sustainability and Resilience, and Accountability) been considered and mainstreamed in the UNDAF chain of results? Were any shortcomings due to a failure to take account of UNDAF programming principles during implementation? Specifically, the Evaluation should assess the extent to which the United Nation's system commitment to the human rights-based approach and gender mainstreaming strategy with a focus on hard-to-reach and vulnerable groups have been fulfilled.

Other factors. A number of country-specific factors that have affected the performance of the UNCT in the framework of the UNDAF will also be examined:

- How well did the UNCT use its partnerships with civil society/private sector/local government/parliament/national human rights institutions/international development partners to enhance delivery of results ?
- Regarding ownership of objectives and achievements, to what extent was the "active, free, and meaningful" participation of all stakeholders (including non-resident agencies) ensured in the UNDAF process? Did they agree with the outcomes and continue to remain in agreement? Was transparency in policies and project implementation ensured? What mechanisms were created throughout the implementation process to ensure participation?
- Did the UNCT undertake appropriate risk analysis and take appropriate actions to ensure that results to which it contributed are not lost? To what extent are the benefits being, or are likely to be, maintained over time.
- How adequately did the UNCT respond to change (e.g. change of leadership, new reforms, etc.) in planning and during the implementation of the UNDAF?
- To what extent harmonization measures at the operational level contributed to improved efficiency and results?

5. Methodology

The Evaluation will be carried out in accordance with the UNEG Evaluation Norms and Standards for Evaluation[10], the UNEG Ethical Guidelines for Evaluation[11] and UNEG Code of Conduct for Evaluation in the UN System[12] and informed by the UNEG Guidance on *Integrating Human Rights and Gender Equality in Evaluation*[13]. This is a summative evaluation involving qualitative and quantitative methods to evaluate the UNDAF implementation and performance and to make recommendations for the next programming cycle.

Once an Evaluation Team is selected, a thorough preparatory work should be conducted by the Evaluation Team to fine-tune the evaluation methodology, data collection methods and required evaluation tools. An Evaluation Plan will be developed accordingly. The evaluation questions and the evaluation matrix will be detailed out and finalized by the evaluation team in the inception report.

The Final UNDAF evaluation methodology must meet the gender-related UNEG Norms and Standards and demonstrate effective use of the UNEG Guidance on integrating human rights and gender equality during all phases of the evaluation using the norms of the United Nations System Wide Action Plan for Gender Equality and Empowerment of Women (UN-SWAP)[14].

5.1 Data collection methods

The UNDAF evaluation will draw on a variety of data collection methods including, but not limited to:

- Document review focusing on UNDAF planning documents, annual UNDAF progress reviews and annual reports, agencies' evaluation reports (including those on projects and small-scale initiatives), strategy papers, national plans and policies and related programme and project documents. These should include reports on the progress against national and international commitments.
- Semi-structured interviews with key stakeholders including key government counterparts, donor community members, representatives of key civil society organisations, UNCT members, and implementing partners.
- Surveys and questionnaires including participants in development programmes, UNCT members, and / or surveys and questionnaires involving other stakeholders.
- Focus Group discussions involving groups and sub-groups of stakeholders, decision-makers.
- Other methods such as outcome mapping, observational visits, etc.

Data collection methods must be linked to the evaluation criteria and evaluation questions that are included within the scope of the evaluation.

Data collection methods and process should consider gender sensitivity and data should be systematically disaggregated by sex and age and, to the extent possible, disaggregated by geographical region, ethnicity, disability, migratory status and other contextually-relevant markers of equity.

5.2 Document review and gap analysis

Due to the broad scope of UNDAF's implementation a very large number of documents and reports (published and unpublished) are available for review (a full list of reference documents

[10] http://www.unevaluation.org/document/detail/1914
[11] http://www.unevaluation.org/document/detail/102
[12] http://www.unevaluation.org/document/detail/100
[13] http://www.unevaluation.org/document/detail/1616
[14] http://www.unevaluation.org/document/detail/1452

which will have to be expanded with other relevant sources upon the initial desk review will be provided to the evaluation team). Some may be subject to only a general review while others will require detailed scrutiny. Key sources of information will include joint work plans, results frameworks, annual reports, evaluations and documents related to relevant work of other organizations. UNCT will create an online repository for these documents so that the evaluation team can access all the relevant data before the evaluation mission.

5.3 Stakeholder analysis

Based on the desk review and professional knowledge of the issues, the evaluation team will conduct a stakeholder analysis. With the support of the UNCT, this analysis should be used to ascertain which individuals and organizations need to be included as part of the consultation process during the evaluation mission.

5.4 Conduct of the Evaluation

UNDAF Evaluation will be carried out between July and September 2019 (with dissemination in October 2019) within a timeframe of **40 working days.**

The UNDAF evaluation will be conducted in three phases:

- **Preparation** The preparatory stage includes discussion and reflection on the evaluation with key stakeholders, establishing the elements of the evaluation management structure and setting up an Evaluation Management Group, and recruitment of the evaluation team based on the endorsed TOR;
- **Conduct / implementation.** The evaluation team will prepare an inception report that will operationalize the design elements made in this ToR and will undertake data collection. Preliminary findings will be presented to all the above referred stakeholders and, based on their feedback, a final report will be produced.

During the inception phase, the Evaluation Team and the Evaluation Management group will review and refine the work plan and will agree on different aspects of the evaluation including the design, approach, scope and timeframe and the evaluation methodology. The product of this agreement will be materialized with **an inception report**. The report should include the results of desk review, description of evaluation methodology/methodological approach, data collection tools, data analysis methods, key informants, evaluation questions, performance criteria, issues to be studied, work plan and reporting requirements. Once the inception report has been delivered and approved, the evaluation team will proceed with data collection and analysis work.

- **Follow-up and use.** Once the evaluation report is completed and validated by the Evaluation Steering Committee, it is made publicly available by posting in UNSDG and UNCT websites and disseminated amongst all the different evaluation stakeholders. The UNCT represented in the Evaluation Steering Committee will endorse a management response to the evaluation recommendations. This includes committing follow up actions to the recommendations as well as establishing responsibilities for the follow up.

Expected deliverables:

The evaluation team is expected to produce the following deliverables:

- An Evaluation Work Plan, which defines the specific evaluation design, tools and procedures, outlining specific dates for key deliverables;

- An inception report outlining the evaluation team's understanding of the issues under review including a review framework and a detailed work plan. It further refines the overall evaluation scope, approach, design and timeframe, provides a detailed outline of the evaluation methodology;
- A presentation with preliminary findings to be shared with the ESC/UNCT and The UNDAF Result groups;
- A draft report for circulation and identification of factual corrections from stakeholders and for quality assurance;
- A final review report and presentation.
- Assist UNCT in developing a Follow-up plan.

Structure of the Evaluation Report

The results of the UNDAF Evaluation will be presented in the UNDAF Evaluation Report as per a below standard outline.

- Chapter 1: Introduction (objectives, scope and methodology, limitations)
- Chapter 2: National development context
- Chapter 3: Evaluation Findings (corresponding to the UNDAF outcomes with each analysed by evaluation criteria)
- Chapter 4: Conclusions and Forward-Looking Recommendations

This outline should be considered during the inception phase and taking account of the specific scope and focus of the evaluation, a detailed outline of the UNDAF evaluation report should be included in the inception report.

The final report will include an Executive Summary and must be kept short (50-75 pages maximum excluding annexes). More detailed information on the context, the programme or the comprehensive aspects of the methodology and of the analysis will be placed in the annexes. The report will be prepared in accordance with UNEG guidance (Quality Checklist for Evaluation Reports).

The UNDAF evaluation report will be publicly disclosed documents and therefore should adhere to ethical norms and standards for data protection.

5.4. Validation and Follow-up

The UNDAF evaluation will use a variety of validation methods to ensure that the data and information used, and conclusions made carry the necessary depth. Triangulation of information sources and findings will help improve validity, quality and use of evaluation.

The findings of the evaluation report will be reviewed jointly by Evaluation Steering Committee, (ESC), comprising UNCT and national stakeholders to ensure that the key recommendations are validated and incorporated into the design of new strategic framework. The UNCT will draft a management response outlining how the evaluation findings will be applied, including a timeframe and responsibilities for follow up.

Lessons learned from the evaluation will be extracted and disseminated by the UNCT in order to contribute to strategic planning, learning, advocacy and decision-making at all levels, including for the formulation of the new UNDAF (SDCF) document. The full evaluation report will be made public through the UNCT internet platform and shared in the form of electronic and hard copies to the key national stakeholders. The UN Uzbekistan Communication Group will develop suitable visibility materials to communicate the most important UNDAF evaluation findings to wider audiences.

6. Management of the UNDAF Evaluation

6.1 *Evaluation Management Structure:*

As per UNEG norms and standards, UNDAF evaluations should involve all key stakeholders from the start, in order to bolster ownership and, consequently, use of evaluation findings. The UNDAF Evaluation Team led by the Team Leader will work under the supervision of a dual-tiered evaluation management structure.

Direct supervision will be provided by the UNDAF **Evaluation Management Group (EMG),** which will function as the guardian of the independence of the evaluation. The EMG will include:

- Appointed staff member of the Resident Coordinator's Office who will lead the EMG and acts as Evaluation Task Manager
- Monitoring & evaluation officers from the following agencies: UNICEF, UNODC and ILO
- Representative from the Ministry of Economy and Industry as a key national counterpart.

This group will be responsible for the day-to-day implementation of the evaluation and management of the evaluation budget. The key roles of the EMG are:

- To finalize the TOR for the evaluation in coordination with the UNCT
- To lead the hiring of the team of external consultants, reviewing proposals and approving the selection of the evaluation team;
- To oversee and guide the evaluation team in each step of the evaluation process;
- To review, provide substantive comments and approve the inception report, including the work plan, analytical framework and methodology;
- To review and provide substantive feedback to the draft and final evaluation reports, for quality assurance purposes;
- To ensure the quality and independence of the evaluation and to guarantee its alignment with UNEG Norms and Standards and Ethical Guidelines;
- To identify and ensure the participation of relevant stakeholders in coordination with the ESC throughout the evaluation process;
- To ensure the evaluation findings and conclusions are relevant and recommendations are implementable; and
- To contribute to the dissemination of the evaluation findings and follow-up on the management response

The decision-making organ for the UNDAF Evaluation is the **Evaluation Steering Committee** (ESC) that will consist of the UN Country Team and the selected members of the UNDAF Steering Committee from Government. All key deliverables will be approved by the ESC.

The **Evaluation Steering Committee** is also the main body responsible for providing a written and agreed **management response** to the evaluation within two months of receiving the final evaluation report.

The UN Country Team will be also expected to facilitate the process of evaluation and ensuring the adequate data flows with the represented institutions/agencies.

6.2. Quality Assurance

The **Evaluation Steering Committee** will provide oversight of the evaluation process, exercising quality assurance. The **Evaluation Management Group** will play an important role in providing strategic, methodological and substantive advice into the evaluation process as well as a peer review for the key outputs including the main report. Meetings of the EMG will be specified in the evaluation work plan.

The Evaluation Design and Methodology, Evaluation Inception Report and Final Evaluation Report will be submitted to relevant internal peer review mechanisms established within the UN system, including UN Development Coordination Office and Regional Peer Support Group, for the quality review and feedback.

The selected consultants will be required to clearly identify any potential ethical issues and approaches to the UNDAF evaluation, as well as the processes for ethical review and oversight of the evaluation process in their proposal.

6.3 Evaluation Team Composition

The UNDAF Evaluation will be undertaken by an Evaluation Team to consist of one International Expert as a Team leader and one national consultant as a team member. The Evaluation Team will have to work in full independence from the evaluation commissioners in line with below responsibilities.

- The **evaluation team leader** will lead the entire evaluation process, working closely with all team members. He/she will conduct the evaluation process in a timely manner and communicate with the Evaluation Management Group on a regular basis and highlight progress made/challenges encountered. The team leader will be responsible for producing the inception report and the draft and final evaluation reports.
- The **team member** will contribute to the evaluation process substantively through data collection and analysis. He/she will share responsibilities for conducting desk review and interviews and conduct field visits to the project sites identified and collect data. He/she will provide substantive inputs to the inception report as well as to the draft and final reports.

The selection of the Evaluation team will be based on the following criteria:

- Extensive knowledge of, and experience in applying, qualitative and quantitative evaluation methods and in a wide range of evaluation approaches;
- A strong record in designing and leading evaluations**;**
- Data collection and analysis skills;
- Expertise on gender equality and human rights would be an advantage;
- Process management skills such as facilitation skills and ability to negotiate with a wide range of stakeholders;
- Technical competence in undertaking complex evaluations which involve use of mixed methods;
- Prior experience in working with multilateral agencies;
- Knowledge of UN role, UN reform process and UN programming at the country level, particularly UNDAF;
- Strong experience and knowledge in the UNDAF Programming Principles
- Additional qualifications required and skills such as language proficiency or in-country or regional experience should also be demonstrated.

The members of the evaluation team should be independent from any organizations that have been involved in designing, executing or advising any aspect of the UNDAF subject of the evaluation

The consultancy is expected to take maximum 40 working days (International consultant: 10 working days onsite and 25 working days offsite; National consultant: 20 working days onsite). The consultancy will start in July 2019 and must be completed before end of September 2019 with submitting a final report.

7. Evaluation Calendar

The evaluation should follow the steps and deliverables as presented in the following evaluation calendar:

Phase I – Preparation	Responsible Parties		Timeframe	
	Lead Party	Other Parties	Begin	End
1. Evaluation Steering Committee (**ESC**) is established.	**UNCT**	**National counterparts**	**May 2019**	**May 2019**
2. Evaluation Management Group Members (**EMG**) are designated.	**UNCT**	**M&EDG**	**May 2019**	**May 2019**
3. Drafting, consulting and finalizing the TOR: RCO is responsible for drafting the TOR, in close consultation with the **ESC** that will validate the final TOR	**RCO and EMG**	**M&EDG**	**May 2019**	**June 2019**
4. Selection of an Evaluation Team: the RCO and EMG will open a bidding process for the recruitment of an Evaluation Team based on the agreed upon TOR for the evaluation. An Evaluation Team will be selected by the EMG based on an assessment of the proposals received against selection criteria developed. Interviews may also be conducted with candidates.	**RCO and EMG**	**UNCT**	**June 2019**	**June 2019**
5. Contracting of Evaluation Team: the UNDP Operations on behalf of the RCO prepares a contract with the Evaluation Team/consultants based on their agreement to conduct the evaluation according to the specifics outlined in the TOR. The contract outlines the responsibilities of the Evaluation Team, duration, fees, travel, etc.	**UNDP Operations and RCO**	**UNCT**	**June 2019**	**July 2019**

PHASE II - Conduction of the Study	Responsible Parties		Time frame	
	Lead party	Other	Begin	End
1. Briefing of the Evaluation Team: the **EMG,** in close collaboration with the UN RGs Secretariats and M&EDG, provides access to all relevant documentation to the **Evaluation Team**. All relevant stakeholders facilitate access to all necessary information.	**EMG**	**UNCT, RGs, M&EDG**	**July 2019**	**July 2019**
2. Development of an evaluation work plan: in consultation with the **EMG,** the evaluation team, prepares a detailed work plan outlining specific dates for key deliverables.	**Evaluation Team**	**EMG**	**July 2019**	**July 2019**
3. Inception Stage: to clarify the understanding and expectations of how the evaluation will be undertaken, the **Evaluation Team** will present to the **ESC/UNCT and EMG** an Inception Report that refines the overall evaluation scope, approach, design and timeframe, provides a detailed outline of the evaluation methodology.	**Evaluation Team**	**EMG**	**July 2019**	**July 2019**
4. Data Collection including mission to the country**:** The **Evaluation Team** collects data deploying various data collection methods agreed upon in the Inception Report such as observation, interviews, focus groups and surveys. Relevant stakeholders from UNCT and the different UN agencies will facilitate access to information and provide all necessary logistical and organisational support.	**Evaluation Team**	**EMG**	**Weeks 1-2 August 2019**	**August 2019**
5. Preliminary findings: The **Evaluation Team** delivers a presentation on the evaluation preliminary findings to the **ESC/UNCT and EMG.**	**Evaluation Team**	**UNCT, EMG**	**Week 3 August 2019**	**August 2019**
6. Reporting: **Evaluation Team** prepares the report in accordance with the UNEG Norms and Standards. The report has to be logically structured, containing evidence-based findings, conclusions, lessons and recommendations.	**Evaluation Team**	**EMG, UNCT**	**Week 1 September 2019**	**September 2019**
7. **Evaluation Team** delivers a presentation for the **ESC** and **EMG**.	**Evaluation Team**	**EMG, UNCT**	**Week 2 September 2019**	**September 2019**

8. **EMG and ESC** provide final feedback to the Evaluation Team.	**UNCT/ESC and EMG**	**Evaluation Team**	**Week 3 September 2019**	**September 2019**
9. **Evaluation Team** produces a final report based on the final feedback.	**Evaluation Team**	**UNCT**	**Week 4 September 2019**	**September 2019**
Phase III – Follow-up	**Responsible Parties**		**Timeframe**	
	Lead party	**Other**	**Begin**	**End**
1. Dissemination of Evaluation Findings: through the release of the evaluation report. The report is disseminated broadly to internal and external stakeholders, partners, donors and other interested parties. Special efforts should be made to distribute or make the evaluation findings accessible to vulnerable and marginalized groups. The report will also be published on the UNCT website and shared with UN DCO for posting on the UNSDG website.	**RCO**	**UNCT**	**October 2019**	**November 2019**
2. Extraction and Sharing of Lessons Learned: **EMG** will ensure lessons learned from evaluation are extracted and disseminated in order to contribute to strategic planning, learning, advocacy and decision-making at all levels. Lessons should be applied in the design of the following Programme cycle and can feed into knowledge management processes internally.	**RCO**	**UNCT**	**November 2019**	**November 2019**
1. Development of the Evaluation Management Response: **UNCT/ESC** issues a management response that outlines agreed upon actions as to how the evaluation findings and recommendations will be addressed by the UNCT. The Evaluation Management Response should be issued within two months after the evaluation findings become available and shared with DCO and other entities.	**UNCT**	**National counterparts**	**November 2019**	**December 2019**
2. Follow up of implementation of management response actions: This step is beyond the completion of the normal evaluation process and it is normally done as part of annual planning and review processes by the UNCT and other stakeholders.	**UNCT**	**National counterparts**		

Annex – List of documents for desk review

- UNDAF 2016-2020
- 2014 Common Country Assessment
- Government Action Strategy 2017-2021 and other sectorial and thematic programmes and plans
- National Sustainable Development Goals
- Joint UNDAF Work Plans 2016-2017 and 2018-2019
- Action-oriented Roadmap on strengthening cooperation between the UN system and the Government of Uzbekistan
- Country results Reports for 2016, 2017 and 2018
- Results of Annual UNDAF Reviews
- UNCT Annual Reports
- UN Communications Strategy
- Minutes of the Steering Committee Meetings
- Minutes UNCT Retreats
- MAPS mission Report
- Report and Follow up action plan on SWAP Score Card Assessment on Gender Mainstreaming
- Reports of the Joint Programme on Aral Sea
- Surveys/Studies/Evaluations of UN entities' programmes and projects 2016-2018

+ Other documents as required