



**NAÇÕES UNIDAS**  
**SÃO TOMÉ E PRÍNCIPE**



## **Terms of Reference for**

# **Evaluation of Sao Tome and Principe United Nations Development Assistance Framework (UNDAF) 2017-2021**

(extended to 2022)

Abril 2021

United Nations Office of the Resident Coordinator in São Tomé and Príncipe

## **1. INTRODUCTION**

General Assembly Resolution A/RES72/279 (2018) elevated the United Nations Development Assistance Framework (UNDAF), now renamed as the United Nations Sustainable Development Cooperation Framework, “as the most important instrument for the planning and implementation of United Nations development activities in each country, in support of the implementation of the 2030 Agenda for Sustainable Development and the SDGs. The new UN Cooperation Framework (UNCF) will articulate government expectations of the UN development system and represent the system’s collective offer to support the country. Likewise, the UNDAF evaluation<sup>1</sup> will be the main accountability and learning instrument on the UN system’s collective contribution at country level.

The UNDAF evaluation will provide the UN system’s accountability to its members and the public for its support to the country’s sustainable development. It will provide the UN country team (UNCT) an opportunity to reflect on the way they have been supporting the country’s development process and, through a participatory approach, open a dialogue with national stakeholders for future improvements. It will also provide lessons for the UN-system agencies to reflect on their strategy and approaches in support of the countries.

It is expected the applying of a robust evaluation design through the combination of approaches and mixed methods that enable systemic and intersectional assessment of the mainstreaming the UNDAF programming principles and the key cross-cutting issues of the 2030 Agenda (LNOB, gender equality, environmental sustainability); and enable participatory and inclusive processes. It will 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 will 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. It supports institutional learning, contributes to the strategic positioning of the UN system in a country, and serves as the foundation next UNCF 2023-2027.

The UNDAF Evaluation will be conducted through independent yet inclusive processes: implying that the evaluation team will have behavioral independence and the final authorship of the report, while it will be open to the views and concerns expressed by all stakeholders. Evaluations are required to provide actionable recommendations with a clear target audience; UNCTs are responsible to provide an agreed management response, and to monitor progress of implementing the management response.

## **2. COUNTRY CONTEXT AND UNDAF/UNSDCF HIGHLIGHTS**

### **Context of STP**

Sao Tome and Principe is an island country located on the line of the equator, in the Gulf of Guinea, about 300 km from the African continent, composed by two islands (the island of São Tomé and the island of Príncipe) with a total area of 1001 km<sup>2</sup> and are separated from each other by 150 km.

The country has a estimated population of 214,610 in 2021, with an intercensal growth rate of 2.45% of which 50.3% are women and 49.7% are men. The population is quite young. The age group between 0 and 25 years old represents more than 62% of the population. The young population has increased considerably over the past decades (with an estimated natural growth rate of 2.0% in 2019), which may imply, in the long term, a challenge for the country's development in terms of access. employment, housing, education, health, transport, etc. Thus, the demographic dividend has been integrated into the National Sustainable Development Plan of São Tomé and Príncipe 2020-2024, which represents a strategic opportunity to achieve the aspirations and objectives enshrined in the

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<sup>1</sup> During the transition period, the UNCF evaluations may still be examining contributions made under UNDAF rather than UNCF, given the reflective nature of evaluation. These guidelines equally apply to such cases. In this sense, UNCF should be read interchangeably as UNDAF as appropriate throughout this document.

Agenda 2063 and the Agenda 2030, and a key instrument for accelerating economic growth and increasing the development of human capital.

According to the Family Budget Survey, IOF (2017), 66.7% of the population is poor. Poverty mainly affects households headed by women (61.6%). The average income is insufficient or low, because of the lack of paid employment is considered to be the main cause of poverty. Inequality in São Tomé and Príncipe is high based on international standards according to World Development Indicators. The value of the Gini index in 2017 was 48.4.

The economy of São Tomé and Príncipe is highly vulnerable to exogenous shocks and depends on official development assistance (ODA), which financed 97.3% of the state budget in 2019. The economic sector is still fragile and little diversified and consists mainly of the production and export of cocoa which accounts for about 90% of total export earnings.

São Tomé and Príncipe reach the level of average human development in 2019 due to the improvement of social indicators, with a human development index (HDI) of 0.625 at the 135th position, among 189 countries. The HDI has evolved positively by 6 positions compared to 2017. At the end of 2015, the country reached the Millennium Development Goals linked to universal education, with a net primary school enrollment rate of 99%, and that linked to the reduction of infant mortality, with an infant mortality rate that decreased from 38 deaths per 1,000 births in 2014 to 14 deaths per 1,000 live births in 2019.

The health, humanitarian and economic challenges posed by the COVID-19 pandemic have required the mobilization of resources, consultation and coordination among the United Nations country team to support the efforts of national authorities to prevent and contain the disease. spread of the epidemic in the country. In this context, a joint multisectoral UN response strategy to COVID-19 was developed around 3 axes: i) preparation and response to the epidemic, ii) mitigation of the socioeconomic impact; and iii) recovery phase.

#### **UNDAF/UNSDCF Highlights**

The United Nations Development Assistance Framework (UNDAF) 2017-2021 was designed to strategically enhance the coherence of the UN System's response to support the Government of Sao Tome and Principe (STP) in achieving its national priorities. The UNDAF formulation process started in 2015 with the development of a Country Analysis complementing existing national analytical work. Based on this analysis, the UNDAF was formulated in close alignment with the national priorities stipulated in the National Transformation Agenda 2030.

The UNDAF provide a strategic development vision that the Government of STP and the UN Country Team (UNCT) are committed to realize over the period 2017-2021. The UNDAF is a fundamental programming instrument for UN System coherence and harmonization of response to national development challenges and complies with the underlying principles of the UN reform process. The UNDAF was developed in a participative approach in consultation with the national authorities and implementing partners. The strategic orientations of the SNU at STP for the period 2017-2021 are directly linked to three main national strategic axes, namely:

1. strengthening Social Cohesion through access to basic quality social services aimed at reducing inequality and disparity between citizens and localities
2. strengthening the internal and external credibility of the country and;
3. promoting inclusive sustainable growth and resilience.

The UN and the Government of STP have identified 3 concrete outcomes in these 3 priorities areas, namely:

- **Outcome 1:** Reduction of disparities and inequalities at all levels through the development and use of social protection and basic social services by the most vulnerable populations;
- **Outcome 2:** Increased efficiency of central and local public administration and oversight institutions, with guaranteed citizen participation, especially for youth and women.
- **Outcome 3:** Employment and competitiveness are ensured through economic diversification, the development of resilience to climate change, which improves the quality of life of poor and vulnerable populations in rural and urban areas as well as access to financial assistance and at the market for young people and women.

For each outcome, the UN system is expected to deliver a set of outputs to achieve these changes in behavior and/or performance. The UNDAF has been implemented by the UN system in conjunction with the Government of STP, building on national processes and systems and through the assurance of continued alignment with national priorities and the principles of national ownership, mutual accountability and managing for results.

The UNDAF outcomes are being achieved through a ‘delivering-as-one’ approach – with a strategic UNDAF developed at the outcome level, inter-agency Results Groups responsible for development of Joint Work Plans for each of the 3 respective UNDAF outcomes, including their implementation, monitoring, and reporting with IPs and a Joint Steering Committee (JSC) that provides formal oversight and management direction.

The UNCT and the Resident Coordinator are responsible for the effectiveness of the United Nations activities. Under the overall UNCT umbrella and oversight, Outcome results Groups were established for each of the 3 outcomes set out in the UNDAF. The following resident and non-resident UN agencies and programmes signed the UNDAF framework at the beginning of the cycle: FAO, ILO, OHCHR, ONUDC, UNDP, UNFPA, UN-HABITAT, UNICEF, WFP, WHO. Others non-residents agencies and programmes have joined during the implementation through the joint workplans such as, IFAD, UNESCO.

Taking into account the COVID-19 pandemic has influenced the timeline of the preparation of the new programming cycle, consequently the UNCT requested one-year extension of the current UNDAF period, i.e. until 2022, to allow the new cooperation framework, in addition to responding to national priorities regarding the objectives of sustainable development, be able to contribute to the recovery of the socio-economic impacts of the COVID-19 pandemic.

### **UNDAF Evaluation in the context of STP**

The UNCT STP, in collaboration with its Government partners is currently in the process of preparing the 2017-2022 UNDAF Evaluation. The rationale for this UNDAF evaluation is twofold: 1) to use the findings strategically to inform the next UNCF cycle 2023-2027, to better integrate Agenda 2030 and the SDGs to better align and target UN interventions that will support the country in reaching its 2030 commitments; and 2) to use the independent evaluation process and findings as an accountability tool of the results achieved to date and potential impact of the UN interventions, including key lessons learned and good practices for the UNCT in STP and its partners from the current UNDAF cycle.

The evaluation will also take into account the relevance, effectiveness and impact of the Joint Programme (JP) funded by the Joint SDG Fund for Social protection “Reaching the furthest behind first: A catalytic approach to supporting the social protection in Sao Tome & Principe” which was granted to the UN STP team in 2019. The JP aims at contributing to the acceleration of implementation of UNDAF in the area of social protection in particular, to Outcome 1 of the UNDAF. A brief description of the JP and its results framework is provided in Annex B of this document.

The UNDAF evaluation will seek to be independent, in accordance with the principles outlined in the UNEG ‘Ethical Guidelines for Evaluation’. The evaluation will be conducted in a consultative manner and will engage the participation of a broad range of stakeholders.

### **3. THE EVALUATION PURPOSE, OBJECTIVES AND SCOPE**

#### **3.1. Purpose**

The UNDAF 2017-2022 evaluation will pursue the following two purposes, as outlined in the interim 2019 UNCF evaluation guideline, for being the main accountability and learning instrument for the collective UN system support at the country level, namely: (i) demonstrate accountability to stakeholders on performance in achieving development results and on invested resources, including the joint programme funded by the Joint SDG fund; (ii) support evidence-based decision-making.

#### **3.2. Objectives**

The **objectives** of the UNDAF 2017-2022 Evaluation are:

- i. To provide the UNCT STP, national stakeholders and rights-holders, UNDCO as well as a wider audience with an independent assessment of the STP UNDAF 2017-2022.
- ii. To broaden the evidence base to inform the design of the next UNCF programme cycle.

The **specific objectives** of the UNDAF 2017-2022 evaluation are:

- i. To provide an independent assessment of the relevance, effectiveness, efficiency and sustainability of UN in STP support, including through the implementation of the joint programme funded under the Joint SDG fund.
- ii. To provide an assessment of the UNCT coordination mechanisms, with a view to enhancing the UN in STP collective contribution to national development results.
- iii. To draw key conclusions from past and current cooperation and provide a set of clear, forward-looking and actionable recommendations and identify lessons learned and good practices for the next programme cycle.

#### **3.3. Scope**

##### **Geographic Scope**

The evaluation will cover the areas where UN implemented interventions: All districts and Region Autonomy of Principe.

##### **Thematic Scope**

The evaluation will cover the thematic areas of the UNDAF 2017-2022: Social Cohesion, Governance and Economic Growth and Resilience. In addition, the evaluation will cover cross-cutting issues, such as (human rights-based approach, gender equality, people with disability, environmental sustainability), and transversal functions, such as (coordination; results-based management, capacity development; monitoring and evaluation; innovation; resource mobilization; strategic partnerships). Finally, the evaluation will include, and analysis of the results achieved through the implementation of the Joint SDG Fund Programme for Social protection.

*Focus on Disability of the Joint Programme “Reaching the furthest behind first: A catalytic approach to supporting the social protection in Sao Tome & Principe”*

As persons with disabilities are among the most vulnerable and marginalized groups across countries and considering the critical role that social protection can play in supporting their inclusion, most joint programs had identified them as direct or indirect beneficiaries. In line with the Leaving No One Behind principle and the obligations stemming from the Convention on the rights of persons with disabilities, even programs that do not target directly persons with disabilities should ensure that persons with disabilities within targeted population can access the program without discrimination.

The evaluation will therefore assess to what extent:

- Joint programme design, implementation, and monitoring have been inclusive of persons with disabilities (accessibility, non-discrimination, participation of organizations of persons with disabilities, data disaggregation)

- Joint programme effectively contributed to the socio-economic inclusion of persons with disabilities by providing income security, coverage of health care, and disability-related costs across the life cycle.

### **Temporal Scope**

The evaluation will cover interventions planned and/or implemented within the time period of the current UNDAF 2017-2022.

## **4. EVALUATION CRITERIA AND PRELIMINARY EVALUATION QUESTIONS**

### **4.1. Evaluation Criteria**

As per the 2019 UNEG interim new guidelines, the evaluation questions are the core elements that define the evaluation. The evaluation questions will determine the objectives of the evaluation and how it should be conducted. The Evaluation Report must provide answers to the evaluation questions in its conclusions and ensure clarity of connection between the questions and the conclusions. Because of the high level of UNDAF/UNCF objectives and the complexity arising from UNCTs' multi-actor nature, the evaluation questions cannot be based simply on the traditional evaluation criteria. For UNDAF/UNCF evaluations, the evaluation questions should assess the following dimensions: *Relevance and appropriateness of the UN system support; Coherence of the UN system support and the effectiveness of the Cooperation Framework; Conformity with the crosscutting principles.*

### **4.2. Preliminary Evaluations questions**

The evaluation of the UNDAF 2017-2022 will provide answers to the evaluation questions (related to the above dimensions), which determine the thematic scope of the UNDAF evaluation. The evaluation questions presented below are indicative and preliminary. Based on these questions, the evaluators are expected to develop a final set of evaluation questions, in consultation with the evaluation manager and the ECG.

#### **a) Relevance and appropriateness of the UN system in STP support**

- ✓ Has the UN system in STP supported achievement of national development goals and targets, in alignment to relevant national plans and frameworks?
- ✓ Has the UN system in STP addressed key issues and development challenges identified by the UN Common Country Assessment and in the achievement of the Sustainable Development Goals?
- ✓ Has the UN system in STP support prioritized and extended in such a way to leave no one behind?
- ✓ Has the UN system in STP paid proper attention to regional and cross-border issues of importance?
- ✓ Has the UN system in STP remained responsive to emerging and unforeseen needs of the country and the people?

#### **b) Coherence of the UN system in STP support and the effectiveness of the Cooperation Framework**

- ✓ Has the UN system in STP collectively prioritized activities based on the needs (demand side) rather than on the availability of resources (supply side), and reallocated resources according to the collective priorities if necessary?
- ✓ Has the UNDAF 2017-2027 strengthened the position, credibility and reliability of the UN system as a partner for the government and other actors?
- ✓ Has the UNDAF 2017-2022 strengthened the coherence of support by UNCT members towards the common objectives?

#### **c) Supporting transformational changes**

- ✓ Has the UN system in STP support extended in such a way to build national and local capacities and ensure long-term gains?

- ✓ Has the UN system in STP leveraged all sources of financing and investments, rather than relying mostly on donor funding for its activities, to ensure the scale of impact necessary for attaining the 2030 Agenda?
- ✓ Has the UN system in STP promoted and supported inclusive and sustainable economic growth that leaves no one behind and strengthen ecological foundation of the economy and the society?
- ✓ Has the UN system in STP promoted or supported policies that are consistent among each other and across sectors, given the multi-sectoral nature of social and economic development?
- ✓ Has the UN system in STP supported the country and the people in strengthening economic and individual resilience and contributed to reducing vulnerability against shocks and crises?

**d) Conformity with the crosscutting principles**

- ✓ Has the UN system in STP support extended in such a way to promote gender equality?
- ✓ Has the UN system in STP support followed the Human Rights principles?
- ✓ Has the UN system in STP support designed and delivered in due consideration to environmental implications?

**e) Joint Programme and its contribution to the UNDAF**

- ✓ Has the JP Accomplished of the main expected results?
- ✓ Has the JP contributed to improving the situation of vulnerable groups identified in the JP document (ProDoc)
- ✓ To what extent did the program target persons with disabilities?
- ✓ To what extent did support to data collection and analysis, registries, and information system feature disability?
- ✓ To which extent did the program contribute to support inclusion of persons with disabilities via:
  - Ensuring basic income security
  - Coverage of health care costs, including rehabilitation and assistive devices
  - Coverage of disability-related costs, including community support services
  - Facilitate access to inclusive early childhood development, education, and work/livelihood
- ✓ Has the JP contributed to SDG acceleration (as per SDG matrix in Annex B)?
- ✓ Has the JP contributed to the UNCT coherence?

The final evaluation questions and the evaluation matrix will be presented in the inception report.

## **5. APPROACH AND METHODOLOGY**

### **5.1. Evaluation Approach**

#### **Theory-based approach**

The UNDAF evaluation will adopt a theory-based approach that relies on an explicit theory of change, which depicts how the interventions supported by the UN STP are expected to contribute to a series of results (outputs and outcomes) that contribute to the SDGs. The theory of change also identifies the causal links between the results, as well as critical assumptions and contextual factors that support or hinder the achievement of desired changes. A theory-based approach is fundamental for generating insights about what works, what does not and why. It focuses on the analysis of causal links between changes at different levels of the results chain that the theory of change describes, by exploring how the assumptions behind these causal links and contextual factors affect the achievement of intended results.

The theory of change will play a central role throughout the evaluation process, from the design and data collection to the analysis and identification of findings, as well as the articulation of conclusions and recommendations. The evaluation team will be required to verify the theory of change underpinning the UNDAF 2017-2022 and use this theory of change to determine whether changes at

output and outcome levels occurred (or not) and whether assumptions about change hold true. The analysis of the theory of change will serve as the basis for the evaluators to assess how relevant, effective, efficient and sustainable the support provided by the UN STP was during the period of the UNDAF 2017-2022. The Theory of change developed to support implementation of the joint programme funded by the Joint SDG Fund on Social Protection will also be analysed to assess the level of progresses achieved throughout implementation in alignment with UNDAF. The JPs theory of change is described in Annex B of this document.

For UNDAF/UNCF evaluations, the theory should cascade from the SDGs to UNDAF/UNCF outcomes to agency outcomes. While the theory of change should have been developed when UNDAF/UNCF was designed, the Evaluation Team and the Evaluation Manager should see if it is sufficiently articulated for the purpose of designing the evaluation, and still organize the workshops. Because of the multiplicity of SDGs and sectors, it is advisable to develop multiple theories – by SDG, for instance – and organize a series of shorter workshops to keep the exercise manageable.

A theory-of-change workshop during the first week of the Evaluation Team’s in-country work is a great opportunity for the Evaluation Team and the UNCT members to develop a common understanding of what ought to happen to achieve the goals, what the UN’s activities are expected to achieve, what interaction will be required with other actors, including government, and so on. Having a common understanding of this kind at the start of the exercise is critical to avoiding dispute at a later date. The outcome of the theory of change workshops should be used as a reference in designing the evaluation and analysing the evidences collected. They could be annexed to the inception and final reports as appropriate.

As part of the theory-based approach, the evaluators shall use a contribution analysis to explore whether evidence to support key assumptions exists, examine if evidence on observed results confirms the chain of expected results in the theory of change, and seek out evidence on the influence that other factors may have had in achieving desired results.

### **Participatory approach**

The UNDAF evaluation will be based on an inclusive, transparent and participatory approach, involving a broad range of partners and stakeholders at national and sub-national levels. An initial stakeholder map will be developed to identify stakeholders who have been involved in the preparation and implementation of the UNDAF and those partners who do not work directly with UN, yet play a key role in a relevant outcome or thematic area in the national context. These stakeholders include government representatives, civil society organizations, implementing partners, the private sector, academia, other United Nations organizations, donors and, most importantly, rights-holders (notably women, adolescents and youth). They can provide information and data that the evaluators should use to assess the contribution of UN support to changes in each thematic area of the UNDAF. Particular attention will be paid to ensuring participation of women, adolescent girls and young people, especially those from vulnerable and marginalized groups (e.g. young people and women with disabilities).

An ECG has been established comprised of key stakeholders of the UNDAF. The ECG will provide inputs at different stages in the evaluation process.

### **Mixed-method approach**

The evaluation will primarily use qualitative methods for data collection, including document review, interviews, group discussions and observations during field visits, where appropriate. The qualitative data will be complemented with quantitative data to minimize bias and strengthen the validity of findings. Quantitative data will be compiled through desk review of documents, websites and online databases to obtain relevant financial data and data on key indicators that measure change at output and outcome levels.



These complementary approaches described above will be used to ensure that the evaluation: (i) responds to the information needs of users and the intended use of the evaluation results; (ii) upholds human rights and principles throughout the evaluation process, including through participation and consultation of key stakeholders (rights holders and duty bearers); and (iii) provides credible information about the benefits for duty bearers and rights-holders (children, women, adolescents and youth) of UN in STP support through triangulation of collected data.

## **5.2. Methodology**

The evaluation team shall develop the evaluation methodology in line with the evaluation approach and guidance provided in the UNEG Guidelines which will help the evaluators develop a methodology that meets good quality standards and the professional evaluation standards of UNEG in accordance in accordance with the UNEG *Norms and Standards for Evaluation*,<sup>2</sup> *Ethical Guidelines for Evaluation*,<sup>3</sup> *Code of Conduct for Evaluation in the UN System*<sup>4</sup>, and *Guidance on Integrating Human Rights and Gender Equality in Evaluations*.<sup>5</sup>

The methodology that the evaluation team will develop builds the foundation for providing valid and evidence-based answers to the evaluation questions and for offering a robust and credible assessment of UN in STP. The methodological design of the evaluation shall include in particular: (i) a theory of change; (ii) a strategy for collecting and analyzing data; (iii) specifically designed tools for data collection and analysis; (iv) an evaluation matrix<sup>6</sup>; and (v) a detailed evaluation work plan and agenda for the field phase.

### **Finalization of the evaluation questions and related assumptions**

Based on the preliminary questions presented in the present terms of reference (section 4.2) and the theory of change underlying the UNDAF, the evaluators are required to refine the evaluation questions. In their final form, the questions should reflect the evaluation criteria (section 4.1) and clearly define the key areas of inquiry of the UNDAF. The final evaluation questions and shall be presented in the design report.

The evaluation questions must be complemented by a set of critical assumptions that capture key aspects of how and why change is expected to occur, based on the theory of change of the UNDAF. This will allow the evaluators to assess whether the preconditions for the achievement of outputs and the contribution to higher-level results, in particular at outcome level, are met. The data collection for each of the evaluation questions and related assumptions will be guided by clearly formulated quantitative and qualitative indicators

### **Sampling strategy**

An initial overview of the interventions supported by UN, the locations where these interventions have taken place, and the stakeholders involved in these interventions. As part of this process, an initial stakeholder map will be prepared to identify the range of stakeholders that are directly or indirectly involved in the implementation, or affected by the implementation of the UNDAF.

Building on the initial stakeholder map and based on information gathered through desk review and discussions EMG, the evaluators will develop the final stakeholder map. From this final stakeholder map, the evaluation team will select a sample of stakeholders at national and sub-national levels who

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<sup>2</sup> Document available at: <http://www.unevaluation.org/document/detail/1914>.

<sup>3</sup> Document available at: <http://www.unevaluation.org/document/detail/102>.

<sup>4</sup> Document available at: <http://www.unevaluation.org/document/detail/100>.

<sup>5</sup> Document available at: <http://www.unevaluation.org/document/detail/980>.

<sup>6</sup> The evaluation matrix is a centerpiece to the methodological design of the evaluation. It is used at all phases of the evaluation. It deserves particular attention from the evaluation manager, who should know how to develop and use it. Both the evaluation manager and the evaluation team should get an in-depth understanding of this tool. The evaluation matrix contains the core elements of the evaluation: (a) what will be evaluated (evaluation criteria, evaluation questions and related issues to be examined – “assumptions to be assessed”); (b) how to evaluate (sources of information and methods and tools for data collection).

will be consulted through interviews and/or group discussions during the data collection phase. These stakeholders must be selected through clearly defined criteria and the sampling approach outlined in the design/inception report. In the design/inception report, the evaluators should also make explicit what groups of stakeholders were not included and why. The evaluators should aim to select a sample of stakeholders that is as representative as possible, recognizing that it will not be possible to obtain a statistically representative sample.

The evaluation team shall also select a sample of sites that will be visited for data collection, and provide the rationale for the selection of the sites in the design report. The RCO will provide the evaluators with necessary information to access the selected locations, including logistical requirements and security measures, if applicable. The sample of sites selected for visits should reflect the variety of interventions supported by UN, both in terms of thematic focus and context. The final sample of stakeholders and sites will be determined in consultation with the evaluation manager/EMG, based on the review of the design/inception report.

### **Data collection**

The evaluation will consider primary and secondary sources of information.

Primary data will be collected through semi-structured interviews with key informants at national and sub-national levels (government officials, representatives of implementing partners, civil society organizations, other United Nations organizations, donors, and other stakeholders), as well as group discussions with service providers and rights-holders (notably women, adolescents and youth) and direct observation during visits to selected sites. Surveys and questionnaires including participants in development programmes, UNCT members, and/or surveys and questionnaires involving other stakeholders could also be considered.

Secondary data will be collected through desk review, primarily focusing on annual work plans, work plan progress reports, monitoring data and results reports, evaluations and research studies (incl. previous evaluations, research by international NGOs and other United Nations organizations, etc.), surveys, census, data repositories of the UNDAF and its implementing partners, such as health clinics/centres. Particular attention will be paid to compiling data on key performance indicators of the UNDAF 2017-2022.

The evaluation team will ensure that data collected is disaggregated by sex, age, location and other relevant dimensions, such as disability status, to the extent possible. The data collection tools that the evaluation team will develop, which may include protocols for semi-structured interviews and group discussions, checklists for direct observation at sites visited or a protocol for document review, shall be presented in the design report.

### **Data analysis**

The evaluation matrix will be the major framework for analyzing data. The evaluators must enter the qualitative and quantitative data in the evaluation matrix for each evaluation question and each assumption. Once the evaluation matrix is completed, the evaluators should identify common themes and patterns that will help to answer the evaluation questions. The evaluators shall also identify aspects that should be further explored and for which complementary data should be collected, to fully answer all the evaluation questions and thus cover the whole scope of the evaluation

Adherence to a code of ethics and a human right based and gender sensitive approach in the gathering, treatment and use of data collected should be made explicit in the inception report. Perspective from both rights holders and duty bearers shall be collected

### **Validation mechanisms**

All findings of the evaluation need to be firmly grounded in evidence. The evaluation team will use a variety of mechanisms to ensure the validity of collected data and information. These mechanisms include (but are not limited to):

- Systematic triangulation of data sources and data collection methods,
- Regular exchange with the evaluation manager/EMG;
- Internal evaluation team meetings to corroborate data and information for the analysis of assumptions, the formulation of emerging findings and the definition of preliminary conclusions; and
- The debriefing meeting at the end of the field phase, when the evaluation team present the emerging findings and preliminary conclusions.

Data validation is a continuous process throughout the different evaluation phases. The evaluators should check the validity of the collected data and information and verify the robustness of findings at each stage of the evaluation, so they can determine whether they should further pursue specific hypotheses (related to the evaluation questions) or disregard them when there are indications that these are weak (contradictory findings or lack of evidence, etc.). The validation mechanisms will be presented in the design/inception report.

## **6. EVALUATION PROCESS**

The evaluation process can be broken down into five different phases that include different stages and lead to different deliverables: preparatory phase; design/inception phase; field phase; reporting phase; and phase of dissemination and facilitation of use. The evaluation manager and the evaluation team leader must undertake quality assurance of each deliverable at each phase and step of the process, with a view to ensuring the production of a credible, useful and timely evaluation.

The Evaluation consultant's team will be responsible for conducting the evaluation. This entails among other responsibilities designing the evaluation according to this terms of reference; gathering data from different sources of information; analyzing, organizing and triangulating the information; identifying patterns and causal linkages that explain UNDAF performance and impact; drafting evaluation reports at different stages (inception, draft, final); responding to comments and factual corrections from stakeholders and incorporating them, as appropriate, in subsequent versions; and making briefs and presentations ensuring the evaluation findings, conclusions and recommendations are communicated in a coherent, clear and understandable manner once the report is completed.

The evaluation process is expected to contain three phases: inception, data collection and field visit; and analysis and reporting.

### **6.1. Preparatory Phase**

The preparatory phase of the evaluation includes preparatory activities such as:

- Appointment of Evaluation manager/EMG.
- Establishment of the ECG.
- Development of the theory of change underlying the UNDAF.
- Compilation of background information and documentation on the country context and UNDAF for desk review by the evaluation team in the design/Inception phase.
- Drafting the terms of reference (ToR) for the UNDAF evaluation for review and approval.
- Publication of the call for consultancy.
- Completion of the annexes to the ToR for review and approval.
- Publication of the call for evaluation consultancy, and recruitment of the consultants to constitute the evaluation team.

### **6.2. Design/Inception Phase**

In the design phase, the activities will be carried out by the evaluation team, in close consultation with the evaluation manager/EMG and the ECG. This phase includes:

- Evaluation kick-off meeting between the evaluation manager/EMG and the evaluation team.
- Desk review of background information and documentation on the country context UNDAF, as well as other relevant documentation.
- Review and refinement of the theory of change underlying the UNDAF.
- Formulation of a final set of evaluation questions based on the preliminary evaluation questions provided in the ToR.

- Development of a final stakeholder map and a sampling strategy to select sites to be visited and stakeholders to be consulted through interviews and group discussions.
- Development of a data collection and analysis strategy, as well as a concrete and feasible evaluation work plan and agenda for the field phase
- Development of data collection methods and tools, assessment of limitations to data collection and development of mitigation measures.

At the end of the design phase, the evaluation team will develop a design/inception report that presents a robust, practical and feasible evaluation approach, detailed methodology and work plan. The evaluation team will develop the design report in consultation with the evaluation manager/EMG and the ECG and submit for review. The template for the design report is provided in Annex C.

### 6.3. Field Phase

The evaluation team will collect the data and information required to answer the evaluation questions in the field phase. Towards the end of the field phase, the evaluation team will conduct a preliminary analysis of the data to identify emerging findings that will be presented to the UNCT and the ECG. The field phase should allow the evaluators sufficient time to collect valid and reliable data to cover the thematic scope of the UNDAF. The field phase includes:

- Meeting with the UNCT to launch the data collection.
- Meeting of the evaluation team with relevant agencies staffs.
- Data collection at national and sub-national levels.

At the end of the field phase, the evaluation team will hold a debriefing meeting UNCT and the ECG to present the emerging findings from the data collection. The meeting will serve as a mechanism for the validation of collected data and information and the exchange of views between the evaluators and important stakeholders and will enable the evaluation team to refine the findings, formulate conclusions and develop credible and relevant recommendations.

### 6.4. Reporting Phase

In the reporting phase, the evaluation team will continue the analytical work (initiated during the field phase) and prepare a **draft evaluation report**, taking into account the comments and feedback provided at the debriefing meeting at the end of the field phase. The draft report will be circulated to the ERG members for review. In the event that the quality of the draft report is unsatisfactory, the evaluation team will be required to revise the report and produce a second draft. On the basis of the comments, the evaluation team should make appropriate amendments, prepare the **final evaluation report** and submit it to the evaluation manager. The final report should clearly account for the strength of evidence on which findings rest to support the reliability and validity of the evaluation. Conclusions and recommendations need to clearly build on the findings of the evaluation. Each conclusion shall make reference to the evaluation question(s) upon which it is based, while each recommendation shall indicate the conclusion(s) from which it logically stems.

The evaluation report is considered final once it is formally approved by the evaluation manager/EMG. The final report should be compliant with UNEG quality checklist of evaluation reports.

### 6.5. Dissemination and Facilitation of Use Phase

In the dissemination and facilitation of use phase, the evaluation team will develop a **PowerPoint presentation of the evaluation results** that summarizes the key findings, conclusions and recommendations of the evaluation in an easily understandable and user-friendly way.

A **communication plan** will be developed and implemented. Overall, the communication plan should include information on (i) target audiences of the evaluation; (ii) communication products that will be developed to cater to the target audiences' knowledge needs; (iii) dissemination channels and platforms; and (iv) timelines. At a minimum, the final evaluation report will be accompanied by a PowerPoint presentation of the evaluation results (prepared by the evaluation team) and an evaluation brief (prepared by the evaluation manager/EMG and communication officer).

Based on the final communication plan, the evaluation results should be shared with all agencies (incl. senior management), implementing partners, the ECG and other target audiences, as identified in the communication plan. If applicable, while circulating the final evaluation report to relevant units, these units contribute to prepare their response to recommendations that concern them directly to be consolidated by the evaluation manager/EMG. The **evaluation brief** (a concise note) will present the key results of the UNDAF, thereby making them more accessible to a larger audience.

## 7. EXPECTED DELIVERABLES AND REPORTING REQUIREMENTS

The Evaluation team will be accountable for producing the following products/deliverables:

- **Inception report:** The design report should translate the requirements of the ToR into a practical and feasible evaluation approach, methodology and work plan. It should include (at a minimum): (i) the evaluation approach and methodology (incl. the theory of change and sampling strategy); (ii) the final stakeholder map; (iii) the evaluation matrix (including the final evaluation questions, indicators, data sources and data collection methods); (iv) data collection tools and techniques (incl. interview and group discussion protocols); and (v) a detailed evaluation work plan and agenda for the field phase.
- **Presentation of the design report:** The PowerPoint will be delivered at an ECG meeting to present the contents of the design report and the agenda for the field phase. Based on the comments and feedback of the ECG, the evaluation manager/EMG, the evaluation team will develop the final version of the design report.
- **Presentation of initial findings and provisional recommendations:** Presentation of initial findings and provisional recommendations- at the end of the field work, the Evaluation team will present their draft findings and provisional recommendations through a PowerPoint presentation summarizing the main findings recommendations and lessons learned and conclusions.
- **Draft Evaluation Report:** A draft report should be 40-50 pages of length (without annexes). Draft report for comments by stakeholders should incorporate (as a minimum) the contents as Annex C.
- **Final Evaluation Report:** A final evaluation report will encompass all key sections required in the draft report and will include additional stakeholder feedback. The final report needs to be clear, understandable to the intended audience and logically organized based on the comments received from stakeholders. The final evaluation report should be presented in a solid, concise and readable form and be structured around the issues in the Terms of Reference (ToR). The report will be prepared in accordance with UNEG guidance (Quality Checklist for Evaluation Reports). The Evaluation team is responsible for editing and quality control and the final report that should be presented in a way that directly enables publication.

## 8. INDICATIVE TIMEFRAME AND WORK PLAN

The table below indicates the key activities that will be undertaken throughout the evaluation process, as well as their duration or specific dates for the submission of corresponding deliverables.

Key Evaluation Phases and Activities	Dates/Duration	Responsible/partners
<b>Preparatory Phase</b>		
Preparation of letter for Government and other key stakeholders to inform them about the upcoming UNDAF evaluation	2 <sup>nd</sup> half of April	RCO
Appointment of Evaluation manager/EMG	2 <sup>nd</sup> half of April	RCO
Establishment of the evaluation consultation (ECG)	2 <sup>nd</sup> half of April	RCO/UNCT
Development of the theory of change underpinning the UNDAF (if needed)	2 <sup>nd</sup> half of April	RCO/UNCT
Compilation of background information and documentation on the country context and the UNDAF for desk review by the evaluation	2 <sup>nd</sup> half of April	RCO/UNCT

team		
Drafting the terms of reference (ToR), Review and approval of the ToR	2 <sup>nd</sup> half of April	RCO/UNCT
Publication of the call for evaluation consultancy and Recruitment of the evaluation team by the CO	2 <sup>nd</sup> half of May	RCO
<b>Design Phase – 14 working days (1<sup>st</sup> half of June 2021)</b>		
Evaluation kick-off meeting between the evaluation manager/EMG, the evaluation team		EM/EMG
Desk review of background information and documentation on the country context and the UNDAF (incl. bibliography and resources in the ToR)		Evaluation Team
Drafting of the design report (incl. approach and methodology, theory of change, evaluation questions, final stakeholder map and sampling strategy, evaluation work plan and agenda for the field phase)		Evaluation Team
Review of the draft design report by the evaluation manager/EMG		
Presentation of the draft design report to the ECG for comments and feedback		Evaluation Team
Revision of the draft design report and circulation of the final version to the evaluation manager for approval		Evaluation Team
<b>Field Phase 20 working days (2<sup>nd</sup> half of June 2021)</b>		
<b>Data collection</b> (incl. interviews with key informants, site visits for direct observation, group discussions, desk review, etc.)		Evaluation Team
<b>Debriefing meeting</b> to present emerging findings and preliminary conclusions after data collection		Evaluation Team
<b>Reporting Phase 16 working days (1<sup>st</sup> half of July 2021) – draft report 5 working days (2<sup>nd</sup> half of July 2021) – final report</b>		
Drafting of the evaluation report and circulation to the evaluation manager		Evaluation Team
Review of the draft evaluation report by the evaluation manager, the ECG		EM/EMG
Drafting of the final evaluation report (incl. annexes) and circulation to the evaluation manager/EMG		Evaluation Team
<b>Dissemination and Facilitation of Use Phase July 2021</b>		
Preparation of the management response		RCO
Development of the communication plan and preparation for its implementation		RCO
Development of the presentation on the evaluation results		Evaluation Team
Development of the evaluation brief		RCO
Publication of the final evaluation report, the evaluation brief and the management response		RCO
Dissemination of the evaluation report and the evaluation brief to stakeholders		RCO

Once the evaluation team leader has been recruited, s/he will develop a detailed **evaluation work plan** in close consultation with the evaluation manager/EMG.

## 9. GOVERNANCE AND MANAGEMENT ARRANGEMENTS OF THE EVALUATION

Detailed governance structures and management arrangements of the evaluation is provided in the Annex A. key summary below:

### **UNDAF Evaluation Steering Committee**

The UNDAF/UNCF evaluation **Steering Committee** will be the body responsible for the proper conduct of UNCF evaluations. The National/UN Joint Steering Committee (JSC) of UNDAF/UNCF, co-chaired by the RC and a government representative, will typically assume this role.

The UNDAF Evaluation Steering Committee, comprised by the RC and UN Head of Agencies and government representatives, is the decision-making organ for the UNDAF evaluation. All key deliverables need to be validated by the UESC. The UESC is also the main body responsible for providing a written and agreed management response to the evaluation within a month of receiving the final evaluation report.

UNCT members or government agency counterparts not on the Steering Committee may opt to join the Consultative Group (defined below). The Steering Committee and the Consultative Group should be formed at the start of the evaluation.

All key deliverables need to be validated by the UESC. The UESC is also the main body responsible for providing a written and agreed management response to the evaluation within a month of receiving the final evaluation report.

### **Evaluation Manager/ Evaluation Management Group (UEMG)**

The Steering Committee will appoint an Evaluation Manager/ Evaluation Management Group (UEMG). The Evaluation Manager/Evaluation Management Group (UEMG) should not be and have not been involved in implementing a programme or a project to be evaluated, have a sound knowledge of the evaluation process and methodology, and understands how to abide by UNEG Evaluation Norms and Standards. Normally, it should be appointed from the RC Office. The RC and UNCT should ensure that the Evaluation Manager/EMG could operate within an environment and conditions conducive to an independent and unbiased evaluation management and is not subject to undue pressure from any interested party.

An UNDAF Evaluation Management Group (UEMG) will provide direct supervision and will function as the guardian of the independence of the evaluation. The UEMG is responsible for the day-to-day implementation of the evaluation including preparation of the ToR, hiring the consultant, supervising and guiding the consultant, reviewing and providing substantive comments on inception report, evaluation work plan, analytical framework and methodology.

The Steering Committee and the Evaluation Manager may also be supported by evaluation officers of agencies, particularly the regional evaluation advisors. When there is shortage of evaluation capacity or expertise within UNCT, such a support should be pro-actively sought.

### **Consultative Group**

The Steering Committee will invite government counterparts and other key stakeholders of UNCT agencies to form a **Consultative Group**. The Consultative Group should be sufficiently inclusive to represent various sectoral interests. Key stakeholders include civil society representatives, in particular those who could reflect interest of various social groups, including women and people who are “left behind”, as well as international development or financing partners. The Group can also include UNCT members not on the Steering Committee, or non-resident agency representatives. The Consultative Group will provide inputs at key stages of evaluation, such as in the design and activity planning, the validation of findings and the forming of recommendations.

## 10. EVALUATION TEAM

The evaluation will be conducted by a team of independent, external evaluators, consisting of: (i) an evaluation team leader with extensive evaluation expertise with overall responsibility for carrying out the evaluation exercise, and (ii) 2 team members who will provide technical support in thematic areas relevant to the UNDAF, i.e. Social Cohesion, Good Governance and, Economic growth and resilience.

The evaluation team leader will be recruited internationally, while the evaluation team members will be recruited locally to ensure adequate knowledge of the country context. The evaluation team should have the requisite level of knowledge to conduct human rights- and gender-responsive evaluations and all evaluators should be able to work in a multidisciplinary team and in a multicultural environment. The duration of the consultancy is **55 working days** for each consultant as outlined in the time frame above. The Team should have proven record of experience in conducting complex evaluations.

### **10.1. Roles and responsibilities of the Evaluation Team**

The team will undertake the following roles and responsibilities:

- ✓ Organizing the work and preparing an evaluation plan for the team;
- ✓ Conducting briefing and debriefing; and facilitating productive working relationships among the team members;
- ✓ Consulting with Evaluation Technical Committee and related partners to ensure the progress and the key evaluation questions are covered;
- ✓ Assuring the draft and final reports are prepared in accordance with the Terms of Reference,
- ✓ Facilitating the meeting to present the main findings and recommendations of the evaluation, and discussing the proposed action plan to implement recommendations including changes in contents and direction of the programme.

### **10.2. Specific tasks of the Evaluation Team**

#### **Team Leader**

The evaluation team leader will hold the overall responsibility for the design and implementation of the evaluation. S/he will be responsible for the production and timely submission of all expected deliverables in line with the ToR. S/he will lead and coordinate the work of the evaluation team and ensure the quality of all evaluation deliverables at all stages of the process. The team leader will undertake the following tasks:

- ✓ Taking the lead in contacting the UNDAF Evaluation Management Group regarding Evaluation-related methodological and planning aspects and ensure that the process is as participatory as possible;
- ✓ Organising the team meetings, assigning specific roles and tasks of the team members and closely monitor the work;
- ✓ Supervising data collection and analysis;
- ✓ Consolidating draft and final evaluation reports, and a proposed action plan with the support provided by team members;
- ✓ Completing the final Evaluation report, which incorporated comments of the UNDAF Evaluation Management Group and key stakeholders;
- ✓ Submitting the draft and final Evaluation report and a proposed action plan to UNDAF Evaluation Management Group and the RCO, on schedule;
- ✓ Presenting the results and facilitating the meeting Specific tasks of the team member.

#### **National consultants**

The national consultants will, under the leadership and supervision of the Team Leader, contribute to the literature review and data collection process by reviewing documents, data quantitative and qualitative, and by conducting interviews, focus groups, workshops, etc...; Collect relevant quantitative and qualitative data, perform analyzes of collected data; Carry out field visits with the main expert in the intervention areas to meet with partners and beneficiaries; Write their assigned sections of the evaluation report; Ensure internal quality assurance and assist in the development of revised versions of the evaluation report, such as:

- ✓ Follow the tasks assigned by the team leader meeting the Evaluation working timetable



- ✓ Data collection and analysis
- ✓ Providing written and verbal inputs to the Team Leader for the development of the evaluation reports – drafts and final
- ✓ Participating in all meetings as per guidance provided by the Team Leader
- ✓ Collecting all comments on the Evaluation report and participating in the report revision process

### 10.3. Qualifications and Experience of the Evaluation Team

#### Team Leader

The competencies, skills and experience of the evaluation team leader should include:

- Master's degree in international development, gender, economics, evaluation, social sciences or related fields;
- A minimum of 10 years of professional experience specifically in the area of evaluation of international development initiatives and development organizations. Results based management and knowledge of the UN architecture and modus operandi will be required.
- Extensive knowledge of, and practical experience in programme development, planning and implementation, including experience in the UN development cooperation system, experience in doing UNDAF reviews/evaluation;
- Strong experience and knowledge in the five UNDAF Programming Principles: human rights (the human rights-based approach to programming, human rights analysis and related mandates within the UN system), gender equality (especially gender analysis), environmental sustainability, results-based management, and capacity development.
- Be exposed and have prior experience of working in international development- working with multi stakeholders including Government especially in Africa
- Have strong research and analytical skills, communication (oral and written), facilitation and management skills with specific experience in undertaking evaluations;
- Sound leadership and organizational skills- demonstrating experience of have managed and lead an evaluation team
- Fluency in spoken and written English; knowledge of Portuguese, Spanish or French language is considered to be an asset.

#### National Consultant (for Social Cohesion area)

The competencies, skills and experience of the evaluation team leader should include:

- Master's degree in social sciences, development economics or related field;
- Specializing in development and monitoring and evaluation
- Minimum of 5 years of experience in evaluation exercises for development strategies / programs on social cohesion.
- Experience in development issues (with focus on health, education, social protection and others social sector);
- Knowledge of the national political, economic and social context, public policies and reforms undertaken, national institutions and the donor community;
- A good understanding and knowledge of bilateral and multilateral cooperation, United Nations agencies, and their planning and programming tools;
- A good knowledge of the gender and the human rights-based approach

#### National Consultant (governance & Economic Growth and resilience area)

The competencies, skills and experience of the evaluation team leader should include:

- Master's degree in social sciences, development economics or related field;
- Specializing in development and monitoring and evaluation
- Minimum of 5 years of experience in evaluation exercises for development strategies / programs on governance & Economic Growth and resilience.
- Experience in development issues (with focus on governance & Economic Growth and resilience)
- Knowledge of the national political, economic and social context, public policies and reforms undertaken, national institutions and the donor community;

- A good understanding and knowledge of bilateral and multilateral cooperation, United Nations agencies, and their planning and programming tools;
- A good knowledge of the gender and the human rights-based approach

#### **10.4. Budget and Payment Modalities**

The payment of fees will be based on the submission of deliverables, as follows:

Upon approval of the design report	20%
Upon submission of a draft final evaluation report of satisfactory quality	40%
Upon approval of the final evaluation report and the PowerPoint presentation of the evaluation results	40%

In addition to the daily fees, the evaluators will receive a daily subsistence allowance (DSA) in accordance with the UN Duty Travel Policy, using applicable United Nations DSA rates for the place of mission. Travel costs will be settled separately from the consultancy fees.

## 11. Bibliography and Resources

The following documents and annexes will be made available to the evaluation team upon recruitment:

### UN and UNEG documents

1. Interim UNCF Evaluation Guideline
2. UNEG Norms and Standards for Evaluation, <http://www.unevaluation.org/document/detail/1914>
3. Ethical Guidelines for Evaluation, <http://www.unevaluation.org/document/detail/102>
4. Code of Conduct for Evaluation in the UN system, <http://www.unevaluation.org/document/detail/100>
5. Guidance on Integrating Human Rights and Gender Equality in Evaluations, <http://www.unevaluation.org/document/detail/980>
6. <http://www.uneval.org/document/guidance-documents>
7. <http://www.unwomen.org/en/how-we-work/un-system-coordination/promoting-un-accountability>
8. <http://www.unevaluation.org/document/detail/607>
- 9.

### National strategies, policies and action plans

10. National Transformation Agenda 2030 (2015)
11. Plan national de développement durable de São Tomé et Príncipe 2020-2024 (2019)
12. Relevant national strategies and policies for each thematic area of programming;
13. Plan National du développement de la santé (2017-2021) ;
14. Relevant national strategies and policies for each thematic area of programming
15. Stratégie intégrée pour la santé de reproduction, maternelle, néonatale, infantile, adolescent et nutrition 2019-2023 (2018) ;
16. Plan d'Action pour l'accélération de la planification familiale 2018-2021 (2017) ;
17. Stratégie Nationale de Développement de la Statistique 2018-2021 ;;
18. Stratégie Nationale de lutte contre la violence basée sur le genre 2019-2023 (2020)
19. Stratégie Nationale pour la promotion du Genre 2019-2026
- 20.

### UN STP programming documents

21. United Nations Development Assistance Framework (UNDAF) 2017-2022
22. United Nations Common Country Analysis/Assessment (CCA) 2015
23. Joint annual /biannual work plans
24. Joint programme documents
25. Mid-term reviews of interventions/programmes in different thematic areas of the UNDAF
26. UN STP resource mobilization strategy

### M&E documents

27. UNDAF M&E Plan 2017-2022
28. UNDAF annual results plans and reports
29. Monitoring reports

### Other documents

30. Meeting agendas and minutes of joint United Nations working groups
31. Donor reports

## ANNEXES

### *Annexe A: Roles and responsibilities of Evaluation Governance and Management Arrangements*

#### **Steering Committee**

The **Steering Committee** is responsible for ensuring the UNCF evaluation is conducted in a timely manner and through proper process, so as to meet quality standards and be useful to the UNCT and to stakeholders. Specifically, the Steering Committee will:

- ✓ decide on the timing of the UNCF evaluation in consultation with government counterparts and invite the counterpart officials and other key stakeholders to form a Consultative Group;
- ✓ inform UNDCO of the launch of the evaluation, so that an Evaluation Advisor can be assigned, and inform UNEG in order to obtain necessary support;
- ✓ appoint the Evaluation Manager;
- ✓ provide sufficient resources to conduct the evaluation – adequate budget should have been allocated in advance but, if needed, adjust it based on actual estimates made by the Evaluation Manager and agree on the funding sources;
- ✓ ensure that office staff give the Evaluation Team their full support;
- ✓ approve the terms of reference;
- ✓ approve the Evaluation Team proposed by the Evaluation Manager and cleared by the UNDCO Evaluation Advisor;
- ✓ ensure the Evaluation Team has access to information and stakeholders;
- ✓ comment on the draft report, using an audit trail;
- ✓ approve the final report after the clearance (with external quality check) by the UNDCO Evaluation Advisor;
- ✓ prepare the Management Response, in consultation with all UNCT members;
- ✓ organize a stakeholder workshop once the final report is ready
- ✓ transmit the report to UNDCO to be placed on global/regional platforms and to relevant offices at regional level, at the agency headquarters; and
- ✓ take measures to disseminate the evaluation, and promote the use of evaluation and lesson learning.

#### **Evaluation Manager/Evaluation Management Group**

The **Evaluation Manager** is responsible for managing the entire process: ensuring that the evaluation is properly conducted, managing the validation and quality-control process, and making sure that the report fulfils the terms of reference. The Evaluation Manager will:

- ✓ conduct the preparatory work needed to define the scope and the evaluation questions by mapping activities, stakeholders and available secondary data (such as evaluation reports, results monitoring data and statistics);
- ✓ draft the terms of reference, circulate them to the Steering Committee and Consultative Group for comment and obtain approval from the Steering Committee and clearance from the Evaluation Advisor at UNDCO;
- ✓ draw-up the initial budget estimate based on the number and levels of Evaluation Team members, the estimated cost of activities required and the availability of secondary data, and obtain approval from the Steering Committee;
- ✓ recruit the Evaluation Team and obtain approval of Team choices from the Steering Committee and clearance from the Evaluation Advisor at UNDCO;
- ✓ provide the Evaluation Team with all the information it needs to conduct the evaluation efficiently and effectively (activity map, stakeholder map, secondary data, etc.) and arrange briefings by UNCT members and Programme Managers on their respective programmes and activities;
- ✓ organize theory-of-change workshops with the Evaluation Team and UNCT members; (receive and review the inception report prepared by the Evaluation Team, have it reviewed by the Evaluation Advisor of UNDCO, and advise the Evaluation Team on revisions, if needed);
- ✓ facilitate evaluation activities, assist the Evaluation Team in gaining access to stakeholders and additional information, and arrange meetings and logistics;
- ✓ receive the consolidated first draft of the evaluation and conduct a pro forma quality check (structure and format, compliance with the terms of reference);
- ✓ send the first draft to the Evaluation Advisor at UNDCO for the record;
- ✓ manage the validation process by circulating the draft for comment to the Steering Committee, Consultative Group and any other key stakeholders, ensuring all comments and responses are properly recorded, using an audit trail;

- ✓ send comments to the Evaluation Team for draft revision;
- ✓ send the revised draft and the audit trail to the Evaluation Advisor for an external quality check and request that the Evaluation Team revise the report if necessary;
- ✓ send the final report to the Evaluation Advisor and obtain clearance for payment of the Evaluation Team (if the report has met the criteria of the external quality check);
- ✓ prepare for and manage the stakeholder workshop (see Section 13 on *Stakeholder workshop*);
- ✓ arrange a debriefing of individual UNCT members to obtain Evaluation Team feedback in a safe space;
- ✓ complete the Evaluation Report for publication and dissemination; and
- ✓ support the dissemination activities of the Steering Committee.

For the quality control of the Terms of Reference, the inception report and the final evaluation report – including for the external quality check by UNDCO, UNEG Quality Checklists (2010) should be used.

### **Consultative Group**

The **Consultative Group** will support the evaluation process, ensuring, in particular, that the evaluation properly addresses the issues of importance to different ministries/agencies and other key stakeholders involved and that the evaluators gain access to relevant informants and information sources. In addition to promoting ownership of and buy-in to the evaluation results, the Consultative Group will also:

- ✓ review and comment on the terms of reference;
- ✓ facilitate the evaluation process, helping the team to identify and gain access to government and other stakeholders;
- ✓ comment on the draft report;
- ✓ support the organization of the stakeholder workshop; and
- ✓ facilitate maximum in-country dissemination of the report.

### **Evaluation Advisor**

The **Evaluation Advisor** of UNDCO will oversee the process to ensure the independence and quality of the evaluation. The Evaluation Advisor will:

- ✓ clear the selection of the Evaluation Team, confirming the professional credentials of the team members and the absence of any conflicts of interest;
- ✓ establish a hotline for the Evaluation Team, to be used if the Team encounters risks to the independent conduct of the evaluation;
- ✓ review the inception report, checking if the approach and the methodology proposed are of professional quality;
- ✓ receive the first and final draft of the report and the audit trail to ensure the transparency of the process and ascertain that the Evaluation Team was not subject to undue pressure to alter the contents of the report; and
- ✓ conduct an external quality check of the draft report and clear payment to the Evaluation Team once any outstanding issues have been addressed satisfactorily.

Furthermore, **UNDCO** should:

- ✓ provide a global platform for the public dissemination of the report;
- ✓ occasionally synthesize findings and compile lessons learned from UNCF evaluations and feed them back into advice to UNCTs, agency management and governing bodies, as appropriate; and
- ✓ keep a record of the drafts and audit trail in a depository.

**UNEG**, in its supporting role, will:

- ✓ provide technical advice for guidance materials, as well as for individual cases, on request;
- ✓ support UNDCO in its oversight role, if necessary, providing in-kind support (staff time) from its members during the transition period;
- ✓ support the development of further guidance materials, tools and templates, a draft policy framework and other supporting materials during and after the transition period; and
- ✓ facilitate the coordination of agency evaluations, to the extent possible, as inputs to the UNCF evaluations.

## ***Annexe B: Brief description of the Joint Programme funded by the Joint SDG Fund***

The Joint Programme (JP) on Social Protection is supporting the Ministry of Labor, Solidarity, Family and Professional qualification (MLSFPQ) to fully implement a unique Social Registry (SR) to enable its use by several targeted social programmes. Despite, it builds on the current support given by the World Bank to the MLSFQ to update the cash transfer beneficiary database, the SR has the aim to be linked with different monitoring information systems of social programmes, including in the areas of health and education. Hence, the SR is expected to be effectively linked to a set of interventions aimed at improving the access of vulnerable and extreme poor families not only to cash transfer schemes, but also to social services in three on six districts of the country. The main objective of the JP is to accelerate some key SDG targets by fostering synergies through cross-sectoral coordination while expanding social protection coverage. In achieving so, the JP is supporting the Ministry of Health, Ministry of Education and the MLSFPQ to link sector interventions to the SR, including: 1) parental education programme; 2) youth engagement in the social sector; 3) access to a health services package, including an individual health monitoring and case management (possible thanks to the interoperability of the Social Registry and the DHIS2 individual tracker module). By 2022 it is expected that the Single Registry is fully implemented in three districts with an adequate legal and normative framework and ready to be scaled out and scaled up and that all families benefiting from the Vulnerable Family Programme (cash transfers targeting children) and identified as vulnerable in the social registry have had access to parental education, access to basic health and ensure access of vulnerable children to education (particularly pre-schooling). The Joint Programme is also expected to mitigate the negative effects COVID-19 on the vulnerable and extreme poor household by fostering the development of an infrastructure that will be able to respond to negative shocks in a timely manner through adequate social protection mechanisms linked to priority access to social services.

### *Expected results and impact*

The outcome of the JP is the same as of the **UNDAF component that focus on social cohesion** and states that:” Disparities and inequalities are reduced at all levels through the full participation of vulnerable and prioritized groups, and the development and use by these groups, of social protection services and basic social services”.

Four outputs are foreseen to address the specific objectives put forward in the STP social protection policy and strategy which focuses on coordination and monitoring tools to allow the expansion of social protection programmes and in doing so also addressing related objectives such as providing new skills to young people from vulnerable families. Four (4) participating UN agencies are responsible of achieving these outputs, contributing to the achievement of the JP’s desired outcome: UNICEF (Lead Agency), UNDP (Administrative Agency), WHO and ILO.

- **Output 1.1:** Target vulnerable population is mobilized, informed, and registered in the Social Registry in three districts. Main PUNO: ILO in close coordination with World Bank.
- **Output 1.2:** Individual data of targeted vulnerable population in the Social Registry are monitored through DHIS2. Main PUNO: UNDP in close coordination with ILO and WHO.
- **Output 1.3:** Access of targeted vulnerable households in the Social Registry to social services, including parental education and health services, is boosted. Main PUNO: UNICEF in close coordination with ILO, WHO and UNDP.

- **Output 1.4:** Young people capacity to support the provision of social services across different sectors is developed. Main PUNO: UNDP in close coordination with UNICEF and ILO.

The outputs in the JP are interconnected. Registering all the poor and vulnerable population on the social registry will allow the DPSS to overcome the limitations of the current registry of beneficiary that focus only on those demographic groups eligible for the child and extreme poverty centred cash transfer. In order to connect programmes that target different groups and socioeconomic profile among the vulnerable groups the SR need to be much broader in scope – different type of information is required – and in scale – a population larger than the narrowly defined extreme poor need to be incorporated. Connecting the SR information with the DHIS2 individual track and the MIS of the cash transfer programmes and parental education will allow the DPSS to implement both case management and effective referral based on the needs of families and individuals, boosting access of the vulnerable and the poor to social services as described in output 4. Finally, in order to boost the capacity of the system to implement case management in a meaningful way, the youth engagement component will support workers in sectoral platforms in the activities linked to parental education.

### *SDG Acceleration*

#### SDG Targets directly addressed by the Joint Programme

- SDG 1.3 Implement nationally appropriate social protection systems and measures for all, including floors, and by 2030 achieve substantial coverage of the poor and the vulnerable
- SDG 2.2 By 2030, end all forms of malnutrition, including achieving, by 2025, the internationally agreed targets on stunting and wasting in children under 5 years of age, and address the nutritional needs of adolescent girls, pregnant and lactating women and older persons
- SDG 3.8 Achieve universal health coverage, including financial risk protection, access to quality essential health-care services and access to safe, effective, quality and affordable essential medicines and vaccines for all
- SDG target 4.2 By 2030, ensure that all girls and boys have access to quality early childhood development, care and pre-primary education so that they are ready for primary education.
- SDG target 16.2 End abuse, exploitation, trafficking and all forms of violence against and torture of children

### *Theory of Change*

The ToC for the SDG acceleration is based on the integration and coordination of different interventions currently taken place (or planned to take place) as part of the implementation of STP Social Protection Policy and Strategy and of specific sectoral policies in a standalone manner. The main tool to enable the integration and coordination process is a common database, the SR, that will help identify vulnerable families that will have priority access to both social protection programmes, particularly cash transfers, and social services. In the absence of coordination and integrating tools such as the SR, the DHIS2 with individual trackers and the MIS of different programme as well as trained personnel to operate referral mechanisms, the programmes would fail to create the synergies necessary to accelerate the SDGs.

The main assumptions underlying the ToC are:

- i. implementation of the SR will correctly identify the extreme poor in each district;
- ii. knowledge acquired by trainers are passed to parents who change practices and behavior in relation to children;
- iii. youth people acquire the competencies to work on parental education;
- iv. health sector is capable to responding to the results of the monitoring of the health and nutritional status of the target population;
- v. interventions are delivered in a coordinated and timely manner.

*JP overall budget*

<b>Joint SDG Fund contribution</b>	<b>USD 1,900,000.00</b>
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*Timeframe:*

<b>Start date</b>	<b>End date</b>	<b>Duration (in months)</b>
<u>01/01/2020</u>	<u>27/02/2022</u>	<u>26 months</u>



**Annexe A:** Outline for the structure of both the design and final evaluation reports

**Annex B: Brief description of the Joint Programme**

**Annex C:** UNCT composition and programmatic areas covered

**Annex D :** Map of national stakeholders by areas of intervention

**Annex E:** Template for the Evaluation Matrix

**Annex F :** Evaluation Quality Assessment template and explanatory note

**Annexe G :** Management response template