**Terms of Reference for Mid Term Evaluation**

**The UNDP Regional Programme 2008-2011 for Latin America and the Caribbean Background and context**

The ongoing Regional Programme for Latin America and Caribbean was formulated in 2007 taking into account the findings and recommendation of the evaluation of the Second Regional Cooperation Framework (IIRCF) for the region, and the corporate priorities presented in UNDP’s strategic framework for 2008-2011 (now extended to 2013). The formulation process also benefited from an extensive consultative process involving key partners, increasing its programmatic focus.

The Regional Programme aims to strike the right balance between the supply of strategic regional interventions based on UNDP’s comparative advantages and demand for technical and policy advisory support and; capacity development for the implementation of Country Programmes. Knowledge management is in the core of the services provided with in the Regional Programme. The RPD 2008-2011- now extended until 2012 - focuses its efforts in reducing the persistent poverty and inequalities of the region through four focus areas:

1. Poverty and Inequality Reduction, and MDG Achievement
2. Democratic Governance
3. Crisis Prevention
4. Environment and Sustainable Development

The Regional Programme specifies four cross-cutting work areas, namely The Human Rights Based Approach as a conceptual framework for the process of human development, gender equality, developing capacities and fostering national ownership, and fostering south-south cooperation. The Regional Programme is grounded on UNDP’s programming arrangements informed by UNDP’s strategic framework, including strengthened programme/project M&E, the corporate regionalization process and the UN reform.

Since the formulation of the Regional Programme, the regionalization process in LAC has taken an important impulse. Regional Service Centre in Panama (RSC-LAC) as well as the Regional Service Centre in Port of Spain (RSC-POS) are now fully functional. The RSC-POS services directly the needs of the Caribbean countries. 2009 was a critical year in the Centre’s role of providing development advisory services to country offices to contribute to the achievement of development results at country level, and assuming the implementation of the Regional Programme. The Thematic Practice Areas of Energy and Environment and Crisis Prevention and Recovery and the Cross-Cutting Areas of Gender, Capacity Development, and HIV/AIDS consolidated their teams and operating structures supported on a series of regional projects. In the case of Poverty and Democratic Governance, the practice leadership operates from head quarters, while MDG/Poverty and Local Governance policy advisers work from the Centre. The Evaluation Office is about to conclude “Evaluation of Regionalization in UNDP”. This evaluation draws lessons and provides a set of forward-looking proposals to inform management and Executive Board decisions – designed to strengthen the contribution of UNDP´s approach to regionalization in the efficient achievement of development results at the national, regional and global levels. At the global level, UNDP is about to start Mid Term Review of its Strategic Plan[[1]](#footnote-1).

The RSC-LAC counts with a 2010-11 result based Integrated Work Plan, IWP. The key results at output (product) level of the Regional Programme portfolio with respective indicators, targets and baselines and key management results are now brought together under the IWP frame. Likewise, the key outputs are now linked to the Regional Programme outcomes[[2]](#footnote-2).

**Rationale and Purpose of the Evaluation**

Regional bureaux may decide to carry out midterm evaluations of their regional programmes. These mid-term programme evaluations allow for mid-course adjustment of programmes and also feed into the regional and global programme evaluations that the Evaluation Office is mandated to conduct towards the end of the programme period. In addition to support programme improvements and accountability, it is expected that evaluation in UNDP build knowledge for generalizability and wider-applications.

UNDP´s effort in fostering Human Development as a change in peoples´ lives and their opportunities should be considered at the outcome level. The true test for success is not in delivering “our” outputs, but in making sure that output is properly managed and integrated into larger national and regional efforts in the region to produce the outcomes in close coordination with key development partners. To enable proper result based monitoring and set basis for quality evaluation, there is a need for a results framework, which establishes meaningful link between the outcome and output level results, with good quality indicators, targets and baselines. The results frame is essential to assess whether and how producing the outputs is contributing to the achievement of the outcomes. A special challenge in the case regional interventions, and regionally provided technical and policy advisory support is the identification of a meaningful way to track UNDP´s contribution to higher lever results. The establishment of most of the practices in the thematic and cross cutting areas has been done after the formulation of the Regional Programme. The practices felt the need for a revision of the overall coherence of the Regional Programme results framework. The purpose of the Mid Term Evaluation of the Regional Programme is to assess the main achievements made and lessons learnt during the current Regional Programme, and revise the relevance and coherence of the results framework of the Regional Programme. It is expected that the MTE proposes adjustments to strengthen the link between the outcome and output level results, and to set the basis for establishment of result based monitoring and evaluation system for the Regional Programme. As special issue it is to assess the effectiveness, efficiency, relevance, coherence, and sustainability of the regional initiatives financed by AECID /UNDP Trust Fund, and its alignment with the Regional Programme.

**Objectives**

The main objectives of the Mid Term Evaluation are:

* Provide an assessment and validation of the expected and non expected results achieved through the support of the Regional Programme in partnership with the key development actors in the region, highlighting key results of outputs and outcomes
* Based on the assessment, present key findings and draw lessons learnt and good practices, which will be useful for the Regional Bureau, County Offices in the region, corporate units, and main national counterparts of the programme.
* Revise the relevance and coherence of the results framework of the Regional Programme to allow for effective basis for monitoring and evaluation for development results

**Scope of the Evaluation**

The evaluation covers the period from inception of the Regional Programme to date, and focuses on the three above mentioned objectives. It is to provide clear and well-backed conclusions and recommendations on how to improve performance during the remaining Regional Programme period and future programming.

1. Assessment of the achieved results

* Examine **relevance, effectiveness, efficiency and sustainability** of the Regional Programme by a) highlighting main achievements both as they related to UNDP programme goal and in broader national and regional strategies in the region, and UNDP’s contributions to those in terms of key outputs and other assistance; and b) ascertaining progress made in achieving outcomes. The evaluation should assesses and validate the quality of the support provided by the regional services and mechanisms created to implement the Regional Programme.

The key evaluation questions include, but are not limited to:

* **Have the right things been done**? Are the outcomes and associated outputs relevant, appropriate and strategic to development goals and challenges in the region and the UNDP mandate? To which extend RPD outcomes remain relevant to address the development challenges in the LAC region or if there is need of revision?
* **Have things been done right**? To what extent have UNDP outputs and assistance contributed to the outcomes? Were the actions to achieve the outputs and outcomes effective and efficient? Are the products and other assistance generated through the Regional Programme aligned with the RPD outcomes?
* The Regional Programme has been managed through different ways during the past years.. What has been the value of the different management arrangements (Regional coordination, SURF, RSCLAC) to the development effectiveness?
* Have the potential synergies between different interventions been exploited?
* Has the partnership strategy been appropriate?
* Have the monitoring and evaluation practices in providing quantitative and qualitative feedback on progress of Programme implementation been effective?
* Are the results sustainable? Will the outputs and outcomes lead to benefits beyond the life of the existing programmes/projects/interventions?
* Has the support to capacity development efforts been effective?
* To what extent gender issues have been incorporated in the Regional Programme?
* What has been the added value of the systematically implemented knowledge management support?
* How the Regional Programme has contributed to strategically positioning UNDP in its key mandate areas?
* What have been the main constraints and challenges? **How might we do things better in the future?**

1. Identification of lessons learnt and good practices

* Identify key lessons from both intended and unintended results in the course of the Regional Programme implementation which can provide useful basis for strengthening regional cooperation in the future. The lessons should cover managing for development results, monitoring and evaluation practices.
* Identify good practices for possible replication in other contexts and situations.

1. Revision of the results framework

The results framework of the Regional Programme specifies twelve outcome level results, which are formulated in a rather general way. Each of the outcomes has a set of indicators, but the baselines are lacking. The revision of the results framework should guarantee that:

1. The Regional Programme outcomes are clearly defined and relevant to the actual development challenges in the region and SMART. Proposal of “shadow outcomes” i.e. alternative formulation of the outcome that can be used for example for outcome evaluation purposes if needed.
2. The outcome indicators are SMART and “owned” by the thematic and cross-cutting practices and the key partners.
3. Each outcome indicator counts with well established baseline and targets for 2010 and 2011.
4. Means of verification are identified.
5. There is a meaningful link between the outcome and the related outputs. Revision of the formulation of the outputs (IWP) to guarantee that they are pitched at a strategic level enough to make significant contribution to the production of the proposed outcomes.
6. The inter practice area work is well reflected
7. Selection of the key outputs linked to the outcomes
8. Overall coherence of the Regional Programme results framework.

In addition, the evaluation is to offer methodologically consistent considerations on the possibilities to track meaningfully UNDP´s regional interventions and advisory support contribution to higher lever results at level of countries.

**Methodology**

The team will design the exact methodology for the evaluation. Evaluation methods should be selected for their rigor in producing empirically based evidence to address the evaluation criteria, to respond to the evaluation questions, and to meet the objectives of the evaluation.

The evaluation should include an in-depth desk review of the key documentation (Annex II), but the desk review should be complemented with other data collection methods. The evaluation team will have access to several documents elaborated to substantiate the progress and results of several regional projects, functioning of thematic communities of practice and other corporative and regional papers. The process should include missions to selected countries in the region to be selected in consultation with the RBLAC.It is expected that the evaluation includes consultations of the key internal and external stakeholders, including Regional Programme thematic and cross-cutting practice teams , the different bureaus of the UNDP (BOM, DBP, BCPR, UNAIDS and others), and the County Offices in the region (identification of the key priorities and demand for Regional Programme).

The evaluation findings, conclusions and recommendations should be validated. The evaluation should reflect the principles of Managing for Development Results, and it is expected that the process supports planning, monitoring and evaluation capacity building. The conceptual framework for the evaluation should be in line with the UNDP Handbook on Planning, Monitoring and Evaluation for Development Results (2009). The evaluation should apply the ethical and quality principles of the United Nations Evaluation Group[[3]](#footnote-3), and the team members are expected to sign the Code of Conduct for Evaluators in the UN System. The applied approach and evaluation products should be gender sensitive. Capacity Development should be reflected in a transversal manner. With this respect, the consultant should coordinate closely with Gender and Capacity Development practice areas. The revision team will coordinate closely with the Deputy Director, the Regional Programme Officer, and the Evaluation Specialist of the RSC/LAC.

**Expected products**

The key evaluation products should include, at minimum, the followings:

* **Inception Report:** An inception report should be prepared by the revision team before going into the full fledged evaluation exercise. The report should contain an evaluation matrix that displays for each of the evaluation criteria, the questions and sub questions that the evaluation will answer, and for each question, the data that will be collected to inform that question and the methods that will be used to collect that data[[4]](#footnote-4). In addition, the inception report should make explicit the underlying theory or assumptions about how each data element will contribute to understanding the development results—attribution, contribution, process, implementation and so forth—and the rationale for data collection, analysis and reporting methodologies selected. It should also include a proposed schedule of tasks/activities and deliverables, designating a team member with the lead responsibility for each task or product.
* **Draft evaluation report.**
* **Final evaluation report**. The final report should be 35-40 paged analytical report, excluding annexes, detailing key findings, good practices and clear recommendations. The report should be presented in English with executive summaries in English and Spanish. The report should contain a special section of the assessment of the regional initiatives financed by AECID /UNDP Trust Fund. The Evaluation report format should meet with the standard Evaluation Report Template of the UNDP and quality Standards established[[5]](#footnote-5). The final report should include a separate section on the assessment of the results the regional initiatives financed by AECID /UNDP Trust Fund.
  1. **Revised Outcome level results framework** of the Regional Programme with a brief explanatory note (max five pages) to describe the rationale and justification of the adjustments made (annex to the MTE report). The framework should be validated by all RSC practice areas and key stakeholders to be identified by the Senior Management Team/ Practice Teams.

**Competencies of the Evaluation Team**

The MTE team will consist of four consultants, one team leader and three team members, who have the following competencies[[6]](#footnote-6):

*Corporate Competencies*:

* Demonstrate commitment to UN’s mission, vision and values
* Display cultural, gender, religion, race, nationality and age sensitivity and adaptability

*Functional Competencies:*

* Advanced University Degree in Social Sciences (or other relevant field) with at least seven years proven experience in areas of planning, monitoring, evaluation, and analysis (for Team Leader: at least ten years experience)
* Demonstrated cutting-edge technical planning and evaluation capacity
* Familiarity with UNDP or UN operations
* Familiarity with developmental issues (especially Regional Programme focus areas and transversal themes) in the Latin American and Caribbean region
* Good understanding of human rights based approaches to programming and results based management principles; good understanding of gender sensitive programming
* Familiarity with the UN system and its´ planning frameworks
* Good inter-personal communication and negotiation skills
* Excellent ability to work in teams, for Team leader: proved experience in leading teams.
* Familiarity in designing and conducting evaluation processes
* Excellent analytical, consolidation and systematization skills
* Ability to deliver good quality products within the established timeframe
* Excellent Spanish and English report writing and editing skills
* Good knowledge of Microsoft applications

**Timeline and Costs**

The total duration of the evaluation is approximately 2 months and the cost of the MTE would be Max US$ 90.000. The payment is made against the products approved by the RBLAC RSC-LAC. The Mid Term Evaluation will begin by the Mid October 2010 and will be concluded by the Mid December 2010.

**Annexes**

* Division of labor between the team members- Proposal to be validated with the Team
* Preliminary list of documentation
* Norms and Standards UN
* Ethical code of conduct

**ANNEX I. Division of labor between the team members-Proposal validated with the Team Leader**

| **Team Member,**  **Primary responsibility areas** | **Principal responsibilities and tasks** | **Duration** |
| --- | --- | --- |
| **Team Leader (TL)**  **Oscar Yujnovsky**  Democratic governance, including local governance and decentralization. (Political) conflict prevention.  Gender  Capacity Development,  Knowledge Management | * Final responsible of the quality and of the Final Report and other requested products and their timely delivery * Design the overall approach and methodology for conducting the evaluation described in the inception report * Detail the Index of the Evaluation report * Desk review and analysis of the general documentation and the documentation related to the primary responsibility areas * Interviews and other data collection in the HQs (RBLAC, BDP, BCPR, Associate Administrator (Rebeca Grynspan) and people responsible of the AECID/UNDP Trust Fund) * Interviews and other data collection in the RSCLAC * Interviews with key counterparts and other partners(Skype/ tel/ e-mail) * Organize and conduct of in-country mission(s) and corresponding data collection as detailed in the Inception report (Colombia) * Coordination of the overall work of the team, including (but not limited to):   \* *Desk review and analysis*  *\* Systematization of inputs for the revised results framework*  *\* Oversee the conduct of in-country missions and corresponding data collection*  *\* Quality assurance of the data collection and analysis*   * Close coordination with the RSCLAC | 32 days (with a possibility to 10 days extension) |
| **Team Member 1.**  **Amelia Irene Márquez de Pérez**  Focal point for the revision of the Results framework.  Citizen security, support to the TL in the transversal areas | * Focal point for the final systematization of “Revised Outcome level results framework” in close coordination with the Team leader * Interviews and other data collection in the RSCLAC * Interviews with coordinator of the responsibility area and other key partners (Skype/ tel/ e-mail) as guided by the TL * Desk review and analysis of the documentation related to the primary responsibility areas and others, as guided by the TL * Organize and conduct of in-country mission(s) and corresponding data collection as detailed in the Inception report (Barbados, TDC) * Draft sections of the primary responsibility areas and other, as guided by the TL, of the report frame based on the evidence gathered through secondary source material, and from the in-country studies and surveys and other sources * Lead the drafting of the primary responsibility areas and other of the final report, as guided by the TL * Provide intellectual and strategic input, and collect, analyze and validate data * Close coordination with the Citizen security and other areas of the RSCLAC | 18 days |
| **Team Member 2.**  **José Jara**  Poverty and MDGs | * Desk review and analysis of the documentation related to the primary responsibility areas and others, as guided by the TL * Revision of the results framework (intermediate outcomes, outcome indicators and their baselines and status, outputs, risks and partners) of the primary responsibility areas * Interviews with key RSCLAC staff, counterparts and partners (Skype/ tel/ e-mail) as guided by the TL * Organize and conduct of in-country mission(s) and corresponding data collection as detailed in the Inception report (Country TBD) * Draft sections of the primary responsibility areas and other, as guided by the TL, of the report frame based on the evidence gathered through secondary source material, and from the in-country studies and surveys and other sources * Lead the drafting of the primary responsibility areas and other of the final report, as guided by the TL * Provide intellectual and strategic input, and collect, analyze and validate data * Close coordination with the Poverty and MDGs practice area | 1 mes |
| **Team Member 3.**  **Mirna Moncada**  Environment and Crisis Recovery and Prevention (Disasters) | * Desk review and analysis of the documentation related to the primary responsibility areas and others, as guided by the TL * Revision of the results framework (intermediate outcomes, outcome indicators and their baselines and status, outputs, risks and partners) of the primary responsibility areas * Interviews with key RSCLAC staff, counterparts and partners (Skype/ tel/ e-mail) as guided by the TL * Organize and conduct of in-country mission(s) and corresponding data collection as detailed in the Inception report (HONDURAS- TBC) * Draft sections of the primary responsibility areas and other, as guided by the TL, of the report frame based on the evidence gathered through secondary source material, and from the in-country studies and surveys and other sources * Lead the drafting of the primary responsibility areas and other of the final report, as guided by the TL * Provide intellectual and strategic input, and collect, analyze and validate data * Close coordination with the Environment and Crisis Recovery and Prevention (Disasters) practice areas | 20 days |

1. In its decision 2010/13 the Executive Board agreed to a combined MTR and annual report to be submitted to the annual session in 2011. [↑](#footnote-ref-1)
2. During the IWP planning process emphasis was made to include the wide variety of support given to the governments and COs in the region, and to identify the outputs for which regional approach adds value. [↑](#footnote-ref-2)
3. Norms andStandards for Evaluation in the UN system. . [↑](#footnote-ref-3)
4. UNDP Handbook, p. 172 [↑](#footnote-ref-4)
5. Annex 7 of the UNDP Handbook (2009), and UNEG Quality Checklist for Evaluation Reports UNEG/G(2010)/2 [↑](#footnote-ref-5)
6. The main responsibilities and tasks detailed in the Annex I. [↑](#footnote-ref-6)