**Terms of Reference**

**UN Energy, Environment & Disaster Management Outcome Evaluation within UNDAF/cCPAP (2008-2013)**

1. **Background**

The Royal Government of Bhutan (RGoB) and the UN agencies operating in Bhutan[[1]](#footnote-1) signed the United Nations Development Assistance Framework (UNDAF 2008-2012) and the UNDAF operational tool, the common Country Programme Action Plan (cCPAP 2008-2012, which is now extended until 2013) in 2007. The documents outline the framework of cooperation between the UN system and the RGoB to support the realization of the Millennium Development Goals and the national development plan; the 10th Five Year Plan (FYP). Five outcome areas for UN support were agreed upon and contributed to the following five overall objectives, namely;

1. To halve poverty by 2013
2. To improve the accessibility, quality and sustainability of the health care delivery system
3. To improve the quality, relevance and coverage of education
4. To foster good governance as a core value for development
5. To enhance environmental sustainability and disaster management

The UNDAF/cCPAP planning process coincided with the drafting of the 10th FYP and the two processes were mutually reinforcing. However, since the newly elected government came only into being in the 1st quarter of 2008, the UNDAF/cCPAP were finalized beforehand with sufficient flexibility built-in to ensure alignment once the 10th FYP was officially adopted by the RGoB. The Country Programme Board (CPB) has the overall responsibility for the UNDAF/cCPAP implementation and monitoring. The Country Programme Board provides supervision and guidance to the theme groups and annually assesses the progress. The joint Country Programme Board, comprised of representatives from the Government and the UN agencies, is co-chaired by the Secretary, GNH Commission and the UN Resident Coordinator.

Five UNDAF Theme Groups (UNTGs) pertaining to each development outcome- poverty, health, education, governance, environment and disaster management- were set up to coordinate UN-RGoB system efforts to monitor the UNDAF/cCPAP. The UNTGs are responsible for monitoring and evaluating the implementation of the cCPAP through 18 month rolling work plans with implementing partners, and for ensuring that the UN support is timely and addresses the actual need of the RGoB to develop and implement government policies in line with the UNDAF/cCPAP and the RGoB’s 10th Five Year Plan. Since 2009, these working groups are co-chaired by a lead government agency and an UN lead agency.

Through the Environment and Disaster Management Theme Group, the UN has been able to effectively align its support in the thematic areas of environment, disaster and renewable energy. Over the course of the current UNDAF cycle, numerous policy and legal instruments have been put in place to ensure that environmental impacts of development activities are taken into consideration. Additional emphasis is being given to strengthening implementation of related policies and plans, as well as to their monitoring and evaluation. With Bhutan deriving 64 percent of its wealth from its natural capital, primarily natural resources,***[[2]](#footnote-2)***the environmental sector makes a substantial and visible contribution to the Bhutanese economy through the employment that it generates. The agriculture sector alone provided about two-thirds of jobs – some 183,000 – in 2007. Together, agri-, water-, forestry- and mineral-based jobs directly and indirectly provided more than 75 percent of employment that year*.****[[3]](#footnote-3)***However, natural resource degradation and biodiversity loss are increasingly undermining current and future livelihoods. The poor continue to be those usually most affected, given that they are left with little or no alternative. Limited agricultural land and productivity, population growth and scattered distribution, accelerating rural-urban migration, infrastructure that is costly to maintain, and a nascent private sector all exacerbate fundamental environmental pressures.

UN efforts so far have contributed to several important policies and legal initiatives of the government. Focus is now being accorded to compliance and enforcement of environmental regulations, even as capacity of relevant agencies and access to environmental data and monitoring systems are being strengthened.

Bhutan’s vulnerability to extreme risks from natural hazards also calls for concerted efforts in building capacity for response and preparedness as well as strengthening partnership between the RGoB and UN and other development partners in disaster risk reduction. In addition, there is also a need to address longer-term disaster risk reduction through implementation of the National Disaster Risk Management Framework and strengthening key institutions in the country.

Leading up to the process of the next UNDAF formulation, the UN is also taking up mainstreaming of environment sustainability, climate change and disaster risk reduction as a priority activity. The RGoB is also taking steps to mainstream these issues and has integrated these in the guidelines issued for the preparation of the 11th FYP. Through the Joint Support Programme: ***Capacity Development for Environment, Climate Change and Poverty Mainstreaming in policies, plans and programs,*** the UN is supporting the RGoB in mainstreaming efforts since 2010. The UN and government have both recognized this initiative as an important element to be considered in the formulation of the 11th FYP. The RGOB has already developed an overall framework for mainstreaming environment, climate change and poverty concerns in the 11th FYP and this has been included in the 11th FYP preparation guidelines. The framework can be applied to integrate other cross-cutting issues such as disaster, gender, etc. The UN is also responding positively by addressing this in the new UNDAF (2014-2018) through training the UNCT and key stakeholders in mainstreaming cross-cutting issues during the UNDAF formulation process.

1. **Purpose of the Outcome Evaluation**

The UNDAF Environment and Disaster Management Theme Outcome Evaluation has the following primary aims:

1. The evaluation will systematically gather and analyze evidence of the extent to which the UN has been able to deliver results under the outcome as planned, which respond to national development goals of Bhutan (as articulated in the 10th FYP), and **the extent to which UN’s support under the outcome has produced results** in terms of stronger institutions which have contributed to development results in the relevant areas.
2. Looking forward, based on the evidence of what has and has not worked, the evaluation is intended to help improve **the quality of UN’s support in the area of environment, biodiversity, climate change and disaster risk reduction**, by evaluating the degree to which the UN has been able to deliver support that is effective, relevant, sustainable, coordinated, and nationally owned.
3. **Scope and Objectives of the Evaluation**

The main objective of the evaluation is to conduct an in-depth outcome evaluation of UNDAF Outcome # 5: with focus on the 4 CT Outcomes under it. The evaluation will cover the current UNDAF/cCPAP period (2008-2013). The evaluation will look back at the period from 2008 to 2011 to draw lessons learned, and provide forward looking recommendations to inform programme implementation in 2012 – 2013, as well as the design of new interventions in the formulation of the new UNDAF Action Plan. Data for the evaluation will be collected from January 2008 till March 2012. The scope and focus of the evaluation will be grounded in the specific development context of Bhutan, and the evaluation methodology will be informed by discussions with stakeholders, background research, as well as review of previous evaluations, project evaluations under the outcome and other relevant documentation. The Evaluation Team is expected to identify and review such relevant background documents, including support and interventions made by other development partners, such as SNV, JICA and the World Bank, to place UN’s support in a bigger context. In addition, the Evaluation Team will be expected to make a concerted effort to identify (and incorporate into the evaluation framework and methodology as appropriate) position statements and policy documents of RGoB which are relevant to this outcome evaluation. These could include (but are not limited to) policies related to renewable energy, environment and biodiversity, climate change and disaster management as well as those more broadly related to technical cooperation/assistance, aid coordination, development assistance, and so forth.

It is expected that the Evaluation Team will have expertise in UNDAF evaluation generally (and in particular in the region), as well as in approaches to evaluating environment outcome results specifically. Given that this evaluation is of UN-wide contributions, the Evaluation Team should review key documents related to common UN approaches to achievement of results under the outcome at the country level.

The Evaluation Team will be required to submit an inception report which presents a detailed evaluation methodology/framework which not only reflects understanding of UNDAF/cCPAP and the Environment and Disaster Management Outcome, but also adapts the methodological approach to the context of Bhutan. It is important to point out that the present ToR is intended to provide an overview of the rationale, context, scope, objectives, and management arrangements for the outcome evaluation, but the Evaluation Team is expected- using this ToR as a frame of reference- to develop a detailed evaluation methodology, one which is based on a comprehensive review of relevant documents as well as inputs from stakeholders.

The evaluation process will involve the following:

* Evaluate the progress towards achievement of the environment and disaster management outcomes;
* Review the relevance and effectiveness of the overall programme interventions vis-à-vis resources invested, with changing country’s needs in the area of environment and disaster management;
* Review and assess the programme’s partnership with the government bodies, civil society and private sector, international organizations, and bi-lateral donors in programme implementation;
* Review and assess the efficiency of implementation and management arrangements of the programmes under this Outcome, including through the relevant UN – RGoB UNDAF Theme Groups;
* Review sustainability of the achievements made, establishing links to environment and disaster management indicators wherever possible; assess the extent to which successes have been or can be up-scaled or replicated;
* Identify gaps/weaknesses in the current design of interventions under this Outcome and provide recommendations as to their improvement;
* Identify lessons learnt from previous interventions in this area (from 2008-2011) and provide forward looking recommendations to inform programme implementation in 2012 – 2013, as well as the design of new interventions in the formulation of the new UNDAF Action Plan;
* Identify possible future interventions of the programme, including more enhanced cross-sectoral collaborations.

1. **Evaluation Questions** (these should not be seen as exhaustive)

Outcome analysis

* Has the UNDAF Outcome been achieved, or has progress been made toward its achievement?
* Are the CT Outcomes relevant and realistic given the issues, underlying causes and participating UN Agencies’ comparative advantages? Is it relevant in the context of national goals and priorities, as well as of internationally agreed goals, commitments, norms and standards?
* Focusing on key trends, what main factors have affected the Outcome, positively or negatively? How have these factors limited or facilitated progress toward the Outcome?
* To what extent are the results sustainable?
* To what extent, and how, can they be replicated or mainstreamed in national policies, strategies and programmes?

Output analysis

* + What are the key outputs that have been or that will most likely be produced by the UN agencies to contribute to the outcome?
  + Are the CT outputs relevant to the outcome?
  + What are the quantity, quality and timeliness of outputs? What factors impeded or facilitated the achieving of such outputs?
  + What are the lessons learnt on monitoring and evaluation indicators?
  + Has sufficient progress been made with regard to UNDAF outputs?

Output-outcome link

* Whether CT outputs or other interventions can be credibly linked to the achievement of the outcome (including the key outputs, projects, and soft assistance);
* What are the key contributions that UN agencies have made/is making to the outcome?
* With the current planned interventions in partnership with other actors and stakeholders, will UN agencies be able to achieve the outcome within the set timeframe and inputs – or whether additional resources are required and new or changed interventions are needed?
* Assess UN’s ability to develop national capacity in a sustainable manner (through exposure to best practices in other countries, holistic and participatory approach). Has UN been able to respond to changing circumstances and requirements under the outcome areas?
* What is the prospect of the sustainability of UN interventions related to the outcome?

Resources, partnerships, and management analysis

* How have the UN Delivering as One (DaO) contributed to the Outcome?
* In particular, did the United Nations Agencies jointly have an impact on the Outcome directly through “soft” assistance (e.g., policy advice, dialogue, advocacy) that may not have translated into clearly identifiable outputs? Is there a sound balance between “upstream” and operational (service delivery) interventions?
* Have any joint programmes been undertaken by one or more United Nations Agencies and/or partners? To what extent have they contributed to aid effectiveness (reduced costs, etc.)? Are roles and responsibilities well-defined? How are complementarity and synergy assured among different interventions?
* What have been the key challenges and opportunities?
* How effective is coordination in planning and implementation with the Government?
* Are the current monitoring, evaluation, internal control and accountability systems adequate to enable the United Nations to demonstrate programme results?
* In the view of both the United Nations and its counterparts, are interventions appropriately resourced (i.e., in both quantity and kind of allocations)? Are results satisfactory in view of the efforts deployed and costs incurred? Were there any bottlenecks in implementation?
* Did the United Nations Agencies have a partnership strategy to ensure coordination with relevant stakeholders who played a role in achieving Outcomes? How did it affect progress towards Outcomes?
* What is the strategy for resource mobilization, and how did it affect progress towards Outcomes?
* Are there emerging issues that the United Nations is addressing and not addressing? How does the United Nations decide which emerging issues should be addressed?

1. **Methodology**

During the outcome evaluation, the evaluator(s) are expected to apply the following approaches for data collection and analysis:

* Desk review of relevant documents
* Discussions with Bhutan UNCT, CO senior management and programme staff
* Discussion with GNHC and relevant government agencies
* Consultation meetings and interviews:
  + UNTGs, UN HACT and M&E Working Group, Energy, Environment and Disaster Management

Unit staff

* + Stakeholders and relevant project staff;
  + Field visits;
  + In-person interviews and focal group discussions with local authorities and target communities;
* Briefing at the beginning of the assignment and de-briefing at the end of the assignment

1. **Expected outputs**

The key products expected from this outcome evaluation are comprehensive analytical reports that include:

1. Evaluation Inception Report
2. An Outcome Evaluation Report that highlights the following components:

* Executive summary;
* Introduction;
* Description of the evaluation methodology;
* Analysis of the situation with regard to outcome, outputs, resources, partnerships, management and working methods;
* Key findings;
* Conclusions, recommendations and lessons learnt for future programme design and implementation.

1. **Evaluation team composition and competency requirements**

The evaluation team will comprise one international consultant who will take the overall responsibility of the evaluation, report writing and for the quality and timely submission of the evaluation reports to UNCT/GNHC. The consultant will liaise closely with the Joint UN-RGOB Environment and Disaster Management Theme Group, consisting of relevant UN staff and RGoB focal points.

Qualification requirements for the international consultant:

* Advanced University degree in environment, social sciences, disaster management, international development and related fields;
* At least 5-7 years of professional experience with government agencies or international organizations in the area of environment, natural resources management, disaster management, socio-economic development with extensive experience in conducting evaluations (especially in the region);
* Knowledge of result-based management evaluation, UN policies, procedures, as well as participatory monitoring and evaluation methodologies and approaches;
* Demonstrated analytical, communication and report writing skills;
* Fluency in written and spoken English.

# Evaluation Ethics

It is expected that the Consultant will respect the ethical code of conduct of the United Nations Evaluation Group (UNEG):

1. Independence and impartiality of judgment in assessment findings and recommendations.
2. Disclose any potential conflict of interest, and to deal honestly in resolving any conflict of interest that may arise.
3. Display honesty and integrity in the evaluation process.
4. Display professional competency, ensuring accuracy, completeness, reliability, transparency and accountability.
5. Respect and protect the rights and welfare of human subjects and communities in accordance with the United Nations Universal Declaration of Human Rights and other human rights conventions.
6. Respect people’s right to provide information in confidence and make participants aware of the scope and limits of confidentiality, while ensuring that sensitive information cannot be traced to its source.
7. Obligation to report omissions and wrongdoing or unethical conduct, they are obliged to report it to the proper oversight authority.

# Implementation arrangements

The GNHC will lead the UNEDMT Outcome evaluation process. To facilitate the process, an Evaluation Working Group (EWG) will be established with relevant members from the UNEDMT. The EWG will provide both substantive and coordination support to the Consultant to ensure a participatory evaluation process and communicating feedback on the findings.

# Timeline and schedule (tentative)

The mission will take place in April - May 2012. The duration of the assignment is for 30 working days, including field visits and writing of the report.

|  |  |  |
| --- | --- | --- |
| **Activity** | **Timeframe** | **Responsible Party** |
| Desk review, Evaluation design, methodology and detailed work plan, and access to relevant reports | 3 days | Consultant |
| Initial briefing (Inception Report) | 1 day | Consultant, |
| Consultations, meetings/ interviews related to the outcome evaluation including relevant partners | 9 days | Consultant, EWG UNCT/GNHC |
| Field visit, meetings/ interviews related to the outcome evaluation including relevant partners | 8 days | Consultant, UNCT/GNHC |
| Preparation of draft evaluation report | 5 days | Consultant |
| Debriefing with UNCT | 1 day | Consultant |
| Finalization of evaluation report incorporating additions and comments | 2 days | Consultant |
| Submission of the final evaluation report to UNCT | 1 day | Consultant |

1. **Budget**

Tentative estimates of the budget:

|  |  |
| --- | --- |
| **Activity** | **Budget ($)** |
|  |  |
| International consultant fee (USD 500 per day for 30 days) | 15,000 |
| Travel (including local travel if necessary) | 5,000 |
| Refreshments/working lunch for meetings | 150 |
| Printing/stationeries | 250 |
| **Total cost:** | **20,400** |

1. UNDP, UNICEF, UNFPA, WFP, WHO, FAO, IFAD, UNAIDS, OCHA, UNCDF, UNEP, UNESCO, UN Women, UNV, UNODC, UNCTAD. Other non-signatory agencies like UNHABITAT and UNIDO are also part of the process. [↑](#footnote-ref-1)
2. World Bank, Where Is the Wealth of Nations? 2006. [↑](#footnote-ref-2)
3. Statistical Year Book 2008. [↑](#footnote-ref-3)