



Terms of Reference

Title:	External Evaluation Consultant (International) – <u>Final Evaluation</u> of the United Nations Development Assistance Framework (UNDAF) 2010-2014, Bosnia and Herzegovina and <u>Mid-term Outcome Evaluation</u> of UNDP Country Programme Action Plan (CPAP) 2010-2014, Bosnia and Herzegovina
Cluster:	Office of the Resident Coordinator
Reporting to:	Office of the Resident Coordinator / UNDAF Evaluation Management Group /UNDP Management
Duty Station:	Sarajevo
Contract Type:	Individual Contract
Duration:	32 expert days (25 for UNDAF and 7 for UNDP CPAP in the period 15 January 2013 – 30 April 2013)

Note: Information on the requirements for the Mid-Term Outcome Evaluation of the UNDP CPAP is described in the Annex I to this ToR.

Background

The five-year United Nations Development Assistance Framework (UNDAF) for Bosnia and Herzegovina (BiH) 2010-2014 has been prepared by the United Nations Country Team (UNCT) in Bosnia and Herzegovina in consultation with the Government of Bosnia and Herzegovina and other partners, with the aim of improving the lives of the people of BiH, and particularly the most vulnerable.

The UNCT in BiH consists of 10 specialised UN agencies and programmes (UNHCR, UNICEF, UNDP, UNFPA, WHO, ILO, UNESCO, UN Women, UNV), the Breton Woods Institutions (World Bank, IMF), UNICTY and IOM. Several regional UN agencies also operate in BiH, participating in the implementation of the UNDAF 2010-2014 for BiH (UNIDO, UNEP, UN-HABITAT, IFAD, UNECE) and providing technical assistance for the implementation of individual projects (FAO, WMO).

The UNDAF 2010-2014 document was endorsed by the Council of Ministers of BiH in March 2009. Four main goals have been identified that will set the direction and scope of action of UN system in the 2010-2014 period:

- By the end of 2014, Government with participation of civil society, implements practices for more transparent and accountable governance and meets the requirements of the EU Accession process,
- By 2014, Government develops and implements policies and practices to ensure inclusive and quality health, education, housing and social protection and employment services,
- By the end of 2014, Government meets requirements of EU accession process and multi-lateral environment agreements (MEA), adopts environment as a cross-cutting issue for participatory development planning in all sectors and at all levels, strengthens environmental management to protect natural and cultural resources and mitigate environmental threats,
- By 2014, Government adopts policy, as well as regulatory and institutional frameworks to address human security challenges, including threats posed by communicable diseases and disasters, landmines and small arms, light weapons, armed violence, and also addresses issues of migration and women, peace and security.

This is a second UNDAF for BiH which provided a framework for coherent and coordinated United Nations (UN) development assistance for the period 2010-2014 that recognizes the European Union as the overarching national priority, and poverty reduction, social inclusion, capacity building and gender equality as specific areas of Government – UN cooperation. Through the UNDAF, the UNCT in BiH aims to increase efficiency and effectiveness in addressing the country's development priorities, while taking into account the global development frameworks embedded in the Millennium Declaration and the Millennium Development Goals (MDGs), as well as international conventions and treaties signed by the Government of Bosnia and Herzegovina.

In the UNDAF implementation, the UN is taking an overall strategic approach of capacity development at all levels of Government and the civil society. In this respect, the UNCT works towards developing the capacities of the government institutions to develop and implement evidence-based policies and promote inclusive quality public services. Local level interventions prioritise a rights-based and gender sensitive approach, also focusing on marginalised and excluded groups. Furthermore, support is provided to civil society to participate in the decision-making process and be empowered to claim their rights. Partnerships with the private sector are also being established. Four areas of cooperation are agreed as particularly critical for the United Nations support to the BiH Government and the civil society during the five-year UNDAF period:

- 1) Transparent and accountable **democratic governance** that meets the requirements of the EU accession process, including evidence-based policy making; local governance; public administration reform; access to justice; gender equality; and civil society's participation in policy-making mechanisms and processes.
- 2) **Social inclusion**, encompassing participatory policy development and implementation to ensure inclusive and quality basic social protection and employment services, with particular focus on access and participation of socially excluded and vulnerable groups.
- 3) **Environment**, including the strengthening of environmental management mechanisms to meet the EU accession and multilateral environmental agreements' requirements; and, at the same time, supporting the development of capacities at the local level for natural resource management and sustainable development.
- 4) **Human Security**, particular as it pertains to the threats posed by natural disasters, communicable diseases (including HIV/AIDS and tuberculosis), landmines, small arms and light weapons and issues of migration.

The UNCT and the Resident Coordinator are responsible for the effectiveness of the United Nations activities, especially in cases where resources are combined. During the UNDAF period the UNCT Heads of Agency undertake the role of the UNDAF Steering Committee and lead the overall coordination and management of the UNDAF implementation process. The programming arrangements of individual UN agencies further support progress toward the use of national systems for implementation, management and monitoring based on internationally recognised standards and good practice.

Under the overall UNCT umbrella and oversight, a number of Thematic Working Groups (of permanent and ad-hoc character) contribute to integration between the United Nations Agencies in key thematic and crosscutting areas such as Youth, HIV/AIDS, Gender, Displacement, Roma, Reconciliation, Environment, etc. These WGs further improve coordination through enhanced information exchange, as well as joint planning and decision making.

The evaluation scope, purpose and objectives:

The UNDAF Evaluation will be commissioned and overseen by the UNCT. Day-to-day evaluation management will be ensured through the RC Office and UNDAF Evaluation Management Group (RCO/UNCT members).

Findings of the evaluation will be used for improving accountability and for learning what has worked, what has not and why. The UNDAF evaluation is foreseen to provide important information for strengthening programming and results at the country level, specifically informing the planning and decision-making for the next UNDAF programme cycle (2015-2019) and for improving United Nations (UN) coordination at the country level. The new Common Country Assessment (CCA) is planned to be completed by mid-2013 and the new UNDAF document development is planned to be started in the second half of 2013. The evaluation report will be an important document to inform and guide both CCA and the new UNDAF development cycle.

An UNDAF evaluation is a programmatic evaluation in that will assesses performance against a UNDAF 2010-2014 framework, its strategic intent and objectives. National development outcomes are contained in the results framework against which the UNCT contribution needs to be assessed. As such, this country-level evaluation is to be carried out jointly with the UNCT and the overall approach is participatory and orientated towards learning how to jointly enhance development results at the national level.

Given that (a) outcomes are, by definition, the work of a number of partners, and (b) UNDAF outcomes are set at a very high level, attribution of development change to the UNCT (in the sense of establishing a causal linkage between a development intervention and an observed result) may be extremely difficult and in many cases infeasible. The evaluation will therefore consider contribution of the UNCT to the change in the stated UNDAF outcome and the evaluator will need to explain how the UNCT contributed to the observed results. To make the

assessment, first, the evaluator will examine the stated UNDAF outcome; identify the change over the period being evaluated on the basis of available baseline information; and observe the national strategy/strategies and actions in support of that change. Second, evaluator will examine the implementation of UNDAF strategy and actions in support of national efforts.

The key evaluation questions are relevance and design, effectiveness, efficiency and sustainability. The contribution of the UNCT to the development outcomes will be assessed according to a standard set of evaluation criteria:

- Relevance. The extent to which the objectives of UNDAF are consistent with country needs, national priorities, the country's international and regional commitments, including on human rights (Core human rights treaties, including ICCPR, ICESCR, ICERD, CEDAW, CPRD, CRC, etc.) and the recommendations of Human Rights mechanisms (including the treaty bodies, special procedures and UPR), sustainable development, environment, and the needs of women and men, girls and boys in the country.
- Effectiveness. The extent to which the UNCT contributed to, or is likely to contribute to, the outcomes defined in the UNDAF. The evaluation should also note how the unintended results, if any, have affected national development positively or negatively and to what extent have they been foreseen and managed.
- Efficiency. The extent to which outcomes are achieved with the appropriate amount of resources and maintenance of minimum transaction cost (funds, expertise, time, administrative costs, etc.).
- Sustainability. The extent to which the benefits from a development intervention have continued, or are likely to continue, after it has been completed.

Additional evaluation topics of interest are:

- Enabling / explanatory factors: While assessing performance using the above criteria the evaluator needs to identify the various factors that can explain the performance. This will allow lessons to be learned about why the UNCT performed as it did.
- UN Coordination. Did UN coordination reduce transaction costs and increase the efficiency of UNDAF implementation? To what extent did the UNDAF create actual synergies among agencies and involve concerted efforts to optimise results and avoid duplication?
- Five UNDAF Programming Principles. To what extent have the UNDAF programming principles (human rights-based approach, gender equality, environmental sustainability, results-based management, capacity development) been considered and mainstreamed in the UNDAF chain of results? Were any shortcomings due to a failure to take account of UNDAF programming principles during implementation?
 - To what extent did the UNDAF make use of and promote human rights and gender equality standards and principles (e.g. participation, non-discrimination, accountability, etc.) to achieve its goal?
 - To what extent did UNDAF strengthen the capacities for data collection and analysis to ensure disaggregated data on the basis of race, colour, sex, geographic location, etc. and did those subject to discrimination and disadvantage benefited from priority attention?
 - Did the UNDAF effectively use the principles of environmental sustainability to strengthen its contribution to national development results?
 - Did the UNDAF adequately use RBM to ensure a logical chain of results and establish a monitoring and evaluation framework?
 - Did the UNDAF adequately invest in, and focus on, national capacity development? To what extent and in what ways did UNDAF contribute to capacity development of government, NGOs and civil society institutions?
- Other factors. A number of country-specific factors that have affected the performance of the UNCT in the framework of the UNDAF need be examined:
 - How well did the UNCT use its partnerships (with civil society/private sector/local government/parliament/national human rights institutions/international development partners) to improve its performance?
 - Regarding ownership of objectives and achievements, to what extent was the "active, free, and meaningful" participation of all stakeholders (including non-resident agencies) ensured in the UNDAF process? Did they agree with the outcomes and continue to remain in agreement? Was transparency in policies and project implementation ensured? What mechanisms were created throughout the implementation process to ensure participation?
 - Did the UNCT undertake appropriate risk analysis and take appropriate actions to ensure that results to which it contributed are not lost? To what extent are the benefits being, or are likely to be, maintained over time.
 - How adequately did the UNCT respond to change (e.g. natural disaster, elections) in planning and during the implementation of the UNDAF?

- To what extent harmonisation measures at the operational level contributed to improved efficiency and results?

Additional output of the evaluator is delivery of a half-a day UNDAF M&E training to the UNDAF M&E WG. Details can be found in the Deliverables section of this ToR.

Evaluation methodology

The approach of the evaluation shall be participatory, that is, be flexible in design and implementation, ensuring stakeholder participation and ownership, and facilitating learning and feedback. The UNDAF evaluation will use methodologies and techniques as determined by the specific needs for information, the questions set out in this ToR, the availability of resources and the priorities of stakeholders. In all cases, consultant is expected to use all available information sources that will provide evidence on which to base evaluation conclusions and recommendations. Anticipated approaches to be used for data collection and analysis by the evaluator are desk review, interviews with key stakeholders, field visits, questionnaires and participatory techniques.

Support of the RC Office and UNCT to the evaluation process

The RC Office and the UNCT will support the Evaluation Consultant with the following:

- Appointment of an evaluation assistant that will support the consultant for the duration of the evaluation process
- Securing relevant background documentation required for a comprehensive desk review
- Provision of list of contacts in advance and additional upon request
- Provision of vehicle and driver for field visits
- Organisation of group consultative meetings, briefing and debriefing sessions
- Provision of office/working space during the assignment. The consultant will however have to use his/her own computer/laptop

Deliverables and timeline

Evaluation Process

The Evaluation consultant 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.

- **Inception Phase (4 days)** - the Evaluation Consultant will review documentation, agree on the meetings schedule with the RC Office, agree on the training structure of the UNDAF M&E training session and produce Evaluation Inception Report (which includes a clear evaluation work plan and tools).
- **Data Collection and Field Visit (10 days)** – the Evaluation Consultant will gather data through group and individual interviews, including visits outside of Sarajevo; at the end of the mission, presentation with preliminary findings and recommendations will be presented to the UNDAF EMG. Half a day M&E session will be scheduled during the field visit as well.
- **Analysis and Reporting (8 days for draft report and additional 3 days for final report/incorporation of comments)** – the Evaluation Consultant will prepare the draft evaluation report based on the analysis of findings, and will submit the report to the UNDAF EMG and UNDAF ESC for factual review and comments. Opportunity to comment on the draft report will be open to the groups for a maximum of 20 working days. After this process ends, the Evaluation Consultant will proceed with production of the final evaluation report.

Evaluation Deliverables

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

- Inception report
- Half a day UNDAF M&E training to the UNDAF M&E WG
- Presentation of initial findings and provisional recommendations to the UNDAF EMG
- Draft Evaluation Report
- Final Report

The inception report should detail the evaluator's understanding of what is being evaluated and why, showing how each evaluation question will be answered by way of: proposed methods; proposed sources of data; and data collection procedures. The inception report should include a proposed schedule of tasks, activities and deliverables.

Half a day UNDAF M&E training needs to be delivered to the UNDAF M&E WG (maximum 10 people). The purpose of the training is to 1) highlight current best practices in elaborating UNDAF M&E Framework at the Outcome level, 2) review common issues that need to be addressed during UNDAF M&E Framework creation and 3) deliver a brief session on results definitions and indicators development at the Outcome level. Examples of good UNDAF M&E practice of other countries are anticipated to be presented as well. Details of the training structure are to be discussed and agreed with the RCO M&E Analyst prior to the evaluation consultant's field visit.

Presentation of initial findings and provisional recommendations- at the end of the field work, the Evaluation Consultant will present his/her draft findings and provisional recommendations through a PowerPoint presentation summarizing the main findings recommendations and lessons learned and conclusions.

A draft report should be 40-50 pages of length (without annexes). Draft report for comments by stakeholders should incorporate (as a minimum):

- Title and opening pages
- Table of Contents
- List of acronyms and abbreviations
- An Executive Summary
- Introduction (Scope of Evaluation, Methodology and Guiding Principles)
- National development context
- UNDAF Analysis (per outcome)
- Key Findings
- Lessons Learned
- Recommendations
- Methodological constraints
- Additional background data-Annexes (including interview list, data collection instruments, key documents consulted, ToR)

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 Consultant is responsible for editing and quality control and the final report that should be presented in a way that directly enables publication.

Timeframe

Action/Deliverable	No of Expert Days	Time period
Inception Phase/Desk Review/Inception Report	4 days	1 st half of Feb. 2013
Data Collection, field visit /UNDAF M&E half day training / Presentation with key findings /	10 days	2 nd half of Feb. 2013
Analysis and Reporting / Draft Evaluation Report	8 days	1 st half of March 2013
Analysis and Reporting / Final Evaluation Report	3 days	1 st half of April 2013

Evaluation Ethics:

The evaluation will be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for

Evaluation'. Critical issues that evaluator must safeguard include the rights and confidentiality of information providers in the design and implementation of the evaluation.

At every stage of the evaluation process, the following principles should be observed:

- Independence - the evaluation team should be independent from the operational management and decision-making functions of the JP
- Impartiality – the evaluation information should be free of political or other bias and deliberate distortions
- Timeliness - evaluations must be designed and completed in a timely fashion
- Purpose - the scope, design and plan of the evaluation should generate relevant products that meet the needs of intended users
- Transparency - meaningful consultation with stakeholders should be undertaken to ensure the credibility and utility of the evaluation
- Competencies - evaluations should be conducted by well-qualified experts/teams. The teams should, wherever feasible, be gender balanced, geographically diverse and include professionals from the countries or regions concerned
- Ethics - evaluators must have professional integrity and respect the rights of institutions and individuals to provide information in confidence and to verify statements attributed to them. Evaluations must be sensitive to the beliefs and customs of local social and cultural environments and must be conducted legally and with due regard to the welfare of those involved in the evaluation, as well as those affected by its findings.
- Quality - All evaluations should meet the standards outlined in the Standards for Evaluation in the United Nations System. The key questions and areas for review should be clear, coherent and realistic. The evaluation plan should be practical and cost effective. To ensure that the information generated is accurate and reliable, evaluation design, data collection and analysis should reflect professional standards, with due regard for any special circumstances or limitations reflecting the context of the evaluation. Evaluation findings and recommendations should be presented in a manner that will be readily understood by target audiences and have regard for cost-effectiveness in implementing the recommendations proposed.

Competencies:

- Shares knowledge and experience and provides helpful feedback and advice;
- Conceptualizes and analyzes problems to identify key issues, underlying problems, and how they relate;
- Ability to identify beneficiaries' needs, and to match them with appropriate solutions;
- Excellent communication and interview skills
- Excellent report writing skills
- Responds positively to critical feedback and differing points of view;
- Ability to handle a large volume of work possibly under time constraints;
- Focuses on result for the client and responds positively to feedback;
- Remains calm, in control and good humored even under pressure.

Minimum Requirements:

- Advanced University degree in international development, economics, evaluation, social sciences or related field;
- A minimum of 10 years of professional experience specifically in the area of evaluation of international development initiatives and development organizations;
- Extensive knowledge of, and experience in applying, qualitative and quantitative evaluation methods and in a wide range of evaluation approaches
- Technical competence in undertaking complex evaluations which involve use of mixed methods
- Knowledge of UN role, UN reform process and UN programming at the country level, particularly UNDAF;
- 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.
- Understanding of the development context and working experience in Bosnia and Herzegovina is an asset;
- Fluency in spoken and written English; knowledge of Bosnian, Croatian and/or Serbian language is considered to be an asset.

Annex I.

TERMS OF REFERENCE

MID-TERM OUTCOME EVALUATION OF UNDP CPAP 2010-2014, BOSNIA AND HERZEGOVINA

External Evaluation Consultant (7 days in the period 15 January – 30 April 2013)

This ToR is closely linked to the UNDAF 2010-2014 evaluation ToR. The Evaluation Consultant selected for UNDAF evaluation is foreseen to also conduct the mid-term outcome evaluation of UNDP CPAP, given that approx. 80% of UNDAF is UNDP related and over 80% of UNDAF stakeholders are also UNDP stakeholders. Benefits of engaging the same consultant for the two tasks are multifold from cost sharing and avoidance of duplication of meetings with the same stakeholders to vertical linkages and analysis of two key partnership documents of UN/UNDP and the Government of Bosnia and Herzegovina.

Background

UNDP Country Programme Action Plan (CPAP) for 2010-2014 was developed in close consultation with the UNDAF 2010-2014 document. UNDP has committed to 5 distinct outcomes in the area of Democratic Governance, Social Inclusion, Energy and Environment, Justice and Human Security as follows:

1. Government at all levels modernizes public sector practices through public sector reform and bases policies on sound quantitative and qualitative analysis with full participation of relevant national stakeholders, including CSOs and academia.
2. Government and local community institutions empowered to develop and implement policies for and ensure access to quality social, cultural and employment services for socially excluded and vulnerable groups so as to, with parallel contributions from the private sector and civil society, contribute to inclusive social and economic development.
3. Strengthened national capacities to integrate environmental and energy concerns into development plans at all levels and systems for effective implementation of the sectoral priorities.
4. Relevant Institutions at all levels strengthen equal access to justice and the protection of human rights and gender equality values, and develop institutional mechanisms for dealing with the past.
5. Strengthened national capacities to prevent crisis and conflict through development and implementation of national Strategies and Action plans for mitigation of risks, threat caused by communicable diseases, improved management of mine action and weapons control, prevention of armed violence and crime and integrated border management.

Evaluation Scope and questions

UNDP CPAP mid-term outcome evaluation should assist in identifying bottlenecks and/or critical entry points for improved implementation towards achieving Country Programme Action Plan outcomes. The contribution of the UNDP to the development goals as specified in the Country Programme Action Plan will be assessed according to a standard set of evaluation criteria:

- **Relevance.** The extent to which the objectives of UNDP are consistent with country needs, national priorities, the country's international and regional commitments.
- **Effectiveness.** The extent to which the UNDP contributed to, or is likely to contribute to, the outcomes defined in the CPAP. The evaluation should also note how the unintended results, if any, have affected national development positively or negatively and to what extent have they been foreseen and managed.
- **Efficiency.** The extent to which outcomes are achieved with the appropriate amount of resources and maintenance of minimum transaction cost (funds, expertise, time, administrative costs, etc.).

- **Sustainability.** The extent to which the benefits from a development intervention have continued, or are likely to continue, after completion of intervention.

Additional questions for the UNDP CPAP mid-term outcome evaluation are:

- To what extent are CPAP Outcomes being achieved and are there necessary actions to be taken prior to the end of the planning period (2014) in order to improve performance of UNDP in achieving these outcomes?
- What are the recommendations for improvement of the structure of outcome indicators?

Adequate support from UNDP office will be provided on needs-basis for UNDP CPAP Mid-term Outcome Evaluation specificities.

Evaluation Deliverables

- Draft sections for UNDP CPAP mid-term evaluation report
- Final mid-term outcome evaluation report for UNDP CPAP of no more than 20 pages including annexes.

Note: For UNDP CPAP the evaluator is foreseen to have a total of 7 days that should be split to cover for additional needs based on UNDP-specific requirements in the inception phase and for field visits and final report.