## Annex 1- Evaluation ToRs, itinerary and list of persons interviewed

**Terms of Reference for Final Evaluation**

**Africa Adaptation Programme (AAP)**

**PROJECT SUMMARY**

**Project Title:** Africa Adaptation Programme (AAP)

**Country:** *Ethiopia*

**Duration:** 15 working days (from January 22- February 7/2013)

1. **INTRODUCTION**

With funding of $92.1 million from the Government of Japan, UNDP launched the programme, “**Supporting Integrated and Comprehensive Approaches to Climate Change Adaptation in Africa** (hereafter called the Africa Adaptation Programme or AAP)” in partnership with the United Nations Industrial Development Organisation (UNIDO), the United Nations Children’s Fund (UNICEF) and the World Food Programme (WFP). The AAP assists 20 countries across the African continent in incorporating climate change risks and opportunities into national development processes to secure development gains under a changing climate. The Programme helps countries establish an enabling environment and develop the capacity required at local and national levels to enable them to design, finance, implement, monitor and adjust long-term, integrated and cost-effective adaptation policies and plans that are robust within a wide range of possible changes in climate conditions.

Within the framework of the AAP, *Ethiopia*  started AAP Supporting Climate Resilient Sustainable Development In Ethiopia*.* The African Adaptation Programme (AAP) of Ethiopia has the objective: “to establish an integrated programmatic approach to Ethiopia’s management of climate change risks, vulnerabilities and opportunities”.

The Outputs of the AAP are:

1. Dynamic, long-term planning mechanisms to manage the inherent uncertainties of climate change introduced (Outputs expected of EPA)
2. Leadership capacities and institutional frameworks to manage climate change risks and opportunities in an integrated manner at the local and national levels strengthened
3. Climate-resilient policies and measures implemented in priority sectors implemented
4. Financing options to meet national adaptation costs expanded at the local, national, sub-regional and regional levels
5. Knowledge on adjusting national development processes to fully incorporate climate change risks and opportunities generated and shared across all levels
6. **PURPOSE OF THE FINAL EVALUATION**

This final evaluation will produce an evaluation report containing a detailed list of lessons learned. The evaluation report is aimed at critically assessing the stages of the AAP and its products through participatory approaches, measuring to what extent the objective/outputs/activities have been achieved against the results and resources framework, and identifying factors that have hindered or facilitated the success of the project. The lessons learned section is aimed at capturing key lessons to assess what adaptation approaches/measures were effective in various thematic areas (e.g. water, agriculture, health, disaster risk reduction, coastal zone management) at multiple special scales (e.g. national, sub-national, local levels). This part is therefore forward-looking and is aimed at promoting AAP’s lessons so that the legacies of the AAP will be replicated and sustained beyond the project lifetime.

1. **SCOPE OF THE EVALUATION**

AAP *Ethiopia* will be evaluated using the following criteria: relevance, effectiveness, efficiency, timeliness, and sustainability. The final evaluation will focus on the following aspects: A) project objective/outputs; B) processes; C) sustainability of results; D) monitoring and evaluation; and E) conclusions and lessons learned. For each aspect, a wide array of factors will be considered, including but not limited to:

1. **Project objective/outputs**
2. *Objective, Output, Activities*

* Effectiveness and efficiency of project activities
* Progress in the achievement of outcomes/outputs, measured against the baselines and indicators set at the outset of the project ( see Annex 1)

1. **Processes**
2. *Institutional arrangement*

* Formulation and implementation stages
* Consultative processes
* Technical support by global and regional teams during formulation and implementation
* Capacity building initiatives
* Assumptions and risks
* Project related complementary activities

1. *Partnerships*

* Assessment of national level involvement and perception of partners
* Assessment of local partnerships and their involvement
* Assessment of collaboration between government, non-governmental organisations, the private sector, and regional/international organisations

1. *Processes and Administration*

* Project administration procedures
* Milestones (log-frame matrix, RRF)
* Key decisions and outputs
* Project oversight and active engagement by UNDP Country Office and the project board
* Coordination between UNDP Country Office and government executing agency
* Coordination with WFP and UNICEF

1. *Disbursements*

* Overview of actual spending against budget expectations
* Analyse disbursements to determine if funds have been applied effectively and efficiently

1. *Budget procedures*

* Effectiveness of project document to provide adequate guidance on how to allocate the budget
* Audits and any issues raised in audits and subsequent adjustments to accommodate audit recommendations
* Review budget revisions and provide an opinion on the appropriateness and relevancy of such revisions

*vi. Coordination mechanisms*

* Appropriateness and efficiency of coordinating mechanisms and approaches between implementing partners and oversight bodies
* Propose improved coordination mechanisms and approaches

1. **Sustainability of Results**

* Evaluate AAP’s strategy to promote the sustainability/replicability of results
* Identify evidence showing that the results/lessons of AAP have been replicated to other regions/countries/communities
* Analyse risks to ensuring sustainability of the project outcomes and results (i.e. country ownership, financial, institutional capacity)

**D) Monitoring and Evaluation**

* Identify problems/constraints, which impacted on successful delivery of the project identified at the project design stage and subsequently as part of the Mid-Term Review (MTR)
* Identify threats/risks to project success that emerged during implementation and strategies implemented to overcome these threats/risks
* Analyse impact of MTR recommendations
* Assess the Monitoring & Evaluation systems and plans, whether they were well designed, implemented and budgeted, and their contribution to the compulsory quarterly and annual reporting processes at the national and regional levels

* Assess the extent, appropriateness and effectiveness of adaptive management at all levels of the project implementation

**E) Conclusions, Lessons Learned**

* Assess substantive reports (e.g. risk assessment, progress reports of certain adaptation measures, lessons learned documents)
* Identify key lessons emerging from countries
* Identify effective approaches/measures (by sector and spatial scale)
* Identify elements hindering or promoting success

1. **EXPECTED OUTPUTS**

The consultants will be expected to produce:

1. **An evaluation report**. The report should not be more than 40 pages. It should be structured along the outline indicated in Annex 2. It includes a detailed lessons learned component and a list of all people interviewed in annex.

A draft report should be submitted within 5days after the contract is issued and a final copy within The draft and final evaluations of the products should be submitted to UNDP CO.

1. **METHODOLOGY/APPROACH OF EVALUATION**

As the performance of the Project at the field level being evaluated by the National Consultant recruited by the UNICEF and report produced. This final evaluation will make use of the findings of the consultancy service.

Therefore this consultancy service will undertake the evaluation through the following 2 main steps: 1) review of documentation (home-based); 2) undertake interview and follow-up inquiries by phone/email and develop final products (home-based). The consultants will coordinate closely with project manager and respective UNDP Officer to get necessary documents for home-based desk review and schedule mission appointments.

The final evaluation report should be sent to Ian Rector, AAP Programme Manager ([Ian.rector@undp.org](mailto:Ian.rector@undp.org)) and Jen Stephens, UNDP HQ ([jen.stephens@undp.org](mailto:jen.stephens@undp.org)).

The proposed timeline/tasks are as follows:

The evaluation will be conducted in a participatory manner through a combination of processes. It is anticipated that the methodology to be used for the Final Evaluation will include the following:

1. **Review of documentation including but not limited to:**

* Project document
* Quarterly/annual progress reports and workplans of various implementation task teams
* Audit reports
* Mid-Term Review report
* Final project review report, wherever available
* Financial reports
* Mission reports
* Strategy documents
* Guidelines/discussions papers
* Outreach materials
* Minutes of project steering committee meetings
* Monitoring and evaluation framework
* Project Review Report completed by AAP National Project Manager

1. **Interviews with stakeholders including, but not limited to:**

* EPA
* Oversight body (UNDP CO and Project Steering Committee members)
* WFP and UNICEF

1. **Additional document/information:**

* [UNDP Evaluation Office webpage](http://intra.undp.org/eo)
* [UNDP Evaluation Policy (2006)](http://www.undp.org/evaluation/policy.htm)
* UNDP Evaluation Policy, pending approval by the Executive Board in January 2011
* [Handbook on Planning, Monitoring and Evaluating for Development Results](http://www.undp.org/evaluation/handbook)
* [Outcome Evaluation Guidelines](http://intra.undp.org/eo/documents/HandBook/OC-guidelines/Guidelines-for-OutcomeEvaluators-2002.pdf)
* [Evaluation Resource Centre](http://erc.undp.org/index.aspx?module=Intra)
* [EvalNet](http://intra.undp.org/eo/evalnet/network-info.html) – EvalNet is a knowledge practice network, managed by the Evaluation Office, which aims to promote sharing of experiences, lessons and good practices in evaluation among its members. It has a number of products; including bi-monthly resource packages, consolidated replies and e-discussions. The network is open to external evaluation practitioners on invitation basis.
* [ADR Guidelines](http://www.undp.org/eo/documents/ADR/framework/ADR_Guide.pdf)
* [United Nations Evaluation Group (UNEG) webpage](http://www.uneval.org/)
* [UN Evaluation Group Norms and Standards for Evaluation](http://intra.undp.org/eo/policy.html)
* [UNEG Code of Conduct for Evaluators](http://www.unevaluation.org/papersandpubs/index.jsp?ret=true)
* [UNEG Ethical Guidelines for Evaluators](http://www.unevaluation.org/currentwork/currentworklist.jsp?currentworkid=100&doc_cat_source_id=2&doc_source_id=100)

The above-referenced documents shall be made available to the evaluators in advance of the missions and, to the extent possible, in electronic format.

1. **ATTRIBUTES OF THE EVALUATION CONSULTANTS**

The consultant should ideally have the following competencies and attributes:

A minimum of Msc in Environmental science, Natural Resource Management or related fields with more than 5 years experience and particularly :

Expertise in:

* Capacity building and strengthening institutions
* Policy framework strengthening/mainstreaming
* Climate change adaptation
* Good knowledge of the UNDP Evaluation Policy;
* Experience applying UNDP Results Based Evaluation Policies and Procedures;
* Good knowledge of the UNDP NIM Guidelines and Procedures;
* Knowledge of Result-Based Management Evaluation methodologies;
* Knowledge of participatory monitoring approaches;
* Experience applying SMART indicators and reconstructing or validating baseline scenarios;
* Demonstrable analytical skills;
* Some prior knowledge of the Africa Adaptation Programme and working experience in Africa will be considered an asset.

Competency in the following is required:

* Excellent *English* writing and communication skills
* Demonstrated ability to assess complex situations in order to succinctly and clearly distil critical issues and draw forward looking conclusions
* Excellent facilitation skills

**NB**

**The two consultants will do the consultancy service together and the Lead Consultant in particular will be responsible for:**

* **Responsible for overall coordination of the evaluation process**
* **Be responsible on the submission of the draft evaluation report in time and incorporate comments given by the CO and the EPA;**
* **Responsible for the stake holders engagement**
* **Editing and Finalizing the evaluation report**,

1. **IMPLEMENTATION ARRANGEMENTS**

The evaluation will be conducted for a period of 2 weeks. The detailed Final Evaluation methodology will be agreed as part of the contract finalisation process by way of virtual communication with relevant UNDP representatives.

The consultants will start the evaluation processes with an inception meeting with relevant the UNDP representative(s). The consultant- They will undertake the review of documentation (home-based), interviews preparation of an evaluation report and a lessons learned document (home-based). They will submit the draft products to UNDP -,,CO for comments and finalise the products within 2 weeks.

1. **GUIDING PRINCIPLES AND VALUES**

The evaluation will be undertaken in-line with the following principles:

* Independence
* Impartiality
* Transparency
* Disclosure
* Ethical
* Partnership
* Competencies and Capacities
* Credibility
* Utility

The consultant must be independent from the delivery and management of development assistance process that is relevant to the Project’s context. Therefore, applications will not be considered from those who have had any direct involvement with the design or implementation of the Project. Any previous association with the Project must be disclosed in the application. This applies equally to firms submitting proposals as it does to individual evaluators. If selected, failure to make the above disclosures will be considered just grounds for immediate contract termination, without recompense. In such circumstances, all notes, reports and other documentation produced by the evaluator will be retained by UNDP.

**Sample Outline of the Final Evaluation Report –**

1. Executive Summary

* Brief description of project
* Context and purpose of the evaluation
* Main conclusions, recommendations

1. Introduction

* Purpose of the evaluation
* Key issues addressed
* Methodology of the evaluation
* Structure of the evaluation

1. The Project and its Development Context

* Project start and its duration
* Challenges that programme sought to address
* Objective and goal of the project
* Main stakeholders
* Results expected

1. Findings and Conclusions
   1. *Project Formulation*

* Formulation processes
* Stakeholder participation
* Replication approach
* Cost effectiveness
* Linkage of the programme and other interventions within the sector
* Indicators
  1. *Project Implementation*
* Delivery
* Financial management
* Monitoring and evaluation
* Implementation modalities
* Coordination with WFP, UNICEF and UNDP
* Coordination with other partners and operational issues
  1. *Results*
* Attainment of Objective/Goal
* Attainment ofOutputs
* Sustainability
* Replicability

1. Lessons Learned
2. Conclusions and Recommendations
3. Annexes

* Evaluation ToRs, itinerary and list of persons interviewed
* Summary of findings
* Summary of issues raised and recommendations by different stakeholders
* List of documents reviewed
* Questionnaire used and summary of results if any
* Synthesis of stakeholder comments to the draft evaluation report