**TERMS OF REFERENCE**

**Assessment of the UNDP’s Funding Mechanisms for Crisis Prevention and Recovery**

1. **BACKGROUND AND CONTEXT**

As part of its broader mission to enable sustainable social and economic development, and as elaborated in Executive Board document DP/2000/18, UNDP has received a clear mandate from the UN General Assembly to operate in special development situations. The UNDP’s Bureau for Crisis Prevention and Recovery (BCPR) is responsible for leading this mandate through supporting UNDP’s efforts to reduce the impact of natural disasters, prevent armed conflicts, and assist in recovery from crisis when it occurs. There are various funds available to UNDP Country Offices working in special development situations. These resources include utilization of Target for Resource Assignment from the Core (TRAC 1 & 2), direct cost sharing contributions at the country level, and external funding opportunities. In addition, UNDP has corporately assigned resources for Crisis Prevention and Recovery, managed by BCPR. These include the dedicated resource line in its programming arrangements for crisis response (TRAC 3) and the Thematic Trust Fund for Crisis Prevention and Recovery (CPR TTF).

TRAC 3 resources are earmarked annually from the UNDP's Regular Resources to finance initiatives that aim at crisis prevention, reducing the impact of a crisis, and also to support the UN Country Teams and the offices of Resident Coordinators in coordinating crisis response.

The UNDP’s Thematic Trust Fund for Crisis Prevention and Recovery (CPR TTF) was established by UNDP in March 2000. Since its inception, the Fund has mobilized more than US$ 850 million and benefited more than 80 countries. BCPR serves as the Fund manager, responsible for both its fiduciary oversight and programmatic results. The CPR TTF provides a channel for the donors to fund specific projects in response to crisis prevention and recovery needs in a particular country. This funding mechanism is designed to support quick action recovery activities following a natural disaster or violent conflict, or when a unique opportunity arises to reduce disaster risk or prevent conflict. In addition to offering rapid allocation of funds to UNDP country offices, the CPR TTF provides the flexibility to refocus funding in response to evolving crisis prevention and recovery needs. The Fund also envisages that BCPR’s integrated technical expertise and programmatic support are mobilized towards the delivery of the funds.

The CPR TTF receives unearmarked contributions from donors which can be directed to crisis and other country office needs in CPR as they emerge, and which are allocated through a dedicated management mechanism. . The CPR TTF has also established funding windows for earmarked contributions benefiting individual programme countries and specific programmatic interventions in key technical service lines (conflict prevention and peacebuilding; recovery; security sector reform and transitional justice; small arms reduction, disarmament, and demobilization; mine action; natural disaster reduction; and special initiatives for countries in transition).

1. **PURPOSE**

This assessment will focus on the effectiveness and efficiency of BCPR-managed mechanisms in ensuring deployment and effective use of necessary financial resources in special development situations. It will review how Country Offices perceive these mechanisms in terms of speed of response, relevance and flexibility and the extent to which funding opportunities from the CPRTTF and TRAC 3 have strengthened overall country portfolios and acted as a seed funding mechanism for mobilizing larger resources for CPR programmes. The assessment will focus on identifying relevant lessons learned and best practices and on providing forward-looking recommendations to the management for positioning and improving the CPRTTF/TRAC3 mechanisms and processes in order to further strengthen the effectiveness of UNDP’s financial support to country offices in special development situations.

1. **SCOPE AND OBJECTIVES**

The assessment will cover the period from 2000-2013, focusing in particular on evaluating the value added of the use of the CPR TTF and TRAC 3 resources, and associated specific aspects, such as rapid receipt and allocation of funds to UNDP Country Offices for immediate response to crises; use of specific thematic and country windows to channel donor contributions; ability to generate lessons learnt and take into account emerging challenges; and flexibility of adjusting the funding portfolio in response to evolving crisis prevention and recovery needs.

Specific objectives of this assessment are as follows:

* To assess the extent to which the CPR TTF and TRAC 3 mechanisms have met their original objectives and whether they have been positioned to add value in responding to the needs and demands from high risk crisis countries in a fast and flexible manner that supports UNDP programmes;
* To assess the extent to which the CPR TTF and TRAC 3 allocations contributed to further mobilization of additional resources for CPR interventions by country offices;
* Assess the efficiency of the CPRTTF and TRAC 3 management processes and identify potential areas for improvement;
* To present key findings, draw lessons learned, and provide a set of clear and forward-looking options for improving provision of required financial assistance towards addressing CPR-related needs and challenges.

1. **KEY ASSESSMENT QUESTIONS**

The assessment will use the suggested questions below that are to the following criteria: Relevance, Efficiency and Sustainability.

1. **Relevance**

* To what extent the original objectives of establishing the CPR TTF and TRAC 3 mechanisms have been met, including any adjustments that were made to reflect corporate requirements and country needs.
* To what extent established CPR TTF thematic windows respond to crisis prevention and recovery priorities at the global, regional and country level?
* Were there any unanticipated events, opportunities or constraints in the process of managing the CPR TTF and TRAC 3 mechanisms? Have associated risks been anticipated and addressed?
* To what extent implementing policies and practices applied in managing the CPR TTF and TRAC 3 mechanisms have been consistent with specific contributing donor policies and requirements, as well as relevant country, regional and global priorities.
* Have gender mainstreaming and gender equality priorities been adequately addressed through the allocation and use of CPR TTF and TRAC 3 resources
* Have the CPRTTF and TRAC 3 mechanisms enabled further resource mobilization ?

1. **Efficiency**

* Have the CPR TTF and TRAC 3 funds and associated resources (human resources, time) been efficiently used to achieve its objectives?
* What effect did management and institutional arrangements have on the use of CPR TTF and TRAC 3 mechanisms as principal instruments of supporting programming, delivery and monitoring of implementation of CPR-related interventions at the regional level and at the country level?
* What measures and processes were applied by UNDP and partners to ensure greater accountability to key donors and partners for the effective use of the financial resources?
* What were the strengths and weaknesses of the approaches and strategies utilised in managing the CPR TTF and TRAC 3 mechanisms?
* Were management capacities of the BCPR adequate to manage the CPR TTF and TRAC 3 mechanisms in a timely and efficient manner? What could be done differently in the future?
* What measures were taken to assure the quality of results and management practices, both in relation to process and products, and to partnership strategies?
* How has the CPR TTF portfolio and its size evolved over time? Were these trends adequately aligned with the supply of resources (funds, human resources and time) and country demands?
* Were the resources allocated sufficient to achieve the objectives of the CPR TTF and TRAC 3 mechanisms? Have appropriate resource mobilization strategies been developed and implemented to ensure achievement of these objectives?
* To what extent have the management mechanisms of the CPRTTF been able to ensure coherence, in priority setting and allocation criteria, with those of UNDP’s Regional Bureaus.

1. **Sustainability**

* To what extent were sustainability considerations taken into account in the design and implementation of CPR TTF and TRAC 3 mechanisms?
* What steps have been taken to ensure CPR TTF sustainability in light of the changing patterns of aid architecture and growing demands from UNDP country offices?
* How did the development of partnerships at the global, regional and national level contribute to sustainability of CPR TTF and TRAC 3 mechanisms?
* To what extent have the CPR TTF and TRAC 3 resources had a catalytic effect in terms of jumpstarting required programmes, delivering results and mobilizing required resources? How much additional funding was leveraged by the CPR TTF and TRAC 3 resources? What were main sources of additional funding?
* What are the prospects for future resource mobilization? Is there a need for re-alignment or adjustment of existing CPR TTF thematic windows and TRAC 3 categories or strategic repositioning of these funding mechanisms in light of current country demands and prospective sources of supply (funding opportunities)?

1. **METHODOLOGY**

Inception: Based on the indicative questions listed in the above section, overall methodology and specific questions will be further developed by the assessment consultant in the inception report within the first week of the assignment. The inception report should contain a specific matrix displaying each of the assessment criteria and associated questions and sub-questions that the assessment will answer, and for each question, the primary and secondary data that will be collected.

The consultant will seek to obtain data from a range of sources, including desk reviews and document analyses, surveys and questionnaires for selected country offices along with relevant phone interviews and interviews with relevant personnel in NYHQ. The rationale for using a range of data sources (data, perceptions, evidence) is to triangulate findings and using different data sources to inform the analysis of specific issues. The consultant will provide empirical evidence to support all conclusions and recommendations, and the evidence will be validated from multiple sources. The questionnaires and phone interviews with selected country offices will represent an integral and crucial component of the assessment.

The suggested list of country offices (6 to 8 counries) to be interviewed will be prepared by the consultant based on the following criteria:

* Geographical balance to the extent possible
* Country offices that received TRAC 3 for emergency response;
* Country offices that received un-earmarked contributions;
* Country offices that received a mix of earmarked and un-earmarked contributions

In each case, an effort will be made to ensure selection of country offices that have received considerable assistance in each of the four areas of the criteria.

1. **DELIVERABLES**

* Inception report— detailing the consultant’s understanding of what is being assessed and why, showing how each suggested question will be answered by way of: proposed methods, proposed sources of data and data collection procedures. The inception report will also include draft questionnaires and interview questions to be shared with country offices and a proposed schedule of tasks, activities and deliverables;
* Draft assessment report; and
* Final assessment report.

1. **REQUIRED COMPETENCIES**

The assessment consultant will be externally recruited through UNDP’s regular recruitment procedure. He/she should be independent from any organizations that have been involved in designing, executing or advising any aspect of CPR TTF that is the subject of this assessment.

The consultant must have demonstrated capacity to think strategically, provide policy advice and manage the evaluation of the global programmes. He/she is expected to have extensive knowledge of issues relating to organizational and institutional change, the UN reform process, principles of results-based management, and should be familiar with the current global trends in international aid architecture.

The following are some of key qualifications for the selection of the consultant:

* Masters in international development , political science , economics or relevant field
* At least 10 years of international development experience or well established and well-functioning organization with at least 10 years of experience in fund-raising, resource mobilization and project/programme management;
* Sound knowledge of crisis prevention and recovery work of UNDP and its key partners at national, regional, and global levels. Familiarity with standard UNDP policies and practices for engagement in crisis and special development situations;
* Background in strategic planning and previous experience drafting or contribution to UN development documents;
* Sound methodological skills and knowledge of evaluation methods and techniques;
* Strong monitoring and evaluation background;
* Extensive experience in working with the UN/multilateral development agencies;

1. **TIMEFRAME FOR THE ASSESSMENT PROCESS**

The duration of the assessment will be 40 working days spread over a period of 3 months.

**11. Duty Station**

Duty station is New York – USA and it is a home-based work. However the consultant will be required to be present at the UNDP/BCPR office in New York during the regular office working hours if he/she is called upon for interviews/discussions related to the assessment.