**UNDAF (2011-2015) and Delivering as One Evaluation**

**Terms of Reference** [draft 4 July 2014]

1. **BACKGROUND AND RATIONALE**

The Zambia UN Development Assistance Framework (UNDAF) 2011-2015 sets out the UN system’s role and collective contribution to the achievement of the Sixth National Development Plan (SNDP), 2011-2015. The UNDAF provides a strategic programme framework and platform for bringing the mandates, technical expertise and resources of UN agencies together, and promotes UN system wide alignment with national development priorities, plans and programmes. The UNDAF establishes operational links to agency-specific programme documents and results in those sectors/themes.

In June 2011, the Government of Republic of Zambia (GRZ) formally requested that the UN system in Zambia commences as a Delivering as One ‘self-starter’ under the UNDAF 2011-2015, hence expecting the UN system to collectively support the country’s national priorities in a more coherent, effective and coordinated manner. The Delivering as One (DaO) initiative builds on the existing reform agenda set by UN member states, which asks the UN system to accelerate efforts to increase coherence and effectiveness of its operations in the field in order to achieve better development results. Since the Delivering as One pilot initiative was launched in eight countries in 2007, another 24 countries have voluntarily adopted the DaO approach. Working together in this way, the UN system intends to capitalize on the capacities, mandates and comparative advantages of the different agencies, provide joined-up support, avoid duplication, and reduce transaction costs - and ultimately have an increased impact on national development results. This is also what we strive to achieve through the DaO process underway in Zambia.

The five broad outcome areas of the Zambia UNDAF 2011-2015 cover the following priority areas: (1) HIV/AIDS; (2) Sustainable Livelihoods and Food Security; (3) Human Development; (4) Climate Change, Environment and Disaster Risk Reduction; and (5) Gender Equality and Good Governance. Eight strategic joint UN programmes have been developed to support UNDAF results achievement and implementation of the Millennium Development Goals (MDGs) in areas of maternal and child health, HIV&AIDS, gender-based violence, youth employment, green jobs, human trafficking, sustainable forest management and climate change.

As a result of the change of Government administration September of 2011, from the Movement of multiparty Democracy (MMD) to the Patriotic Front (PF) Government, there arose a need to refocus Government developmental priorities to be in context with the new administration’s policies and manifesto. This meant that the main instrument for implementation of Government programmes, the medium term plan, in this case, the Sixth National Development Plan (2011 – 2015) which was prepared under the auspices of the previous Government had to be revised. The revised sixth National Development Plan (R-SNDP) 2013 – 2016 is, therefore, a medium term plan that is primarily aimed at refocusing Government priorities and policies to be in line with the Patriotic Front development paradigm. The draft R-SNDP was developed mid-2013 and has not been finalised to date.

The draft R-SNDP is primarily an investment plan which focuses on capital investment areas with a bias to rural development and job creation. This approach, therefore, by implication identifies the main growth areas or sectors as Skills Development, Science and Technology, Agriculture, Livestock and Fisheries, Energy, and infrastructural development particularly transport infrastructure while enhancing human development related sectors of Water and Sanitation, Education and Health.

Early 2014, the UNCT agreed not to extend the current UNDAF to 2016 to align with the revised national development planning cycle. However, efforts will be made to ensure that the UNDAF is aligned to the national priorities. As an inception of the process to prepare the next UNDAF, an independent evaluation will be conducted in mid-2014. The evaluation will determine the extent to which the UNDAF results were achieved and made a worthwhile contribution to national development priorities. The evaluation will also assess the relevance of the current UNDAF in the context of R-SNDP priorities, hence the findings and lessons-learned will inform: a) the comprehensive UNDAF Review supporting the current UNDAF’s realignment with the R-SNDP; and b) the preparation of the next UNDAF, which may cover the period of 2016-2021/22, by informing how a more effective use of UNCT resources and comparative advantages could be made in the future.

The UNCT Zambia, in close partnership with the Government and partners is to undertake an UNDAF Evaluation which is mandatory in the penultimate year of the UNDAF cycle and should serve as a major input for the planning process of the next UNDAF cycle. The UNDAF Evaluation will use standard OECD / DAC criteria (*relevance, effectiveness, efficiency, impact* and *sustainability of results*) as well as the key issues of design, focus and comparative advantage of the UN system, as the basis for its objectives and key questions, in order to ensure the veracity of the evaluation.

 The UN Resident Coordinator and the UN Country Team and the Ministry of Finance oversee the implementation of the UNDAF, which is driven by five thematic inter-agency groups, supported by the UN M&E Working Group. The Resident Coordinator’s Office (RCO) supports the overall coordination of UNDAF planning and review processes. The UN team engages closely with government counterparts to ensure alignment with national development priorities.

1. **PURPOSE, OBJECTIVES AND SCOPE**

The overall **purposes** of the UNDAF and DaO evaluation are:

* To support greater learning about what works, what doesn’t and why in the context of an UNDAF. The evaluation will 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 and for improving United Nations coordination at the country level.
* To support greater accountability of the UNCT to UNDAF stakeholders***.*** By objectively verifying results achieved within the framework of the UNDAF and assessing the effectiveness of the strategies and interventions used, the evaluation will enable the various stakeholders in the UNDAF process, including national counterparts and donors, to hold the UNCT and other parties accountable for fulfilling their roles and commitments.
* To assess progress made against the strategic intent of Delivering as One, record achievements, identify areas for improvement and remaining challenges, and distil lessons to inform decision-making processes at national, inter-governmental and headquarters levels. The strategic intent of the “One UN Initiative” refers to the strategic goals and intentions as indicated in the UN Coordination and Support to Delivering as One in Zambia (November 2011)and other key reference documents.

The **objectives** of the evaluation are:

* to assess the ***role, relevance and effectiveness*** of the UNDAF : (i) in relation to the issues, their underlying causes, and challenges identified by the *Constraints Analysis* at the beginning of the current programme cycle and in the context of national policies and strategies; (ii) as a reflection of the internationally agreed goals, particularly those in the Millennium Declaration and relevant human rights guidance, and international norms and standards guiding the work of agencies of the UN system and adopted by UN member states; and (iii) in terms of progress towards agreed UNDAF outcomes:
* to assess the ***design*** and ***focus*** of the UNDAF i.e. the quality of the formulation of results at different levels i.e. the results chain
* to assess the ***efficiency*** of the UNDAF in terms of progress towards achievement of UNDAF outcomes and DaO *as a mechanism to minimize transaction costs* of UN support for the government and for the UN agencies
* to assess, to the extent possible, the ***impact*** of UNDAF on the lives of the poor, vulnerable and marginalized persons
* to analyse to what extent results achieved and strategies used in the frame of the UNDAF are ***sustainable***: i) as a contribution to national development, and (ii) in terms of the added value of UNDAF to cooperation among individual UN agencies
* to assess to what extent the “One UN Initiative” in Zambia is on track to achieve the expected results against the strategic intent. Assess specifically the key mechanisms, processes and structures set up under the “One UN Initiative” to implement change and improve effectiveness
1. **EVALUATION SCOPE AND EVALUATION QUESTIONS**

The **scope** covered by the evaluation includes examining UNDAF programming principles (human rights-based approach, gender equality, environmental sustainability, results-based management, and capacity development), overall strategies and outcome/output specific strategies included in the UNDAF itself. The UNDAF will be evaluated against the strategic intent laid out in the UNDAF document and specifically its contribution to the national development results included in the UNDAF results framework.

1. **To assess the *relevance* of the UNDAF**

Evaluation Questions

* Has the UNDAF document been used by UN agencies and Government institutions in planning their activities, setting goals, and in cooperation?
* Do the UNDAF outcomes address key issues, their underlying causes, and challenges identified by the *Constraints Analysis*? Was the UNDAF results matrix sufficiently flexible and relevant to respond to new issues and their causes as well as challenges that arose during the UNDAF cycle?
* Have the UNDAF outcomes been relevant in terms of internationally agreed goals and commitments, norms and standards guiding the work of agencies of the UN system (including the Millennium Development Goals, all international human rights treaties binding on Zambia, and other relevant human rights standards and evaluations)
* To what extent did the UNDAF succeed in strengthening national capacities (including national execution), building partnerships, the realization of human rights and promoting gender equity and equality?
1. **To assess the *effectiveness* of the UNDAF**:

Evaluation Questions

* What progress has been made towards the realization of UNDAF outcomes as a contribution to the achievement of nationalized MDGs and in terms of indicators as reflected in the UNDAF M&E Plan?
* Which are the main factors that contributed positively or negatively to the progresses towards the UNDAF outcomes and National Development Goals?
1. **To assess the *efficiency* of the UNDAF in terms of progress towards achievement of UNDAF outcomes:**

Evaluation Questions

* Were UNDAF outputs deliveries during the period done to the maximum extent of available resources?
* To what extent and in what ways did UN support promote national execution of programmes and / or the use of national expertise and technologies?
1. **To assess, to the extent possible, the *impact* of UNDAF on the lives of the people of Zambia:**

Evaluation Questions

* Is there any major change in UNDAF indicators that can reasonably be attributed to or be associated with UNDAF, notably in the realization of MDGs, national development goals and the national implementation of internationally agreed commitments and UN Conventions and Treaties?
1. **To analyse to what extent results achieved and strategies used in the frame of the UNDAF are *sustainable*:** i) as a contribution to national development, and (ii) in terms of the added value of UNDAF to cooperation among individual UN agencies:

Evaluation Questions

* To what degree did the UNDAF contribute to the UN role in establishing and enhancing the critical factors for progress towards national development goals?
* How flexible and appropriate was the UNDAF in adapting to the major development changes in the country?
* To what extent and in what way have national capacities been enhanced in government, civil society and NGOs?
* Have complementarities, collaboration and /or synergies fostered by UNDAF contributed to greater sustainability of results of Donors intervention in the country?
* To what extent has institution-building and institution-strengthening taken place on the 5 programming principles ( human rights, gender equality terms, results based management, environmental sustainability and capacity development)?

**e. To assess the *design* and *focus* of the UNDAF** i.e. the quality of the formulation of results at different levels i.e. the results chain:

Evaluation Questions

* To what extent is the current UNDAF designed as a results-oriented, coherent and focused framework? Are expected outcomes realistic given the UNDAF timeframe and resources?
* Assess the extent and the ways the risks and assumptions were addressed by UNDAF design and later during the implementation of programmes and projects?
* Is the distribution of roles and responsibilities among the different UNDAF partners well defined, facilitated in the achievements of results and have the arrangements largely been respected in the course of implementation?
* Does the UNDAF help achieve the selected priorities defined by national development framework?
* Do the UNDAF and Country Programmes respond to the challenges of national capacity development and do they promote ownership of programmes by national partners?
* To what extent have human rights principles and standards been reflected or promoted in the UNDAF? To what extent and in what ways has a human rights approach been reflected as one possible method for integrating human rights concerns into the UNDAF?
* To what extent and in what ways the concepts of gender equity and equality were reflected in UNDAF (in terms of specific goals and targets set, sex disaggregated data and indicators etc.)
* How have human rights and gender equality considerations been mainstreamed throughout UNDAF implementation? Has the design been appropriate for a sustainable mainstreaming of human rights and gender equality considerations throughout all programming?
* What gaps exist in human rights and gender equality terms?

**f. To assess the validity of the stated collective *comparative advantage* of the UN System in Zambia:**

Evaluation Questions

* To what extent and in what way have the comparative advantages of the UN organizations been utilized in the national context specifically in relation to other Cooperating Partners active in the country (including universality, neutrality, voluntary and grant-nature of contributions, multilateralism, and the special mandates of UN agencies)?

**g. To assess the *effectiveness* of the UNDAF, *as a coordination and partnership framework*:**

Evaluation Questions

* To what extent and in what way has the UNDAF contributed to achieving better synergies among the programmes of UN agencies with an effect on the progress towards the National Development priorities? Has the UNDAF enhanced joint programming by agencies and /or resulted in specific joint programmes?
* Did the UNDAF promote effective partnerships and strategic alliances around the main National development goals and UNDAF outcomes areas (e.g. within Government, with national partners, International Financial Institutions and other external support agencies)?
* Have agency supported programmes been mutually reinforcing in helping to achieve UNDAF outcomes? Has the effectiveness or programme support by individual agencies been enhanced as a result of joint programming?

**h. To assess the *efficiency* of the UNDAF *as a mechanism to minimize transaction costs* of UN support for the government and for the UN agencies:**

Evaluation Questions

* To what extent and in what way has the UNDAF contributed to a reduction of transaction costs for the government and for each of the UN agencies? In what ways could transaction costs be further reduced?
* Were the results achieved at reasonably low/lowest possible cost?
* To what extent have the organisations harmonized procedures in order to reduce transaction cost and to enhance results?
* **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?
* **Other factors.** A number of country-specific factors that have affected the performance of the UNCT in the framework of the UNDAF will also be examined:
* 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?
1. **MANAGEMENT AND ORGANISATION**

The UNDAF Evaluation will be commissioned and overseen by the UNCT and Ministry of Finance. Day-to-day evaluation management will be ensured through the RC Office. The UNDAF Evaluation will be conducted by a consortium of consultants both international and national.

The lead consultant will have overall responsibility for producing the UNDAF Evaluation Report and for quality and timely submission of the same Report to the UN RC office and UNCT.

The main tasks of the UN M&E Working Group will be to guide the evaluation process at the design, implementation and reporting stages (including holding an initial evaluation planning meeting and a data analysis meeting with the consultants), as well as to regularly report back the progress to the UNCT. Day-to-day management will be ensured through the RC Office with the support of the UN M&E Working Group.

1. **METHODOLOGY**

The UNDAF Evaluation will be coordinated between the Government of Republic of Zambia and UN Zambia. On the Government side, the process will be led by the Ministry of Finance and by the Resident Coordinator’s Office from the UN side.

The UNDAF Evaluation will be completed within five weeks.

The consultants will use the following methodology to evaluate the UNDAF:

* Undertake a comprehensive desk review (synthesis and data analysis) of existing studies, surveys and evaluations conducted by UN agencies and their partners during the current UNDAF cycle as well as documents from the government on national policies and strategies;
* Draft an inception report, articulating the consultants’ understanding of the ToRs and assignment workplan containing the tasks to be performed and methodological approach, including data collection tools and time schedules;
* Conduct interviews with Heads of UN Agencies, selected UN programme staff, UNDAF Outcome Groups, UN inter-agency groups and selected senior Government officials ;
* Make field visits to selected programmes where required;
* Prepare a report, reflecting the objectives and scope of the Evaluation as detailed in section 3;
* The consultant will participate in a series of meetings with the RC and UNCT:
	+ An initial briefing meeting;
	+ A ‘data analysis meeting’ in the middle of the consultancy period to review the consultant’s progress and provide inputs and feedback to facilitate the consultant’s preparation of the first draft UNDAF Evaluation Report; and
	+ A debriefing session to review the draft evaluation report, validate the consultancy results and receive any final comments/ recommendations on the report by UNCT, PMT and UN M&E WG

Technical support and quality assurance will be provided by the UNDOCO Regional Office for East and Southern Africa (ESAR).

The UNCT together with the UN RC Office will conduct follow-up activities of the UNDAF Evaluation as follows:

1. Organization of a stakeholders’ meeting/workshop to validate and refine findings, conclusion and recommendations; discuss dissemination and communication strategies and plan for implementation of evaluation recommendations. The follow-up plan should determine a process for ensuring that lessons learned are incorporated into the next UNDAF programming cycle.
2. Dissemination of the evaluation findings and recommendations
3. Implementation of a follow-up plan, in particular focusing on the design of a new UNDAF cycle.
4. **STRUCTURE OF THE UNDAF EVALUATION REPORT**

The report should include the following sections:

Executive Summary (max 2 pages)

1. Introduction (Context and national priorities, goals, and methodology, brief description of the results)
2. A Reflection on the main findings which considers: (a) the results of the desk review of existing documentation available, and (b) the interviews conducted with Heads of UN Agencies, selected senior programme staff, and selected senior Government officials
	1. Results by UNDAF Outcome (five UNDAF outcomes)
3. Partnership and collaboration strategy among UNCT and other donors; and evaluation of the efficiency and effectiveness of UNDAF as a partnership framework
4. Major Challenges
5. UNDAF Financial Management
6. Assessment of M&E process
7. Conclusion
8. Recommendations and follow-up plan
	1. Current UNDAF
	2. Next UNDAF
9. Annexes might include the following:
	* Assessment of the progress by outcomes in relevance to the nationally defined goals.
	* Photos
	* Stories worth telling (Most Significant changes [MSC])
	* List of documents used in the review and persons met.
10. **UNDAF Evaluation Consultant(s) Requirements**

**Competencies**

* Excellent knowledge of the UN system and UN joint country programming processes (CCA/UNDAF);
* Good knowledge and experience with the national development frameworks, especially Millennium Development Goals (MDGs), PRSP, SWAP, key legislation, etc.;
* Specialised technical knowledge, including in data collection and analytical skills, mainstreaming the HRBA to programming and gender equality and women’s empowerment considerations;
* Excellent communication, interpersonal skills, teamwork and adept at working with people of diverse cultural and social backgrounds;
* An understanding of and ability to abide by the core values of the United Nations.

**Required Skills and Experience**

**Education**

* Master’s degree or equivalent in Economics, Development Studies, Social Studies, International Relations or other related field.

**Experience**

* At least 10 years of relevant experience and proven expertise with CCA/UNDAF processes, evaluations and reviews, including strong understanding of UN’s relevant Programming Guidelines on Gender Equality, HRBA, Capacity Development, Environmental Sustainability and RBM;
* Excellent report writing skills, analytical skills as well as good computer skills;
* Previous experience in UNDAF or related evaluation process and practical experience in the Southern African region and/or knowledge of the development issue in low-income countries is an asset;
* Experience in working with teams and team processes;
* Proven track record in evaluation and review writing.

**Language**

Proven excellent command in written and spoken English.