**ANNEX 1**

 

**DRAFT TERMS OF REFERENCE FOR THE EVALUATION OF**

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**UNDAF Outcome 1.2** Targeted population in selected districts benefit from effective management of environment, natural resources, climate change and disaster risk by 2016

**International Consultant**

**AUGUST, 2015**

# I. **BACKGROUND AND CONTEXT**

Malawi’s economic development and social well-being depends to a large extent on the country’s natural resource base, e.g. for exports, national food security, energy and water provision. Over 80 percent of the Malawian population is dependent on agriculture for their incomes and broader livelihoods. This coupled with an ever growing population has resulted in large areas of land being cleared of vegetation for agriculture and subsequently this has resulted in soil erosion and land degradation. The dependence on natural resources is further exemplified by a recent study undertaken by the UNDP-UNEP Poverty Environment Initiative (PEI), where it estimated that unsustainable natural resource use costs Malawi US$ 191 million, or 5.3 percent of GDP each year. The largest costs result from the loss of agricultural productivity as a result of soil degradation, as well as deforestation in catchments around the main urban centres to supply firewood and charcoal, unsustainable fishing and reduced economic activity caused by indoor air pollution.

Due to climatic changes, Malawi faces multiple hazards in both rural and urban areas, which mostly include floods, landslides, heavy storms, drought, earthquakes, epidemics, fire incidents, and HIV/AIDS. The nature and pattern of weather-related hazards are changing as a result of climate change – becoming more frequent, intense and unpredictable. For instance, before 2001 only nine districts in Malawi were classified as flood-prone. In 2015, 15 districts experienced flooding.

The Malawi Growth and Development Strategy (MGDS) has identified energy, climate change, environment and natural resources management among its nine key priorities. National strategies in these areas seek to enhance sustainable management of forest resources and their contribution to national economy; resilience to climate change risks and impacts and ensure sustainable management and utilization of the environment and natural resources.

In the 2012-2016 United Nations Development Assistance Framework (UNDAF), the UN is contributing to MGDS objectives through the promotion of natural resources conservation and improved management of the environment and disasters to enhance the sustainability of economic growth, particularly in districts that are prone to natural disaster.

UN Assistance to the area of Climate Change, Disaster Risk and Environment and Natural Resources Management is presented in Outcome 1.2/1.3, namely: Targeted population in selected districts benefit from effective management of environment, natural resources, climate change and disaster risk by 2016

Outcome 1.2/1.3 has four outputs as follows:

* **Output 1.3.1:** *Environment, natural resources, climate change, and disaster risk management mainstreamed in policies, development plans and programmes at national level and implemented in 14 disaster-prone districts [UNDP, FAO, UNEP, WFP, UNICEF, UN Habitat, UNIDO****, IAEA]***
* **Output 1.3.2:** *Data and knowledge on the impact of climate change, environmental and natural resources degradation and natural disaster collected and made accessible to decision makers in Government, Private Sector and Civil Society [UNDP, FAO, UNEP, WFP, UNICEF, UN Habitat, UNIDO, IAEA, UNFPA]*
* **Output 1.3.3:** *Targeted population in selected districts benefit from effective management of environment, natural resources, climate change and disaster risk by 2016 (UNDP, FAO, UNEP, WFP, UNICEF, UN Habitat, UNIDO, IAEA, UNFPA)*
* **Output 1.3.4**: *Innovative renewable and energy saving technologies piloted in targeted locations in rural and peri-urban areas enabling the development of a national programme [UNDP, UNEP, FAO, UN Habitat, UNIDO, IAEA]*

Key interventions under each of the four outputs are listed in the 2012-2016 UNDAF Action Plan. The UNDAF Action Plan also presents results matrices including indicators and Annualised Key Results (AKRs) for each output. Annex 1 presents the planning documents relevant to UNDAF Outcome 1.3.

The interventions under this outcome are being implemented with assistance from the following UN agencies: *UNDP, FAO, UNEP, WFP, UNICEF, UN Habitat, UNIDO, IAEA, UNFPA*. UNDP is the lead UN Agency for the Outcome. It has been strongly recommended that the outcome be jointly evaluated by the participating UN agencies. Annex 3 provides a full list of key stakeholders and partners for the outcome.

1. **PURPOSE, OBJECTIVES AND SCOPE OF THE EVALUATION**

The purpose of the evaluation is to capture and demonstrate evaluative evidence of the contribution of the UNCT, collectively and individual participating UN agencies, to the UNDAF Outcome 1.3, namely: Targeted population in selected districts benefit from effective management of environment, natural resources, climate change and disaster risk by 2016. This evaluation is also being commissioned to assess the relevance, effectiveness, efficiency and sustainability of current programming in the areas of environment, natural resources, climate change and disaster risk management, which can be used to strengthen existing programmes and to set the stage for new initiatives, inform UNDAF review planned for 2015 and support learning across the UN to improve programme effectiveness. This evaluation serves as an important accountability function, providing national stakeholders and partners in Malawi with an impartial assessment of the results of UNCT, individual UN and other participating agencies support.

**The objectives of the evaluation are to**:

* Assess the contribution of UNDAF Outcome 1.3 to national priorities and results
* Determine the extent to which the outcome and related outputs have been achieved or are being achieved and the likelihood of being achieved by the end of 2016 in general, and the extent of participating UN agencies’ contributions;
* Determine the impact, both positive and negative, from achievement of the outcome and its related outputs;
* Assess the existing frameworks and strategies adopted by the UNCT and UN agencies in providing support to Government including partnership and resource mobilization strategies, engagements, and whether they were well conceived for achieving the planned outcomes; were the strategies employed by the participating UN agencies complimentary and synergistic; Examine and analyse factors that facilitate and/or hinder the progress in achieving the outcome by the UNCT collectively and the participating UN agencies, individually, both in terms of the external environment and those internal to the portfolio interventions including: weakness in design, management, human resource skills and resources;
* Assess how the participating UN agencies worked together jointly in the planning, implementation and reporting on the outcome;
* Document lessons learnt from the implementation of the interventions;
* Appraise and make recommendations on the sustainability of the programme, including the institutionalization of interventions;
* Review the programme’s efforts to mainstream gender and other cross cutting issues and approaches; and
* Assess relevance and utilization of M&E processes and lessons learned for follow-on support of the programme.

**Evaluation scope:**

This is a terminal evaluation which should provide recommendations for ensuring effective achieving of results. The evaluation will cover the period from January 2012 to 31 December, 2014. Geographically, the evaluation is national although there are key district interventions. It will include a review of the UNDAF annual work plans and annual reports, agency level project documents and work plans and related progress and donor reports. Annex 4 provides a list of documents to be consulted by the evaluators.

**III. EVALUATION QUESTIONS AND CRITERIA**:

In order to fulfil the purpose and specific objectives stated above, the evaluation shall address the following five specific questions:

* Whether the Results and Resources Framework (RRF) including the Outcome and Output indicators were properly designed.
* Whether the level of financial resources made available by different UN Agencies was sufficient for successful implementation of the outcome vis-a-vis the planned resource envelope.
* What progress has been made so far towards the outcome and whether the outcome will be met by December, 2016;
* To what extent has each participating UN agency contributed to the achievement of the outcome?
* What are the main factors (positive and negative) that are affecting the achievement of the outcomes? How have these factors limited or facilitated progress towards the outcome?

**Evaluation Criteria:** The evaluation of performance of the UNCT and the participating UN Agencies individually in the outcome and outputs will be made using the standard criteria: relevance; effectiveness; efficiency; impact and sustainability. Below are detailed questions related to each criterion to be addressed by the evaluator.

*Relevance:*

* To what extent is the UNCT’s collectively and each UN agency’ engaging in promoting natural resources conservation and improved management of the climate change, environment and disasters risk together with reflection of strategic considerations, including UNCT’s role in the r development context of Malawi and its comparative advantage vis-a-vis other partners?
* To what extent has the UNCT’s collectively, and each participating UN agencies selected method of delivery been appropriated to the development context?
* Has the UNCT been influential in national debates in promoting natural resources conservation and improved management of the climate change, environment and disasters risk issues, and has it influenced national policies on legal reforms and human rights protection?

*Effectiveness*

* What evidence is there that the UNCT collectively and as individual UN agency contributed towards improved national government capacities, including institutional strengthening?
* Has the support at the national level been effective in helping improve management of the climate change, environment and disasters risk management at the local level in Malawi? Do these local results aggregate into nationally significant results?
* Has the UNCT and individual UN agencies worked effectively with other international and national development partners to improve the management of the climate change, environment and disasters risk?
* How effective has the UNCT collectively and individual participating UN agencies been, in partnering with civil society and the private sector to promote management of the climate change, environment and disasters risk in Malawi?
* Has the UNCT collectively, and participating individual UN agencies utilised innovative techniques and best practices in its programming?
* Did the UN coordination reduce transaction costs and increase the efficiency of implementation of the programmes relating to the outcome? To what extent did the programme create actual synergies among agencies and involve concerted efforts to optimise results and avoid duplication?
* Is the UNCT collectively, and other participating UN agencies perceived by stakeholders as a strong advocates for improving management of the climate change, environment and disasters risk in Malawi?
* What contributing factors and impediments or enhance UNCT’s collective, and individual participating UN agencies’ performance in this area?

*Efficiency*

* Have participating UN agency strategies and execution of the outcome been efficient and cost effective?
* Has there been an economical use of financial and human resources?
* Are the monitoring and evaluation systems that UNCT collectively and individual participating UN agencies have in place helping to ensure that programmes are managed efficiently and effectively?

*Sustainability*

* What is the likelihood that the interventions are sustainable?
* What mechanisms have been set in place by UNCT and participating UN agencies of Malawi to sustain improvements made through these interventions?
* How should this portfolio be enhanced to support central authorities, local communities and civil society in improving service delivery over the long term?
* What changes should be made in the current set of partnerships and strategies in order to promote long-term sustainability?
* What could be done to strengthen sustainability of outcomes?
* Is the UNCT and individuals agency resource mobilization strategy in management of the climate change, environment and disasters risk appropriate and likely to be effective in achieving this outcome?
* Are UNCT’s management structures and working methods appropriate and likely to be effective in achieving this outcome?

The evaluation should also include an assessment of the extent to which programme design, implementation and monitoring have taken the cross cutting issues into consideration: including gender equality and human rights.

Based on the above analysis, the evaluators are expected to provide overarching conclusions on the UNCT and individual participating UN agency results in this area of support, as well as recommend on how adjustments in the areas of: programming, partnership arrangements, resource mobilization strategies, and capacities would ensure that the portfolio fully achieves current planned outcomes and is positioned for sustainable results in the future. The evaluation analysis is additionally expected to offer wider lessons for the UNCT collectively, and individual participating UN agencies as well as the broader supportive development mechanisms to the country.

The evaluators will be expected to develop and present detailed statement of evaluations methods/approaches in an inception report to show how each objective, evaluation question and criterion will be answered.

1. **METHODOLOGY**

The evaluation exercise will be wide-ranging, consultative and participatory, entailing a combination of comprehensive desk reviews, analyses and interviews. While interviews are a key instrument, all analyses must be based on observed facts to ensure that the evaluation is sound and objective. On the basis of the foregoing, the consultants will further elaborate on the method and approach in a manner commensurate with the assignment at hand and reflect this in the inception report which will subsequently be approved by the National Steering Committee in consultation with key stakeholders.

The outcome evaluation is expected to take a “theory of change’’ (TOC) approach to determining causal links between the interventions that the UNCT and other participating UN agencies have supported in promoting effective management of environment, natural resources, climate change and disaster risk, and observed progress at national, districts and local levels.

The evaluation team should provide details in respect of:

**Data collection methods**: The outcome evaluation will draw on a variety of data collection methods including, but not limited to:

• Document review focusing on UNDAF planning documents, mid-term progress reviews (where undertaken), annual reports and past evaluation reports (including those on projects,small-scale initiatives, and those issued by national counterparts), strategy papers, national plans and policies and related programme and project documents. These should include reports on the progress against national and international commitments.

• Semi-structured interviews with key stakeholders including key government counterparts, donor community members, representatives of key civil society organisations, UNCT members, and implementing partners.

• Surveys and questionnaires with, UNCT members, key national stakeholders, and development partners.

• Focus Group discussions involving groups and sub-groups of stakeholders and decision-makers.

• Other methods such as outcome mapping, observational visits, etc.

Data collection methods must be linked to the evaluation criteria and evaluation questions that are included within the scope of the evaluation.

Data collection methods and process should consider gender sensitivity and data should be systematically disaggregated by sex and to the extent possible, disaggregated by geographical region, ethnicity, disability, migratory status and other contextually-relevant markers of equity.

**Validation**: The evaluation will use a variety of validation methods to ensure that the data and information used and conclusions made carry the necessary depth, and triangulation of information sources.

1. **IMPLEMENTATION ARRANGEMENTS**
2. An Evaluation Management Task Force will be established to manage the evaluation process. Each participating UN Agency will appoint an evaluation focal point who will be a member of the task force. The full membership of the task force will include government counterparts to UNDAF outcome 1.2/3 and selected UN officers from the UNDAF outcome 1.2/1.3 Group. The Task Force will assist in key aspects of the evaluation process including reviewing evaluation Terms of Reference, selecting evaluators, providing documents, providing detailed comments on the inception and draft evaluation reports and dissemination of evaluation findings, lessons learnt and recommendations.
3. The evaluation coordinating agency, UNDP, in consultation with the RCO will provide the necessary guidance on the reports process review
4. The UNDP Programme Analysts for Environment and Disaster Risk Management will support the Evaluation Team on daily basis with respect to providing background information and progress reports and other documentation on Outcome 1.3, setting up stakeholder meetings and interviews, arrange field visits and coordinating with Government, other IPs and DPs. The Programme Analysts will also lead the Evaluation Management Task Force.
5. The Evaluation team leader will have the overall responsibility to conduct the exercise as well as provide quality and timely submission of the final evaluation report to UNDP.
6. The Evaluation Team will be expected to be fully self-sufficient in terms of office equipment and supplies, communication, accommodation and transport. Furthermore the evaluators will be expected to familiarise themselves with the United Nations Evaluation Group’s standards and norms for conducting project evaluations.
7. The Evaluation Team will provide the UNDP Programme Analysts with regular reports and feedback on the progress of the evaluation process.
8. The UNDP Deputy Resident Representative (Programme) will provide the overall oversight to the Outcome evaluation and ensure timely delivery and satisfactory final product.
9. **DELIVERABLES**
* **Inception report** – within 5 days of the start of the assignment with UNDP. The report will include a detailed approach and methodology, schedule, a draft data collection protocols and an evaluation matrix. Annex 5 gives a template of the evaluation matrix. The work plan should also include an outline of the evaluation report as set out in Annex 2 of this TOR.**Draft evaluation report** – The Evaluator will present a Draft Report within 5 weeks after presentation of the inception report.
* **Final Evaluation Report**. The evaluators will present a Final Report 5 days after receiving feedback and comments from UNDP.
1. **COMPOSITION OF THE EVALUATION TEAM**

**The evaluation team will be made up by two members: an International Consultant (team leader)** and a national consultant to be employed by UNDP Malawi.

**Team Leader** will be responsible for the overall outcome evaluation implementation and quality of the report. He/she will solicit the input of a team member, an output evaluator. Other duties will include:

Desk review of documents and development of the outcome evaluation methodology, detailed work plan and report outline

Debriefing with UNCT, agreement on methodologies, scope and outlines of the reports

Interviews with key stakeholders

Field visits to project sites if relevant

Development and submission of the aide memo and the first draft of the Outcome Evaluation report. The drafts will be shared with the UNCT and key project stakeholders for review and commenting.

Finalization and submission of the final Outcome Evaluation Report.

**Evaluation Team Member** (national consultant) will report to the Team Leader, providing assessment of progress towards achievement of two outputs of the UNDAF Outcome 1.2/1.3 and who will be responsible for drafting relevant parts of the report. Other duties include:

Collection of background materials upon request by the outcome evaluation team leader and

Desk review of materials;

Assistance to international experts in developing methodologies, work plans and report outlines;

Participation in debriefings with UNCT representatives;

Assistance to international experts in setting and conducting interviews with relevant stakeholders;

Assistance to international experts in interviewing local stakeholders at project sites;

Debriefing with project implementing partners;

Her/his technical expertise will cover at least two of the following areas:1) climate change and adaptation; 2) disaster risk management and resilience management; 3) renewable energy service; 4) environment and natural resources management.

* 1. **Qualifications of Team Leader**

The Evaluation Team Leader must satisfy the following qualifications:

* An advanced degree in natural resources management or related disciplines;
* Minimum of 7 years of professional experience in any of the following areas: 1) environment and natural resources management; 2) renewable energy; 3) disaster risk management; 4) climate change management;
* Proven experience in leading consultancy teams;
* Track record of conducting evaluation of national development projects in any of the following areas: 1) environment and natural resources management; 2) renewable energy; 3) disaster risk management; 4) climate change management;
* Experience in conducting evaluations of UN agency project, outcome and Country Programme or UNDAF evaluations will be added advantage;
* Excellent communication skills for report writing and presentation of research and evaluation projects backed by extensive technical reports and publications.
* Availability between 3rg August, 2015 and 30 September, 2015.

**Team leader competencies:**

* Institutional Strengthening
* Environment and natural resources management;
* Strategic thinking
* Strong analytical, reporting and communication skills
* Team work skills and experience in leading teams
* Result oriented

1. **TIME AND DURATION:**

The international team member will be hired for a total of 35 work/days.

Contract Start Date: 3 August, 2015. Contract End Date: 30 September, 2015.

1. **TIME TABLE**

|  |  |
| --- | --- |
| **Activity** | **Weeks** |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| Contract and Entry meeting | x |  |  |  |  |  |  |  |  |
| Inception report, draft revised |  | x |  |  |  |  |  |  |  |
| Data collection and analysis |  | x | x | x |  |  |  |  |  |
| Drafting and submission of Evaluation Report |  |  |  |  | X | X | x |  |  |
| Receipt of comments from stakeholders and reference group members |  |  |  |  |  |  |  | x |  |
| Revision and submission of Final Report |  |  |  |  |  |  |  | X |  |

1. **EVALUATION ETHICS**

Evaluations in the UN will be conducted in accordance with the principles outlined in both Norms and Standards for Evaluation in the UN System by the United Nations Evaluation Group (UNEG) and by the UNEG ‘Ethical Guidelines for Evaluation’. These documents will be attached to the contract. Evaluators are required to read the Norms and Standards and the guidelines and ensure a strict adherence to it, including establishing protocols to safeguard confidentiality of information obtained during the evaluation.

Responsibility of the UNDP Malawi CO will be to ensure credibility and independence of evaluation; responsibility of TL to provide impartial, evidence-based, report adhering to international evaluation standards, etc.

**ANNEX 1: KEY PLANNING AND REPORTING DOCUMENTS TO BE CNSULTED**

* 1. Malawi Growth and Development Strategy (MGDS) II
	2. 2012-2016 UNDAF
	3. 2012-2016 UNDAF Action Plan
	4. Project Support Documents:
* Disaster Risk Management
* National Climate Change Programme
* PPP for Sustainable Land Management
* Sustainable Energy Management
* Environment and Natural Resources Management
* Decentralised Energy Services
* Poverty and Environment Initiative
* Early Warning Systems
	1. MGDS Annual Review Reports
	2. 2012-2013 UNDAF Expanded Review Report
	3. 2014 UNDAF Annual Report
	4. SLM evaluation report
	5. Annual Project Progress Reports for projects listed in “5” above

**ANNEX 2: OUTCOME EVALUATION REPORT OUTLINE**

1. Executive summary
2. Introduction
3. Evaluation purpose and objectives
4. Evaluation Methodology
5. Background (Country Programme Outcome description
6. Major findings
7. Lessons learnt (from both positive and negative experiences)
8. Constraints that impacted country programme delivery
9. Conclusions and Recommendations
10. Annexes: Summary of Output-level assessments :
	* **Output 1.3.1:** *Environment, natural resources, climate change, and disaster risk management mainstreamed in policies, development plans and programmes at national level and implemented in 14 disaster-prone districts [UNDP, FAO, UNEP, WFP, UNICEF, UN Habitat, UNIDO****, IAEA]***
	* **Output 1.3.2:** *Data and knowledge on the impact of climate change, environmental and natural resources degradation and natural disaster collected and made accessible to decision makers in Government, Private Sector and Civil Society [UNDP, FAO, UNEP, WFP, UNICEF, UN Habitat, UNIDO, IAEA, UNFPA]*
	* **Output 1.3.3:** *Targeted population in selected districts benefit from effective management of environment, natural resources, climate change and disaster risk by 2016 (UNDP, FAO, UNEP, WFP, UNICEF, UN Habitat, UNIDO, IAEA, UNFPA)*
	* **Output 1.3.4**: *Innovative renewable and energy saving technologies piloted in targeted locations in rural and peri-urban areas enabling the development of a national programme [UNDP, UNEP, FAO, UN Habitat, UNIDO, IAEA]*

**ANNEX 3: KEY STAKEHOLDERS AND PARTNERS**

3.1 UN Agencies providing financial and /or technical contributions towards achievement of UNDAF Outcome 1.3: *UNDP, FAO, UNEP, WFP, UNICEF, UN Habitat, UNIDO, IAEA, UNFPA.*

3.2 Development partners: EU, WB, AfDB, USAID, JICA, DfID, RNE, Global Fund

3.3 Implementing Partners and Responsible Parties: MoFEPD, OPC (PED and PSRU) and MoH

3.4 Other key stakeholders: University of Malawi (Chancellor College and Polytechnic) NSO, District Councils National AIDS Commission (NAC), etc

**ANNEX 4: EVALUATION MATRIX TEMPLATE**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Relevant evaluation criteria | Key Questions | Specific Sub-questions | Data sources | Data collection Methods/Tools | Indicators/Success Standard | Methods for data analysis |
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