

**Programme Evaluation****Terms of Reference**

---

<b>Position:</b>	Evaluation Consultant
<b>Organisation:</b>	UN-Habitat / UNISDR
<b>Duration:</b>	60 working days (two months spread over five months)
<b>Starting date:</b>	April 2 <sup>nd</sup> 2018
<b>Budget:</b>	UN-Habitat / UNISDR – EC DEVCO project

---

**TERMS OF REFERENCE FOR THE JOINT MID-TERM EVALUATION OF THE MAKING CITIES SUSTAINABLE AND RESILIENT PROJECT****1. Project****1.1. Background**

Making Cities Sustainable and Resilient is a joint Action (hereafter ‘the project’) between the European Commission DEVCO, UN-Habitat and UNISDR that aims to improve the understanding of, and capacity to, address disaster risks at the local level and build resilience, including in crisis-prone cities, to support national and local disaster risk reduction (DRR) and Climate Change Adaptation (CCA) strategies.

The project has a global focus, however, particular attention is given to Least Developed Countries (LDCs) and Small Island Developing States (SIDs) as the areas where most gain stands to be made. The project works with local government institutions, on a voluntary basis, to plan, coordinate, implement and support the various outlined activities. The primary and most direct beneficiaries are local stakeholders, city authorities and civil society.

Women, children and other at-risk groups, as local level stakeholders, are also engaged and receive additional attention in the delivery process. As key stakeholders in ensuring the sustainability and expansion of action, national authorities are also direct beneficiaries of the project.

The initiative contributes directly to achieving Sustainable Development Goal 11 ‘Make cities inclusive, safe, resilient and sustainable’, specifically targets 11.5 and 11.b, and builds on the achievements of the Hyogo Framework for Action – Building the Resilience of Nations 2005-2015, and paves the way toward the implementation of the Sendai Framework for DRR 2015-2030 at the local level, and the recently adopted New Urban Agenda.

The project duration is planned for 36 months from 15 April 2016 to 14 April 2019 with a total budget for the project of US\$6,144,558.65.

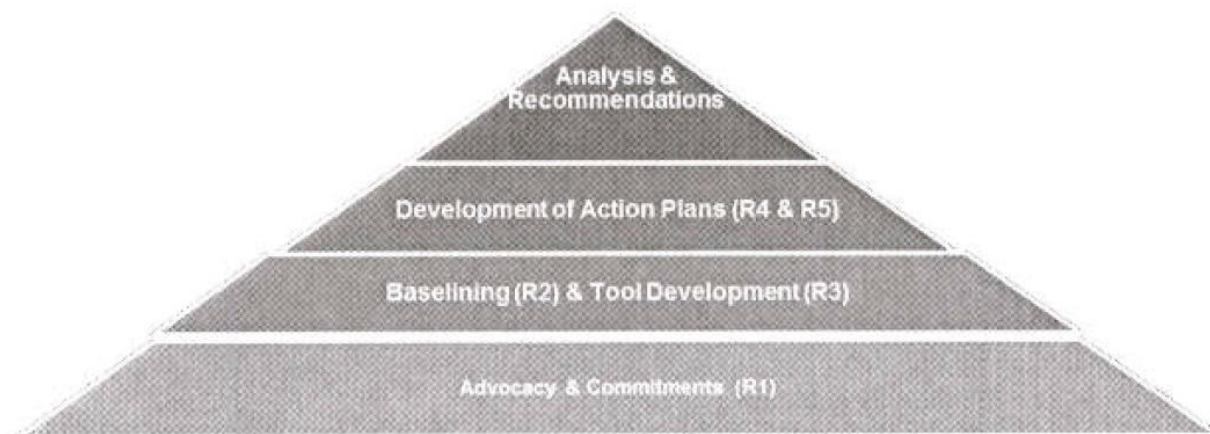
**1.2. Project Structure**

The project covers five results implemented by respective implementing partners: UNISDR and UN-Habitat.

Result	Indicator	Activity	Implementing Partner
Result 1: Increased commitments to build local-level resilience	At least 560 cities & local governments join the Making Cities Resilient Campaign and endorse the “10 Essentials”	1.1 Advocacy and outreach events in every sub region for multiple stakeholders 1.2 Development of new Handbook for Local Governments to implement the Sendai Framework for DRR 2015-2030 1.3 Development and promotion of new “Essentials” based on the Sendai Framework for DRR 2015-2030	UNISDR
Result 2: Local Resilience and investments measured	At least 200 cities & local governments assess their gaps and progress in addressing local resilience	2.1 Development and testing of new local indicators to support implementation of Sendai Framework for DRR 2015-2030 at local level  2.2 Support 200 cities and local governments in conducting their self-assessments.	UNISDR
Result 3: Key issues and challenges identified in linking early interventions in crisis-prone cities to long-term sustainable development inputs	1 City Resilience Profiling Tool (model for measuring resilience in cities) and 1 Resilience Action Plan Tool Kit developed	3.1 Development of initial prototype of the CRPT together with a municipality (city not part of the 4 pilot cities) and capacity building 3.2 Production of initial prototype of the RAP with actionable recommendations 3.3 Calibration of both prototypes (CRPT and RAP) in a Municipality and its personnel.	UN-HABITAT
Result 4: Capacity is built in cities and local governments to develop and implement integrated local climate and disaster resilience action plans	At least 20 local governments have a Resilience Action Plan and several begin implementation of Action Plans	4.1 Capacity building programmes in 20 Cities identified based on the criteria 4.2 Support the 20 cities in implementation of local loss databases 4.3 Develop Local Resilience action plans and initiate implementation of the plans in 20 cities	UNISDR
Result 5: Crisis-prone cities have enhanced capacity to develop and implement plans to increase their resiliency.	4 pilot cities measured with the City Resilience Profiling Tool and developed Resilience Action Plans	5.1 Introduction of tool and toolkit in the four selected cities 5.2 Populate the CRPT with locally municipal available data and information 5.3 Analyses of city profiles and development of city tailored RAPs	UN-HABITAT

UN-Habitat focuses on building local capacities in crisis-prone cities and supporting humanitarian partners, while UNISDR addresses resilience in locations that are highly exposed and have institutional capacity gaps, such as LDCs.

Figure 1: Results Chain



The project’s intervention logic, or theory of change, is detailed in the agreement document (Annex I – Description of the action).

For the pilots, beneficiary cities were to be selected based on specific criteria including level of risks, demand and interest shown, involvement of other partners and the level of institutional capacity to assess and address disaster risks, prior experience and other factors.

The two implementing agencies are working with the following cities.

- UN-Habitat list of project cities: Asuncion, Paraguay; Dakar, Senegal; Maputo, Mozambique; and Port Vila, Vanuatu.
- UNISDR list of project cities: [Result 4] Kampala, Uganda; Dire-Dawa, Ethiopia; Kisumu, Kenya; Yaounde, Cameroon; Praia, Cape Verde; Khartoum, Republic of Sudan; Ismailia Governorate, Egypt; Nablus, Palestine; Nouakchott, Mauritania; Honiara, Solomon Islands; Ulaanbaatar, Mongolia; Kathmandu City, Nepal; Dhaka North City Cooperation, Bangladesh; Cilacap Regency, Indonesia; Mawlamyine, Myanmar; Tegucigalpa, Honduras; Guayaquil, Ecuador; San Juan de Lurigancho, Peru; Guatemala City, Guatemala; and Santo Domingo Esto, Republica Dominicann, and at least 200 cities for Result 2 including, for example, cities in Indonesia, Bangladesh, Nepal and India in Asia; Uganda, Kenya, Ethiopia, Cameroon and Cape Verde in Africa; Guatemala, Panama, Peru, Argentina, Ecuador, Venezuela, Brazil in America; and Tunisia, Mauritania, Sudan and Jordan for Arab States.

Each result is managed independently by the implementing partners, although synergies and complimentary are sought whenever possible.

The Project Steering Committee is composed of project leads from UNISDR, UN-Habitat and EC DEVCO and meet at least once a year to discuss progress, establish objectives and identify synergies between the results and wider actions of all partners.

## 2. Mid-term Evaluation

### 2.1 Mandate of the Mid-term Evaluation

This joint mid-term evaluation of the ‘Making Cities Sustainable and Resilient’ project is mandated by the donor, the European Commission (EU DEVCO). UNISDR traditionally undertakes evaluation of EU funded projects through the intervention of internal staff with expertise in evaluating programmes and who are not involved in the implementation of the project and similar for UN-Habitat. It is also in-line with the UN-Habitat Evaluation Policy (2013) and the Revised UN-Habitat Evaluation Framework (2016).

### 2.2 Purpose and Objectives of the Mid-term Evaluation

The purposes of the joint mid-term evaluation are specifically for “...*problem solving and learning purposes, in particular with respect to ensuring impact of the project and to assess the need for a second phase to expand the scope of the project to additional cities and to undertake and assessment consisting of recommendations for global policies, strategies and a set of actions, or recommended changes in the existing global policies/ strategies for international developmental and humanitarian agencies involved in local and urban resilience.*” (Agreement, Annex I – Description of the Action).

The joint mid-term evaluation is to provide the donor, EU DEVCO and implementing partners with an independent appraisal of the performance of the project ‘Making Cities Sustainable and Resilient’ so far and based on the agreement, log frame, activities and budget. The mid-term will identify key lessons and propose practical recommendations for follow-up during the remaining period of the project and for a possible phase 2 of the project, or components of the project.

The mid-term evaluation report will provide input for final end-of-project evaluation to be conducted at the end of the project in early 2019 as well as the EC DEVCO funded ‘Making Cities Sustainable and Resilient’ Action final report to be submitted at the end of the first phase in Q2/2019.

The overall objective of the joint mid-term evaluation is to make an independent assessment of the performance of the project. The specific objectives for undertaking the mid-term evaluation of the project are:

- a) Assess implementation progress made in activities towards achieving the planned Results (Annex Project Agreement Document);
- b) Assess the continued relevance, effectiveness and impact of the project in supporting local governments/ cities in building resilience and engagement of stakeholder groups in implementing actions;
- c) Recommend strategic, programmatic and management considerations for implementing the remaining part of the project, with particular emphasis on programming approaches for a Phase 2.

## 2.2. Scope and Focus

The mid-term evaluation is expected to assess achievements made so far, performance, risks/challenges and opportunities through an in-depth evaluation of completed and on-going activities of the project.

The mid-term evaluation will take place in 2018 at a time when the project is mid-way in implementation.

The mid-term evaluation will be based on Theory of Change of the ‘Making Cities Sustainable and Resilient’ project and will outline the results chain and pathways as well as assumptions.

## 2.3 Evaluation Questions based on Evaluation Criteria

**The evaluation will consider, for each result (1-5):**

- A. Relevance:** *Are the project’s adopted strategies pertaining to each Result and overall objective still valid?*
  - Rationale of the Result and its objectives
  - Relationship to the SDGs, Sendai Framework for Disaster Risk Reduction, Paris Agreement and the New Urban Agenda and ‘Next Steps’
  - Changes in Result context during implementation
  - Institutional and partner priorities
  - Ownership by national and local stakeholders
- B. Effectiveness:** *Are the delivery of activities and outputs contributing to the achievement of the Results and overall objective?*
  - Actual or expected achievement of Results at the time of the mid-term evaluation

- Factors and processes affecting the achievement of Results
- How appropriate and effective are the partnerships and other institutional relationships, including Memorandum of Understanding (MoUs) with the academic and network partners, and other agreements with partner municipalities, in which the operations of the project are engaged in?
- Outcomes to date (positive/negative, foreseen/unforeseen) on the project partners, (including academia, network partners, local governments, and national governments and their related local institutions; and other stakeholders);
- Outcomes/foreseen impact (positive/negative, foreseen/unforeseen) on local collaborating partners, consultants and professionals involved in the implementation of the project
- Are vulnerable groups and cross-cutting issues of gender, youth, climate change and human rights integrated in the design, implementation and monitoring of the project?

**C. Efficiency:** *What is the efficiency of the implementation to date?*

- Action progress compared to plans, budget and overall performance
- Were the activities and outputs delivered in a cost-efficient and timely manner?
- Implementation efficiency

**D. Sustainability:** *To what extent are the project effects towards building capacity sustainable?*

- Factors affecting or likely to affect sustainability of the Results
- Established networks among institutions, local authorities; established partnerships
- From “built capacities to building capacity”: utilising programme team, consultants, partners and trained municipal staff as multipliers
- Using new knowledge to build up confidence (“we can do it”): owned, further disseminated and applied
- Implementing capacity of the cooperation partners to take the activities forward

The evaluator may expound on the evaluation questions, as necessary, in order to carry out the objectives of the mid-term evaluation.

## **2.4 Stakeholder Involvement**

It is expected that this joint mid-term evaluation will be participatory and involving key stakeholders.

Stakeholders will be kept informed of the evaluation processes including design, information, collection and evaluation reporting and results dissemination to create a positive attitude towards the evaluation and enhance its utilization. Partners, donor, relevant United Nations entities, national government/ local authorities, beneficiaries and other stakeholders may participate through interviews, focus group discussions or survey.

## **3. Mid-term Evaluation Approach and Methodology**

### **3.1 Mid-term Evaluation Approach**

The mid-term evaluation shall be independent and carried out jointly by UNISDR and UN-Habitat following the evaluation norms and standards of the United Nations System. The following criteria guides the evaluation process. The main emphasis is placed on project delivery and results, lessons learned and recommendations for the way forward. Findings in the evaluation should be exemplified with evidence-based data emanating from specific contributions.

### **3.2 Mid-term Evaluation Methods**

A variety of methods will be applied to collect information during the mid-term evaluation. These methods include the following elements:

- (i) **Desk review of relevant documents (April)**, including project document, work plans, progress and monitoring reports, cooperation agreements, activity reports, training and capacity building reports and materials, publications, outreach and communication materials, website, etc.
- (ii) **Key informant interviews and consultations (April – June)**, including semi-structured interviews and focus group discussions with key stakeholders, including donor, partners, beneficiaries and UN-Habitat and UNISDR staff:
- (iii) **Surveys (April – June)** to obtain quantitative information on stakeholders' views and perceptions, questionnaires to different target audiences will be deployed as deemed relevant to give views on various evaluation issues.
- (iv) **Field visits to assess selected activities (April – June)**. Field visits, as feasible within the budget of the evaluation, should provide insight into both the scope (time), depth and range of activities of the project.

The evaluator will describe expected data analysis and instruments methodologies to be used in the inception report. Presentation of the evaluation findings should include: evaluation purpose and objectives, evaluation methodology and approach, findings (achievements and performance rating assessments), conclusions, lessons learned, recommendations.

#### **4. Accountability and Responsibilities**

This joint mid-term evaluation will be managed by the independent Evaluation Unit of UN-Habitat and it will manage the evaluation with logistical support from the project management teams of the two implementing partners, UNISDR and UN-Habitat, on day-to-day basis and in consultation with the members of the Evaluation Reference Group.

Specifically, UN-Habitat and UNISDR commitments to the evaluation process entails:

- Selecting a suitable candidate for the consultancy
- Providing all required documentation and briefings to the consultant
- Facilitating access to key reviewers/informants
- Providing logistical support and travel arrangement
- Providing comments, in consultation with selected partners, to the draft report to be addressed in the final version
- Sharing the results with partners, donors and stakeholders
- Work closely to ensure that contractual requirements are met and approve all deliverables (inception report with workplan, draft and final draft report).

An Joint Evaluation Reference Group will be established at the start of the evaluation process with at least 4 members representing UN-Habitat, UNISDR and the UN-Habitat Evaluation Unit. The evaluation reference group will be responsible for providing guidance on the process, approving the selection of evaluator, and commenting on the inception report and drafts of the evaluation report. The evaluation reference group will approve the final evaluation report.

The donor, DEVCO will be kept informed of the evaluation process, including receive the TOR. DEVCO will receive the main the deliverables of the evaluation (inception report, draft report and final report) for comments and endorsement.

The Consultant will work under overall guidance of the Joint Evaluation Reference Group and managed by the Evaluation Unit. The consultant will be responsible for conducting the evaluation and producing the required deliverables.

Specifically, the Consultant will be responsible for:

- Conducting and delivering results of the evaluation as outlined above
- Demonstrating professional and ethical standards in conducting the task
- Performing the task in line with the allocated time-frame
- Informing the management about progress of the assignment

- Delivering expected deliverables, including high quality final report of the evaluation

#### 4.1 Milestones

- 16-20 April 2018: A mission to UN-Habitat's office in Barcelona, Spain to interview and consult with management, staff who are primarily involved in the different activities evaluated, and key beneficiaries. A list of proposed names/titles of these officers will be provided by UN-Habitat;
- 24-27 April 2018: A mission to UNISDR office in Incheon, Republic of Korea to interview and consult with management, staff who are primarily involved in the different activities evaluated and obtain the list of contact of key beneficiaries for further interviews. A list of proposed names/titles of these officers will be provided by UNISDR.

### 5. Evaluator

#### 5.1 Evaluator

The joint mid-term evaluation will be carried out by one consultant with a relevant professional background and with well-documented experience from evaluation and assessment of capacity building projects of similar scope and focus.

#### 5.2 Competencies of Evaluator

Professionalism: Demonstrates professional competence and mastery of subject areas. Good research, analytical and problem-solving skills. Conscientious and efficient in meeting commitments, observing deadlines and achieving results.

Communication: Excellent and effective written and oral skills. Ability to convince people through constructive argumentation and to present information in a concise and accurate manner. Negotiating skills and ability to enable good communication and understanding between different interest groups, organizations etc.

Planning and Organizing: Proven ability to plan, coordinate and monitor own work and that of others. Ability to work under pressure and use time efficiently. Identifies priority activities and assignments, and adjust priorities as required.

Teamwork: Works collaboratively with colleagues to achieve organizational goals. Solicits input by valuing ideas and expertise of others and is willing to learn from others.

#### 5.3. Qualifications of Evaluator

##### Education

- At least a master's Degree in urban and Regional Planning, Development Studies, Local Governance, Urban Geography, or other relevant discipline. The candidate should preferably be specialized in the field of capacity building and institutional change management.

##### Work experience and other requirements

- Extensive evaluation experience. The consultant should have ability to present credible findings derived from evidence and putting conclusions and recommendations supported by the findings.
- A minimum of ten years' professional practical experience in results-based management working with projects/ programmes in the field of risk reduction, disasters, conflict and other urban shocks or stresses in transition countries.
- Very good knowledge of international experience and best practices regarding institutional change management and human resource development, planning, sustainable urban development, and local governance.
- Understanding of and experience with demand-driven processes and methodologies of capacity building required.
- Good understanding of planning, development and governance and the associated responsibilities at municipal and national level.

- Familiarity with and loyalty to the goals of the United Nations, UN-Habitat, and UNISDR’s mandate
- Knowledge of municipal legal, spatial and economic drivers.

#### 5.4 Language

- Excellent proficiency in spoken and written English is required, working knowledge of French and/or Spanish an advantage.

The consultant should not have been substantially involved in operations of UN-Habitat nor UNISDR in the past.

#### 5.5. Work Schedule

The consultancy work for the evaluation is foreseen for a total of 60 working days inclusive of travel days during the consultancy period between April and August. The consultancy will include work from home office (60 working days) with some travel to meet with project partners.

#### 5.6 Deliverables

The Consultant will be responsible for delivering the following outputs in accordance with the contractual requirements:

- Inception Report (April 2018)
- Draft Evaluation Report on Results (June 2018)
- Evaluation Final Report including all Results and overall project evaluation (July 2018)

#### 5.7 Payment Instalments

The remuneration rate of the consultants will be determined by the functions performed, qualifications, and experience. There are set remuneration rates for consultancies. The fee will be paid in three installments upon completion and satisfactory delivery of outputs as specified in section – Deliverables – above.

Where applicable, travel costs of the consultant (airplane ticket economy class), transfers, and daily allowance as per the UN rate is payable in addition to the daily fee. Daily substance allowance will be paid only when working outside the official duty station (home-based) of consultant.

#### 6. Provisional Time Frame

#	Task Description	Jan		Feb		Mar		Apr		May		June		July	
1	Development of TOR Evaluation Team (2 Int. Consultants)					X									
2	Call for expression of interest and recruitment of consultant					X	X								
3	Review of background documents							X							
4	Preparation and approval of inception report with work plan and methodology of work							X	X						
5	Data collection including document reviews, interviews, consultations and group meetings								X	X	X	X			
6	Analysis of evaluation findings, commence draft report writing and briefings to UN-Habitat										X	X			
7	Presentation of preliminary findings on results												X	X	
8	Draft Evaluation Report												X		



9	Review of Evaluation Report by the Evaluation Reference Group													X	
10	Production delivery of Final Evaluation Report, including all results and overall Project evaluation														X