

Evaluation of the Urban Risk Reduction and Resilience Building in Lusophone Africa Project

United Nations Development Account

Terms of Reference

May 2018

1. Background and Context

UN-Habitat has been involved in urban risk reduction and rehabilitation for over a decade and together with UNISDR it has developed user-friendly tools targeting municipal officials for urban risk reduction and resilience that are being applied in sub-Saharan Africa. UN-Habitat and UNISDR have also developed a concept for a municipal training course for building city resilience. Benefits from envisions well-planned, well-governed, and efficient cities and other human settlements, with adequate housing, infrastructure, and universal access to employment and basic services such as water, energy and sanitation.

The project on Urban Risk Reduction and Resilience Building in Lusophone Africa is a joint project of UN-Habitat, UNISDR and UNECA. It falls into the Risk Reduction and Rehabilitation sub-programme of UN-Habitat, as part of its 2014-2015 approved work programme aiming to increase the resilience of cities to the impacts of natural and human-made crises and undertake rehabilitation in ways that advance sustainable urban development and its Strategic Plan 2014-2019. The project also pays attention and fit the purpose of the agency-wide Gender Strategy developed by UN-Habitat. As for UNISDR the project falls within its 2014-2015 work plan under the pillar Urban Risk Reduction and Resilience and for UNECA, the project aligns with the Strategic Framework 2014-2015, sub-programme Regional Integration and Trade.

The project is designed to contribute towards the Millennium Development Goal targets, specifically MDG 7A: “integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources”; and MDG 7D: “achieve, by 2020, a significant improvement in the lives of at least 100 million slum dwellers”.

1.1 The project

The project’s objective is to increase the capacities of municipalities of Cape Verde, Guinea-Bissau and Sao Tome e Principe for reducing urban risk and building resilience. To achieve this objective, the project intends to firstly increase the levels of technical understanding and knowledge of municipal authorities, leading to an improved capacity to integrate risk reduction and resilience into urban plans and municipal strategies. Secondly, by enhancing the communication and information exchange between cities and towns in each country and across the three countries, the project intends to enhance their risk reduction and resilience practices.

The project has two expected accomplishments:

EA1: Increased levels of technical understanding and knowledge of municipal authorities resulting in an improved capacity to integrate risk reduction and resilience into urban plans and municipal strategies.

EA2: Enhanced communication and information exchange between cities and towns in each country and across the 3 countries to strengthen risk reduction and resilience practices.

The project was planned for 36 months starting in January 2015 upon receipt of financial contribution from UNDESA and ending December 2017. The project had a budget of US\$559,000 funded through the UN Development Account (UNDA).

1.2 Project Management

The project is implemented in close cooperation between UN-Habitat, UNISDR and UNECA. The lead entity of the project is UN-Habitat. Within UN-Habitat the project is led by the Regional Office for Africa in collaboration with the Urban Risk Reduction Unit at the Risk Reduction and Rehabilitation Branch, the Climate Change Planning Unit at the Urban Planning and Design Branch, and the Capacity Development Unit at the Research and Capacity Development Branch. Within UNISDR, the project focal point is the Regional Office for Africa and for UNECA within the Social Development Policy Division.

2. Mandate and Purpose of the Evaluation

This evaluation of the urban risk reduction and resilience building in Lusophone Africa is mandated by the rules for UNDA 9th tranche projects. It is also in line with the UN-Habitat evaluation policy (2013) and the Revised UN-Habitat Evaluation Framework (2016).

UN-Habitat is undertaking this evaluation of the project in order to assess the performance of the project, to what extent it has been relevant, efficient and effective, and sustainable, as well as assess changes at outcome level and emerging impact to identify lessons to inform the implementation of future projects.

The evaluation is included in the 2018 UN-Habitat Evaluation Plan and will synthesize achievements, results and lessons learned from the project. The sharing of findings from this evaluation will inform UNDA partners, UN-Habitat and other key stakeholders, including governing bodies and Member States, on what was achieved and learned from the project.

3. Objectives of the Evaluation

The evaluation of the project is to provide UNDA partners and UN-Habitat with an independent and forward-looking appraisal of the project's operational experience, achievements, opportunities and challenges based on its performance and expected accomplishments. What will be learned from the evaluation findings are expected to be—one of various sources of information—informing the implementation of future UNDA funded projects in planning and programming projects, influencing strategies, adjusting and correcting as appropriate, exploiting opportunities, replicating and up-scaling the implementation approach used, and generating credible value for targeted beneficiaries and addressing global, regional and national priorities. The evaluation results will also contribute to UN-Habitat's planning, reporting and accountability.

Key objectives of evaluation are:

- a) To assess the achievement of expected accomplishments and performance of the project in increasing technical understanding and knowledge of municipal authorities and enhanced communication and information exchange between cities and towns in project cities. This will entail analysis of delivery of outputs, achievement of outcomes, and long term effects.
- b) To assess the extent to which the project has created '*value-for-money*', and if the implementation approach and tools used during the implementation of the project have worked well or not.
- c) To make recommendations based on the findings of the evaluation, on what needs to be done to

effectively implement, promote, develop and monitor the building capacity of municipal authorities in strengthening risk reduction and resilience, plans, strategies and practices aligned with the Sendai Framework for Disaster Risk Reduction.

4. Evaluation Scope and Focus

The evaluation is expected to assess achievements, performance, challenges and opportunities of the project through an in-depth evaluation of results achieved.

The evaluation will take place in 2018 at a time when the project’s activities have been completed.

The evaluation analysis will be based on the Theory of Change of the project and its logical framework, and will outline the results chain and pathways as well as assumptions.

5. Evaluation Questions Based on Evaluation Criteria

The assessments and ratings of performance made by the evaluation will follow UN-Habitat criteria for evaluation in terms of relevance, efficiency, effectiveness, impact outlook and sustainability and in line with standards and norms of evaluation in the United Nations system (Annex 1: UN-Habitat Evaluation Model). A five point rating scale is used (Table 1).

Table 1: Rating of performance

Rating of performance	Characteristics
Highly satisfactory (5)	The programme had several significant positive factors with no defaults or weaknesses in terms of <i>relevance/ efficiency/ effectiveness/ sustainability/ impact outlook</i> .
Satisfactory (4)	The programme had positive factors with minor defaults or weaknesses in terms of <i>relevance/ efficiency/ effectiveness/ sustainability/ impact outlook</i> .
Partially satisfactory (3)	The programme had moderate to notable defaults or weaknesses in terms of <i>relevance/ efficiency/ effectiveness/ sustainability/ impact outlook</i> .
Unsatisfactory (2)	The programme had negative factors with major defaults or weaknesses in terms of <i>relevance/ efficiency/ effectiveness/ sustainability/ impact outlook</i> .
Highly unsatisfactory (1)	The programme had negative factors with severe defaults or weaknesses in terms of <i>relevance/ efficiency/ effectiveness/ sustainability/ impact outlook</i> .

Source: UN-Habitat Evaluation Unit 2015

The evaluator may expound on the following issues, as necessary, in order to carry out the objectives of the evaluation.

Relevance

- To what extent is the project consistent with relevant national policies and strategies, and urban plans for Cape Verde, Guinea-Bissau and Sao Tome e Principe?
- To what extent is the implementation strategy responsive to MDGs, SDGs¹, the Sendai Framework for Disaster Risk Reduction 2015-2030 (Sendai Framework), UNDA objectives, urban resilience strategies of UN-Habitat, UNISDR and UNECA?
- To what extent are the project’s intended outputs and outcomes relevant to the needs of target beneficiaries?

Efficiency

- How well was the project designed and implemented, and what have been the most efficient types of activities implemented?

¹ The Sustainable Development Goals (SDGs) and Sendai Framework were adopted after the project was initiated and SDGs are now the main point of reference as is the Sendai Framework in disaster risk reduction.

- To what extent were the institutional arrangements adequate for achieving the expected accomplishments? What type of (administrative, financial and managerial) obstacles did the project face and to what extent has this affected project delivery of outputs and achievement of the expected accomplishments?
- To what extent was the project delivered in a cost-effective manner?

Effectiveness

- To what extent were the resources used to implement the project justified in terms of delivering on the expected accomplishments?
- To what extent have local stakeholders been involved in the design and implementation of the project?
- What types of products and services did the project provide to beneficiaries through activities implemented? What kind of changes to beneficiaries has resulted from the exchange of products and services delivered?
- To what extent and in what ways has the ownership by local stakeholders impacted on the effectiveness of the project?
- To assess how well the Management of the project has learned from and adjusted to changes during implementation;
- To what extent monitoring and reporting on the joint implementation of the project has been timely, meaningful and adequate?
- To what extent were cross-cutting issues of gender, youth, climate change, and human rights integrated into the design, planning and implementation, reporting and monitoring of the project?

Impact Outlook

- To what extent has the project attained or not (or is expected to attain) its goal, and objective and expected accomplishments short, medium and long-term) to the targeted beneficiaries, participants, whether individuals, communities, institutions, partners, etc.?

Sustainability

- To what extent have local stakeholders been able to design, implement and sustain activities implemented during the project?
- To what extent did the project engage the participation of beneficiaries in design, implementation, monitoring and reporting?
- To what extent will the city-level activities be replicable or scaled up at national or local levels or encourage further collaboration and exchange between stakeholders?

6. Stakeholder involvement

It is expected that this 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 for the evaluation and enhance its utilization. Relevant entities from UN-Habitat, UNISDR and UNECA and other United Nations entities, local authorities, beneficiaries, and other stakeholders may participate through a questionnaire, interviews or focus group discussions.

7. Evaluation methods

The evaluation shall be independent and carried out following the evaluation norms and standards of UN-Habitat and the United Nations System. A variety of methodologies will be applied to collect information

during evaluation. These methodologies include the following elements:

- a) **Review of documents relevant to the project.** Documents to be provided by relevant UN-Habitat, UNISDR and UNECA entities, and documentation available with stakeholders and beneficiaries (such documentation shall be identified and obtained by the evaluation team).

Documentation to be reviewed will include:

- Project document, results framework and implementation plans;
- Monitoring and Mission Reports;
- Publications;
- Tools (CityRAP tool, the city Resilience Action Plans (RFAs));
- Workshop reports;
- Reviews, including review of the CityRAP Tool;
- Strategic plans, as deemed relevant, such as UN-Habitat's Strategic Plan (2014-2019) and its Risk Reduction and Rehabilitation sub-programme, biennial work program of UNISDR and Strategic Framework of UNECA, relevant national and city development plans, and other relevant policy documents;
- Outreach and communication material.

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- b) **Key informant interviews and consultations, including focus group discussions** will be conducted with key national stakeholders and others, including project staff of UN-Habitat, and focal points at UNISDR and UNECA. The principles for selection of stakeholders to be interviewed as well as evaluation of their performance shall be clarified in advance (or at the beginning of the evaluation). The informant interviews will be conducted to obtain qualitative information on the evaluation issues, allowing the evaluators to assess project relevance, efficiency and effectiveness.
- c) **Surveys, if deemed feasible,** to obtain quantitative information on stakeholders' views and perceptions.
- d) **Field visits** to assess project activities in the three countries (Cape Verde, Guinea-Bissau and Sao Tome e Principe). Field visits should provide insight into both the scope (time), depth and range of activities.

The evaluator will describe expected data analysis and instruments to be used in the inception report. Presentation of the evaluation findings should follow the standard format of UN-Habitat Evaluation Reports (evaluation purpose and objectives, evaluation methodology and approach, findings (achievements and performance rating assessments), conclusions, lessons learned, recommendations).

8. Accountability and Responsibilities

The independent Evaluation Unit of UN-Habitat will commission a centralized evaluation of the project; which means that the Evaluation Unit will manage the evaluation, while the Regional Office for Africa

will provide logistical support on day-to-day basis and in consultation with the members of the evaluation reference group.

The Evaluation Unit will guide and ensure that the evaluation is contracted to a suitable candidate. The Evaluation Unit will advise on the code of conduct of evaluation and provide technical support as required. The Evaluation Unit will have overall responsibility of ensure that contractual requirements are met and approve all deliverables (Inception Report with work plan, Draft and Final Evaluation Reports) in consultation with the evaluation reference group.

An evaluation reference group will be established at the start of the evaluation process with members representing the project team at the Regional Office for Africa, representatives from relevant UN-Habitat Branches, focal points at UNECA and UNISDR and the Evaluation Unit. The reference group will be responsible for providing guidance on the process, approving the TORs, selection of evaluation team, and commenting on the inception report and drafts of the evaluation report.

The evaluation will be conducted by one consultant. The evaluator is responsible for meeting professional and ethical standards in planning and conducting the evaluation, and producing the expected deliverables in accordance with UN-Habitat evaluation policy and norms and standards for evaluation.

The evaluator will receive overall guidance from the reference group, technical support from the Evaluation Unit and the Regional Office for Africa responsible for providing logistical support.

9. Qualifications and Experience of the Evaluator

The evaluation shall be carried out by one consultant. To ensure complementarity within the evaluation team, the consultant should have proven evaluation expertise. The International Consultant is expected to have:

- a) Extensive evaluation experience. The consultant should have ability to present credible findings derived from evidence and putting conclusions and recommendations supported by the findings.
- b) Specific knowledge and understanding of housing issues and UN-Habitat and its mandate.
- c) 8-10 years of programme management experience in results-based management working with projects/ programmes in the field of urban risk reduction and resilience, capacity building, urban planning and governance.
- d) Advanced academic degree in political sciences, social economy, public administration, or similar relevant fields.
- e) Recent and relevant experience working in developing countries.
- f) It is envisaged that the consultant would have a useful mix of experience and familiarity with public administration in various parts of the world.
- g) Fluent in English (understanding, reading and writing) and fluent in Portuguese are a requirement.

10. Work Schedule

The evaluation will be conducted over the period of four weeks, including the desk review, from May 2018 to August 2018. The evaluator is expected to prepare an inception report with a work plan that will operationalize the evaluation. In the inception report, Theory of Change, understanding of the evaluation questions, methods to be used, limitations or constraints to the evaluation as well as schedule and delivery dates to guide the execution of the evaluation, should be detailed. The provisional timetable is as follows in section 13.

11. Deliverables

The three primary deliverables for this evaluation are:

- a) **Inception Report** with evaluation work plan. Once approved, it will become the key management document for the evaluation, guiding evaluation delivery in accordance with UN-Habitat’s expectations throughout the performance of contract. The draft inception report is reviewed and approved by the evaluation reference group.
- b) **Draft Evaluation Reports.** The evaluator will prepare evaluation report draft(s) to be reviewed by UN-Habitat. The draft should follow UN-Habitat’s standard format for evaluation reports. The draft report is shared with the evaluation reference group for review and comments. The evaluation reference group will review and provide comments on draft reports.
- c) **Final Evaluation Report** (including Executive Summary and Appendices) will be prepared in English and follow the UN-Habitat’s standard format of an evaluation report. The report should not exceed 25 pages (excluding Executive Summary and Appendices). The report should be technically easy to comprehend for non-specialists. The final report is approved by the reference group.

12. Resources

The funds for the evaluation of the project are made available from the project’s budget.

The remuneration rate of the consultant will be determined by functions performed, qualifications, and experience of the consultant. There are set remuneration rates for consultancies.

Payments will be based on deliverables over the consultancy period. The fees will be paid upon satisfactory delivery of outputs as per agreement.

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 subsistence allowance will be paid only when working outside the official duty station (home-based) of consultant.

13. Provisional Time Frame

#	Task Description	April 18				May 18				June 18				July 18				Aug 18				
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	
1	Development of TOR Evaluation Team (1 Int. Consultant)		X	X																		
2	Call for expression of interest and recruitment of consultant			X	X	X	X	X														
3	Review of background documents								X	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									
6	Analysis of evaluation findings, commence draft report writing and briefings to UN-Habitat											X	X	X								
7	Presentation of preliminary Findings to UN-Habitat (by Skype)													X								
8	Draft Evaluation Report													X	X							
9	Review of Evaluation Report															X	X	X				
10	Production delivery of Final Evaluation Report, including editing, and layout																			X		

Annex 1: UN-Habitat Evaluation Model

