



**Formative Evaluation of UNFPA Corporate Innovation Initiative  
Terms of Reference  
July 2016**

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## 1. Introduction

UNFPA, the United Nations Population Fund (UNFPA), is an international development agency that works to deliver a world where every pregnancy is wanted, every child birth is safe and every young person's potential is fulfilled. UNFPA is the lead UN agency that expands the possibilities for women and young people to lead healthy sexual and reproductive lives.

As the world grows increasingly complex and interconnected, challenges are emerging with greater speed and magnitude. The Sustainable Development Goals recognize innovation as critical to accelerating progress towards global development aspirations. UNFPA cannot address the challenges of today and of our future with business as usual approaches. UNFPA has embraced innovation to accelerate progress towards some of the most pressing issues we face in order to deliver the best responses to the challenges at hand, and to remain adaptable, agile and responsive in a rapidly changing world.

UNFPA announced "Promoting Innovation and Creativity" as a corporate priority in 2014 with the aim of promoting and resourcing opportunities for experimentation and creativity, and initiating innovative activities in key areas of UNFPA's work. A new Innovation Fund, sponsored by the Government of Denmark, was launched in September 2014.

The Innovation Fund takes a two-streamed approach to promoting innovation: 1) promoting a culture of innovation throughout the organization, 2) crowdsourcing ideas from staff around the world to launch innovative projects. The Innovation Fund is administered by a three-person secretariat at UNFPA's headquarters in New York, and decision-making is governed by a 22 person technical body at the working level (the Innovation Inter-Divisional Working Group) and a strategic body at the senior management level (the Innovation Strategy Body).

Since its launch, the Innovation Fund has held four calls for proposals, received 89 project proposals, and has launched 18 innovation projects around the world throughout 2014-2015, in areas related to big data, building mobile apps for and with young people, ensuring real-time data availability in humanitarian situations, youth entrepreneurship, among many others. In addition to launching a series of innovative projects, the innovation team has also spearheaded initiatives to promote a culture of innovation across UNFPA, providing learning opportunities, resources, and spaces for colleagues to innovate.

Building on this first phase of implementation, the innovation team developed in 2015 an expanded UNFPA Innovation Strategy, adopting an 8-pronged approach to making innovation core to how the organization works. This Strategy is being operationalized as of the 2016 calendar year.

UNFPA is also an active participant in the UN Innovation Network, a collaborative network of UN bodies that have established innovation teams. As a member of this Network, UNFPA has also endorsed the 9 UN Principles of Open Innovation, which guide the implementation of the Innovation Fund.

As UNFPA transitions from the conclusion of the first phase of implementation of the UNFPA Innovation Initiative to the implementation and operationalization of the forward-looking Innovation Strategy, UNFPA Evaluation Office seeks to conduct a formative evaluation of the Initiative. Formative evaluations are intended to improve performance and are usually conducted during the programme's implementation phase.<sup>1</sup> Besides, formative evaluations are used to assist in continuous improvement<sup>2</sup> and have a focus on what worked and what did not in order to draw on learning to improve the design of the programmes.

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<sup>1</sup> <http://www.oecd.org/development/peer-reviews/2754804.pdf>

<sup>2</sup> [http://betterevaluation.org/resources/guides/patton\\_youtube\\_developmental\\_formative\\_assessment](http://betterevaluation.org/resources/guides/patton_youtube_developmental_formative_assessment)

## 2. Objectives and scope

The objectives of the evaluation are:

- Provide key learning and inputs to managers regarding the implementation of the first phase of the Innovation Initiative;
- Improve programme design, processes, and systems (including the monitoring and evaluation plan) for the operationalization of the 2015 Innovation Strategy and its future evaluability.
- Inform the next UNFPA Strategic Plan and UNFPA strategies in the area of innovation.

The formative evaluation will have 2 components:

*a. Review of the implementation and processes of the Innovation Initiative until the development of the 2015 Innovation Strategy.*

*b. A forward-looking prospective assessment of the Innovation Initiative within the framework of the new 2015 Innovation Strategy, including a reconstruction of the Theory of Change (TOC), a review of the appropriateness of the conceptual framework of the Initiative, its implementation mechanisms, its monitoring systems and the evaluation plan.*

The formative evaluation will take place at the end of the implementation of the first phase of the Innovation Initiative and before the operationalization of the 2015 Innovation Strategy. It will cover country, regional and corporate levels and assess organizational aspects of the Initiative including how the Initiative is translated in the UNFPA organigram.

Specifically, with regard to the scope, the evaluation will:

- Review the implementation and processes of the Innovation Initiative since its launch in 2014.
- Review the appropriateness of the conceptual framework of the Initiative, determining whether the objectives, the implicit theory of change and the implicit results framework are articulated and whether relevant, reliable and valid indicators, measures, tools and mechanisms are in place.
- Reconstruct an explicit TOC and link it with the results framework and the monitoring and evaluation arrangements.
- Assess the adequacy and validity of the indicators, tools and systems for monitoring, measuring and verifying results.
- Assess the availability and quality of the data needed to measure and monitor results (including the availability and sufficiency of baselines and targets).
- Assess whether an adequate M&E plan is in place and whether sufficient budgets are set aside.
- Assess the management, processes, and structure of the Innovation Fund including how effectively and efficiently the Initiative is translated in the UNFPA organigram.
- Assess whether the processes, structures, and implementation plans are sufficient to foster innovation at UNFPA, in-line with the 9 UN Principles of Open Innovation, and in-line with the objectives of the initiative.
- Conduct a benchmarking exercise (on the basis of good practices) of innovation programmes in UN agencies and other select public sector development partners, specifically in terms of design, processes and M&E systems. The benchmarking should include a comparative documentary review as well as in-depth interviews with relevant innovation staff.
- Include a baseline survey for the Innovation Initiative, which will conclude with a baseline study reflecting the baseline situation of innovation at UNFPA (including the organizations' corporate culture on innovation).
- The assessment will culminate with a proposal for improvements and operational suggestions for the Innovation Initiative. These proposed improvements will be based on and derive from the findings of the assessment.

## Users

The key users of the formative evaluation will be the Innovation Fund Secretariat, the Innovation Inter-Divisional Working Group, the Innovation Strategy Body, other UNFPA business units at the global, regional and country levels, members of the UN Innovation Network, and other stakeholders in the area of innovation in social interventions.

### 3. Evaluation approach and methodology

The evaluation will be transparent, inclusive, and conducted in a participatory manner. The evaluation will utilize mixed methods and draw on quantitative and qualitative data. The evaluation will also utilize a theory-based approach taking into consideration strategic and planning documents.

The evaluation team will develop the design for the evaluation including the approach, the evaluation criteria and questions contained in a matrix, and methodology for data collection and analysis. Indicative methods for data collection will include documentary review, interviews with key informants, focus groups, showcase studies, online group consultations, and surveys. The evaluation design will be developed during the inception phase of the exercise and presented in the inception report.

The evaluation will follow UNEG Norms and Standards for Evaluation in the UN system and abide by UNEG Ethical Guidelines and Code of Conduct and any other relevant ethical codes.

### 4. Evaluation process

The evaluation will include 5 main phases, each with distinct milestones and deliverables.

#### *Preparatory phase*

- Preparation of ToR in coordination with the Innovation Fund Secretariat and members of the Innovation Inter-Divisional Working Group.
- Selection of external consultants.
- Collection of relevant documentation and creation of document repository in google drive.
- Preparation of preliminary stakeholder map by evaluation manager.
- Creation of the Evaluation Reference Group.

#### *Inception phase*

- Desk review of relevant documentation and preliminary meetings with key stakeholders.
- Development of a stakeholder map.
- Delivery of draft inception report detailing the proposed design of the evaluation and methodological approach including timeframes for deliverables.
- Workshop with stakeholders in NY and presentation of draft inception report to the Evaluation Reference Group
- Integration of feedback from the ERG into the final inception report.

#### *Data Collection Phase*

- Stakeholder interviews/ focus groups/ surveys with UNFPA and other UN staff and partners, including:
  - o Members of the UNFPA innovation team and innovation project focal points.
  - o UNFPA staff at country, regional, and headquarters who are not directly involved in the activities of the Innovation Fund.
  - o Select UNFPA innovation partners, and UN staff implementing innovation programs at sister agencies.

### *Reporting Phase*

- On the basis of the data collection and analysis, the evaluation team will prepare a draft evaluation report which will be circulated to the ERG.
- The consultants will incorporate comments from the ERG and prepare the final report.
- The evaluation team will prepare a baseline study based on the baseline survey and the results of the evaluation.

### *Management Response and Dissemination Phase*

- Programme management will prepare a management response to the recommendations contained in the report.
- On the basis of the data collection and analysis, the evaluation team will prepare a draft evaluation report which will be circulated to the ERG.

## **5. Deliverables**

The deliverables will include the following:

- Inception report;
- Showcases (4-5);
- Powerpoint presentation of inception report for reference group members;
- Draft and final evaluation report;
- Powerpoint presentation for Reference Group members;
- Workshop for key stakeholders on the results of the evaluation;
- Baseline survey of innovation at UNFPA;
- Baseline study on the situation of innovation at UNFPA.

The *inception* report (max 20 pages plus annexes) should include the following elements:

1. Description of the Innovation Initiative and organizational context within UNFPA;
2. Evaluation design including a fully-fleshed out methodology;
3. Time-table for the exercise;
4. Relevant annexes.

The *final* report (max 35 pages plus annexes) should include the following elements:

1. Description of the Innovation Initiative and organizational context within UNFPA, findings on the review of the implementation and processes of the Innovation Initiative until the development of the 2015 Innovation Strategy;
2. Description of the methodology utilized;
3. Findings on the assessment of the 2015 Innovation Strategy and proposals for improving the performance of the Initiative, including the reconstructed TOC, the conceptual framework of the Initiative, implementation mechanisms, monitoring systems and the evaluation plan. A comparative analysis of practices in Innovation by other partners which has informed the assessment will also be included;
5. Lessons learned from the implementation of the Innovation Initiative;
6. Forward-looking recommendations including actions to operationalize these for the consideration of management;
7. Relevant annexes.

## **6. Evaluation timetable**

Phase	Task	Timeline
Preparatory (May)	Preparation of ToR	May 2016
	Collection of relevant documentation and creation of document repository in google drive	May 2016
	Preparation of preliminary stakeholder map by evaluation manager in coordination with	May 2016
	Selection and engagement of consultant(s)	May-June 2016
	Creation of the Evaluation Reference Group	June 3 2016
Inception (June-July 2016)	Initial documentary review and interviews	June 3 2016
	Trip to NY for internal Workshop and first Reference Group meeting for feedback for the preparation of the draft inception report	27 June-July 1 2016
	Draft inception report	July 25 2016
	Comments from RG	August 12 2016
	Final inception report	August 29 2016
Data collection (July- Sep. 2016)	Stakeholder interviews/ focus groups/ surveys with UNFPA and other UN staff and partners	July- September 2016
Reporting (Nov. 2016)	Trip to NY to present preliminary results of data collection phase	October 31 – November 4 2016
	Draft final report	November 17 2016
	Comments from RG	November 28 2016
	Final report	December 12 2016
Management response, dissemination and sharing of results (Nov. 2016 February 2017)	Management response	January 17 2017
	Trip to NY to present the final report to RG and workshop	January 2017 TBD

## 7. Management the evaluation

The Evaluation will be conducted and managed by UNFPA Evaluation Office who will have overall responsibility for the management of the evaluation process including hiring and managing the team of external consultants, ensuring the quality and independence of the evaluation and to guarantee its alignment with UNEG Norms and Standards and Ethical Guidelines. Key roles and responsibilities of the **evaluation manager** include:

- Prepare the terms of reference for the evaluation in coordination with the evaluation reference group (ERG);
- Hire the team of external consultants;
- Supervise and guide the consultant team in each step of the evaluation process;
- Review, provide substantive comments and approve the inception report, including the evaluation design and work plan;
- Review and provide substantive feedback on all deliverables;
- Quality assure the entire evaluation process;
- Liaise with the ERG and convene and chair the ERG meetings with the evaluation team;
- Identify and ensure the participation of relevant stakeholders in coordination with the ERG throughout the evaluation process;
- Contribute to learning, knowledge sharing, the dissemination of the evaluability assessment findings and follow-up on the joint management response.

The final evaluation report will be approved by the Director of the Evaluation Office.

An **evaluation reference group (ERG)** will support the evaluation at key moments of the process to ensure broad participation on the conceptualization of the exercise. Members will provide substantive technical inputs, will facilitate access to documents and informants, and will ensure the high technical quality of the evaluation products as well as learning and knowledge generation. The ERG will consist of staff from the Innovation Inter-Divisional Working Group, the Innovation Strategy Body, PD and other divisions as necessary as well as representatives of other relevant partners implementing innovation initiatives.

## 8. Estimated budget for the evaluation and payment schedule

The estimated budget for the evaluation is USD 64,000 which includes consultant fees, travel of the team leader and innovation analyst to NY during the inception and reporting phases (8 days each). Budget includes cost of management of the evaluation by the Evaluation Office (USD 11,000).

Team	Days	Rate	Total
Team Leader	86 (including all visits to NY)	800	68,800
Innovation analyst	52 (including all visits to NY)	300	15,600
Travel costs	17,314 (including 3 tickets for TL and 2 tickets for innovation specialist, plus DSA and terminals to NY)		14,657
Cost of management by EO			11,000
<b>Total cost evaluation</b>			<b>107,657</b>

The evaluation will take place remotely from the consultants' base location. Travel to regional and country offices is not anticipated for this assignment. Two trips to UNFPA HQ in New York are anticipated, one for the inception phase to present the inception report and one for the dissemination and sharing of results phase to present the final report and deliver a workshop to key stakeholders.

For missions to NY, UNFPA will reimburse:

- Daily subsistence allowance – including terminal allowances – in line with the standard rates for New York.
- Travel costs based on the most economical and direct route.

Travel arrangements will be managed in accordance with the U.N. travel policy.

### Payment schedule

The payment modalities shall be as follow:

- 10% on finalization of workshop with stakeholders in NY (July 5<sup>th</sup>)
- 15% on acceptance of the draft inception report (July 29<sup>th</sup> 2016)
- 20% presentation of preliminary results of data collection phase in NY (October 31<sup>st</sup> – November 4<sup>th</sup>)
- 20% on acceptance of the draft final report (November 21<sup>th</sup> 2016)
- 15% on acceptance of the final report (December 16<sup>th</sup> 2016)
- 5% on presentation of the evaluation results (PowerPoint) at the stakeholder workshop (January 16<sup>th</sup> 2017)
- 15% on acceptance of the baseline study (February 6<sup>th</sup> 2017)

Note that no payment will be processed until the corresponding deliverables are formally approved by the evaluation manager.

## 9. Quality

All evaluative exercises in the UN system are subject to UNEG norms and standards, as referred to in the UNFPA Evaluation Policy 2013. Quality of deliverables for evaluations should follow UNEG guidelines.

## 10. Evaluation Team

The evaluation team will be composed of a team leader and an innovation analyst.

### **Team Leader – Senior Evaluation Expert – 40 days**

The **team leader** must have an extensive experience leading and conducting evaluations, including at UNFPA, as well as technical expertise in evaluation of social innovation/ evaluation of innovation funds. His/her primary responsibilities will be:

- Conducting and leading the evaluation in all its phases and managing the inputs of the innovation analyst throughout the exercise;
- Setting out the methodological approach;
- Delivering the inception and final reports in line with the requested quality standards;
- Presenting the results of the evaluation to stakeholders;
- Assuring the quality of all deliverables.

#### *Minimum qualification required:*

- Master's degree or equivalent in development studies, sociology, economics, social studies, international relations or other related field.
- 13 to 15 years of experience conducting or managing evaluations.
- Experience conducting different types of evaluations with UNFPA.
- Strong understanding of UNFPA's policies and programming.
- Proven skills in evaluation methodology, research analysis, including quantitative and qualitative data collection and analysis techniques.
- Demonstrated expertise/experience in developing theories of change, results frameworks, and evaluation and monitoring systems;
- Be fully acquainted with results-based management orientation and practices;
- Excellent report writing skills, analytical skills, and computer skills.
- Excellent command in written and spoken English.
- Experience leading teams.

### **Team Member – Innovation analyst – 30 days**

The team member will:

- Contribute to the design of the evaluation methodology;
- Contribute to the reconstruction of the theory of change by assisting in the development of stakeholder mappings (based on innovation ecosystems);
- Undertake the in-depth documentary review as per the guidance of the team leader;
- Prepare inputs and make contributions to the evaluation deliverables;

- Participate actively in the primary data collection process (conducting interviews and participating in focus groups);
- Assist with the management of the datasets generated during the exercise;
- Create a google folder with relevant documentation;
- Participate in team meetings, including with stakeholders.

*Minimum qualification required:*

- Master's degree or equivalent in development studies, sociology, economics, social studies, international relations or other related field;
- 5-8 years of experience conducting research;
- Experience in social innovation;
- Experience participating in evaluation of social innovation;
- Experience in development of stakeholder mappings and analysis;
- Proven skills in, research analysis, including quantitative and qualitative data collection and analysis techniques;
- Excellent report writing skills, analytical skills, and computer skills;
- Excellent command in written and spoken English.

## **11. Code of conduct and norms for evaluation in the UN system**

Evaluations of UNFPA-supported activities need to be independent, impartial and rigorous and evaluators must demonstrate personal and professional integrity. In particular:

1. To avoid conflict of interest and undue pressure, evaluators need to be independent. The members of the evaluation team must not have been directly responsible for the policy/programming-setting, design, or overall management of the subject under evaluation, nor should they expect to be in the near future. Evaluators must have no vested interest and should have the full freedom to conduct impartially their evaluative work, without potential negative effects on their career development. They must be able to express their opinion in a free manner.
2. The evaluators should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
3. At times, evaluations uncover evidence of wrongdoing. Such cases must be reported discreetly to the appropriate investigative body.
4. Evaluators should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to, and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the dignity and self-worth of all stakeholders.
5. Evaluators are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, evidence based findings, conclusions and recommendations.

No team member should have participated in the preparation, programming or implementation of the Innovation Initiative.

See Code of conduct for evaluation in the United Nations System at:

<http://www.unevaluation.org/document/detail/102>

See Norms for evaluation in the United Nations System at: <http://www.unevaluation.org/document/detail/21>