Evaluation of the UNDP/DPO/DPPA Project on

UN Transitions in Mission Settings

Brief Report

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Contents

Abbreviations

AFPs   Agencies, Funds and Programmes
DPO   Department of Peace Operations
DPPA   Department of political and Peacebuilding Affairs
DOS   Department of Operational Support
DPO   Department of Peace Operations
EOSG   Executive Office of the Secretary General
GFP   The Global Focal Point
HRP   Humanitarian Response Plan
HQ   Headquarters
IFIs   International Financial Institutions
ISF   Integrated Strategic Framework
PMT   Project Management Team
PSC   Project Steering Committee
SG   Secretary General
SPM   Special Political Missions
ToC   Theory of Change
TS   Transition Specialist
UNDAF   UN Development Assistance Framework
UNDP   United Nations Development Programme

1. Introduction and evaluation approach

UN transitions are high on the agenda as a number of peacekeeping operations and special political missions (SPMs) are currently planning for or undergoing drawdown, reconfiguration and withdrawal processes that greatly affect the presence and work of the wider UN. In response to increased requests from UN field presences for transition related support, UNDP, DPO, and DPPA have initiated a joint project in 2014 that seeks to ensure that UN transition processes are planned and managed in a timely, integrated and forward-looking manner, thereby supporting the sustainability of peacebuilding achievements.

The project was extended into a second phase from 2017 to 2020 and this phase will be completed in April 2020. Due to continued demand for integrated support to transition processes and the limited capacity of the UN system to provide integrated assistance, the project partners are in the process of developing a next project iteration (May 2020-April 2023).

The purpose of this evaluation is narrow in scope and it focusses in particular on the project's relevance, efficiency, and sustainability by:

1. Assessing the current demand for integrated support to UN transition processes among the Project's key stakeholders.

2. Evaluating the Project vis-à-vis its intended objectives and deliverables of improving the planning and management of UN transition processes.

3. Evaluating the extent to which the Project contributes to enhancing integrated and cross-pillar collaboration in transition processes at headquarters (HQ) and country level; and

4. Providing insights for the next program design through findings, conclusions and key recommendations that emerged from this evaluation. This includes focusing on the sustainability of the Project and identifying suggestions to further mainstream UN transitions into integrated assessment and planning processes, as well as highlighting areas where further support or initiatives are needed.

This evaluation is therefore a stock taking exercise to feed into the elaboration of the third phase. See Annex 1 for the ToR.

1.2   The evaluation approach

The evaluation took place during late December 2019 and January 2020. Given time and budget limitations the evaluation methodology consisted of two data sets: data from document review and interviews with various stakeholders. The interviews were guided by a questionnaire reflecting four evaluation criteria : relevance; effectiveness; efficiency and sustainability.[1] The questionnaire was developed in such a way that there are clusters of people that can be grouped together so that data can be compared among and within clusters. Interviewees were selected from key stakeholders supporting the project and those that benefit from it.

     a. Project Steering Committee
     b. Project Management Team
     c. Senior Management in Transition Countries (DRC, Sudan, Mali)
     d. Transition Specialists (DRC, Sudan, Mali)
     e. Executive Office of the Secretary General
     f. Donors: the governments of Sweden and the United Kingdom

See Annex 2 for an overview of the key documents and Annex 3 for the persons interviewed.

The project is guided by a simple Theory of Change (ToC) which groups the four outputs together in a linear fashion leading to the overall outcome and impact.

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[1] ToR, page 1 "Due to the proximity to the previous evaluation, this follow-on assessment will be more limited in scope and focus in particular on the project's relevance, efficiency, and sustainability….". The consultant has suggested to add effectiveness.

Box 2:

__Theory of Change__

The following Theory of Change guides the second phase of the joint transition project:

__Impact__

If the UN remains a reliable partner throughout and beyond UN transitions, then prospects are strengthened for resilience and sustained peace in countries emerging from conflict.

__Outcome__

If UN transitions are undertaken proactively, gradually, seamlessly, in the most inclusive manner, in tandem with host governments, and informed by the realities on the ground for men, women, youth, children and those most vulnerable, then the UN will remain a reliable partner for societies emerging from conflict.

__Outputs__

Output I

If UN transitions are facilitated by integrated and gender responsive capacities, mechanisms, and planning processes, they will become more proactive, gradual, and seamless.

Output II

If lessons, good practices, and guidance are actively shared in the form of targeted and tailored capacity building measures, then the ability of UN leadership and staff to better plan and manage inclusive UN transitions will be strengthened.

Output III

If transition-related lessons and good practices are identified, captured and disseminated then institutional knowledge and guidance will reflect practical approaches to plan and manage transitions successfully.

Output IV

If the UN undertakes measures that ensures sustainability of the Organization's engagement in transition processes including through policies, strategies and capacities it will remain a reliable partner. If the UN supports host governments with transition planning, including by fostering South-South exchanges to identify lessons and good practices for host governments during UN transition processes, then effective partnerships with the international community are established prior and during transition processes. If the UN approaches Member States and key partners in a proactive manner and with coherent messages regarding recurrent challenges in UN transition process and how they can help to address them, then they will become stronger partners for the UN and host governments during transition processes.

2 The Project

The overall objective of the project is as follows:

Box1: Objectives of the project

> *To ensure UN transitions in mission settings, beyond the duration of this project, are well planned and managed and result in the UN being better positioned to provide efficient and effective support to host countries as they sustain peace and development throughout and beyond the repositioning of the UN presence; and to ensure that UN transitions planning processes become gender responsive and intrinsically part of the UN wide planning culture. By improving UN transitions processes, the project aspires to contribute to strengthening the prospects for resilience, sustained peace and inclusive long-term development in countries emerging from conflict.*

To contribute to the overarching goal the project adopted a four-pronged approach:

    (1)   direct support to field presences engaged in a transition process.

    (2)   capacity building to increase planning skills and other capacities related to transitions.

    (3)   identifying, capturing and sharing lessons and good practices and developing/improving guidance, and

    (4)   engaging in dialogue with Member States on the challenges and experiences encountered in UN transitions.

Ensuring that UN transitions are planned in a proactive, gradual, integrated and gender responsive manner can only be achieved through a joint approach that builds on the strength of project partners both at the level of their strategic orientations at HQ and in the field. The management of the project is led by a Project Management Team (PMT) consisting of representatives from UNDP, DPO and DPPA.[2] The project is overseen by a Project Steering Committee (PSC) consisting of UNDP, DPO and DPPA represented at the Director level.

The project's approach, reflected in the four outputs, is to provide institutional solutions for coherence e.g. guidance development) within the UN system, partnerships (e.g. with host governments and donors, Member States, research institutions and within the UN), and technical support across the UN system on transitions.

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[2] The reforms in 2017/2018 led to restructuring of the different organizations that were involved from the beginning : UNDP, DPKO/DSF and DPA. The latter two changed to Department of Peace Operations (DPO) and Department of Political and Peacebuilding affairs (DPPA)

As one of its key interventions, the project has deployed Transition Specialists in Sudan, DRC, Mali, Liberia, and Côte d'Ivoire.[3] Some of these have been phased out as transitions have moved to a point where such support was no longer required.

The budget for the period 2018-2020 is USD 4,367,747. There are in kind contributions from the project partners in terms of staff time paid for. There are two donors to the project: the Swedish Government contributes USD 3,854,267 to the budget for the duration of the project and the government of the United Kingdom contributes for 2019-2020 USD 91,188.00.

Other key project partners in the UN include: The Executive Office of the Secretary-General (EOSG), particularly the Strategic Planning and Monitoring Unit and the Secretariat of the Executive Committee, the Peacebuilding Commission, the Global Focal Point (GFP) Rule of Law mechanism, UN Women, the UN Integrated Working Group chaired by the EOSG, the Department of Operational Support (DOS), and the UN Development Coordination Office (DCO – to become a project partner in the next phase of the project).

3.Findings based on the four evaluation criteria (relevance, effectiveness, efficiency, and sustainability)

Progress towards the four outputs

For an overview of the results framework status, see Annex 4. There the progress can be read in relation to activities and indicators. Given the stock taking character of this report not all activities are discussed in detail but rather the key output results are discussed based on the interviews.

Output 1: UN capacities to manage transition processes increased

This output is one of the four most important outputs since the deployment of Transition Specialists (TS) over time in Sudan, DRC, Mali, Liberia and Côte d'Ivoire has been the key instrument to strengthen integrated planning processes in country. The demand for TS is high and their deployment is timely, particularly as some of the concrete outputs from the SG's Directive on Transitions can be directly attributed to the TS's mandate.[4] The deployment of TS has been welcomed by the UN Country Offices and strengthened the *transition dialogue and awareness* in general, including linking the mission to the UNCT and adding value to planning processes. This is a relevant and much needed support. The

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[3] The project envisions deploying a TS in Guinea Bissau in April 2020.
[4] For example, the preparation of an Action Plan in Sudan or the Transition Calendar in Mali

positioning and deployment modality of the TS, however, remains somewhat challenging, including preparing for their arrival and making sure that their presence, knowledge and skills are best used.

Transition Specialists were created in response to the Clingendael Report Beyond Transitions,[5] which found that limited UNCT planning capacity is a key impediment to more integrated and forward-looking transition processes. Reflecting the fact that UNDP at the time had been the host of the RC system and that UNDP is often expected to be the main UN actor to address the gaps resulting from mission withdrawal or reconfiguration by increasing their activities in support of peacebuilding, TS have traditionally been a shared resource with dual reporting lines (to UNDP and the RCO). While this approach has worked reasonably well in the past, the UN reforms and the resulting delinking of the RC system from UNDP has resulted in unclarity within the UNCT and at times undermined the work of the TS on transitions.[6] It has put the TS in a coordination role to get all the right stakeholders on board combined with advocating for transition planning and using the different instruments that the project helped to develop.[7] In addition, the TS needs effective backstopping from HQ and the PMT which often still work in silos. As a result, the TS needs to work like a spider to ensure effective positioning (strategic), providing support to transition processes and planning (raising awareness, coordination and communication) and using instruments to guide the process and outcome (process) with the key stakeholders. It is therefore not surprising that the recruitment of TS is not easy.

The abovementioned challenges are clear to most stakeholders interviewed for this evaluation and the PSC has determined that TS should be deployed to RCOs to provide whole-of-the-system support on transitions. This is a welcome development that is aligned to the objective of the Secretary General's Directive for the development of consistent and coherent UN Transitions processes.[8] However, it should be noted that since the delinking, UNDP is now a program like other programs and agencies in the UNCT, it remains one of the key players in ensuring peacebuilding priorities are addressed during and after mission withdrawal. At the same time, UNDP Country Offices often lack the necessary planning capacities to adequately prepare for this role . Given that the RCO now has a strategic planning advisor, positioning the TS in the RCO feels to some UNDP

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5 Conflict and Fragility Reports and Papers. Beyond Transitions: UNDP's Role Before, During and After Un Mission Withdrawal 30 Sep 2013

6 The Office of Internal Oversight Services - Inspection and Evaluation Division (OIOS-IED), Evaluation of the Relevance, Effectiveness and Efficiency of the African Union-United Nations Hybrid Operation in Darfur (UNAMID) in Supporting Transition from Peacekeeping to Peacebuilding in Darfur in collaboration with the United Nations Country Team (UNCT) Advisory Memorandum is clear in its finding: "The role of the transition specialist, based in Khartoum, has been contested by UNAMID, RCO and UNDP. While UNAMID and RCO expected the specialist to facilitate a whole of United Nations approach through the work of the joint transition cell, the specialist's dual reporting lines to RC/HC and UNDP Country Director with no connection to DJSR/UNAMID have limited the engagement and contribution towards shared goals". 07 October 2019, page 07. Please note that this is not an integrated mission which makes the reporting lines even more complicated.

7 Amongst others the integrated planning manual, the transition policy and the SG's directive on Transitions.

8 Secretary General's Directive for the development of consistent and coherent and UN Transitions processes in line with Executive Committee Decision 2018/38

respondents unfair. As such, the solution to 'share a TS' between the two offices may be a practical solution but is far from ideal and confuses accountability and communication lines.

Despite the above challenges, the TS have added value to planning processes and have helped to link the different UN entities together to get transitions high on the agenda. While integrating a gender lens is not yet fully applied in their work, they have put emphasis on gender equality[9] and have support from UNCT entities in this regard. The gender lens is not yet fully applied in transition processes, but it is on the agenda.

Output 2: Knowledge and skills of UN staff and partners increased to plan and implement transition processes

This output complements other outputs in that output 1 supplies services while output 2 generates in many ways demand: a better understanding of transition processes increases the awareness and need for better planning processes and provides UN management and staff with learning *and* applying opportunities. The workshops are appreciated and score positively. The Global Transition Workshop in Harbour House in New York and the Wilton Park meeting in the United Kingdom[10] have both contributed to relevant discussions; learning and confirmation that transitions processes are not limited to the UN family. Also surge support from the project team, delivering in country trainings, capacity assessments, and other types of direct support provided all contribute to improved transition planning. This hands on and practical approach is relevant, effective and mostly efficient and results in better transition planning *and* related processes, as well as the fact that UN country staff know that there is a 'project' and project team they can turn to. In addition to the deployment of TSs, the PMT is therefore a relevant and effective source of information and support. It has also facilitated exchanges among representatives of UN entities and broadened their perspective on what support and material is available. This has contributed to more awareness and knowledge about transitions with specific references to countries that have benefitted from the contributions of the project. In addition, more people have been reached.

In this output the search for applying a gender lens is ongoing. Some useful instruments have been developed[11] and gender 'is on the agenda'. In all the trainings gender has

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[9] Gender equality is not included in the ToR of the TS
[10] Workshop Report. UNDP/DPPA/DPO/DOS. Workshop on UN Transitions. 08-11 April 2019. Pier A Harbor House, New York, Report Improving UN Transitions Wednesday 9 – Friday 11 October 2019 | WP1719 in partnership with the Foreign and Commonwealth Office and the United Nations Transitions Project Wilton Park.
[11] DPPA, UN Women and DPO have developed a Gender Responsive Conflict Methodology and tested this in some of the countries. The key documents are: Gender responsive conflict analysis to inform transitions: a pilot initiative. Initial Reflections (*15 May 2018, UN Secretariat*)

been included and minimum standards for gender responsive conflict methodology is used in in-country training.

Output 3: Transition related lessons learned, and good practices captured and informing organizational practice

This output, not dissimilar from output 1 and 2, has a supply and a demand side to it. During the course of the project, a considerable amount of transition-related lessons and good practices has been identified and captured, including through the: The UN *Deputies committee Paper on Recurrent Transitions Challenges*, the Study on *Improving Security Council Practice in Mission Settings*, the *OECD Study on Financing Transitions*, the *Survey of Practice and Haiti Report on Programmatic Funding*, and the *Study on Political Engagement During Transitions*. The lessons learned and good practices were often mentioned as important sources of evidence and inspiration on how transition processes can be prepared and thus improved. Since the lessons learned are either thematic or country based, they provide a good applicability or comparison to other countries and the staff and management recognize the relevance and usefulness of such work. It is less clear to what extent materials are applied or used as guidance in countries that prepare for transitions. In many instances the TS is a key source who brings material into discussions and uses examples to advance transition planning processes.

The main challenge with the knowledge products is the lack of an organization-wide platform where this organizational knowledge is being made available. The accessibility and distribution of the different materials is a serious impediment to reach a large UN and non-UN audience. While this output is specific on lessons learned and good practices, these materials also play a role in training and workshops (output2) and reference is made to other key policy documents such as the Secretary General's Directive on Transitions.

Output 4: Sustainability measures including policies, strategies and partnerships in place

This output could only be assessed in a limited way since the interviews were held with UN staff and partnerships were not discussed with the partners concerned. Partnerships are critical in transition planning and processes and there is significant recognition that partnerships contribute to better transitions. The inclusion of host countries[12] and IFIs are considered most important. Among the IFIs the World Bank is mentioned as a key player. How such partnerships are established in country and elsewhere is not so clear and how the contribution of such partnerships lead to better transitions processes is not well articulated. From the UN perspective it is the recognized need to develop such partnerships and that these should be part of the transition processes. In this context the

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[12] Note that host countries are often used in conversations and not host governments.

TS, in addition to the strategic leadership of the RC, could play a role at operational and technical level.

The partnerships in the project output, however, are much broader and include IPI, CIC, g7+, UNU, and the OECD. Partnerships vary in collaboration and purpose and the OECD was mentioned, including its relevant DAC Recommendation on the Humanitarian Development Peace Nexus. [13]

In terms of UN-internal sustainability, the focus has been on articulating or updating relevant guidance, such the SG's Directive on Transitions, the UN Transition Policy and Policy on Integrated Assessment and Planning. The project has contributed to these and other policy documents, including the biannual EC/DC meetings and policy papers on transitions.[14] In addition to the relevance and effectiveness of such work, these contributions have demonstrated that the project can influence organizations and people and that transition discussions have moved up to the highest echelons of the UN. The Executive Office of the Secretary General (EOSG) is considering the project as the main vehicle to provide system-wide support on transitions and also as the main actor helping EOSG with the implementation of the decisions taken by the EC and DC.

Progress towards the outcome and impact

There is no doubt that the project is contributing towards its outcome and that the four outputs are relevant and mostly effectively managed and implemented. Not all outputs have the same 'weight', however, and these are also interdependent. In that sense the combination of outputs has helped the project gain leverage, visibility and concrete support to the UN family.

This brief assignment does not yield any evidence on the impact. There are, however, frequent references made to the need to collect more evidence and analysis that demonstrates that the project has impact, including within the UN family and the recent introduced reforms.

The Theory of Change

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[13] https://legalinstruments.oecd.org/public/doc/643/643.en.pdf
[14] The Executive Committee (EC) is a principal-level structure established and chaired by Secretary-General António Guterres to assist him in taking decisions, particularly in strategic cross pillars issues. This body is supported by the Deputies Committee chaired by the Assistant Secretary-General for Strategic Coordination at the EOSG.

The Theory of Change (Toc) is limited in its definitions and elaboration, and the diagram translates the four outputs in a linear way to the project's outcome and impact. It is phrased in a hypothetical way instead of a statement which expresses a goal. This ToC has not been that relevant in the complex context in which the project operates and used as guidance and reference.

4. Conclusions

1. The project has matured in this phase: its support and visibility has led to recognition both at HQ and in the field that transitions can and should be better prepared and managed. There is concrete 'traction' in that the topic is on the agenda and attracting considerable positive attention.

2. The project is an effective mechanism that brings different UN entities together and helps to create a common understanding among the UN family and consensus on the need for recognition that better planned transitions can prevent relapse; leverage attention, including resources and capacities.

3. Outputs are relevant and have contributed to the above two conclusions.

4. The project team has effectively: i) mobilized support to countries; ii) influenced the preparation of policy documents at the highest level; and iii) started collecting relevant studies and analysis helping countries to prepare for transitions.

5. The body of knowledge that now exists is relevant and useful but does not reach the different audiences yet.

6. The delinking of UNDP has created controversy and there are strong differences of opinion what the consequences are for the TS, the RCO, and the project itself in which UNDP is one of the key players. The next phase of the project has addressed the issue: namely to move the TS fully into the RCOs and to strengthen the governance architecture of the project to ensure all project staff are seen as truly shared resources

7. The deployment of TS is an effective and relevant contribution to transitions, but the positioning and effectiveness of TS presence can be further enhanced.

8. The project is slowly moving from a UN centric approach to reaching out to other stakeholders thereby acknowledging that partnerships and additional analysis are needed to deepen the understanding of transition challenges.

9. The different key policy and planning instruments are relevant. The extent to which these are effectively used could not be assessed. TS work and contribution and use of these instruments also show that considerable work is process and coordination oriented.

10. TS are bringing together key players and helping to implement the SG's Planning Directive. There are, however, capacity gaps in the host country. This could affect the transition work if host countries play a more active role in the future.

11. Gender is on the agenda and some work has been done but more is needed to ensure that it is integrated in the transition documents, responds to the SG's Directive and becomes fully integrated.

12. Demand for the products and the services of the project remains high, both in countries that currently receive support and in countries that will likely undergo reconfiguration or closure in the next phase.

13. The project is more than the sum of the outputs and good working relationships among the project partners have been created as well as with partners outside the UN.

14. Sustainability is not well articulated and is not yet in sight.

5. The way forward

Based on the data collected the following observations are shared:

1. There is consensus that the four outputs remain relevant. The question remains open, however, whether they should be individual outputs or whether some could merge. For example, an output where all the *knowledge management* services and products come together. A related question is what the project should do itself and what can be outsourced?

2. Partnerships need to be established in country to reach out to key players in the host country and the development partners. Pilots could be included to see how

partners can assist, for example, the Word Bank in the transition process and prevent relapse and cliffs (financial and capacity), including to establish planning capacity from their end.

3. The project needs to continue its outreach to the UN family and to others, including Member States. The latter need more information to help preparations of the Security Council meetings, for example, and to creating more leverage with Member States.

4. The work done in collaboration with the Executive Office of the SG proves that the project can influence and should continue to seek opportunities for influencing.

5. The TS deployment needs to be better prepared: while the timing of deployment is good, the ToR need to be revised (include gender and the process aspects of the work), ensure that consultations before deployment lead to strong accountability and communication lines. The Peace and Development Advisors (PDA) have gone through similar hurdles and the project could learn from their solutions.

6. Undertake more analytic work in order to collect more evidence on transitions and include specific topics that emerge from discussions also looking forward. The Wilton Park paper provides useful ideas that could form a research agenda.

7. The UNDP delinking is also affecting the project itself and UNDP's status in the project is questioned. If UNDP has a role in the Project Management Team and Project Steering Committee then why not others? Prevent that the project in the next phase runs the risk of questioning who is represented in the Project Management Team and Project Steering Committee. The Project Steering Committee could be extended with other members if this helps towards the sustainability of the project as well as linking to higher levels of the different UN APFs.

8. Continue work on gender both at HQ and in the field. Consider hiring external expertise if the process remains slow.

9. Elaborate a full Theory of Change as soon as possible with support from an expert.

How the project could phase out while ensuring sustainability of UN transition planning efforts: suggestions for reflection

The third phase of the project needs to work on the assumption that the project needs to phase out. This implies that all its work needs to be transformed. This phasing out needs to start as a parallel roadmap alongside the project and needs some budget in case costs are made in support of the process.

The following key points are distilled from the discussions and are grouped around four themes:

1. **Embedding:** a logical question seems to be where the project needs to be 'hosted'. There are several ideas that have been shared. Some seem to consider DCO appropriate (in particular from the field) while others wish to guard the principle that it is a relation among different entities and not part of one particular UN organization. The Global Focal Point has been mentioned as a source of inspiration. The EOSG has also been mentioned but caution has been expressed that this Office is not an operational entity.

   It has been suggested that discussion and exploration need to start and continue as the dust on the reforms settle. There is a need that these discussions take place among the highest levels of the UN and include the perspective from the field.

2. **Human Resources:** If the UN declares UN Transitions a priority, then it needs to finance posts is the key message that has been conveyed. The UN should recognize that with such commitment it underlines the strategic value of the project and supports the impact that this project has defined. This could include a roster of TS and other types of staff (management, surge capacity, for example). This would be a relevant beginning since it also implies that an entity mandated to support UN transitions (some prefer to speak about country transitions) needs to have a mission and vision and needs to be an entry point for all transition work. This is currently expressed in the 'one stop shop' idea for phase III.

3. **Financing:** the preference is to seek some kind of hybrid financing not only in HQ but also in the field. The assumption would be that the UN finances key posts with expertise relevant to demand and some of the key outputs of the project while development partners add resources or agree on cost sharing agreements. Other players could also be of interest like other Member States and International Financial Institutions (IFIs).

4. **Strategic positioning:** irrespective of the outcomes of the three themes above, the positioning, reporting lines and oversight are critical to ensure leverage, continued traction on transition discussions and ultimately to improve processes in such a way that some of the work becomes obsolete: full integration of the transition processes in the UN system.

6.Recommendations

1. Be ambitious: capitalize on the gains of the work achieved, address the weaknesses and look for opportunities (= influence) to create more traction and leverage (partnerships, including hosts government and knowledge management).

2. Build a knowledge platform and continue with contributing to the 'body of evidence' of how the project gains have contributed to *improved transition planning and processes* as well as undertaking more analytical work in support of both transitions and outreach to different audiences.

3. Continue to revise and update key documents and improve the use of these documents. Ensure to remain the 'linking pin' among the different key partners to revise and update guidelines and policies that respond to overall UN directives.

4. Continue to seek strategic discussion at the highest level to bring forward what works well and what not in order to further improve best practices and remain at the front of operational and strategic developments of transition thinking with the help of internal and external experts. Include Member States and the Peacebuilding Architecture.

5. Build on internal expertise within the team and with partners. Expand research to feed into knowledge management and improve access and distribution of knowledge products.

6. Improve communication: prepare annual reports for wide distribution and include references for easy access: keep your audiences informed: develop short briefs and other material for different types of audiences.

7. Prepare a *Road Map* for the phasing out of the project: take to heart what you preach: develop an exit strategy with the next phase. See above for details

Annexes

Annex 1 Terms of Reference. Evaluation of the UNDP/DPO/DPPA Project on UN Transitions in Mission Settings

I. BACKGROUND

UN transitions are high on the agenda as a number of peacekeeping and special political missions are currently planning for or undergoing drawdown, reconfiguration and withdrawal processes that greatly affect the presence and work of the wider UN. In response to increased requests from UN field presences for transition related support, UNDP, DPO, and DPPA have initiated a joint project in 2014 that seeks to ensure that UN transition processes are planned and managed in a timely, integrated and forward-looking manner, thereby supporting the sustainability of peacebuilding achievements.

To achieve this objective, the project adopted a four-pronged approach: (1) direct support to field presences engaged in a transition processes; (2) capacity building to increase planning skills and other capacities related to transitions; (3) identifying, capturing and sharing lessons and good practices and developing/improving guidance; and (4) engaging in dialogue with Member States on the challenges and experiences encountered in UN transitions.

In its current form, the project will be completed in April 2020. Due to continued demand for integrated support to transition processes and the limited capacity of the UN system to provide integrated assistance, the project partners are in the process of developing a next project iteration (May 2020-April 2023) .The Project aims to scale up its efforts in the next iteration through institutionalizing the lessons learned from the previous project phase and establishing itself as a 'one stop shop' that centralizes existing knowledge and expertise and provide a more structured support framework that brings the system together to assist senior UN leadership in HQ and the field. This project evaluation is expected to contribute to this process.

II. OBJECTIVE

As the project concludes in April 2020, the project partners seek to hire a consultant to carry out an independent project evaluation that builds on the previous evaluation that was completed in December 2017. Due to the proximity to the previous evaluation, this follow-on assessment will be more limited in scope and focus in particular on the project's relevance, efficiency, and sustainability by:

8. Assessing the current demand for integrated support to UN transition processes among the Project's key stakeholders.
9. Evaluating the Project vis-à-vis its intended objectives and deliverables of improving the planning and management of UN transition processes.
10. Evaluating the extent to which the Project contributes to enhancing integrated and cross-pillar collaboration in transition processes at HQ and country level; and
11. Providing insights for the next program design through findings, conclusions and key recommendations that emerged from this evaluation. This includes focusing on the sustainability of the Project and identifying suggestions to further mainstream UN transitions into integrated assessment and planning processes, as well as highlighting areas where further support or initiatives are needed.

III.   SCOPE OF WORK AND EXPECTED DELIVERABLES

The Consultant, in close consultation with the Project Management Team (i.e. the Project Manager and Focal Points) and under the guidance of the Project Steering Committee, will develop the evaluation approach, formulate a data collection and analysis strategy, and conduct an in-depth review of the activities carried out as part of the UN Transition Project over the past three years. The evaluation is expected to arrive at evidence-based findings that will help identify whether the UN Transition Project achieved what it set out to do. Required tasks and outputs include:

1. In consultation with the Project Management Team in NY, develop a short inception report outlining proposed document review, evaluation methodology including evaluation criteria and indicators, interview list, report outline.
2. Conduct key informant interviews with relevant staff (including senior managers and staff at UN Headquarters and in the field missions) as well as other data collection methods and capture findings in writing.
3. Present preliminary findings to project leadership; and
4. Draft, revise and finalize the evaluation report. The final evaluation report should not exceed 15 pages (Word Format, single spaced, in English).

IV.   DELIVERY TIMELINE AND PAYMENT SCHEDULE

The consultancy work required for this evaluation is 12 days to be undertaken over a one-month period in January 2020 (as per approved contract).

No.	Deliverable	Timing	Amount
1	Inception report outlining the evaluation methodology and suggested report outline	Within 5 days of contract signature	10% of contract value

2	Stakeholder interviews	Within 2.5 weeks of contract signature	40 % of contract value
3	Presentation of the initial findings of the mid-term review to the JP management	Within 3 weeks of contract signature	10% of contract value
4	Drafting and finalization of evaluation report	Within 4 weeks of contract signature	40% of contract value

V. Duty Station

The consultancy will be home-based.

VI. Recruitment Qualifications

Education

A minimum of a master's degree or equivalent in political science, development studies or other relevant social science.

Experience

- Extensive experience (at least 10 years) in designing and carrying out development project evaluations.
- Demonstrated experience in the areas of peacekeeping and peacebuilding as well as with UN integration issues.
- Knowledge on UN transition issues.
- Knowledge of result-based management evaluation, UNDP policies, procedures, as well as participatory monitoring and evaluation methodologies and approaches.
- Demonstrated capability of independently leading and conducting interviews.
- Strong drafting and analytical skills.
- Excellent spoken and written communication skills in English.
- Fluency in French desirable.

Annex 2 Overview of the key documents

Background

- SG Directive of Transitions
- DC background paper
- IPI report on future transitions
- Wilton Park report
- OIOS report on Sudan

- SG report on sustaining peace
- MCT review of UNDP
- CIC publication
- A4P declaration

Project documents

- Project document
- Progress reports
- Transition specialist survey

Key deliverables documents

- Liberia and Haiti capacity mapping
- Transition workshop report
- UNAMID transition strategy
- UNU report
- Haiti report
- Guinea Bissau report
- Mali Transition Calendar and workshop reports
- Generic ToR Transition Specialists

Annex 3 Persons interviewed (Skype)

Key interlocutors

Transition Specialists:
Chikako Kodoma Sudan
Fanny Liesegang DRC
Pauline Deneufbourg Mali

Project management Team
Michael Lund UNDP
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Lorraine Reuter Joint Project Resource
Jascha Scheele Joint Project Resource

Project Steering Committee
Souleymane Beye DCO - Observer
Rania Dagash DPO
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Executive Office of the Secretary General
Ayaka Suzuki

Leadership in priority countries
Sudan: Gwi Yeop-Son RC
DRC: David Maclachlan-Karr DSRSG/RC/HC
Dominic Sam UNDP
Mali: Jo Scheuer UNDP

Sweden - SIDA
Peter Linner, Senior Programme Manager, Sida, Stockholm Sweden
Mathilde Holmer, Second Secretary - PBC, Sustaining Peace Permanent Mission of Sweden to the UN, New York

UK
Ewan Smith (he/him), Senior Policy Officer, UN Reform Unit, Multilateral Policy Directorate, Foreign and Commonwealth Office
Alasdair Gardiner, UN Programs and Policy Officer, UN Reform Unit, Multilateral Policy Directorate, Foreign and Commonwealth Office

Annex 4 Results Framework

EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASE LINE (end 2017)	TARGETS (by frequency of data collection)				DATA COLLECTION METHODS & RISKS	Status comment for evaluation
				2018	**2019**	**2020 (by April)**	Cumulative		
Output 1: UN capacities to manage transition processes increased	*1.1* Number of countries where well-functioning and integrated UN mechanisms to manage transition process are in place.	*Country surveys*	1	*2*	4	4	*4**	*Country surveys validated by PSC*	*Sudan, DRC, Mali, Liberia, Guinea Bissau*
	1.2 Number of countries where adequate human resources are supporting transition processes.	*Country surveys*	1	*3*	5	5	*5**	*Country surveys validated by PSC*	*Sudan, DRC, Mali, Liberia, Cote d'Ivoire, Guinea Bissau (TS envisioned to be deployed by April 2020)*
	1.3 Number of countries where gender parity within the transition planning team has been achieved.	*Country surveys*	0	*2*	4	4	*4**	*Country surveys validated by PSC*	*Sudan, Mali, Haiti*
	1.4 Number of countries where gender experts are supporting transitions.	*Country surveys*	0	*2*	4	5	*5**	*Country surveys validated by PSC*	*Liberia, Sudan, Haiti, Mali, and GB*

Output 2: Knowledge and skills of UN staff and partners increased to plan and implement transition processes	2.1 Number of staff trained who are directly involved in transition processes, disaggregated by sex.	*County surveys & Training data*	25	*80*	100	25	*230*	*Country surveys validated by PSC and training data collected through the PMT*	*Data still needs to be provided*
	2.2 Percentage of trained staff applying newly acquired knowledge and skills.	*Surveys*	*25%*	*40%*	*50%*	*60%*	*60%*	*Survey done among participants, six months after delivery of training*	*Data still needs to be provided*
	2.3 Percentage of trained staff that are literate on gender related issues in transitions.	*Surveys*	*N/A*	*30%*	*50%*	*70%*	*70%*	*Survey done among participants, six months after delivery of training*	*Data still needs to be provided*

Output 3: **Transition related lessons learned and good practices captured and informing organizational practice**	*3.1* Number of knowledge/guidance products developed/revised based on lessons learned and disseminated.	*Guidance and lessons learned report repository*	*6*	*3*	*3*	*0*	*12*	*Undertake inventory of reports that have been endorsed and are available on repository*	*12 After Action Reviews on Mission Liquidations* *LL study on Political engagement throughout transitions* *Survey of Practice on Programmatic Funding in Transitions* *LL on PF in Haiti* *LL on Liberia Transition* *LL on CdI Transition* *OECD study on financing transitions* *UNU Study on Security Council practice in Transitions*
	3.2 Number of staff using knowledge products.	*Survey*	*15*	*32*	*50*	*15*	*97*	*Staff survey in transition countries*	*Data still needs to be provided*

Output 4: Sustainability measures including policies, strategies and partnerships in place	4.1 Number of partnerships arrangements with think tanks and groups of member states in place.	Formal arrange-ments / partner-ship agreemen t	0	2	4		4		IPI CIC g7+ UNU OECD
	4.2 Transition related policies including the Transition Policy revised based on lessons learned.	Policy and Guidance endorsed by PSC	0	3	1	0	4		SG Transition Planning Directive IAP policy Field entity closure guide Mission Concept Guidelines Policy on Mission planning
	4.3 Number of relevant Security Council resolution drafting processes supported by the project in order to reflect UN transition principles.	Security Council Resolu-tions	0	2	2	1	5	Joint analysis with Security Council Affairs Division	Sudan, DRC, GB, Liberia, Haiti, and Mali
	4.4 Sustainability strategy developed and implementation begun.	Strategy articulate and endorsed by PSC	0	Devel oped	Imple mente d	Imple ment ed			Sustainability measures are being implemented in all four project priority areas

* The score is not cumulative for these categories as Support to some countries will stop while support to other countries will continue.