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Resilient nations.*

## **Terms of Reference**

**Evaluation of UNDP Mozambique Support to UNDAF Outcome 6: Strengthened democratic governance systems and processes guarantee equity, rule of law and respect of human rights at all levels**

### **Evaluation Team Member**

#### **1. Background and context**

UNDP's corporate policy is to evaluate its development cooperation with the host government on a regular basis to assess whether and how UNDP-funded interventions contribute to the achievement of agreed outcomes, i.e. changes in the development situation and ultimately in people's lives. Evaluating UNDP Mozambique Support to UNDAF Outcome 6 therefore involves ascertaining whether and how UNDP has assisted in improving human development conditions, including for individuals, institutions and systems. Evaluation also helps to clarify underlying factors affecting development, to identify unintended consequences (positive and negative), to generate lessons learned and to recommend actions to improve performance in future programming.

#### **Mozambique context**

Mozambique registered a GDP growth of over 7% in the past five years, placing Mozambique as one of the ten fastest growing economies in the world. This growth, attributed to a considerable extent to the expansion of extractive industries, fuels expectations that the well-being of the population can improve. Inclusive growth policies that can fairly distribute its benefits, including increased job creation have become a centerpiece of economic debates.

Despite this positive economic development and some encouraging progress on some of the MDGs, Mozambique is steadily kept in the Least Development Countries (LDC) category and most of the people in Mozambique continue to live in poverty, with women and children being the most vulnerable. Six out of ten Mozambicans live below the international poverty line while 44% live in severe poverty; leaving the

poor more vulnerable and susceptible to adverse shocks. Gender equality progress has been seen in terms of some policies and laws, while inequalities in practice, often based on social and cultural norms has kept Mozambique low on the gender inequality index (144 out 150 countries in 2014). While significant progress has been made in Mozambique in health, education, water and sanitation and social protection, there is increasing evidence that 'achievements' in improved access to services has not translated into the desired results and inequalities are persistent. The persistence of a high HIV/AIDS prevalence (11.5%, 2009) and impact of reoccurring and frequent natural disasters intensifies existing vulnerabilities.

Progress has been made in terms of democratic and institutional development. Increased capacities and growing awareness on rule of law and human rights is taking place and elected legislative bodies at national, provincial and municipal levels as well as new institutions such as the national human rights commission are gaining importance. After twenty years of peace, growing political–military tensions between the Government and Renamo opposition in the last couple of years have threaten the political stability of the country. In 2014, important agreements have been reached between the two parties, and elections in October 2014 resulted in increased seats of RENAMO and MDM within the parliament. Electoral disputes following the 2014 electoral outcomes have resulted in tension between the Government and Renamo leading to outbreaks of violence. Since December 2016 the country is experiencing a return to peace and the political climate is improving as the Government and the RENAMO agreed to cease fire while negotiations proceed. The truce has gone by for two and half months without major violation incidents.

#### UNDP Country Programme and UNDAF 2012-2016

Mozambique is a pilot country for DaO and UNDP Country Programme contributes to UNDAF objectives. The UNDAF is based on the Government's Five Year plan (Plano Quinquenal do Governo, PQG) 2010-2014, and was developed in parallel with the Mozambique Poverty Reduction Strategy 2011-2014 (PARP) which operationalizes the combating poverty objective and the promotion of the work culture enshrined in the PQG. The overall aim of the current UNDAF is supporting the Government of Mozambique to achieve the MDGs, in alignment with both national priorities and the United Nations conventions. For the first time, 21 United Nations organizations developed an UNDAF action plan to jointly contribute to a set of common outcomes, replacing organizations' individual action plans (such as country programme action plans). These commonly defined outcomes form a basis for the UNDP country programme and structure its results and resources framework. The overall goal is reduced poverty and disparities to improve the lives of the most disadvantaged people in Mozambique. To achieve this, outcomes were formulated in three

focus areas in which the United Nations has a comparative advantage: the Economic area, the Social area, and Governance area. In line with its mandate, UNDP is contributing to six of the eight UNDAF outcomes in the economic and governance focus areas, complementing the contributions of other organizations.

In the governance area, the UN is concentrated on deepening democracy, increasing voice and public accountability, improving governance at the local level and ensuring better engagement and participation by local populations in their own development. The specific contribution of UNDP consists, on the one hand, of strengthening democratic systems and institutions for accountability and human rights, focusing on duty bearers (Parliament and selected newly established Provincial Assemblies); the justice sector; and independent bodies such as the Technical Secretariat for Electoral Administration (STAE), the National Human Rights Commission and the National Crime Observatory (NCO) (Outcome 6). The target is to reduce corruption and increase accountability in public finance and service delivery, and access to justice through the development of innovative and more inclusive instruments for justice services, including alternatives to imprisonment and free legal aid. On the other hand, focusing on rights holders, UNDP is strengthening and improving the quality of participation of civil society, particularly their role in shaping and monitoring the development agenda, including through support to the existing mechanisms of formal provincial consultative bodies such as the development observatories, district consultative councils, and the African Peer Review Mechanism (APRM) national forum. UNDP is also providing support to vulnerable groups, making sure they are aware of their rights and helping them use justice services effectively (Outcome 7). Finally, following more than 10 years of support to decentralization, UNDP is now focusing on the operationalization of the decentralization policy and strategy through the strengthening of the capacity of local governments to deliver, monitor and report on annual plans and budgets, integrating cross-cutting issues as well as the development of knowledge-management systems for local governance; and the participation of civil society in these processes, in order to increase local authorities accountability (Outcome 8).

In geographic terms, to maximize the impact of previous and planned activities, UNDP is focusing its programmes geographically, wherever relevant, in all the districts of the provinces of Gaza, Nampula and Cabo Delgado in recognition of its long-standing presence in these provinces, which were also selected by the Government as a consequence of their being among the most vulnerable and critical to the development of Mozambique.

Within this overall framework, UNDP is selecting an Evaluation Team Member to conduct the Evaluation of UNDP Support to UNDAF Outcome 6: Strengthened democratic governance systems and processes

guarantee equity, rule of law and respect of human rights at all levels. UNDP interventions contributing to this UNDAF Outcome include the support to the Parliament's fiscal oversight role, to electoral processes, rule of law, access to justice, human rights and to fight against HIV as well as to the country's efforts in terms of coordination, implementation, monitoring and reporting on MDGs. These Terms of Reference provide information on the evaluation purpose and scope, the methodology and expected deliverables as well as on the profile of the Evaluation Team Leader and the selection process.

## **2. Evaluation Purpose**

UNDP commissions Outcome evaluations to capture and demonstrate evaluative evidence of its contributions to development results at the country level as articulated in both the UNDAF and UNDP Country Programme Document (CPD). These are evaluations carried out within the overall provisions contained in the UNDP Evaluation Policy and as part of the UNDP Mozambique Evaluation Plan.

The UNDP Office in Mozambique is conducting this evaluation of UNDP Mozambique Support to UNDAF Outcome 6 to capture evaluative evidence of the relevance, effectiveness, efficiency, sustainability and impact of current programming under the UNDAF Outcome 6 area, which will be used to strengthen existing programmes and to set the stage for new initiatives. In addition, the evaluation will address how UNDP intervention sought to strengthen the application of the human rights-based approach and mainstream gender in the CO efforts. The evaluation is expected to serve an important accountability function, providing national stakeholders and partners in Mozambique with an impartial assessment of the results of UNDP support. In addition, the evaluation is also expected to provide lessons learned and strategic direction to the upcoming decision-making and planning processes related to the next UNDP CPD 2017-2020.

## **3. Evaluation Scope**

The UNDP Mozambique Support to UNDAF Outcome 6 Evaluation will be conducted during the months of May and June of 2017, with a view to enhancing programmes, assessing UNDP specific support to development results while providing strategic direction and inputs to the preparation of the next UNDP intervention in Mozambique.

The Evaluation will assess the relevance, efficiency, effectiveness, sustainability and impact of UNDP intervention during the UNDAF 2012-2016 cycle. Specifically, the UNDP Mozambique Support to UNDAF Outcome 6 Evaluation will assess:

- 1) The relevance and strategic positioning of UNDP support to UNDAF Outcome 6 efforts to reduce poverty and disparities to improve the lives of the most disadvantaged people in Mozambique.
- 2) The frameworks and strategies that UNDP has devised for its support to the national priorities and the UNDAF and whether they are well conceived for achieving planned objectives.
- 3) The support UNDP intervention provided towards achieving UNDAF Outcome 6, through specific outputs and advisory services, and including contributing factors and constraints and assessment of progress to achieve UNDAF and CPD Outcome indicators' targets.
- 4) The progress under this UNDAF Outcome in the areas supported by UNDP and what can be derived in terms of lessons learned for future UNDP support to Mozambique.

The evaluation will consider the UNDAF Outcome 6, as stated in the UNDAF and the UNDP Mozambique Country Programme 2012-2016 namely: "Strengthened democratic governance systems and processes guarantee equity, rule of law and respect of human rights at all levels."

#### **4. Evaluation Questions**

The evaluation seeks to answer the following questions, focused around the evaluation criteria of relevance, effectiveness, efficiency, sustainability and impact:

##### *Relevance:*

- To what extent is UNDP intervention under UNDAF Outcome 6 responding to national priorities?
- To what extent is UNDP's engagement in the UNDAF Outcome 6 areas of intervention a reflection of strategic considerations, including UNDP's role in the particular development context in Mozambique and its comparative advantage vis-a-vis other partners?
- To what extent has UNDP's selected method of delivery been appropriate to the development context?
- To what extent is UNDP action under UNDAF Outcome 6 in line with the UNDP Strategic Plan 2014-2017?

##### *Effectiveness*

- What evidence is there that UNDP support has contributed towards an improvement in national government capacity, including institutional strengthening?
- Has UNDP worked effectively with other UN Agencies and other international and national delivery partners to achieve UNDAF Outcome 6 results?

- Taking into account the technical capacity and institutional arrangements of the UNDP Country Office, is UNDP well suited to providing support to national and local governments in Mozambique in its areas of intervention related to UNDAF Outcome 6?
- What contributing factors and impediments enhance or impede UNDP performance in these areas?

#### *Efficiency*

- Has UNDP's strategy and execution in the intervention areas been efficient and cost effective?
- Has there been an economical use of financial and human resources?
- Are the monitoring and evaluation systems that UNDP has in place helping to ensure that programmes are managed efficiently and effectively?

#### *Sustainability*

- What is the likelihood that UNDP interventions are sustainable?
- What mechanisms have been set in place by UNDP to support the government of Mozambique to sustain improvements made through these interventions?
- How should the UNDP interventions be enhanced to support central authorities, local communities and civil society in improving living conditions in the long term?
- What changes should be made in the current set of partnerships in order to promote long term sustainability?

#### *Impact*

- Has UNDP been effective in helping improve living conditions at the local level in Mozambique? Do these results aggregate into nationally significant results?
- What progress was made towards achievement of UNDAF Outcome 6?
- What has been the impact (including unexpected) of UNDP intervention for specific targeted groups and particularly for women?

The evaluation will also include an assessment of the extent to which programme design, implementation and monitoring have taken the following cross cutting issues into consideration:

#### *Human rights*

- To what extent have poor, indigenous, women and other disadvantaged and marginalized groups benefitted from UNDP's interventions?

### *Gender Equality*

- To what extent has gender been addressed in the design, implementation and monitoring of UNDP interventions under UNDAF Outcome 6?
- To what extent has UNDP support promoted positive changes in gender equality? Were there any unintended effects? Information collected should be checked against data from the UNDP country office' Results-oriented Annual Reports (ROAR) during the period 2012 - 2016.

Based on the above analysis, the evaluators are expected to provide overarching conclusions on UNDP results in support to UNDAF Outcome 6, as well as recommendations on how the UNDP Mozambique Country Office could adjust its programming, partnership arrangements, resource mobilization strategies, and capacities to ensure that the new Country Programme 2017-2020 achieves planned outcomes and is positioned for sustainable results.

### **5. Methodology**

The evaluation will be carried out by an external team of 2 evaluators: an Evaluation Team Leader and an Evaluation Team Member. The evaluation will engage a wide array of stakeholders and beneficiaries, including national and local government officials, donors, civil society organizations, academics and subject experts, private sector representatives and community members. In addition, field visits in selected provinces and districts will be conducted to meet with beneficiaries and assess results achieved at local level.

The evaluation is expected to take a "theory of change" (TOC) approach to determining causal links between the interventions that UNDP has supported, and observed progress in UNDP areas of intervention at national and local levels in Mozambique. The evaluators will develop a logic model of how UNDP interventions are expected to lead to improved national and local government. In the case of the UNDP Country Programme 2012-2016, a theory of change was not explicitly defined when the outcomes were established. The evaluators are expected to construct a theory of change for UNDP support to UNDAF Outcome 6, based against stated objectives and anticipated results, and more generally from UNDPs Strategic Plan 2014-2017 and capacity development strategies and techniques.

Evidence obtained and used to assess the results of UNDP support should be triangulated from a variety of sources, including verifiable data on indicator achievement, existing reports, evaluations and technical papers, stakeholder interviews, focus groups, surveys and site visits.

The following steps in data collection are anticipated:

### **5.1 Desk Review**

A desk review should be carried out of the key strategies and documents underpinning the overall work of UNDP in Mozambique. This includes reviewing the UNDAF and Country Programme documents, the UNDAF Action Plan, as well as a wide array of monitoring and evaluation documents, to be provided by the Country Office. More details on the documents to be analysed is provided in Annex 2.

The evaluators are expected to review pertinent strategies and reports developed by the Government of Mozambique that are relevant to UNDP's support. This includes the government's Five Year Plan, the Poverty Reduction Strategy, The Social and Economic Plans and other national reports, to be made available by the Country Office.

The evaluators will examine all relevant documentation concerning UNDP interventions under the UNDAF Outcome 6 area, including project documents, annual workplans, reports, evaluations, and technical assessment reports. In addition, evaluators will take into account the CPD/UNDAF/Strategic Plan Results Frameworks for a description of intended results UNDP is contributing to, the baseline for these results and the indicators and targets used.

### **5.2 Field Data Collection**

Following the desk review, the evaluators will build on the documented evidence through an agreed set of field and interview methodologies, including:

- Interviews with key partners and stakeholders
- Field visits to project sites and partner institutions
- Survey questionnaires where appropriate
- Participatory observation, focus groups, and rapid appraisal techniques

### **6. Deliverables**

The following reports and deliverables are required for the evaluation of UNDP support to UNDAF Outcome 6:

- Inception Report
- Draft Evaluation Report
- Presentation of the main findings at a meeting with the main national counterparts
- Final Evaluation report



One week after contract signing, the team of consultant will produce the **inception report** containing the proposed theory of change for UNDP work under UNDAF Outcome 6. The inception report should include an evaluation matrix presenting the evaluation questions, data sources, data collection, analysis tools and methods to be used. Annex 3 provides a simple matrix template. The inception report should detail the specific timing for evaluation activities and deliverables, and propose specific site visits and stakeholders to be interviewed. Protocols for different stakeholders should be developed. The inception report will be discussed and agreed with the UNDP country office before the evaluators proceed with site visits.

The draft evaluation report will be shared with stakeholders and presented in a meeting that UNDP CO will organize with the main national counterparts. Feedback received should be taken into account when preparing the final report. The evaluators will produce an 'audit trail' indicating whether and how each comment received was addressed in revisions to the Final Report.

The evaluation reports should follow the following template (more guidance on the report template is provided under annex 5):

Title

Table of contents

Acronyms and abbreviations

Executive Summary

Introduction

Description of the Intervention

Evaluation scope and objectives

Evaluation approach and methods

Data analysis

Findings and conclusions

Recommendations

Lessons learned

Annexes

## **7. Evaluation Team Composition and Required Competencies**

The evaluation will be undertaken by a team of 2 external evaluators: 1 Evaluation Team Leader and 1 Evaluation Team Member. Both international and national consultants can be considered for these positions. These ToRs provide information on the profile and expertise of the Evaluation Team Member.

### **Required qualifications of the Evaluation Team Member:**

- Minimum Master's degree in international development, political science, public administration, regional development/planning or other social science;
- Minimum 5 years' experience carrying out development evaluations for government and civil society in the democratic governance area;
- Experience working in or closely with UN agencies, especially UNDP, is preferred;
- Sound knowledge of results-based management systems, and monitoring and evaluation methodologies;
- Strong communication and reporting skills;
- Excellent reading and writing skills in English;
- Fluent in Portuguese;
- Understanding of the development context in Mozambique, especially in the democratic governance area is considered as a strong asset.

The **Evaluation Team Member** will work under the coordination and guidance of the Evaluation Team Leader and will, *inter alia*, perform the following tasks:

- Review the relevant documentation;
- Act as 'translator' (Portuguese to English and vice versa) for the Team Leader, as necessary;
- Participate and contribute to the design of the evaluation methodology;
- Collaborate with the UNDP CO in scheduling the meetings and interviews;
- Undertake field visits if required;
- Undertake observation and other evaluative activities as required by the agreed evaluation methodology;
- Draft parts of the evaluation report under the guidance of Team Leader; and
- Assist Team Leader in finalizing the evaluation report through incorporating suggestions received on draft related to his/her assigned sections.

## **Evaluation Ethics**

The evaluation must be carried out in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation' and sign the Ethical Code of Conduct for UNDP Evaluations. In particular, evaluators must be free and clear of perceived conflicts of interest. To this end, interested consultants will not be considered if they were directly and substantively involved, as an employee or consultant, in the formulation of UNDP strategies and programming relating to the programmes under review. The code of conduct and an agreement form to be signed by each consultant are included in Annex 4.

## **8. Implementation Arrangements**

The UNDP Mozambique Country Office will be responsible for the management of the evaluation team. UNDP will designate an Evaluation Manager for the evaluation and any additional staff to assist in facilitating the process (e.g., providing relevant documentation, arranging visits/interviews with key informants, etc.). An Evaluation Reference Group composed of key stakeholders will be established and work closely with the Evaluation Manager to ensure the process is carried out as per guidelines. The Evaluation Manager will arrange introductory meetings within UNDP and Governance Unit Programme Officers will establish initial contacts with government partners and project staff. The consultants will take responsibility for setting up meetings and conducting the evaluations, subject to advanced approval of the methodology submitted in the inception reports. UNDP Regional Service Center for Africa will be involved to assure quality of the process and outputs of the evaluation.

The UNDP Country Office will take responsibility for the approval of the final evaluation report in close consultation with the Evaluation Reference Group. The UNDP Country Office will develop a management response to the evaluation within six weeks of report finalization.

While the Country Office will provide some logistical support during the evaluation, for instance assisting in setting interviews with senior government officials, it will be the responsibility of the evaluators to logistically and financially arrange their travel to and from relevant project sites and to arrange most interviews. Planned travels and associated costs will be included in the Inception Report, and agreed with the Country Office.

## **9. Time-Frame for the Evaluation Process**

The evaluation is expected to take 25 working days for each of the 2 consultants, over a period of 7 weeks starting in May 2017. A tentative date for the meeting to present the draft report and findings is mid-June

2017, and the final evaluation report is due by end of June 2017. The following table provides an indicative breakout for activities and delivery:

Activity	Deliverable	Time period for task completion
Review materials and develop work plan	Inception report and evaluation matrix	Week 1
Participate in an Inception Meeting with UNDP Mozambique CO		
Draft inception report		
Review Documents and stakeholder consultations	Draft evaluation report Debriefing meeting presentation	From week 2 to week 5
Interview stakeholders		
Conduct field visits		
Analyse data		
Develop draft evaluation report		
Present draft Evaluation Report at the debriefing meeting		
Finalize and submit evaluation report incorporating additions and comments provided by stakeholders		
	Final evaluation report	From week 6 to week 7
	total	7 weeks

#### 10. Selection process

The selection of the evaluation team will be done following UNDP procurement rules and regulations. UNDP will assess the consultants' profile, qualifications and skills to ensure high level consultants are recruited using the below evaluation criteria. Consultants are requested to submit a technical proposal illustrating the methodology and approach that will be used to conduct the assignment.

<b>1.</b>	<b>Profile of the Evaluation Team Member</b>	<b>Max 70 points</b>
	Minimum Master's degree in international development, political science, public administration, regional development/planning, or other social science	10
	Minimum 5 years' experience carrying out development evaluations for government and civil society in the democratic governance area	15

Sound knowledge of results-based management systems, and monitoring and evaluation methodologies	15
Strong communication and reporting skills in English	15
Fluency in Portuguese	15

<b>2. Adequacy of Technical Proposal</b>	<b>Max 30 points</b>
Have the important aspects of the task been addressed in sufficient detail in the technical proposal?	8
Are the different components of the evaluation mission adequately weighted relative to one another?	7
Is the scope of task well defined and does it correspond to the TOR?	7
Work plan - Is the presentation clear and is the sequence of activities and the planning logical, realistic and promise efficient implementation to the project?	8

#### **Application Submission Process:**

The application submission is in 2 steps:

**Step 1:** Interested individual consultants must include the following documents when submitting the applications in UNDP job shop (*Please note that only 1 (one) file can be uploaded therefore please include all docs in one file*):

- Personal History Form (P11), indicating all past experience from similar projects, as well as the contact details (email and telephone number) of the candidate and at least three (3) professional references (the template can be downloaded from this link: [http://europeandcis.undp.org/files/hrforms/P11\\_modified\\_for\\_SCs\\_and\\_ICs.doc](http://europeandcis.undp.org/files/hrforms/P11_modified_for_SCs_and_ICs.doc)).
- Brief description of why the individual considers him/herself as the most suitable candidate for the assignment and a methodology on how s/he will approach and complete the assignment.

#### **Step 2: Submission of Financial Proposal**

Applicants are instructed to submit their financial proposals, a lump sum, in US Dollars for this consultancy to [procurement.mozambique@undp.org](mailto:procurement.mozambique@undp.org) using the financial proposal template available here: [http://procurement-notice.undp.org/view\\_file.cfm?doc\\_id=45780](http://procurement-notice.undp.org/view_file.cfm?doc_id=45780). The proposals should be sent via email with the following subject heading: **"Evaluation of UNDP Mozambique Support to UNDAF Outcome 6"** by the deadline for this vacancy. Proposals received after the deadline will not be considered. In order

to assist the requesting unit in the comparison of financial proposals, the financial proposal should be all-inclusive and include a breakdown. The term 'all-inclusive' implies that all costs (professional fees, travel related expenses, communications, utilities, consumables, insurance, visa, cost of living in duty station, etc.) that could possibly be incurred by the Consultant are already factored into the financial proposal.

#### **Application Evaluation Process**

Individual consultants will be evaluated based on the cumulative analysis methodology (weighted scoring method), where the award of the contract will be made to the individual consultant whose offer has been evaluated and determined as:

- Responsive/compliant/acceptable; and
- Having received the highest score out of a pre-determined set of technical and financial criteria specific to the solicitation.

Technical Criteria weight: [70%].

Financial Criteria weight: [30%]

Only Individual Consultants obtaining a minimum of 70 points on the Technical evaluation would be considered for the Financial Evaluation.

#### **Financial Criteria**

The following formula will be used to evaluate financial proposal:

$p = y (\mu/z)$ , where

- $p$  = points for the financial proposal being evaluated;
- $y$  = maximum number of points for the financial proposal;
- $\mu$  = price of the lowest priced proposal;
- $z$  = price of the proposal being evaluated.

UNDP is applying fair and transparent selection process that would take into account both the technical qualification of Individual Consultants as well as their price proposals. The contract will be awarded to the candidate obtaining the highest combined technical and financial scores.

UNDP retains the right to contact references directly.

Payments will be made only upon confirmation of UNDP on delivering on the contract obligations in a satisfactory manner.

Individual Consultants are responsible for ensuring they have vaccinations/inoculations when travelling to certain countries, as designated by the UN Medical Director. Consultants are also required to comply with the UN security directives set forth under [dss.un.org](http://dss.un.org)

Due to large number of applications we receive, we are able to inform only the successful candidates about the outcome or status of the selection process.

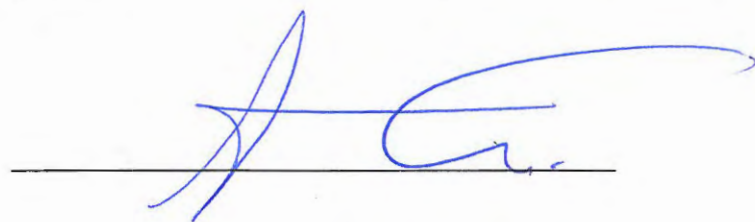
#### **11. Schedule of payments:**

The following payment schedule is foreseen:

Key Deliverables	Payment schedule/amounts
1. Inception Report Includes detailed Evaluation Work Plan, Evaluation Matrix & Tools, List of Interviewees.	20% of total value of contract (upon approval of inception report)
2. Draft Evaluation Report	40% of total value of contract (upon approval of draft report)
3. Final Evaluation Report	40% of total value of contract (upon approval of report)

#### **12. Signature and approval of the ToRs:**

Mr. Abdourahmane Boubacar Dia (UNDP Deputy Country Director a.i.)



Date: 11 / 07 / 2017

**ANNEX 1 - UNDP CPD/UNDAF outcomes, outputs and Implementing Partners**

UNDP projects under UNDAF Outcome 6				
UNDAF Outcomes	UNDP CPD Outcomes and Portfolio	UNDAF Outputs	UNDP Projects	Main Implementing Partners
Outcome 6: Strengthened democratic governance systems and processes guarantee equity, rule of law and respect of human rights at all levels	Outcome 62: Democratic Processes	Output 6.1	Parliament	National Assembly
		Output 6.2	Elections	Technical Secretariat for Electoral Administration
		Output 6.6	Justice	Ministry of Justice
		Output 6.6	Police	Ministry of Interior
		Output 6.4	Country Programme Coordination	Ministry of Foreign Affairs
		Output 6.5	Human Rights	National Human Rights Commission
		Output 6.4	MDG	Ministry of Economy and Finance
		Output 6.5	HIV	National Council for Fight Against HIV/AIDS



## **ANNEX 2 - DOCUMENTS TO BE CONSULTED**

- United Nations Development Assistance Framework 2012 – 2016
- UNDP Country Programme Document 2012 – 2016
- UNDAF Action Plan 2012 – 2016
- UNDAF Mid-term Review and Strategic Reflection
- UNDP Strategic Plan 2017-2020
- Government of Mozambique 5 Years Plan 2010-2014
- Government of Mozambique 5 Years Plan 2015-2019
- Government of Mozambique Poverty Reduction Strategy (PARP) 2011-2014
- UNDP PME Handbook
- UNDP Evaluation Guide and addendum
- UNDG RBM Handbook
- UNDG Ethical Code of Conduct of Evaluators
- Project Documents, reports and project evaluation reports
- UNDP Mozambique Results-Oriented Annual Reports (ROAR)

### Annex 3: EVALUATION MATRIX

Evaluation matrices are useful tools for planning and conducting evaluations; helping to summarize and visually present an evaluation design and methodology for discussions with stakeholders. In an evaluation matrix, the evaluation questions, data sources, data collection, analysis tools and methods appropriate for each data source are presented, and the standard or measure by which each question will be evaluated is shown.

Relevant evaluation criteria	Key Questions	Specific Sub-Questions	Data Sources	Data collection Methods/Tools	Indicators/ Success Standard	Methods for Data Analysis

#### Annex 4: Ethical Code of Conduct for UNDP Evaluations

##### Evaluators:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. 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.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. 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 stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

##### Evaluation Consultant Agreement Form<sup>1</sup>

##### Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: \_\_\_\_\_

Name of Consultancy Organization (where relevant): \_\_\_\_\_

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at \_\_\_\_ on \_\_\_\_\_

Signature: \_\_\_\_\_

<sup>1</sup> [www.unevaluation.org/unegcodeofconduct](http://www.unevaluation.org/unegcodeofconduct)

## **Annex 5. Evaluation Report Template and Quality Standards**

This evaluation report template is intended to serve as a guide for preparing meaningful, useful and credible evaluation reports that meet quality standards. It does not prescribe a definitive section-by-section format that all evaluation reports should follow. Rather, it suggests the content that should be included in a quality evaluation report. The descriptions that follow are derived from the UNEG 'Standards for Evaluation in the UN System' and 'Ethical Standards for Evaluations'.

The evaluation report should be complete and logically organized. It should be written clearly and understandable to the intended audience. In a country context, the report should be translated into local languages whenever possible. The report should also include the following:

**Title and opening pages** - Should provide the following basic information:

- Name of the evaluation intervention
- Time frame of the evaluation and date of the report
- Countries of the evaluation intervention
- Names and organizations of evaluators
- Name of the organization commissioning the evaluation
- Acknowledgements

**Table of contents** - Should always include boxes, figures, tables and annexes with page references.

**List of acronyms and abbreviations**

**Executive summary** - A stand-alone section of two to three pages that should:

- Briefly describe the intervention (the project(s), programme(s), policies or other interventions) that was evaluated.
- Explain the purpose and objectives of the evaluation, including the audience for the evaluation and the intended uses.
- Describe key aspect of the evaluation approach and methods.
- Summarize principle findings, conclusions, and recommendations.

**Introduction** - Should:

- Explain why the evaluation was conducted (the purpose), why the intervention is being evaluated at this point in time, and why it addressed the questions it did.
- Identify the primary audience or users of the evaluation, what they wanted to learn from the evaluation and why, and how they are expected to use the evaluation results.
- Identify the intervention (the project(s) programme(s), policies or other interventions) that was evaluated—see upcoming section on intervention.
- Acquaint the reader with the structure and contents of the report and how the information contained in the report will meet the purposes of the evaluation and satisfy the information needs of the report's intended users.

**Description of the intervention** - Provides the basis for report users to understand the logic and assess the merits of the evaluation methodology and understand the applicability of the evaluation results. The description needs to provide sufficient detail for the report user to derive meaning from the evaluation. The description should:

- Describe what is being evaluated, who seeks to benefit, and the problem or issue it seeks to address.
- Explain the expected results map or results framework, implementation strategies, and the key assumptions underlying the strategy.
- Link the intervention to national priorities, UNDAF priorities, corporate multiyear funding frameworks or strategic plan goals, or other programme or country specific plans and goals.
- Identify the phase in the implementation of the intervention and any significant changes (e.g., plans, strategies, logical frameworks) that have occurred over time, and explain the implications of those changes for the evaluation.
- Identify and describe the key partners involved in the implementation and their roles.
- Describe the scale of the intervention, such as the number of components (e.g., phases of a project) and the size of the target population for each component.
- Indicate the total resources, including human resources and budgets.
- Describe the context of the social, political, economic and institutional factors, and the geographical landscape within which the intervention operates and explain the effects (challenges and opportunities) those factors present for its implementation and outcomes.
- Point out design weaknesses (e.g., intervention logic) or other implementation constraints (e.g., resource limitations).

**Evaluation scope and objectives** - The report should provide a clear explanation of the evaluation's scope, primary objectives and main questions.

- **Evaluation scope**—The report should define the parameters of the evaluation, for example, the time period, the segments of the target population included, the geographic area included, and which components, outputs or outcomes were and were not assessed.
- **Evaluation objectives**—The report should spell out the types of decisions evaluation users will make, the issues they will need to consider in making those decisions, and what the evaluation will need to achieve to contribute to those decisions.
- **Evaluation criteria**—The report should define the evaluation criteria or performance standards used. The report should explain the rationale for selecting the particular criteria used in the evaluation.
- **Evaluation questions**—Evaluation questions define the information that the evaluation will generate. The report should detail the main evaluation questions addressed by the evaluation and explain how the answers to these questions address the information needs of users.

**Evaluation approach and methods** - The evaluation report should describe in detail the selected methodological approaches, methods and analysis; the rationale for their selection; and how, within the constraints of time and money, the approaches and methods employed yielded data that helped answer the evaluation questions and achieved the evaluation purposes. The description should help the report users judge the merits of the methods used in the evaluation and the credibility of the findings, conclusions and recommendations. The description on methodology should include discussion of each of the following:

- **Data sources**—The sources of information (documents reviewed and stakeholders), the rationale for their selection and how the information obtained addressed the evaluation questions.
- **Sample and sampling frame**—If a sample was used: the sample size and characteristics; the sample selection criteria; the process for selecting the sample; if applicable, how comparison and treatment groups were assigned; and the extent to which the sample is representative of the

entire target population, including discussion of the limitations of the sample for generalizing results.

- **Data collection procedures and instruments**—Methods or procedures used to collect data, including discussion of data collection instruments (e.g., interview protocols), their appropriateness for the data source and evidence of their reliability and validity.
- **Performance standards**—The standard or measure that will be used to evaluate performance relative to the evaluation questions (e.g., national or regional indicators, rating scales).
- **Stakeholder engagement**—Stakeholders' engagement in the evaluation and how the level of involvement contributed to the credibility of the evaluation and the results.
- **Ethical considerations**—The measures taken to protect the rights and confidentiality of informants (see UNEG 'Ethical Guidelines for Evaluators' for more information).
- **Background information on evaluators**—The composition of the evaluation team, the background and skills of team members and the appropriateness of the technical skill mix, gender balance and geographical representation for the evaluation.
- **Major limitations of the methodology**—Major limitations of the methodology should be identified and openly discussed as to their implications for evaluation, as well as steps taken to mitigate those limitations.

**Data analysis** - The report should describe the procedures used to analyse the data collected to answer the evaluation questions. It should detail the various steps and stages of analysis that were carried out, including the steps to confirm the accuracy of data and the results. The report also should discuss the appropriateness of the analysis to the evaluation questions. Potential weaknesses in the data analysis and gaps or limitations of the data should be discussed, including their possible influence on the way findings may be interpreted and conclusions drawn.

**Findings and conclusions** - The report should present the evaluation findings based on the analysis and conclusions drawn from the findings.

- **Findings**—Should be presented as statements of fact that are based on analysis of the data. They should be structured around the evaluation criteria and questions so that report users can readily make the connection between what was asked and what was found. Variances between planned and actual results should be explained, as well as factors affecting the achievement of intended results. Assumptions or risks in the project or programme design that subsequently affected implementation should be discussed.
- **Conclusions**—Should be comprehensive and balanced, and highlight the strengths, weaknesses and outcomes of the intervention. They should be well substantiated by the evidence and logically connected to evaluation findings. They should respond to key evaluation questions and provide insights into the identification of and/or solutions to important problems or issues pertinent to the decision making of intended users.

**Recommendations** - The report should provide practical, feasible recommendations directed to the intended users of the report about what actions to take or decisions to make. The recommendations should be specifically supported by the evidence and linked to the findings and conclusions around key questions addressed by the evaluation.

They should address sustainability of the initiative and comment on the adequacy of the project exit strategy, if applicable.

**Lessons learned** - As appropriate, the report should include discussion of lessons learned from the evaluation, that is, new knowledge gained from the particular circumstance (intervention, context outcomes, even about evaluation methods) that are applicable to a similar context. Lessons should be concise and based on specific evidence presented in the report.

**Report annexes** - Suggested annexes should include the following to provide the report user with supplemental background and methodological details that enhance the credibility of the report:

- ToR for the evaluation
- Additional methodology-related documentation, such as the evaluation matrix and data collection instruments (questionnaires, interview guides, observation protocols, etc.) as appropriate
- List of individuals or groups interviewed or consulted and sites visited
- List of supporting documents reviewed
- Project or programme results map or results framework
- Summary tables of findings, such as tables displaying progress towards outputs, targets, and goals relative to established indicators
- Short biographies of the evaluators and justification of team composition
- Code of conduct signed by evaluators