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FINAL EVALUATION REPORT

Evaluation of UNDP Mozambique support to UNDAF 2012-2016 OUTCOME 6: Strengthened democratic governance systems and processes guarantee equity, rule of law and respect of human rights at all levels

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Disclaimer: the contents of this report reflect the interpretation of the evaluation team and do not necessarily reflect the position of the evaluation commissioning agency.

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LIST OF ACRONYMS AND ABBREVIATIONS

CNCS	Conselho Nacional de Combate ao Sida (National Aids Council)
CNE	Comissão Nacional Eleitoral (National Election Commission)
CO	Country Office
CP	Country Programme
CSO	Civil Society Organization
DNEAP	Direcção Nacional de Estudos e Análise de Politicas (National Directorate for Studies and Policy Analysis)
DNP	Direcção Nacional de Planificação (National Directorate for Planning)
DNPO	Direcção Nacional de Plano e Orçamento (National Directorate for Planning and Budgeting)
DOIC	Departamento Organizações Internacionais e Conferências (Department for International Organizations and Conferences)
FDC	Fundo para o Desenvolvimento Comunitário (Community Development Fund)
FGD	Focus Group Discussion
GDP	Gross domestic product
GoM	Governo de Moçambique (Government of Mozambique)
HD	Human Development
HDR	Human Development Reports
HIV / Aids	Human Immunodeficiency Virus and Acquired Immune Deficiency Syndrome
HR	Human Rights
HRB	Human Rights Based
ILO	International Labour Organization
INE	Instituto Nacional de Estatística (National Institute of Statistics)
IOM	International Organization for Migration
IPAJ	Instituto de Patrocínio e Assistência Jurídica (Institute of Legal Aid and Assistance)
KII	Key Informant Interview
MDG	Millennium Development Goals

MDM	Movimento Democrático de Moçambique (Democratic Movement of Mozambique)
MEF	Ministério de Economia e Finanças (Ministry of Economy and Finance)
MINEC	Ministério dos Negócios Estrangeiros e Cooperação (Ministry of Foreign Affairs and Cooperation)
MINT	Ministério do Interior (Ministry of Interior)
MoE	Ministério de Educação (Ministry of Education)
MoJ	Ministério da Justiça (Ministry of Justice)
MPD	Ministério do Planeamento e Desenvolvimento (Ministry of Planning and Development)
NCHR	Comissão Nacional dos Direitos Humanos (National Commission of Human Rights)
NCO	National Crime Observatory
NHDR	National Human Development Report
NIM	National Implementation Modality
ODA	Official Development Assistance
OECD-DAC	Organisation for Economic Co-operation and Development - Development Assistance Committee
OGE	Orçamento Geral do Estado (State Budget)
PALOP	Países Africanos de Língua Oficial Portuguesa (Portuguese-speaking African countries)
PARP	Plano de Acção para Redução da Pobreza (Poverty Reduction Action Plan)
PFM	Public Financial Management
PPP	Public Private Partnership
PRM	Polícia da República de Moçambique (Police of the Republic of Mozambique)
Prodoc	Programme Document
RBM	Results-Based Management
ROAR	Results Oriented Annual Report
SAI	Supreme Audit Institutions
STAE	Secretariado Técnico de Administração Eleitoral (Technical Secretariat for Electoral Administration)

TA	Tribunal Administrativo (Administrative Court)
ToC	Theory of Change
ToR	Terms of Reference
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNFPA	United Nations Population Fund
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNWomen	United Nations Entity for Gender Equality and the Empowerment of Women
UTIPE	Unidade Técnica de Implementação do Plano Estratégico da Polícia da República de Moçambique (Technical Unit for the Implementation of the Strategic Plan of the Police of the Republic of Mozambique)

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1 EXECUTIVE SUMMARY

1.1 The Mozambican context

According to the ToR for the consultancy, between 2000 and 2015, Mozambique registered an average GDP growth of over 7%, placing it thus as one of the ten fastest growing economies in the world. This growth, attributed to a considerable extent to the expansion of extractive industries, fuelled expectations that the well-being of the population could 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 category and most of the people in Mozambique continue to live in poverty, with women and children being the most vulnerable. According to the ToR, "*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 have 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.*"[1]

The ToR state further that: "*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 (FRELIMO) and Renamo opposition in the last couple of years (since 2013) have threatened the political stability of the country. In 2014, important agreements have been reached between the two parties (FRELIMO and RENAMO), and elections in October 2014 resulted in increased seats of RENAMO and MDM within the parliament*". [2]

[1] ToR for the present evaluation, p. 1

[2] Ibidem, text in brackets () added by the authors

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 FRELIMO and RENAMO agreed to cease fire while negotiations proceed.

1.2 UNDAF support to national priorities

The Mozambican Poverty Reduction Action Plan, PARP 2011-2014 considered governance – specifically, a good business environment, a quality legal framework, decentralization and deconcentration of key functions and resources to the local level, as well as democratic systems and the respect of rule of law – as "supporting pillar" or pre-condition for the achievement of the three general PARP objectives aiming at reducing poverty and vulnerability in Mozambique.

In order to support the Mozambican government in achieving its goal, the UNDAF 2012 – 2015 included the "governance area" with three distinct planned outcomes. Outcome 6 was defined as "**Strengthened democratic governance systems and processes guarantee equity, rule of law and respect of human rights at all levels".**

In 2016, an evaluation was carried out to find out the degree to which UNDAF 2012 – 2016 results have been/ or not achieved. The evaluation team takes the view that the following findings also apply to the evaluation of UNDP's contributions to UNDAF Outcome 6:

- *The Outcome 6 statement "is too wide to be easily articulated into a set of operational programmes that would give reasonable guarantees to its achievement*." [3]
- "*Despite the fact that each of the 7 outputs under Outcome 6 being very ambitious, and could be derived into objectives for full programmes to be implemented at country level, their sum remains insufficient to fully reach outcome 6 as there is poor causal link from output to outcome."*[4]
- "*The information on the effects of the UN intervention is not sufficient to determine the level of progress made in this field*".[5]

In relation to the UNDP contribution to outcome 6, the evaluation found indications of positive results and good practice in the following areas:

[3] KPMG, Evaluation of UNDAF 2012-2016, Final report, November 2015, p. 61
[4] Ibidem
[5] Ibidem

A. Capacity Development, with several partners providing examples of how their improved capacity resulted in improved performance
B. Long-standing relationships with some partners means that UNDP has both trust and credibility
C. Genuine interest from UNDP to support the partners in a responsive mode where possible
D. Ability to provide funding plus technical support, and good procurement capacity

The results stem from the achievements of the individual projects, which have obtained individually different results. The absence of a clear strategy linking the different projects to the Outcome 6 statement, and the wide interpretation of the Outcome 6 statement itself, does not allow to make conclusive findings regarding the aggregated contribution of the different projects to Outcome 6.

While UNDP has executed 8 projects during the UNDAF cycle slotted under Outcome 6, for a total budget of US$ 19 million, the projects are largely implemented vertically, without horizontal connections, and therefore obtaining project-specific results. The degree in which the projects achieved their results varies considerably: while some had very limited success, others attained their envisaged results partially or nearly totally. While the changes resulting from some of the projects may be relevant to the respective target groups or institutions, their sum doesn't contribute significantly to outcome 6 as they are not interconnected and were achieved in very different areas, what makes the creation of synergies among several impacts very difficult.

As already identified in the UNDAF evaluation, there is a very scant evidence base to present credible findings as there is nearly no statistical data available about the changes caused by the projects. This refers to measuring the increase of capacity of trained government institutions, for example through pre- and post-training tests, as well as measuring changes at the local level, such as the gender-specific increase in awareness of Human Rights, election processes or HIV/Aids prevention and treatment in the targeted districts.

Furthermore, reports on results of the activities were not available before or during the evaluation, only on realized activities and the additional time to research the evidence base exceeded the period for the evaluation work. This limited the usefulness of the evaluation given the team was not able to carry out the proposed and approved methodology.

The team attempted to compensate the lack of availability of statistic data and reports with qualitative perceptions from the key stakeholders, using the "Most Significant Change" Approach. However, information obtained during the interviews with representatives from the involved institutions could not be triangulated with information from the direct beneficiaries or informants at district level as it was not possible to visit the districts.

1.3 Key findings and recommendations

The evaluation key findings are:

1. The individual projects are relevant to the Outcome 6 statement, and respond to the government priorities and those of the different partners.
2. UNDP is very efficient in disbursing funds in a timely manner to its partners with an overall average of 84% funding from a portfolio with a total planned budget of USD 23.4 million, representing USD 19.7 million allocated to the projects. Of this amount, the average delivery rate to date is 90%, while some projects will finish at the end of the year. The efficiency of the technical assistance deployed to several government departments varies depending on the individual abilities and capacities, ranging from very high to very low.
3. Institutional capacity development appears as one of the main results achieved under outcome 6. However, there is no monitoring system in place that would allow measuring the changes in knowledge, attitude and practice that are envisaged through the capacity building measures, nor resulting changes in institutional practices, service provision or at grassroots levels. The M&E tools available are limited to measuring the realization of capacity building activities but not the resulting changes.
4. Few partners have internal capacity to train its own staff and to continue capacity development without external support.
5. The projects are not supported by a strategy to enable a mutually reinforcing collaboration and horizontal linkages amongst projects under Outcome 6, so individual project execution is done in relative isolation as regards to the other projects.
6. Some partners are very satisfied with their collaboration with UNDP, others are not. Very few partners know each other, are informed about how their activities are linked to each other or how they may be interrelated.
7. Even though the difference between funds available and funds to be mobilized should be clear to all partners, some partners report they are not aware of the amount available.
8. The progress of the projects is measured through completion of activities and not through the resulting changes. There is a lack of understanding and commitment to the concept of "achieving results", and excessive focus on compliance versus programmatic results.
9. Most of the institutions can continue to apply at least the knowledge gained, but most of the interventions are not designed to be sustainable, nor do they have an exit or hand-over strategy, which makes the prospects of continued benefits after the end of the funding unlikely.
10. The importance of cross-cutting or transversal issues, such as gender and HIV/AIDS, is recognized by the Country Office. However, these aspects are not integrated into the

design of the interventions, nor are they incorporated in the work of the partner institutions. More needs to be done to integrate gender responsiveness in programmes.

11. There is no evaluative evidence that the projects contributed measurably to outcome 6 "Strengthened democratic governance systems and processes guarantee equity, rule of law and respect of human rights at all levels". The two main reasons are (i) they don't reinforce themselves mutually as their results are in very different areas and (ii) the underlying Theory of Change, ToC, has a rather mechanistic approach regarding human development and doesn't take sufficiently into account that achieving outcomes involves overcoming adaptive challenges, related to people and highly dependent factors like personal and institutional growth, behaviour change and dealing with related resistance to it and new ways of relating to each other.

The key recommendations are:

1. UNDP is encouraged to develop a strategy on how the entire Outcome 6 portfolio will interact to contribute to the UNDAF Outcome.
2. Use the joint planning sessions with partners to agree on results to be jointly achieved and distribute clearly the roles and responsibilities of each partner in achieving the anticipated results (not in implementing certain activities) and identifying how each partner can provide added-value to strengthen the joint efforts, using the existing instruments and tools that UNDP has available (e.g. PME handbook).
3. To ensure a common language and understanding amongst all actors, additional RBM training should be provided to UN agencies and partners regarding M&E and RBM.
4. UNDP should maintain the good collaboration with the satisfied partners and strive to achieve comparable results with all partners through a clear partnership strategy for achieving the Outcome.
5. UNDP is encouraged to review its M&E system and ensure it can provide proper evidence of results. It also needs to improve its communication and visibility regarding the results achieved.
6. It is necessary to integrate a clear perspective of "results" and the corresponding level of commitment to results for every project, based on a shared understanding of RBM.
7. UNDP should explain clearly the funding available to its partners as well as the difference between available funds and funds still to be mobilized.
8. An expert in transversal issues could be hired on temporary basis to support the governance area in mainstreaming HIV/AIDS and gender into programming.
9. UNDP is encouraged to use this evaluation to review and update its strategies regarding: a) partnerships b) capacity development c) M&E and RBM d) strategic planning e)

communication, which should be owned, designed and developed by the management team.

10. UNDP and its partners are encouraged to also take the adaptive challenges in account when planning project activities and to reflect how they will overcome “resistance to change”. It is considered useful to hire a change management consultant that could support UNDP in that aspect.

2 INTRODUCTION

UNDP's corporate policy is to evaluate its development cooperation with the host government on a regular basis in order to assess whether and how UNDP interventions contribute to the achievement of agreed outcomes, i.e. changes in the development situation and ultimately in people's lives. UNDP defines an outcome-level result as "the intended changes in development conditions that result from the interventions of governments and other stakeholders, including international development agencies. They are medium-term development results created through the delivery of outputs and the contributions of various partners and non-partners. Outcomes provide a clear vision of what has changed or will change in the country, a particular region, or community within a period of time. They normally relate to changes in institutional performance or behaviour among individuals or groups".[6]

As an outcome-level evaluation therefore, the primary focus of this evaluation is on the programme outcomes as defined above. However, to understand whether everything was done to contribute to the achievement of outcomes, the evaluation assessed how well the interventions were designed and planned; what activities were carried out; what outputs were delivered; how processes were managed; what monitoring systems were put in place; how UNDP interacted with its partners, and, above all, what changes have taken place at the outcome level.

This report is an evaluation of the UNDP contribution to UNDAF Outcome 6. It is not a detailed project evaluation nor a project portfolio evaluation of the eight different projects that fall under the UNDAF Outcome 6. The main unit of analysis throughout the report is therefore the intended changes in the development conditions as defined by UNDP. This report draws from the description of the methodology and theory of change that were described in the inception report presented to UNDP prior to the fielding of the evaluation team in Mozambique and which is attached.

2.1 The UNDP country Programme and UNDAF 2012 – 2016

The overall objective of the UNDAF 2012-2016 was to support the Government of Mozambique to achieve the MDGs, in alignment with national policies such as the PARP or the Five Year Plan and the UN conventions. The UNDAF was developed by 21 UN organizations and replaced thus

[6] UNDP (2011); Outcome-level Evaluation: A companion guide to the handbook on planning monitoring and evaluating for development results for programme units and evaluators, p 3.

the organization's individual action plans. The jointly formulated outcomes formed the basis for the UNDP country programme and structured its results and resource framework.

In the governance area, the UN 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.

UNDP's contribution to outcome 6 consisted in strengthening democratic systems and institutions for accountability and human rights, focusing on duty bearers, justice sector, as well as independent bodies such as Technical Secretariat for Electoral Administration (STAE) and National Crime Observatory (NCO) (Outcome 6).

In geographical terms, the focus of UNDP intervention is mainly in Cabo Delgado, Nampula and Gaza, due to its long - standing presence as well as for being part of the most vulnerable provinces in the country.

The **UNDAF Outcome 6 encompasses the following 7 outputs** as per details of the UNDAF Action Plan p. 89. Since UNDP is one, but not the only, UN agency contributing to Outcome 6, the specific roles and key actions of UNDP are specified hereafter:

Table 1: UNDF outputs and UNDP's role and key actions

Output Nr	UNDAF Outputs	UNDP role and key action	Coverage
6.1	The Specialised Parliamentary Commissions are strengthened to initiate and monitor the application of legislation and budget oversight	Provide technical support on PFM and service delivery to national Parliament and Provincial Assemblies, and to national Parliament on legislation matters	Central, Gaza, Nampula, Cabo Delgado
6.2	Vulnerable groups particularly at decentralised level increase their awareness of electoral civic responsibility	Provide technical assistance and advice to STAE on electoral civic education and its integration on educational curriculum via MoE	Central
6.3	MPD effectively coordinates the planning, implementation, and monitoring cycle of PES with particular attention to vulnerable groups	No direct role for UNDP, other UN agencies (UNESCO, ILO, UNFPA, UNICEF, UN Women)	Central
6.4	The national statistical system produces, analyses and disseminates quality data to	Production of MDG reports, national human development reports, and other policy	Central

	promote the achievement of the MDGs	documents and their dissemination at sub-national levels	
6.5	International and regional human rights instruments implemented and monitored	Technical assistance to the National Human Rights Commission and MoJ on the national plan for the protection and promotion of human rights and the UPR. Assist the National Aids Council to enhance its capacity to coordinate HIV interventions.	Central
6.6	Populations in Mozambique have increased access to justice and human rights protection	Technical assistance on the development and implementation of innovative justice instruments and awareness raising of human rights, especially women. Improving access to justice of the most vulnerable groups. Assist the Police of Mozambique in Gender Based Violence and HIV prevention issues.	Central and districts of Sofala, Nampula & Inhambane
6.7	MINT and MINEC in collaboration with provincial partners manage migration flows in a protection-sensitive manner	No direct role for UNDP, UNHCR and IOM main partners	Central

2.2 Evaluation Scope and Objectives

The purpose of this UNDAF outcome 6 evaluation is to assess UNDP's contribution towards progress made in achieving the stated outcome 6 of the 2012-2016 UNDAF: "Strengthened democratic governance systems and processes guarantee equity, rule of law and respect of human rights at all levels" with a particular focus on capturing and demonstrating evaluative evidence of contribution to development results.

The evaluation was commissioned to take place at the end of the UNDAF cycle and in preparation for the next UNDAF. However, the commissioning of the evaluation was delayed until the middle of 2017 and the field work took place in October 2017, thus not contributing to the planning of the next UNDAF cycle. According to the evaluation manager, the "findings and recommendations

will nevertheless be useful and relevant to guide UNDP intervention in the democratic governance area since the CO is in the process of finalizing the prodoc formulation exercise."

Since outputs 6.3 and 6.7 have no direct involvement of UNDP, the evaluation focussed its efforts on outputs 6.1, 6.2, 6.4, 6.5, 6.6 of the UNDAF and how and to what extent UNDP's role in the completion of the outputs contributed to the UNDAF outcome.

The objectives of the UNDAF outcome 6 evaluation are:

- To capture and demonstrate evaluative evidence of UNDP's contribution to development results at the country level, including expected and unexpected results;
- To identify the key lessons learned;
- To identify good practices and provide recommendations.

The evaluation is based on the five criteria laid out in the "OECD-DAC Principles for Evaluation of Development Assistance"[7] as well as on the "Guide for UNDP-outcome evaluations"[8] which define the following:

Relevance: The extent to which the aid activity is suited to the priorities and policies of the target group, recipient and donor.

Effectiveness: A measure of how well UNDP contributed to developmental changes initiated and achieved by the government or other UNDP counterparts.[9]

Efficiency: An economic term which signifies that development aid uses the least costly resources possible in order to achieve the desired results; and generally requires comparing alternative approaches to achieving the same outputs, to see whether the most efficient process has been adopted.

Impact: The positive and negative changes produced by a development intervention, directly or indirectly, intended or unintended.

[7] The DAC Principles for the Evaluation of Development Assistance, OECD (1991), Glossary of Terms Used in Evaluation, in 'Methods and Procedures in Aid Evaluation', OECD (1986), and the Glossary of Evaluation and Results Based Management (RBM) Terms, OECD (2000).

[8] UNDP outcome-level evaluation: A companion guide, December 2016

[9] Ibidem, p. 16

Sustainability: Assessing the probability that the benefits of an activity are likely to continue after the programme cycle.

In the case of the evaluation of the UNDAF outcome 6, considering the five-year time frame under which it has operated, it was not possible to already appraise all the changes resulting from the UNDP intervention. However, the team inferred to the extent possible the likely contribution of UNDP to the existing changes that have taken place.

As per the TOR, the evaluation:

(1) Provided evidence to support accountability of UNDP programming;
(2) Provided evaluative evidence of the contribution of these projects to the stated UNDAF outcome 6 objective
(3) Identified current areas of strengths, weaknesses and gaps, especially:
    (i) The appropriateness of UNDP's partnership strategy
    (ii) Impediments to achieving the expected results
    (iii) Degree to which HRB approach and gender were incorporated into the various interventions
    (iv) Adjustments to be made
    (v) Lessons learned for the next programming cycle

The audience of the report is not specified in the ToR, but the primary audience is the UNDP Country Office, as well as the Government of Mozambique and other national partners and civil society. UNDP informed that this evaluation report would be placed in the public domain through UNDP's Evaluation Resource Centre website as part of good practice and transparency and will also be subject to a management response.

The recommendations of this evaluation are expected to help feed into future planning processes.

3 UNDAF OUTCOME 6 PORTFOLIO

UNDP has implemented eight projects under the above-referred UNDAF outputs under Outcome 6. The evaluation scope is therefore the contribution of UNDP through the following eight projects to UNDAF Outcome 6:

Table 2: List of UNDP projects under UNDAF Outcome 6 and its expected outputs

Title and UNDAF output	Initially Planned Budget	Period	Expected results	Partners
PALOP (regional) – Strengthening technical and functional skills of Supreme Audit Institutions, Parliament and Civil Society Output 6.1	Euro 1.1 million	February 2014-2017	SAI's control and audit capacities over public finances in PALOP are strengthened in a context of joint learning	National Assembly's Budget and Planning Committee, CSOs (Forum de Monitoria do OGE)
Project to strengthen Parliamentary capacity to legislate and audit Output 6.1	US$ 2 million	2012-2016	• Increased capacity of parliamentarians to analyse the budget with an HRB approach and gender perspective; • Increased capacity of the Permanent Commission to monitor and support the work of specialised commissions; • Improved capacity of the Commission for Constitutional matters, HR and Law to analyse and formulate legislation and to engage in communication with citizens and interested parties regarding formulation of the legislation	Commission for budget and planning; Permanent Commission, Commission for Constitutional matters, HR and law

Title and UNDAF output	Initially Planned Budget	Period	Expected results	Partners
Support to the electoral process through Improved electoral civil responsibility at decentralised level Output 6.2	US$ 4.05 Million	2012-2016	Improve efficiency and effectiveness of STAE and CNE to conduct electoral civic education	STAE, CNE, MoE, CSO
Research and capacity building to enhance policy advice to promote human development and MDGs' achievement Output 6.4	US$ 1.5 million	2012-2016	• Annual production and dissemination of at least one policy document on HD and poverty in Mozambique; • Two NHDR produced and disseminated at provincial level (2012 and 2014/5); • 2015 national MDG report produced; • Key members of INE and MPD trained in conducting poverty analysis and development of inclusive growth strategies; • Key members of MPD and MINEC have received tools and methods to conduct aid effectiveness analysis; • Strengthened capacity to contribute to the Mozambican Development agenda	MPD/DNP, now MEF, MINEC DNEAP, INE, CSO
Support to develop the capacity for local HIV response Output 6.5	US$ 1.35 million	2012-2017	• Capacity of CNCS at national level and sub-national level improved to coordinate planning, implementation and	National Aids Council (CNCS) Parliament Office for

Title and UNDAF output	Initially Planned Budget	Period	Expected results	Partners
			monitoring of HIV programme; • HIV law is reviewed; • Grant management model revised; • Revised grant management model adopted and implemented	prevention and elimination of HIV and AIDS
Strengthening access to justice, rule of law and human rights protection **Output 6.5** **Output 6.6**	US$ 2.79 million	2012-2017	• Support to process to strengthen innovative justice instruments (free legal aid, Palaces of Justice, alternative to imprisonment); • Increase awareness of vulnerable groups on human rights and justice services; • Support the establishment of the National Commission on Human Rights	Supreme Court, Attorney-General, Correctional Services, IPAJ, NCHR
Support to the Police of the Republic of Mozambique **Output 6.6**	UD$ 3.59 million	2012-2017	• Legal framework related to the National Crime Observatory finalised; • National Crime Observatory made operational; • Officials of the NCO capacitated; • Transparency in the work of the NCO ensured	MINT, UTIPE MFA

Title and UNDAF output	Initially Planned Budget	Period	Expected results	Partners
Country Programme Coordination and Capacity Development **No link with specific UNDAF output, more CP specific**	US$ 3.05 million	2012-2017	• CP monitored and evaluated; • Coordination capacity of MINEC enhanced; • Annual NIM/NGO audit exercise completed on time; • Increased RBM/PME capacity; • Institutional capacities of MINEC and UNDP maintained	MINEC, DOIC

The total budget of the eight projects amounts to $ 23.483.108,00. According to the information received by UNDP, the total amount received is $ 19.763.628,00, corresponding to 84% of the total budget.[10]

[10] E-mail from evaluation manager Rodrigo Cina, UNDP M&E Specialist, 23.10.2017

4 LIMITATIONS AND CONSTRAINTS

The evaluation suffered from specific limitations, primarily linked to the difficulty of identifying the proper number and categories of key informants. Another limitation was the inability to identify locations, outside of the city or in the provinces, where focus groups could take place with direct project beneficiaries. There was no established agenda for the two-weeks mission, the list of key informants with their contact details was only provided during the second week of the mission and locations to carry out the focus group discussions as foreseen in the inception report had not been identified. As a result, the team was not able to split and conduct interviews separately as originally planned but conducted interviews jointly in Maputo. Considering the lead time since the evaluation team was identified and recruited until the evaluation mission started its work in Mozambique, it is difficult to understand why a complete agenda could not be prepared before the beginning of the evaluation team's presence in Mozambique.

This seriously limited both the availability of key informants and the number of interviews held in total, and strongly biased the perceptions to represent much more the duty bearers than the right holders, particularly the Mozambican citizens. The evaluation team held 28 Key Informant interviews and no focus groups with direct beneficiaries of any of the eight projects implemented by UNDP under UNDAF Outcome 6. This is lower than other evaluations of similar length for the field phase, in which the number of interviews range from 50 to 60, and include 2 or 3 focus groups with direct beneficiaries (in this case users of the institutions supported by UNDP). Even when the evaluation team attempted to identify a group of trained persons from an institution and hold a focus group with direct trainees, the information received did not match the fact, as the field work outside the city in Maputo province to one partner's premise only yielded evidence of infrastructure building and no evidence of capacity development.

It is therefore critical to understand the necessity to have a full operational agenda prior to the start of the evaluation field mission, as these constraints seriously limit the credibility of the evaluation findings and limit its usefulness. With the exception of government partners and institutions, the number of other stakeholder interviews (UN agencies, civil society, donors) has been limited, as mentioned hereunder.

Additional documents that could have been used for triangulation, such as the Project Board Meeting minutes, were made available only after the submission of the draft report and not before or during the field mission as expected. As a result, there was limited possibility to triangulate some of the partners' declarations and perceptions.

5 EVALUATION METHODOLOGY

The inception report, which forms an integral part of the evaluation process and is included as annex, has established a detailed methodology for the evaluation, and has reconstructed a theory of change for UNDAF Outcome 6, as well as the list of key informants to be interviewed, and the strategy for identifying focus group with direct beneficiaries.

Given the limitations mentioned above, the planned methodology could not be fully applied, particularly as regards to obtaining the perception of the population who are the end users of the different government institutions' services.

The evaluation used mixed methods through the following phases:

1. Documentary review and analysis phase, development of the evaluation matrix, theory of change, interview tools, data collection instruments, initial findings and limitations. This led to the production of the inception report, the revised version being submitted on 29th September 2017 and accepted.
2. Field work in Mozambique from 9th October afternoon to 20th October 2017. The evaluation used almost exclusively semi structured interviews with Key Informants (KI) to obtain evidence and feedback regarding the results achieved. A total of 28 Key Informant interviews were undertaken during the evaluation as per the table hereunder. One field trip to a partner's premise in Maputo Province outside of the city was undertaken.
   Focus Group Discussions (FGD) with direct beneficiaries were envisaged by the evaluation team but could not be held as it did not prove possible to organize them within the framework of the evaluation.
   The evaluation team was thus able to hold the following 28 interviews with 61 women and men from the different stakeholder categories, as per details hereunder:

Table 3: List of Institutions interviewed (Source: evaluation interview notes)

Institution	# of institutions and organizations	interview time min.
UN	2	450
Government	14	835
Donors	4	230
Civil Society	3	135
Total	**23**	**1695**

This represents an average interview time of 61 minutes per interview and 28.3 hours of continuous interview time.

Several requested meetings could not be held with other UN agencies and donors for lack of availability and short notice.

The evaluation focused on using the most significant change adaptation in the line of question and trying to infer the causality between the projects and the Outcome 6 objective, as the original methodology could not be fully pursued.

3. The final phase consists in the submission of the final evaluation report to UNDP within five working days of the receipt of the consolidated comments from the evaluation manager to the team leader, but in any case, **not later than fifteen working days after the receipt of the draft evaluation report.**

On the second day of the evaluation team presence in Maputo, a PowerPoint presentation of the objectives of the evaluation as well as on the proposed and agreed methodology was made to the primary stakeholders. Similarly, on the last day of the field phase in Maputo, a presentation was made to UNDP and its partners explaining and validating the preliminary findings, conclusions and recommendations. Both are attached to this report.

6 EVALUATION ANALYSIS AND FINDINGS

The findings under this section are based on an interpretation from the evaluation team of the various information sources used during the evaluation (documents, interviews, observation, workshops).

6.1 UNDP Strengths

This analysis was made to identify to what extent UNDP capacities and characteristics were adequate to undertake successful interventions in the governance sector. The analysis is based as much on the documentary analysis as on feedback from all the respondents and corresponds to the interpretation of the evaluation team. Seven key points form the core of UNDP's positioning in Mozambique.

1. Political neutrality and impartiality, no hidden agenda
2. Ability to secure funding
3. Sharing of good international practices
4. Long-term partnerships with government, in some cases since the early nineties
5. Capacity to provide technical and material support, including training
6. Responsiveness to the needs of the partners
7. Procurement/administrative capacity

UNDP is seen by all partners as a neutral and non-political partner. There is no hidden agenda behind the projects that are implemented, over and beyond the desire to assist the country to meet its national priorities. This gives UNDP a high credibility as an actor in support of good governance in Mozambique.

A main characteristic is UNDP's ability to secure funding for its interventions. While the collection of the 8 projects under the UNDAF Outcome 6 were financed on average at 84% of the budgeted amount, some projects received even more than the initial budget. In the current situation and with diminishing ODA funds, the capacity of UNDP to obtain and channel funds in Mozambique is clearly an important asset.

Another added-value of UNDP is its capacity to bring international good practice into the country. Because of its vast and long-standing experience in international development, UNDP can draw from many experiences, some of which have become standards of good international practice. In this sense, the experience of UNDP can also be applied in Mozambique, although the context ultimately is the deciding factor when attempting to contextualise the interventions.

UNDP has a long-standing history of support to the government, in some cases dating back to the end of the war in 1992. Partnerships have thus been evolving in many cases for over ten years with the key partners. While this is an important aspect when supporting partners, because it gives a good knowledge of how the partners work and allows UNDP to respond to their needs and contributes to creating trust, there is also a potential downside: Long-standing relationships may continue because of habit rather than to implement innovative ideas and approaches in order to achieve the expected objectives.

UNDP has the capacity to provide material support (infrastructures, equipment) but also technical support. In all the eight projects under UNDAF Outcome 6, there is a strong capacity development component and nearly all partners requested UNDP to continue providing capacity development through trainings. An analysis on how UNDP implements its capacity building activities is provided further down.

Another aspect of the value added from UNDP has to do with the fact that, for a large number of partners (albeit not all of the partners interviewed), UNDP has shown to be responsive to their needs, and in several cases has shown good communication and collaboration with them.

Finally, UNDP has allegedly a good procurement capacity. A number of examples were mentioned in which it was reported to be easier and/or faster for the implementing partners to use UNDP's procurement system to obtain the resources for the project than the government ones. Consequently, using UNDP's procurement system generally results in a faster procurement and a smoother implementation, the downside to this is, as all the projects executed under Outcome 6 are using the National Implementation Modality, it does not build the partner's capacities to use the government procurement rules, hampering thus the goal of capacity development. Which procurement modality is going to be used is agreed with the implementing partners either at the beginning of the year during the AWP planning process or on ad hoc basis when IPs request such support.

6.2 The UNDAF Outcome 6 statement

"Strengthened democratic governance systems and processes guarantee equity, rule of law and respect of human rights at all levels".

On the one hand, this statement is broad enough to allow a wide range of different interventions to contribute to this outcome, thereby lending flexibility to all the UN agencies involved in the achievement of the outcome. On the other hand, as mentioned in the UNDAF 2012-2016 evaluation, there is (a.) a poor causal link from outputs to outcomes, and (b.) "the information on the effects of the UN intervention is not sufficient to determine the level of progress made in

this field"[11]. It is also the view of the present evaluation team that the Outcome 6 statement is too broad to be easily translated into a set of operational programmes that would give reasonable guarantee to its achievement.

6.3 Evaluation findings according to the evaluation criteria

6.3.1 RELEVANCE

The areas supported in the variety of interventions under UNDAF Outcome 6 are clearly relevant and respond to the identified needs and government priorities, but also answer the need of the population of Mozambique, including in the provinces.

From a technical perspective, the evaluation team would consider that the interventions regarding HIV/AIDS, given its high rate of prevalence, would be sufficient to justify a specific outcome for HIV/AIDS, as an umbrella to support all HIV/AIDS related interventions. Furthermore, it would be relevant to mainstream HIV/Aids prevention or awareness raising measures in all activities carried out by the different implementing partners. However, it does not seem logic to carry out HIV/Aids interventions under a governance outcome that don't have any linkages with the other projects while those projects don't mainstream HIV/Aids prevention or mitigation measures in their work plans.

At the same time, considering that the statement of the UNDAF specifically indicates "at all levels", it is unclear why decentralisation efforts are not an integral part of Outcome 6 but are carried out under Outcome 8. It is not possible to talk of democratic governance if it is not reaching the citizens and partners in the provinces and districts of the country. It would have been more logical to incorporate all decentralisation interventions as part of the efforts to support democratic governance, as it cannot only be achieved only at national level.

In the current context of shrinking resources, the ability of UNDP to leverage additional funds makes it an important actor in the field of good governance.

The evaluation team therefore considers the overall rating regarding relevance as good (4) for the reasons mentioned above.

[11] KPMG, Evaluation of UNDAF 2012-2016, Final report, November 2015, p. 61

6.3.2 *EFFICIENCY*

The table hereunder indicates the level of funding received per project, as well as the delivery rate of the UNDP over the UNDAF period:

Table 4: Funding of the UNDAF Outcome 6 projects

Title	budget $	received	% received	spent	delivery %	period
CPD coordination	$ 3.050.000,00	$ 4.617.498,00	151,39%	$ 4.232.809,00	91,67%	2012-2017
Police	$ 3.598.000,00	$ 2.848.491,00	79,17%	$ 2.653.316,00	93,15%	2012-2017
HIV/AIDS	$ 1.762.464,00	$ 1.576.527,00	89,45%	$ 1.336.984,00	84,81%	2012-2017
Justice	$ 4.225.000,00	$ 3.144.405,00	74,42%	$ 2.874.402,00	91,41%	2012-2017
Pro PALOP	$ 1.297.644,00	$ 1.297.644,00	100,00%	$ 1.162.521,00	89,59%	2014-2017
Parliament	$ 4.000.000,00	$ 1.419.498,00	35,49%	$ 1.328.001,00	93,55%	2012-2016
Elections	$ 4.050.000,00	$ 2.990.379,00	73,84%	$ 2.447.511,00	81,85%	2012-2016
MDG	$ 1.500.000,00	$ 1,869,186,00	102,30%	$ 1.403.924,00	75.10%	2012-2016
sub-total	$23.483.108,00	$ 19,763,628.00		$17.439.468,00	89,76%	
received/budgeted		84,1%				

Source: *based on information provided by e-mail from UNDP on 23.10.17. Please note that no specific budget under the Pro-PALOP was allocated to Mozambique, so the figure mentioned in the budget is the actual amount received.*

According to this table, UNDP has received 84% of the budget, which amount to USD 19.7 million.

From the amount received, UNDP has achieved a delivery rate average of almost 90%. Considering that some projects are still on-going, this is a high delivery rate.

Partners repeatedly indicated they had not sufficient information regarding the UNDP direct services provided under the projects, (e.g. those activities implemented directly by UNDP), and many complained about the lack of predictability of funding. Apparently, the difference between available funds and funds to be raised were not clear to some, they expected the total amount that was planned for and were disappointed when they only received the amount available.

Additionally, examples were given where activities had to be stopped given the lack of funding, and then had to be rushed when funds became available.

There is a general consensus amongst partners that UNDP needs to communicate more transparently regarding the project funds allocation and the timeliness of funding. Furthermore, three partners complained about exceedingly slow administrative procedures for disbursement of funds, which affected the planned activities.

Efficiency has therefore varied amongst the different projects. It was not part of the scope of the evaluation to review the efficiency of each individual project, but the interviews with partners indicate a wide range of diverging appreciations.

The overall efficiency in terms of delivery rate is high, and in general the capacity of UNDP to obtain funding is also high, apart from one project that didn't receive expected funds.

Human resources involved in the projects, either as UNDP staff, hired experts or CTAs, obtained also different ratings in line with the individual's skills and abilities. In most cases, technical support provided was mentioned as an added value. However, in one case, the support provided to Parliament, was criticized heavily. Complaints included: autocratic and non-transparent management of the funds without involving the partners, no performance evaluation conducted by UNDP about the satisfaction with the TA, very little results achieved with the support of the TA and no reports obtained.

Consequently, the team considers the overall rating regarding efficiency as good (4).

6.3.3 EFFECTIVENESS

As defined by the DAC/OECD glossary of results based management and evaluation terms, effectiveness is defined as "the extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance." The UNDP "Guidance on outcome evaluation" further specifies that effectiveness is "A measure of how well UNDP contributed to developmental changes initiated and achieved by the government or other UNDP counterparts.

Consequently, the team will analyse in a first step the effectiveness of the partner's projects to then evaluate "how well UNDP contributed to that."

6.3.3.1 Effectiveness of the Partner's projects

Some projects have achieved some of their objectives, while others have not achieved the project objectives as described in the project document. Most of the expected results, however, are difficult to measure because:

1. They are formulated in a way that leaves it open what the expected results are[12]. Or, in other words, neither UNDP nor any of the partners have established any baseline or gap analysis that could be used to (i) identify what the exact gap is. Or, in other words, what should the institution do and doesn't do adequately, (ii) how the specific training initiative will close the gaps identified, (iii) the extent the participants of the training assimilated its content, (iv) the degree they were able to implement the newly acquired knowledge in their specific departments and finally (v) whether the capacity building means resulted in the expected institutional changes. However, all partners mentioned that the training and capacity development had been useful for them.

2. Generally, neither the individual project M&E systems and indicators, nor the ones in the UNDAF / UNDP integrated framework are adequate to measure changes in service delivery or institutional capacity. [13]
   Without clear indications of why the actual capacities are not sufficient to perform the required tasks, and a well-defined "after the training" scenario, the only source of information for the evaluators are the accounts of the recipients of the training, who are not necessarily the most unbiased resource persons when it comes to evaluate their own progress.

3. Some of the outputs of the UNDP strategic plan do not have an indicator that could be measured by the team, and project reports that could shed some light on the degree changes have been achieved were not delivered in time to the evaluation team.

The following tables present the expected results per project as well as the successes, changes and challenges reported by representatives of the involved institutions.

[12] Examples are: "The capacity of CNCS at national level, and in selected provinces and districts improved to coordinate planning, implementation and monitoring of the HIV programmes" (Project output 1 of the HIV-project), "Vulnerable groups, especially women, are aware of their rights and use the improved judicial services in selected districts." (output 6.5 of the justice project) "increased institutional capacity for oversight in parliamentary commissions and selected provincial assemblies of public finances and service delivery." (output 6.1 of the Strengthening Parliament Capacity of Fiscal oversight and Law making project()

[13] Examples are: "Extent to which the Parliament has improved its administrative and human resources capacities required to discharge its mandates in relation to law-making, oversight and representation", "Extent to which capacities of the security sector for governance and oversight were improved" (both: UNDP Strategic Plan 2014-2017 Output Indicator), "Number of CNCS technical staff, trained on coordination, monitoring and evaluation of HIV program disaggregated by gender and province." (HIV project)

Table 5: Results achieved by each project

Title and UNDAF output	Expected results	Reported success by institution	Remaining challenges
Pro PALOP (regional) – Strengthening technical and functional skills of Supreme Audit Institutions, Parliament and Civil Society **Output 6.1**	SAI's control and audit capacities over public finances in PALOP are strengthened in a context of joint learning	**Administrative Court (TA)** • Generally benefits from exchange with international institutions that are more advanced than Mozambique, • Particularly interesting was the training on "Audit of Public Private Partnership" initiatives as this is completely new to the Country, • The establishment of an e-learning platform is considered interesting, however it seems to be little used. **IGF** Under the PALOP programme, their provincial inspectors were trained. **Parliament** • Training of new parliamentarian of the way parliament works, • Provision of an TA to Parliament.	**CSO** Several challenges were reported in relation to collaborating with CSOs so that they didn't benefit from the programme. **Parliament** No internal capacities established to train new members of parliament, something that should be a routine activity. That way, after each election, as well as when someone is replaced, external trainers are required.

Title and UNDAF output	Expected results	Reported success by institution	Remaining challenges
Project to strengthen Parliamentary capacity to legislate and audit **Output 6.1**	• Increased capacity of parliamentarians to analyse the budget with an HRB approach and gender perspective; • Increased capacity of the Permanent Commission to monitor and support the work of specialised commissions; • Improved capacity of the Commission for Constitutional matters, HR and Law to analyse and formulate legislation and to engage in communication with citizens and interested parties regarding formulation of the legislation	**Parliamentary Commissions** • Acquisition of office material, • Some trainings were considered useful, however, no records about the content or subject of the trainings.	**Parliamentary Commissions** • The Basic Law on agriculture is still not approved but is handed over no to Ministry of Agriculture, • Parliamentary commissions are unclear about the difference between the PALOP programme and the project to strengthen parliamentary capacities.
Support to the Electoral Process through Improved Electoral Civil Responsibility at Decentralised level **Output 6.2**	Improve efficiency and effectiveness of STAE and CNE to conduct electoral civic education	**STAE** Allegedly, they managed to establish their own, internal capacity building team that trains newly recruited staff during election periods so that they don't need external consultants anymore. They reported that during the elections 2013/14,	**STAE** Not clear, how many men and women registered and voted and how their campaigns are

Title and UNDAF output	Expected results	Reported success by institution	Remaining challenges
		90% of the voters registered and 45% voted. Both numbers represent an increase compared to the parliamentary elections in 2009 and 2004 where the voters turnout was 36,35% and 44,44% respectively. However, they are far from the high participation registered during the first elections after the war in 1994 with a participation of 87.89%. [14] Given the fact that the 1994 elections were the first ones after the war and that the county's infrastructure was much less developed, it seems reasonable to conclude that there are additional factors contributing to the low voter's turnout than the lack of voter's education.	

[14] https://www.idea.int/data-tools/country-view/222/40

Title and UNDAF output	Expected results	Reported success by institution	Remaining challenges
Research and Capacity building to enhance policy advice to promote human development and MDGs' achievement Output 6.4	• Annual production and dissemination of at least one policy document on HD and poverty in Mozambique; • Two NHDR produced and disseminated at provincial level (2012 and 2014/5); • 2015 national MDG report produced; • Key members of INE and MDP trained in conducting poverty analysis and development of inclusive growth strategies; • Key members of MPD and MINEC have received tools and methods to conduct aid effectiveness analysis; • Strengthened capacity to contribute to the Mozambican Development agenda.	• Community Development Fund (FDC) and UNDP jointly produced the "Post 2015 Development Agenda. Country Consultation Report of Groups and Organizations' voices and perceptions in Mozambique". • DNPO indicates its capacity to produce evaluation reports has increased No further specific indicator that directly measures the achievement of the expected results is available.	• No NHDR produced, the last one in Mozambique was produced in 2008, • No national MDG report produced, the last one is from 2010
Support to develop the capacity for local HIV response Output 6.5	• Capacity of CNCS at national level and sub-national level improved to coordinate planning, implementation	• Partners report improvement and change as a result of the UNDP project, which is allegedly their sole external funding source.	• No data available about the changes in the institution after the capacity building means or the benefits and results of the grant model.

Title and UNDAF output	Expected results	Reported success by institution	Remaining challenges
	and monitoring of HIV programme; • HIV law is reviewed; • Grant management model revised; • Revised grant management model adopted and implemented	• HIV law has been reviewed and this expected outcome has been achieved. • The Grant management model has been revised.	
Strengthening access to justice, rule of law and human rights protection **Output 6.5** **Output 6.6**	• Support to process to strengthen innovative justice instruments (free legal aid, Palaces of Justice, alternative to imprisonment); • Increase awareness of vulnerable groups on human rights and justice services; • Support the establishment of the National Commission on Human Rights	• A new Penal Code that integrates alternatives to imprisonment was formulated and approved in 2014 and its implementation started in July 2015. • The planned palaces of justice have indeed been built. • Awareness raising activities have taken place but their impact is not measured. • The establishment of the HR Commission was finally consolidated in 2016 only.	• The palaces are not fully functional, allegedly because of discrepancies amongst the institutions about administrative issues. • IPAJ continued providing free legal aid in nearly all Districts of the country. However, it was criticised that all the funds for the access to justice project are transferred to DNAJ that then decides, allegedly alone, about the final distribution of the funds.
Support to the Police of the Republic of Mozambique **Output 6.6**	• Legal framework related to the National Crime Observatory finalised; • National Crime Observatory made operational;	None of the expected results were achieved as described under the project document reportedly because the project did not reflect the initial concept. Nonetheless, a range of activities took place which were mentioned as extremely valuable for PRM capacity	

Title and UNDAF output	Expected results	Reported success by institution	Remaining challenges
	• Officials of the NCO capacitated; • Transparency in the work of the NCO ensured	development. The need for a central database is a recurrent outstanding issue.	
Country Programme Coordination and Capacity Development **No link with specific UNDAF output, more CP specific**	• CP monitored and evaluated; • Coordination capacity of MINEC enhanced; • Annual NIM/NGO audit exercise completed on time; • Increased RBM/PME capacity; • Institutional capacities of MINEC and UNDP maintained	• MINEC reports especially the usefulness of the monitoring visits that allegedly increased their monitoring capacities, • Increased RBM and PME were reported.	• UNDP monitoring does not measure capacity development nor is there a direct indicator to provide a measure of results.

In addition to the table above, the table below provides some quotations of interview partners that illustrate the perceived changes in the institutions.

Table 6: Quotations from Interview partners

- The joint monitoring and evaluation visits to the field: we didn't have the technical knowledge as to how to do things
- Assisting international meetings allows us to broaden our understanding of the wider issues, and helps in linking with the global agenda
- The PCM training helped us prepare our reports
- Good quality of training in gender, GBV, HIV/AIDS, and the electoral process. After the training the number of conflicts between (partner institution) and the politicians came down substantially.
- We have a project objective that is not feasible, but we were able to achieve something constructive within the project.
- We improved our processes more than anything, our annual reports are better, we have a better understanding of indicators and their relationship with MDGs.
- We acquired maturity in coordinating with partners.
- **To evaluate change you should track the process year by year and review the reports produced from the first to the last.** (highlighted by the evaluation team to mark its agreement with such a comment)
- Before the project we had the evaluations done by an external consultancy firm and now we produce our own reports internally (mentioned by 3 partners)
- The big gain has been our strategic plan that UNDP helped us formulate. From the first to the third strategic plan, it was done by consultants. Our last strategic plan we did ourselves (two other partners indicate value addition in supporting the development of their strategic plan as contributing to knowledge creation and ownership).
- The main change is better service to the citizens, we did build capacity of our human resources and management capacity.
- The issue of alternatives to imprisonment cannot be done without capacity development.
- UNDP methodology of BRIDGE accreditation allowed implementation to be done at the provincial level by provincial actors
- Our MP's do not necessarily have the technical capacities. UNDP support to capacity development is critical for us, we are concerned about the continuation of the recently established support unit.

Source: evaluation interview notes

The analysis provided above shows that there is a wide variation in the way in which the individual projects have achieved their expected results. Generally speaking, some of the activities that were planned through the annual work plans took place, but others did not because conditions were not right. [15]

This lack of evidence on the outcome of awareness raising and public sensitisation campaigns at grassroots level, for example in the area of human rights and HIV/Aids prevention, results in donor agencies funding very similar campaigns and capacity building activities over the decades without monitoring whether all the campaigns really resulted in any increase of knowledge and changes in behaviour. Or, they may have reached the saturation point where most members of the targeted community already acquired the desired knowledge and other factors are responsible for hampering the desired behaviour change.

6.3.3.2 Effectiveness of UNDP's support to partners

When partners appraise the collaboration with UNDP, the following ratings were provided, on a five-point scale of 1 (minimum) to 5 (maximum), with 3 representing the mathematical average.

The results are different from the presentation of preliminary findings as additional interviews have taken place.

Table 7: Ratings given to UNDP by partners

Rating	Responses
5	1
4	5
3	1
2	0
1	2
total	**9**
average	**3,33**

Source: *notes from evaluation interviews*

[15] Such as untested hypothesis that were not correct at the design phase of the project. To give one example, the original PRM project reportedly wanted to establish an internal crime observatory that would allow the Police to monitor the development of certain crimes in specific areas.. The final concept of the project with a much wider multi stakeholder observatory was allegedly not feasible within the current legislation and did not reflect PRM's priorities and desires. Another example of extreme delay is the establishment of the NCHR that took years from planning to the final installation.

It is interesting to note that, while one partner gives the maximum rating to UNDP, two give the lowest rating. This indicates that the relationship between the different partners is uneven, and that UNDP does not have the same level of partnership with all the different parties involved.

This is shown in the following quotes taken from the partners' interviews:

"We have a problem of discontinuity, it was only a one-time support"

"We don't have a formal agreement with UNDP, we do *ad hoc* activities".

"What is UNDP's partnership strategy? We don't feel supported"

These comments indicate the need for a clear partnership strategy to inform the capacity development components of the different interventions, in an inclusive manner for all partners.

- The majority of the partners provided UNDP with a 4 rating (above average), and the overall average is 3.33 (just above the average rating of 3.0). When looking at the reasons for the 4 rating, almost all partners first indicated the capacity of UNDP to provide funds as the main factor for the rating. Similarly, the lowest ratings received also indicated lack of transparency in the funding allocation and insufficient funding as compared to the annual work plan and partner's expectations.
- The evaluation could identify specific stories of success from the different projects as reported by partners. (see chapter above) It is felt that UNDP is not able to generate sufficient evidence of results in the current framework of UNDAF Outcome 6, and that it needs to place greater efforts in generating credible evidence of results.
- The average citizen of Mozambique and the vulnerable groups do not seem to have a voice in the formulation of the expected results.

6.3.3.3 Effectiveness in achieving UNDAF outcome 6

There is no evaluative evidence that the projects contributed measurably to outcome 6 "Strengthened democratic governance systems and processes guarantee equity, rule of law and respect of human rights at all levels". The two main reasons are (i) they don't reinforce themselves mutually as their results are in very different areas and (ii) the underlying Theory of Change, ToC, has a rather mechanistic approach regarding human development and don't take sufficiently in account that achieving outcomes involves people and highly dependent factors like personal and institutional growth, behaviour change and new ways of relating to each other.

6.3.3.3.1 Mutual reinforcement

There is no clear strategy for the different projects' clustering under UNDAF Outcome 6, except for the fact that they mostly address key governance areas. Furthermore, there are no synergies across the different projects, each operates in a silo, nor are there any horizontal linkages between the projects to contribute to the overall statement of UNDAF Outcome 6.

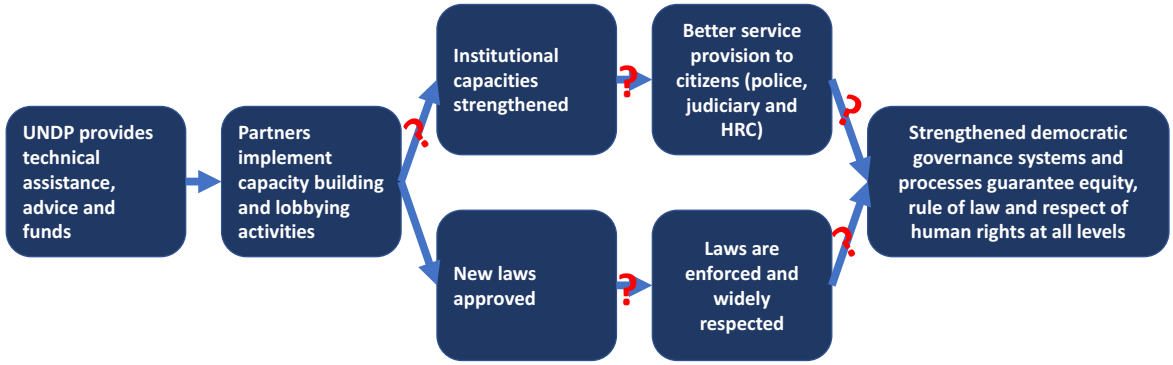
Consequently, even taking into account that most of the projects achieved some of the planned results, those results don't reinforce themselves mutually in order to contribute in a measurable way to outcome 6.

In other words, it is not evident how the joint results of an Administrative Court better equipped to audit PPP, an uncertain number of better educated voters in selected provinces, combined with the passing of two different laws in completely different areas (one on HIV/Aids and the other one on alternatives to imprisonment) and the installation of the NHRC plus some improved PM skills could add in a measurable way to an outcome as wide as outcome 6 within a timeframe of five years.

6.3.3.3.2 Analysis of the Theory of Change

A detailed ToC has been developed in the inception report that is annexed to the present report, below a graphic that explains the underlying logic of the ToC.

Graph 1: Underlying logic of the ToC



Apparently, UNDP and partner organizations believe that investments and activities will produce outcomes. In the above presented ToC, it is assumed that:

- Capacity building measures automatically lead to changes in the institutions that then lead, miraculously, to better service provision for the citizens.
- That there is a political will to enforce the newly enacted laws and that they are accepted by the citizens as legitimate so that they respect them.

- That both result in a strengthened democracy, it could also be possible that laws are efficiently enforced and respected and that services are better delivered in an authoritarian regime.

However, achieving outcomes is not like filling a glass with water. Outcomes involve people and highly dependent factors like personal and organizational growth, behaviour change and new ways of relating to each other.

Generally, any attempt to change someone or an organization, is corresponded with resistance to change. That resistance may have multiple reasons, either the person or institution is not yet ready for the change[16], or because of lack of confidence to leaver the well-known comfort zone, or because status, influence and power are threatened.

Overcoming those "adaptive challenges" requires other instruments than overcoming technical challenges. However, all those more "soft" aspects are not taken into account and, consequently, there is no support to the institutions to implement the desired changes apart from technical assistance.

Throughout the implementation of that UNDAF, UNDP and its partners have focused very much on executing activities aimed at strengthening capacities and passing new laws. All the other aspects of the theory of change, that would require reflecting on how exactly the desired changes could or should happen (marked in the graph above with a red question mark) were neglected. Consequently, neither activities were financed that would help the institutions to overcome the resistance to change, nor were M&E tools for those areas developed.

The evaluation team therefore considers the overall rating regarding effectiveness as average (3) for the reasons mentioned above.

6.3.4 IMPACT

Technically speaking, an outcome evaluation is focusing on the medium-term, in this case the UNDAF cycle, whereas impact considers the long-term effects. Or, as the UNDP outcome evaluation guide defines impact: "What governments and other counter-parts achieve in terms of bringing about changes in the lives of women and men."[17] Rather than an impact assessment,

[16] Even the most apparently dysfunctional organization has several benefits from functioning that way and not in an "apparently" improved manner

[17] UNDP-Guidance on Outcome – Level – Evaluation, p. 7

the evaluation is reporting the identified effects that were generated through the portfolio of UNDAF Outcome 6 projects.

As mentioned above, there is no evidence that the organizations sensitizations activities resulted in changes in the target population, none of the partner organization has the necessary M&E tools in place to monitor the knowledge of, for example means and ways of HIV/Aids transmission or the correct ways of registering for voting before and after a campaign and how the knowledge transmitted through the campaigns results in behaviour change over the time.

There is some qualitative evidence that the capacity of partners has been developed (untriangulated). However, many projects were reported to have fallen behind during their execution, taking longer than expected or simply being extended for an additional period. As such, certain number of projects are still on-going and the effects they will generate are not yet apparent. Example is the Human Rights Commission that has been finally installed. However, it may take some years in order to be able to measure to what "changes in the lives of women and men" it contributed. The same applies to the newly passed laws where only time will tell if they are able to generate the expected impact or not.

There is, from partners' perspective, a clear preference for projects that contain infrastructure support and material equipment. However, UNDP has correctly identified that it does not have an added-value in infrastructure construction, and the lessons learnt indicate that this should not be an area of UNDP intervention, something echoed by some UNDP staff.

When considering the other main expected achievement of the projects, the capacity development component, it is surprising to note that, with one exception, partners do not have an in-house training capacity or retention capacity that allows them to continue disseminating the knowledge acquired internally. This means therefore that the capacity development trainings and workshops become an end in themselves and lead to a much higher opportunity cost than if the partners committed to the creation of institutional retention and training structures within their remit.

A notable exception was found with the use of the BRIDGE methodology in STAE, which allows creating accredited trainers in the provinces and the districts. This appeared as one of the good practices found in capacity development and speaks in favour of a sustainable approach towards capacity development.

The evaluation team therefore considers the overall rating regarding impact as low (2,5) for the reasons mentioned above.

6.3.5 *SUSTAINABILITY*

A few partners indicated, when asked what would happen after the end of the project, that specific activities could be sustained internally, such as continuing to apply the knowledge acquired in their work and undertaking internal training for capacity development. But by and large, most respondents considered that the continued financial support of UNDP is critical given that a) the capacities are still in the process of improving but not fully developed b) the government budget is not sufficient to integrate the activities financed by UNDP projects c) in the context of a shrinking aid budget, UNDP's funding becomes more critical and necessary.

Some of the projects did constitute a solid basis for further governmental interventions, but the continuation from the government side is often not ensured. There is an untested assumption, based on the past relationships with UNDP, that support will continue with the partners as it has for the past ten years or more. UNDP's support seems, in many cases, to be taken for granted.

When analysing the different projects, except the PALOP project, there is no exit or hand-over strategy, nor is there any sustainability strategy built into the projects. This contributes to creating expectations that the support will be carried over into the next UNDAF cycle, and does not create the conditions for sustainability.

Sustainability is multidimensional, and needs to be seen at different levels, as mentioned in the Guidance for conducting evaluations of UNDP-supported, GEF-financed projects[18] :

a) Financial sustainability: this point is certainly not ensured, as the UNDP funding is coming in areas where government fund is in short supply. Discussions with partners showed that in some of the projects financed, the partners do not even have the financial resources to assume the running and recurrent costs of the new structures established.
b) Institutional sustainability: while all partners are able to identify positive actions and useful trainings, workshops and capacity development activities, the issue of institutional sustainability is a complex one. On the one hand, there is a high turn-over of government staff, and retention rates are low. On the other hand, with one notable exception in the case of the STAE, the other partners have no internal institutional training capacity. The model of continued capacity development activities without a corresponding ownership for capacity development from the partners´ side is not sustainable. UNDP is not using

[18] Guidance for conducting terminal evaluations of UNDP-supported, GEF-financed projects, UNDP Evaluation Office, 2012, p. 22

the capacity development guidance materials and other capacity development corporate documentation to inform its partnership strategy.

c) Environmental sustainability: the projects under UNDAF Outcome 6 have almost exclusively been implemented through partners at national level in Maputo, with some actions reported in the provinces and districts (STAE, CNCS, TA, etc.). There is little direct effect from the projects implemented under UNDAF Outcome 6 on environmental sustainability and therefore this aspect is not directly relevant to the governance portfolio.

d) Socio-economic sustainability: This speaks about the government ownership as well as the manner in which the social needs of the different stakeholders are being addressed. The UNDAF Outcome 6 portfolio is not directly targeting the beneficiary population, except in some of the awareness raising activities, but mostly focuses on the institutions as the key partners. Little involvement of civil society was found in the overall activities carried out under Outcome 6.

The evaluation team therefore considers the overall rating regarding sustainability as unlikely (2) for the reasons mentioned above.

6.3.6 RATING OVERVIEW

The table below provides an overview over the ratings given to the different aspects of the UNDAF evaluation on a scale from 1 – 5 with 1 being the worst and 5 the best note.

Table 8: Rating overview

Aspect	Rating
Relevance	4
Efficiency	4
Effectiveness	3
Impact	2,5
Sustainability	2
Average	**3,1**

7 CROSS-CUTTING ISSUES

Discussions with UNDP staff show that HIV/AIDS and gender equality are considered as very important by UNDP management. [19] There are various activities and projects being undertaken, but they run in parallel with the governance projects. This means that the issues of HIV/AIDS and gender have not been incorporated into the conceptual design of the projects, their implementation or their monitoring, as specific projects (such as the HIV/AIDS local response) and activities are being undertaken separately. However, because they come as an addition to the on-going activities rather than as a strategic entry point, they are not leveraging the results that could be expected. Simple examples were found with partners in which even basic simple tasks of gender disaggregation of results (from three different projects) were not being systematically pursued, thereby showing a lack of gender sensitivity.

There is still a need to integrate gender sensitivity in programmes and amongst partner institutions.

In the understanding of the evaluation team, there is no additional value in placing a distinct HIV/Aids project in the governance portfolio, it would be more beneficial to strengthen the capacities of all the other partners to mainstream HIV/Aids prevention means and measures consistently in all their activities.

[19] http://www.undp.org/content/undp/en/home/ourwork/gender-equality/institutional-innovations-for-gender-equality-/institutional-innovations.html

8 GOOD PRACTICES

Some partners have identified UNDP as a trustworthy, long-time partner. UNDP can provide substantial support in terms of funding, material support, and technical capacities. Three of the partners interviewed could provide concrete examples of improvement, particularly in cases where, for example, they used to contract external consultancy firms to produce documents and reports, and they are now able to produce the reports themselves. Others now are able to produce their own strategic plans. This is certainly a clear indication of capacity development. UNDP has therefore quite a significant role to play in this aspect, if it is using its resources strategically and is able to provide evidence regarding the results achieved in capacity development within a supporting M&E system.

9 LESSONS LEARNT

Mixed reviews were received regarding UNDP administration. While UNDP procurement was generally considered quicker and easier than the government procurement system, it is also somewhat contradictory to have all projects executed under the NIM modality and have UNDP do part of the procurement for partners. The administrative part, particularly regarding funding and financial transfers, was deemed most often as lacking smooth communication and being generally slow to disburse funds.

There is an uneven appraisal of partners, which seems to indicate that there is no corporate partnership strategy, rather project-based partnerships which determine the level of satisfaction of the partners in line with the way the project is being implemented and the amount of funding and support received. Strategic considerations are not apparent in the formulation of the project documents nor in the manner in which the different projects interact.

While some partners indicate their preference for UNDP to continue funding infrastructures as a part of their interventions, it is not an area in which UNDP has a comparative advantage, and the experience to date indicates that many constraints were encountered during the implementation of the components related to infrastructure. It is therefore more useful to have UNDP focus on its areas of comparative advantage as construction and infrastructure can be made by other actors.

UNDP is working in a complex environment and in a demanding situation. The country has been recuperating from war since 1992, and despite progress, the situation has not reached the level of development desired. Several aspects have improved, but the recent economic growth is not distributed evenly amongst the population. The challenges identified by UNDP in the various ROARs subsist. For the area of democratic governance, it is important to show accountability to the Mozambican population, in line with UNDP's mandate. This means additional efforts to bring tangible results of the end users of the institutional services and rights holders, and adequate means of reporting on the good practices identified.

1. UNDP has been striving to achieve the objective of Outcome 6. As mentioned, both the breadth and ambition of the objectives, as well as the lack of an integrated strategy tying the different projects together, means that results obtained are individual and project specific rather than programmatically oriented, and generate only a small contribute toward Outcome 6.
2. There is little synergy between the eight different projects, which tend to operate each in silos.

3. A limitation to improving collaboration is the fact that UNDP and its partners do not appear to speak the same language when using technical terms in project cycle management and RBM, leading to varying interpretations, for example, regarding the concept of "results".
4. There is some evidence of successful partnerships with institutions, particularly as regards to the responsiveness of UNDP and regarding its administrative capacities.
5. However, there is little evidence of the results obtained, and no possibility to verify how the citizens of Mozambique see the changes in the governance sector, as partners do not monitor this consistently. Where UNDP has achieved good results, these are little known by partners and have low visibility.
6. Certain projects did not achieve their intended objective as described in the project document.
7. Little communication and early warning has been given regarding the predictability of funding during the UNDAF cycle. Most partners requested a greater effort from UNDP to communicate the availability of funding for project implementation.
8. UNDP has shown its commitment and interest in incorporating HIV/AIDS and gender as a transversal issue, but in practice they are not integrated within or mainstreamed in all projects, so the interventions end-up working along parallel lines.
9. Overall, the contribution of the eight projects to the Outcome 6 is weak and is not supported by evaluative evidence beyond the reported capacity development components, which are not being measured or monitored by the UNDP.
10. Several projects were planned in an overly ambitious way without taking the Mozambican reality into consideration, leading to a much slower execution than expected. Examples are found in the establishment of the NHRC, the delay with the justice palaces, the Police project, among others.
11. There is no evaluative evidence that the projects contributed measurably to outcome 6 "Strengthened democratic governance systems and processes guarantee equity, rule of law and respect of human rights at all levels". The two main reasons are (i) they don't reinforce themselves mutually as their results are in very different areas and (ii) the underlying Theory of Change, ToC, has a rather mechanistic approach regarding human development and doesn't take sufficiently in account that achieving outcomes involves people and highly dependent factors such as personal and institutional growth, behaviour change and new ways of relating to each other.

It is therefore necessary, in the view of the evaluation team, to rethink the strategies for achieving the results, particularly in the areas of capacity development, partnership, M&E and RBM, strategic planning, communication, to provide common tools to all actors, both within

UNDP and with the partner institutions, to better formulate interventions that will be mutually supportive of the very critical outcome of democratic governance, of which the UNDAF Outcome 6 statement may not have been the best possible definition, and the wider mandate of UNDP in Mozambique.

10 RECOMMENDATIONS

This section flows from the conclusions, and therefore the recommendations attempt to provide constructive inputs into addressing the different difficulties and gaps experienced during the implementation of the various governance projects under the UNDAF cycle.

1. We would encourage UNDP to develop a strategy on how the entire governance projects portfolio will interact to contribute to the UNDAF Outcome
2. Planning together with partners the anticipated results and identifying how each partner can provide added-value to strengthen the joint efforts, using the existing instruments and tools that UNDP has available (e.g. PME handbook).
3. To ensure a common language and understanding amongst all actors, additional RBM training should be provided to UN agencies and partners regarding M&E and RBM.
4. UNDP should maintain the good collaboration with the satisfied partners and strive to achieve similar results with all partners through a clear partnership strategy for achieving the Outcome
5. UNDP is encouraged to review its M&E system and support government partners with the transition from activity based planning to results planning so that together they can provide proper evidence of results.
6. UNDP is advised to improve its communication and visibility regarding the results achieved.
7. It is necessary to integrate a clear perspective of “results” and the corresponding level of commitment to results for every project, based on a shared understanding of RBM.
8. UNDP should explain clearly the funding available to its partners, and also inform partners about the project activities that it is implementing directly.
9. An expert in transversal issues could be hired on temporary basis to support the governance area in mainstreaming HIV/AIDS and gender into programming.
10. UNDP should monitor and measure capacity development within the organizations and of project activities;
11. UNDP should use this evaluation to review and update its strategies regarding: a) partnerships b) capacity development c) M&E and RBM d) strategic planning e) communication, which should be owned, designed and developed by the management team.
12. UNDP and its partners are encouraged to also take the adaptive challenges in account when planning project activities and to reflect how they will overcome “resistance to change” It is considered useful to hire a change management consultant that could support UNDP in that aspect.

Finally, though there is no corresponding finding to support this recommendation, it is also important to note that UNDP has been involved in other countries in reconciliation. Depending on the human resources available and UNDP's own capacities, UNDP management should also consider the advantages of working in that specific theme, as it is also a basic requirement to consolidate democratic governance, something much more difficult to achieved in a fractured and divided society.

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Institutions and key-informants interviewed

Organization - Institution		Name	Position
UN agencies			
1	UNDP	Marcia de Castro	UNDP Resident Representative in Mozambique
		Martim Maya	Country Director
		Habiba Rodolfo	Head of Governance Unit
		Salmina Merique	Programme Officer
		Rodrigo Cina	M&E Specialist and Evaluation Manager
2	Access to Justice Project	Carl de Faria	International Consultant recruited for the Final Evaluation of the Access to Justice Project
3	UNWomen	Ondina da Barca Vieira,	Programme Manager
Government Partners			
4	Administrative Court	José Maduela	Director of International Cooperation
5	CNDH	Kátia Cândido	Head of Department
6	CNCS	Cecilia Martine	Focal Point for the Project
7	Commission for Planning and Budgeting	Dr. Eneas Comiche	President
8	Department of Administration of Justice	Firoza Gani	National Director of the DNAJ
9	DNPO	Cristina Matusse	Deputy National Director of the DNPO Programme
10	IGF	Emanuel Mabumo Rogerio Juma	Vice General Inspector
11	IPAJ	Manafá Pildes Henrique Chiau	Head of the department for planning and cooperation

Organization - Institution		Name	Position
12	MINEC	Chico Mortar	National Coordinator of the "Country Programme and Coordination Project"
		Laurinda Banze	Head of Multilateral Relations Department
13	STAE	Felisberto Naife	Director General
14	Parliamentary Commissions	Arsenio Paulo	UNDP Advisor to Parliament
15	Police	Maria Eduardo Cumbe	National Coordinator of the UTIPE project
		João Sumburane	Project manager of the UTIPE Project
		Antonio Alfredo Pelembe	Police Commissioner Deputy Director
		Juliano Paolo Khoza	Head of the Department for the development of crime-database development
16	Representatives of Parliamentary Commissions	Marta Uate	Technician / DAC 1ª Commission
		Benefício Cuacie	Technician / DAC 4ª Commission
		Zulino de Castro	Technician / DAC 5ª Commission
		Arlégia Ubisse	Technician / DAC 2ª Commission
		Maria de Lurdes Gomes	Assessor
		Ribeiro Carlos Júnior	Programme Officer
Donor agencies			
17	Irish Embassy	Inocêncio Macuacua	Governance adviser at Embassy of Ireland
18	USAID	Nuno Gaspar	HIV Project Management Specialist
19	European Union	Anna Renieri	Head of Operations Section Civil Society and PALOP

Organization - Institution		Name	Position
		Filipa Corte Real	Development Coordination Officer
20	Brazilian Embassy	Daniel Barra Ferreira	Minister-counsellor
	Civil Society Organizations		
21	Centro de Aprendizagem e Capacitação da Sociedade Civil	Paula Monjane	Executive Director
22	Liga dos Direitos Humanos	Souza Cheile	Planning Coordinator
23	REJUSIDA	Madalena Langa Rondinho Cavalete	Programme Officer General Director

REVISED INCEPTION REPORT

Evaluation of UNDP Mozambique support to UNDAF 2012-2016 OUTCOME 6: Strengthened democratic governance systems and processes guarantee equity, rule of law and respect of human rights at all levels

Evaluation commissioner: UNDP Mozambique

Christian Bugnion, Evaluation Team Leader
Marion Baumgart dos Santos, Evaluation Expert

29 September 2017

I. INTRODUCTION

UNDP's corporate policy is to evaluate its development cooperation with the host government on a regular basis in order to assess whether and how UNDP interventions contribute to the achievement of agreed outcomes, i.e. changes in the development situation and ultimately in people's lives. UNDP defines an outcome-level result as "the intended changes in development conditions that result from the interventions of governments and other stakeholders, including international development agencies. They are medium-term development results created through the delivery of outputs and the contributions of various partners and non-partners. Outcomes provide a clear vision of what has changed or will change in the country, a particular region, or community within a period of time. They normally relate to changes in institutional performance or behaviour among individuals or groups".[20]

As an outcome-level evaluation therefore, the primary focus of this evaluation will be on the programme outcomes as defined above. However, in order to understand whether everything was done to contribute to the achievement of outcomes, the evaluation will also assess how well the interventions were designed and planned; what activities were carried out; what outputs were delivered; how processes were managed; what monitoring systems were put in place; how UNDP interacted with its partners, and, above all, what changes have taken place at the outcome level.

This report represents the first deliverable of this outcome evaluation. The report outlines the methods, sources and procedures to be used for data collection, as well as a proposed timeline of activities and submission of deliverables. The report constitutes a desk study and review of background documents submitted to the evaluation team, and proposes specific lines of inquiry about the UNDAF Outcome 6 evaluation to be used as an initial point of agreement and understanding between the evaluation team and the evaluation commissioners. The inception report also reconstructs a Theory of Change (ToC) that could underpin the preparation of the UNDAF 2012-2016. While no ToC was established at the time, it is important to present a reconstruction of the theory of change to be able to see if the logic, approach, pathway and assumptions that went into the UNDAF 2012-2016 actually formed a coherent package in support of Outcome 6.

[20] UNDP (2011); Outcome-level Evaluation: A companion guide to the handbook on planning monitoring and evaluating for development results for programme units and evaluators, p 3.

II. Evaluation Scope and Objectives

The purpose of this UNDAF outcome 6 evaluation is to assess UNDP's contribution towards progress made in achieving the stated outcome 6 of the 2012-2016 UNDAF:

"**Strengthened democratic governance systems and processes guarantee equity, rule of law and respect of human rights at all levels**" with a particular focus on capturing and demonstrating evaluative evidence of contribution to development results.

The **UNDAF Outcome 6 encompasses the following 7 outputs** as per details of the UNDAF Action Plan p. 89. Since UNDP is one, but not the only, UN agency contributing to Outcome 6, the specific roles and key actions of UNDP will also be specified:

Table 1: UNDAF Outputs

Output Nr	UNDAF Outputs	UNDP role and key action	Coverage
6.1	*The Specialised Parliamentary Commissions are strengthened to initiate and monitor the application of legislation and budget oversight*	Provide technical support on PFM and service delivery to national Parliament and Provincial Assemblies, and to national Parliament on legislation matters	Central, Gaza, Nampula, Cabo Delgado
6.2	*Vulnerable groups particularly at decentralised level increase their awareness of electoral civic responsibility*	Provide technical assistance and advice to STAE on electoral civic education and its integration on educational curriculum via MoE	Central
6.3	*MPD effectively coordinates the planning, implementation, and monitoring cycle of PES with particular attention to vulnerable groups*	No direct role for UNDP, other UN agencies (UNESCO, ILO, UNFPA, UNICEF, UN Women)	Central
6.4	*The national statistical system produces, analyses and disseminates quality data to promote the achievement of the MDGs*	Production of MDG reports, national human development reports, and other policy documents and their dissemination at sub-national levels	Central
6.5	*International and regional human rights instruments implemented and monitored*	Technical assistance to the National Human Rights Commission and MJ NHRC on the national plan for the protection	Central

		and promotion of human rights and the UPR. Assist the National Aids Council to enhance its capacity to coordinate HIV interventions.	
6.6	*Populations in Mozambique have increased access to justice and human rights protection*	Technical assistance on the development and implementation of innovative justice instruments and awareness raising of human rights, especially women Assist the Police of Mozambique in Gender Based Violence and HIV prevention issues.	Central and districts of Sofala, Nampula & Inhambane
6.7	*MINT and MINEC in collaboration with provincial partners manage migration flows in a protection-sensitive manner*	No direct role for UNDP, UNHCR and IOM main partners	Central

Since outputs 6.3 and 6.7 have no direct involvement of UNDP, the evaluation will focus its efforts on outputs 6.1, 6.2, 6.4, 6.5, 6.6 of the UNDAF and how and to what extent UNDP's role in the completion of the outputs contributed to the UNDAF outcome.

UNDP has implanted 7 projects under the above-referred UNDAF outputs under Outcome 6. The evaluation scope is therefore the contribution of UNDP through the following 7 projects to UNDAF Outcome 6:

Table 2: list of UNDP projects under UNDAF Outcome 6 and its outputs

Title and UNDAF output	Initially Planned Budget	Period	Expected results	Partners
PALOP (regional) – Strengthening technical and functional skills of Supreme Audit Institutions, Parliament and Civil Society Output 6.1	Euros 1.1 million	February 2014-2017	SAI's control and audit capacities over public finances in PALOP are strengthened in a context of joint learning	National Assembly's Budget and Planning Committee, CSOs (Forum de Monitoria de OGE)

Project to strengthen Parliamentary capacity to legislate and audit Output 6.1	US$ 2 million	2012-2016	Increased capacity of parliamentarians to analyse the budget with an HRB approach and gender perspective; Increased capacity of the Permanent Commission to monitor and support the work of specialised commissions; Improved capacity of the Commission for Constitutional matters, HR and Law to analyse and formulate legislation and to engage in communication with citizens and interested parties regarding formulation of the legislation	Commission for budget and planning; Permanent Commission, Commission for Constitutional matters, HR and law
Support to the Electoral Process through Improved Electoral Civil Responsibility at Decentralised level Output 6.2	US$ 4.05 Million	2012-2016	Improve efficiency and effectiveness of STAE and CNE to conduct electoral civic education	STAE, CNE, MoE, CSO
Research and Capacity building to enhance policy advice to promote human development and MDGs' achievement Output 6.4	US$ 1.5 million	2012-2016	Annual production and dissemination of at least one policy document on HD and poverty in Mozambique; Two NHDR produced and disseminated at provincial level (2012 and 2014/5); 2015 national MDG report produced; Key members of INE and MDP trained in conducting poverty analysis and development of inclusive growth strategies; Key members of MPD and MINEC have received tools and methods to conduct aid effectiveness analysis;	MPD/DNP, now MEF, MINEC DNEAP, INE, CSO

			Strengthened capacity to contribute to the Mozambican Development agenda	
Support to develop the capacity for local HIV response Output 6.5	US$ 1.35 million	2012-2017	Capacity of CNCS at national level and sub-national level improved to coordinate planning, implementation and monitoring of HIV programme; HIV law is reviewed; Grant management model revised; Revised grant management model adopted and implemented	National Aids Council (CNCS) Parliament Office for prevention and elimination of HIV and AIDS
Strengthening access to justice, rule of law and human rights protection Output 6.5 Output 6.6	US$ 2.79 million	2012-2017	Support to process to strengthen innovative justice instruments (free legal aid, Palaces of Justice, alternative to imprisonment); Increase awareness of vulnerable groups on human rights and justice services; Support the establishment of the National Commission on Human Rights	Supreme Court, Attorney-General, Correctional Services, IPAJ, NCHR
Support to the Police of the Republic of Mozambique Output 6.6	UD$ 3.59 million	2012-2017	Legal framework related to the National Crime Observatory finalised; National Crime Observatory made operational; Officials of the NCO capacitated; Transparency in the work of the NCO ensured	MINT, UTIPE MFA
Country Programme Coordination and Capacity Development *No link with specific UNDAF output, more CP specific*	US$ 3.05 million	2012-2017	CP monitored and evaluated; Coordination capacity of MINEC enhanced; Annual NIM/NGO audit exercise completed on time; Increased RBM/PME capacity; Institutional capacities of MINEC and UNDP maintained	MINEC, DOIC

The objectives of the UNDAF outcome 6 evaluation are:

a) to capture and demonstrate evaluative evidence of UNDP's contribution to development results at the country level, including expected and unexpected results;
b) To identify the key lessons learned;
c) To identify good practices and provide recommendations.

The evaluation will be based on the five criteria laid out in the OECD-DAC Principles for Evaluation of Development Assistance,[21] which defines the following:

Relevance: The extent to which the aid activity is suited to the priorities and policies of the target group, recipient and donor.

Effectiveness: A measure of the extent to which an aid activity attains its objectives.

Efficiency: An economic term which signifies that development aid uses the least costly resources possible in order to achieve the desired results; and generally requires comparing alternative approaches to achieving the same outputs, to see whether the most efficient process has been adopted.

Impact: The positive and negative changes produced by a development intervention, directly or indirectly, intended or unintended.

Sustainability: Assessing the probability that the benefits of an activity are likely to continue after the programme cycle.

In the case of the evaluation of the UNDAF outcome 6, considering the five-year time frame under which it has operated, it may not be possible to already appraise the impact of the UNDP support. However, to the extent possible, the evaluation will try to infer, using contribution analysis, the likely contribution of UNDP to the existing changes that have taken place, as described further in the methodology section.

As per the TOR, the evaluation will specifically:

(4) Provide evidence to support accountability of UNDP programming;
(5) Provide evaluative evidence of the contribution of these projects to the stated UNDAF outcome 6 objective

[21] The *DAC Principles for the Evaluation of Development Assistance*, OECD (1991), Glossary of Terms Used in Evaluation, in 'Methods and Procedures in Aid Evaluation', OECD (1986), and the *Glossary of Evaluation and Results Based Management (RBM) Terms*, OECD (2000).

(6) Identify current areas of strengths, weaknesses and gaps, especially:
   (vi) The appropriateness of UNDP's partnership strategy
   (vii) Impediments to achieving the expected results
   (viii) Degree to which HRB approach and gender were incorporated into the various interventions
   (ix) Adjustments to be made
   (x) Lessons learned for the next programming cycle

The recommendations of this evaluation will help to feed into future planning processes.

Given that an outcome evaluation necessarily has various levels of analysis, the lines of inquiry of the evaluation will be addressing the following areas:

1) Project specific: did each UNDP project achieve its intended results, if so how, and is it supporting the achievement of the specific UNDAF Output;
2) Did the various projects outcomes achieved contribute to the UNDAF outcome 6 statements, to what extent and why;
3) Major barriers to implementation and achievement of expected results;
4) Logic, strategy and linkages between UNDP's achieved outputs and their contribution to the outcome statement;
5) UNDP's partnership and capacity development strategies;
6) Outstanding opportunities that UNDP can use to include in future programming.

III. CONTEXT AND RATIONALE

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. UNDP has commissioned an evaluation team composed of two external consultants (one evaluation team leader, on evaluation expert) for the summative evaluation of the UNDAF outcome 6, who have not previously worked together and were recruited separately.

Ideally the evaluation could have been conducted at an earlier date, as the UNDAF time-frame is already over (2012-2016). At the same time, changes in the post-2015 agenda means that one of

UNDP's priorities and that of the host government (achievement of MDGs) have now necessarily to be reflected in the framework of the SDGs, that replace the MDGs.

The evaluation manager is the UNDP CO M&E focal point, who will manage the evaluation in line with the UNEG standards and with the support of an Evaluation Reference Group. The field work in Mozambique will take place in October as agreed between the evaluation team and the evaluation commissioner.

IV. DESCRIPTION OF THE UNDP PROGRAMME UNDER UNDAF OUTCOME 6

As mentioned under table 2. above, UNDP has implemented 8 different projects in support of UNDAF outcome 6.
2 projects aligned with output 6.1 of the UNDAF, PALOP and Parliament capacity development
1 project aligned with output 6.2 of the UNDAF, Support to Electoral Process
1 project aligned with output 6.4 of the UNDAF, research and capacity building for MDGs
1 project aligned with output 6.5 of the UNDAF, support to local HIV response
1 project aligned with output 6.6 of the UNDAF, support to the police
1 project aligned with output 6.5 and 6.6 of the UNDAF, access to justice

1 additional project, capacity development for country programme coordination, is not aligned to any of the UNDAF outputs, rather it aligns with CPD outputs, which is a different unit of analysis. Therefore, the evaluation manager must confirm the objective of the evaluation, as the TOR refer to both UNDAF and CPD. Since the two are different units of analysis, the evaluation is unable to work at two different levels. It is the understanding of the evaluation team that the unit of analysis is the contribution of UNDP under outcome 6 of the UNDAF, which will be the basis for the evaluation, and not the contribution to the CPD.

UNDP has carefully identified projects that had the same time-frame as the UNDAF (e.g. 2012-2016), with the exception of PALOP, which is a regional project covering various countries over a period of two years (Feb. 2014-2017). Each project has in turn a results framework and an indication of the project expected results.

It is important to identify the logic which led to the development and establishment of the UNDAF results framework, including its outputs and its indicators, as the TOR require the evaluation team to develop a **theory of change** (TOC) for the rationale used by UNDP to inform UNDAF Outcome 6.

Evaluability Assessment

The evaluation team reviewed and analysed a set of documentation provided by UNDP and mentioned in the bibliographical annex, in order to understand the logic behind the development of the UNDAF 2012-2015 for outcome 6 and how results were to be appraised.

As a UN Development Assistance Framework, the UNDAF is the sum of all UN Country Team interventions, and therefore is a broader unit of analysis than the logic behind UNDP's interventions. As Mozambique's first "Delivering as One" UNDAF, it would have been particularly important to have the various agencies M&E teams and experts contribute to the formulation of the outcomes, outputs and indicators, to reflect the consensus of the technical expertise in-country regarding the common position of the UN Country Team in Mozambique, particularly for outcome 6 in which UNDP plays a lead role. The literature reviewed, including the UNDAF Strategic Reflection and Mid-term review of October 2014, and the KPMG Evaluation of UNDAF 2012-2016 of November 2015, indicate a certain disconnect between the contents of the UNDAF and the level of M&E expertise that was brought into its formulation.

This means that the evaluability of the UNDAF is not as high as it appears in its results framework. Data for a number of indicators is simply not available, and some indicators are not directly relevant to the outcome and are proxy indicators that do not measure directly the results achieved. In any case, there is limited evaluative evidence provided in the documentation that is able to inform outcome results and, where this is the case, it is essentially a claim made in UNDP reports but no triangulated or substantiated by other sources.

This has conditioned the evaluation approach towards an adaptation of the Most Significant Change (MSC)[22] method, in order to obtain some credible evidence directly from the national counterparts and project beneficiaries, regarding the changes that each UNDP project under UNDAF Outcome 6 achieved, and how these results contributed to the higher-level objective of UNDAF Outcome 6.

The lack of reliable data means that substantial effort will be placed in obtaining main stakeholder's perceptions regarding the projects' achievements and views regarding UNDAF

[22] The 'Most Significant Change' (MSC) Technique, A Guide to Its Use by Rick Davies and Jess Dart, version 1.00 April 2005, pdf version from google.

outcome 6. This will necessarily entail a substantial effort to obtain qualitative evidence of change, in a way that is both reliable and credible. The linkages and possible connections between the individual project results (linked to the UNDAF outputs 6.1, 6.2, 6.4, 6.5, 6.6) and the statement under Outcome 6 of the UNDAF will be established using **contribution analysis**, which will inform whether or not the project results contributed to outcome 6. As always in the cases of contribution analysis, it is not possible to define attribution (e.g. the extent to which UNDP is responsible for the results), so there is no quantitative measurement that can be used to establish that relationship.

Some of the qualitative evidence that will be obtained will be coded and used as illustrative evidence of findings, but will not necessarily be statistically representative. However, the mixed methods that will be used will ensure that the primary stakeholders (government counterparts, implementing partners and beneficiaries) will all be consulted in an inclusive and participatory manner to obtain the widest possible range of stakeholder inputs. This will ensure that the findings reflect the variety of stakeholders and that their views are adequately captured by the evaluation team.

Constructing a Theory of Change (ToC) for UNDAF Outcome 6.

The UNDAF Outcome 6 statement is:
"Strengthened democratic governance systems and processes guarantee equity, rule of law and respect of human rights at all levels".

On the one hand, the statement is broad enough to allow a wide range of different interventions to contribute to this outcome, thereby lending flexibility to all the UN agencies involved in the achievement of the outcome. However, as mentioned in the UNDAF 2012-2016 evaluation, there is a poor causal link from outputs to outcomes, and "the information on the effects of the UN intervention is not sufficient to determine the level of progress made in this field"[23]. It is also the view of the present evaluation team that the Outcome 6 statement is too wide to be easily articulated into a set of operational programmes that would give reasonable guarantee to its achievement. However, to develop a ToC to support the UNDAF, the evaluation team has looked at the expected results of each of the seven Outcome 6 projects, to ensure that they at least contribute to the Outcome 6 statement, albeit with different levels of intervention.

[23] KPMG, Evaluation of UNDAF 2012-2016, Final report, November 2015, p. 61

A theory of change is defined by UNDG as "a method that explains how a given intervention, or set of interventions, are expected to lead to a specific development change, drawing on a causal analysis based on available evidence. In the UNDAF context, a thorough theory of change helps guide the development of sound and evidence-based programme strategies, with assumptions and risks clearly analysed and spelled out."[24]
The question for the evaluation is therefore to identify how the set of interventions were formulated to contribute to the achievement of the outcome statement.

From the different interventions that form a part of the UNDP programming under UNDAF Outcome 6, the following theory of change could be articulated: "In the current context of government's commitment to good governance, in line with the PARP 2011-2014 which sees good governance as one of the key pillars to achieve the development objectives, and with the assumption that political stability and the upcoming elections will allow to pursue the objectives of the UNDAF 2012-2016 and particularly Outcome 6, UNDP has identified the development of specific government and civil society's capacities in the following strategic areas: 1) Parliamentary oversight, auditing and legislative action. 2) Electoral process including at decentralized level. 3) Enhance policy advice to promote human development and achievement of MDGs. 4) Enhanced capacity to provide local HIV response. 5) Support to the Police. 6) Support to the Justice system.
The rationale for supporting these strategic entry points is that each is an integral aspect of good governance: A fair and efficient electoral process, coupled with parliamentary auditing, oversight and legislative capacity, are two essential factors that contribute to good governance. The achievement of the MDGs is both a national commitment and results from possessing adequate capacity in the field of human development implemented through sound policies. Given its complexity, it is also a pre-condition that sound policy advice is given to the government in order to achieve the MDG goals. The assumption is therefore that, if provided with sound policy advice, national stakeholders (Government, but also Civil Society and Parliament/National Assembly) will be able to enforce proactive policies contributing to the achievement of MDGs. Given the persisting high rate of HIV in the country, HIV response remains a national priority that needs to be provided to the adequate standards at all levels, particularly at local level. As HIV infections have a direct effect on the social and productive sectors, it is also a priority to ensure that HIV cases are treated adequately throughout the country, to ensure equity and respect for human

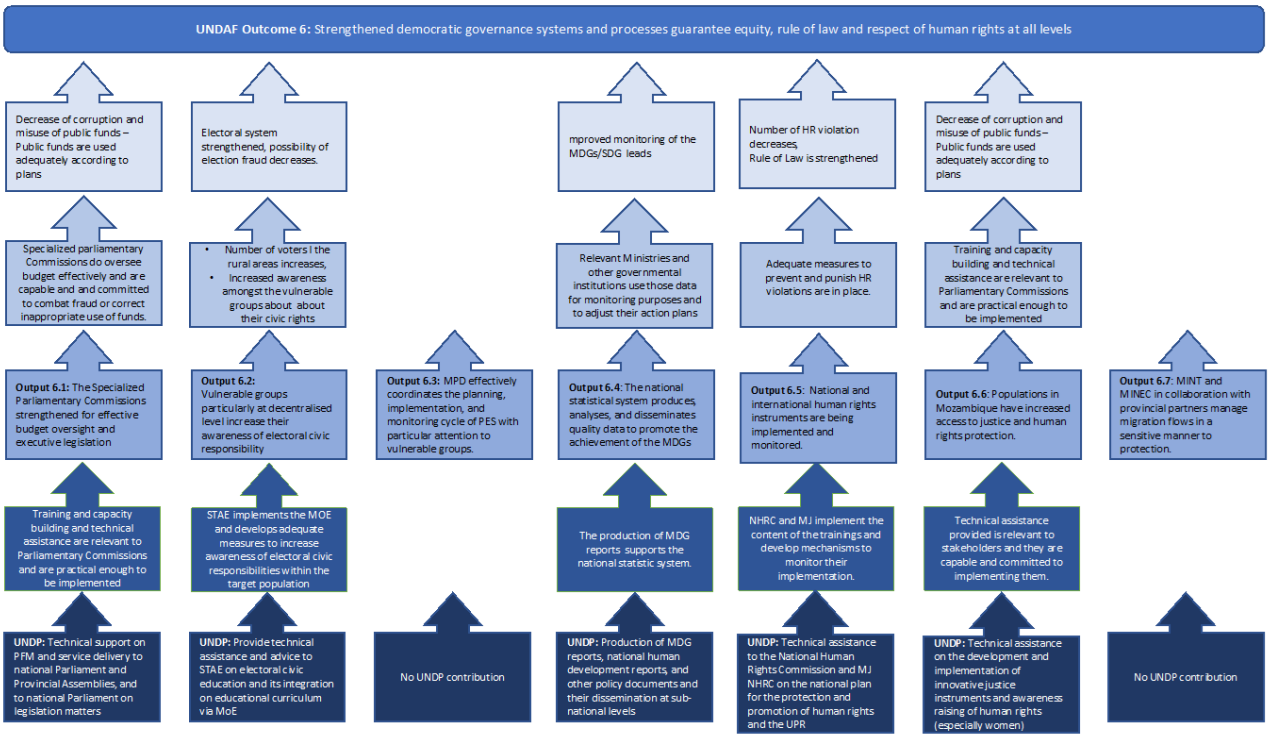
[24] UNDG, Theory of Change UNDAF Companion Guidance, 2017, point 1. Introduction

rights for all vulnerable cases. A functional justice system is a necessary condition that contributes to proper governance structures. As such, supporting access to justice is an integral requirement that needs to be achieved to contribute to good governance, based on equity and respect for the justice system. Finally, good governance also requires a rule of law where security institutions are recognised to contribute to the security and safety of all citizens. Thus, developing the capacity of the Police is also seen as an essential factor contributing to good governance."

All of UNDP's programme is therefore focused on various levels of capacity development across these six strategic entry points. The overall ToC that supports this portfolio of interventions is that, for each project that achieves its expected result, there will be a direct contribution to the UNDAF Outcome 6 statement of "Strengthened democratic governance systems and processes guarantee equity, rule of law and respect of human rights at all levels". It is further established that each intervention contributes not only directly to the outcome objective, but that each project is supportive of the other projects that constitutes the portfolio while at the same time interdependent with the other projects. The lack of results of anyone of these projects can undermine the achievement of the Outcome 6 statement, as the focus of the project is placed on critical cornerstones of good democratic governance. The risk is therefore that, if irregular results are leveraged across the different projects, lack of clear results in one strategic area is likely to influence overall outcome 6 results. Furthermore, the initial analysis for UNDAF Outcome 6 does not provide much data regarding the causal analysis, hypothesis and risks. It is therefore insufficiently developed in the UNDAF, and the tools that are supposed to be used for planning development interventions (including governance programming), that are contained in the UNDP PM&E handbook, or the UNDG RBM handbook, do not seem to have been used in the development of the UNDAF (problem tree, solution pathway, risk matrix, partnership involvement and strategic mapping, influence model, etc.).

The evaluation team also will review if all the critical aspects have been included in the strategic entry points UNDP identified for providing support.
As the ToC does not imply a lineal relationship between the interventions and the UNDAF outcome 6, it is necessary to review each project individually. The ToC will be tested through a contribution analysis to verify how realistic the ToC might be. More importantly, as the UNDAF was established without a ToC, it may help UNDP to see how the ToC should be developed for future programmes.

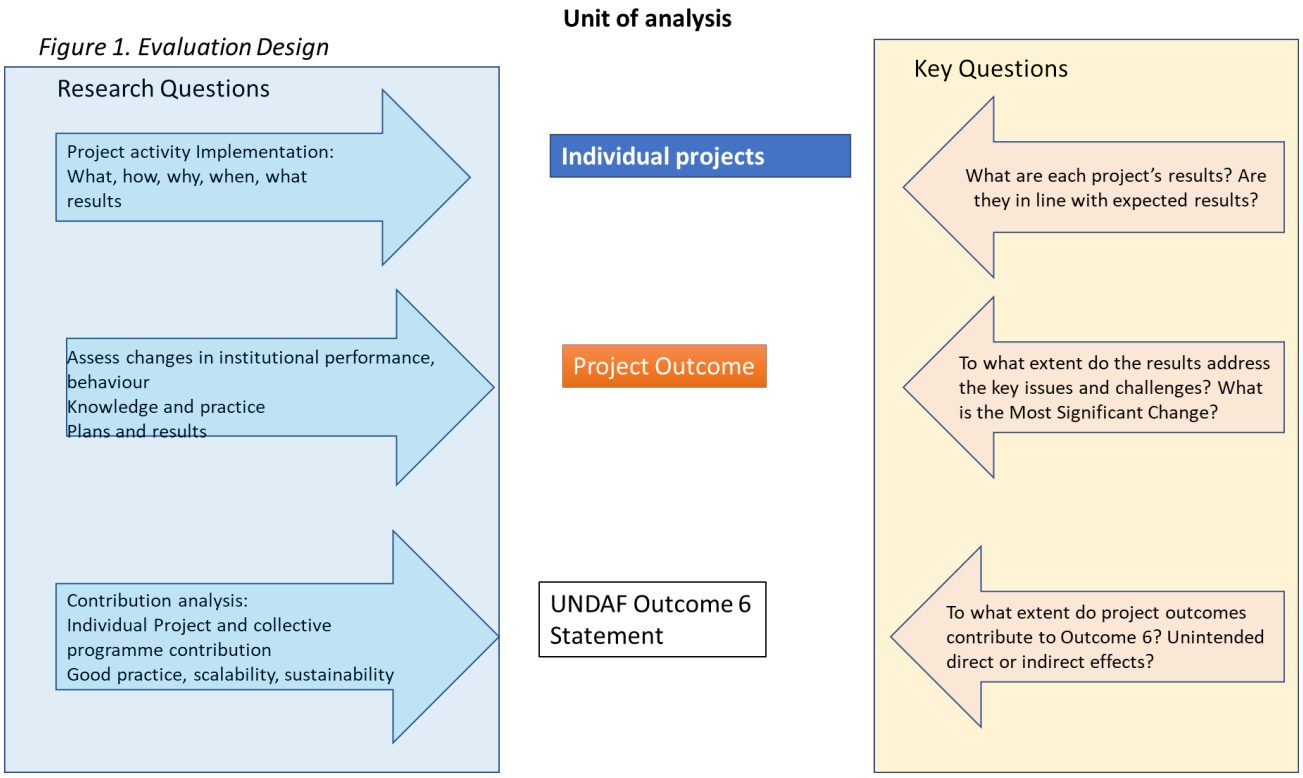
Diagramme representation of the ToC:



V. PROPOSED EVALUATION PLAN AND METHODOLOGY

This section presents the evaluation plan and proposed methodology based on the foregoing outline of UNDP's programming under UNDAF outcome 6, as well as on the documentary review and analysis of the documentation provided to the evaluation team. The figure below summarises the evaluation design through a diagramme that shows the different levels of analysis.

Figure 1. Evaluation Design



The approach to the evaluation will be participatory and follow the recommendations of the "utilization-focused evaluation" approach that is described by M. Q. Patton in his book of the same name that continues to be a good practice reference material for the conduct of development evaluations.[25] In order to ensure stakeholder participation, the evaluation manager has been requested to prepare an initial presentation meeting to all evaluation stakeholders on the second day of the presence of the team leader in the country. The objective is to present the evaluation methodology to the wider stakeholder group and also obtain their own views and expectations from this outcome evaluation. Similarly, at the end of the field work in country, namely on 20th October 2017 at 09h00, the evaluation team will hold a debriefing workshop in which the preliminary findings and conclusions will be discussed with the various evaluation stakeholders.

[25] M.Q. Patton, "Utilization-focused Evaluation", Sage Publications, 3rd Edition, 1998

The evaluation will use a mix of methods, taking into consideration that an outcome evaluation is necessarily focused on the results achieved at the UNDAF Outcome 6 statement level, which forms the basis of the evaluation and against which the programme performance must be appraised.

As defined in the UNDP Outcome-level evaluation companion guide, the main objective is to appraise the changes in institutional performance and/or behavior as a result of the programme undertaken, which is not the sole contributor to the outcome, since an outcome is by essence the result of the contributions of various partners and non-partners. Therefore, in addition to interviewing the direct counterpart and partners for each of the projects under the UNDAF Outcome 6 portfolio, the evaluation team will also have to interview the other UN agencies that contributed to the various Outcome 6 outputs to gain a broader understanding of the dynamics that may have contributed or impeded the achievement of outcome 6.

The evaluation will follow the United Nations Evaluation Group (UNEG) evaluation norms and standards, as well as the UNDP PM&E guidance documents, including the companion guide to outcome-level evaluations. The evaluation team also adheres to and is a signatory of the UNEG ethical standards for evaluation. The evaluation also applies the OECD/DAC good practice recommendations and has no conflict of interest in this assignment.

The five criteria for undertaking the assessment are mentioned in the ToR and are the standard criteria used for project evaluations: relevance, efficiency, effectiveness, impact, and sustainability. Nonetheless, as defined by UNDG and UNDP RBM guidance materials, impact deals with a higher level of results which may not yet be achieved as impact is seen as a long-term effect that entails changes in conditions such as MDGs, social, economic and for which the results are primarily nationally-owned.[26] Therefore, the evaluation will not focus on impact as the criterion is not relevant to outcome evaluations. Rather, it will focus on intended or unintended changes and effects that can be appraised through the various methods of data collection that will be used by the evaluation and through contribution analysis.

The evaluation mixed methods approach will consist of several phases, which are described hereunder:

[26] UNDG RBM Handbook, op. Cit., p. 13

1) Documentary review and analysis phase, development of the evaluation matrix, theory of change, interview tools, data collection instruments, initial findings and limitations. Presentation of the inception report – September 2017
2) Field data collection in Mozambique from 9th October 2017 to 20th October 2017 inclusive. The evaluation team will during this time hold interviews both at central level (Maputo) and in at least one province (Gaza). The evaluation team member will travel to Gaza for 3 days (tentatively 11 to 13 October 2017) to obtain evaluative evidence of outcome results at provincial and, if possible, at district/aldeia level. To the extent possible, direct beneficiaries will be interviewed in sex-disaggregated groups.

   One key source of information will be Key Informant Interviews (KII). Interviews will be semi-structured using a questionnaire/interview protocol with several questions including close-ended and open-ended questions to ensure comparability and consistency, as well as five-point rating scales. In addition to KII, there may be group interviews (when more than one informant attends the meeting) and Focus Group Discussion (FGD), particularly at provincial/district level with beneficiaries. FGD are normally taking place with a maximum of 12 persons and around a number of pre-selected topics for up to about 90 minutes. The evaluator animates the discussion, either tapes or takes notes of the responses so evaluative evidence is collected during the FGD. Another source of data collection will be on-site observation.
   It is expected that KII will take an average of 50-60 minutes. Both evaluation team members are fluent in Portuguese and therefore do not require interpretation. The evaluation team will also divide its work and hold interviews separately to maximise the efficiency of the evaluation process and the limited time available. Projects will be allocated to each evaluation team members to interview project stakeholders. UNDP support will be requested to confirm meetings with key informants and assist in ensuring adequate logistical support. Although the evaluation team is expected to be fully functional, specific support may be required from the UNDP evaluation manager in case some meetings are not confirmed through direct contact.

3) Data analysis of notes and evaluative evidence, preparation of the draft evaluation report. This will be done with the evaluation team based at their home, and the draft evaluation report will be provided within twelve working days after the end of the field collection phase.

4) A final evaluation report will be submitted to UNDP within five working days of the receipt of the consolidated comments from the evaluation manager to the team leader,

but in any case, not later than fifteen working days after the receipt of the draft evaluation report.

The outcome evaluation will contribute to identifying and reporting on the results of the UNDAF outcome 6 programme. The evaluation will undertake an analysis at three different levels, as previously presented in the diagramme:

1) At the output level, based on the reports and documentation and data available from the UNDP and partners on the projects that are part of the UNDAF outcome 6 programming;
2) At the outcome level, with two different but complementary lines of inquiry: a) through the projects' national institutions and counterparts, in order to identify and capture change in capacity development, and b) to the extent possible, with a sample of direct beneficiaries, to identify and capture changes for the affected population (expected to be done at provincial/district level in Gaza province and Maputo).
3) Contribution analysis will be applied to the findings under points 1) and 2) to appraise the links to UNDAF outcome 6. Since attribution will not be possible, the evaluation will also identify the enabling factors, direct or indirect, expected or unexpected, that contributed or impeded the achievements in support of the UNDAF outcome 6.

Sampling strategy:
All primary project counterparts will be interviewed as key informants, as well as the evaluation reference group members and the members of the project steering committees. The list is therefore based on the national counterparts included in the UNDP projects. In addition, UNDP staff themselves, UN agencies, NGOs, donors and Civil society organisations will also be interviewed to gain a perception of how UNDP's support to UNDAF Outcome 6 is seen in the current context and its potential to further support good governance efforts in the coming years. Concrete examples of achievements, changes, increased capacities, and other evaluative evidence samples will be collected from interview notes. The list of potential interviewees is provided, with a potential distribution of task between the evaluation team members as follows:

Evaluation respondents:

Team Leader	**KII**	**Team member**	**KII**	**comments**
PALOP project	Planning & budget committee, Forum de Monitoria do OGE	**Support to Electoral Process at**	STAE, MINEC, CNE, CSOs, provincial/district	

	UNDP staff	**Decentralised Level**	partners, UNDP staff	
Increased capacity by Parliament to audit/legislate	Planning & Budget committee, Permanent Commission for support to specialised Commissions, Commission for Constitutional Matters, HR and law, UNDP staff	**Enhancing Policy advice to promote Human Development and achievement of MDGs**	MEF (former MPD), MINEC, INE, DNEAP, DNP, CSOs, UNDP staff	
Support to the Police Both team members	MINT, UTIPE, MFA, UNDP staff	**Support to the Police** Both team members	MINT, UTIPE, MFA, UNDP and staff	Field work Gaza Province and/or district
Access to Justice	MoJ, Supreme Court, Attorney-General, IPAJ, Correctional Services, NCHR	**Capacity developed for local HIV response**	CNCS, Parliament Office for prevention and Elimination of HIV/AIDS, UNDP	**Field work Gaza Province and/or district**
Country Programme Coordination	MINEC, DOIC, UNDP			**Not linked to UNDAF directly**

In addition to the above direct stakeholders and partners, the evaluation will also have to interview the UN agencies that participated in the programme of UNDAF Outcome 6. Based on the UNDAP list of the Governance area, the following UN agencies should also be interviewed by the evaluation team:

- UN Women, UNICEF, UNFPA, UNESCO, ILO, OHCHR, UNHCR, IOM

Interviews with donors will also be held, among which:

- EU, Portugal, USA, Italy, UK, Spain

Other respondents, such as Provincial and local Government, CSOs, Think Tanks, INGOs, may also be interviewed if time allows.

Level of interviewees: the evaluation team needs to obtain both the political/Institutional view, e.g. interviews with decision makers and managers, as well as the technical view, e.g.

with the institutional experts, to appraise the capacity development and changes brought about by the different interventions. Therefore, every national counterpart interview should be held, to the extent possible, with both political and technical staff to gain both perspectives on the results of the programme.

Data validation: The evaluation will use triangulation (e.g. confirmation from three different sources) to present a finding and ensure credibility and accuracy. This will facilitate the difference between individual perceptions and institutional/collective views leveraged. A clear distinction will also be made between the interpretation of the data (subjective) versus the triangulated findings (objective and factual).

The following table provides the evaluation matrix and guide for the data collection tools and sources for the evaluation criteria as defined in the TOR. The tentative and indicative list of key information providers and stakeholders (shown above) will have to be reviewed and discussed with the UNDP evaluation manager and the ERG. UNDP will be responsible for confirming the appointments and facilitating the interviews and visits to relevant sites/locations and all logistical arrangements for the mission.

Evaluation Matrix

Criteria	Evaluation questions	What to look for	Data sources	Collection methods
Relevance	- Is programme aligned with national strategies and is it consistent with human development needs and development challenges in the country? - How appropriate was UNDP's partnership strategy?	- Comprehensive situation analysis prior to design - Are the resources allocated sufficient to achieve the objectives of the programme? Strength of the logical design	- UNDP staff - Development partners - Government partners - Civil society partners - Donor - UN agencies Using KII	National plans and reports on national priorities (e.g. PARP) Interviews with KI, development partners, CSOs, government, donors, UN agencies Notes from KII
Effectiveness	- Were there project outcomes (expected results) achieved? - What progress was made? - What changes were brought to the main stakeholders, both at project level and at UNDAF Outcome 6 level? (MSC approach)	- What changes can be observed as a result of the outputs? - Have needs of disadvantaged groups been taken into account?	- Programme documents - Annual Work Plans - Evaluation reports - MDG progress reports	- Stakeholder interviews (KII) - Document review - Beneficiary focus groups (FGD) - On-site visits to sample projects including at

	- To what extent has UNDP contributed to the outcome? - To what extent did the other UN agencies contribute to the outcome? - How effective was UNDP's capacity development strategy? - Evaluative evidence of good practice?	-Interaction between partners and capacities (Govt., UN, etc.)	- Human Development Reports - Stakeholder interviews	provincial/district level - Notes from FGD and KII
Efficiency	- Was the Execution Modality (NIM) conducive to efficient project implementation? - Were the projects Implemented within deadline and cost estimates? -Was the M&E system supporting management efficiency	- Effective mechanism for monitoring implementation - Are resources focused on critical activities or are they spread too thinly?	- Programme documents - Annual Work Plans - Evaluation reports - ATLAS ROAR reports - Government partners - Development partners - UNDP staff	- Desk reviews of secondary data - Interviews with government partners, development partners and non partners Notes from KII and desk review
Sustainability	- Were initiatives designed to have sustainable results given the identifiable risks? - Did they include an exit strategy? - Is there threat to sustainability? - How has UNDP approached the scaling up of successful initiatives? - Has government taken up on these initiatives?	- Political, institutional, Financial, Technical and Environmental factors - What corrective measures did UNDP take? - government ownership and commitment	- Evaluation reports - Progress reports - Programme staff	- Desk reviews of secondary data - Interview UNDP programme staff and Nat. Programme Managers Notes from KII
UN Values:				
Gender equality	- Was gender mainstreamed into the achievement of the outcome? - Were actions taken effective?	Can results of the programme be disaggregated by sex? Evidence of gender empowerment?	-Project documents Evaluation reports UNDP staff, marker Government partners Beneficiaries	Desk review of secondary data -Interviews with UNDP staff and GoM partners -Observations from field visits, FGD and KII notes
Human rights principles and Social Inclusion	How did the UNDP programme take into account the plight and needs of vulnerable and disadvantaged to promote social equity, for example,	-specific requirements for inclusion of vulnerable groups	Documents: Evaluation reports UNDP staff Government partners	Desk review Interviews (FGD, KII) and field level observations

	women, youth, disabled persons?	and defense of human rights	Beneficiaries	

VI. QUALITY ASSURANCE AND STANDARDS

The evaluation will benefit from the support of the Country Office and the Evaluation will be placed under the overall supervision of the evaluation manager (who is the M&E expert) at the CO, supported by an Evaluation Reference Group. All deliverables will be approved by the evaluation manager within three working days from the date of submission. If any deliverable does not meet the expected standards, a clear indication of the corrections should be made in track changes on the document and be sent back to the evaluation team leader.

For the revision of the draft evaluation report, as it is commonly circulated amongst stakeholders, while it needs to be formally approved after three working days, various comments may stem from the different stakeholders. In this case, the evaluation manager should send the consolidated comments in one document using track changes within fifteen working days from the date of receipt of the draft evaluation report. As each deliverable is linked to a payment milestone, there should be no delay in the timeliness for approving deliverables and submitting comments on the draft evaluation report from the evaluation manager.

The evaluation will follow the required quality standards as mentioned in the TOR, particularly the UNEG Evaluation Standards, Ethical Standards for Evaluations, and the guidance from the UNDP Handbook on Planning, Monitoring and Evaluation for Development result, as well as the UNDP outcome-level evaluation companion guide book.

VII. TIMELINES AND SCHEDULE OF DELIVERABLES

The evaluation is budgeted for a period of 25 working days from September 2017 and includes field work in Mozambique for the period 9-20th October 2017 both inclusive. The evaluation team will submit the following outputs as per following schedule of deliverables:

a) Draft inception report .....25 September 2017
b) Final inception report.....29 September 2017
c) First draft report.....6 November 2017
d) Final report.....24 November 2017

In addition, on 10th October 2017 in the morning, the evaluation team will make a presentation of the evaluation process to all UNDAF Outcome 6 stakeholders, supported by a power point slideshow. This will enable feedback from national partners regarding their expectations from the evaluation process.

On 20th October 2017 at 09h00, the evaluation team will also hold a validation workshop and preliminary debriefing of tentative findings and analysis and conclusions. The workshop will also be supported by a power point slideshow. This will provide an initial opportunity to vet the findings and engage with stakeholders on the evaluation results, as part of the learning process.

VIII. PROPOSED REPORT STRUCTURE

The evaluation will a report between 30 and 40 pages in length excluding Annexes. It is suggested that the proposed report structure as per the ToRs and follows the UNEG evaluation report quality checklist (2010).

In order to protect respondent's confidentiality, and particularly at local level and in interviews with beneficiaries and focus groups, names and identities will not be publicly displayed in the evaluation report, in line with proper evaluation practice.

Initial Power Point Presentation

Avaliação da contribuição do PNUD ao resultado 6 do UNDAF

"Sistemas e processos de governação democrática para garantir igualdade, Estado de Direito e respeito pelos direitos humanos a todos os níveis reforçados"

Implementado pelo PNUD Mozambique através da modalidade NIM (National Implementation)

AVALIAÇÃO INDEPENDENTE,
CHEFE DA EQUIPA: CHRISTIAN BUGNION DE MORETA,
MEMBRO DA EQUIPA: MARION BAUMGART DOS SANTOS,
MAPUTO, 10 DE OUTUBRO DE 2017

AVALIAÇAO FINAL DA CONTRIBUIÇÃO DO PNUD AO RESULTADO 6 DO UNDAF

Apresentação da equipa de avaliação
(experiencia e competências)

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OBJECTIVOS DA AVALIAÇAO

O objetivo geral da avaliação é de determinar a contribuição do PNUD para o progresso do objetivo 6 da UNDAF. Os objetivos específicos são:

1) Capturar e demostrar evidencia de como as actividades do PNUD contribuíram para o alcance dos resultados de desenvolvimento a nível do pais, e de identificar resultados não esperados
2) Identificar lições aprendidas
3) Colher boas práticas e formular recomendações

CRITERIOS DA AVALIAÇAO (OECD/CAD)

Relevância: Medida segundo a qual os objetivos de uma intervenção de desenvolvimento correspondem às expectativas dos beneficiários, às necessidades do país, às prioridades globais, às políticas dos parceiros e dos doadores.

Eficiência: Medida segundo a qual os recursos são convertidos em resultados da forma mais económica.

Eficácia: medida segundo a qual os objetivos da intervenção de desenvolvimento foram atingidos, ou se espera serem alcançados, tendo em consideração a sua importância relativa.

CRITERIOS DA AVALIAÇAO (OECD/CAD)

Impacto: Efeitos a longo prazo, positivos e negativos, primários e secundários, induzidos por uma intervenção de desenvolvimento, direta ou indiretamente, previstos ou não.

Sustentabilidade: Continuidade em relação aos benefícios resultantes de uma intervenção de desenvolvimento, após a sua conclusão

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METODOLOGIA

Muitos critérios, mais essencialmente qualitativa:

a) Análise dos documentos relevantes para o resultado 6 do UNDAF, relacionados a 8 projetos:
   1. PALOP
   2. Apoio ao desenvolvimento da capacidade parlamentaria
   3. Apoio ao processo eleitoral
   4. Apoio ao desenvolvimento das capacidades para a promoção do desenvolvimento humano e a consecução dos OMDs
   5. Apoio à resposta local relacionado ao HIV/SIDA
   6. Reforço do acesso à Justiça
   7. Apoio a Policia da Republica
   8. Reforço na coordenação do programa pais

METODOLOGIA (CONT.)

- Preparação do relatório inicial com a matriz da avaliação
- Elaboração da teoria de mudança para o resultado 6 do UNDAF
- Identificação dos informantes chave para a avaliação
- Preparação dos instrumentos da recolhida de dados
- Identificação da província (Gaza) e distritos para trabalho a nível local

METODOLOGIA (CONT.)

b) Trabalho de recolhida de informação, tanto ao nível central como ao nível provincial e distrital: varias fontes de informação, essencialmente:

1. Contrapartes nacionais do governo (para cada projeto)
2. Beneficiários direitos dos projetos
3. Parceiros de execução (ONGs, Sociedade Civil)
4. Outras agencias das NU que contribuem para o resultado 6 da UNDAF (UNICEF, UN Mulheres, UNFPA, UNESCO, ILO, OHCHR, ACNUR, OIM)
5. PNUD
6. Doadores (UE, Portugal, EEUU, Itália, Espanha, UK)

METODOLOGIA (CONT.)

- Entrevistas semiestruturadas com informantes chave
- Grupos focais com cerca de 12 beneficiários direitos desagregados por sexo
- Recolha de evidência da perceção dos vários actores e parceiros para ter una visão geral compreensiva do efeito 6 da UNDAF

Abordagem: Análise das mudanças mais visíveis e relevantes, estabelecendo elos de ligação entre os vários resultados dos projectos com o outcome do UNDAF.

O enfoque da avaliação e participativo e necessariamente transparente.

INFORMANTES CHAVES PARA A AVALIAÇAO

AGENDA DA AVALIAÇAO

Datas	Actividade
9.10.17	Chegada do chefe da equipa da avaliação, primeira reunião com o membro da avaliação, refinamento da metodologia e cronograma
10.10.17	Apresentação do plano de trabalho
10 - 13.10.17	Entrevistas e reuniões com informantes e parceiros em Maputo
16 - 17.10.17	Trabalho em vários distritos da Província de Gaza (Membro da equipa)
16 - 19.10.17	Entrevistas e reuniões com informantes e parceiros em Maputo (Chefe da equipa)
20.10.17	Apresentação das constatações e conclusões preliminares
5.11.17	Apresentação do esboço do relatório ao PNUD
19.11.17	Recepção dos comentários consolidados
25.11.17	Apresentação do relatório final ao PNUD

EXPECTATIVAS

Quais são as vossas expectativas para alem dos especificados nos TdR?

O que espera discutir no dia 20 do Outubro durante a apresentação do resultados preliminares da avaliação?

Comentários ou preguntas?
Muito obrigado

Final Power Point Presentation

Avaliação da contribuição do PNUD ao resultado 6 do UNDAF

"Sistemas e processos de governação democrática para garantir igualdade, Estado de Direito e respeito pelos direitos humanos a todos os níveis reforçados"

Implementado pelo PNUD Mozambique através da modalidade NIM (National Implementation)

PRESENTAÇAO DAS CONSTATAÇOES DA AVALIAÇÃO INDEPENDENTE,
CHEFE DA EQUIPA: CHRISTIAN BUGNION DE MORETA,
MEMBRO DA EQUIPA: MARION BAUMGART DOS SANTOS,
MAPUTO, 20 DE OUTUBRO DE 2017

OBJECTIVOS DA AVALIAÇAO

O objetivo geral da avaliação é de determinar a contribuição do PNUD para o progresso do objetivo 6 da UNDAF. Os objetivos específicos são:

1) Capturar e demostrar evidencia de como as actividades do PNUD contribuíram para o alcance dos resultados de desenvolvimento a nível do pais, e de identificar resultados não esperados
2) Identificar lições aprendidas
3) Colher boas práticas e formular recomendações

METODOLOGIA

Realizamos:

- 13 Encontros com parceiros do Governo/instituçoes
- 5 encontros com pessoal das Naçoes Unidas
- 3 encontros com representantes de doadores
- 3 encontros com representantes da sociedade civil

24 encontros em total

Total	Homens	Mulheres	Minutos	Média	Horas
24	24	35	1510	60	25,17

METODOLOGIA

Limitações: grupos focais, beneficiarios direitos (populaçao)

Numero de informadores chaves limitados, total dos encontros e nenhum grupo focal com os beneficiários direitos

FORÇAS DO PNUD NA COLABORAÇÃO COM OS PARCEIROS

- Neutralidade política, apoio sem agenda política
- Capacidade de financiamento
- Partilha de boas práticas internacionais (UPR)
- Parceria de longo tempo, em alguns casos desde os anos 90
- Apoio técnico e material,
- Receptividade as necessidades dos parceiros
- Procurement

RELEVÂNCIA

Relevância: Medida segundo a qual os objetivos de uma intervenção de desenvolvimento correspondem às expectativas dos beneficiários, às necessidades do país, às prioridades globais, às políticas dos parceiros e dos doadores.

- O apoio do PNUD é considerado relevante, mais os objetivos inicialmente determinados não são sempre aqueles que foram atingidos.
- Como disse a avaliação intermedia do UNDAF, o objetivo do efeito 6 e vasto e permite qualquer intervenção: num lado permite flexibilidade mais o risco de não estar focalizado e grande e presente – os projeto não se reforçam mutuamente.

RELEVÂNCIA 2

- Como disse a avaliação intermedia do UNDAF, o objetivo do efeito 6 e vasto e permite qualquer intervenção: num lado permite flexibilidade mais o risco de não estar focalizado e grande e presente – os projeto não se reforçam mutuamente.
- Situação do orçamento do Governo faz que qualquer apoio é bem-vindo – em alguns casos é estratégica porque o PNUD e o único apoio para alem do orçamento do governo

EFICIÊNCIA

Eficiência: Medida segundo a qual os recursos são convertidos em resultados da forma mais económica.

- Apenas um quarto dos fundos orçamentados foi executado (26.9% na avaliação UNDAF de KMPG)
- Fraca informação para os parceiros sobre a disponibilidade dos recursos para execução dos projetos (orçamento previsto no plano de trabalho do PNUD não garante que os fundos estão disponíveis)
- Alguns parceiros indicam boa comunicação e colaboração com o PNUD na parte administrativa.

EFICÁCIA

Eficácia: medida segundo a qual os objetivos da intervenção de desenvolvimento foram atingidos, ou se espera serem alcançados, tendo em consideração a sua importância relativa.

- A medida em que os projetos individuais conseguiram alcançar os resultados previstos varia muito, alguns alcançaram os seus objetivos (MINEC, MEF) outros não (Policia, Assembleia, CNDH),
- Não existe uma estratégia clara para todos os projetos, abrangem uma variedade de áreas temáticas.
- Há poucas sinergias entre os vários projectos e não há evidências para uma contribuição direita dos projectos individuais para o objetivo do resultado 6 do UNDAF.

EFICÁCIA 2

- Os parceiros avaliam a colaboração com o PNUD de forma muito diversa, 1, de muito fraco , até 5, muito bom

Nota	Respostas
5	1
4	5
3	1
2	0
1	1
media	3,625

- Alguns parceiros elogiam o PNUD pela sua reactividade e sensibilidade perante as suas necessidades tanto quanto pela boa comunicação e apoio na gestão dos projectos.

EFICÁCIA 3

- Alguns parceiros elogiam o PNUD pela sua reactividade e sensibilidade perante as suas necessidades tanto quanto pela boa comunicação e apoio na gestão dos projectos.
- Limitação da eficácia: Mais importância para actividades do que resultados
- Consequência: A prestação de contas e execução de atividades parecem mais importante do que o alcance dos objetivos do projeto e a mudança de comportamentos e prácticas

IMPACTO

Impacto: Efeitos a longo prazo, positivos e negativos, primários e secundários, induzidos por uma intervenção de desenvolvimento, direta ou indiretamente, previstos ou não.

- Existe evidência qualitativa que a capacidade de alguns parceiros foi reforçada.
- Muitos projetos demoraram na sua execução, consequentemente, o impacto ainda não é visível. Aparentemente, prefere-se financiar infraestrutura e equipamento.

SUSTENTABILIDADE

Sustentabilidade: Continuidade em relação aos benefícios resultantes de uma intervenção de desenvolvimento, após a sua conclusão

- Algumas das capacitações são sustentáveis pois as pessoas continuem a aplicar os seus novos conhecimentos
- Alguns dos projectos fornecem um bom ponto de partida para intervenções governamentais posteriores que muitas vezes não foram realizadas
- Os projetos não tem uma estratégia de saída ou de sustentabilidade.

ASSUNTOS TRANSVERSAIS

- HIV-SIDA e equidade de género são considerados assuntos importantíssimos na equipa do PNUD,
- Realiza-se actividades e projectos paralelos aos da boa governação,
- As questões de HIV-SIDA e género não estão transversalizadas na concepção, implementação e monitoria dos projectos mas execute-se projectos separados.
- Interpretação muito ampla do conceito dos Direitos Humanos no âmbito de governação.

CONCLUSOES E *RECOMENDAÇÕES*

1. O PNUD está muito comprometido com a alcance do Outcome 6, mas, devido a falta de uma estratégia integrada de intervenções, alcança-se resultados pontuais mas o seu conjunto tem pouca contribuição para o Outcome 6

   O PNUD precisa preparar uma estratégia de como o conjunto dos projectos serve para o alcance do Outcome 6

CONCLUSOES E *RECOMENDAÇÕES*

2. Há pouca sinergia entre os vários projectos, cada um trabalha sozinho.

   Planificação dos resultados e de como os parceiros podem juntar as forças em conjunto, utilizandos os instrumentos que o PNUD fornece.

   Elaborar uma estratégia de parceria que determina claramente os papeis de cada parceiro no alcance do resultado esperado

CONCLUSOES E *RECOMENDAÇÕES*

3. Parece que os parceiros não falam a mesma língua relacionada á gestão de projectos orientado por resultados e monitoria.

   Realizar uma formação em RBM para os parceiros governamentais, o pessoal do PNUD e das UN e outros parceiros envolvidos.

4. Alguma evidencia de boa colaboração com parceiros, especialmente na área administrativa e de resposta rápida a preocupações dos parceiros

   Manter a boa colaboração e estabelecer laços similares com todos os parceiros

CONCLUSOES E *RECOMENDAÇÕES*

5. Pouca evidência dos resultados alcançados.

   Estabelecer um sistema de M&E capaz de fornecer evidências sobre os resultados.

6. Focaliza-se mais na realização das actividades do que no alcance de resultados. Alguns projectos não alcançam os seus objectivos.

   Integrar a perspectiva de resultados em todas etapas do projecto.

CONCLUSOES E *RECOMENDAÇÕES*

7. Pouca clareza sobre a disponibilidade de fundos ao longo do ano

   Explicar claramente as disponibilidades financeiras.

8. Muita boa vontade e compromisso de transversalizar HIV-Sida e assuntos de género mas na práctica trabalhos em paralelo.

   Contratar peritos de transversalização para apoiar a equipa da governação nessa practica.

9. Os resultados alcançados são pouco conhecidos no meio dos parceiros

   Reforçar as capacidades de comunicação para divulgar os resultados nas varias média.

Comentários ou preguntas?
Conseguimos satisfazer as vossas expectativas?
Muito obrigado

ASSUNTOS PARA DISCUSSÃO

- Parcerias
- Fortalecimento das capacidades
- Gestão de projectos orientada aos resultados (RMB)
- Planificação estratégica
- Comunicação
- Reconciliação