

**Terms of Reference**

**Outcome Evaluation: Good Governance for Sustainable Development**

# Background

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-funded interventions contribute to the achievement of agreed outcomes, i.e. changes in the development situation and ultimately in people’s lives. Evaluating country programming 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.

These terms of reference are for an outcome evaluation of UNDP’s support to Zimbabwe in the area of good governance. Fostering and promoting good governance is an important part of the development agenda for the government of Zimbabwe. Good governance and respect for fundamental human rights and basic freedoms are prerequisites for sustainable human development. Accordingly, Zimbabwe is a signatory to the Millennium Declaration, which recognises the central importance of good governance in creating an environment that is conducive to development and to the elimination of poverty. UNDP’s governance programmes support national government priorities as defined under the government’s Mid-Term Plan (MTP) and the Zimbabwe Agenda for Sustainable Social and Economic Transformation (ZIMASSET). A new constitution adopted in May 2013 lays the foundation for deepening democratic governance in the country.

UNDP works with the Government of Zimbabwe, with other development partners and civil society, to build institutional capacity and promote sustainable development. Under the direction of the UNDP Democratic Governance Unit, UNDP provides programme and project support to various institutions and line ministries. UNDP acts as the lead agency in the area of governance within the Zimbabwe United Nations Development Assistance Framework (ZUNDAF) and co-chairs the Governance and Human Rights Theme Group, contributing to the design, implementation and monitoring of joint programming and UNDP country program outputs.

# Evaluation Purpose

UNDP commissions outcome evaluations to capture and demonstrate evaluative evidence of its contributions to development results at the country level as articulated in both the Zimbabwe UN Development Assistance Framework (ZUNDAF) and UNDP country programme document (CPD). These are evaluations carried out within the overall provisions contained in the UNDP Evaluation Policy. In line with the Evaluation Plan of UNDP Zimbabwe, outcome evaluations are being conducted in 2014 to assess the impact of UNDP’s development assistance across the major thematic and cross cutting areas of good governance, pro poor sustainable growth, and sound management and use of the environment.

The UNDP Office in Zimbabwe is commissioning this evaluation on good governance to capture evaluative evidence of the relevance, effectiveness, efficiency and sustainability of current programming, which can be used to strengthen existing programmes and to set the stage for new initiatives. The evaluations serves an important accountability function, providing national stakeholders and partners in Zimbabwe with an impartial assessment of the results of UNDP governance support.

# Evaluation Scope

The outcome evaluation will be conducted during the months of June and July 2014, with a view to enhancing programmes while providing strategic direction and inputs to the preparation of the next UNDP country programme and the next ZUNDAF, both scheduled to start in 2015.

Specifically, the outcome evaluation will assess:

1. The relevance and strategic positioning of UNDP support to Zimbabwe on good governance.
2. The frameworks and strategies that UNDP has devised for its support on good governance, including partnership strategies, and whether they are well conceived for achieving planned objectives.
3. The progress made towards achieving governance outcomes, through specific projects and advisory services, and including contributing factors and constraints.
4. The progress to date under these outcomes and what can be derived in terms of lessons learned for future UNDP governance support to Zimbabwe.

The evaluation will consider the pertinent country programme outcomes and outputs focused towards good governance, as stated in the ZUNDAF and the 2012-2015 country programme document (CPD) for Zimbabwe. Six specific outcomes under the UNDP CPD are to be assessed:

1. Equal access to justice for all
2. National institutions for promotion and protection of human rights, including women’s rights, capacitated
3. National capacities for prevention management and resolution of conflict strengthened
4. IRBM system operational throughout government
5. Public sector accountability and audit system strengthened
6. Peoples participation in decision-making and democratic processes strengthened,

As described in Annex A, the UNDP Zimbabwe country office has implemented 12 projects that reside within these outcomes. An analysis of achievements across all 12 projects is expected.

# Evaluation Questions

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

### Relevance:

* To what extent is UNDP’s engagement in governance support a reflection of strategic considerations, including UNDP’s role in the particular development context in Zimbabwe and its comparative advantage vis-a-vis other partners?
* To what extent has UNDP’s selected method of delivery been appropriate to the development context?
* Has UNDP been influential in national debates on governance issues and has it influenced national policies on legal reforms and human rights protection?
* To what extent have UN reforms influenced the relevance of UNDP support to Zimbabwe in the Governance sector?

### Effectiveness

* What evidence is there that UNDP support has contributed towards an improvement in national government capacity, including institutional strengthening?
* Has UNDP been effective in helping improve governance at the local level in Zimbabwe? Do these local results aggregate into nationally significant results?
* Has UNDP worked effectively with other UN Agencies and other international and national delivery partners to deliver governance services?
* How effective has UNDP been in partnering with civil society and the private sector to promote good governance in Zimbabwe?
* Has UNDP utilised innovative techniques and best practices in its governance programming?
* Is UNDP perceived by stakeholders as a strong advocate for improving government effectiveness and integrity in Zimbabwe?
* Taking into account the technical capacity and institutional arrangements of the UNDP country office, is UNDP well suited to providing governance support to national and local governments in Zimbabwe?
* What contributing factors and impediments enhance or impede UNDP performance in this area?

### Efficiency

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

### Sustainability

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

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

### Human rights

* To what extent have poor, indigenous and tribal peoples, women and other disadvantaged and marginalized groups benefitted from UNDPs work in support of good governance?

### Gender Equality

* To what extent has gender been addressed in the design, implementation and monitoring of governance projects? Is gender marker data assigned to projects representative of reality (focus should be placed on gender marker 2 and 3 projects)?
* To what extent has UNDP governance support promoted positive changes in gender equality? Were there any unintended effects? Information collected should be checked again data from the UNDP country office’ Results-oriented Annual Reports (ROAR) during the period 2012 - 2015.

Based on the above analysis, the evaluators are expected to provide overarching conclusions on UNDP results in this area of support, as well as recommendations on how the UNDP Zimbabwe Country Office could adjust its programming, partnership arrangements, resource mobilization strategies, and capacities to ensure that the governance portfolio fully achieves current planned outcomes and is positioned for sustainable results in the future. The evaluation is additionally expected to offer wider lessons for UNDP support in Zimbabwe and elsewhere based on this analysis.

# Methodology

The outcome evaluation will be carried out by an external team of evaluators, and will engage a wide array of stakeholders and beneficiaries, including national and local government officials, donors, civil society organizations, academics and subject experts, private sector representatives and community members.

The outcome evaluation is expected to take a “theory of change’’ (TOC) approach to determining causal links between the interventions that UNDP has supported, and observed progress in good governance at national and local levels in Zimbabwe. The evaluators will develop a logic model of how UNDP governance interventions are expected to lead to improved national and local government management and service delivery. In the case of these six governance related outcomes for Zimbabwe, a theory of change was not explicitly defined when the outcomes were established. The evaluators are expected to construct a theory of change for each of the outcomes, based against stated objectives and anticipated results, and more generally from UNDPs global governance and capacity development strategies and techniques.

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

The following steps in data collection are anticipated:

## 5.1 Desk Review

A desk review should be carried out of the key strategies and documents underpinning the governance work of UNDP in Zimbabwe. This includes reviewing the ZUNDAF and pertinent country programme documents, as well as a wide array of monitoring and evaluation documents, to be provided by the UNDP country office.

The evaluators are expected to review pertinent strategies and reports developed by the Government of Zimbabwe that are relevant to UNDPs governance support. This includes the government’s Mid-Term Plan (MTP), the Zimbabwe Agenda for Sustainable Social and Economic Transformation (ZIMASSET), and other national reports, to be made available by the UNDP country office.

The evaluators will examine all relevant documentation concerning the 12 projects implemented within the governance area, including project TORs, evaluations, and technical assessment reports.

## 5.2 Field Data Collection

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

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

# Deliverables

The following reports and deliverables are required for the evaluation:

* Inception report
* Draft Governance Outcome Evaluation Report
* Presentation at the validation workshop with key stakeholders, (partners and beneficiaries)
* Final Governance Outcome Evaluation report

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

The **draft evaluation report** will be shared with stakeholders, and presented in a validation workshop, that the UNDP country office will organise. Feedback received from these sessions should be taken into account when preparing the final report. The evaluators will produce an ‘audit trail’ indicating whether and how each comment received was addressed in revisions to the **final report**.

The suggested table of contents of the evaluation report is as follows:

Title

Table of contents

Acronyms and abbreviations

Executive Summary

Introduction

Background and context

Evaluation scope and objectives

Evaluation approach and methods

Data analysis

Findings and conclusions

Lessons learned

Recommendations

Annexes

# Evaluation Team Composition and Required Competencies

The outcome evaluation will be undertaken by 2 external evaluators, hired as consultants, comprised of an Evaluation Manager and an Associate Evaluator. Both international and national consultants can be considered for these positions.

## Required Qualifications of the Evaluation Manager

* Minimum Master’s degree in economics, political science, public administration, regional development/planning, or other social science;
* Minimum 10-15 years of professional experience in public sector development, including in the areas of democratic governance, regional development, gender equality and social services.
* At least 5 years of experience in conducting evaluations of government and international aid organisations, preferably with direct experience with civil service capacity building;
* Strong working knowledge of the UN and its mandate in Zimbabwe, and more specifically the work of UNDP in support of government and civil society in Zimbabwe;
* Sound knowledge of results-based management systems, and monitoring and evaluation methodologies; including experience in applying SMART (S Specific; M Measurable; A Achievable; R Relevant; T Time-bound) indicators;
* Excellent reporting and communication skills

The **Evaluation Manager** will have overall responsibility for the quality and timely submission of the draft and final evaluation report. Specifically, the Evaluation Manager will perform the following tasks:

* Lead and manage the evaluation mission;
* Develop the inception report, detailing the evaluation scope, methodology and approach;
* Conduct the project evaluation in accordance with the proposed objective and scope of the evaluation and UNDP evaluation guidelines;
* Manage the team during the evaluation mission, and liaise with UNDP on travel and interview schedules’
* Draft and present the draft and final evaluation reports;
* Lead the presentation of draft findings in the stakeholder workshop;
* Finalize the evaluation report and submit it to UNDP.

## Required qualification of the Associate Evaluator

* Zimbabwean citizen or persons with extensive experience working in Zimbabwe during the last 5 years;
* Minimum master’s degree in the social sciences;
* Minimum 5 years’ experience carrying out development evaluations for government and civil society;
* Experience working in or closely with UN agencies, especially UNDP, is preferred;
* A deep understanding of the development context in Zimbabwe and preferably an understanding of governance issues within the Zimbabwe context;
* Strong communication skills;
* Excellent reading and writing skills in English, and preferably also Shona.

The Associate Evaluator will, *inter alia*, perform the following tasks:

* Review documents;
* Participate in the design of the evaluation methodology;
* Assist in carrying out the evaluation in accordance with the proposed objectives and scope of the evaluation;
* Draft related parts of the evaluation report as agreed with the Evaluation Manager;
* Assist the Evaluation Manager to finalize the draft and final evaluation report.

# Evaluation Ethics

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

# Implementation Arrangements

The UNDP Zimbabwe country office will select the evaluation team, and will be responsible for the management of the evaluators. UNDP will designate a focal point for the evaluation and any additional staff to assist in facilitating the process (e.g., providing relevant documentation, arranging visits/interviews with key informants, etc.). The Country Office will take responsibility for the approval of the final evaluation report. The M&E Specialist in the Country Office will arrange introductory meetings within UNDP and Unit Heads will establish initial contacts with government partners and project staff. The consultants will take responsibility for setting up meetings and conducting the evaluation, subject to advanced approval of the methodology submitted in the inception report. The UNDP country office will develop a management response to the evaluation within six weeks of report finalization.

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

 Subsequent to the completion of this outcome evaluation, the full UNDP Zimbabwe programme will be evaluated by the UNDP Independent Evaluation Office. Zimbabwe is one of six countries to receive an Assessment of Development Results (ADR) in 2014. The IEO carries out these country programme assessments in the year prior to new UNDAF’s and CPDs being established. This outcome evaluation on governance support will be an important source of information for the Zimbabwe ADR. The UNDP Independent Evaluation Office may request to extend the contracts of the evaluators for this outcome evaluation to provide additional support to the ADR implementation during August through October 2014.

# Time-Frame for the Evaluation Process

The evaluation is expected to take 22 working days for each of the two consultants, over a period of six weeks starting 15 June 2014. A tentative date for the stakeholder workshop is 24 July, and the final draft evaluation report is due the 2nd of August 2014. The following table provides an indicative breakout for activities and delivery:

|  |  |  |  |
| --- | --- | --- | --- |
| **Activity** | **Deliverable** | **Work day allocation** | **Time period (days) for task completion** |
|  |  | **Evaluation Manager** | **Associate Evaluator**  |
| Review materials and develop work plan | Inception report and evaluation matrix | 4 | 3 | 7 |
| Participate in an Inception Meeting with UNDP Zimbabwe country office  |
| Draft inception report |
| Review Documents and stakeholder consultations | Draft evaluation report Stakeholder workshop presentation | 13 | 16 | 30 |
| Interview stakeholders |
| Conduct field visits  |
| Analyse data  |
| Develop draft evaluation report to Country Office  |
| Present draft Evaluation Report at Validation Workshop | Final evaluation report | 5 | 3 | 7 |
| Finalize and submit evaluation report incorporating additions and comments provided by stakeholders  |
|  | totals | 22 | 22 | 6 weeks |

# Fees and payments

Interested consultants should provide their requested fee rates when they submit their expressions of interest, in USD. The UNDP Country Office will then negotiate and finalise contracts. Travel costs and daily allowances will be paid against invoice, and subject to the UN payment schedules for Zimbabwe. Fee payments will be made upon acceptance and approval by the UNDP Country Office of planned deliverables, based on the following payment schedule:

|  |  |
| --- | --- |
| Inception report  | 10% |
| Draft Evaluation Report  | 70% |
| Final Evaluation Report  | 20% |

# ANNEXES

## ANNEX 1 - LIST OF OUTCOMES TO BE EVALUATED

\*Please also see the attached CPAP Result and Resources Framework.

|  |  |  |
| --- | --- | --- |
| ZUNDAF OUTCOME 1 | IMPROVED JUSTICE DELIVERTY SYSTEM AND RULE OF LAW | Projects |
| CPAP Outcome 1 | Equal access to justice for all |
| Outputs | * Strengthened co-ordination framework among all critical partners in the justice, law and order sector (including the Executive, the Judiciary, the Legislature and CSOs)
* Policies and law reforms formulated in line with existing reforms, international obligations and a future constitution.
 | 83255 – Strengthening the human rights advocacy, reporting and monitoring role of CSO83252 – Enhancing Justice Delivery and Human rights for All76719 – Supporting Constitution Process70004 – Constitution Making |
| CPAP Outcome 2 | National institutions for the promotion and protection of human rights, including women’s rights, capacitated | Projects |
| Outputs | * Strengthened capacities of the Zimbabwe Human Rights Commission (ZHRC)
* Regional and international human rights instruments ratified and domesticated
* National capacity of the State to comply with its international obligations strengthened
* Increased understanding and application of rights-based approaches
* Increased knowledge and awareness on promotion and protection of human rights.
 | 83257 – Capacity Strengthening for ZHRC |
| ZUNDAF OUTCOME 2 | STRENGTHENED MECHANISMS FOR PEACEBUILDING AND FOR THE PREVENTION, MANAGEMENT AND RESOLUTION OF CONFLICT | Projects |
| CPAP Outcome 3 | National capacities for the prevention, management and resolution of conflict strengthened |
| Outputs | * Tripartite Negotiating Forum and other dialogue for a strengthened and functional
* Alternative dispute resolution mechanisms institutionalized
* Capacities of institutions for national healing, reconciliation and integration strengthened
* Early warning conflict management system developed
* Conflict-sensitive issues integrated into national development planning
* Capacities for conflict prevention, management, resolution and transformation amongst various national stakeholders, including youth, women, disabled and traditional leaders, strengthened.
 | 79951 – Conflict Prevention and Recovery78481 – Dialogue Finance Facility |
| ZUNDAF OUTCOME 3 | INCREASED ACCOUNTABILITY IN THE MANAGEMENT OF PUBLIC RESOURCES AND SERVICE DELIVERY SYSTEMS | Projects |
| CPAP Outcome 4 | IRBM system operational throughout Government |
| Outputs | * Government IRBM components linked into one system
* IRBM institutionalized in the national public service training institutions
* IRBM operational in local and quasi-government institutions.
 | 00000 – Public Sector Reform (RBM OPC) |
| CPAP Outcome 5 | Public sector accountability and audit systems strengthened | Projects |
| Outputs | * E-government strategy implemented
* Strengthened capacities of the Ministry of Finance and the Offices of the Comptroller and Auditor General in financial and accounting management
* Strengthened capacity of transparency and accountability institutions (the Public Protector, Parliament, Anti-Corruption and Media Commissions)
* Strengthened capacity of strategic central and local government institutions to enhance delivery of services.
 | 83251 – Capacity building support for Zimbabwe Anti-Corruption Commission\*70005 – Support to Parliament |
| ZUNDAF OUTCOME 4 | ENHANCED PEOPLE’S PARTICIPATION IN CITIZEN PARTICIPATION AND GOOD GOVERNANCE STRUCTURES AND PROCESSES | Projects |
| CPAP Outcome 6 | People’s participation in decision-making and democratic processes strengthened |
| Outputs | * Civic education programme targeting the public, civil society, the community and local leaders developed and implemented
* Increased participation of people, particularly disadvantaged groups, inclusive of women, youth, the disabled and children, in public affairs
* Improved policies and programmes that increase the proportion of women in decision-making
* Strengthened mechanisms and processes for citizens’ engagement with state bodies
* Strengthened capacities of civil society to effectively participate in democratic processes and to hold public sector institutions accountable.
 | 70004 – Capacity Strengthening for ZEC83256 – Strengthening Local Government Institutions |

## ANNEX 2 - DOCUMENTS TO BE CONSULTED

* United Nations Development Assistance Framework 2012 – 2015
* UNDP Country Programme Document 2012 – 2015
* UNDP Country Programme Action Plan 2012 – 2015
* UNDP PME Handbook
* UNDP Evaluation Guide and addendum
* UNDG RBM Handbook
* UNDG Ethical Code of Conduct of Evaluators
* Project Documents, reports and project evaluation reports

## Annex 3: EVALUATION MATRIX

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

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Relevantevaluationcriteria | KeyQuestions | Specific Sub-Questions | DataSources | Data collectionMethods/Tools | Indicators/SuccessStandard | Methods for DataAnalysis |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

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

Evaluators:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and: respect people’s right not to engage. Evaluators must respect people’s right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders’ dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

**Evaluation Consultant Agreement Form[[1]](#footnote-1)**

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

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

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

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

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

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

1. www.unevaluation.org/unegcodeofconduct [↑](#footnote-ref-1)