TERMS OF REFERENCE: Evaluation of UN Women ESARO Capacity Development Initiatives during the Strategic Note period 2014-17

Final version

Main Duty Station: Nairobi, Kenya
Application Deadline: 9 Sep 2016
Type of Contract: SSA
Post Level: International Consultant
Languages Required: English
Starting Date: 26 Sep 2016
Expected Duration of Assignment: 30 working days over a 5 month period

I. Background

UN Women in accordance with the United Nations Development Group (UNDG) programming principles has identified Capacity Development as one of its organizational principles and foundation strategy for effective and sustainable development. UN-Women adheres to the United Nations system-wide common understanding on a human rights-based approach which specifies that development cooperation programmes, policies and technical assistance should contribute to the capacity-building of “duty bearers” to meet their obligations and/or of “rights holders” to claim their rights.

The UN Women Strategic Plan 2014-17 identifies robust capacity and efficiency at the country and regional levels as one of four key pillars for operational effectiveness and efficiency, together with effective and efficient UN system coordination, a strong culture of RBM, reporting, knowledge management and evaluation and effective resource mobilization. The UN Women Regional Office (RO) 2014-17 Strategic Note outlines that regional programming “be aimed at providing high quality technical/policy advisory services, advocacy, generating knowledge, developing tools and capacity development initiatives that can be adapted to support country level programming ...Programme strategies will include a more systemic capacity development approach that addresses capacities at the individual, organizational and enabling environment (systemic) levels including working with men and cultural leaders. Regional programming will complement country level programmes which will include developing strategic partnerships at the regional level that can be leveraged by country offices.”

---

1 UN Women Strategic Plan 2014-17
2 UNDG Statement on a Common Understanding of a Human Rights-based Approach to Development
3 ESARO Strategic Note 2014-17
The functions\(^4\) of the UN Women Eastern and Southern Africa Regional Office (ESARO) include support to and oversight for fourteen (14) country offices where UN Women has presence and a Multi Country Office covering four offices with no country office presence. More specifically this includes strategic programme development and policy/technical advice, oversight, programme and operational support and quality assurance, supporting UN interagency coordination and intergovernmental support, representation and advocacy; strategic partnerships and resource mobilization and knowledge management.

2. Definitions and conceptual framework
By way of general definition **Capacity** can be understood as “The ability of individuals, institutions and societies to perform functions, solve problems, and set and achieve objectives in a sustainable manner. **Capacity Development** (CD) is the process through which individuals, organizations and societies obtain, strengthen and maintain the capabilities to set and achieve their own development objectives over time. It includes the activities, approaches, strategies, and methodologies which help organizations, groups and individuals to improve their performance, deliver development results, and achieve their objectives.”\(^5\)

A commonly used CD framework distinguishes between **individual, organizational and institutional levels** as follows:

<table>
<thead>
<tr>
<th>FOCUS</th>
<th>EXAMPLES OF INTERVENTIONS</th>
<th>EXAMPLES OF METHODOLOGIES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Individual</td>
<td>Technical and functional training</td>
<td>Scholarship, study visit, On-the-job training</td>
</tr>
<tr>
<td></td>
<td>Skill development</td>
<td>Retreat, workshop, Coaching, mentoring</td>
</tr>
<tr>
<td></td>
<td>Tools and equipment</td>
<td></td>
</tr>
<tr>
<td>Organizational</td>
<td>Reconfiguring organisational structures</td>
<td>Organisational audit, Technical assistance,</td>
</tr>
<tr>
<td></td>
<td>Reforming management system</td>
<td>Advisory support, Job re-structuring</td>
</tr>
<tr>
<td></td>
<td>Reforming budgeting</td>
<td>Gender-responsive budgeting</td>
</tr>
<tr>
<td></td>
<td>Strengthening decision-making process</td>
<td></td>
</tr>
<tr>
<td>Institutional</td>
<td>Strengthening accountability of the public sector</td>
<td>Policy dialogue, Negotiation and advocacy</td>
</tr>
<tr>
<td></td>
<td>Strengthening governance and rules of law</td>
<td>Compliance to international frameworks</td>
</tr>
<tr>
<td></td>
<td>Reforming legal and judicial framework</td>
<td>Pooled technical assistance</td>
</tr>
<tr>
<td></td>
<td>Strengthening national development strategy</td>
<td></td>
</tr>
</tbody>
</table>

3. Description of selected CD initiatives supported by the RO
Since 2014 UN Women ESARO has engaged in supporting various capacity development initiatives at different levels. A sample of key initiatives are briefly described below that may

\(^4\) ESARO functions as stated in the Compendium of Functions and Services include: Strategic Programme Development and Policy/Technical Advice; Oversight, Programme and Operational Support and Quality Assurance; UN Inter-agency Coordination; Inter-governmental Support; Representation and Advocacy; Strategic Partnerships and Resource Mobilization and Knowledge Management.

\(^5\) UNDP: Measuring Capacity (June 2010)
serve as potential case studies for this evaluation. They represent the three RO thematic areas Governance and Leadership, Women's Economic Empowerment, Peace and Security as well as RO initiatives to improve organizational effectiveness and efficiency. The initiatives have been chosen based on the following criteria:

- Initiatives that are considered most relevant and with significant human and financial investment
- Initiatives with strong learning potential
- Initiatives that are well documented
- Initiatives that are on-going or closed

The selected CD initiatives are outlined below.

3.1 Governance and Leadership

**ACTIL:** UN Women in partnership with Kenyatta University (KU) in 2014 established the Africa Centre for Transformative and Inclusive Leadership (ACTIL) which seeks to raise transformative leaders and build the leadership competencies of upcoming and existing leaders, especially women and youth in politics, business, government and society. Following the joint development of three training modules (Transformational Leadership; Agribusiness Development; Women's Political Leadership) an important result has been the number and diversity of people trained by ACTIL in only two years, including approximately 550 women politicians, senior officials in public service, and women in agribusiness and health care from 23 African countries. The partnership also helped to strengthen the capacities of both UN Women and KU in transformational leadership by exposing both institutions to each other’s and external (e.g. Golda Meir Mount Carmel International Training Centre, GMMC) capacities and resources in this area.

3.2 Women's Economic Empowerment (WEE)

**Edutainment initiative:** In 2015 ESARO developed and aired the edutainment initiative “Makutano Junction” designed to increase women’s awareness of technologies available to improve efficiency and productivity of women’s work in agriculture, including ways to manage post-harvest storage to avoid food losses. The TV show “Makutano Junction” addressed issues of critical importance for rural women such as promoting women’s access to land and public procurement, women’s economic empowerment through engagement in markets and trade, and the use of household methodologies that help women and men collaborate to achieve shared household goals. The initiative was implemented in collaboration with UNW Kenya Country Office, FAO and IFAD and is estimated to have reached about 6 million people in Kenya, Uganda and Tanzania. Discussions about upscaling this initiative to other countries in Africa and expanding it to cover additional content are underway.

**Sharefairs:** In 2014 UN Women RO launched a concept of signature Sharefairs which focus the attention on critical development issues through bringing together policy makers and development practitioners. The expected result is to establish and deepen partnerships to find programmatic solutions to development challenges as well as leverage policy impact. More specifically, in Oct 2014 the UNW Regional Office in partnership with FAO, IFAD, WFP and
others hosted the 1st Sharefair on ‘Inspiring Agricultural Change: Rural Women’s Technologies to Improve Food Security, Nutrition and Productive Family Farming’ in Nairobi, Kenya. It brought together over 350 participants and 90 exhibitors from across the region. They included rural women farmers and innovators, policymakers, academicians, food producers, investors, financial service providers, and other technology innovators. Following this in 2015 the UNW Regional Office in collaboration with the Australian High Commission and others hosted a Regional Sharefair on ‘Gender Equality in the Extractives Industry’. It brought together women miners, mining companies, policymakers, researchers, academics, community groups, technology innovators and others, comprising about 400 participants in total.

### 3.3 Women Peace and Security

In November 2014 the Women Peace and Security (WPS) Unit was established in the Regional Office to provide advisory support to Country Offices on peace and security and humanitarian action and to support regional initiatives to advance gender mainstreaming in recovery and humanitarian action. The Unit has focused on building capacity of individual staff working on peace and security and humanitarian action to enhance effective and results based programming in the region on women’s rights in peace and conflict situations; supported the development of a conducive environment for gender mainstreaming in UN humanitarian response through development of tools for gender needs assessments in humanitarian settings, institutional gender needs assessments and trainings for relevant stakeholders in the humanitarian response; and supporting initiatives on women’s effective participation in peace building and conflict resolution through technical and advisory support to country offices and women’s peace networks and financial support to facilitate relevant activities towards this end.

Most staff working on WPS in the Eastern and Southern Africa region received comprehensive training on WPS and humanitarian action that included the global and regional normative frameworks and provided with tools to support their programme development and implementation. In **Rwanda**, the RO supported the Country Office in conducting a gender needs assessment of Burundi refugees in Rwanda to help ensure that humanitarian assistance for Burundi Refugees is being provided in a more gender sensitive manner. UN Women supported the lead Agency, UNHCR to conduct an in depth gender needs assessment of all the pillars in the Refugee Response Strategy. The assessment included the development of TORs for the assessment, development of the assessment tools, training of the enumerators, conduct of the assessment, analysis of the findings and writing of the Report, institutional gender needs assessment of key INGO, implementing partners and relevant gender training of UN, government and NGO implementing partners in the refugee response.

In **Sudan**, a Gender Strategy was finalised for the Darfur Development Strategy (recovery programme) to provide guidance for integrating women’s rights in the implementation of the recovery programme. Extensive support was provided to the **South Sudan** Country Office to support women’s engagement with the peace process which included development of the Women’s Agenda for Peace, the 7 Point Agenda for Implementing the Peace Agreement and a Communique on their position on peace and implementation of the Peace Agreement. Capacity building was also supported for women grantees of the Women’s Platform for Peace in support of the UN Special Envoy of the Great Lakes’ initiative to enhance women’s engagement with peacebuilding in the Great Lakes region.
3.4 Organizational Effectiveness and Efficiency
UN-Women works with government, national machineries for women, civil society organizations (CSOs) and other partners at country level to develop and implement programmes. UN Women engages implementing partners (IPs) and responsible parties (RP) to assist in programme implementation. IPs or RPs are entrusted with a programme budget to spend on behalf of the UN, in accordance with a signed agreement on delivery of programme results. They are accountable for the UN-Women-administered funds and/or resources that they received. UN Women obtains assurance on proper use of the funds through an independent audit.

The UN Women Regional Office, which provides operational support services to Country Offices in the ESA region developed a package of capacity enhancement for partners, which included results based management, financial management of UN Women funds, and audit preparedness. Additionally, the Office developed a detailed assurance and oversight mechanism on appropriate utilization of funds at the time of reporting on funds utilization. Both these measures have resulted in successful implementation of partner agreements and more unqualified ratings for partner audits. This capacity building package was delivered annually to existing and proposed responsible parties in Kenya. The Office has also conducted the same training for partners in Malawi, Mozambique, DRC, Somalia and Rwanda.

4. Purpose, scope and use of the evaluation
The purpose of this evaluation will be to evaluate the design, implementation, management, and outcomes of selected regional CD initiatives in order to identify lessons and good practices that can improve future such initiatives managed by the UN Women Regional Office. It will inform the development of the next RO Strategic Note which will be initiated in Q1 2017 and the RO strategic directions in particular with respect to its 2 Flagship Programmes on Governance and Leadership and Women Economic Empowerment. The focus of this evaluation is on the role and performance of the Regional Office in supporting CD. It will only include in the analysis those CD initiatives at country level where the RO has played a significant role in conceptualization and implementation. The scope will comprise CD initiatives supported by the RO during the period 2014-17.

Aligned with United Nations Evaluation Group (UNEG) Norms and Standards, this evaluation will have an explicit focus on utility. The evaluation will be shared with key stakeholders, donors and partners. In line with UN Women Evaluation Policy a management response will be prepared for this evaluation as practical means to enhance the use of evaluation findings and follow-up to the evaluation recommendations. The management response will identify who is responsible, what are the action points and the deadlines. It will be posted on the online UNW ‘Global Accountability and Tracking of Evaluation Use (GATE) System’ at http://gate.unwomen.org/.

5. Evaluation Objectives
The overall objectives of this evaluation are to:
- Assess the **relevance** of UN Women RO contributions to CD interventions at regional and national levels, including alignment with international agreements and conventions on gender equality and women's empowerment (GEWE).
- Assess the **effectiveness** and organizational **efficiency** in working towards expected CD results.
- Assess the **sustainability** of CD interventions with respect to GEWE achievements.
- Analyse how **human rights approach** and **gender equality principles** are integrated in CD interventions.
- Identify and validate **lessons learned, good practices** and examples of innovative work that support GEWE.
- Provide actionable **recommendations** with respect to CD interventions.

6. **Key Evaluation Questions**

The following **draft evaluation questions** serve as first reference point for the inquiry. The specific evaluation questions, performance criteria and relevant evaluation instruments will be determined during the inception stage and in close consultation with the Evaluation Reference Group.

**Relevance**
- To what extent are the selected CD initiatives relevant to the needs and priorities of beneficiaries, partners and the UN Women triple mandate?
- In how far have trainings conducted e.g. on women leadership been based on demand by UN Women COs and partners?
- How have other existing training facilities been utilized for delivering the required CD support? What linkages exist between UNW-supported training facilities e.g. on transformative leadership and other existing structures and initiatives? What is the added value of UNW-supported training facilities?
- What is UN Women’s comparative advantage in this area of work compared with other UN entities and partners?

**Validity of design**
- How well articulated are the Theories of Change for the selected CD interventions? How do the main components of the CD initiatives contribute to the expected outcomes? How well do they link to each other, are the underlying assumptions made explicit?
- How strategic are the selected partners for driving CD initiatives in terms of mandate, influence, capacities and commitment? To what extent are issues of duplication, coherence and synergy addressed among partners?

**Effectiveness**
- To what extent were the expected CD results achieved and how did UN Women contribute towards these? To what extent have the capacities of duty-bearers and rights-holders been strengthened?
- Which skills (e.g. leadership, networking etc.) have improved amongst trainees and how? What contributions are trainees (e.g. women leaders) making to different spheres of life?
- What are the reasons for the achievement or non-achievement?
Did the CD initiatives have effective monitoring mechanisms and indicators in place to measure progress towards results? Has monitoring information been regularly analysed to feed into management decisions?

Do UNW-supported training facilities have the infrastructure to measure the expected changes (e.g. transformed policies, institutions and public service delivery systems, accelerated economic growth and human development) that trainees have contributed to?

What were the unintended effects, if any, of the CD interventions?

Efficiency
- Have programme funds and activities been delivered in a timely manner? If not, what were the bottlenecks encountered? How were they addressed?
- Could the activities and outputs have been delivered with fewer resources without reducing their quality and quantity?
- Have UN Women’s RO and partner agencies’ organizational structure, managerial and coordination mechanisms effectively supported the delivery of CD initiatives?
- What measures have been taken during planning and implementation to ensure that resources are efficiently used?

Sustainability
- To what extent were structures established to ensure sustainability of efforts and benefits for rights holders in particular?
- Do partners including Government and Civil Society demonstrate ownership, leadership commitment and technical capacity to continue the work?
- Do partners have the financial capacity to maintain the benefits from the program? Do they have realistic resource mobilization plans? What might be needed to support partners to maintain these benefits?

7. Methodology
The evaluation methodology will be developed by the Evaluation Consultant and presented for approval to the Evaluation Reference Group. It will use a theory-based evaluation design based on a Theory of Change for the selected CD interventions with explicit assumptions about how change was expected to happen. This Theory of Change will be developed through a participatory approach during the inception phase of the evaluation. During the evaluation process the Theory of Change including its assumptions will be challenged, validated and further expanded.

The methodology should use a combination of quantitative and qualitative research methods that are appropriate to address the main evaluation questions. These methods should be responsive to human rights and gender equality principles and facilitate the engagement of key stakeholders. Measures will be taken to ensure the quality, reliability and validity of data and data collection tools. Limitations with respect to the sample (representativeness) should be stated clearly.
The evaluation will be carried following UN Evaluation Group (UNEG) Norms and Standards (see http://www.unwomen.org/about-us/accountability/evaluation/), UN Women Evaluation Policy as well as the Ethical Guidelines for evaluations in the UN system, see Annex to this TOR. Once finalized the evaluation report will be quality-assessed based on the UN Women Global Evaluation Reports Assessment and Analysis System (GERAAS). GERAAS standards and GERAAS rating matrix are available at http://www.unwomen.org/en/about-us/evaluation/decentralized-evaluations.

8. Main Outputs of the Evaluation
The consultant is expected to:
1. Conduct a desk review that includes an in-depth analysis of selected CD initiatives during the period 2014-17
2. Prepare an Inception Report that includes the evaluation work plan, description of the Theory of Change, Evaluation Matrix with evaluation questions and -criteria, indicators, data sources and methods of data collection
3. Undertake primary data collection through online survey(s), key informant interviews and focus groups with a wide range of UNW staff, representatives from partner UN Agencies, government, civil society, academia, donors, representatives of beneficiary groups etc.
4. Conduct field and site visits (to be determined): Decision regarding potential field visits will be made during the evaluation inception phase in consultation with the Evaluation Reference Group
5. Prepare a Power Point presentation with preliminary findings and a draft evaluation report for review by the Evaluation Reference Group
6. Prepare a final evaluation report incorporating comments on the first draft
7. A synthesized evaluation knowledge product (2-3 pages) based on the Executive Summary that visualizes the main evaluation messages

The following structure is proposed for the evaluation report:
1. Title page, Table of Contents and Acronyms
2. Executive Summary
3. Background and purpose of the evaluation
4. Programme description and context
5. Evaluation methodology and limitations
6. Findings
7. Analysis and Conclusions
8. Recommendations
9. Lessons learned (if applicable)
10. Annexes: Terms of Reference, List of documents reviewed, list of agencies and partners interviewed (without direct reference to individuals), evaluation matrix and data collection instruments, any other relevant documents
9. Management Arrangements and Evaluation Reference Group
The evaluation will be managed by a UNW Regional Office team comprising the Regional Director and the Regional Evaluation Specialist. They will oversee the evaluation, make key decisions and quality assure the key deliverables.

In line with UN Evaluation Group Norms and Standards, an Evaluation Reference Group (ERG) will be constituted to serve as a sounding board and consultative body to ensure the active involvement of UN Women staff and key partners involved in the CD initiatives. The ERG will contribute to shaping the evaluation scope and focus and ultimately help build ownership of the evaluation findings. More specifically the role of the ERG members will as follows:

- Act as source of knowledge and as informant of the evaluation process
- Assist in the collection of pertinent information and documentation and in identifying key stakeholders to be interviewed
- Provide input and quality assurance on the key evaluation products: ToR, inception report and draft evaluation report
- Participate in the validation meeting of the evaluation report
- Participate in learning activities related to the evaluation report
- Play a key role in disseminating the evaluation findings and implementation of the management response

10. Time Frame
The evaluation will be done in 30 working days between 26 Sep 2016 - 28 Feb 2017. A tentative schedule of the allocation of working days is presented below:

<table>
<thead>
<tr>
<th>Activity</th>
<th>Duration (days)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Desk review analysis, preparation of evaluation inception report</td>
<td>7</td>
</tr>
<tr>
<td>Primary data collection (surveys, interviews, focus group discussions, site visits etc.)</td>
<td>10</td>
</tr>
<tr>
<td>Presentation of preliminary findings, preparation of draft evaluation report</td>
<td>8</td>
</tr>
<tr>
<td>Finalization of evaluation report</td>
<td>5</td>
</tr>
<tr>
<td>TOTAL</td>
<td>30</td>
</tr>
</tbody>
</table>

11. Evaluation consultant skills and expertise
This assignment will be done by one international consultant who demonstrates the following competencies:

- A strong record (min 7 years) in designing and leading evaluations
- Extensive experience in applying qualitative and quantitative evaluation methods and data analysis skills
- Previous experience in undertaking capacity development assessments and evaluations
Knowledge of issues around women’s rights and gender equality; preferably in areas of Governance and Leadership, Women Economic Empowerment and Peace and Security

Excellent facilitation and communication skills, both written and oral

Experience with focus group discussions and key informant interviews and the ability to deal with multi-stakeholder groups

Knowledge of the UN system and of UN Women’s role in Programming, Coordination and Normative work is desirable

Language proficiency in English

Country or regional experience in Eastern and Southern Africa

12. Application process

Interested candidates should apply via e-mail by latest Fr 9 Sep at consultancies.eharo@unwomen.org, and include “ESARO CD evaluation” in the subject line. Candidates should submit (1) a letter of interest, (2) a personal CV, (3) availability during the months Oct 2016 to Feb 2017. Shortlisted candidates will be requested to take a short oral interview as part of the final selection process.


To ensure the credibility and integrity of the evaluation process and following United Nations Evaluation Group (UNEG) Ethical Guidelines, the Consultants will be required to commit to the Code of Conduct for Evaluation (see http://www.unevaluation.org/papersandpubs/), specifically to the following obligations:

• Independence: Evaluators shall ensure that independence of judgment is maintained and that evaluation findings and recommendations are independently presented.

• Cultural Sensitivity/Valuing diversity: Demonstrating an appreciation of the multicultural nature of the organization and the diversity of its staff. Demonstrating an international outlook, appreciating differences in values and learning from cultural diversity

• Impartiality: Evaluators shall operate in an impartial and unbiased manner and give a balanced presentation of strengths and weaknesses of the policy, program, project or organizational unit being evaluated.

• Conflict of Interest: Evaluators are required to disclose in writing any past experience, which may give rise to a potential conflict of interest, and to deal honestly in resolving any conflict of interest which may arise.

• Honesty and Integrity: Evaluators shall show honesty and integrity in their own behavior, negotiating honestly the evaluation costs, tasks, limitations, scope of results likely to be obtained, while accurately presenting their procedures, data and findings and highlighting any limitations or uncertainties of interpretation within the evaluation.

• Competence: Evaluators shall accurately represent their level of skills and knowledge and work only within the limits of their professional training and abilities in evaluation, declining assignments for which they do not have the skills and experience to complete successfully.

• Accountability: Evaluators are accountable for the completion of the agreed evaluation deliverables within the 30 days timeframe and budget agreed, while operating in a cost effective manner.
• **Obligations to Participants**: Evaluators shall respect and protect the rights and welfare of human subjects and communities, in accordance with the UN Universal Declaration of Human Rights and other human rights conventions. Evaluators shall respect differences in culture, local customs, religious beliefs and practices, personal interaction, gender roles, disability, age and ethnicity, while using evaluation instruments appropriate to the cultural setting. Evaluators shall ensure prospective participants are treated as autonomous agents, free to choose whether to participate in the evaluation, while ensuring that the relatively powerless are represented.

• **Confidentiality**: Evaluators shall respect people’s right to provide information in confidence and make participants aware of the scope and limits of confidentiality, while ensuring that sensitive information cannot be traced to its source.

• **Avoidance of Harm**: Evaluators shall act to minimize risks and harms to, and burdens on, those participating in the evaluation, without compromising the integrity of the evaluation findings.

• **Accuracy, Completeness and Reliability**: Evaluators have an obligation to ensure that evaluation reports and presentations are accurate, complete and reliable. Evaluators shall explicitly justify judgments, findings and conclusions and show their underlying rationale, so that stakeholders are in a position to assess them.

• **Transparency**: Evaluators shall clearly communicate to stakeholders the purpose of the evaluation, the criteria applied and the intended use of findings. Evaluators shall ensure that stakeholders have a say in shaping the evaluation and shall ensure that all documentation is readily available to and understood by stakeholders.

• **Omissions and wrongdoing**: Where evaluators find evidence of wrong-doing or unethical conduct, they are obliged to report it to the proper oversight authority.

The evaluator will have the final judgment on the findings, conclusions and recommendations of the evaluation report, and the evaluator must be protected from pressures to change information in the report. If the evaluator identifies issues of wrongdoing, fraud or other unethical conduct, UN Women procedures must be followed and confidentiality be maintained. The UN Women Legal Framework for Addressing Non-Compliance with UN Standards of Conduct defines misconduct and the mechanisms within UN Women for reporting and investigating it.

14. **Annex II: Key Evaluation Resources**

- UN Women Evaluation Consultants Agreement Form [https://unw-gate.azurewebsites.net/resources/docs/SiteDocuments/UNWomen%20CodeofConductforEvaluationForm-Consultants.pdf](https://unw-gate.azurewebsites.net/resources/docs/SiteDocuments/UNWomen%20CodeofConductforEvaluationForm-Consultants.pdf)