

TERMS OF REFERENCE

EVALUATION OF THE FRAMEWORK PROGRAMME HORIZONT3000 2016-2018

1. Introduction/Background

The HORIZONT3000 framework programme - a three year development programme of HORIZONT3000 and its implementing partner organisations - shall be externally evaluated until end of March, 2019.

The framework programme has a financial volume of roughly € 13 million, and is co-financed 60% by the Austrian Development Agency (ADA) and 40% by the HORIZONT3000 and other donors¹. It runs **from January 1st 2016 to December 31st 2018**. The framework programme consists of 27 programme interventions², implemented through local partner organisations which, jointly, contribute to the attainment of the results and objectives of the framework programme.

The framework programme's **overall objective** is *to contribute to the implementation of the Sustainable Development Goals (SDGs) in 10 partner countries of the Global South*. Its **specific objective** is to *verifiably improve living conditions and strengthening rights of marginalized people in Africa and Central America*.

The programme focuses on **two sectors** in 10 partner countries of HORIZONT3000:

- **Rural Development - Natural Resource Management:** Stabilising living conditions in rural regions
- **Human Rights - Civil Society** Strengthening the structures of civil society and empowering marginalised groups so they can enforce their rights

The **results** of the framework programme are defined as follows:

- R1: **Food security, infrastructure and resilience are verifiably improved for marginalized people in 3 Central American and 6 African Countries.**
- R2: **The possibilities to exercise civic and human rights have verifiably increased for marginalized persons and CSOs in 3 Central American and 5 African countries.**
- R3: **The partner organisations of HORIZONT3000 and its Member Organisation as well as other cooperation/ network partner improve their performance through services in the area of Knowledge Management and Organisational Development**

The framework programme's main activities are composed of the **27 individual programme interventions** on the one hand, and activities to impart knowledge, transfer know-how and develop capacities or, in other words: the knowledge management project on the other.

The Framework Programme 2016-2018 includes programme interventions in the following **partner countries**:

¹ Besides the HORIZONT3000 member organizations, the following external private sources contribute with funds to HORIZONT3000's framework programme: *Liechtensteinischer Entwicklungsdienst (LED)*, and *Medicor Foundation Liechtenstein*.

² In development co-operation, the most common denomination for set of activities implemented in the field is "project". However, ADA adopted the term "programme intervention", therefore this term will be used in the context of this evaluation.

- Eastern Africa: Uganda, Kenya, Tanzania, Ethiopia
- West Africa: Senegal
- Central America: Nicaragua, Guatemala, El Salvador
- South Africa: Mozambique

Within the Knowledge Management Programme Intervention, some activities also took place in Europe (Austria) and Papua New Guinea.

The **main beneficiaries** of this framework programme include the local project partners of the HORIZONT3000 framework programme (around 45 partner organisations) and the beneficiaries reached directly by their interventions, in addition to, in the area of knowledge management, project partners from the HORIZONT3000 technical assistance programme as well as from other financing projects (e.g. EC) and from HORIZONT3000 Member Organizations, technical advisors and local as well as project desk staff from HORIZONT3000 and its Member Organizations.

The **indirect beneficiaries** of this programme (and specifically of the knowledge management programme intervention) are, among others, the population that is reached out to in the respective partner countries by the local partner organisations.

2. The Partners

a) HORIZONT3000

HORIZONT3000 is an Austrian NGDO with nine catholic member organizations³. HORIZONT3000 is mainly funded by the Austrian Government (Austrian Development Cooperation), the European Union, contributions of its member organizations, Liechtensteinischer Entwicklungsdienst (LED), as well as the Medicor Foundation Liechtenstein.

HORIZONT3000's core business is **providing capacity development for local partner organizations**. It is specialized in the monitoring and implementation of projects and in the deployment of technical advisors for local partner organisations. In 2017, HORIZONT3000 steered around 150 projects in 15 countries with an annual budget of roughly 12.5 million Euros. HORIZONT3000 works closely with grass-roots organizations with profound knowledge of local circumstances in its partner countries all over the world. Its expertise is expressed by high-quality monitoring and project cycle management. HORIZONT3000 has wide experience with co-financing, open and active dialogue with the governments of partner countries and contributing to official development policies.

Currently, 27 people are employed in the HORIZONT3000 office in Vienna and around 80 technical advisors and local staff work in field offices (in Nicaragua, Guatemala, Uganda, Mozambique and Papua New Guinea) and projects of HORIZONT3000 in partner countries.

b) The Implementing Partners

Within the current framework programme, HORIZONT3000 implements 27 programme interventions with around 45 partner organisations in the above mentioned partner countries. Through its member organisations and the ADC, HORIZONT3000 provides financial resources and content-related assistance to ensure that these partner organisations can find solutions to local problems as independently as possible.

c) Austrian Development Agency (www.ada.gv.at)

The Austrian Development Agency (ADA) is the Operational Unit of the Austrian Development Cooperation (ADC). It is in charge of implementing all bilateral programmes and projects in ADC's partner countries and administers the budget earmarked for this. Another focus of ADA's operations is

³ Development cooperation agency of the Austrian Catholic Children's Movement - DKA, Austrian Catholic Men Movement - KMBÖ, Austrian Catholic Women Movement – kfb, Bruder und Schwester in Not – Diocese Innsbruck, Bruder und Schwester in Not - Katholische Aktion Kärnten, Caritas Austria, Welthaus of the Diocese Graz-Seckau, plan:g, as well as Referat Mission und Entwicklung of the Archdiocese of Vienna

education and information in Austria to convey the issue of development cooperation to a broader public.

The Austrian Development Agency cooperates with non-governmental organisations (NGOs) and combines official development assistance with numerous civil-society initiatives. This way, government and civil society make a joint contribution to poverty reduction and improving the conditions of life in developing countries.

The framework programme for Austrian NGOs is one of the various co-financing instruments in the collaboration with NGOs. The programmes are based on the NGO's own initiatives and are directed at meeting the actual needs of the target groups in developing countries. Per definition, an ADA framework programme consists of coherent and interactive programme interventions with a common strategic and development objective (see Framework Programme Guidelines, part 4 "Principles of a Framework Programme").

3. Purpose

The main objective of the evaluation is to revise results (output, outcome) and assess the relevance, effectiveness, efficiency and sustainability of the current HORIZONT3000 framework programme. The evaluation should present results, conclusions, lessons learnt and recommendations with regard to the programme and the implementation of the programme approach.

The evaluation is intended to contribute to:

- **Learning:** insights and knowledge gained through the evaluation will contribute to the steering of the next framework programme phase from 2019-22
- **Improvement** of policies of the implementing organisations, processes and methods of ongoing and the future programme
- **Accountability** towards the stakeholders, namely the implementing local partners, beneficiaries, HORIZONT3000 member organisations, the ADA and other donors.

4. Evaluation questions

The evaluation team will be requested to assess

- a) To what extent have the different programme interventions contributed to the achievement of results 1 and 2 of the framework programme and brought change for the local population in the partner countries?
 1. To what degree can the achievement of the objective and the results be supported with data from the single evaluation reports?
 2. Which methodologies/practices have been outstanding in a positive or negative way?
 3. What are the most significant changes in the lives of the beneficiaries? (intended as well as unintended)

- b) To what extent has the Knowledge Management Programme Intervention contributed to the achievement of result 3 of the framework programme
 1. To what degree can the achievement of the objective and the result 3 be supported with data from the knowledge management evaluation reports?
 2. Which methodologies/practices in knowledge management have been outstanding in a positive or negative way?
 3. What are the most significant changes in the areas of knowledge management and organizational development within the local partner organisations? (intended as well as unintended)

- c) The conceptual quality of the framework programme as a whole
 1. Relevance for the implementing partners and beneficiaries;
 2. Concerning the synergies with the Technical Assistance Programme of HORIZONT3000
 3. Concerning the theory of change inherent in the logical framework of the programme: which implicit assumptions should be made explicit?

4. Concerning the strengths and weaknesses of the framework programme: what could be improved in terms of Monitoring, Evaluation, Accountability and Learning?

5. Evaluation approach, methods and process

a) Methodology

It is up to the consultant, to suggest the preferred methodology and action plan as part of the offer. Given the nature of a framework programme, it is expected that the evaluators clearly define their approach.

All components of the framework programme (most of the programme interventions in the partner countries, as well as the knowledge management component in two regions) have been evaluated or systematized⁴ in 2018. These evaluation/systematization reports constitute the main data source for the programme evaluation. An **evaluation synthesis of those single reports** should therefore be the central instrument of analysis for the programme evaluation.

The **evaluation synthesis** can be complemented by the additional documentation available and key informant interviews. The final selection of key informants and methodological design should be agreed upon in the inception meeting, to be held until February, 22, 2019.

Some suggestions/ orientations are:

- Review of the available documentation and reports (compare Annex 1)
- Key informant interviews. Possible key informants are:
 - o HORIZONT3000 Vienna (Head of Programmes, Knowledge Management Team, sector coordinators, programme officers, financial officers, managing director)
 - o Heads of the regional offices (Central America, East Africa, Mozambique, Senegal, PNG, via telephone and/or an e-mail survey)
 - o Steering Committee of the Knowledge management programme intervention
 - o Programme officers from member organisations (MO),
 - o Representatives of local partner organisations
 - o Technical Advisors (active or recently returned)
 - o other strategic cooperation partners in Austria
 - o representatives of the Austrian Development Agency

Data should be collected and interpreted if possible in a gender-disaggregated manner. OECD DAC Evaluation Quality Standards are to be applied and the compliance of the latter needs to be comprehensible in the evaluation.

b) Format of the offer

The offer has to be submitted to thomas.vogel@horizont3000.at until January 16th, 2019 including a company / consultants profile, experience (CV) and references . The offer has to be in EURO, including all taxes (MwSt/VAT) and travel or other expenses. It has to include a suggestion of the methodology, time and action plan and if necessary, suggestions and recommendations to the Terms of References.

⁴ Systematization is a specific form of participative self-evaluation practiced by eight local partner organizations of HORIZONT3000 in the framework programme 2016-2018. The systematization reports constitute a source of information with less objectivity and independence than the regular external evaluation reports, which has to be borne in mind by the evaluators.

c) Time-frame

Action	Responsibility	Timing
Submission of offers (electronically)	Thomas Vogel (direct counterpart for consultant)	Until January, 16, 2019
Contract signed and documents handed over	Contract signed between HORIZONT3000 and consultant	Until January, 31, 2019
Inception Phase (document overview, identification of key informants)	Consultant	Until February, 15, 2019
inception meeting	Consultant / HORIZONT3000	Until February, 22, 2019
Further data analysis and interviews	Consultant	Until March, 15, 2019
Presentation and discussion of a draft report	Consultant	Until March, 21, 2019
Submission of final report (electronic copy) to HORIZONT3000 and ADA.	Consultant	Until March, 29, 2019

d) Budget

€ 20.000

note: this is the maximum budget, which must cover all expenses related to the evaluation - fees, daily rates, office materials, translations (if necessary,) transportation, workshops, taxes, social security contributions, etc.

e) Support services

HORIZONT3000 and the Austrian Development Agency will provide support (information/interviews; providing relevant documents, feedback to draft report, participation at presentation of draft findings). The interviews will be arranged and supported after agreeing on the action & time plan.

6. Evaluation team

The evaluation team shall consist of max. 2 members and should have experience in evaluation of multi-country programmes, and of Knowledge Management in Development Cooperation.

Key Qualifications: Evaluation, Knowledge Management/Capacity Development, English, Spanish, Portuguese and French.

7. Evaluation Report Format

The consultants will submit a **draft evaluation report**, and the **final evaluation report**, including the filled-in ADA results assessments form.

The format for the final evaluation report can be found under Annex 2.

Annex 1: Available documents

Framework Programme Documents

- Framework Programme Application / Contract
- Annual Reports 2016 and 2017
- Documentation of knowledge management sharing events
- KNOW-HOW3000 internet platform
- Technical Assistance Programme Application / Contract (PEZA)

Internal documents & manuals

- Previous programme review, Management response (from previous review)
- **Around 30 Evaluation/Systematization Reports of Programme interventions**
- (each report has 20-30 pages plus annexes; report languages: English, Spanish, French and Portuguese)
- Sector Strategies *Rural Development – Management of Natural Ressources and Human Rights – Civil Society*

Documents of the Austrian Development Agency

- NGO Framework Programme Guidelines
- ADA results assessments form

Annex 2: Format for the evaluation report

The report has to be done in English with a maximum length of max 30 pages without annexes. The Evaluation Report should have a similar format as below:

Title page

Name of the programme, name of the evaluation company/consultant, name of the author, date of the evaluation

Table of content, list of abbreviations

Executive summary (3-5 pages)

The evaluation report starts with an executive summary of three to five pages. The summary contains a brief overview of the objective, scope and, methods of the evaluation and refers to the most important findings, conclusions, lessons learnt and recommendations. If the evaluation report was prepared in German, an additional English translation could be considered in order to share findings with partners and other stakeholders. The executive summary must be written as an independent document so that it can be forwarded to third parties in accordance with the contract partner.

Background of the Framework Agreement

In this chapter, the fundamental information on the framework agreement needs to be summarized, i.e. short framework programme description and context to the Austrian Development Cooperation, intervention logic (respectively (the latter must be added to the annex) and if available a theory of change.

Introduction

... contains a brief description of the purpose, objectives and scope of the evaluation and briefly explains whether there have been any restrictions during the evaluation.

Methods

This section should outline the quantitative and qualitative methods applied to evaluation the programme approach. Techniques used during collection and processing of data and information (e.g. data triangulation) Possible restrictions (e.g. the non-availability of key informants) by using the methods as well as possible resulting effects on the evaluation should be mentioned.

Evaluation findings

In this chapter, the evaluation findings are presented in detail. The evaluation report is structured according to the OECD/DAC criteria of relevance, effectiveness, efficiency, sustainability and impact as they are listed in the ToR. The evaluation questions and the corresponding results also need to be attributed to the OECD/DAC criteria. Results referring to the cross-cutting issues can either be considered under the OECD/DAC criteria or the evaluation questions, or can be described separately. Statements and conclusions must be comprehensible and be supported by data. Wherever it seems relevant, data must be presented and interpreted in a sex-disaggregated manner. Hypotheses must be verified and falsified.

Conclusions

... contain a summary of the results of all evaluation questions and, furthermore, include all information issues (e.g. assessment of the intervention logic) which were mentioned under the scope of the evaluation. The conclusions are based on the results and the analysis, and are comprehensible on this basis. In case information is only presented partially, the reasons should be stated in the evaluation report.

Lessons learnt

Lessons learnt result from the conclusions and can be subdivided e.g. in strategic, policy, sector, management, implementation relevant lessons learnt and others.

Recommendations

In this chapter, recommendations are listed on the basis of the individual evaluation questions. It is important that the recommendations are feasible. It must also be clearly identifiable to who the recommendations are addressed to and should include recommendations to ADA. It is recommended to present the recommendations in a matrix.

Annexes

Logframe, terms of reference and schedule of the evaluation, list of key informants, list of documents used, questionnaires or other instruments used in the evaluation; Reports prepared for the field study; Information regarding the evaluators.