

Annex E Terms of Reference

Background

Since 2004 a total of over 700 million DKK has been allocated for three phases of an “Africa Programme for Peace” (APP) and it is anticipated that a fourth phase will begin in 2018.¹ As further outlined in the specification of objectives and questions (below), an evaluation of the programme is considered opportune, as a means of thoroughly assessing both progress and the difficulties encountered. A synthesis of the major lessons learned since 2004 will be important to encourage innovation and new approaches to deal with the complex peace, security and governance agendas on the continent, which are briefly summarized in the following.

Over the last 10-15 years considerable efforts have been made to tackle and solve the peace, security and governance challenges in Africa. An extensive landscape of bilateral and multilateral initiatives characterizes these efforts, which concern the African peace and security architecture (APSA) on the one hand and the African governance architecture (AGA) on the other. In this context the slogan “African solutions to African problems” is often mentioned.

Meanwhile, a series of violent conflicts on the continent remain unresolved, particularly in the Sahel region of West Africa and in the Horn of Africa, but also elsewhere such as in the Central African Republic (CAR), and the Democratic Republic of Congo (DRC). The causes of these conflicts include a variety of economic, social and political factors. In many countries, weak institutions and bad governance compound low incomes and inequalities. Conflicts often arise through contested access to natural resources, including land, water and forests as well as valuable minerals and oil. Transnational organized crime involving drug smuggling as well as human and arms trafficking have added to instability, as has the growing influence of terrorist movements and violent extremists.

While there has been progress in resolving conflicts in some countries and regions, there has been a deterioration in others. In terms of governance, problems of legitimacy, authoritarianism, mismanagement and corruption persist. Nonetheless, in this complicated context a wide range of international agencies has responded to the different crises with various forms of intervention including support for stabilization and peacebuilding, elections, diplomatic initiatives and the provision or mobilization of both regional military forces and multilateral peacekeeping forces as well as humanitarian assistance.² However, with the continued extensive de-stabilisation of vast regions of the

¹ There was also a “pre-phase” approved in 2003, which entailed grants totaling 12 million DKK given to the African Union (AU) and the Economic Community of West African States (ECOWAS) with a view to developing, planning and operationalizing mechanisms for dealing with conflicts and building the “security architecture” on the continent. Supporting African-led peacebuilding and conflict resolution initiatives together with pan-African security arrangements were seen to be of considerable importance. It is also worth noting that this funding was linked to pledges that secured a successful outcome of the Danish candidature for a non-permanent seat on the United Nations Security Council in the period 2005-06.

² A briefing paper by R. Gowan (2017) summarizes the current state of disorder in the Sahel and West Africa, examining the UN, African and European responses to the humanitarian catastrophe and the increasing concern about migration as well as the failures of crisis management and mediation efforts. See also the paper on African peace and security architecture by Desmidt (2016) and the background

Sahel and the Horn of Africa, a pattern of security threats has emerged which is pushing actors and institutions beyond the boundaries of “traditional” conflict resolution and peacebuilding.

In addition to bilateral assistance programmes in a number of the conflict affected countries (including Mali, Niger, South Sudan and Somalia) and regions, and in addition to contributions to humanitarian organisations providing emergency and relief aid, Danida has also provided support for enhancing regional peace, security and good governance efforts, notably through the APP. This funding stream was launched in 2004 with a grant of 248 million DKK (for the first phase from 2004-09). A fourth phase of the APP from 2018 is currently at the design stage. The programme has entailed support for several important regional institutions as follows.

A key partner is the **African Union** (AU), which adopted a peace and security protocol in 2004 and has subsequently played a major role in peacebuilding efforts in several countries including Somalia (through AMISOM) and the Sahel. The architecture of the AU includes a Peace and Security Council (PSC) for political decision-making and for providing guidance to the AU Commission, a continental early warning system to provide timely advice on potential conflicts, an advisory “panel of the wise”, an African standby force (ASF) and a peace fund.³ The regional economic commissions (RECs) also participate in both the APSA and the AGA and have developed regional mechanisms for conflict prevention, management and resolution. As such the RECs are recognized as essential building blocks of the AU and the PSC.

The **Economic Community of West African States** (ECOWAS) has played an important role in peace and security processes in the region since the 1990s, as formalized in a conflict prevention, management and peacekeeping protocol signed in 1999. Early warning systems and conflict mediation have been included in the ECOWAS peace and security architecture. The organization has been active in consolidating peaceful development in the Mano river basin (shared by Côte d’Ivoire, Guinea, Liberia and Sierra Leone) and has made efforts to mediate in conflicts in Burkina Faso, Gambia and northern Nigeria (the Boko Haram insurgency).

The **Intergovernmental Authority on Development** (IGAD) is the successor to an authority on drought and development (IGADD) and brings together eight countries in Africa’s eastern Horn: Djibouti, Eritrea, Ethiopia, Kenya, Somalia, South Sudan, Sudan and Uganda. Despite difficulties arising from political differences between the member states, it has played an important role in negotiating the peace agreements between Sudan and South Sudan and in Somalia. Regional peace and security strategies have recently been agreed, which are aligned with the AU’s APSA roadmap and the sustainable development goals (SDGs).

Funding has also been provided for several pan-African civil society organisations (CSOs) and think tanks involved in peace and security processes including the Kofi Annan International Peacekeeping Training Centre (KAIPTC), the West African Network for Peacebuilding (WANEP), the Institute for Peace and Security Studies (IPSS at Addis Ababa University) and the South African based Institute for

papers for the 2016 and 2017 Tana high-level forum by the Institute for Peace & Security Studies (IPSS) as well as the recent commentary on the AU’s agenda by the International Crisis Group (2017).

³ The AU’s APSA road map for the period 2016 to 2020 constitutes an important recent strategic framework: <http://www.peaceau.org/en/page/104-african-peace-and-security-architecture-apsa>

Security Studies (ISS). In the first phase of the APP there was also funding for defense and security cooperation through the Southern African Development Community (SADC). This assistance was discontinued from the second phase in 2010.

The overall objective of the APP has been to support regional “structures and processes” that enable African governments to address peace and security challenges, thereby contributing to poverty reduction and the promotion of human rights. More specifically the APP has focused on enhancing the capacity of the main regional organisations in terms of:

- political decision-making;
- conflict early warning;
- preventative diplomacy;
- the organization of free and fair elections;
- cooperation with civil society organisations (CSOs);
- gender issues (including follow up to the UN security council resolution 1325 from 2000 on women in peace and security); and
- operations of the African Standby Force.

Particular efforts have been made to provide assistance based on joint funding agreements (JFAs) between the recipient partner and different donors, since Danida is often one of many agencies involved.

In evaluating the APP, it is worth emphasizing that decision making in both the AU and the RECs is ultimately controlled by the member states. Systematic links between the permanent representatives (in Addis Ababa, etc.) and their capitals are sometimes weak, leading to inertia and apparent lack of political will. These problems, as well as the issue of funding pan-African and regional organisations, have recently been examined in a reform process (chaired by Rwanda’s President Paul Kagame). In short, the interplay between the AU, the regional organisations and the member states must be understood in assessing the results of peace, security and governance initiatives.

In addition to the APP, it is important to note that the Danish Peace and Stabilisation Fund (PSF) has also provided financial resources for a series of regional peace and security operations in the Sahel and the Horn of Africa since 2010.⁴ The evaluation will be particularly concerned with the coherence of various initiatives and programmes designed with a view to enhance conflict resolution and peace building in these two regions. In this sense it is anticipated that the evaluation will shed further light on appropriate steps to be taken in the context of rapidly evolving aspirations and initiatives aiming to tackle the threats that undermine African peace and security and prolong poor governance. This will be an important issue for the evaluation as a whole: assessing progress in order to ensure that the APP continues to be an effective instrument for promoting peace, security and good governance.

⁴ The Ministries of Defense (MoD) and Justice (MoJ) collaborate with the MoFA in an inter-ministerial steering committee (IMSC) to run the PSF through a “whole of government” approach. An evaluation of the fund was carried out in 2014 (see preliminary list of references, below).

Objectives of the evaluation

The aims of the evaluation are threefold:

- to document and assess the results (the main outcomes) of the APP, 2004-17;
- to analyse the Danida contributions made to African peace, security and governance initiatives in terms of the value added to processes of conflict prevention and resolution;
- to determine focused and targeted recommendations for enhancing the impact of the Africa Programme for Peace (in the fourth phase).

Scope of work & evaluation questions

The evaluation will be undertaken in accordance with OECD-DAC approaches and criteria, in other words through assessing APP in terms of relevance, effectiveness, efficiency, impact and sustainability. As noted above, there are many initiatives underway to strengthen African peace, security and governance architecture. Thus, the APP will be evaluated within the context of:

- the priorities and programmes funded through Danida's bilateral and humanitarian assistance in the main countries concerned;
- the regional programmes in the Sahel and the Horn of Africa supported by the Peace and Stabilisation Fund (PSF) since 2010;
- major initiatives funded by other partners, notably the European Union⁵ and member states (Germany, France, the UK...) as well as through the agencies of the United Nations.

A preliminary specification of the main questions to be examined during the evaluation is as follows.

EQ1 How have the main regional organisations (the African Union, ECOWAS & IGAD) made use of the Danida funds in establishing and consolidating peace, security and governance architectures as well as specific initiatives and processes (e.g. capacity building)?

EQ2 With respect to APSA, how has capacity strengthening of the regional organisations led to better conflict prevention, peacekeeping and resolution?

EQ3 Concerning AGA, how are the regional organisations making a difference in terms of good governance and addressing human rights?

EQ4 What has driven the selection of partners funded through the APP?

EQ5 How have the partnerships between the AU and the key regional organisations as well as between the AU and member states evolved since 2004 with respect to the effectiveness of peace, stabilization and governance initiatives?

EQ6 In the context of the multiple initiatives to tackle peace, security and governance problems in Africa, how has the coherence of the APP been ensured vis-a-vis support provided through the Danish

⁵ The Commission of the EU (EDF) provides funds for African regional organisations and the AU. Military and civil missions and operations are undertaken within the framework of the Common Security and Defense Policy (CSDP) of the European External Action Service (EEAS).

PSF for specific operations, through bilateral programmes and with other funding streams (from other donors, notably the European Union)?

EQ7 What roles are played by CSOs (think tanks) funded by Danida in the regional peace, security and governance architecture and how do these organisations contribute to conflict prevention and resolution as well as to improved governance?

EQ8 How can the leverage of the Danish APP be enhanced, in terms of influencing the APSA and AGA and in terms of both funding and joint donor approaches with key organisations?⁶

Process & timetable

The evaluation will include three phases: i) inception, ii) a main study and iii) reporting. A participatory approach will be adopted, in order to ensure that the views, ideas and proposals of as many of the key actors involved as possible are fully taken into account.

The inception phase will entail a review of documentation and initial consultations with key informants in the MoFA (Copenhagen and Addis Ababa). An inception report will be drafted and discussed with the evaluation reference group (ERG, see below).

The main study will entail thorough consultations with APP partners in particular:

- the AU (Addis), IGAD (Addis Ababa and Djibouti), ECOWAS (Abuja) and selected member states;
- other agencies involved in peace processes, stabilisation and governance reforms in Africa including the United Nations (Geneva), the Commission of EU (Brussels), German assistance (Berlin or Bonn), France (Paris) and UK (London);
- Representatives of CSOs/think tanks.

Debriefing and preliminary findings notes will be prepared from these consultations.

A reporting phase during which the members of the reference group will consider a draft report. Prior to finalising the report, a workshop on lessons learned may also be held.

The expected outputs are:

- An inception report (10-15 pages)
- A brief portfolio overview
- Debriefing notes and preliminary findings from main evaluation
- A draft final report
- Notes for workshops

⁶ For example, strategic use of experts, ambassadors, special envoys, etc. might be considered, in concert with the EU and UN coordinated peace and stabilization processes.

- A final report

Subject to confirmation and following a tendering process and selection of the consultant, it is anticipated that the evaluation will start with an inception phase in December 2017 and will conclude in early 2018.

An indicative timeline is as follows⁷:

Date/ period	Task
end November 2017	Selection of evaluation team
1 st December 2017	Start-up meeting
December	Initial consultations, Copenhagen and Addis Ababa
15 th January	Submission of inception report
January	Discussion of inception report with ERG
February 2018	Main evaluation consultations with partners in Africa and Europe including discussion of initial findings
Early March 2018	Submission of draft report
March-April 2018	Discussion of draft report with ERG (workshops)
May 2018	Completion of final report

Organisation of the evaluation

There are three sets of roles in the organization: a) Evaluation Management; b) the Evaluation Team (Consultant); and, c) the Evaluation Reference Group (ERG).

Role of the Evaluation Management

The Evaluation Department (EVAL) in the Danish Ministry of Foreign Affairs (MoFA) will supervise the evaluation. This will entail a number of tasks:

- Participate in the selection of Evaluation Team based on received tenders and assisted by an independent tender consultant.
- Coordinate with all relevant evaluation stakeholders.
- Ensure that quality control is carried out throughout the evaluation process. In so doing, EVAL may make use of external peer reviewers.
- Provide feedback to the Evaluation Team. Comment on draft versions of the inception report, the work plan, and the summative evaluation report. Approve final reports.
- Organise and chair meetings of the Evaluation Reference Group.
- Facilitate and participate in evaluation workshops, including possibly an open dissemination workshop towards the end of the evaluation.

⁷ Scheduled meetings of the African Union rule out organising any evaluation consultations in the second half of January 2018.

- Organise presentation of evaluation results and follow-up on the evaluation for the internal Danida Programme Committee and the Minister for Foreign Affairs (the responsible department or Embassy drafts the management response).
- Advise relevant stakeholders on matters related to the evaluation.

Role of the Evaluation Team (Consultant)

The OECD/DAC evaluation principles of independence of the Evaluation Team will be applied. The Evaluation Team will carry out the evaluation based on a contract with the MoFA and will:

- Prepare and carry out the evaluation according to the ToR, the approved Inception Report, the DAC Evaluation Quality Standards and the Danida Evaluation Guidelines.
- Be responsible to the Evaluation Management for the findings, conclusions and recommendations of the evaluation.
- Ensure that quality assurance is carried out and documented throughout the evaluation process according to the Consultant's own Quality Assurance Plan.
- Report to the Evaluation Management regularly about progress of the evaluation.
- Organise and coordinate meetings and field visits, and other key events, including debriefing session and/or validation workshops in the field visit countries.

The Team Leader is responsible for the team's reporting, proper quality assurance and for the organisation of the work. The Team Leader will participate in the ERG meetings and other meetings as required and upon request.

Role of the Evaluation Reference Group

An Evaluation Reference Group (ERG) will be established and chaired by EVAL. Other members of the ERG will include the Danish Embassy in Addis Ababa and other stakeholders. The mandate of the ERG is to provide advisory support and inputs, e.g. through comments to draft reports. The ERG will work through meetings, e-mail communication and video-conferencing.

The tasks of the ERG are to:

- Comment on the field mission preparation notes, draft inception report, draft annual field visit reports and draft evaluation report with a view to ensure that the evaluation is based on factual knowledge about the engagement and how it has been implemented.
- Support the implementation of the evaluation and promote the dissemination of the evaluation conclusions and recommendations.

Other key stakeholders may be consulted at strategic points in time of the evaluation either through mail correspondence or through participation in stakeholder meetings/workshops.

Composition and qualifications of the evaluation team

The evaluation team will comprise specialists in the fields of international relations, peace and security processes and African governance issues, with particular emphasis on knowledge and experience related to peacebuilding and conflict resolution. Strong methodological and analytical skills are required. The ideal team will combine extensive evaluation experience with thorough understanding of the dynamics of international and regional organisations in Africa and their mandates with respect to peacebuilding and security as well as governance.

In short, the core team will:

- have proven evaluation experience and strong methodological skills;
- understand the roles and operations of international and regional organisations;
- have extensive knowledge of African peace, security and governance issues.

At least one of the team must be fluent in French. The two core team members will undertake the evaluation. Subject matter specialists from the Horn of Africa and the Sahel may be identified to provide inputs to the core team as required.

Specifically, the **profile and qualifications of the team leader** will be as follows:

General experience:

- Higher academic degree in relevant subject, preferably Ph.D.
- A profile with major emphasis on the political economy of development, with 15 years or more of relevant international experience
- Proven track record in evaluation methods
- Experience as team leader of evaluations or comparable research assignments

Adequacy for the assignment:

- International experience from evaluations dealing with governance, international relations and regional organisations
- Analytical work or research in thematic areas related to the evaluation, particularly peace and security
- Extensive international experience from designing and undertaking institutional and political economy assessments

Country experience and language:

- Experience from both East and West Africa
- Proficiency in spoken and written English, knowledge of French.

The **profile and qualifications of the peace and security specialist** will be as follows:

General experience:

- Higher academic degree in relevant subject

- A profile with major emphasis on peace, security and development, with 10 years or more of relevant international experience
- Team member for comparable evaluation assignments

Adequacy for the assignment:

- Extensive international experience of conflict resolution and peace operations, preferably with international and regional organisations
- Other analytical work or research in thematic areas related to the evaluation, particularly peace and security

Country experience and language:

- Experience from both East and West Africa
- Proficiency in spoken and written English, knowledge of French.

The team composition will be assessed according to the relevance and complementarity of the qualifications of the entire proposed team.

Eligibility

The OECD DAC evaluation principles of independence of the Evaluation Team will be applied. In situations where conflict of interest occurs, candidates may be excluded from participation, if their participation may question the independence and impartiality of the Evaluation. Any firm or individual consultant that has participated in the preparation or implementation of the evaluated programme will be excluded from participation in the tender.

Tenderers are obliged to carefully consider issues of eligibility for individual consultants and inform the Client of any potential issues relating to a possible conflict of interest.

Inputs

The total budget for the evaluation consultancy services is a maximum of 980,000 DKK. This includes all fees and reimbursables required for the implementation of the contract, excluding costs of workshops and seminars conducted in Copenhagen and Addis Ababa.

Requirements for home office support

The Evaluation Team's Home Office shall provide the following, to be covered by the Consultants fees:

- General home office administration and professional back-up;
- Quality Assurance (QA) of the consultancy services in accordance with the Evaluation Team quality management and quality assurance system, as described in the Tender. Draft reports will also be subject to QA prior to the submission of such reports

- Implementation of the Business Integrity Management Plan, as described in the Consultants' application for qualification.

The Tenders shall comprise a detailed description of the proposed QA. The Tenderer should select a QA Team with competence within the field.

Some important references * list to be completed in inception phase *****

Desmidt, S. (2016): Peacebuilding, conflict prevention and conflict monitoring in the African Peace and Security Architecture. European Centre for Development Policy Management (ECDPM), Maastricht.

FCO/MoD/DfID (2014): The UK Government's approach to stabilisation. UK Government, London.

Gowan, R. (2017): Bordering on crisis – Europe, Africa and a new approach to crisis management. Policy brief, European Council on Foreign Relations, Brussels.

International Crisis Group (2017): A changing environment brings opportunities and threats for the African Union. Commentary by Comfort Ero (Programme director), ICG, Brussels.

IPSS (2016): Africa in the global security agenda – Background paper for the 5th Tana high level forum on security in Africa. IPSS, Addis Ababa University

IPSS (2017): Natural resource governance in Africa – Background paper for the 6th Tana high level forum on security in Africa. IPSS, Addis Ababa University

MoFA (2003): Afrikaprogram for konflikt – styrelsesnotits ("pre-phase").

MoFA (2004): Denmark's Africa Programme for Peace, 2004-09 – programme document

MoFA (2009): Africa Programme for Peace, Phase II, 2010-13 – programme document

MoFA (2013): Africa Programme for Peace III, 2014-17 – programme document

MoFA (2016): Mid-term review of the Africa Programme for Peace, Phase III – Review aide memoire, especially annex C (considerations on programming for engagements beyond APP III)

MoFA (2017) The World 2030 – development and humanitarian assistance strategy.

MoFA (2017): Concept note for APP IV, 2018-21.

MoFA (various): APP appraisal & review reports, PCRs, etc. *** list under preparation ***

MoFA/EVAL (2008): Evaluation of Danish regional support to peace and security, regional integration and democratization in Southern Africa.

MoFA/EVAL (2014): Evaluation of the Peace and Stabilisation Fund, 2010-13.

http://um.dk/en/danida-en/results/eval/Eval_reports/publicationdisplaypage/?publicationID=17ED03EE-DB80-4D8D-969A-CCE34AD01CF9

MoFA/MoD/MoJ (2013): Denmark's integrated stabilisation engagement in fragile and conflict-affected areas of the world.

United Nations (various):

<http://www.un.org/apps/news/story.asp?NewsID=56587#.WXc4V2ZIKUk>