**Inclusive and Sustainable New Communities Project in Uganda**

**Mid-Term Evaluation**

**TERMS OF REFERENCE**

**Duty station:** Kampala, Uganda

**Language(s) required:**  English

**Starting date:**  As soon as possible

**Category:** National consultant

**Expected duration of assignment:** 25 working days

1. **INTRODUCTION**

Since 1977, UNDP Uganda Office has been working in partnership with government of Uganda, and other stakeholders to eliminate poverty, inequality and exclusion to achieve sustainable development, and transform the country into a middle income economy in line with the vision of the National Development Plan. Over the last three decades, a number of UNDP-led initiatives have contributed significantly to the current growth – averaging 6.5% - and helped to sustain the country on its current path of development.

One of the two major pillars (Inclusive and effective governance), UNDP strongly believes that good governance based on constitutional democracy fosters national development by creating an environment conducive for investment. It also promotes efficient and effective national resource allocation systems facilitate the equitable distribution of growth dividends, strong public institutions that can combat corruption and improve service delivery. Hence, strong security and justice systems which boost social cohesion, peace and stability leading to sustainable development.

Under this pillar, the Inclusive and Sustainable New Communities (ISNC) Project in Uganda is suited to the Institutional Effectiveness portfolio. The ISNC project aims to build on Government of Uganda and Development Partners’ achievements in local development and decentralisation. Promoting-community based local development through the Saemaul Undong (SMU) model, ISNC project also attempts to create national and policy level linkages of the community level results. In the spirit of core SMU principles of self-reliance and financial sustainability, the project will take a suggested 2-3-5 approach to structure resources required for the project at local level, meaning 20 percent ODA matching with 30 percent Government cost-sharing and 50 percent in-kind forms of community mobilization of labour and services, etc. The co-financing pattern may be adjusted to fit the country context. This will ensure that the project and future rollouts of the ISNC start with a self-reliance approach and become less aid dependent in the long run.

*Project Summary*

Output 1: Strengthened institutional system of local development systems through planning, budgeting, and implementation and monitoring, with focus on sub-county, parish and village development committees to address the dependency syndrome on central government and donors.

Output 2: Enhanced cohesiveness and inclusiveness of community development at local level, increasing participation and engaging women, youth, poorest, disadvantaged and marginalized population and reducing fragmentation of community-based associations.

Output 3: Local resources increased and financing mechanisms improved to ensure that they reach community level through innovative and sustained financing of local development priorities identified by community-based organizations and village development committees.

Output 4: Scale up of proven sustainability innovations including ICT, environment friendly technologies, and social enterprises through standardization, certification, dissemination and incentives.

Output 5: Generated knowledge is documented and disseminated nationally and globally through South-South cooperation mechanisms, linkage with academia is reinforced.

1. **DEVELOPMENT CONTEXT OF THE PROJECT**

Uganda adopted its First Decentralisation Policy Strategic Framework (DPSF) which expanded the mandate of the Local Government Sector beyond service delivery by adding a sixth objective of Local Economic Development (LED) in 2006. The Government to further stimulate local economic development and enhance household incomes formulated a National LED Strategy and the National Local Economic Development Policy. Local governments at lower levels (sub-counties, parishes and villages) remain poorly functional and have little engagement in the local development process. Capacities of local governments below district level are to be reinforced in planning, financing, implementation and monitoring of inclusive and sustainable local development with community participation. Additionally, the bottom-up planning process is to be reinforced through strengthening the district government capacity to mainstream local plans and connect them to resources. This project directly contributes to the implementation of the policy to the lower levels as the comprehensive implementation of this policy is still at national and higher local government level.

1. **PURPOSE OF THE EVALUATION**

The purpose of an independent mid-term evaluation is to assess the project’s achievements against the set objectives, identify and document lessons learnt (including design issues, lessons and best practices that can be up-scaled or replicated), and quantify the project’s contribution to the Government of Uganda’s efforts and commitments to local development and local governance.

As an integral part of the project cycle, the evaluation will analyze effectiveness, efficiency, relevance, impact and potential for sustainability of the project. It will also identify factors that have affected project implementation and facilitated or impeded the achievement of the objectives and attainment of results. Findings from the evaluation are expected to be used by UNDP, the Ministry of Local Government, district local governments and local communities who are the main beneficiaries of the project. The findings from the evaluation will also support the terminal evaluation that is scheduled either in the first or second quarter of 2018 as planned during the 2nd Annual Community of Practice Meeting of the Global Programme “Saemaul Initiative Towards Inclusive and Sustainable New Communities (ISNC)” that took place in Bolivia in August, 2016.

1. **OBJECTIVES AND SCOPE OF THE EVALUATION**

The main objective of the mid-term evaluation is to assess project implementation, including how the design of the project has impacted on implementation, results, relevancy, effectiveness, efficiency, sustainability, unexpected effects, and lessons.

The subject of the evaluation is the project outcomes and outputs as well as the project processes by highlighting the results, challenges faced, lessons learnt, recommendations, and the impact on the targeted beneficiaries. The evaluation coverage will include the logic and underlying assumptions upon which the strategy was originally developed, and the implementation strategy that has actually been adopted.

The findings from this evaluation will be used where necessary to improve on design, implementation and management of future projects and interventions. The evaluation will cover:

* Project beneficiaries: Ministry of local government; district local governments; beneficiary communities;
* Geographical coverage: 3 districts (Kabaraole, Luuka and Maracha)
* Donor contributions: Republic of Korea through Korea International Cooperation Agency (KoICA)
1. **APPROACH AND METHODOLOGY**

The mid-term evaluation shall provide evidence based information that is credible, reliable and useful. The lead consultant will identify and/or work with a support team. The support team will be justified in the evaluation approach and methodology to be used. The consultant will ensure the deliverables are realized. The mid-term evaluation team will review all relevant sources of information including documents prepared during the preparation phase, the project document, project reports including annual project reviews, project budget revisions, lesson learned /monitoring reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review.

The mid-term evaluation is expected to follow a collaborative and participatory approach ensuring close engagement with the project team, government counterparts, the UNDP Country Office, technical advisers, and other key stakeholders. Engagement of stakeholders is vital to a successful evaluation. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to: executing agencies, senior officials and task team leaders, key experts and consultants in the subject area, project steering committee, project stakeholders, academia, local government and CSOs, etc. Additionally, the evaluation team is expected to conduct field missions to selected project target areas where the evaluation team should be able to meet the project responsible parties and conduct site verification.

The evaluation will specifically assess the following aspects of the project:

*Project Concept and Design*

The mid-term evaluation will assess the project concept and design, and the relevance of indicators and targets set for the project, insofar as they have impacted on the achievement of project targets. The mid-term evaluation will review the problems addressed by the project and the project strategy, encompassing an assessment of the appropriateness of the objectives, planned outputs, activities and inputs as compared to cost-effective alternatives. In the event the evaluators find that there were no clear baseline indicators for the project at the onset, the evaluators are required to estimate the baseline condition so that achievements and results could be established objectively.

*Implementation*

The mid-term evaluation will be facilitated by UNDP and undertaken in a highly participatory manner using appropriate appraisal techniques. Desk reviews, interview with key informants, focus group discussions with primary and secondary beneficiaries of the project are recommended for validation of results and outcome in the field.

Implementation of the project in terms of quality, timeliness of inputs, efficiency and effectiveness of activities carried out will be evaluated. Also, the effectiveness of management as well as the quality and timeliness of monitoring and backstopping by all parties to the project should be evaluated.

While assessing a project’s results, the final evaluation will seek to determine the extent of achievement and shortcomings in reaching the project’s objectives as stated in the project document and also identify any alterations if any and whether or not those changes were approved and implemented.

*Project Outputs and Outcomes*

The evaluation will assess the outputs, outcomes and impact achieved by the project as well as the likely sustainability of project results. This will encompass an assessment of the achievement of the immediate objectives and the contribution to attaining the overall objective of the project. The evaluation will assess the extent to which implementation of the project has been inclusive in delivering to the intended or targeted beneficiaries, as well as examining any significant unexpected outcomes.

The evaluation and its findings are expected to be evidence-based. It is recommended that a ratings matrix be used to rank objectives according to the level of attainment of expected results and outputs, as well as rating of elements of project management.

1. **EVALUATION QUESTIONS**

In order to achieve the purpose/objectives of this evaluation, the evaluation should address the following questions:

1. Assess the relevance and appropriateness of the project design to the achievement of project results through community-led development as well as policies related to Decentralisation, Local Governance and Local Economic Development, UNDP’s mandate and UNDAF/Country Programme Document?
2. To what extent have project key objectives, goal and project specific outputs and outcomes been achieved? What were the unintended consequences of this project?
3. What relationships and partnerships were most effective in terms of delivering expected results? Specifically assess the strengths and weaknesses of direct and tangential partnership arrangements of the project with stakeholders in delivering project objectives?
4. To what extent were the project financial resources available and appropriately utilized? Appraise the value for money in the utilization of resources?
5. Assess the role of the project in contributing to gender concerns/equality and the empowerment of women?
6. What project sustainability measures were put in place and what factors are likely to affect project sustainability? How well has the project used the information generated by the performance indicators during project implementation to adapt and improve the project?

Overall the mid-term evaluation should analyze lessons and propose recommendations on aspects that have contributed or hindered the attainment of project objectives, sustainability of project benefits, innovation, catalytic effect and replication, and project monitoring and evaluation.

The evaluation should provide well formulated lessons to inform future investment in community-led development to achieve local governance and local economic development in Uganda. The final evaluation report will include examples of good practices from other projects within the focal area, country and region.

1. **EXPECTED DELIVERABLES**

The following deliverables/products are expected from the evaluation team:

* Inception report including detailed methodology;
* Field work debriefing before draft report writing;
* Draft evaluation report;
* Presentation to UNDP and stakeholders;
* Final evaluation report.
1. **COMPOSITION, SKILLS AND EXPERIENCE OF THE EVALUATION TEAM**

*Composition*

The evaluation will be undertaken by a lead national consultant. The consultant will be responsible for forming a support team, as appropriate to his/her approach.

The consultant must be independent and impartial of both the policy-making process and the delivery and management of assistance to the project. The consultant should not have been engaged in the activities to be evaluated, or responsible in decision-making roles for the design, implementation or supervision of the project. Consultant is expected to be impartial and will present a comprehensive and balanced appraisal of the strengths and weaknesses of the project and activities being evaluated.

*Required Skills and Experience for Consultant*

* Master’s degree in development studies or related social science fields with 8 year experience in project and programme evaluation;
* Familiarity with integrated/multi-sectoral development projects in the field of governance and programme management in Uganda, either through managing or evaluating donor-funded projects.
* Familiarity and understanding in community-led development. Additional knowledge of the Republic of Korea including the Saemaul Undong (SMU) model and its movement is an advantage.
* Substantive knowledge of participatory M&E processes is essential
* Experience in the evaluation of technical assistance projects, if possible with UNDP or other UN development agencies and major donors, is required.
* Excellent English writing and communication skills. Demonstrated ability to assess complex situations in order to analyze critical issues succinctly and clearly and draw forward-looking conclusions.

*Duties and Responsibilities*

The consultant will have overall responsibility for the work and operation of the evaluation.  The consultant is responsible and accountable for the production of the agreed products including the following:

* Review of documentation to be provided by the project (implementation/evaluation reports);
* Conducting fieldwork and interviewing of stakeholders, national and local government officials, and the beneficiary communities to generate authentic information and opinions;
* Writing and compilation of the information and reports as needed;
* Presentation of key findings highlighting achievements and constraints, and making practical recommendations to decision makers and stakeholders;
* Finalization of the terminal evaluation report.
1. **TIME- FRAME FOR THE EVALUATION**

The evaluation will be carried out within 25 working days, including delivery of products as listed under section VI mentioned above. The assignment will take effect from the date of signing of the contract, as follows:

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| ***Deliverables / Outputs*** | ***Expected Duration***  | ***Review and Approvals*** |
| 1. Submit a detailed inception report and meet UNDP team
 | 2 days | UNDP M&E Specialist  |
| 1. Undertake field mission
* Kabarole District
* Luuka District
* Maracha District
 | 13 days(field based) |
| 1. Undertake Kampala based interviews
 | 3 days(Kampala) |
| 1. Prepare and present draft report
 | 5 days(Kampala) |
| 1. Submit final report
 | 2 days |

The Evaluation team shall present an Inception report within one week of signing the contract.

1. **COMPETENCIES:**
* Demonstrated expertise and experience on terminal evaluation of programmes/ projects and other strategic Programme documents
* Excellent analytical skills and strong commitment to sharing expertise and experience in order to develop capacity of others, and work as a member/advisor of a team;
* Strong communication skills; able to communicate effectively with people and able to write concisely and make presentations in a simple non-technical manner;
* Excellent analytical, organizational and negotiation skills. Ability to demonstrate tact and diplomacy
1. **RESPONSIBILITIES AND LOGISTICS**

The consultant shall work under the supervision of UNDP’s M&E Specialist and closely with UNDP’s ISNC Project Team.

The draft evaluation report shall be presented to UNDP and Government stakeholders no later than 25 days after start of the assignment. Comments and feedback from all stakeholders should be incorporated into the final version of the report.

The consultant shall submit the final evaluation report to the UNDP’s M&E Specialist for certification of completion of work. The consultant will have the responsibility for the quality and timely submission of the deliverables to the UNDP Country office.

1. UNDP will provide logistical support to the consultant in the form of a vehicle for up-country project visits, and an accompanying project officer, if required.

The selected consultant will be expected to adhere to a code of conduct (Statement on Ethics), and conduct him/herself according to the expected ethical standards.

1. **APPLICATION PROCEDURE**

*Price Proposal and Schedule of Payments*

A lump sum payment, in three tranches, shall be made upon successful completion and certification of work done as indicated in this Terms of Reference.

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| --- | --- | --- |
| **Payment Releases** | **Percentage** | **Timing**(after contracting) |
| Upon submission of an Inception report, with detailed work plan for the assignment | 20 | 2 days |
| Upon submission of draft report and presentation | 30 | 20 days |
| Upon Submission of final report | 50 | 3 days |

**Evaluation Method and Criteria**

**Cumulative analysis**

* The award of the contract shall be made to the individual consultant whose offer has been evaluated and determined as:
	+ Responsive/compliant/acceptable, and;
	+ Having received the highest score out of a pre-determined set of weighted technical and financial criteria specific to the solicitation:
		- Technical criteria weight; - 70%;
		- Financial criteria weight; - 30%.

Only candidates obtaining a minimum of 49 points (70% of the total technical points) would be considered for the Financial Evaluation

**Technical Criteria – Maximum 70 points**

**Criteria**

* Relevant degree: 10
* A minimum of 8 years relevant work experience: 15
* Relevant experience in the evaluation of technical assistance projects: 30
* Familiarity with integrated/multi-sectoral development: 15

**Documents to be included when submitting the proposals**

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| Interested individual consultants must submit the following documents/information to demonstrate their qualifications in one single PDF document:* Duly accomplished Letter of Confirmation of Interest and Availability using the template provided by UNDP (Annex II).
* Personal CV or P11, indicating all past experience from similar projects, as well as the contact details (email and telephone number) of the Candidate and at least three (3) professional references.
* Technical proposal:
* Brief description of why the individual considers him/herself as the most suitable for the assignment
* A methodology, on how they will approach and complete the assignment
* Financial proposal that indicates the all-inclusive fixed total contract price, supported by a breakdown of costs, as per template provided (Annex II)
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ANNEXES *(to be downloaded from UNDP Uganda Website, procurement notices section:* [*www.undp.or.ug*](http://www.undp.or.ug)*):*

* ANNEX I- Individual Contractor General Terms and Conditions
* ANNEX II –Offerors Letter to UNDP Confirming Interest and Availability for the Individual Contractor Assignment

DOCUMENTS TO BE INCLUDED WHEN SUBMITTING THE PROPOSALS

|  |
| --- |
| Interested individual consultants must submit the following documents/information to demonstrate their qualifications **in one single PDF document:**1. Duly accomplished **Letter of Confirmation of Interest and Availability** using the template provided by UNDP (Annex II).
2. **Personal CV or P11**, indicating all past experience from similar projects, as well as the contact details (email and, telephone number) of the Candidate and at least three (3) professional references.
3. **Technical proposal:**
	1. Brief description of why the individual considers him/herself as the most suitable for the assignment
	2. A methodology, on how they will approach and complete the assignment. *[If applicable. A methodology is recommended for intellectual services, but may be omitted for support services]*
4. **Financial proposal** that indicates the all-inclusive fixed total contract price, supported by a breakdown of costs, as per template provided (Annex II)
 |

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This TOR is approved by: [*indicate name of Approving Manager*, *only for internal purposes.]*

Signature

Name and Designation Mugisha Polly A (Team Leader, MSU / M&E Specialist)

Date of Signing 1st March 2017