



TERMS OF REFERENCE

FOR SPECIAL SERVICE AGREEMENT

**TITLE: National and International Consultants for End-of-the Project Evaluation
(National or International)**

COUNTRY OF ASSIGNMENT: Viet Nam (Ha noi and provinces)

1) GENERAL BACKGROUND

The UNDP/UNCDF/DFID/DCI/AFD-funded project “Strengthening Local Government Capacities in Planning, Budgeting and Managing Public Resources (SLGP)” has been formulated and implemented in close partnership between the Ministry of Planning and Investment, participating provinces and donors (UNDP, UNCDF, DCI , etc). Amongst the development partners, UNDP and UNCDF are participating UN organizations who helped to lead the design of the programme and provided technical advisory services to the project. The project was planned to be implemented from Mid-2005 until Mid-2009 originally. In order to maximize the impact of the project, an extension period of until end of 2010 was agreed by UNDP Vietnam and approved by the Government.

Aiming to achieve the overall goal of pro-poor and gender sensitive plans and budgets at sub-national levels, the project is expected to deliver the following **five key outputs**:

1. More effective, participatory and inclusive planning and budgeting systems are developed and used by local government organizations in the pilot provinces.
2. Investment scheme implementation by local government is more transparent and effective in the pilot provinces.
3. Appropriate local government financial management mechanisms and fiscal arrangements are established and used in the pilot provinces.
4. Oversight, accountability and monitoring mechanisms are enhanced at local levels in the pilot provinces.
5. Experience from SLGP provincial innovations as well as from other similar government and donor-funded projects inform and influences national policies (in particular, national guidelines for local socio-economic development planning and budgeting) and is made available to other provinces/donors.

The project is operated at both national and sub-national levels. At the national level, SLGP works with the Ministry of Planning and Investment (MPI), Ministry of Finance and other related line Ministries and organizations, and donors. At the sub-national level, the project works with relevant local authorities (provincial, district and commune) in four pilot provinces.

A Mid-term review was conducted in 2008 to assess its progress against outputs and identify appropriate recommendations for the project to reach its objective. Management response to and implementation of the key recommendations have been set up and monitored. As designed, SLGP will undergo a final evaluation upon completion of implementation. The final evaluation will assess the achievement, relevance, effectiveness, and efficiency of the project. The evaluation looks at early signs of potential impact and sustainability of results, including the contribution to capacity development and the achievement in the process of local planning and budgeting reform.

The EOP Evaluation of SLGP is scheduled for the second half of year 2010, and a team consisting of one international consultant and one national consultant will be recruited to conduct the evaluation.

2) OBJECTIVES OF THE ASSIGNMENT

The objective of the EOP Evaluation is to address the issues of:

- *Project achievements and results*: analysis of end of project results against designed outputs and outcome, taking into consideration the implementation of MTE recommendations.
- *Relevance*: analysis of relevance of the project concept via context verification (both national situation and One Plan context) as now in comparison with the project design's period.
- *Effectiveness*:
 - Assessment of processes that affected the attainment of project results: examination of preparation and readiness of the project, country ownership, stakeholder involvement, financial planning, effectiveness of national and local implementing agencies and designated supervision agency, coordination mechanism with other relevant donors projects/programmes, and reasons for any bottlenecks and delays in delivery of project outputs, outcomes and the attainment of sustainability.
 - Implementation approach: including an analysis of the project's result framework, performance indicators, adaptation to changing conditions, overall project management and mechanisms applied in project management decentralization to local level in delivering project outputs.
- *Efficiency*: measure the efficiency of the implementation and management arrangements of the Project
- *Sustainability*: from such analysis of project relevance, analysis of the likelihood of sustainability of outcomes at project termination, with attention to sustainability of financial resources, the socio-political environment, catalytic or replication effects of the project, institutional and governance factors, and environmental risks.
- Lessons learned and recommendations in each of the mentioned above aspects.

3) SCOPE OF WORK

- Progress and achievement of the project outputs, and their contribution to the One Plan outcome.
- Progress to date in the implementation of management response to agreed recommendations of the MTR.
- The relevance of SLGP (its outputs) in the current context of SEDP and decentralization process in Vietnam; its contributions to the national and sub-national efforts in improving socio-economic development planning and budgeting (i.e. during the development of local SEDPs and formulation of Planning Decree).
- The achievement of SLGP 5 outputs against the Result Framework and annual workplans in alignment with the priorities and needs of the nation.
- Possible gaps/weakness in the current project design and provide possible interventions and measures that could be continued to support the country in the future.
- Preliminary impact of the project, particularly on capacity strengthening for sub-national partners using the UNDP Capacity Development Framework (which looks at capacity at three levels – system, organisation and individual¹), toward the results set in the towards achievement of the local governance outcome as identified in the Country Programme Action Plan/OP2
- The impact of piloting activities in planning, budgeting, and managing public resources on

¹ UNDP, Capacity Assessment – Practice Note, Final Draft 14 October 2005

improving the local capacity in socio-economic development planning and budgeting as well as in informing national policy framework.

- The linkage between SLGP and other national programmes including those that target the poorest local areas
- Project's partnership with the government agencies, UN partners, and donor community in the project implementation;
- Appropriateness of the programme logic, design and strategy in achieving the programme objective and outputs.
- Efficiency of implementation and management arrangements of the Project, with consideration of level of mainstreaming gender equality issues.
- Sustainability: propositions to capitalize experiences from SLGP to national system, the readiness of the national and local stakeholders to maintain and continue piloted activities after project termination, with identifications of risks involved.

Lessons learned and recommendations for UNDP, UNCDF and national partners to address the sustainability questions and emerging issues or indicators in the new context.

SPECIFIC ACTIVITIES

The consultant team will conduct the following activities:

- Propose a detailed workplan, interview questionnaires;
- Collect relevant documentation with the support of CPMU, PPMU and UNDP;
- Conduct a desk study of the UN/UNDP CPAP, One UN context (One UN Plan and outputs of SLGP in contribution to the Outcome of One Plan), key related project documents such as... annual and quarterly plans, progress reports, annual review minutes, key notes and minutes with Leader of MPI and provinces on the project implementation, as well as other related documents to the SLGP implementation (including LCA reports, MTR report, partnership papers, etc.).
- Conduct in-depth interviews with key informants at central level (MPI, MOF, co-implementing ministries, UNDP, UNCDF and donors) and local level (DPI, related departments, PPC leaders from provincial to commune level) to better understand the reasons for identified gaps in relevance and efficiency as well as to document initial impact and lessons learnt of the project.
- Prepare the draft report to seek for comments from UNDP, UNCDF, GACA, interested donors and project implementing partners.
- Present the key findings and recommendations in the project Final Review Workshop.
- Finalize the report.

4) DURATION OF ASSIGNMENT, DUTY STATION AND EXPECTED PLACES OF TRAVEL

Indicate the duration of the assignment, duty station and expected places of travel.

The mission will commence in August 2010. The duration of the assignment is up to 30 working days for each consultant during August-October 2010. The consultants will work mainly in Ha Noi, with possible field trips to several provinces.

5) FINAL PRODUCTS***

Provide a clear and unequivocal definition of the final product/s or deliverables (e.g., survey completed, workshop, conducted, data collected, reports written, etc)

The Evaluation Team is expected to produce a comprehensive analytical Project EOP Evaluation Report that highlights the findings, recommendations and lessons learnt. The

report is maximum 30 pages excluding annexes, which might include, but is not limited to, the following components:

- Executive summary;
- Introduction;
- Description of the evaluation methodology;
- Analysis of the situation with regard to outcome, outputs, resources, partnerships, management and working methods;
- Key findings and lessons learnt;
- Conclusions and recommendations

Besides following intermediate semi-products and tools should be submitted:

- Workplan
- Questionnaire
- Draft report outline
- Draft Report on the findings and recommendations.
- Presentations in the final review workshop in Ha Noi to present EOP Evaluation findings and recommendations to, and to collect comments and recommendations from workshop participation to finalize the report.

The evaluation mission is expected to conduct the below approach to deliver the expected products described above:

- Desk study of existing project documents (see the list on annex 1) with support and inputs from UNDP PO and Policy Adviser on Local Governance.
- Field visits (4 pilot provinces) and interviews with relevant local stakeholders (both groups, one key implementers and the other one, beneficiaries - those who are not involved in the project implementation but benefit from the project) using semi-structured questionnaires. The fieldtrip should be organized so that the evaluation team can attend the provincial final review workshops.
- Interview of national stakeholders (see the list of suggested interviewees in the annex 2);
- Interview of donors (see the list of suggested interviewee in the annex 2) – this should be done after the field work and interviews of national stakeholders.
- Participation of stakeholders and/or UN partners (through interviews and the debriefing workshop at the end of the mission).
- The EOP Evaluation team should cooperate and make best use of both CPMU's and PPMUs' staff and experts.

6) PROVISION OF MONITORING AND PROGRESS CONTROLS

[Indicate detailed provision of monitoring and progress controls, including reporting requirements, periodicity, format and deadlines](#)

The Evaluation Team will consist of 2 consultants: one international consultant as the Team Leader and one national consultant as team member. Under the overall supervision of UNDP Head of the Poverty and Social Development Cluster, the Evaluation Team will conduct a participatory project EOP Evaluation

The Consultants will work closely with UNDP Head of Poverty and Social Development Cluster, UNDP PO focal point of SLGP, the SLGP Project Management Unit at MPI in order to implement the work and achieve the required results.

The partner agencies and the project offices at central and local level will be responsible for providing all documents and reference materials required to conduct the Evaluation. They will also be involved in interviews, briefings and debriefings.

The deliverables/reports are submitted according to planned. The findings of the mission should be disaggregated by gender where possible, and should follow the ethical code of conducts for UNDP evaluations as specified in the annex. The recommendations of the final report are feasible to be used by UNDP and implementing partners to conceptualize possible support to the planning reform topic. The content of final report of the Evaluation is endorsed by UNDP and MPI.

The team will work as per the below tentative timeline:

Activity	Estimated number of working days	Timeline
Initial briefing at project office, GACA representative and UNDP, Desk review, Evaluation design, methodology and detailed work plan, and access to relevant reports	3 days	15 August
Consultations, meetings as well as for phone/in-person interviews at national and provincial level	12 days	31 August
Preparation of draft evaluation report to send to UNDP for comments (MPI is in GACA members)	5 days	17 September
Second draft submitted to UNDP to send to GACA, UNCDF and other donors for comments	3 days	24 September
Presentation of key findings at Project Final Review Workshop	2 days	30 September
Finalization of evaluation report to send to UNDP/UNCDF and GACA	5 days	30 October 2010

7) DEGREE OF EXPERTISE AND QUALIFICATIONS

Provide an unambiguous description of the required degree of expertise and qualifications including specialized knowledge, language needs and experience required, selection criteria, qualifications and performance or other standards the Contractor must fulfill

The team members should be selected from those, who have not been involved in the project in one or another form, be it project formulation or implementation.

Qualification requirements for the International team leader:

- Post-graduate degree in economics, development and/or related fields;
- At least 15 years' professional expertise and experience of working on local governance related areas, decentralization, SEDP and M&E in developing and/or transitional countries;
- Extensive experience in conducting participatory programme/project evaluations, impact assessment, to provide strategic recommendations for continued support/development of programming/strategies;
- Strong working knowledge of UNDP, the civil society sector and working with state public authorities in the field of institutional reforms and local governance;

- Knowledge of UNCDF approaches to decentralization and local development
- Knowledge on One UN Initiative /Delivery as One (DaO);
- Extensive knowledge of result-based management evaluation, UNDP policies, procedures, as well as participatory monitoring and evaluation methodologies and approaches;
- Experience in applying SMART indicators and reconstructing or validating baseline scenarios;
- Extensive experience in working with the donors;
- Demonstrated analytical, communication and report writing skills;
- Excellent interviewing, public speaking at high levels;
- Teamwork capacity to work with the target group representatives;
- Fluency in written and spoken English.

The Evaluation Team Leader will have overall responsibility for the quality and timely submission of the final evaluation report to UNDP. Specifically, the team leader will perform the following tasks:

- Lead and manage the evaluation mission;
- Design the detailed evaluation scope and methodology and approach;
- Ensure efficient division of tasks between the mission members;
- Conduct the outcome evaluation in accordance with the proposed objective and scope of the evaluation;
- Draft and communicate the evaluation report;
- Finalize the evaluation report in Vietnamese and English and submit it to UNDP.

Qualification requirements for the National Poverty Reduction Expert/Team member:

- University degree in economics, business administration, social sciences or any other relevant disciplines;
- At least 10 years of professional experience with Government agencies and international organizations in the area of local governance and SEDP issues in Viet Nam
- Experience in conducting researches and other analytical works in the area of local governance
- Experience in conducting evaluations is desirable
- Good communication and presentation skills
- Fluency in written and spoken English.

S/he will perform the following tasks:

- Review documents;
- Participate in the design of the evaluation methodology;
- Conduct the outcome evaluation in accordance with the proposed objective and scope of the evaluation;
- Draft related parts of the evaluation report;
- Assist the Team Leader in finalizing the draft evaluation report through incorporating suggestions received
- Finalize the Vietnamese version of the report.

8) Admin support and reference documents

List of admin support which will be provided to the contractor by UNDP, by UNDP's implementing partners, in order to perform the contract (i.e. UNDP will provide support to selected candidate for visa to Viet Nam.....);

List and attach all reference documents to bidders to help them fully understand scopes of work in the TOR so as to prepare good proposals.

Suggested documentation

- Guideline for outcome evaluators (UNDP publication)
- UNDP, Capacity Assessment – Practice Note, Final Draft 14 October 2005
- UNDP CPD and CPAP 2006-2010; One Plan II;
- Project Document (Prodoc) - <http://www.undp.org.vn/detail/what-we-do/project-details/?contentId=794&languageId=1&categoryName=Democratic-Governance&CategoryConditionUse=/Subject-Areas/Democratic-Governance>
- Inception Report
- Progress and Financial Reports by PPMUs and CPMU (quarterly and annually)
- Mid-term review report
- APR Meeting Minutes
- 3 LCA Reports
- UNDP led consolidated report of good practice in local planning reforms from donors projects Jan 2010
- Consultants Reports (Research/Studies/Training)
- Training Materials
- Study Tour Reports
- Any other materials if deemed useful and necessary

9) REVIEW TIME REQUIRED AND PAYMENT TERM

[Review/approval time required to review / approve outputs prior to authorizing payments](#)
[Specify payment milestones \(e.g. 20% advance; 30% upon acceptance output 1; ect...\)](#)

First installment of 30% of the contract value upon receiving the detailed proposal of methodology, work plan and related research tools.

Second/last payment of 70% of the contract value upon receiving the final report.

10) CONSULTANT PRESENCE REQUIRED ON DUTY STATION/UNDP PREMISES

NONE

PARTIAL

INTERMITTENT

FULL-TIME

The consultants will work part time for the assignment

ANNEX: Ethical Code of Conduct for UNDP Evaluations

Evaluations of UNDP-supported activities need to be independent, impartial and rigorous. Each evaluation should clearly contribute to learning and accountability. Hence evaluators must have personal and professional integrity and be guided by propriety in the conduct of their business.

Evaluators:

Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded

Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.

Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and: respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.

Evaluations sometimes uncover evidence of wrongdoing. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.

Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.

Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.

Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.