 

**Terms of Reference (TORs) for The Consultancy to Undertake Final Project Evaluation**

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| Project Name:  Project Number: | Improving Water Supply Sustainability Project in Northern Uganda (IWAS), Phase II  2744-00-2018 |
| Project Duration: | January 2019 to December 2021 |
| Project Location: | Lira, Alebtong, Dokolo and Kole districts |
| Assignment duration: | \_\_30 days |
| Expected Start Date: | \_\_20th September 2021 |

August 2021

# Context and Background

SNV Netherlands Development Organization in collaboration with the Austrian Development Agency (ADA) and the District Local Governments of Lira, Alebtong, Dokolo and Kole have implemented a 3-year ( January 2019 to December 2021) project titled **“Improving Water Supply Sustainability (IWAS) Phase II ”** with an overall budget of Euro 715,000[[1]](#footnote-1). The purpose is to contribute to functioning, sustainable, safe rural water sources in selected sub counties of the four project districts. The project was designed to operationalize and strengthen the Operation and Maintenance (O&M) systems at both district and sub-county levels while also increasing rural water source functionality. Under this project, no new facilities were constructed but all efforts were put to strengthen the O&M structures at community and sub county levels to ensure the existing water sources remained in a functional state, thereby assuring communities of sustained access to safe water supply.

The project interventions were spread over three components:

1. **Deepening and strengthening** the IWAS model by reflecting on its successes and challenges at pilot and at scale with the aim of refining, innovating, and documenting both the model and a learning agenda during the (re)design and implementation of the second phase.
2. **Expanding and replicating** the IWAS model in additional sub-counties in Lira, Alebtong and Dokolo Districts as well as sub-counties in the neighbouring district of Kole; and
3. **Aligning and embedding** the IWAS model by strengthening the systems and policy environment around its implementation, including institutionalizing the model within government performance assessment frameworks and advocating for its recognition with the Ministry of Water and Environment (MWE).

The overall target of the project was that 212,500 water users (51% female) in the four (4) project districts had continuous access to safe water supply through improved management by carrying out regular maintenance and minor repairs.

The following outcome results were committed to towards making the O&M system operational and to achieve the project purpose:

1. A Political leadership that proactively supports the improvement of the functionality of rural water sources through among others; the allocation of financial resources, formulation of supportive polices (i.e. council resolutions), monitoring of project activities, etc.
2. Improved capacity of district and sub-county technical staff to operationalize, strengthen and monitor O&M system structures.
3. Strengthened and professionalised operation and maintenance (O&M) structures at community level; (i.e. Water User Committees-WUCs) and other relevant structures at Parish (i.e. Parish Development Committee-PDC) to enhance water safety and O&M of water facilities
4. Enhanced capacity of the Sub county Water Supply and Sanitation Boards (SWSSBs) to effectively perform their roles in O&M of water facilities
5. Enhanced private sector support to O&M and functionality interventions (Hand Pump mechanics- HPMs and Hand Pump Mechanics Associations-HPMAs).
6. Improved learning and coordination on the O&M system at district, regional and national levels
7. Improved documentation and awareness creation activities.

Below are the specific targets for the above results:

1. At least 125 political leaders (district and sub-county executive members) in all 4 districts trained on their roles and responsibilities in improving sustainability of rural water services.
2. At least 38 district and sub-county technical staff in 4 districts supported to execute their roles in the O&M system with local communities.
3. At least 24 political leaders at district and sub-county levels trained on WASH Sector Management and Governance
4. 850 functioning water sources (with a specific focus on shallow wells and deep boreholes), each with a Water Source Committee.
5. 10 new SWSSBs established (Kole-4, Lira-2, Dokolo-2, Alebtong-2) and 4 existing ones (Dokolo-2, Alebtong-2) supported for consolidation.
6. 4 HPMAs supported in the development and implementation of business plans, including acquisition of contracts.
7. 98 Hand Pump Mechanics Association (HPMA) members retrained on installation of PVC (Polyvinyl chloride) and SS( stainless steel)pipes and other relevant topics.
8. Pre-paid meters installed at 4 community boreholes at public institutions.
9. 4 District Water and Sanitation Coordination Committees actively involved and harmonising approaches to strengthen O&M.
10. 4 District and regional WASH O&M learning events organized and held.
11. Involvement of Technical Working Groups at national level, including Technical Support Unit (TSU-2) and the Northern Uganda Umbrella Organisation (NUWS) as technical support institutions. They are all based in Lira
12. A clear and effective results-sharing and learning agenda in place to support the institutionalization, replication, and scale of the IWAS model.
13. Increased participation of women in Water User Committee (WUCs); at least 30% of the membership and leadership of WSCs are women.
14. Increased number of community water users reporting positively about women holding key leadership roles in WSCs.

Under IWAS II project, emphasis was placed on participation and engagement of women at all levels. The project was implemented within established government structures to ensure continuity of results after project end. The key project stakeholders and their roles are included in table 1 below.

Table 1: key project stakeholders and roles

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| --- | --- |
| **Stakeholder** | **Roles and responsibilities during project** |
| Water User Committee (WUCs) and Water Users | * Registers Water source with the sub county/SWSSB * Collection and remittance of O&M funds * Management of the water source and surroundings * Available for training * Implement action plan * Link with SWSSBs * Make by-laws for management of water source |
| Subcounty Local Government (SLG) | * Formation of the SWSSBs, Technical support * Implement action plans agreed * Supervise and monitor works by Parish staff and local partners * Establishment and training of WUCs, with Local Partners * Review and approval of by-laws for management WASH facilities * Budgets for O&M |
| District Local Government (DLG) | * Sign MoU/provide enabling environment * Identification of project focus areas * Supervise and monitor project activities: Quality assurance * Facilitate processes where possible * Support major repairs and rehabilitation * formulate enabling policies, ordinances * Budget for O&M, etc |
| MWE decentralised structures (TSU, UNWMZ, WSDF) | * Support in capacity building of project staff and district and subcounty staff * Clarification on policy issues * Supervise and monitor on behalf of MWE * Quality assurance |
| Ministry of Water and Environment (MWE) | * Supportive policies and regulations to support O&M * Provide technical guidance through staff based at regional centres (TSU) |
| National Water and Sewerage Cooperation | * Provide technical support in capacity building of district and sub county technical staff in water safety monitoring |

Mid-year review, 2020: A mid-year review was undertaken in August 2020 which established the following:

* Registration and fund remittance by WUCs to the boards improved
* Rejuvenation of WUCs as a result of training and re-training of the WUCs
* Improved accountability among WUCs (Accountability meetings)
* Scale up of SWSSB by Local governments
* Total of 67 major repairs done, 63 minors,214 sources on preventive maintenance, 214 sources remitting 80% out of the 384 sources registered
* Improved HPMA activities and professionalism (e.g. business plans developed and shared in Lira)
* District and sub-counties are allocating funds to SWSSB operations.
* Good political will exhibited since they were involved from the start of the project

The mid-year review recommended the following:

1. **Role of Political leaders on O&M interventions**: Training of the political leaders on the IWAS II model and their role in strengthening O&M of water points should be done after new leaders have been elected to office in 2021. Support from political leaders in repair of broken boreholes should follow established procedures i.e. HPMs from the respective subcounties should be used and payment made based on the agreed rates between the HPMAs and the SWSSB instead of the politicians coming with own HPMs.
2. **Water User Committees (WUCs)**: There is need to advocate for the formulation and enforcement of by-laws to guide operation and maintenance of community water source infrastructures. Registration of water sources in the Sub-county with the SWSSBs should be made mandatory and districts/ sub-counties supported to roll out the SWSSB model to all sub-counties; with the district/sub-counties taking lead in organising stakeholder meetings to clarify/address the issues of O&M user fees contribution.
3. **Sub-county Water Supply and Sanitation Boards (SWSSB) operations**: Rapid assessment/ evaluation of the performance of the SWSSBs needs to be conducted to guide the project team on areas that need more focus. Additionally, there is need for the SWSSBs to hold quarterly accountability meetings with the WUCs and water users to build trust and organize learning visits to the best performing SWSSBs.
4. **Cross Cutting Themes**: the issue of project sub-counties being annexed to the new administrative units (e.g. Cities and Town councils) needs to be discussed with the respective leadership to gain a better understanding of the transition process and its likely bearing on water functionality.

# Purpose and objectives

As we come to the end of the project, there is need to carry out a final evaluation to establish extent to which the project purpose and objectives were achieved.

It is against the above background that SNV seeks to hire a consultant (a **consultancy firm or individual consultant)** to conduct final evaluation of the IWAS II project, hence this term of reference.

The overall objectiveof this final evaluation is to provide the project stakeholders with evidence about the project' performance in the 3 years; January 2019 to December 2021, document lessons learned and provide practical recommendations for future action.

The evaluation will:

1. Assess the effectiveness, impact and (prospects for) sustainability of the project and
2. Inform and guide the design of future SNV Netherlands Development Organisation projects and inform the activities of other key stakeholders such as ADA.

# Scope

The evaluation will specifically focus on Effectiveness, Impact, and Sustainability of the project interventions and Learnings from the project for future programming.

The geographical scope of this evaluation will be limited to the 4 project districts and 30% of the 22 project sub counties. The details of the four project districts and 22 project sub counties is as indicated in table 1 below.

Table 2: Project districts and sub counties

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| **Project district** | **Project subcounties (30% will be sampled from each district)** |
| Alebtong | Amugu, Abako, Awei, Akura, Abia and Apala |
| Dokolo | Kangai, Adeknino, Dokolo, Okwalongwen, Bata, Amwoma and Adok |
| Kole | Akalo and Alito |
| Lira | Lira, Adekokwok, Agali, Bar, Ogur, Agweng and Aromo |

Note: Lira and Adekokwok sub counties are now in Lira City created in July 2019

The evaluation will cover the activities implemented during the entire project duration - January 2019 to December 2021. For the assessment of outputs, this evaluation will use the evidence provided by the baseline, mid-year reviews and endline survey

The assignment is expected to be concluded within 30 days, from the date of entering into the consultancy agreement.

# Evaluation Questions

The evaluation will answer the following evaluation question:

## Effectiveness

1. To what extent have the project’s intended results (outputs and outcomes) been achieved?
2. What factors influenced their achievement or non-achievement? How did COVID-19 pandemic impact the project?
3. To what extent did this project influence Uganda Water and Environment sector policies, guidelines, standards and procedures?
4. Did the project equally benefit both women and men? How did the project benefit vulnerable groups?

## Impact

1. To what extent has the project improved access to safe water for all (in terms of service reliability, quality and quantity) of the project area?
2. What is the immediate impact of the project in the target communities?
3. Are there any unintended consequences (positive and negative) resulted from the projects?

## Sustainability

## To what extent will the benefits of the project continue after the end of the donor funding?

1. To what extent has the project put in place suitable O&M procedures that ensure the long-term functionality of WASH services?
2. What have been the hindering or facilitating factors for sustainability and what are the learning from these for future programming and support?

# Design and Approach

The evaluation will follow ADC and OECD/DAC norms and standards as well as ethical guidelines for then evaluation. The consultant will propose a methodology for the study. The consultant is expected to employ mixed methods to successfully deliver this assignment. The following data collection methods are suggested:

* 1. **Document Review (Secondary Data):** The consultant will review: the baseline reports; project proposals (budget and updated log frame; planning, monitoring and evaluation matrix; activity plans); project reports (narrative and financial); mid-term review/evaluation report and any other documents deemed critically important for the evaluation;
  2. **Onsite visual observation:** In conjunction with other methods, the consultant will (observe community water user conditions and O&M related activities; ask questions; visit communities, water sources, sub counties and districts; make sketches, take photographs or videos etc.)
  3. **Interviews:** Loosely structured interviews will be conducted with key informants (groups or individual) (project staff, SNV partners (Local Capacity Builders) staff, sub county and District officials, WUCs members, SWSSBs members, ADA staff, TSU /MWE officials, local leaders of the target communities, HPMAs, spare parts dealers, other development partners);
     1. **Focus Group Discussions**: with members of water users and WSCs, local leaders, or officials, ensuring no more than 4-8 people in the group.
     2. **Questionnaires:** Consultant may propose to use questionnaires to assess some of the above guiding evaluation questions.

The evaluation needs to follow the standards as outlined in ADA’s [Guidelines for Program and Project Evaluations](https://www.entwicklung.at/fileadmin/user_upload/Dokumente/Evaluierung/Evaluierungs_Leitfaeden/Guidelines_for_Programme_and_Project_Evaluations_ADA_2020.pdf).

# Timeline and Deliverables

The evaluation is expected to be conducted between 15th September till 30th November 2021.

The following deliverables written in English are to be produced and submitted as part of this assignment:

* Work plan
* A draft and final inception report (maximum 10 pages, excluding annexes).
* Presentation for the presentation of preliminary findings (virtual meeting).
* A draft and final evaluation report (not more than 30 pages excluding annexes), including an executive summary.
* The completed Result-Assessment Form (RAF)[[2]](#footnote-2) which must be submitted together with the draft evaluation report.

The inception report, evaluation report and RAF need to fulfil ADA standards for program and project evaluations (see 12.) and will be quality checked by the commissioning organisation before approval.

The consultant will propose a work plan not exceeding 30 working days, including presentation of findings to wider stakeholders at district and national levels. The schedule below is a guide for the consultant in planning his/her activities over the period.

**Table 3: Activities and timeline/duration**

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| **#** | **Activity** | **Date** |
| 1. Sourcing of consultants/ firms to conduct the evaluation | | 10th September 2021 |
| 1. Evaluation of proposal and contracting | | 15th September 2021 |
| 1. Kick-Off of the evaluation | | 20th September 2021 |
| 1. Submission of Work Plan | | 22nd September 2021 |
| 1. Submission of Inception Report | | 27th September 2021 |
| 1. Submission of Presentation of findings | | 27th October 2021 |
| 1. Submission of draft report | | 1st November 2021 |
| 1. Submission of final report | | 8th November 2021 |
| 1. End of Assignment Evaluation and feedback to the Consultant | | 15th November 2021 |

# Evaluation Management Arrangements

The IWAS II Project Manager will be the contact person between the Evaluation team (Lead Consultant) and SNV to ensure all outputs are delivered as per the TOR. Logistical support (scheduling of interviews, local travels, arrangement of field accommodation during data collection, access to official facilities including internet, documentation—printing, photocopying of tools etc.) will be borne by the consultant and should be included in the proposed cost.

# Requirements for Consultant(s)

A single or a team of consultants can apply for this consultancy. The consultant/s will have the responsibility for conducting the evaluation and writing the final Evaluation report.

**Key specific requirements:**

* Masters’ degree in WASH or related discipline with extensive experience in monitoring and evaluations.
* Demonstrated experience of leading and conducting evaluations of development cooperation projects/programs (leading at least 1, conducting at least 3).
* A good understanding and knowledge of the Uganda WASH sector is desirable
* Proven experience in successfully conducting evaluation with SNV will be advantage
* A demonstrated high level of professionalism and ability to work independently and in compliance with deadlines
* Strong interpersonal and communication skills.
* Excellent spoken and written English.
* Good computer skills.

In line with ADA and SNV programming, the evaluation should be gender sensitive, participatory and promote a learning approach. The consultant/s should ensure that the assessment covers these essentials in the report e.g. was the stakeholder involvement appropriate? Did the project promote a gender sensitive approach?

## 8.1 Administrative requirements for Individual consultants

Individual consultants shall also submit a detailed CV showing education background and experience in relation to similar assignments with clear references (names, phone contacts and email contact) in addition to the technical and financial proposals submitted.

## 8.2 Administrative requirements for Firms/companies

For firms, the following shall also be required:

* Registration documents in Uganda
* Valid trading licenses /NGO permit
* Memo & articles of association/ constitution
* Powers of attorney
* C.V’s of proposed persons.

# Specification for Submission of Offers

Email submissions of all required documents (Administrative, Technical and financial proposals in compressed folders) clearly indicating “Final evaluation of IWAS II project” in the subject line should be submitted to the email address: [ugandatenders@snv.org](mailto:ugandatenders@snv.org) not later than 10:00 am (Nairobi Time) on 10th September 2021 .

Any questions requiring clarification shall be sent to the email address above ([ugandatenders@snv.org](mailto:ugandatenders@snv.org) ) with clarification on Final Evaluation of IWAS II project in the subject line of the mail.

**Offers of interested bidders need to consist of:**

A technical offer of max. 8 pages, including:

1. Understanding of the assignment:
   * Presentation of the overall approach and including appropriate measures for stakeholder / beneficiary participation (health, safety considerations).
   * Work plan, including the division of tasks and the estimated working days per expert.
   * CVs of the all team members (as annexes).
2. A Financial offer, including

* Fees per expert incl. estimated number of working days.
* Travel expenses.
* Other expenses.

The bids will be scored based on the technical offer (70%) and the financial offer (30%).

Note on value added tax: With reference to Article 24.3 of the Austrian Development Agency General Terms and Conditions of Contract for Consultant Services and Similar Intellectual Services (hereinafter “General Terms”), the Contractor shall only be entitled to charge to the CA value added taxes incurred during the implementation of the Service Contract in the event that, at the time of the submission of the final financial statement, the Contractor can prove that such value added taxes are not recoverable by any means, and it is established that they are effectively borne by him/her.

To be considered in the selection process, candidates must not have been involved in the design, monitoring or implementation of the programme/project that is being evaluated.

Offers and any question(s) shall be addressed to [uganda@snv.org](mailto:uganda@snv.org)

# Publication

The Contractor agrees that the final product (or excerpts of it or parts of it) will be made public as per the ADA’s Guidelines for Programme and Projects Evaluations.

# Background documents

These (and other) documents relevant to the project will be shared with the selected consultant after signing the consultancy agreement and during the inception meeting. The list below just gives an indication as to the type of documents available for the desk review.

* Description of the project
* Grant Agreement
* Approved work plans
* Project progress reports for the entire project implementation period (as available)
* Project endline survey
* Mid-Term Evaluation report for IWAS II
* Evaluation Policy of the Austrian Development Cooperation[[3]](#footnote-3)
* ADA Guidelines for Programme and Project Evaluation[[4]](#footnote-4)
* Result-Assessment Form (RAF) for Programme and Project Evaluations[[5]](#footnote-5)

# Annexes

* [Guidelines\_for\_Programme\_and\_Project\_Evaluations\_ADA\_2020.pdf (entwicklung.at)](https://eur03.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.entwicklung.at%2Ffileadmin%2Fuser_upload%2FDokumente%2FEvaluierung%2FEvaluierungs_Leitfaeden%2FGuidelines_for_Programme_and_Project_Evaluations_ADA_2020.pdf&data=04%7C01%7Ckndlovu%40snv.org%7C10bd5b1f5e4542e1a84a08d934a4d9da%7C44b97030a737446183c04f575c209c43%7C0%7C0%7C637598704895701575%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C1000&sdata=VcKoDpshfhpcfXchCdJUsz%2F3SQiix63vzbEEHOdknPs%3D&reserved=0)

1. ADA Contribution – Euro 643,500 and SNV contribution – Euro 71,500 [↑](#footnote-ref-1)
2. [www.entwicklung.at/fileadmin/user\_upload/Dokumente/Evaluierung/Evaluierung\_Templates/Annex9\_Results\_AssessmentForm\_Template.xlsx](http://www.entwicklung.at/fileadmin/user_upload/Dokumente/Evaluierung/Evaluierung_Templates/Annex9_Results_AssessmentForm_Template.xlsx) [↑](#footnote-ref-2)
3. <https://www.entwicklung.at/fileadmin/user_upload/Dokumente/Evaluierung/Englisch/Evaluationpolicy.pdf> [↑](#footnote-ref-3)
4. [https://www.entwicklung.at/fileadmin/user\_upload/Dokumente/Evaluierung/Evaluierungs\_Leitfaeden/ Guidelines\_for\_Programme\_and\_Project\_Evaluations\_ADA\_2020.pdf](https://www.entwicklung.at/fileadmin/user_upload/Dokumente/Evaluierung/Evaluierungs_Leitfaeden/%20Guidelines_for_Programme_and_Project_Evaluations_ADA_2020.pdf) [↑](#footnote-ref-4)
5. [www.entwicklung.at/fileadmin/user\_upload/Dokumente/Evaluierung/Evaluierung\_Templates/ Annex9\_Results\_AssessmentForm\_Template.xlsx](http://www.entwicklung.at/fileadmin/user_upload/Dokumente/Evaluierung/Evaluierung_Templates/%20Annex9_Results_AssessmentForm_Template.xlsx) [↑](#footnote-ref-5)