

## **Annex 1: Terms of Reference - Evaluation of water, sanitation and environment programmes in Uganda, 1990-2017**

### **1. Background**

Expanded provision of water for drinking and other purposes, improved sanitation and enhanced water resource management have been important issues on the Ugandan development agenda for decades. However, despite considerable efforts and investments, it is estimated that around one third of the rural population are still without access to clean and safe water. Similarly, although there have been significant improvements in sanitation in urban areas, around 20% of rural Ugandans do not have access to improved facilities such as latrines. In national development plans, ensuring the use and effective management of water resources has been recognised, as has the importance of environmental standards. Over time there has also been recognition of the need to develop capacities and channel investments to enhance resilience through adaptation to the changing climate.

Danish development assistance (Danida) has played a major role in the water, sanitation and environment sub-sectors since the end of the 1980s. A bilateral project designed to increase the supply of clean water and improve sanitation in rural communities in the Eastern region of the country was undertaken in the 1990s. Wells were drilled and pumps were installed, together with the construction of latrines. The two phases of the RUWASA (rural water and sanitation) project involved significant investments totalling around 500 million DKK, as well as technical assistance.

At the end of the 1990s there was a shift from projects towards sector support for water and sanitation in Uganda and the geographical coverage of assistance expanded. The government's 1997 poverty reduction strategy included an emphasis on water and sanitation. Subsequently a series of Danida grants were approved, initially for two phases of a bilateral sector programme totalling over 700 million DKK (1997-2007) and then for three contributions to a joint water and environment programme totalling 845 million DKK (2008-2018).

Thus, by 2008 and following the consolidation of the Ministry of Water and Environment (MWE) and negotiations between a series of donor agencies, arrangements for a Joint water and

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<sup>3</sup> Project and programme reports and documentation are available in the data base (PDB), at least from 1997. A Ugandan case study was included in the 2005-07 evaluation of Danish support to water supply and sanitation (see documents listed in annex A).

environment sector support programme (JWESSP) were agreed. Eight components of this programme have been funded by a range of agencies. These focus on a series of main themes:

- overall sector programme support and capacity development;
- rural water supply and sanitation;
- urban water supply and sanitation;
- water for production;
- water resource monitoring, planning and regulation at central level;
- decentralised water management zones;
- natural resource management (including forestry);
- meteorological services and climate change.<sup>5</sup>

Within the joint programme the participating development partners (donor agencies) have established a division of labour which has entailed a focus for Danida on rural water supply, water resource management and climate change.

The sector budget support modality has been used in recent years for supporting district development planning which includes opening up new water sources (wells and boreholes) as well as operation and maintenance of existing facilities. Bottom-up, participatory planning processes have been emphasised, as well the establishment of water user committees at community level. Technical support for the local governments at district level has also been provided.

In terms of water resources, the four major catchment areas (river basins) in Uganda constitute “management zones.” Within the JWESSP, Danida has supported water resource planning efforts, including policy dialogue, setting up quality control laboratory services for monitoring purposes and trans-boundary cooperation. Water resources are vital for hydropower and irrigated agricultural production in Uganda. The policy and regulatory framework has also been revised, with the issuance of user permits and licensing, etc.

Degradation of natural resources – notably forests – affects the provision and quality of water both for human consumption and productive purposes. Factoring in the effects of climate change on water resources has also been important, with a focus on strategies and actions to cope with floods and droughts as well as long term changes in precipitation. Danida also played a role in the development of the national climate change policy (NCCP) which was approved in 2015. The NCCP formed the basis for Uganda’s intended nationally determined contribution to tackling climate change (submitted to the UNFCCC) and is incorporated in the national development plan (2015/16-2019/20).

<sup>4</sup> In addition to Danida, the Austrian and German development agencies have participated in the programme, as well as the African Development Bank (AfDB), the Commission of the European Union and the Food and Agriculture Organisation (FAO) of the United Nations, either as partners or through delegated responsibility agreements. Over the years a number of other agencies including the French and the World Bank have also provided support for water, sanitation and water resources management, in alignment with the JWESSP.

Numerous stakeholders must be taken into account in the water, sanitation and environment sub-sectors. As far as public institutions are concerned, the Ministry of Water and Environment (MWE), intervenes together with district local governments and with the Ministry of Finance, Planning and Economic Development.<sup>6</sup> In terms of non-governmental and private sector stakeholders, there are numerous infrastructure contractors and consultants, as well as civil society organisations (CSOs) including water user committees and associations, producer associations, etc. An umbrella organisation of NGOs called the Uganda Water and Sanitation Network is also an important partner.

The government provides a significant share of the total sector budget allocation. As noted above, Danida has provided funds through a sector budget support arrangement within the JWESSP, notably for infrastructure investments and rehabilitation at district levels. In addition, Danida contributes to a joint partnership fund (through a “basket” mechanism) anchored in the MWE with a view to supporting capacity development, studies and oversight operations (e.g. related to climate change).

It is worth noting that sector performance has been documented over the years by the MWE in regular reports. These include a set of golden indicators illustrating progress in the water and sanitation sub-sectors. There are also “platinum” indicators tracking environmental improvements.

The current phase of the JWESSP constitutes Danida’s exit from the water, sanitation and environment sub-sectors in Uganda. Further support within the framework of a new country programme (from 2018) will be restricted to a targeted northern Uganda resilience initiative (NURI): “for improved climate change resilience through water resource management including refugees and host communities.”<sup>7</sup> In this context it has been considered opportune and timely to conduct a comprehensive evaluation of the programmes in the sub-sectors since the 1990s.

## 2. Objectives of the evaluation

The evaluation of the water, sanitation and environment programmes in Uganda since 1990 encompasses three objectives:

- To document the results and achievements through cooperation in the sub-sectors.

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<sup>5</sup> The MWE has three directorates: for water development (DWD), water resources management (DWRM) and for Environmental Affairs (DEA). There is also a National Water and Sewerage Corporation (NWSC) which installs and operates water and sewerage facilities in the main urban centres.

<sup>6</sup> NURI is proposed as one of the engagements in the Danida Country Programme for 2018-2022 within the Uganda Programme on Sustainable and Inclusive Development of the Economy.

- To analyse the value added through Danida support to the sub-sectors, including the effectiveness and impact of the evolving and changing partnerships with key public and private sector stakeholders in Uganda over 25 years.
- to extract lessons learned that will be relevant for:
  - a) improved national water and sanitation provision and water resource management as well as adaptation to climate change in the context of the sustainable development goals, particularly “clean water and sanitation” (SDG6) and “climate action” (SDG13);
  - b) further assistance to water resources management in northern Uganda;
  - c) initiatives concerned with water resources in strategic sector cooperation programmes (including private sector involvement);
  - d) water supply and sanitation initiatives in the context of humanitarian assistance.

Thus, it is envisaged that the evaluation will be an important means of assessing the outcomes and sustainability of the substantial support provided by Danida in the sub-sectors. Potential target audiences include other development assistance agencies, as well as government services and non-governmental organisations in Uganda. A particular effort will be made to ensure effective communication of the conclusions and main lessons learned from the evaluation.

### 3. Scope of work and evaluation questions

The evaluation will entail examination of the changes that have taken place in the sub-sectors over the past 25 years, both in terms of results and in terms of “drivers” (causalities). This means that a wide range of topics will be considered, notably:

- the main characteristics and modalities of Danida’s support in different phases;
- the changing development policy context in Uganda, including poverty reduction, rural livelihood improvement, etc.;
- regulatory frameworks, policies and strategies;
- the delivery of water, sanitation and resource management (including meteorological) services, including consideration of critical issues (e.g. in sanitation and hygiene);
- geographical and regional considerations, including the shifting priorities in terms of rural and urban water and sanitation;
- sector wide and donor coordination arrangements;
- performance of key partner institutions in the sub-sectors (both at central and local levels and including non-governmental actors);
- cross-cutting issues in the programmes, including gender and human rights as well as anti-corruption efforts;
- involvement of commercial enterprises and consultants;
- performance of technical assistance;
- working with civil society and modalities for supporting CSOs.

On this basis, the evaluation will seek to respond to a number of key questions.

With respect to results and achievements:

Q1 what are the concrete development results of 25 years cooperation, including those tracked by the agreed indicators?

Q2 what are the main long-term changes in the sub-sectors in Uganda arising through Danish development assistance (e.g. at policy level, in terms of budget allocations, in terms of participation and decision making, in terms of gender equity and human rights, etc.)?

Q3 are the changes in the sub-sectors likely to be sustained?

In terms of the value added of Danida's support:

Q4 how have the changing modalities, policy priorities, institutional arrangements and collaboration with other agencies led to improvements or deterioration in performance?

Q5 how have technical assistance and sector budget support arrangements contributed to the effective provision of services in water and sanitation, to improved water resource management and to efforts to adapt to climate change?

In exploring the lessons learned the following questions will be important:

Q6 what notable difficulties were encountered in the sub-sectors and in the partnerships between Ugandan stakeholders and Danida and how have these been resolved (overcome)?

Q7 what are the main lessons learned from the programmes that can be used to inform public and private sector partners in Uganda (and elsewhere) with a view to enhanced performance?

Q8 how can the successes (and failures) of the programmes in the sub-sectors in Uganda be used to inform further water resource management efforts in the northern region and strategic sector cooperation (through "Partnering with Denmark") in other countries, as well as to ensure adequate attention to water and sanitation in the provision of humanitarian assistance?

#### 4. Process and methodology

Overall the evaluation will be undertaken in accordance with the Danida evaluation policy on development cooperation (October 2015) and the OECD-DAC criteria for evaluations, analysing effectiveness, efficiency, relevance, impact and sustainability.

Underlying theories of change for the various programme phases will be developed during the evaluation in order to explore the causalities and understand the factors that have driven or disrupted changes in the sub-sectors. Given the sector budget and joint partnership modalities, a contribution analysis will be undertaken, which will enable attribution of Danida support in terms of overall sector performance.

Documentation dealing with the sub-sector programmes and Danida's funding agreements will be available, supplemented by data and information gathering with key stakeholders in Uganda.

Interviews with selected governmental and non-governmental partners will be conducted as well as surveys and focus group discussions with selected rural communities and local government institutions. Interviews will also be conducted with key stakeholders in the MoFA as well as with advisers, researchers and representatives of non-governmental organisations and other bilateral and multilateral agencies.

It is envisaged that representatives of the Ministry of Water and Environment (MWE) will participate fully in the evaluation.

The inception phase will include an analysis of the portfolio and documentation based on a desk study and field work in Uganda. An inception report will be considered by the evaluation reference group (ERG – see below).

The main evaluation study phase will include extensive consultations and field work in selected regions of Uganda. Interviews will be carried out with stakeholders as indicated above.

The reporting phase of the evaluation will begin with a draft set of initial findings including conclusions. These will be discussed with the ERG prior to the submission of a draft evaluation report.

During the dissemination phase workshops will be held in Copenhagen and Kampala. The evaluation team will be responsible for the preparation of products that may form the basis for targeted communication about the outcomes and lessons learned.

## 5. Evaluation outputs and timetable

The following outputs are anticipated:

- An inception report including an evaluation matrix with the evaluation questions and data sources as well as detailed methodology for field work and reporting;
- A preliminary findings paper;
- A draft final report;
- Notes for the dissemination workshops;

- A final report not exceeding 40 pages (excluding executive summary and annexes).

The inception report, the findings papers and the draft evaluation report will be discussed in the evaluation reference group before approval by the evaluation management.

An indicative (proposed) schedule is as follows:

Task	Date/period	Responsible
Start of assignment (contract signed)	December 2017	EVAL & ET
Start-up meeting	January 2018	EVAL & ET
Inception, including work in Uganda	January-February 2018	ET
Submission of inception report	15.02.18	ET
Discussion of inception report	End February 2018	EVAL & ERG
Main country study in Uganda	March 2018	ET
Submission of findings paper	End March 2018	ET
Discussion of findings	April 2018	EVAL & ERG
Submission of draft final report	01.05.18	ET
Dissemination workshops	May 2018	EVAL & ET
Final report	June 2018	ET

## 6. Organisation of the evaluation

Management of the Evaluation will follow the Danida Evaluation Guidelines (2012) and the OECD-DAC quality standards (2010). There are three sets of roles in the process: a) the Evaluation Management (EVAL); b) the Evaluation Team (ET) (Consultant); and, c) the Evaluation Reference Group (ERG).

### Role of the Evaluation Management

The evaluation will be supervised and managed by the Evaluation Department (EVAL) in the Danish Ministry of Foreign Affairs (MoFA). The Evaluation Management will:

- 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, annual field visit reports 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.
- 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 (the Consultant):

The 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 these terms of reference, 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 as described in the proposal.
- 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. It is envisaged that the Team Leader will participate in approximately four meetings in Copenhagen during the whole process.

#### 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 Kampala and other stakeholders. The mandate of the ERG is to provide advisory support and inputs to the evaluation, e.g. through comments to draft reports. The reference group will work with direct 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.

#### 7. Composition and qualifications of the evaluation team

A team whose members must be experienced in undertaking programme, sector and thematic evaluations as well as possessing extensive knowledge of Uganda will carry out the evaluation.

The team is expected to consist of two members: a team leader (evaluation specialist) and a core thematic expert (water and sanitation specialist). The Tenderer may decide to include personnel for additional functions, e.g. subject matter specialists, although these persons will not be assessed on an individual basis but as part of the overall team composition and backup. The team members are expected to complement each other. All team members must be fluent in English and at least one must be able to read Danish. It is expected that the team leader will participate in the field work and be in charge of the report writing.

The Tenderers should clearly state which of the proposed team members cover the different thematic areas. The team must include experience with all methodologies and tools suggested in the tender. CV's for the following positions will be assessed as part of the tender proposal:

- Team leader;
- One core team member (expert).
- Quality assurance manager (assessed under “reporting, QA and BIMP”)

The need for subject matter specialists should be justified in the technical proposal. The CVs of subject matter specialists shall meet the general qualifications similar to the water and sanitation specialist. The inclusion of research assistance is optional but should also be justified as appropriate and any costs will be covered by the consultant.

The organisation of the team's work is the responsibility of the consultant and should be specified and explained clearly in the tender. It is expected that the team leader is closely involved in the elaboration of the tender. The team leader is responsible for the team's reporting to and communication with EVAL, and for the organisation of the work of the team. The team leader will participate in meetings with EVAL as well as in ERG meetings as requested by EVAL.

The CVs will be assessed on an individual basis. A personnel assignment chart (schedule 4.2) must be included in the technical proposal with the exact input of person days proposed. The organisation of the team's work and the distribution of work days between team members will be assessed as part of

the assessment of the technical proposal under the criteria “work plan” and “organisation”, respectively.

Criteria for assessing the qualifications and experience of the team members are specified Annex C and will be part of the assessment of “qualifications and competence of the team.” With regard to the assessment of the CV of the Quality Assurance Manager, reference is made to section 10 (below).

#### **8. 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 Danida programmes 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.<sup>8</sup>

#### **9. Financial proposal**

The total budget for the consultancy services is a maximum of DKK 1.4 million (excluding VAT). This includes all fees and project related expenses required for the implementation of the contract, including field trips and workshops in Uganda.

The tenderers financial proposal shall include all costs for fees and project related reimbursable expenses. It is the responsibility of the tenderer to ensure that the products and outputs specified above and all other tasks specified in these terms of reference are performed within the framework of the financial proposal and the specified ceiling amounts (see Appendix 3).

The cost of quality assurance (QA) should be included in the tenderer’s overhead.

EVAL will cover the expenditures incurred in preparing the final evaluation report for publication and any additional dissemination activities in Denmark as and if agreed upon.

NB: One year of full time work is equivalent to 220 working days (as fees shall not be paid during annual vacations, holidays etc.).

#### **10. 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 (activities shall be specified).
- Quality assurance (QA) of the consultancy services in accordance with the quality management and quality assurance system described in the Tender. Special emphasis should be given to quality assurance of draft reports prior to the submission of such reports. EVAL may request documentation for the QA undertaken in the process.

The Tender shall comprise a detailed description of the proposed QA, in order to document that the Tenderer has fully internalized how to implement it and in order to enable a subsequent verification that the QA has actually been carried out as agreed.

The Tenderer should select a QA team to be responsible for Head Office QA. The member(s) of the QA team should not be directly involved in the evaluation. Their CVs should be included in the Tender but will not be part of the assessment of the technical proposal. The QA Manager could be either an external expert or a company staff member. As indicated above, the QA Manager's CV should be included in the tender and will be assessed as part of the assessment of the technical proposal under the criterion "reporting, QA and BIMP." All QA activities should be properly documented and reported to EVAL.