

**Evaluation of Project on Identification of Best Practices, Policies and Enabling Legislation in the Local Delivery of Basic Urban Services (Phase 2)**

*Terms of Reference*

**1. Background and Context**

UN-Habitat, the United Nations Human Settlements Programme, is mandated by the UN General Assembly to promote socially and environmentally sustainable towns and cities. It is the focal point for all urbanization and human settlement matters within the UN system.

UN-Habitat envisions well-planned, well-governed, and efficient cities and other human settlements, with adequate housing, infrastructure, and universal access to employment and basic services such as water, energy and sanitation. To achieve these goals, derived from the Habitat Agenda of 1996, UN-Habitat has set itself a medium-term strategy approach for each successive six-year period. The previous and the current strategic plans, *Medium-Term Strategic and Institutional Plan (MTSIP) 2008-2013* and *Strategic Plan 2014-2019*. Further as rationale of this project, the Commission on Human Settlements, at its 17<sup>th</sup> session in 1999 and its 18<sup>th</sup> session in 2001 decided that the documentation of best practices should be expanded to include examples of good policies and enabling legislation. The decision was further endorsed in paragraph 63 of the Declaration on Cities and Other Human Settlements in the New Millennium, adopted by the General Assembly at its special session in June 2001.

The project on Identification of Best Practices, Policies and Enabling Legislation in the Local Delivery of Basic Urban Services links to the MTSIP focus area 1: Effective advocacy, monitoring, partnerships, focus area 2: Promotion of participatory planning, management and governance, and Focus Area 3: Environmentally sound basic urban infrastructure and services.<sup>1</sup>

Projects outcomes, in term of identification of priorities and needs for further institutional reform and capacity building, were to provide opportunities for dialogue between local and regional governments about the requirements and roadmap to the implementation of effective decentralization policies inspired by the UN-Habitat Guidelines on decentralization and basic urban services, creating institutional networking in the Latin America region. Additionally, the project was designed to support city-to-city cooperation of Spanish municipalities in the field of urban policies, with specific focus on physical and socio-economic planning. The project was to provide a set of examples of tried and tested urban policies and legislation of successful provision of public services by local government and relevant national-local policies and legislation in countries declared a priority by the Spanish International Cooperation Master-plan for 2009 – 2013.

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<sup>1</sup> Linkage to Work Programme Expected Accomplishments: SP1(c): Improved partnerships and collaboration with local authorities and their association in the implementation of agreed programmes and activities. SP1 (d): Improved capacity at the national and local levels to address sustainable urban development so that cities are safer, less vulnerable to disaster and better able to adapt and mitigate the effects of climate change and manage post-disaster and post-conflict situation and to promote a positive approach to foreseeable natural risk prevention. SP2 (a): Improved global monitoring and awareness among Governments, local authorities, and other HAP of human settlements conditions and trends, including sustainable urbanization, best practices and progress made in implementing the Habitat Agenda and in achieving relevant MDGs and Johannesburg Plan of Implementation.

The goal of the project was to support local and national governments in selected countries of priority for the Spanish cooperation to elaborate sustainable urban development priorities with special emphasis on urban governance to be achieved through a more balanced distribution of responsibilities and resources amongst the different spheres of government and thanks to better planning and efficiency of the public administration.

The project had six different components, each one with a different set of expected accomplishments

**Component 1** – Phase II of the National Dialogues on urban governance to two additional Latin American countries

Expected accomplishments:

- Enhanced political consensus at all levels of government about the objectives and outcomes of the Habitat III preparatory process and its implications regarding the reform of the structure of the state and the redistribution of responsibilities amongst different territorial administrations regarding urban governance and planning.
- Contributing to the existing network of experts and policy makers in Ibero America to exchange experience and knowledge sharing amongst territorial public administration. Incorporation of these networks in their respective National Habitat Committees.
- Contributing to the identification of the national elements for the elaboration of Urban National policies.

**Component 2** – Analysis of the sustainable urban development network from the point of view of best practices, policies and enabling legislation

Expected accomplishments:

- Generation of territorial data on urban governance, social and cohesion able to measure the impact of decentralization in the quality and accessibility to public services to be used in the III GOLD Report elaborated by UCLG.
- Demonstration, through concrete experiences, about how strong and capable municipalities are better providers of basic urban services, with better quality and more affordable.

**Component 3** – Technical assistance on urban and socio-economic planning

Expected accomplishments:

- Experimentation of elements of planned city extensions, including the pilot physical delimitation of public space.
- Creation of local capacities in the selected municipalities
- Access of the population to basic urban services

**Component 4** – Consolidation of a group of Ministries and High Authorities on sustainable urban development

Expected accomplishments:

- Awareness on the upcoming Habitat III process as a multi-sectorial approach to urban policies.
- Increased presence of local and regional governments in the international decision making process dealing with urban issues.

**Component 5** – Supporting municipal urban planning through decentralized cooperation

Expected accomplishments:

- Strengthening local governments, technically, organizationally and politically.
- Increased cooperation between Spanish municipalities and their Latin American counterparts in issues related to integrated urban planning.

**Component 6** - Consolidation of UN-Habitat activities in Spain

Expected accomplishment:

- UN-Habitat Office in Spain recognized by Host Country Agreement and fully operational.

The duration of the project (A121) was planned for 24 months from October 2011 to October 2013 for an amount of EUR2.500.000 (USD3.4 million) by the donor, Spanish Agency for International Development Cooperation. An additional extension to 17<sup>th</sup> February 2014 was subsequently approved by the donor.

**1.1 The Context**

Many countries in Africa and Latin America and the Caribbean have already completed processes for decentralization and empowerment of local government but often the transfer of responsibilities has not been accompanied by a sufficient capacities, financial and human resources. Local governments are in the front line with regard to the delivery of basic public services such as water, sanitation, public transportation or waste, all of them essential to ensure environmental sustainability (MDG 7). Local governments are also the first entry for citizens to their governments and the first gate of local democracy and participation in public affairs. Local government are responsible for the provision of basic service and in order to do their job they need normative capacity to act and some amount of local autonomy to be able to perform. To assure citizen's access to basic urban services there is need for increased accountability and transparency in public management as well as human and financial resources.

The donor, *Spanish Agency for International Development Cooperation*, made the specific indication to continue with the activities supported during Phase I of the project and to expand its scope including Mozambique and countries in Latin America and the Caribbean.

**1.2 Project Management**

The project was decentralized in its various components to the UN-Habitat Regional Offices of Latin America and Caribbean (ROLAC), to the Regional Office for Africa (ROAf – Mozambique) and the UN-Habitat office in Madrid, Spain. Coordination functions were performed by the Office of the Executive Director and subsequently transferred to the Local Government and Decentralization Unit, Urban Legislation, Land and Governance Branch in May 2013. The project was a follow up and expansion of a Phase I implemented by the Best Practices Office in Barcelona, Spain from 2008 to 2011.

The activities were carried out in close collaboration with the project Steering Committee that included the following partner institutions:

- United Cities and Local Government (UCLG)
- Province of Barcelona (Presidency of the UCLG Committee on Decentralization)
- Spanish Federation of Municipalities and Provinces
- Spanish Ministry for Public Administration
- Foundation for Iberoamerica and International Public Policies (FIIAPP)
- Andalusia Federation for municipal international solidarity (FAMSI).

The Steering Committee set the priorities for the project in terms of countries of intervention and evaluation of the proposed policies and legislation to be identified. The Committee sat formally all through the process and specifically at the beginning of the project, meeting annually. Informal consultations and regular updates were conducted monthly by email and telephone.

## **2. Purpose of the Evaluation**

UN-Habitat is undertaking this evaluation of the projects in order to assess to what extent the overall support and technical assistance of UN-Habitat has been relevant, efficient and effective, and sustainable.

This evaluation is part of UN-Habitat's effort to perform systematic and timely evaluations of its programmes and to ensure that UN-Habitat evaluations provide full representation of its mandate and activities, including evaluation of work at country level and humanitarian and development interventions. The evaluation is commissioned by the Evaluation Unit in UN-Habitat and deemed strategic and timely in order to synthesize on achievements, results and lessons learned from the project. Subsequently, the evaluation is to be included in the revision of the 2014-2015 UN-Habitat Evaluation Plan.

The sharing of findings from this evaluation will inform UN-Habitat and key stakeholders, including partners, and member states, on what was achieved and learned from the project.

## **3. Objectives of Evaluation**

The evaluation of the project on best practices (Phase 2) is to provide the agency, its governing bodies and donors with an independent and forward-looking appraisal of the agency's operational experience, achievements, opportunities and challenges. What will be learned from the evaluation findings are expected to play an instrumental role in shaping the focus of UN-Habitat in planning and programming projects, influencing strategies, adjusting and correcting as appropriate, exploiting opportunities, replicating and up-scaling the implementation approach used, and generating credible value for targeted beneficiaries and addressing national priorities. Evaluation results will also contribute to UN-Habitat's planning, reporting and accountability.

The period of the evaluation will cover from the start of the project in October 2011 to final closure as of October 2014.

Key objectives of evaluation are:

- a) To assess progress made towards the achievement of results at the outcome and outputs level of the project;
- b) To assess the relevance of UN-Habitat in promoting sustainable national, regional and urban development by focusing on best practices and lessons learned transfer;
- c) To assess the efficiency and effectiveness of the projects in achieving their expected results. This will entail analysis of delivery of actual outcomes against expected outcomes, in terms of delivery of outputs, achievement of outcomes and long term effects;
- d) To assess the extent to which implementation approaches worked well and did not work that were enabling for UN-Habitat to define the results to be achieved, to effectively deliver projects and to report on the performance of UN-Habitat;
- e) To assess the extent to which cross-cutting issues of gender and human rights in the design, planning and implementation, reporting and monitoring of the project;
- f) To bring forward programming opportunities that indicate potential for long-term partnership between UN-Habitat and local governments and their associations;
- g) To make recommendations on what needs to be done to effectively promote and develop UN-Habitat's support to promote urban governance, decentralization and its impact on the delivery of basic urban services.

#### **4. Evaluation Scope and Focus**

The evaluation is expected to assess achievement, challenges and opportunities of the project through an in-depth evaluation of results achieved.

The focus should be on the completed and ongoing activities of these projects and to advise on the programmatic focus of best practices, policies and enabling legislation for urban governance, decentralization and the local delivery of basic urban services in the future.

The evaluation analysis will be based on the Theory of Change of the project i.e., outlining the results chain and integrated with the projects' Log Frame (see Annex I: UN-Habitat Evaluation Model).

#### **5. Evaluation Questions Based on Evaluation Criteria**

The evaluation will base its assessments on the criteria of relevance, efficiency, effectiveness, impact and sustainability in line with standards and norms of evaluation in the United Nations system:

##### **Relevance**

- To what extent objectives and implementation strategies of the project are consistent with UN-Habitat's strategies and requirements of the beneficiaries (national and local governments)?
- To what extent is the implementation strategy responsive to UN-Habitat's MTSIP and Strategic Plan and human development priorities such as empowerment and gender equality?
- To what extent are the project's intended outputs and outcomes consistent with national and local policies and priorities, and the needs of target beneficiaries?

##### **Effectiveness**

- To what extent have the project's intended results (outputs and outcomes) been achieved or how likely they are to be achieved in line with the Theory of Change (i.e., causal pathways) of the project? In this context cost-effectiveness assesses whether or not the costs of the project can be justified by the outcomes.
- What types of products and services did UN-Habitat provide to beneficiaries through this project? What kind of positive changes to beneficiaries have resulted from products and services delivered?

- To what extent have the projects proven to be successful in terms of ownership in relation to the local context and the needs of beneficiaries? To what extent and in what ways has ownership, or lack of it, impacted on the effectiveness of the project?

### **Efficiency**

- To what extent did the project management, Regional Office for Latin America and the Caribbean and the Regional Office for Africa, UN-Habitat office in Spain and national partners have the capacity to design and implement the project? What have been the most efficient types of project activities implemented?
- To what extent were the institutional arrangements of UN-Habitat (at country, regional and headquarters levels) adequate for the project? What type of (administrative, financial and managerial) obstacles did the project face and to what extent has this affected the project?
- To what extent did actual results contribute to the expected results at output and outcome levels?

### **Impact Outlook**

- To what extent has the projects attained (or is expected to attain) development results to the targeted population, beneficiaries, participants, whether individuals, communities, institutions, etc.?

### **Sustainability**

- To what extent did the project engage the participation of beneficiaries in design, implementation, monitoring and reporting?
- To what extent was the theme of the project aligned with national development priorities and contributed to increased national investments to accelerate the achievement of priorities at national, provincial and city/local level?
- To what extent will the project be replicable or scaled up at national or local levels or encourage south-south and north-south collaboration, and collaboration between local government associations and authorities at local level?
- To what extent did the project foster innovative partnerships with national institutions, local governments and other development partners?

The evaluation team may expound on the following issues, as necessary, in order to carry out the overall objectives of the evaluation.

- a) Responsiveness to local governments specific priority areas;
- b) Project's coherence with UN-Habitat's mandate and added value;
- c) Performance issues: effectiveness of monitoring and reporting of delivery and results of the project;
- d) Adequacy of institutional arrangements for the project and relevance of structures to achieve the planned results;
- e) Identification of contribution to success or failure of certain performances (responses to these issues should be categorized by design, management and external factors, particularly context);

## **6. Stakeholder involvement**

It is expected that this evaluation will be participatory, involving key stakeholders. Stakeholders will be kept informed of the evaluation processes including design, information collection, and evaluation reporting and results dissemination to create a positive attitude for the evaluation and enhance its utilization. Relevant UN-Habitat entities, United Nations agencies, national partners, beneficiaries of the projects, donors, and other civil society organizations may participate through a questionnaire, interviews or focus group discussions.

## 7. Evaluation methods

The evaluation shall be independent and be carried out following the evaluation norms and standards of the United Nations System. A variety of methodologies will be applied to collect information during evaluation. These methodologies include the following elements:

- a) **Review of documents relevant to the project.** Documents to be provided by the project management staff at Headquarters and Regional Offices, and documentation available with the donor and partner organizations (such documentation shall be identified and obtained by the evaluation team).

Documentation to be reviewed will include:

- Original project documents and implementation plans;
- Annual Workplan;
- Monitoring Reports;
- Reviews;
- Previous evaluation documents;
- Donor reports and evaluations;
- Strategic plans, as deemed relevant, such as the Medium-Term Strategic and Institutional Plan (MTSIP) and Strategic Plan, United Nations Development Framework (UNDAF), National Development Plans, and other UN-Habitat policy documents.

- b) **Key informant interviews and consultations, including focus group discussions** will be conducted with key stakeholders, including each of the implementing partners. The principles for selection of stakeholders to be interviewed as well as evaluation of their performance shall be clarified in advance (or at the beginning of the evaluation). The informant interviews will be conducted to obtain qualitative information on the evaluation issues, allowing the evaluator to assess project relevance, efficiency and effectiveness.

- c) **Field visits**, if deemed feasible with resource available to the evaluation, to assess selected activities of the project.

The evaluator will describe expected data analysis and instruments to be used in the inception report. Presentation of the evaluation findings should follow the standard format of UN-Habitat Evaluation Reports (see checklist for UN-Habitat Evaluation Reports).

## 8. Accountability and Responsibilities

The Evaluation Unit of UN-Habitat will commission a centralized evaluation of the project and it will manage the evaluation. A Joint advisory group with members from the Evaluation Unit, the Urban Legislation, Land and Governance Branch, the Regional Office for Latin America and the Caribbean, the Regional Office of Africa (Mozambique) and UN-Habitat office in Spain will be responsible for comments on the inception report and drafts of the evaluation report.

The Evaluation Unit will lead the evaluation, supported by the Local Government and Decentralization Unit by guiding and ensuring the evaluation is contracted to suitable candidate. The Evaluation Unit will provide advice on the code of conduct of evaluation; providing technical support as required. The Evaluation Unit will ensure that contractual requirements are met and approve all deliverables (Inception Report/ Work plan, Draft and Final Evaluation Reports).

The evaluation will be conducted by one consultant, an international consultant. The evaluator is responsible for meeting professional and ethical standards in planning and conducting the evaluation,

and producing the expected deliverables.

The evaluator will be supported by the Evaluation Unit, the responsible Unit and project manager and focal points at relevant Regional Offices.

### **9. Qualifications and Experience of the Evaluation Team**

The evaluation shall be carried out by one consultant. The International Consultant is expected to have:

- a) Extensive evaluation experience. The consultant should have ability to present credible findings derived from evidence and putting conclusions and recommendations supported by the findings.
- b) Specific knowledge and understanding of UN-Habitat and role in supporting the implementation of the Millennium Development Goals.
- c) Experience in working with projects/ programmes in the field of decentralization, urban development, local governance, and urban basic services.
- d) Advanced academic degree in political sciences, social economy, governance, local public administration, reform of the state, or similar relevant fields.
- e) Recent and relevant experience in working in developing countries.
- f) It is envisaged that the consultant would have a useful mix of experience and familiarity with public administration in various parts of the world.
- g) Fluent in both English and Spanish (understanding, reading and writing) is a requirement.

### **10. Work Schedule**

The evaluation will be conducted over the period of 6 weeks, including the desk review, from January to March 2015. The consultant is expected to prepare an inception work with a work plan that will operationalize the evaluation. In the inception report understanding of the evaluation questions, methods to be used, limitations or constraints to the evaluation as well as schedules and delivery dates to guide the execution of the evaluation should be detailed.

A provisional timetable is as follows in section 13.

### **11. Deliverables**

The three primary deliverables for this evaluation are:

- a) Inception Report with evaluation work plan. Once approved, it will become the key management document for the evaluation, guiding evaluation delivery in accordance with UN-Habitat's expectations throughout the performance of contract.
- b) Draft Evaluation Reports. The evaluation team will prepare evaluation report draft(s) to be reviewed by UN-Habitat. The draft should follow UN-Habitat's standard format for evaluation reports.
- c) Final Evaluation Report (including Executive Summary and Appendices) will be prepared in English and follow the UN-Habitat's standard format of an evaluation report. The report should not exceed 40 pages (excluding Executive Summary and Appendices). The Spanish translation of the Evaluation Report should also be presented. In general, the report should be technically easy to comprehend for non-specialists.

### **12. Resources**

The funds for the evaluation of the project are available from project's budget. Daily subsistence allowance will be paid only when working outside the official duty station of consultant. The remuneration rate of the consultant will be determined by functions performed, qualifications, and

experience of the consultant. The consultant to conduct this evaluation should preferably be equivalent to P-5.

### 3. Provisional Time Frame

#	Task Description	Nov 14				Dec 14				Jan 15				Feb 15				Mar 15			
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
1	Development of TOR Evaluation Team (1 International consultant)			X	X																
2	Call for consultancy proposals and recruitment of consultant					X	X	X	X												
3	Review of background documents									X	X										
4	Preparation and approval of inception report with work plan and methodology of work									X	X	X									
5	Data collection including document reviews, interviews, consultations and group meetings											X	X	X	X	X					
6	Analysis of evaluation findings, commence draft report writing and briefings to UN-Habitat													X	X	X	X				
7	Draft Evaluation Report																	X	X		
8	Review of Evaluation Report																			X	X
9	Production delivery of Final Evaluation Report (including editing, translation into Spanish, layout, printing)																				X

**Annex I: UN-Habitat Evaluation Model**

