



UNITED NATIONS  
CAPITAL DEVELOPMENT FUND

FONDS D'EQUIPEMENT  
DES NATIONS UNIES

# SPECIAL PROGRAMME IMPLEMENTATION REVIEW (SPIRE) TERMS OF REFERENCE.

## PROGRAMME DATA SHEET

Country:	Tanzania
Programme Title (long)	Support to Local Economy in Mwanza
Programme Title (short)	SLEM
Programme Number	URT/06/C01
Programme Atlas Code (by donor)	UNCDF – URT/06/C01-00051761 UNDP – URT/06/- 00053267

## Financial Breakdown (by donor)

Commitments:	Currency	Amount
UNCDF	USD	1,500,000
UNDP	USD	1,500,000
Government of Tanzania		In kind

## Delivery to date (per donor):

	2006	2007	2008	2009	2010
UNCDF: Bud	144,440.00	92,334.00	429,211.92	504,024	330,000
UNCDF :Exp.	0.00	461,111.45	603,889		
UNDP:			150,614.00		
UNDP:		322937.23			

Total project budget:	6,500,000
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Executing Agency	Prime Minister's Regional Administration and Local Governments
Implementing Agency	Local Governments and Private Sector
Approval Date of Project	25/01/2006
Project Duration	5 years
Project Amendment	Synthetic report, Technical note.
Evaluation Date	16 – 30 November, 2010

Other current UNCDF projects in-country	Participating in a : 1. Regional Programme, Gender Equitable Local Development (GELD) 2. One UN Joint Programme 6.1 in North Western Tanzania
Previous UNCDF projects (if relevant)	Support to Decentralisation, Mwanza Support to Good Local Governance
Previous evaluations (if relevant)	Mid-Term Evaluation of the Support to Good Local Governance Programme, April 2004
Dates of audits	Not yet agreed

**Evaluation Date:** November 2010

Composition of Evaluation Team:

Team Leader – International: Philip Bottern

Team Member – International: Andrea Agostinucci

Team Member – National/Regional: N. Sola

A. Purpose and Timing of the Implementation Review

#### a) Purpose

The objectives of the SPIRE review are:

- To assist the recipient Government, beneficiaries, and the concerned co-financing partners, to understand the **efficiency, effectiveness, relevance**, and likely **sustainability of results**;
- To assess the level of **satisfaction of programme stakeholders** and beneficiaries with the results;
- To assess whether UNCDF and its partners are **effectively positioned** to achieve result.
- To contribute to UNCDF and partners' **learning** from programme experience;
- To help programme stakeholders assess the value and opportunity for broader **replication** of the programme;
- To help programme stakeholders determine the need for **follow-up** on the intervention, and general direction for the future course;
- To ensure **accountability** for results to the programme's financial backers, stakeholders and beneficiaries;
- **Comply with the requirements** of the programme document/funding agreement and UNCDF Evaluation Policy.

#### b) Timing

The evaluation is carried out at this particular time because a Mid Term review was not carried out and therefore the programme was overdue. Since the programme has been in operation for more than four years (now coming to an end, the outcome of this review will now feed into Tripartite Review Meeting scheduled later this year. The review should be conducted immediately after the general election from 16<sup>th</sup>-30<sup>th</sup> November.

The full SPIRE evaluation is scheduled to take place during November and December 2010. The field phase, specifically, is scheduled for 16 – 30 November 2010.

The programme is a collaboration between the government, UNDP and UNCDF. Since the programme is a pilot, the experience and lessons learnt are expected to be shared with the host government as well development partners supporting the local government reform programme. Collaboration therefore will be in terms of sharing the lessons and experience relevant to decentralization by devolution.

## **B. Programme profile**

a) Country context/status of decentralization in terms of strategy, policy and implementation

This section should contain:

a brief summary of current status

reference to key documents and relevant background documentation which in the PO's judgment should be read by the SPIRE mission as part the mission preparation process. **A list of relevant documents should be included as ANNEX 1 of these TOR.**

Brief summary of current status of implementation of decentralization reforms

In line with vision 2025, the *National Strategy for Growth and Poverty Reduction in 2005* (NSGPR now being reviewed) and in conformity with the 1998 *Policy Paper on Local Government Reform*, the government of the United Republic of Tanzania (Prime Minister's Office- Regional Administration and Local Government) embarked on an implementation framework that entailed the following policy reform areas: Political decentralization (the transfer of power to elected councils and creation of multi-functional governments at the local level); Financial Decentralization (provision of discretionary financial powers to LGAs with central government providing unconditional grant transfers); Administrative Decentralization (giving local government discretion over human resources management, with staff being accountable to the local council and people); and Changed Central-Local Relations (a shift by central government from directive powers to a system that provides for consultations and negotiations with Central Government providing support to Local Government Authorities.) This process of transfer of both administrative capabilities and executive authority from centre to the periphery is meant to give more power to local governments and lead to improved service delivery.

In implementing the policy, remarkable achievements have been noted and recorded as follows:

**Political decentralization:** On a gradual step by step power has been transferred to local councils and now Local Government Authorities and Villages have fully constituted Councils (governments) and Assemblies and various statutory committees that support them. Councillors are in these Committees and the Council Chairperson is elected from among the Councillors and affirmative action has been taken to ensure women representation. Codes of ethics and conduct were issued in 2002 for guiding and governing behaviour of all elected officials and staff in the conduct of public affairs. The Council Chairperson delivers an Annual Accountability Report to the people within the local authority on 1 July each year, the Local Government Day.

**Fiscal Decentralization:** There are a number of improvements in financial management (planning, allocation, expenditures value for money, reporting and accountability of funds to electorate). As such the government is now operating 3 year Medium Term Expenditure Frameworks, and development budgets for local governments are based on performance assessments, allocation of funds done by a formula, and to ensure transparency both recurrent and development transfers are publicized nationally and locally, through the Local Government Development Grant system. To ensure good book-keeping, timely reporting and public information, the government has introduced an integrated financial management system (IFMS) at both national and local level. To ensure accountability and value for money, the quality of local government authorities financial management systems are checked in several ways: centrally there are public expenditure reviews, and locally Public Expenditure Tracking systems/Studies (PETS) to 'follow the money'. The latter is an effort of civil society organizations.

**Administrative Decentralization.** Progress has been made in the human resources autonomy, legal and planning for development. For example, following the installation of a by-law database available to all LGAs, Regional Secretariats and central government, the quality of by-laws has improved and local governments are now able to promulgate their own by-laws to operationalise national policies and legal frameworks, in line with local needs. Despite slow changes to the existing Public Service Act to support LG autonomy, LGAs have however, taken on full responsibility for recruitment, employment, and development of some of their staff through local employment boards and discretionary capacity building grants (part of the LGDG system). For instance, LGAs are now also employing the executive officers at all lower levels. With regard to planning, as opposed to previously principle-agent relationship, at the moment the principle of subsidiarity is in operation where local governments use a bottom-up participatory planning methodology, known as Opportunities and Obstacles to Development (O&OD). The locally-developed plans are incorporated in the overall Council plans submitted to Ministry of Finance and

Economic Affairs each year. It is safe to say that the LGRP II (D by D) July 2009 to June 2014 is paying a lot of attention to the lower levels.

**Changed Central-Local Relations.** The role of central ministries has changed towards providing more policy support and support on capacity building and monitoring. However, experience shows that even after number of years of implementation of D by D policy there are still some functions of Ministries that need to be devolved.

(A list of relevant documents on decentralization are in ANNEX 1 of these TOR.)

**b) Programme summary:**

How long has UNCDF been operational in the country?

UNCDF's support to Tanzania began sometime in 1978 with mostly-fragmented infrastructural projects such as roads and Irrigation. By early 1990 UNCDF established itself as a piloting, innovative organisation that focus on the development of local level. The 1<sup>st</sup> two comprehensive Programmes were the support to **Decentralization in Mwanza** (comprising of two projects: Local Development Fund and; Rehabilitation of District and Feeder roads) and the **Support to Good Local Governance** project which consolidated and deepened activities of the **Support to Decentralization Programme**. The Local Development Fund (LDF), which piloted the use of unconditional grants to plan and allocate resources for district and community based infrastructure; and the Rehabilitation and Maintenance of District and Feeder Roads (DFR), which piloted the use of conditional grants and utilized labour-based methods. Both projects channel their funds through district council and ended in 2005.

While the **Support to Decentralization** and **Support to Good Local Governance projects** were part and parcel of the previous National Poverty Reduction Strategy Paper, the current programme - **Support to Local Economy in Mwanza** region project - is a second-generation project designed to address and meet the challenges of the current National Strategy for Growth and Poverty Reduction (NSGPR). The SLEM is an outcome of the recommendations of the evaluation of the Support to Good Local Governance to reposition and re-align UNCDF support to match the NSGPR and the policy of Decentralization by Devolution. A slight re-orientation from poverty reduction through improved social service delivery to poverty reduction through improved economic service delivery notwithstanding, the geographical focus remained Mwanza because the purpose was to complement and consolidate the already existing achievements from the previous programme. (Please see the mid-term evaluation of Support to Good Local Governance project, including Final Evaluations of the Rehabilitation and Maintenance of District and Feeder Roads project and the Local Development Fund from 2004 for more information).

Since local economic development was a new objective, the design of the programme took a long time and involved a number of technical advisors (Joyce Stanley and Angelo Bonfigliori, both retired now) and a consultant (Douglas Hindson).

The programme is located in Mwanza Region and focuses on two districts, Misungwi and Sengerema.

**c) Programme expected results:**

The programme - *Support to Local Economy in Mwanza (SLEM)* - is a joint and collaborative effort between the United Nations Capital Development Fund (UNCDF), the United Nations Development Programme (UNDP) and the Government of the United Republic of Tanzania. The programme was signed in 2006 with the overall goal to reduce poverty through an innovative approach of pro-poor local economic development which stresses the leadership of local government authorities and public and private partnerships. The programme is in line with the *Joint Assistance Strategy Tanzania*, responds to the *National Strategy for Growth and Poverty Reduction* and is currently being implemented in two districts of Sengerema and Misungwi.

The overall goal of the SLEM programme is **to reduce poverty** in the Mwanza Region. The programme expects to achieve this through strengthening and promoting an enabling environment for sustainable, equitable poverty reduction and pro-poor economic development and growth. To do so, the programme is pioneering the following:

An innovative approach to pro-poor local economic development which stresses the leadership of local government authorities and the joint involvement of the public and the private sectors (Institutions responsible local Economic Development promoted and a business supportive environment enhanced)  
Strengthening Micro-Small and Medium Enterprises to increase their competitiveness and capital outlay (Capital investment to support Local Economy through operation of a local Economic Development Capital Fund and a capacity Building Grant).

Documenting innovative LED lessons and best practices for Policy Impact and Replication & M&E.

More formally, and as set out in the project's results and resources framework, the project's expected results are as follows:

Intended outcome (as stated in the Country Programme Results and Resources Framework): poverty reduction and private sector development  
Outcome indicator: Contribute to the achievement of the MDGs, in particular Goal 1 of halving poverty by 2015

<p><b>Output 1:</b> Local governments are committed to promote institutions for local economic development and to enhance a business supportive environment</p> <p>Indicators:</p> <p>Number of LGAs (District) with increasing public-private partnership</p> <p>% of wards capable of holding participatory forums to discuss LED and LEG issues</p> <p>Number of LGs (district) with business development services meeting local markets demand</p> <p>Number of women per district receiving key support to start MSMEs</p> <p>Number of LGAs (district) where local economic stakeholders have reliable access to market information</p>	<p><b>Output 2:</b> Local governments actively support planning of local development and provide support to local enterprises</p> <p>Indicators:</p> <p>Number of LDA with LECDf compliant to funding arrangements</p> <p>Number of new businesses registered per District</p> <p>Number of new enterprises still active (1 year after their creation)</p> <p>Number of households starting new income generation activities</p> <p>Number of private – public partnerships formed to construct, rehabilitate and establish maintenance and operations of social infrastructure</p>	<p><b>Output 3:</b> Policy Impact and Replication – Lessons learnt and good practices documented and disseminated to influence regional and national debates</p> <p>Indicators:</p> <p>Good practice models for economic development documented</p> <p>Good practice models mainstreamed at regional and national levels</p> <p>Number of LGAs with easy access to updated data relevant to local economic development</p> <p>Private actors have easy access to market information</p>
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**d) Programme status:**

Overview of project status

PO to note:

Any major strategic changes adopted during implementation?

Any significant issues that have arisen during implementation

Any significant project revisions in terms of scope, direction and budget allocations?

[For the text below, please see the request in the table below]

Initial studies and research work carried out (Please refer to (I) districts Socio-economic assessment and (II) institutional mapping)

To date, the programme has helped the districts to carry out two studies (i) *Social economic appraisal of the two districts* and (ii) *institutional mapping*. These two studies have helped them understand the profile or structure of their economies, the challenges and existing opportunities, inter-sectoral linkages, as well identifying actors or stakeholders involved in promoting local growth.

Promotion of institutions responsible for growth (Please refer Stakeholders workshop reports for formation of District Forum for Local Economy).

Creation and strengthening of institutions responsible for promotion and enhancement of local economic development has been the pre-occupation of the programme. As such, the programme supported the two districts to conduct a stakeholders' workshop where each formed a District Forum for the Local Economy (DFLEs). Two constitutions have been prepared and endorsed by respective full councils; one restitution meeting has been held and the programme is now anchored in Mwanza. These *fora* bring together local government and other stakeholders (private sector) to discuss together how to address challenges and capitalize on the opportunities for growth. The programme is also supporting the construction of DFLEs offices in the two districts.

Strengthening Public Private Partnership (PPP). Please refer to MoU between Local governments and MFI.

The programme has supported the two districts to establish and operate a Local Economic Development Fund supporting MSMEs to increase their investments. In this arrangement, the two Local Governments have signed a Memorandum of Understanding with reputable Microfinance Institutions to operate a joint account. Project funds are deposited in a joint account on behalf of the two respective local governments whereby through the District Forums for the Local Economy (DFLEs), decisions are made for the MFI to provide loans to SMEs. It is not possible for the MFI to withdraw funds from the joint account for SMEs without approval of the LGs in the two districts.

Empowering Small and Micro Enterprises with information technology through Business Development Services Provision (Please refer to BDSS assessment).

The SLEM supported the two districts to establish and operate two Business Development Service Shops. These shops are a one-stop centres where stakeholders can visit and get advice, guidance, information and training in various aspects ranging from input supply and use, technology, markets, organizational development etc. The shops are also a marketing channel whereby products produced by SME are displayed in the shops as one way of advertising products. To date more than 2719 Small Medium and Micro-enterprises in Sengerema and 1024 in Misungwi have been trained through Business Development Services Shops. The shops are a model and an attraction to many organizations and institutions (nationally and international) with the objectives or intentions of promoting growth at the local level.

Capacity building to increase SME productivity and growth.

The programme is continuing to support the two districts in strengthening Micro-Small and Medium Enterprises to increase their competitiveness: a number of MSMEs have been trained in organizational management, preparations of business plans, book keeping and other specialized trainings.)

Access to information for Small and Micro Enterprise to address challenges pertaining to the financial sector, product and inputs market, and technology are part and parcel of a growing local economy (Refer BDSS report).

The programme supported the two districts to establish and operate two business Development Services Shops. These shops are a one stop centre where by stakeholders visit and get advice, guidance, information and training in various aspects ranging from input supply and use, technology, markets, organizational development etc. The shops are also a marketing channel whereby products produced by SME are displayed in the shops as one way of advertising products.

Indicate what types of monitoring and performance data have been collected during the course of the project and would be available for use by the evaluation team especially Annual Workplans and MIS data reports. **Quarterly progress reports, annual reports, background studies for the LED National workshop etc.** Documents attached.

Outputs	Output Targets	Summary Project Status	
<p>Intended Output 1:</p> <p>Local governments are committed to promote institutions for local economic development and to enhance a business supportive environment</p>	<p>LGAS fully informed about and supporting procedures aimed at fostering public-private partnership</p> <p>LGAs enabled to plan appropriate measures related to local economic development</p> <p>LGAs sensitized on different procedures of delivering public services (including use of local private sector)</p> <p>Forums of economic stakeholders supported and operational at the district and regional level</p> <p>Local networks, associations of civil society, farmer's union and societies and village environmental committees strengthened</p> <p>Local BDS providers strengthened to provide sustainable services for poverty reduction</p> <p>Local economic stakeholders fully involved in the</p>	<p>Districts LED strategic plan are In place.</p> <p>LGA-MFI MoU in place and LEDF is operational</p> <p>District Forum for Local Economy</p> <p>Formulated and active</p> <p>Capacity building to BDS providers</p> <p>Done to enable them</p> <p>Effectively provide services</p> <p>DFLES are fully functional in approving and allocating funds</p>	

	decision making process concerning design, implementation and monitoring of local economic development measures		
Intended Output 2: Local governments actively support planning of local development and provide support to local enterprises	2.1 Finalisation of DADPs in two districts and mainstreamed into DDPs 2.2 LECDf established and operationalised 2.3 Production of wider-area assessments 2.4 Forums of economic stakeholders operational (and coordination committees assuming specific key roles) 2.5 Increased security of local livelihoods, in general, and access to food security by households in particular 2.6 Women's participation in environmental decision-making and monitoring 2.7 Improvement of technical skills of public and private providers of agricultural and environmental services 2.8 Local trainers (economic facilitators) enabled and economic cluster and value chain upgrade services provided 2.9 Improved performance of local enterprises 2.10 Commercial banks supported to pilot innovative, sustainable services to LGAs 2.11 Competitive advantage of localities (districts and regions) enhanced 2.12 Innovative and sustainable service delivery models developed and provided	More than USD 320,000 is revolving Among clients DFLEs active and provide the required services as per constitution  NA  Value chain analysis done for four Crops Paddy fish (sengerema) Tomatoes chick peas (Misungwi)	
Intended Output 3: Policy Impact and Replication: Lessons learnt and disseminated to influence regional and national debates (on the role of LGAS in local economic development and poverty reduction)	Simple and efficient monitoring systems defined and implemented Local stakeholders capable to auto-evaluate programme achievements and service delivery Communication tools able to reach different audiences	M and E framework in place	

### C. SPIRE Framework, methodology and tools

#### a) The SPIRE approach in a nutshell

The methodology used for this mid-term assessment of the *Support to Local Economy in Mwanza region (SLEM)* is based on an approach developed within the SPIRE initiative. The SPIRE approach involves testing the intervention logic/development hypothesis underlying a programme against evidence on its implementation performance. Two main tools have been developed for this purpose:

Intervention Logic Diagrams for the Local Development and Inclusive Finance areas (which are further detailed in an Effects Diagram for each practice area):

An Assessment Matrix, which contains 8 key review questions that are used in all SPIRE exercises.

The findings are built incrementally through pre-mission deskwork resulting in the formulation of an Inception Report by the review team leader (which, *inter alia*, reviews the relevance of the overall Intervention Logic and makes a judgment whether there will be a need to adjust the assessment Matrix to the particular country context).

This deskwork phase is followed by mission assessments at the country level. The team's understanding of the programme design, and its emerging findings and recommendations are deepened through review and analysis of data and information, dialogue with the programme stakeholders and the service users in a series of interviews, focus group discussions and facilitated kick off and debriefing workshops.

The SPIRE approach concludes with a final report, which then leads to the formulation of a Management Response involving the relevant stakeholders. The final review report and the Management Response are then uploaded into the UNDP Evaluation Resource Centre Database which is a public website.

b) Intervention Logic/Development hypothesis for local development in UNCDF

#### **The local development model**

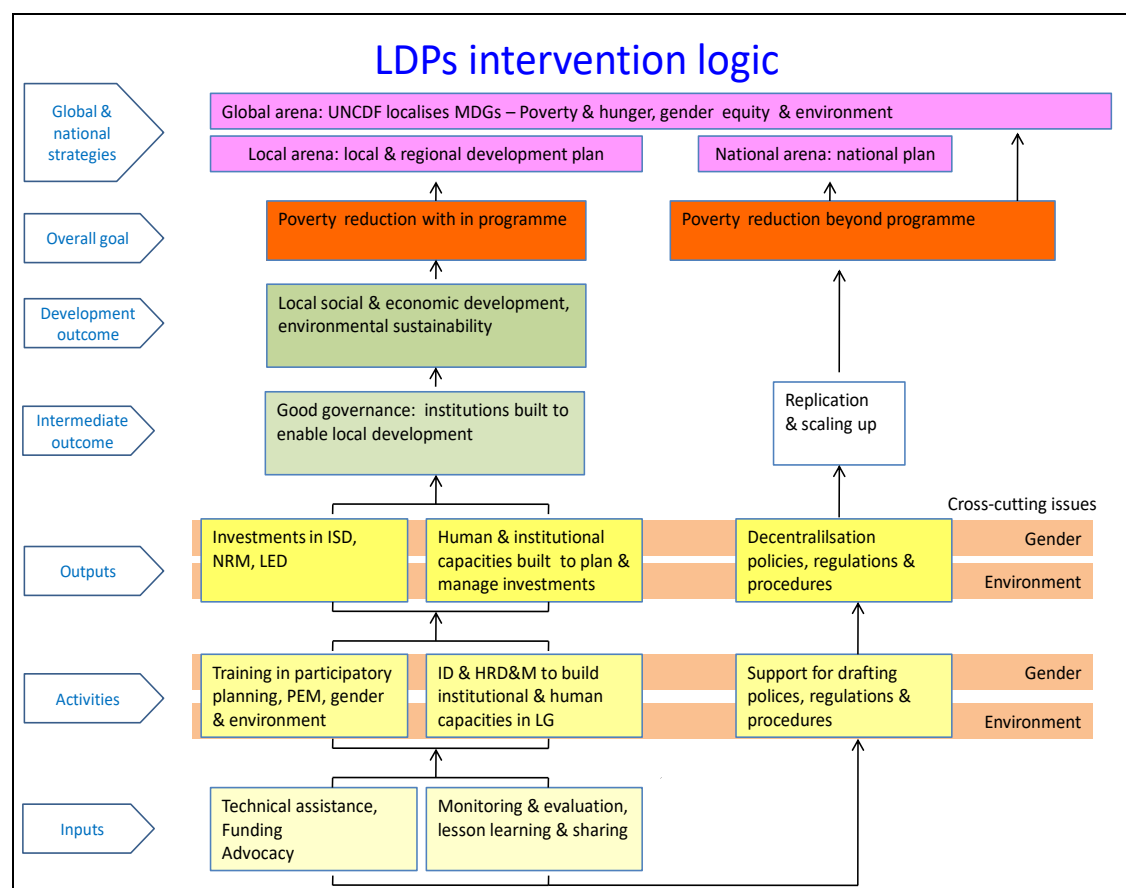
The **development hypothesis** underlying UNCDF's model of local development is that the efficiency and effectiveness of service delivery in LDCs will be increased and the level of poverty reduced by decentralising service delivery to democratic local government, using capital development funds to provide grants for investment in a small scale service infrastructure that is constructed and maintained either directly by local government or by communities and/or the private sector, with financial inputs and supervision from the local government.

This hypothesis gives rise to UNCDF's local development model, the intervention logic of which is illustrated in

Figure 1 below. The three main outputs of the model are: 1) institutional capacity, particularly in public expenditure management (encompassing data collection and needs assessment, *participatory* planning, budgeting, procurement, management of project implementation, accounting and reporting) and public, private partnerships, 2) investments in local development in the form of infrastructure service delivery (ISD), natural resource management (NMR), and local economic development (LED) and 3) decentralisation policy, including fiscal decentralisation, and legal and regulatory frameworks. The intermediate outcome is good local governance. The purpose, or development goal, is local development in both urban and rural areas. The overall goal is poverty reduction. The programme contributes to the achievement of the MDGs within a country and thus, to UNCDF's **global strategy** of localising the MDGs. This is an ideal type from which any given country LDP may deviate to a greater or lesser extent.



**Figure 1: Local development intervention logic**



### c) SPIRE Framework

The review framework is based on the intervention logic described above. It sets out the chain of anticipated effects brought about by the programme's intervention. The SPIRE framework traces the effects of the intervention from inputs to outputs, through outcomes and impacts, distinguishing the different areas of capacity building and service delivery. It traces how experience gained in the local arena informs replication, policy reform and national roll-out of the programme. It also shows how experience in the country relates to UNDP and UNCDF's country and global objectives and informs future strategy debate.

It is important to note that while the SPIRE framework lays out the overall intervention logic, the SPIRE reviews do not have the ambition to assess whether projects have achieved outcomes or impacts. The SPIRE methodology confines itself to responding to efficiency, effectiveness and relevance and likely sustainability concerns, as defined in the SPIRE Assessment Matrix.

### d) Assessment matrix

The SPIRE matrix for local development is based on the intervention logic described above. The questions posed in the matrix seek to establish whether the anticipated effects illustrated in the SPIRE framework have actually been achieved. The matrix relates each question to indicators, tools and sources of information. The tools used by the team are documentary and data review, key stakeholder interviews, facilitated kick off and debriefing workshops, focus group discussions, community meetings and site visits. The assessment matrix is presented in Annex 3 in its general formulation, descending from the general SPIRE framework and therefore applicable to different country Programmes. As described above with reference to the SPIRE framework, the general matrix shall serve as reference tool and guidance in tailoring and applying question on the basis of the specificity of each program.

### D. Contents and Scope of the SPIRE exercise

Taking into account the implementation status of the programme and the resource disbursements made to date, the assessment team will assess the performance of the project in terms of the eight questions included in the SPIRE matrix for local development (**attached in Annex 4**) and reproduced below:

SPIRE Questions for Local Development	Corresponding UN Evaluation Criteria
<b>Question 1:</b> To what extent is the programme relevant and well-designed?	Relevance
<b>Question 2:</b> To what extent has the programme contributed to increased capacities and improved systems at local and national government level?	Efficiency and Effectiveness
<b>Question 3:</b> To what extent has the programme contributed to the improved planning of local development?	Efficiency and Effectiveness
<b>Question 4:</b> To what extent have LDF-funded investments contributed to enhancing opportunities for socio-economic development?	Effectiveness
<b>Question 5:</b> To what extent are programme results likely to be sustainable in the longer-term?	Sustainability
<b>Question 6:</b> How effective has management of the programme been at the national and local levels?	Efficiency
<b>Question 7:</b> To what extent did piloted approaches lead to up-scaling and replication as well as to policy developments?	Effectiveness
<b>Question 8:</b> To what extent did the programme enhance the partnership with the government and other donors at national and regional level?	Effectiveness

These eight questions have been drawn up with a view to focusing the evaluators' attention on the main results of project implementation to date, as well as important factors affecting project results such as project relevance and quality of design, project management, and the project's positioning with regard to other actors in the area of local development in Tanzania.

Each of the 8 questions includes sub-questions (**see Annex 4**), which guide evaluators in what aspects of project performance they should be focusing on during their work. These sub-questions also include indicators, data collection methods and information sources, which should be used as a means to answer the overall review question.

The eight SPIRE questions will remain the same for evaluations of other local development projects in order to ensure comparability of results over a sample of different projects.

That said, the review team should feel free to propose alternative sub-questions, indicators and data collection methods to fit the project in question. In choosing these sub-questions and indicators, the team should feel free to refer, where appropriate, to the indicators included in the Results and Resources Framework.

These changes should be presented as part of the Inception Report and agreed by the Evaluation managers before the start of the in-country phase.

### **E. SPIRE Steps and Sequence**

The SPIRE exercise will comprise the following steps after the Terms of Reference is concluded: the Inception Phase, In-Country Phase, the Report Writing Phase and the Management Response phase.

#### **Inception Phase**

**Partners consultations and briefing:** The outsourced consultant manager and lead consultant will be briefed prior to the fieldwork by the Evaluation Unit.

**Desk review of relevant documentation:** A list of key reference documents and people to be interviewed is provided in **Annex 2**.

**Inception Report:** the team leader will produce a brief report which outlines the intervention logic relevant to the country project/programme being assessed within the context of the overall development hypothesis set out for SPIRE, any modifications to the sub-questions contained in the Assessment Matrix and preliminary conclusions reached from the review of documentation. Updated timeline for deliverables will be also be included.

#### **In-country phase**

**Hypothesis workshop** conducted by the team leader with the rest of the team to ensure common approach to the review process.

Finalization of work plan: the team will review the draft workplan (**Annex 1**) with the Programme Officer/in-country review support team and make any adjustments they see fit, taking into account practical and logistical considerations.

In-country briefing: The Team will be briefed on the first day of the mission by programme stakeholders. Where feasible, the team should meet with the Advisory Group that has been set up to support the review process.

Fieldwork: Conducted in the capital and locations where supported MFIs are based. As far as possible, the Review Team should discuss findings with beneficiaries and stakeholders at each stage of the review and obtain their feedback.

Findings are shared with the in-country UNCDF and UNDP teams prior to the national debriefing.

Preparation for National debriefing -Aide Mémoire/Power Point presentation: On the basis of its findings, the Review Team will prepare an *aide mémoire*, which will be shared, through the in-country review focal point, with all key stakeholders as a basis for discussion.

#### Debriefing

National Debriefing: At the meeting, the team will present their key findings and recommendations to key stakeholders for discussion. The minutes of the meeting will be taken by the Programme Officer/in-country support team submitted promptly to the UNCDF Evaluation Unit, and all key stakeholders, and also to the manager of the SPIRE contract and review team, for their consideration in drafting the final report.

Draft report and Summary: The manager of the SPIRE subcontract will submit a draft review report and Evaluation Summary to the UNCDF Evaluation Unit, which will circulate the draft to all key stakeholders for written comment

Global Debriefing: A final debriefing at HQ via teleconference will be provided by the lead consultant. The debriefing will be chaired by the Executive Secretary of UNCDF and the UNDP Regional Bureaux and other stakeholders will also be invited to attend. The Evaluation Unit will be responsible for writing up minutes of the debriefing, which will be submitted promptly to the manager of the SPIRE subcontract for consideration in finalizing the evaluation report and summary.

#### Report Finalization Phase

The Final SPIRE Report will be submitted by manager of the SPIRE sub contract to the UNCDF Evaluation Adviser, who will disseminate it to all key stakeholders. This final report will include an Annex in which the Evaluation Team will present the findings, recommendations and issues for consideration and response by the programme managers. The standard Management Response template, available on the UNDP Evaluation Resource Centre (ERC) database, will be used for this purpose.

#### Management Response Phase

Management Response: the Director of the Practice Area will be responsible for facilitating the formulation of a Management Response to the findings and recommendations by relevant stakeholders **within 30 working days** of receiving the final report from the Evaluation Unit. The Management Response will be submitted to the Deputy Executive Secretary for approval and then noted by the Executive Secretary. The completed Management Response will be uploaded into the UNDP ERC database by the UNCDF Evaluation Unit, together with the completed report. Progress in terms of implementing action agreed to in the Management Response is the responsibility of the Directors of the Practice Areas.

#### Deliverables

The Manager of the SPIRE contract, in consultation with the lead consultant, is responsible for preparing and submitting the following deliverables:

An **Inception report** is prepared and shared with the Evaluation Unit and other key stakeholders in the period prior to the fieldwork

**Aide Mémoire/Power Point Presentation:** A summary of key evaluation findings and recommendations prepared towards the end of the evaluation and submitted to the project secretariat and the UNCDF Evaluation Unit before the Evaluation Consultation meeting.

**Draft Evaluation Report:** The lead consultant is responsible for consolidating the inputs of team members, and taking into consideration comments received at the in-country evaluation consultation meeting, to produce a coherent Draft Evaluation Report and Evaluation Summary, according to the format in **Annex 3**.

**Final Evaluation Report and Management Response:** Based on comments received on the Draft Evaluation Report, and at the UNCDF evaluation debriefing, the Manager of the SPIRE contract and lead

consultant will finalise the evaluation and summary, with input from other evaluation team members, as required, and submit the Final Evaluation Report and Summary to the UNCDF Evaluation Advisor within five days of the receipt of the minutes of the UNCDF evaluation debriefing, or by the agreed date.

**Evaluation Summary:** as described in Annex 5

The Evaluation Team's contractual obligations are complete once the UNCDF Evaluation Advisor has reviewed and approved the Final Evaluation Report for quality and completeness as per the TOR.

## **F. Composition of Evaluation team**

### **1. Consultant profiles and responsibilities**

The Final Evaluation is to be conducted by a team of 3 consultants. The Team Leader will be Philip Bottern; second international consultant: Andrea Agostinucci; and the third national consultant: N. Sola.

Profile specifications for Evaluation Team Leaders

International consultant with strong international comparative experience in the field of decentralization and local development including: fiscal decentralization; decentralized infrastructure and service delivery; local government capacity building for decentralized public expenditure management and operationalization of decentralized systems of planning and budgeting; policy, legal and regulatory reform related to decentralization; rural development.

Experience leading evaluations of decentralization and local development programmes, including experience using a range of qualitative and quantitative evaluation methodologies to assess programme results at individual/household, institutional, sector and policy level.

Sound knowledge and awareness of issues related to gender and social inclusion.

Thorough understanding of key elements of results-based programme management.

Demonstrated capacity for strategic thinking, and excellent analytical and writing skills.

Strong task management and team leading competencies.

Country/regional experience relative to the programme to be evaluated an advantage.

Language skills relevant to the evaluation.

Profile specifications for Evaluation Team members:

Typical additional profiles that will need to be sourced, depending on the nature of the programme to be evaluated and the scope of the approved evaluation TOR, include:

Local decentralization specialist, with experience in fiscal decentralization and good understanding of decentralization history, process, and issues in the programme country.

Civil engineer/chartered surveyor, with specialised knowledge of infrastructure and service delivery, design and construction of small-scale infrastructure projects, assessing technical quality and cost-effectiveness of infrastructure and services, appropriateness and quality of procurement processes, provisions for recurrent costs, operations and maintenance, community participation in procurement, delivery, operations and maintenance of infrastructure and services delivered.

Socio-economist, with specialised knowledge of PRA and evaluation methodologies, to lead evaluation of programme results at the individual/household/community level.

Specialist on gender, social inclusion, participation, to assess programme performance with respect to participation and inclusiveness of the various stages in the planning and infrastructure and service delivery process, level of satisfaction with the process and results, and outcome and impact of the programme, disaggregated by gender, socio-economic, ethnic status etc.

Natural resource management specialist, for programmes that include support to improved natural resource management.

Local economic development specialist, for programmes that include support to local economic development.

Food security specialist for programmes that include support to improved food security.

Evaluation Team members must possess relevant language skills.

## **G. Workplan for the Evaluation mission [to be provided by the PO]**

POs are requested to provide a tentative workplan using the format provided in Annex 2. This will be finalized during discussions with the outsourced company and the team leader/members.

## **H. Mission Costs and Financing [to be provided by the PO]**

Approximately USD 100,000.

ANNEXES:

Annex 1 - Indicative Documentation List

Annex 2 – Tentative Work plan

Annex 3 - Format for Final Evaluation Report

Annex 4 – SPIRE Evaluation Matrix for the Local Development sector

Annex 5 – Format for the Evaluation Summary

Annex 1: Indicative documentation list

**UNCDF DOCUMENTS**

Programme approval

Minutes of the Programme Appraisal Committee (PAC)

Signed PRODOC

Government Commitment note

Baseline studies(Research work)

Socio-economic appraisal

Institutional Mapping

Inception report (General presentation of SLEM)

SLEM Technical note

Structures and system set up for SLEM

Formation of District forum for Local Economy (DFLEs)

Sengerema workshop report

Misungwi workshop report

Local Economic Development Fund

Aide memoire (ANZIZ report)

MoU between Sengerema District Council and Uzinza SACCOs

MoU between Misungwi District Council and MKUKUWAMI SACCOS

M and E framework

Synthetic report

Documentation and up scaling

Papers for the National Workshop on LED

Workshop report

Annual work plans, progress reports (Management Information System reports) and financial reports

Annual Progress report January-2009

Semi annual report

Previous evaluations (Support to Good Local Governance and Support to Decentralization programme

Technical studies

Value chain analysis

Programme Audit Reports

Documentation, guidelines, studies produced by programme

Workshop papers

UN Common Country Assessment and UN Development Assistance Framework for the programme country

UNCDF Strategic Results Framework

(2) Other relevant Non-UNCDF Documents

Documents prepared by the Government, national stakeholders and other international and national stakeholders of value in terms of preparing the team with relevant background should be listed here.

Government policy paper on local government

Local government Reform Programme 11 (Decentralization by Devolution)

## Annex 2 – TEMPLATE FOR WORK PLAN PREPARATION - DRAFT TO BE PREPARED BY PO

Activity	RESPONSIBILITY	#	WORK DA YS	SCHEDULE
CAPITAL	Team/UNCDF etc	Number		Date
Team Leader arrive		Arrive am		
Preparation for evaluation: Internal meeting of evaluation team to: Review documentation Refine and agree evaluation methodology, Discuss division of labour, etc				
Final planning meeting of evaluation team Briefing meeting with Programme Officer / programme staff Security Briefing				
Meetings				

### Annex 3: Format for Final Evaluation Report

**Length:** To better support use of the evaluation, the report should not exceed 40 pages, plus annexes.

Table of Contents

Basic Geographic and Demographic Data

Programme Data Sheet

Acronyms and Abbreviations

Executive summary

The Evaluation

Framework of the Evaluation

Scope and Objectives of the Evaluation

Evaluation Methods and Limitations

Country Context

Programme Profile

Programme Description

Programme Status

Implementation

Financial Data

Evaluation Findings as per the 8 evaluation questions

Conclusions and Recommendations

Conclusion 1

Recommendation 1

Conclusion 2

Recommendation 2

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Annex 1: Terms of Reference

Annex 2: Bibliography

Annex 3: List of Persons Met/Interviewed

Annex 4: Final Mission Plan

Annex 5: Total Programme Expenditure

Annex 6: Management Response Matrix

Annex 7: Evaluation Matrix filled out with analysis from evaluation mission

Annex 4: SPIRE Evaluation Matrix for the Local Development sector

#### Annex 5 - Format for the Evaluation Summary

This is a 4-5-page summary of the Evaluation Report. This is distinct from the Executive Summary, and should serve as a self-contained summary that may be read without reference to the main report. The Evaluation Summary should follow this outline:

Project data sheet

Background to the project

Description of the project

Purpose of the evaluation

Key findings of the evaluation mission

Lessons learnt

Recommendations of the mission

Evaluation team composition

UNCDF Evaluation Unit

October 2010

