

## TERMS OF REFERENCE FOR CONSULTANTS & INSTITUTIONAL CONTRACTORS

<b>Title of Consultancy:</b> Evaluation of the EU-UNICEF funded Klinpela Komuniti Projek	<b>Requesting Section/Hiring Manager:</b> WASH / Chief WASH	<b>Type of engagement</b> <input type="checkbox"/> Consultant (ZCON) <input checked="" type="checkbox"/> Individual Contractor (ZIND) <input checked="" type="checkbox"/> Institutional Contract	<b>Duty Station:</b> <input type="checkbox"/> Home Based <input type="checkbox"/> Office Based <input checked="" type="checkbox"/> N/A
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### Background and Purpose of Activity/Assignment:

While Papua New Guinea (PNG) has made progress in improving access to clean water and sanitation facilities, there is still much work to be done. PNG's estimated 8.5 million people are amongst those with the least access to safe water supply in the world. Approximately 81 percent of the population does not have access to basic sanitation, over 50 percent use unimproved or surface water, and 41 percent of households have no handwashing facility (JMP, 2020). There is a clear inequity of access, with improved sanitation coverage at 58 percent in urban areas but only 18 percent in rural areas, where the majority of the population resides. Water-borne diseases, such as diarrhoea and acute respiratory infections, are among the principle causes of deaths in children under five years. PNG ranks currently at the bottom of all Pacific countries for all WASH related health statistics, with over 6,000 diarrhoeal deaths per year. UNICEF has been working in the WASH sector in PNG since 1986 and has assisted with policy development, establishing technical design standards in schools and providing institutional capacity-building and service delivery, with the most recent initiative the WASH in Schools.

### EU-UNICEF WASH Project

The EU-UNICEF water and sanitation project in Papua New Guinea was expected to benefit 160,000 people, including 40,000 children from 200 schools, 36 health centers and 800 neighboring communities by helping them achieve open defecation-free status and improving hygiene practices. The project is being implemented in four Papua New Guinea districts: Hagen Central in Western Highlands Province, Goroka in Eastern Highlands, Nawaeb in Morobe and Bougainville Central in the Autonomous Region of Bougainville.

The project intended to contribute to the achievement of Sustainable Development Goal 6 - Access to clean water and sanitation - will support the Papua New Guinea WaSH Policy 2015-2030 implementation, including contributing to the strengthening of the WaSH Institutional frameworks.

The project implementation began in late 2017. The first phase of the project involved district selection and preparation of costed five-year WASH plans for project districts. The second phase of the project, the implementation phase, started in April/May 2019 in three districts (Central Bougainville, Goroka and Nawaeb) and in September 2019 in Hagen Central. The project is being implemented through international Civil Society Organisations (CSOs). On specific tasks, such as Community Led Total Sanitation (CLTS), expert agencies are hired by UNICEF to build capacity of the implementing partners and with a view to ensure uniformity in the implementation approach. The design of WASH service delivery arrangements (SDA) is led by a specialist consultant, who is guiding the District Development Authorities in institutionalising the mechanisms. The project is scheduled for completion by June 2022.

In line with the project design, this evaluation is expected to occur at the end of the project, to both strengthen accountability of UNICEF to its donor and key stakeholders including beneficiaries, and as a learning experience to identify good practice and generate knowledge to inform the continued implementation. UNICEF PNG Country Office is therefore looking to engaging a consultant team to undertake the end-term evaluation of the project.

### Purpose of Assignment:

By providing sound and credible evidence on what works, what does not work, how and why, this combined formative and summative evaluation aims to trigger UNICEF PNG Country Office and National Partners' learning, enhance accountability with respect to UNICEF's work with national and subnational institutions, provincial authorities, development partners, NGOs, civil society organizations, and other duty bearers on improving WASH for children

(rights holders) and their families and to inform decision-making on national policies and budgets for WASH and for programme design for scale-up.

The primary audience of the evaluation are the WASH Section within UNICEF PNG and the EU donor. The secondary audience of the evaluation are relevant Government institutions and authorities in charge of WASH, future contracted project implementers and experts, and other UNICEF Offices.

### **Objectives**

The following are the five main objectives for the evaluation:

1. To assess the major factors enabling or constraining the achievement of project results;
2. To identify key lessons learned, including success and failures, good practices and innovations from implementation of the project;
3. To validate and reconstruct the project's theory of change, including its underlying assumptions and risks;
4. To generate a set of clear, forward-looking, and actionable recommendations logically linked to the findings and conclusions;

### **Scope of Work:**

The evaluation will provide answers to the following questions:

#### **Relevance**

- How do the stakeholders view the appropriateness of the project - and its planned results - to the local context, given the improving conditions in the country, and the remaining WASH challenges?
- To what extent did the project address the WASH needs of children, particularly those in the lowest wealth quintile, the remote populations and ones with the worst sanitation and hygiene conditions? to what extent did the implementation strategies of the project address gender, disability, and climate change issues?

#### **Effectiveness**

- To what extent did the project help households climb up the sanitation ladder and improve children's access to improved WASH, particularly for girls, and children living with disabilities and special needs?
- How did collaborations with counterparts and implementing partners contribute to achieving the project outputs and outcomes?

#### **Efficiency**

- How well was the project implemented in terms of fidelity to the model, design, and plans, and management of costs and timelines? How did external factors – technical, financial, institutional, environmental, social - modify the level of achievement of outputs and outcomes?
- What were the strengths and gaps in capacity of the implementation team composition (UNICEF and partners together)? How did they contribute to the timeliness and cost of the project?

#### **Sustainability**

- Considering the emergency context and need for response under scenarios such as COVID-19, what are key programmatic adaptations needed to ensure handwashing practices, ODF status and the associated social norm sustain following certification?

#### **Coherence**

- To what extent did the project align with implementation of the National WASH Policy 2015-2030? And how can it better target its contribution to the WASH SDGs?

In terms of time, the evaluation will cover from 2017 until the time of data collection. The geographical areas to be covered by the evaluation are Hagen Central in Western Highlands Province, Goroka in Eastern Highlands, Nawaeb in Morobe and Bougainville Central in the Autonomous Region of Bougainville. The project supports three key results areas:

- Implementation of WASH services in 200 schools and 36 health facilities
- Increase hygiene awareness in 800 communities
- System strengthening and capacity building at the district level

All activities of the project under these results areas are within the scope of the evaluation.

It is crucial that the evaluation embraces the views of all key stakeholders, including a fair representation of girls and boys, men and women, especially the most marginalized and disadvantaged.

### Approach & Methodology

The evaluation will take a combined formative and summative view, with an emphasis on the latter, drawing lessons to inform the next country program and potential adoption and scaling of the program approaches, while also assessing the merit and worth of the program interventions and their contribution to results (direct and indirect; intended and unintended). The evaluation will be non-experimental, although whenever possible, a comparative and external perspective will be sought to assess the evaluation criteria, and identify potential variations in perceptions. The evaluation will be utilization focused, providing continuous and rapid feedback to primary users in the course of the evaluation process. The evaluation is expected to be mixed method in nature, including relevant quantitative and qualitative data collection and analysis. The mixed methods will rely on primary and secondary data sources. The consultancy will also require the development or adaptation of necessary quantitative and qualitative data collection tools and protocols for the evaluation. The consultant team is expected to define a relevant design in consultation with UNICEF. The primary data collection is expected to take place in the four implementation districts, and at the central level in Port Moresby.

The evaluation will be conducted in three phases i.e., 1. the inception, 2. data collection, 3. data analysis, validation and report writing. These phases will be implemented in the stated numerical order as the completion of phase 1 is crucial for the preparation and conduct of phases 2 and 3. Once these phases are conducted the implementation of the evaluation is expected to be complete.

### Phase 1: Inception

- **Desk Review:** A list of reference and documents will be agreed and shared with the consultant team. These may include but not limited to policy documents, theory of change and logical framework, current implementation and monitoring plans, reports and mechanisms. Existing quantitative data will also be considered and analyzed in the desk review. A desk review report is to be prepared.
- **Inception Report submission:** The inception report will include clear evaluation design, timeline and detailed methodology (including sampling method) for conducting the evaluation which should include an evaluation matrix i.e. a table showing how each evaluation question will be answered and how the information will be collected and analyzed. The data collection plan must include the categories of stakeholders to be interviewed and engaged with during the course of evaluation.
- **Data Collection Instruments:** Development/ testing/adaptation of evaluation instruments like in-depth interview guides, polls and surveys, focus group discussion formats, transect walk and observational checklists, and other required instruments.
- **Ethical Clearance:** Obtaining of ethical clearance, as needed, from an accredited Ethics Review Board for protection of human subjects before data collection commences.

### Phase 2: Data collection

The data collection would focus on collecting key information which would enable the consultant team to analyze and assess the merit or worth of the WASH project as per the evaluation matrix. The data collection will draw on the following methods: key informant interviews (KII), focus group discussions (FGD), case studies, and quantitative surveys, transect walks, non-participant observation. KIIs, FGDs and case studies are expected to be accurately recorded to allow quotes from participants to be used in the evaluation report together with high-quality photos to illustrate the findings. Sampling of informants and selection of sub-district areas for the study should be done in consultation with UNICEF.

### Phase 3: Data Analysis and writing of report

Analysis will systematically respond to the evaluation questions. An analytical framework will be articulated through the evaluation matrix to facilitate analysis, triangulation and support the report writing phase. An evaluation report with conclusions and recommendations based on evidence and the analytical framework highlighting the learnings will be drafted. Prior to finalization of the evaluation report, a consultation workshop will be organized to validate the findings, review conclusions and refine recommendations together with relevant stakeholders to ensure utilization of

the evaluation. A Powerpoint presentation linked to the final report will be established for dissemination purposes. Following completion and dissemination of the evaluation report, UNICEF will organize a workshop to draw an action plan to respond to the recommendations.

**An initial and more detailed methodology is to be submitted by the applicant as part of the technical proposal which will be used as a basis for proposal assessment by UNICEF.**

The present COVID-19 pandemic poses a challenge for data collection and consultations utilizing traditional methods. During the span of the evaluation the situation will likely change. As such, in the inception phase, the consultant team will need to provide several scenarios regarding access - possibilities for travel to and within the districts, access to stakeholders, among other risk considerations - and propose innovative approaches to data collection including use of remote or blended methods to mitigate those risks. **Bidders for this evaluation should insert a short section in their proposal on headline thoughts on how they would carry out the evaluation against access scenarios and constraints.**

To ensure quality, the evaluation team is required to adhere to [UNICEF Evaluation Policy](#); to [UNICEF procedure for ethical standards in research, evaluation, data collection and analysis](#); to [UNEG Ethical Guidelines](#); to [UNEG Norms and Standards for Evaluation](#); and to [UNICEF Evaluation Report Standards](#). All components of the evaluation work must be [GEROS](#) compliant<sup>1</sup>.

### **Ethical Consideration**

The evaluation approach, data collection and analysis methods must be human rights based, including child rights based and gender sensitive, and evaluation data to be disaggregated by sex, age, socio-economic status, and disability. At the core of the ethical principles to be followed during the evaluation is to ensure doing no harm to children, parents or other participants in the evaluation. The consultant team will be expected to apply for and obtain ethical clearance. The consultant team will need to outline any ethical considerations in their proposal and inception report.

To ensure that the key ethical principles for the conduct of evaluation involving human subjects are followed, each potential respondent will be given full information about the evaluation including the purpose and potential benefits of the evaluation, their rights, and how the information collected will be used. They will also be informed that all data will be kept confidential, being only accessible by members of the evaluation team. Verbal consent will be collected from all those who agree to participate. (The person receiving the consent and a witness will sign the consent form). All participants will be informed of their right to discontinue their participation at any point and approaches for ensuring confidentiality will be described.

Ethical evidence generation follows widely held guidelines about what is ethical, moral and responsible (e.g., not plagiarizing others' work, not submitting questionable data, avoiding doing harm, ensuring just distribution of the benefits and risks of the research etc). Ethical evidence generation is reflective and explicitly considers its impact on both participants and the broader community throughout the research cycle from planning through to dissemination and monitoring and evaluation. The complete document explaining UNICEF Procedure For Ethical Standard in Research, Evaluation, Data Collection and Analysis is provided here: <https://www.unicef.org/media/54796/file>. The consultant team is expected to familiarize themselves with the procedure and ensure the evaluation, data collection and analysis are as per procedures.

### **Consultant's Workplace, Travel and Logistics**

This consultancy is open to individual and institutional contracts. In either case, it is expected that a team will be involved, including a team of data collectors in PNG. It is expected that the work will be split between PNG and home base, with some travel expected within PNG to the four project districts. The lump sum contract will include the cost of all trips on the most direct route and in economy class. All international and domestic travel cost should be budgeted for and included in the total contract value and described in the financial proposal. The selected team will be responsible for making their own travel arrangements. When relevant and necessary, UNICEF may facilitate the logistics arrangement for field visits, in coordination with the relevant government counterparts. The consultant team is expected to have their own laptops, cameras, mobile phones and other relevant communications and working equipment. If the consultancy will be taken up by an institution, it is expected that there will be a lead consultant who

<sup>1</sup> <https://www.unicef.org/evaluation/global-evaluation-reports-oversight-system-geros>

will represent and coordinate the research, and serve as the main representative for the evaluation that UNICEF will communicate with. If the consultancy is taken up by an individual, this person will play the same role, and be responsible for all sub-contracting as relevant.

#### **Supervision:**

The consultancy will operate under the supervision of the UNICEF Evaluation Specialist and UNICEF PME Specialist, who will be responsible for the day-to-day oversight and management of the evaluation, including management of the evaluation budget, assuring independence of the evaluation and its alignment with UNEG Norms and Standards and Ethical Guidelines, and providing quality assurance. All supervision will be done in consultation with Chief of WASH, UNICEF PNG, and the EU donor who will appoint a key lead and contact point and act on their behalf. In all steps, the evaluation management will be guided by- and follow the- UNICEF PNG Standard Operating Procedure for Evaluation. The final report will be accepted/approved by the UNICEF Regional Evaluation Adviser and the UNICEF PNG Country Representative.

With a view to maximizing the credibility and hence utility of the evaluation, UNICEF PNG will establish an evaluation reference group, bringing together the Chief of WASH, UNICEF PNG, representatives of Government institutions and authorities in charge of WASH, the EU donor, UNICEF EAPRO Regional WASH Adviser, and UNICEF Multi-Country Evaluation Specialist. The reference group will have the following role: contribute to the preparation and design of the evaluation, including providing feedback and comments on the inception report and on the technical quality of the work of the consultants; provide comments and substantive feedback to ensure the quality from a technical point of view of the draft and final evaluation reports, in particular that the conclusions are credible and the recommendations are actionable; assist in identifying internal and external stakeholders to be consulted during the evaluation process; participate in review meetings organized by the evaluation manager and with the evaluation team as required; play a key role in learning and knowledge sharing from the evaluation results, contributing to disseminating the findings of the evaluation and follow-up on the implementation of the management response.

#### **Bid Assessment process and methods for Institutional Contract**

The bid assessment methodology is based on a highest combined score (based on the 70% technical offer and 30% price weight distribution).

Each interested institution is requested to submit in a brief a technical proposal for such assignment along with a copy of the organization profile, the proposed technical team curriculum vitae, detailed financial proposal as well as a sample of previous work undertaken in the last two years.

After the opening, each proposal will be assessed first on its technical merits and subsequently on its financial proposal. The proposal with the best overall value, composed of technical merit and price, will be recommended for approval. UNICEF will set up a bid assessment panel composed of technical and procurement staff and their conclusions will be forwarded to the internal UNICEF Contracts Review Committee or other relevant approving authority. The bid assessment panel will first evaluate each response for compliance with the requirements of this Terms of Reference. Responses deemed not to meet all the mandatory requirements will be considered non-compliant and rejected at this stage without further consideration. Failure to comply with any of the terms and conditions contained in these Terms of Reference, including provision of all required information, may result in a response or proposal being disqualified from further consideration.

The overall weighting between technical and price assessment will be based on the predefined criteria. The technical component will account for 70% of the total points allocated and the financial component will account for 30% of the total points allocated.

Item	Technical Criteria/Qualifications	Max. Points
1	<b>Overall Response</b>	<b>15</b>
1.1	Evidence of in-depth knowledge of the key issues and concepts underpinning this evaluation (5) Demonstrated thorough understanding of the ToR, its objectives, scope and deliverables (3)	
1.2	Overall concord between ToR needs and proposal (5) Explanation of a fully tailored and innovative approach for this evaluation (2)	

2	<b>Capability and experience in the field</b>	<b>25</b>
2.1	Information on similar activities having been undertaken by the individuals going to be involved in this evaluation (4) Recent and current contracts with similar agencies (UN, NGOs) using UNEG Norms and Standards (3)	
2.2	Number of years of relevant professional experience in delivering quality evaluations of WASH interventions, and preferably in low and middle-income countries and preferably in PNG or the Pacific (5) Experience in WASH area or similar (4) Quality of written report sample (4) Experience leading evaluations (3) Relevant academic qualifications or training certificates (2)	
3	<b>Proposed Methodology and Approach</b>	<b>30</b>
3.1	Description of the proposed process for conducting the quantitative and qualitative data collection including the tools that will be used (7) References to relevant data and information sources (3) Description of data analysis (3) Other creative, innovative referenced ideas for methodology/tools and presentation of findings (7)	
3.2	Adherence to the proposed timeframe and workplan of the ToR (3) Adherence to all the milestones outlined in the ToR (2)	
3.3	At least two considerations and/or risks outlined (3) Description of methods to manage/mitigate these constraints/risks (2)	
	<b>Total Technical Score</b>	

Only Proposers obtaining a minimum of 49 points in Technical Criteria evaluation will be considered for the Financial Evaluation.

Commercial evaluation:

The price/cost of each of the technically compliant proposals shall be considered only after evaluation of the above technical criteria. A maximum 30 point assigned to the financial proposal will be allocated to the lowest financial proposal. All other price proposals will receive scores in inverse proportion according to the following formula:

Score for price proposal A = (Maximum score for price proposal \* Price of lowest priced proposal)/Price of proposal A.

As a result of the financial evaluation, the points of each proposal will be taken into further consideration in the final evaluation.

**Reasons why consultancy cannot be done by staff:**

In compliance with UN Evaluation Group and UNICEF Evaluation policy, for evaluations to be independent and impartial, they should be conducted by individuals who have institutional and personal independence from the program being evaluated and therefore evaluation work are best outsourced to external evaluation expert consultants without ties to the program.

Included in Annual/Rolling Workplan: ☒ Yes ☐ No, please justify:

Included in Workforce Planner: ☒ Yes ☐ No, please justify:

**Consultant selection method:**

- ☐ Competitive Selection (Desk Review/Roster)
- ☒ Competitive Selection (Advertisement)
- ☐ Single Source (emergency response) Head of Office approval

**Start Date:** 1 January 2022

**End Date:** 30 June 2022

**Number of Days:** 70  
days (**working**)



Work Assignment Overview			
Tasks/Milestone:	Deliverables/Outputs:	Due Date	Payment Amount
Desk review of relevant program documents, reports, and secondary data; Review of Theory of Change (ToC) and logical framework (RF); Prepare draft inception report, and present to the Reference Group (RG), received feedback from RG, and incorporate comments into final inception report; Obtain ethics approval as necessary to commence data collection;	Final inception report <sup>2</sup> (incl. desk review, refined ToC/RF, evaluation matrix, methodology, work-plan, data collection tools), in accordance with UNEG quality guidelines. Approval letter from ethics board to commence data collection.	31 January 2022	25%
Logistical arrangements for field work, with support of UNICEF PNG WASH Section; Pilot tools, conduct data collection, field work; Organize internal validation workshop to validate data collection results;	Data and interview summaries. PowerPoint presentation, meeting minutes of data validation workshop;	15 April 2022	25%
Processing and analysis of the collected data, and drafting of the interim report;	Draft evaluation report with key findings, conclusions, and recommendations;	1 June 2022	25%
Prepare and submit final draft of evaluation report including feedback received and prioritized recommendations, conforming to UNICEF Evaluation Reports Standards and the GEROS Quality Assessment System;	Final evaluation report <sup>3</sup> with up to two revisions; complete first draft to be reviewed by the evaluation manager; second draft to be reviewed by the evaluation reference group, and a final draft to be approved by UNICEF regional evaluation adviser and UNICEF PNG Rep;	30 June 2022	25%
<b>Estimated Total Consultancy Cost</b>			
Fees (include basis, e.g., monthly, daily, lump sum)	US\$xxx per day X 70 days		US\$xxxxx
Travel to Duty Station (if applicable)			US\$xxxxx
Mission Travel (please include travel plan)	To be decided later		
Other costs (if applicable)	Living Costs (Lumpsum):		US\$xxxxxx

<sup>2</sup> Max 15-20 page/12,000 words, excluding annex

<sup>3</sup> max 45 page, 30,000 words, excl annexes; executive summary 5 pages max; prepared according to the UNICEF Style Guide and UNICEF Brand Toolkit, and UNICEF standards for evaluation reports as per GEROS guidelines;



Total estimated consultancy costs		US\$xxxxxx
Please note that consultant estimated total cost may include additional costs, such as living costs as applicable		
<b>Minimum Qualifications required:</b> <input type="checkbox"/> Bachelors <input checked="" type="checkbox"/> Masters <input type="checkbox"/> PhD <input type="checkbox"/> Other  Enter Disciplines: WASH / Early Childhood Development / Public Health / Social Sciences	<b>Knowledge/Expertise/Skills required:</b> <ul style="list-style-type: none"> <li>• Extensive experience with and knowledge of the water, sanitation and hygiene sector, with academic qualification (at least a master's degree) in civil engineering, mechanical engineering, sanitary engineering, social sciences, or combination of it.</li> <li>• Credible international expert with at least 8 years of professional experience in planning, implementation, management, monitoring and evaluation of integrated water, sanitation and hygiene programmes in developing countries.</li> <li>• Proven experience with similar project evaluations in the WASH sector in developing countries using UNEG Norms and Standards.</li> <li>• An excellent understanding of evaluation principles and methodologies, including experience in applied qualitative and quantitative research techniques, tool development and adaptation with translation and experience in costing.</li> <li>• Ability to mobilize required local expertise, including enumerators, translators, etc. as relevant</li> <li>• Demonstrated experience in training and supervising enumerators in fieldwork, completion of fieldwork, designing data entry templates, and data analysis.</li> <li>• Previous experience in carrying out similar assignments for UNICEF and/or other UN agencies and/or other development organizations.</li> <li>• Knowledge of challenges and issues on development including gender equality and human rights, and vulnerability in PNG and/or Asia Pacific Region will be an asset.</li> <li>• Excellent oral and written skills in English, with the ability to analyse and synthesize information succinctly and accurately, tailored to the audience/reader, and drawing upon an editor as needed for clarity and consistency.</li> <li>• Previous work experience in PNG a considerable asset.</li> <li>• Proven experience for EU project evaluations is an asset</li> <li>• As far as possible, the team of experts should be gender balanced and with proven experience on equity issues. Applications by teams with multidisciplinary skills are encouraged.</li> </ul>	
<b>Request cleared by Section Chief:</b> Chief WASH Martin Worth Date: 16-01-2022	<b>Request Authorised by Deputy Representative Programme or Operations:</b> Deputy Representative Programme or Operations Judith Bruno Date: 18-01-2022	