

Terms of Reference

Mid-term evaluation, Dnipro, Ukraine

1. Project Information

Project Title:	Advocating for Sustainable Social Services provided by 5 Caritas Social Centers to vulnerable people affected by Ukrainian conflict within the national Decentralisation Reform in Ukraine.
Project Number:	P. 545-2019-002
Project Period:	01.08.2020 – 01.05.2025
Project Evaluation Period:	01.08.2020 – 01.04.2021
Overall Budget:	<u>3.8</u> Mio. EUR
Project Donors:	BMZ
Project Partner:	Caritas Germany

2. Background information and Context

a. Background

Following positive economic developments in Ukraine, which indicate the first slow recovery of the country's economy since the beginning of a protracted crisis, the Ukrainian government began to implement a series of reforms in various areas:

- On January 1, 2020, a new version of the Law of Ukraine "On Social Services" came into force. Thus, from the beginning of 2020, the distribution of powers of central and local authorities has changed, as well as the established system of social services and its participants, the stages of needs assessments, planning, organization and financing of social services.
- As a result of the decentralization reform as of 2021, there are 1,469 Amalgamated Territorial Communities (ATCs) in Ukraine formed by uniting municipalities both urban and rural.
- Together with the decentralisation process, the Social policy reform enables the provision of social services by NGOs (e.g. Caritas). This development promotes positive competition among social service providers and quality development of services.

The project was designed to assist regional Caritas organisations in achieving sustainability through improved access to local (city or ATC) budgets using the opportunities of the decentralisation reform.

The project is implemented by five local Caritas diocesan organisations at five project locations. **Dnipro (Caritas Donetsk) has started the project in August 2020; Kyiv (Caritas Kyiv), Kramatorsk (Caritas Kramatorsk), Mariupol (Caritas Mariupol), Zaporizhzhia (Caritas Zaporizhzhia) will join the project in 2022** after a smooth transformation of their activities from the previous BMZ project

“Creation of Social Centres to foster coping and self-help capacities of conflict affected people and communities in Ukraine”. The project sites were selected based on the following considerations:

- Established relations with local authorities and their willingness to cooperate;
- Available and experienced personnel;
- Caritas organisations whose services are already provided according to government standards;
- Experience of these organisations in lobbying and advocacy work;
- Experience of these organisations in the provision of central social services (home care and child and youth work)
- Availability of (infrastructure) structures created in previous and current (BMZ) projects;
- Number of IDPs in the target area.

Caritas Ukraine (CUA) is a member of the international Caritas network and one of the largest non-governmental welfare organisations in Ukraine with headquarters in Lviv and Kyiv. It has a structure of 25 regional Caritas offices across the country. Caritas Ukraine has been working with people in need since 1992 (officially registered since 1999), regardless of religion, nationality or social status of those in need.

Caritas Ukraine is not only responsible for the overall management, coordination and monitoring of the project, but is equally involved in project activities, namely, intensive lobby and advocacy work on the national level. On the one side, CUA transfers the practices of regional Caritas organisations, beneficiaries’ needs and gaps in social provision to the legislative bodies of Ukraine, on the other side, all legislative changes and opportunities created by these changes are immediately transferred to regional Caritas organisations. In such a way, regional Caritas organisations react to the changing legislation and adopt their services in order to meet the state requirements towards social service providers and get access to local budgets.

Project donor: The project is funded by the **German Federal Ministry for Economic Cooperation and Development (BMZ)**.

Project partner: **Caritas Germany** supports the partner in the proper implementation of the project according to the funding guidelines and carries out additional monitoring. A German integrated expert of the DCV based in the Caritas Ukraine office in Kyiv supports the monitoring of the project implementation and progress as well as the compliance with the conditions of approval on site.

Former projects

Caritas Ukraine has implemented a number of BMZ measures (social structure promotion) and internally funded projects in the social sector with the focus on home care, projects for children, youth and families in crisis, lobbying work in the area of developing national standards of social work, and others. In emergency aid, Caritas Ukraine has been successfully implementing emergency aid projects and peace-building measures since 2015.

The Social Centre in Dnipro has been functioning since 2016, providing services to vulnerable IDPs and locals. The Centre has developed its capacities including a qualified team, equipment and material potential during the previous BMZ project.

b. **Context:**

The project contributes to the sustainable establishment of five existing Caritas social centres through intensive advocacy in the context of the national decentralisation reform. **The overall objective is to strengthen the resilience of internally displaced persons (IDPs) affected by the conflict and vulnerable people from the host communities through the provision of social services.**

While previous projects focused on the establishment and provision of social services and humanitarian aid for IDPs and host communities, the current project aims to ensure the sustainability of the social services and social centres, the establishment of which was financed by the BMZ in previous projects. This will be achieved through the development and implementation of an exit strategy that will benefit from new opportunities within the national decentralisation processes.

By improving the competitiveness, transparency and accessibility of social services, the project aims to further increase their quality. The basic principles of social services are to be coordinated and further developed in cooperation with the new territorial administrative units and with regard to the principle of subsidiarity, so that non-governmental service providers, including Caritas, can participate in their provision more intensely and with a more long-term perspective.

Target groups of lobby and advocacy work include governmental and non-governmental institutions at the national, regional and local levels as well as beneficiary associations.

Beneficiaries of social services are elderly people receiving home care services, children and young people in crisis and their family members as well as vulnerable adults in need of psychological counselling.

Caritas project teams benefit from lobby and advocacy work, continuous trainings, fundraising activities and the development of committed volunteer teams.

The implementation period is divided into two phases. In the **first phase (01.08.2020 - 31.12.2021)**, the **Social Centre in Dnipro**, subjects its current activities to an intensive analysis and places a stronger focus on strengthening its networks and lobbying the state. The Centre's social services focus strongly on home care and child and youth work. In the second phase **(01.01.2022 - 30.04.2025)**, all five social centres will be brought together in this project, while their social services will be further harmonised and standardised.

In order to achieve the overall project objectives and strengthen the resilience of vulnerable IDPs and host communities through the provision of social services, Caritas Ukraine has structured its work under three pillars: advocacy work on the national level, advocacy work on the local level and provision of social services at locations. The three pillars are interconnected and interdependent, and the project logic foresees that changes and additions to national legislation regarding social services will eventually be adopted by regional and local authorities, which will then update their internal policies accordingly.

Current state

The project start was marked by special circumstances: on the one hand, the COVID-19 pandemic imposed new complications and restrictions on many activities, on the other hand, the local elections in autumn 2020 created a double challenge in the establishment of new contacts and lobbying activities until after the elections in late autumn. Nevertheless, the re-election of the incumbent mayor in Dnipro, was in the project's favour, as a city authority apparatus with which good contacts were already established was preserved.

These challenges, however, did not prevent Caritas Donetsk in Dnipro from strengthening its ties with NGOs, widening its contacts with state institutions on the local and regional level, receiving funding from the city budget and diversifying its sources of income through external funding. The latter was especially effective in 2020, reaching a 242% income increase compared to the same period in 2019.

Home care services in Dnipro were continuously provided to **70 of the most vulnerable lonely elderly people**. Besides body care, consulting, cooking, cleaning, social and psychological support, laundry services for beneficiaries are provided on a regular basis and are in great demand.

148 beneficiaries profited from child and youth work, including 22 persons with disabilities. The work included activities in the centre, outreach activities, events for families, case management, trainings, masterclasses, group and individual psychological consultations.

On the **national level, lobby and advocacy work** has been practiced as a first attempt to influence legislation and position Caritas as a player in the country's social policy. These practices resulted in the participation of the CUA lobby and advocacy team in open governmental platforms for participation of civil society organizations in the socio-economic development of Ukraine and successful submission of proposals for changing legislation in the social sphere.

The budget of the project is approved according to the following scheme:

2020 (start of Phase I): 206,000.00 €

2021: 337.000,00 €

3. Objective of the Evaluation

During the first project phase (2021), an external interim evaluation is planned to check whether the instruments and methods used in the project are appropriate and serve to achieve the project objectives. The evaluation should also provide an opportunity to update the indicators of the monitoring system or to restructure project activities before all social centres are included in the project in order to improve the effectiveness of the project. It shall first of all serve as a learning and critical reflection exercise for the possible adaptation of intervention measures for the second project phase (2022-2025). The evaluator will therefore also have the role of a consultant to give recommendations to the partner on how to improve the project design, how to address identified weaknesses and build on existing strengths and how to further improve project effectiveness.

Specific objectives of the Evaluation:

The evaluation shall be done on national (Caritas Ukraine) and local (Caritas Donetsk in Dnipro) levels as both levels are equally involved in the project activities. Moreover, the communication between the two levels shall be evaluated and recommendations on how to improve it shall be proposed. Beyond that, the evaluation and its related recommendations are important measures to feed into the internal learning process of lobby and advocacy work on both levels.

The use of the evaluation results will serve the base to prepare the multiplication of project activities in the other four social centres. The recommendations will also be used for the planning of the final evaluation of the project "Creation of Social Centres to foster coping and self-help capacities of conflict affected people and communities in Ukraine" and identifying steps to be taken by the four centres for a smooth transfer into the project in 2022. A successful cooperation during this evaluation would make the evaluator a prime candidate for the final evaluation in the „Creation of Social Centres” project.

Should the evaluation reveal the need of substantial changes of activities, instruments and methods, the project budget will be adopted accordingly.

4. Scope of the Evaluation

Thematic coverage shall be focused within a single project “Advocating for Sustainable Social Services provided by 5 Caritas Social Centres to vulnerable people affected by Ukrainian conflict within the national Decentralisation Reform in Ukraine”. All project impacts shall be taken into account.

Time period: evaluation shall be done for the period August 2020 – March 2021.

Geographical focus: Caritas Ukraine project team located in Lviv shall be evaluated online, whereas a visit to Caritas Donetsk in Dnipro is requested. In case of a worsening epidemiological situation in Ukraine and introduction of quarantine restrictions, the evaluation of the local level could be done online as well.

Target group shall include lobby and advocacy team on the national level (Caritas Ukraine), project employees on the local level (Caritas Donetsk), local and regional partners including governmental and non-governmental stakeholders in Dnipro, as well as beneficiaries.

Out-of-scope: the current evaluation shall not cover efficiency and impact criteria. In terms of sustainability, measures to reach the future sustainability of social services shall be evaluated.

5. Evaluation Criteria and Key Evaluation Questions

As it is the project’s first evaluation, the focus should be put on whether the project is relevant to the context, whether it is coherent with other interventions by Caritas and whether it achieves its objectives. As mentioned above, learning from this evaluation will feed into plans for the expansion of this project. The evaluation should be strongly focused on recommendations for improvements relating to the central questions outlined below, and in particular if and how activities could be adopted to better achieve the project results.

This evaluation will focus only on two OECD- DAC criteria, which are: relevance and effectiveness. Additionally, steps towards sustainability shall be evaluated.

Relevance:

- (i) As the project lobby and advocacy activities represent not a single project but the Caritas organizations as such, to what extent are these activities in line with the overall strategies of local and national organisations?
- (ii) To what extent does the project respond to the needs of local organisations?
- (iii) To what extent are the project’s services still relevant for beneficiaries?
- (iv) To what extent has the achievement of project objectives been influenced by external factors? (both, in a negative or positive ways)
- (v) What would be important changes or tendencies in the context which may influence the project?
- (vi) In what ways could the project be adapted to remain relevant in the changing context?

Effectiveness:

(vii) Are the instruments and methods used in the project appropriate to achieve the project objectives?

- To what extent were the originally defined objectives of the project realistic?
- To what extent does the existing format of project activities lead to the realization of the objectives?
- In what ways would project activities have to be changed to achieve better results?

(viii) Means of verification of project results

- How could the result indicators and the means of their verification in the logical framework be adapted to better measure the project's impact?
- How could the monitoring plan more adequately assess the effectiveness of project activities and their impact on beneficiaries?

(ix) What were the major factors influencing the achievement or non-achievement of the outcome(s)/expected results?

(x) To what extent have all project/programme stakeholders collaborated as planned?

- How have relationships with project partners helped or hindered the achievement of the project results? How can these relationships be improved?
- Are both parties satisfied with the results and form of cooperation?

(xi) Teamwork

- How could the communication and interaction between the project components at the local and national levels be improved? (lobby and advocacy, home care, child and youth work)

(xii) What risks and potentials can be identified regarding the sustained effectiveness of the project and how likely are they? Will the effectiveness of the project most likely improve or worsen in the future?

Sustainability:

(xiii) To what extent are immediate results of the advocacy work sustainable? (interview on national level)

- To what extent do the implemented advocacy activities lead to the sustainability of lobbying for social services at the national level?
- To what extent do project activities lead to institutional sustainability of the local Caritas organization?
- To what extent did the projects strengthen local ownership and leadership?

(xiv) To what extent does the project indicate readiness to expand to new locations? (Relevance of activities, effectiveness of the teamwork and interaction between different project components, quality of planning and evaluation)

(xv) What should be immediate measures before scaling-up the project into the 4 other social centres?

6. Approach and Methodology

The Evaluator is expected to perform the evaluation in a strictly methodical manner in order to produce verifiable information and make recommendations that are valid and reliable based on data accessible by the client.

The evaluation will adopt a participatory, transparent and solution-oriented approach using internal and external stakeholders. The evaluation process, as well as the final results should be gender-sensitive and human-rights-based. The evaluator will use mixed-methods that are suitable to address the primary evaluation questions, as well as properly support its derivative conclusion and recommendation.

The evaluation methods to be used may include, but are not limited to:

- **Review of project documentation (Desk Research):** An array of major documents that should be studied (e.g. project documents, monitoring tools, project reports, as well as statistical data in the project database, internal documentation relevant to evaluation questions). The evaluator is invited to request additional documents that may be needed for the completion of the evaluation.
- **Interviews with all the key informants and key players:** (semi-)structured interviews with project stakeholders should be supported by interview protocols and a list of respondents. Project stakeholders include: project national team, project local team, relevant networking partners on the local level, beneficiaries and volunteers (optional). *Caritas Donetsk could assist in organizing the interviews with project partners on the local level (3-5 interviews with key local partners and stakeholders). Caritas may require the evaluator to conduct additional interviews in case of data inconsistency or lack of data or comprehensive analysis.*

The selection criteria should be based on gender, age, beneficiaries/non-beneficiaries and geographical spread in the project region.

The exact sample size should be proposed by the evaluator and discussed together with Caritas Ukraine and Caritas Germany before the start of the evaluation.

- **Direct observation during field visits:** Caritas Ukraine will organize field visits at different project sites in Dnipro. *Community work could be evaluated via group interviews during a field visit.*

7. Deliverables and Timeframe

Deliverables for the evaluation should include the following:

i. Inception Report:

An inception report will be submitted by the evaluating consultant in order to demonstrate his/her understanding and planning of the evaluation, which will be reviewed and discussed in cooperation with Caritas Ukraine and Caritas Germany.

The inception report should include an *evaluation matrix*¹ (including the final evaluation questions and indicators); the overall evaluation design and methodology with a detailed description of the

¹ Evaluation Matrix template, see Annex 4

data collection methods and data analysis techniques, as well as a proposed timeframe for the activities and deliverables. The evaluator is free to suggest additional methods for the evaluation.

The inception report of the evaluation should not exceed 5 pages and follow a predefined structure as described in *Annex 1*.

ii. Workshops/ Meeting:

Upon the field visit and online interviews, the evaluator shall conduct a validation workshop and present the findings collected in the field to Caritas Ukraine and Caritas Germany. The workshop will be organized in order to discuss and validate findings, lessons learned and recommendations proposed by the evaluator. Stakeholders are invited to make recommendations for amending the review.

iii. Draft Report:

The evaluator is expected to submit the primary findings resulting from their evaluation, as well as their initial recommendations to the desk officer of Caritas Germany. The draft report should be presented after the field work has been concluded, and should incorporate comments supplied by Caritas Ukraine and its partner organizations.

iv. Final Report:

The final report serves to illustrate the relevant evidence corresponding with the evaluation issues, questions and criteria listed in the Terms of Reference. The final report should provide **an executive summary**. The Final report should take all aspects reviewed during validation workshop into consideration and is subject to approval by Caritas Ukraine and Caritas Germany.

The proposed report structure is outlined in *Annex 2*; its length should not exceed 25 pages (excluding appendices). All documents and tools are to be written in English.

8. Timeframe for Deliverables

The actual evaluation work is to be carried out from 26.04.2021 to 07.06.2021, resulting in a total of 30 days.

The timeline for the activities consists of the following phases:

Preparation Phase: 10 days

- Analysis of relevant project documents, as well as further research
- Preparation of inception report and exchange with Caritas Ukraine and Caritas Germany

Field Phase: 10 days

- Briefing with Caritas Ukraine, Caritas Germany and other relevant actors in Dnipro, Ukraine
- Field visits
- Validation workshop involving Caritas Ukraine and Caritas Germany

Synthesis Phase: 10 days

- Draft evaluation report
- Produce final report including revision as per feedback

The key products expected for the evaluation are the following:

Deliverable	Dates
Inception Report	05.05.2021
Draft Report	20.05.2021
Final Report	07.06.2021

The evaluator should present a detailed work plan and timeframe of all activities including the relevant resource allocation (*see Annex 3*).

9. Roles and Responsibilities

Caritas Ukraine is responsible for organizing and facilitating the logistics to and in Ukraine. Caritas Ukraine and Caritas Germany will provide access to all relevant project documents.

The consultant will be working under and reporting to the Caritas Ukraine project manager during the evaluation phase.

10. Guiding Principles & Donor concepts

The consultant is to conduct the evaluation in accordance with the principles outlined in the “Caritas Internationalis management standards” document, the “Caritas Code of conduct”, as well as the “Guidelines on Combating Fraud and Corruption in the Project Work of Caritas Germany”. (See *Annex 5*) The evaluator will be provided with a copy of these documents.

The evaluator must take all required steps to ensure that the evaluation is designed and conducted to respect and protect the rights and welfare of the people and the communities of which they are members, as well as to ensure that the evaluation is technically accurate, reliable, and legitimate, and conducted in a transparent and impartial manner. Moreover, the evaluation should ideally contribute to organizational learning and accountability.

11. Professional Qualification and Experience

The evaluation consultant should meet the following, required skills and competence profile:

- The consultant should be a reliable and effective **evaluator** with experience in conducting evaluations and a proven record in delivering professional results. (The consultant will be asked to send samples of relevant evaluation) In-depth knowledge and experience in social sphere legislation; **Required**
- Proven experience in developing and testing logical frameworks as well as quantitative and qualitative evaluation methods; **Required**
- Strong analytical skills and ability to clearly synthesize and present findings, draw practical conclusions, make recommendations and prepare well-written reports in a timely manner; **Required**
- Strong expertise in using participatory tools; **Required**
- Fluency in written and spoken Ukrainian and English, ideally in conjunction with good skills in spoken Ukrainian and Russian; **Required**
- Country and regional experience in Ukraine; **Required**
- Good understanding and appropriate sensitivity in regards to different cultures and traditions; **Optional**

- Minimum qualification of a master's degree or equivalent combination of education and relevant work experience; **Optional**

12. **Terms of Payment**

The evaluator is to receive payment from Caritas Ukraine in 2 installments:

- **1st Payment:** 20% upon signing of the contract
- **Final Payment:** 80% upon the submission of the first draft of the evaluation report and final evaluation report, subject to its acceptance by Caritas

Caritas Ukraine will not settle any payment unless the consultancy institution accomplished all the tasks in a timely fashion. The basis for payment scheduling is to be determined during contract negotiations.

13. **Application Procedure**

Interested candidates should submit their application material by 12.04.2021

The application itself should include the following components:

- Curriculum Vitae (CV) including 3 professional references, and indication of daily rates
- Cover letter transparently summarizing relevant experience in social sphere legislation and development of Logical Frameworks as well as practical experience in planning and conducting project evaluations
- Track record of conducted studies, research, publication and references
- A technical proposal for the evaluation, including the proposed evaluation methodology and work plan
- Financial proposal² underlying the evaluation, including proposed fee for a maximum of 30 working days

² See Financial Proposal *Annex 6*

14. Annexes

- **Annex 1:** Table of content for the Inception Report # 693677 [\[in Terms of Reference\]](#)
- **Annex 2:** Table of content for Evaluation Report # 693679 [\[in Terms of Reference\]](#)
- **Annex 3:** Template for Work plan – Timeframe # 693684 [\[in Terms of Reference\]](#)
- **Annex 4:** Evaluation Matrix Template #693681 [\[in Terms of Reference\]](#)
- **Annex 5:** Caritas Internationalis and Caritas Germany Ethical Guidelines and Code of Conduct #693687 [\[in ToR\]](#).
- **Annex 6:** Financial Proposal # 693701 [\[in Terms of Reference\]](#)

15. Terms of Reference Guidelines

- **Tool 1:** Evaluation Criteria Guidelines # 693891 [\[Internal\]](#)
- **Tool 2:** Standard OECD-DAC-Criteria for Development Assistance # 693659 [\[Internal\]](#)
- **Tool 3:** Evaluation Criteria for Humanitarian Assistance (ALNAP) # 693649 [\[Internal\]](#)
- **Tool 4:** Cross-Cutting Issues # 693662 [\[Internal\]](#)
- **Tool 5:** Documents to follow when Projects financed by External Donors # 693692 [\[Internal\]](#)
- **Tool 6:** General Terms and conditions for Consultancy and Expertise contracts EN: #415269; DE: #409691 [\[Internal\]](#)

16. Bibliography for the Terms of Reference # 693894 [\[Internal\]](#)