

TERMS OF REFERENCE
EVALUATION OF THE PROGRAMME SUPPORT TO THE DEVELOPMENT OF
THE NATIONAL URBAN POLICY AND THE NEW URBAN AGENDA IN
BOLIVIA, 2018-2020

1. Introduction

Evaluation is an integral component of programming and project cycle management at UN-Habitat. These Terms of Reference are for the evaluation of the Programme Support to the Development of the national urban policy and the New Urban Agenda in Bolivia, hereafter referred to as the National Urban Policy Program in Bolivia.

The programme is to provide institutional support and technical assistance to the Bolivian Government entity in charge of housing and urban development, to prepare a National Urban Policy within the framework of the New Urban Agenda and include a national action plan. It would also provide advice and coordination with international entities (UN country team, Bolivia Development Partners Group (GRUS), etc.), to design New Urban Agenda activities in Bolivia.

This programme is the first of its kind for UN-Habitat in Bolivia. The programme is implemented by the UN-Habitat Country Office in Bolivia in coordination with the UN-Habitat Regional Office for Latin America and the Caribbean (ROLAC) and branches at Headquarters from December 2017 for a period 30 months and then extended to June 2021. It is funded by the Swedish International Development Cooperation Agency (Sida), with a total budget of SEK 63 million (about USD 7 million).

UN-Habitat Evaluation Policy requires an evaluation at the end of programmes over USD 1 million. Conducted towards the end of the programme, this evaluation will focus on the achievements, lessons learned from the implementation of the programme, and the methods in which the results were achieved.

The cooperation agreement signed between Sida and UN-Habitat and its first amendment also stipulate, in its article 8.9, that “An evaluation shall be made in 2020. UN-Habitat shall elaborate the ToR for Sida’s approval. Costs for the evaluation forms part of UN-Habitat’s budget”.

The Bolivian government, through the Ministry of Public Works, Services and Housing, presented the national urban policy, entitled *Cities Policy*, on October 7th 2020 after a two-year long participatory process, that included hosting two national urban forums. Moving forward, the Programme will focus on the preparation of the implementation phase, which will coincide with the transition of a new government following elections. The evaluation is expected to provide key inputs for this new phase and recommendations for eventual additional support from Sida.

2. Context of the Evaluation

Bolivia has a population of over 10 million inhabitants according to a 2012 Census. It has a young population of girls, boys and adolescents of 3.8 million equal to 38 per cent of the population. Bolivia has recently become a predominantly urban country with 67,5 per cent of its population living in cities and human settlements. The average urban population is around 80 per cent in Latin America. By 2030, it is estimated that 80 per cent of the population in Bolivia will be living in cities. The urbanisation in Bolivia is centred around three main metropolitan areas of La Paz-El Alto, Cochabamba and Santa Cruz de la Sierra. Urban growth is further expected in intermediary and small cities.

Key challenges in the urbanization process are lack of proper planning, irregular urban growth without much control by local governments, lack of comprehensive policy and legal instruments and lack of capacity in local institutions. Ninety per cent of the young population do not have a formal work contract (permanent or temporary) and youth employment disproportionately affects women more than men. In addition, a large portion of the population in Bolivia is indigenous with 41 per cent of the population identifying themselves as belonging to one of the 36 indigenous groups.

The programme was aligned with the national Economic and Social Development Plan (PDES 2016-2020), found within the 2025 Bicentennial Agenda, which foresees the eradication of extreme poverty and the universalization of basic and public services of health, education and sport, among others. It will also improve access to housing and improved living conditions. The goal is for Bolivia to transform towards greater happiness and harmony, in complementarity and solidarity, in spiritual and social wealth, without exclusion and with equality. The programme also built on the report “Building Urban Communities to Live Well in the 21st Century” prepared after the Habitat III conference with support of UN agencies working in Bolivia.

The programme was also aligned with the United Nations Development Assistance Framework (UNDAF) 2018-2022 and UN-Habitat Strategic Plan 2014-2019.

It is implemented by UN-Habitat Country Office in Bolivia, in collaboration with all other stakeholders.

3. Subject of the Evaluation

The objective of the Sida-funded programme is to advise and support the Government of Bolivia in the formulation and launch of a Cities Policy within the urban development framework that contributes to the sustainable development of human settlements in Bolivia. The programme is intended to incorporate the methodologies and expertise developed by UN-Habitat and the UN System and aims to contribute to the purpose and achievements of the Government of Bolivia’s development agenda and the fight against poverty.

The programme has three strategic expected results:

- 1) The Government of Bolivia has a national urban policy that supports the development of cities, aligned with the Bicentennial Agenda and the New Urban Agenda criteria and is based on four pillars; financial management; system of planning and urban design; appropriate legal framework and institutional governance; and capacity building and training for the implementation of the urban policy.
- 2) The Government of Bolivia has the mechanisms, tools and the operational capacity for the implementation of the national urban policy together with an instrument for its monitoring and evaluation.
- 3) The Government of Bolivia has strengthened its capacity to develop urban mechanisms, tools and actions for the formulation and implementation of social components of the national urban policy, linking the multidimensional approach to poverty reduction and human rights.

The programme was designed in response to the Government of Bolivia’s request for support in formulating a national urban policy to help establish better conditions for reducing multidimensional poverty in Bolivian cities by using an integrated approach in developing an urban agenda with the participation of different sectors (e.g. local government, civil society, private sector, academia), international cooperation actors and UN agencies.

The programme had three components:

Component 1: Formulation of the national urban policy

Under this component, the institutional mechanisms for the formulation and implementation of the NUP would be established and their functioning supported to allow for their continuity after the project's implementation. As part of the participatory, inclusive formulation process, two National Urban Forums would be organized.

The following outputs would be delivered under this component:

Output 1.1: The different coordination and participation bodies and means for the formulation, monitoring and evaluation of the NUP are stabilised and functioning.

Output 1.2: Diagnostic of the urbanization process in the country, its opportunities and challenges as well as of the management mechanisms, based on information and documented evidence through and resulting from a comprehensive and representative participatory process.

Output 1.3: National Urban Policy is formulated through a comprehensive and representative participatory process.

Component 2: Development of the operational capacity for the implementation of the NPIDC

This component was to focus on capacity building and training activities and events, awareness raising campaign and delivery of key legal, technical, financial, and methodological tools for the implementation of the NUP. It would include setting up a technical unit at the Vice-Ministry of Housing and Urbanism, technical support, implementation of integrated urban projects funded by the Government of Bolivia and strategic guidance for the three metropolitan areas.

Output 2.1: The capacities of urban stakeholders and citizen awareness for the implementation of the NUP are reinforced.

Output 2.2: The technical, legal, financial and methodological mechanisms and tools for the initial implementation of the NUP are developed.

Output 2.3: Urban projects are designed, structured, and developed for the implementation of the NUP.

Component 3: Articulation of UN support to the National Urban Policy formulation and early implementation processes

This is the interagency component of the programme with agencies supporting studies on government priorities, strengthening capacities of the Government for the formulation of urban policies with gender and intersectional approach, support identification and implementation of urban interventions and integral urban activities, including identifying a set of urban indicators and strategic action to support the implementation of the New Urban Agenda within the framework of the UNDAF 2018-2022.

Output 3.1: Developed interagency actions to support the formulation of the National Urban Policy through the UNDAF 2018-2022 Results Groups.

Output 3.2: Designed and implemented social projects in the integrated urban interventions

Output 3.3: Designed and implemented an interagency agenda to support the State in the implementation of the NUP and the New Urban Agenda in Bolivia.

The programme builds on UN-Habitat's expertise in developing strategies and instruments to support urbanisation, such as formulation of national urban policies and the City Prosperity Index. In addition, the programme capitalises on the existing experience of different UN programmes and associated institutions in particular sites in Bolivia through the UNDAF 2018-2022 Results Groups. The Results Groups specifically targeted include the inclusive social development group, the integrated development and economy group, the public management and plural justice group, the inter-cultural group, and the equality group.

Key stakeholders in the programme include the Vice-ministry of Housing and Urbanism (located within the Ministry of Public Works, Services and Housing) leading the implementation of programme activities and delivery of outputs, supervising the technical team and coordinating with other partners. Other stakeholders include:

- *UN-Habitat*: Managing programme resources and reporting to Sida, and to provide institutional support, technical assistance and guidance to the Vice-Ministry of Housing and Urbanism as well as technical advisory to the inter-agency component.
- *The UN Resident Coordinator's Office in Bolivia*: Coordination of the inter-agency component.
- UNDP: Administrative support to facilitate the implementation of activities under the inter-agency component.
- *Participating UN agencies*: The Resident Coordinator's Office, and other agencies and programmes of the United Nations System in Bolivia through the UNDAF 2018-2022 Results Groups (FAO, IOM, ILO, WFP, UNDP, UN-Women, UNICEF, UNODC and UNFPA).
- *Other*: Government and local government entities, UNCT, ECLAC, finance institutions, civil society, social and local actors of housing and urban development.

4. Purpose, Objectives and Scope of the Evaluation

This evaluation is mandated by the donor, Sida, as per the Agreement of Cooperation signed with UN-Habitat. It will be undertaken in-line with UN-Habitat Evaluation Policy (2013) and the Revised UN-Habitat Evaluation Framework (2016) which requires that programmes and projects of over USD 1 million be evaluated by external consultants by the end of the intervention. The evaluation will be conducted by an independent evaluation team consisting of an international consultant supported by a national consultant.

The evaluation serves both accountability and learning objectives. It is intended to:

- (i) provide evidence on whether the programme has achieved the expected accomplishments (outcomes) and objectives;
- (ii) enhance learning, identify innovations, constraints, and challenges;
- (iii) make recommendations for the way forward on the implementation of the NUP.

The evaluation will be both summative and formative, focusing on achievement of outcomes and the functioning of processes, to understand how they worked and produced outputs and results, evaluate the programme's achievements, and identify recommendations for improving the design and continuation of the NUP programme.

Key audiences of the evaluation are the Ministry of Public Works, Services and Housing and the Ministry of Planning, local authorities, civil society organizations, private sector organizations, academia, UN-Habitat, Sida, other UN entities, implementing partners involved in the programme, and stakeholders to be involved in NUP implementation.

This evaluation covers the period 2018-2020 of the programme, therefore the specific objectives of the evaluation are to assess performance but also to make recommendations for the next steps in the implementation of the national urban policy:

- (i) Assess the performance of the programme in terms of the extent to which it achieved planned results at the expected accomplishment (outcome) and output levels;
- (ii) Assess the relevance, efficiency, effectiveness, sustainability, impact and coherence of the programme;
- (iii) Assess the planning and implementation modalities, including working arrangements and how they may have affected the effectiveness of the programme;
- (iv) Assess how cross-cutting issues of gender equality, youth and human rights and climate change are integrated in the programme;
- (v) Identify lessons and propose recommendations for the implementation of the national urban policy and future programming.

The evaluation will cover the implementation period of the programme, from its start in January 2018 to December 2020, but should also consider that the programme implementation will probably continue until the end of 2021 with recommendations on how to further NUP implementation. It will focus on the three components of the programme, assessing the programme design, implementation modalities, relevance, efficiency, effectiveness, sustainability, coherence of the programme and its impact as well as identify and analyse the programmes' constraints, challenges and opportunities. Furthermore, the evaluation will assess cross-cutting issues of gender equality, human rights, youth and climate change. Ultimately the evaluation will provide lessons learned and recommendations for a new phase of the programme, programme strategies and for future programming.

Resources and Budget

The funding of the programme is SEK 63 million over a period of 30 months from 2018 to 2020 with disbursements made in one instalment per year (2/2018, 1/2019, 1/2020).

5. Evaluation Questions

The evaluation will seek to answer the following overarching evaluation questions:

- (i) To what extent the programme has achieved its planned results at output and outcome level?
- (ii) To what extent implementation modalities, collaboration and coordination among key stakeholders, including other UN agencies, have been successful?
- (iii) What are the critical gaps in respect to delivery of the programme?
- (iv) What are the lessons, good practices and recommendations for the best possible way forward to support NUP implementation both within the scope of the programme and beyond as well as future programming?

The overarching evaluation questions will be supplemented with sub-questions along the criteria of relevance, effectiveness, efficiency, sustainability, impact and coherence.

Relevance: The extent to which the objective of the National Urban Policy Program in Bolivia is consistent with the beneficiaries' requirements, national and local needs, priorities, UN-Habitat, UN and donor policies.

- To what extent is the programme relevant to the needs, capacities, opportunities and priorities of key national stakeholders, the Government of Bolivia, local governments, civil society organizations, academia, and the private sector?
- To what extent is the programme aligned with relevant development strategies of the Government of Bolivia and Bolivian cities and adapted to the changing political context?

- What has been UN-Habitat's contribution in implementation of the National Urban Policy Program in Bolivia?

Effectiveness: The extent to which the objective of the National Urban Policy Program in Bolivia is being achieved.

- To what extent has the programme effectively delivered and achieved its targeted results and objective? What types of urban projects have been supported by the programme and how have they contributed to the development of the national urban policy?
- How did UN-Habitat make use of its normative work in programme implementation?
- How were issues of multidimensional poverty / vulnerable groups, social inclusion, gender equality, environment and climate change, local development, etc. incorporated in the programme results and implementation process?
- To what extent has the capacity of the Government of Bolivia, specifically the Vice-Ministry of Housing and Urbanism, as well as key urban stakeholders been strengthened through the programme?
- How effectively has the programme measured and reported on its achieved results?

Efficiency: A measure of how economically resources/ inputs (funds, expertise, time, etc.) are converted to into results.

- How efficiently are the inputs (financial and human resources), partnerships, policies and implementation strategies used to achieve the planned outputs?
- To what extent does the programme implementation modality and management structure support programme implementation, the achievement of its results and inter-agency collaboration? Are the current implementation modality and programme structure adequate for the implementation phase?
- Are activities and outputs delivered in a cost-efficient and timely manner? Specifically, what is the cost-efficiency of UN-Habitat's technical assistance for the development of capacity within the Vice-Ministry and other urban stakeholders?

Sustainability: The continuation of benefits after completion of the National Urban Policy Program in Bolivia.

- How feasible are the NUP proposal and what are its chances of being accepted and implemented by the new national and local authorities as well as the civil society?
- To what extent is capacity built to ensure sustainability of the results and benefits achieved?
- How can the remaining activities and outputs of the programme be delivered to ensure sustainability of results and for NUP implementation?
- What accountability and oversight systems have been established to secure the benefits from the programme?

Impact: Positive and negative long-term effects produced by National Urban Policy Program in Bolivia intended or unintended.

- What positive changes have occurred as a result of the programme?
- What have been unintended effects, if any, of the programme?
- What could be done for the remaining of the programme to ensure impact?
- What are the challenges and opportunities for a new phase of the programme or for an implementation phase to ultimately ensure impact through NUP implementation?

Coherence: The consistency of the National Urban Policy Program in Bolivia with other actors' interventions in the same context and the extent to which the intervention is adding value while avoiding duplication of effort.

- Is the programme coherent and being implemented in synergy with other urban development programmes?
- What are the opportunities to reinforce synergies with other urban development interventions and other donors' support towards NUP implementation?

Cross-cutting issues: The extent to which the National Urban Policy Program in Bolivia integrates the needs of different groups and promotes social inclusion and environmental issues.

- To what extent are the social inclusion issues of gender, human rights, climate change and youth considerations integrated in programme design, implementation, monitoring and reporting on the programme?
- Are there any outstanding examples of how these issues were successfully applied in the programme?
- How could cross-cutting issues be reinforced during the NUP implementation phase?

6. Evaluation Approach and Methodology

The evaluation will be conducted in line with the United Nations Evaluation Group (UNEG) Norms and Standards for evaluation in Nations System. The evaluation team will decide on the concrete approach and methodology in consideration of the COVID-19 situation. It is anticipated that the evaluation will apply a results-based approach (Theory of Change).

The evaluation team will develop the Theory of Change (TOC) mapping different components of the programme to show how the programme was supposed to work to achieve its planned results and link the TOC to the upcoming NUP implementation phase in order to evaluate the feasibility of its implementation. The TOC as an evaluation tool, will provide a useful framework around which the evaluation design and evaluation questions will be structured. The TOC will build on the logic framework of the programme design. The evaluation will also use a participatory and utilization focused approach to enhance the engagement of the stakeholders in the evaluation process and utilization of evaluation results.

The objectives and evaluation questions will provide the analytical framework for the evaluation. A variety of methods will be used to collect data from various sources while considering the COVID-19 situation.

These methods include:

- (i) Desk review of relevant documents:
 - a. Project document, work plans, progress and monitoring reports, cooperation agreement and amendments, annual plans, annual narrative reports, annual financial reports, training and capacity building reports and materials, outreach and communication materials, website, etc.
 - b. Project outputs including the *National Urban Policy for Bolivia* document.
 - c. National Urban Policy related tools and guidelines, including the *Monitoring and Evaluating National Urban Policy: A Guide* (https://unhabitat.org/sites/default/files/2020/05/monitoring-and-evaluating-national-urban-policy-a-guide_web.pdf).

- (ii) Key informant interviews and consultations, including semi-structured interviews and focus group discussions with key stakeholders, including donor, partners, beneficiaries and UN-Habitat staff;
- (iii) Surveys, if deemed feasible to obtain quantitative information on stakeholders' views and perceptions.
- (iv) Field visits to assess selected activities, if feasible within the time schedule and budget of the evaluation, should provide insight into both the scope (time), depth and range of activities carried out. This could include urban projects supported by the programme (Parque de La Coronilla in Cochabamba or some of the smaller "mi barrio, mi hogar" projects)

7. Stakeholder Involvement

The evaluation will be participatory and involving key stakeholders such as:

- The national government
- Local authorities from large, medium and small municipalities
- Beneficiaries
- Civil society organizations (urban platforms, urban organizations, etc.)
- Academia (private and public universities)
- Private sector.

The donor, Sida, relevant United Nations entities and international cooperation partners may participate through interviews, focus group discussions or survey. Stakeholders will be kept informed of the evaluation processes including design, information, collection and evaluation reporting and results dissemination to create a positive attitude towards the evaluation and enhance its utilization.

8. Management and Conduct of the Evaluation

The evaluation will be conducted by an evaluation team of a lead senior evaluation consultant supported by a supporting evaluation consultant both with evaluation expertise and an urban development background and of which at least one would have to have extensive experience in Bolivia.

Impartiality is an important principle of evaluation because it ensures credibility of the evaluation and avoids a conflict of interest. For this purpose, officers responsible for design and implementation of the project should not manage the evaluation process. The Independent Evaluation Unit will manage the evaluation process, ensuring that the evaluation is conducted by suitable evaluators, providing technical support and advice on methodology, explaining evaluation process and standards, and ensuring they are respected, ensuring contractual requirements are met, approving all deliverables (TOR, Inception Report, Draft and Final Evaluation Report), sharing the evaluation results, supporting use and follow-up of the implementation of the evaluation recommendations.

The programme team of the National Urban Policy Program in Bolivia will be responsible for supporting the evaluation team by providing information and documentation required as well as providing contacts of stakeholders to be consulted to provide evaluation information.

The Evaluation Reference Group, will be established as a consultative arrangement and will have representatives of Sida, UN-Habitat, the UNRC in Bolivia and the Government of Bolivia to oversee the evaluation process, to maximize the relevance, credibility, quality, uptake and use of the evaluation.

Responsibilities of the ERG will include:

- Acting as source of knowledge for the evaluation;
- Assisting in identifying other stakeholders to be consulted during the evaluation process;

- Participating in meetings of the reference group;
- Providing input and quality assurance on the key evaluation products: TOR, inception and draft evaluation report; and
- Participating in validation meeting of the final evaluation report.

9. Qualifications of the Lead Evaluator

Education

- Advanced academic degree in international development, public administration, development economics, political science, statistics, information technology, project management or related fields.

Work experience and other requirements

- Professional practical experience in results-based management and evaluation working with projects/ programmes.
- At least 7 years of evaluation experience with ability to present credible findings derived from evidence and putting conclusions and recommendations supported findings.
- International track record of project evaluation work for different organizations, including in developing countries.
- Knowledge and understanding of the SDGs, NUA, UN-Habitat mandate and its operations.
- Knowledge of urban planning, governance and capacity building.
- Knowledge of the Bolivian or Latin-American context.

Language

- Fluency in English and Spanish required.

10. Provisional Work Schedule

The evaluation will be conducted over the period from January to April 2021. A negotiated lumpsum will be paid to the consultants upon satisfactory delivery of specified deliverables. The evaluation team is expected to prepare inception report that will operationalize the evaluation. The consultancy will include work from home office. Due to the Covid-19 related restrictions on travel, interviews and consultations will be conducted remotely depending on the situation. Travel of the evaluation team to meet with programme stakeholders will depend on the Covid-19 situation.

Work Schedule

The evaluation will be conducted during the period of January-April 2021. The table below indicates timelines and expected deliverables for the evaluation process.

Item	Description	Timeframe
1	Vacancy announcement and Recruitment of the consultants	November-December 2020
2	Inception phase, including formal document review, development and delivery of Inception report	January 2020
3	Data collection phase	February 2020
4	Report writing and delivery of draft evaluation report	February-March 2021
5	Review and delivery of Final Evaluation Report	April 2021

Time Frame

#	Task Description	Nov-Dec				January				February				March				April			
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
2	Development of TOR and Recruitment		X	X	X	X	X														
3	Inception Phase							X	X												
4	Data collection Phase									X	X	X	X	X							
5	Report writing phase														X	X	X	X	X		
6	Use and Follow-up phase																			X	X

9. Deliverables

The three primary deliverables for this evaluation are:

- a) **Inception Report** /evaluation work plan. Once approved, it will become the key management document for guiding the evaluation process. The inception report shall include background and context, evaluation purpose and objectives, evaluation matrix, approach, including the Theory of Change, and methods, limitations to the evaluation, proposed outline of the evaluation report, as well as work schedule and delivery dates of key evaluation deliverables.
- b) **Draft Evaluation Report.** The evaluators will prepare a draft evaluation report (s). The draft(s) should follow UN-Habitat's standard format for evaluation reports (the format will be provided). The format is intended to help guide the structure and main contents of evaluation reports.
- c) **Final Evaluation Report.** A final evaluation report of not more than 50 pages, including Executive Summary, but excluding Annexes, will be prepared in English. The report should be technically easy to comprehend for non-evaluation specialists.

11. Resources

The evaluation consultants will be paid an evaluation fee based on the level of expertise and experience. DSA will be paid only when travelling on mission outside official duty station (home) of the consultant. Travel costs will be covered by UN-Habitat.