

TERMS OF REFERENCE – PROJECT ENDLINE EVALUATION

USAID’S ZAHABU SAFI (CLEAN GOLD) PROJECT

**Project Background**

USAID’s Zahabu Safi (Clean Gold) Project is a private sector-led, inclusive economic development initiative implemented in partnership with the United States Agency for International Development (USAID) in the Democratic Republic of the Congo (DRC). The goal of the project is to establish responsibly sourced artisanal and small-scale mining (ASM) gold supply chains originating from eastern DRC. Launched in 2018, the five-year project builds on recent successes achieved by donor-funded initiatives to export responsibly produced gold to jewellery buyers in North America and Europe.

The Project is being implemented by Global Communities in partnership with Levin Sources, the DRC government and a network of upstream and downstream private sector collaborators.

This Project contributes to the broader US government goal of reducing instability in the DRC – which has more than 1,100 minerals worth nearly $24 trillion – by providing commercial opportunities to artisanal miners, linking them to responsible gold buyers in international markets.

The three primary objectives of the Project are to:

1. Increase demand for and co-investment in responsibly sourced[[1]](#footnote-1) ASM gold from eastern DRC. USAID’s Zahabu Safi (Clean Gold) Project carried out activities to increase the reputation, visibility and availability of responsibly sourced gold from eastern DRC that meets International Conference of the Great Lakes Region and the Organization of Economic Cooperation and Development (OECD) due diligence requirements for responsible minerals supply chains;
2. Increase the volume of exports of responsibly sourced ASM gold from eastern DRC by strengthening the capacity of upstream and midstream supply chain actors to adhere to responsible supply chain traceability activities and comply with OECD due diligence guidance; and
3. Improve the commercial viability of ASM gold cooperatives through targeted and participatory training.

USAID’s Zahabu Safi (Clean Gold) Project works across all major nodes of the artisanal gold supply chain, addressing barriers to sustainability and scalability of a legitimate ASM supply chain. Levin Sources (based in the UK) leads activities designed to engage and improve visibility among key downstream actors to expand purchase of/co-investment in responsibly sourced gold from DRC. Local due diligence and traceability support partners are working with project-supported cooperatives and exporters to strengthen their ability to comply with the DRC’s national traceability framework for artisanal gold (Initiative de Traçabilité de l’Or d’Exploitation Artisanale - ITOA), as well as with other international due diligence frameworks adopted by targeted responsible buyers. Finally, Global Communities partners with ASM cooperatives to help them improve their business operations and governance infrastructure to ensure their commercial viability and improve returns to associated miners through the application of a more inclusive business model.

**Theory of Change and Implementation Logic**

USAID’s Zahabu Safi (Clean Gold) Project’s theory of change (TOC) draws upon a joint understanding by the consortium partners of the unique dynamics within the artisanal gold market identified during the USAID/DRC Broad Agency Announcement (BAA) Co-Creation Process, held in Kinshasa, DRC in April 2018. During the co-creation process, a variety of donors, implementing partners and private sector actors involved in the production, sale and purchase of gold, both industrial and artisanal, came to a consensus on the specific challenges to establishing and scaling profitable business models for responsible sourcing of gold from Eastern Congo. BAA participants also identified proposed solutions and/or opportunities to increase private sector investment (particularly within downstream nodes of the supply chain) in responsible minerals trade programming more broadly.

## Theory of Change

If the reputation, visibility and accessibility of responsibly-sourced artisanal gold improves; barriers and costs to trade in artisanal and small-scale mining (ASM) gold are reduced, and returns to miners through effective cooperative structures improve, then commercially-viable investments in ASM gold supply chains by private sector supply chain actors (upstream and downstream) will increase, resulting in expanded economic opportunities for ASM cooperatives and a commercially-viable, scalable, responsibly sourced ASM gold supply chain that originates from eastern DRC.

The Project will expand economic opportunities for artisanal miners by facilitating access to legitimate buyers in international markets. These efforts will help to reduce the amount of gold that is going through illegitimate channels, or going toward financing illegal, armed groups, or conflict more broadly. Increased economic opportunities also help to reduce conflict drivers in local communities.

**Purpose of the end line evaluation**

The purpose for this end line evaluation is to assess the performance of the project and capture project achievements, challenges and best practices to inform future similar programming. On the other hand, this evaluation will offer a learning aspect for all stakeholders including the donor, USAID. The evaluation will also identify key lessons learned, challenges and the flexibility of the project to adapt and respond to the changes and sustainability of responsible artisanal small scale mining gold business in the Eastern part of the DRC.

# The end of project evaluation will have three objectives:

* Objective 1: Evaluate to what extent the “USAID’s Zahabu Safi (clean gold) project” has delivered effective, efficient, relevant activities to cooperatives and their members as set in the project MEL Plan.
* Objective 2: Assess whether the collaboration between Global Communities, and Ministry of Mines, implementing partner, Levin Sources has added value, to the interventions with a positive effect on cooperatives and other stakeholders as applicable. What has contributed to this added value,what has not, how and why?
* Objective 3: Identify and assess key lessons learned, challenges and draw recommendation for future programming of establishing supply chains of responsible gold ASM projects in the DRC.

The end line evaluation should assess the following evaluation criteria and include all of the following questions:

1. **Effectiveness**:
   * To what extent have the planned objectives been reached - Was the project effective in establishing a commercially viable, responsibly sourced ASM gold supply chain originating from Eastern DRC?
   * What were the major factors influencing the achievement of the project’s main objectives? Are there aspects of the project that could have been done differently to increase the likelihood of the project’s success?
   * What opportunities for collaboration have been utilized and how have these contributed to increased effectiveness? Were there any missed opportunities for collaboration that the project could have leveraged to increase effectiveness?

# Efficiency:

* + How efficiently were project resources – both human and financial - used to deliver project outputs and outcomes? Were resources redirected efficiently to respond to changing needs?
  + How well did project activities complement the work of its partners or other stakeholders? Were there any examples of duplicative or overlapping activities, roles, or responsibilities that could have been improved? Did the project implement proper accountability and risk management framework(s) to mitigate potential risks to individual participants, participating communities, and project stakeholders?
  + Were there opportunities within the life of the project to reach more cooperatives with the resources available –human, financial, and time - without compromising quality?

# Relevance/Appropriateness

* + To what extent did project activities respond to the needs and expectations of individual participants, participating communities, and various stakeholders?
  + Were the strategies and approaches appropriate to achieve the intended outcomes? Are there strategies and approaches that may be more appropriate?
  + To what extent was project able to adapt and provide appropriate response to context changes and emerging local needs, and the priorities of beneficiaries?

# Impact

* + To what extent has the project and its activities created a significant positive change in the lives of its intended participants and stakeholders?
  + What, if any, undesired or negative changes or other outcomes were directly or indirectly produced by project activities?
  + Did all intended target groups and stakeholders benefit equally from the project’s activities? If not, what factors may explain a discrepancy in the perceived benefits of the project from one target group to another?

**Learning and Legacy:**

* + Which of the interventions, approaches, strategies have been most effective according to Global Communities and Ministry of Mines? What has been learned about program delivery that can inform similar future projects, within DRC and beyond?
  + How were learning and adaptive management principles applied to the project? How might actionable learning have been improved to increase the likelihood of the project’s success?
  + What is the likelihood that key project outcomes and impacts will be sustained or scaled beyond the life of the project? What factors most directly influence the sustainability of key project achievements?

**Methodology**

The methodology will be developed by the consultant, as well as all relevant tools and presented in the inception report. The three strategic objectives mentioned above should be assessed, including all evaluation questions under each objective.

Data collection should use a mixed-methods approach to gain a deeper understanding of the outcomes of the project, including:

* Desk review of background documents (project document, project monitoring data, progress report, field visit reports etc), to be provided upon contract agreement.
* End line evaluation interviews and discussions in project implementation sites
* Key informant interviews (e.g. with Global Communities project staff members and Levin Sources, i.e. project chief of party and or Deputy Chief of Party, technical field staff, cooperatives coordinator and key community members/committee leading cooperatives, local partner, and representatives from the line ministry) to gather substantial anecdotal evidence on the effectiveness, efficiency, relevance and timeliness of the project activities implementation and delivery
* Focus group discussions (e.g. with stakeholders, cooperative managers, cooperatives members, and Community Site Management Committee (Local authorities) representatives, etc. The FGD will serve as input for the narrative anecdotal evidence.
* A learning event in Goma and or Kinshasa to disseminate lessons learned through a presentation and a workshop facilitated by the consultant/firm.

Next to the data collection method, an appropriate and strategic sampling method should be selected e.g. snowball sampling, purposeful random sampling or mixed purposeful sampling methods.

**Deliverables**

The consultant/firm is expected to collaborate closely and sometimes perform joint assignements with Zahabu Safi staffs to submit the following deliverables within the agreed time frame and budget:

* An inception report which will serve as an agreement between parties on how the evaluation will be conducted. Items to address in the inception report include:
  + Understanding of the issues and questions raised in the ToR
  + Data sources; how to assess the questions in the ToR
  + Evaluation methodology, including suggested sample and size
  + Schedule of activities and traveling (timeline)
  + Proposal for a learning event/validation of evaluation findings in Goma/Kinshasa
  + Detailed budget and work plan
  + Appropriate validated draft data collection tools (e.g. methodological guidelines, group interview questions)
  + Code book in any of the following qualitative data analysis software (MAX QDA, Atlas ti, Nvivo, QDA Miner) and also transcribed qualitative scripts
* A max 50-page draft and final evaluation report (in MS Office and PDF for final), excluding annexes and in English.
* Both reports should be in the format indicated below, to be submitted to, Global Communities, DRC Country office. It is preferable to illustrate the results by appropriate graphs, visuals, tables and/or a dashboard with an accompanied explanatory text. The report should consist of:

1. Executive Summary in bullets (max. 2 pages)
2. Introduction
3. Methodology, including sampling and limitations
4. Analysis and findings of the evaluation. The analysis should be done according to the objectives:
   * evaluation objective 1
   * evaluation objective 2
   * evaluation objective 3, including an implementation strategy for the recommendations
5. Address concerns, lessons learned and comments from Global Communities
6. Stories of change and quotes from respondents
7. Conclusions for each of the end line evaluation objectives
8. Recommendations for future projects
9. Annexes:

* Relevant maps and photographs of the evaluation areas where necessary
* Bibliography of consulted secondary sources
* Finalized data collection tools
* List of interviewees with accompanying informed consent forms
* PowerPoint presentation of preliminary findings to Global Communities in Goma
* Learning event for project stakeholders, partners, USAID, in Goma or Kinshasa. The structure and activities of the learning and evaluation meeting will, be agreed with Global Communities.

**Indicative timescales**

The data collection phase in the field is to be confirmed between the consultant/firm and Global Communities, but ideally would start in first week of October 2023 with the final report deadline to Global Communities by the second week of November 2023.

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| Phase | Deliverables | Payment | Working days indication |
| Inception phase | Draft inception report |  | 3 |
| Tools development phase | Deliverable 1: final inception report including budget,  methodology and qualitative research tools, approved by Project team and USAID. | 30 % of total  budget |
| Data collection phase | Desk review, interviews in and field visits project targeted Provinces (South Kivu, Maniema, Ituri and Haut Uélé) |  | 20\* |
| Data analyses phase | Presentation of initial findings in Goma and draft of the report |  | 10 |
| Evaluation report phase | Draft Evaluation Report, for comment by project team in Goma, HQ team and USAID |  | 4 |
| Deliverable 2: Learning session in Kinshasa (Location TBC) | 30 % of total  budget | 1 |
| Deliverable 3: Final Evaluation Report | 40 % of total  budget | 2 |
| Total |  | 100% | 40 days\*\* |

\* Timetable depends on the weather and security, not all areas accessible in case of rain or insecurity.

\*\* Number of workdays as if for one consultant at senior rate, however lump sum to be, divided over a team of researchers, preferably 1 senior English speaker consultant and a local consultant.

**Roles and responsibilities**

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| Lead Consultant | Global Communities at field level | Global Communities at HQ level |
| Develop an inception  report, detailing the methodology, stakeholders to be interviewed, tools to be developed, time frame for the evaluation and budget | * Provide all required background materials to the consultant in a timely manner. * Read and provide comments on the inception report including the proposed research methodology, the information gathering techniques and the suggested target sites. * Providing data/information for desk review. | * Review consultants’ qualifications or specialized knowledge or experience required. * Read and provide comments on the inception report including the proposed research methodology, the information gathering techniques and the suggested target sites. |
| Holds the overall management responsibility of the review including the review, designing and carrying out the evaluation, drafting the final report and debriefing the project team and key stakeholders. | * Review and comment on deliverables * Provide guidance where necessary. * Support logistics for the evaluation team where necessary (this will be done in the city of Goma only but project can facilitate the consultant if requested). * Facilitate contacts with key beneficiaries (cooperatives) and line ministry. * Arrange logistics and planning of the field research, supporting the evaluation team during field work and bring research team to the beneficiaries. | * Monitor adherence to specified deadlines; facilitating access to required information at HQ level; review and comment on deliverable. |
| Liaise with GC staff  throughout the process, providing weekly updates and seeking their input and advice where  necessary. Request approval in case of deviation from budget, and for miscellaneous costs. | * Provide guidance throughout all phases of execution, facilitation of the fieldwork, including interviews with local government, communities, etc. * Review and provide feedback to the project evaluation report. | * Review and comment on draft report submitted by the evaluator i.e. preliminary reports and the final report. * Providing feedback to draft data collection tools and reports. |

**Qualifications and experience Required (firm or individual consultant)**

* Team Leader with at least Master’s degree in Monitoring and Evaluation, International Development Studies, Social Sciences, or a related field.
* Teal Leader at least 7 years’ of experience in providing research and or evaluation services for USAID funded projects or related experience for projects relating to Mining, and or livelihoods.
* Demonstrated experience with qualitative research, including data collection, management and analysis
* Experience of working in Eastern of DRC.
* Experience of evaluating small scale mining projects.
* Proven record of communicating with cooperatives members including those uneducated.
* Understanding of DRC “Mining Codes (code minier)”, International Conference of the Great Lakes Region and the Organization of Economic Cooperation and Development (OECD) policies on Samll scale artisanal mining cooperatives.
* Ability to assess and further develop a conceptual evaluation tool.
* Relevant subject matter knowledge and experience regarding the thematic areas of this Small Scale Artisanal Mining project.
* Ability to deal with hardship and remote area field work.

Preferred

* Strong understanding of evaluation ethics and a commitment to ethical working practices.
* Experience of working in volatile security environments and managing security risks.
* Action-oriented and evidence based approach and strong drive for results.
* Highly developed self-management, and communication skills.

**Guiding Principles and Values**

Adherence to Global Communities Code of conduct, ethics protocols and confidentiality when interviewing or photographing people. Gender mainstreaming is key to Global Communities and the donor; therefore, the lead consultant will have to ensure that the evaluation team is gender balanced, ensuring that females are available to interact with female beneficiaries and vice versa. The consultant/firm will also take into account principles of impartiality, independence, objectivity, participation, collaboration, transparency, reliability, privacy, and utility throughout the process.

**Selection process and criteria**

Global Communities will use its internal guidance, checklists and an interview process to select the successful consultant or firm. The guidelines require the consultant to submit, a technical proposal explaining, their comprehension of the ToR, and how they would approach this assignment, with a summary of their methodology, especially in terms of how they plan, to meet the objectives, including a period and budget. This should include a team composition with a lead consultant and at least one other experienced evaluator and a cv of each person to be involved in the assignment, including relevant experience, a detailed budget and time availability.

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| **Criteria** | **Percentage** |
| **Technical Proposal** | |
| Conformity to the methodologies proposed in the terms of references | 15 |
| Proposed technical approach | 15 |
| Work Plan | 5 |
| Specific experience of the Lead Consultant as well as experience of the firm as applicable to the mission | 10 |
| Qualifications and competence of the proposed team for the evaluation | 15 |
| Similar anterior experience | 10 |
| **Percentage** | **70%** |
| **Financial Proposal** | |
|  | 30% |
| **Grand Total (technical + financial proposal)** | **100%** |

*Table 1: Selection criteria and related percentage*

**Submission of application**

Along with their team’s CV interested candidates should submit:

* A technical proposal explaining, their comprehension of the, ToR, and how they would approach this assignment, summarizing, the methodologies, and approaches they, plan to use, including a timeline.
* Two samples of similar previous assignments.
* Their availability.
* A financial proposal outlining their expected fees, costs of return flights, visas (if international consultants), meals and life insurance. GC will cover only accommodation and all operation and field logistics costs in Goma. In their proposal, candidates should consider that the budget, would, cover approximately 40 consultant days from third week of October to second week of December 2023.

Interested candidates/firms should submit a technical and financial proposal and two samples of similar previous assignments. Applications should be, submitted to [ycishugi@globalcommunities.org](mailto:ycishugi@globalcommunities.org) with copy to [ikabi@globalcommunities.org](mailto:ikabi@globalcommunities.org), and [vidumba@globalcommunities.org](mailto:vidumba@globalcommunities.org) no later than October 16, 2023.

1. For the purpose of project implementation, we define “responsibly sourced gold” as gold that is produced in a manner that meets the minimum standards of compliance with international and regional policies and guidelines for sourcing minerals in conflict-affected, with a particular emphasis on respect for human and labor rights, while working to address a broader set of environmental and safety concerns. [↑](#footnote-ref-1)