



## Process evaluation of Government of Uganda's Vegetable Oil Development Project Phase 2

### Request for Proposals

Issue date: 18 July 2017

Submission deadline: 23:59 GMT, 14 August 2017

#### 1. Overview

The [International Initiative for Impact Evaluation \(3ie\)](#) requests research organisations and/or consortia to submit a proposal for the process evaluation of phase two of the Government of Uganda's (GoU) Vegetable Oil Development Project (VODP). The aim of this grant programme is to enable the selected research team to carry out a **process evaluation** of VODP programme. The selected team will work closely with the relevant ministry and other agencies involved in implementing the programme.

#### 2. Background

Over the past decade, the GoU has made improvements in public sector performance measurement and financial management, and strengthened scrutiny and oversight of public funds. However, evaluations of public policies and programmes continue to be rare. There is limited evidence on whether government programmes are achieving their stated objectives and what improvements, if any, are needed to improve performance.

In order to address this evidence gap, the government established a National Monitoring and Evaluation Strategy in 2004, which was followed by a national policy on monitoring and evaluation in 2013. This policy provides a clear framework for strengthening coverage, quality and use of evaluations. The Office of the Prime Minister (OPM) has the mandate to coordinate and monitor the Government Evaluation Facility (GEF), which conducts evaluations of public policies and major public investments.

The national evaluation agenda with a rolling thematic focus is outlined and approved by the government every three years. This means that there is high-level of ownership of evaluations and considerable scope for findings from evaluations being discussed for action by policymakers at the highest level.

GoU has prioritised support to development initiatives that promote wealth creation and reduce poverty. In the agriculture sector, such measures have included support to programmes like the

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VODP, in partnership with the private sector, with the objective to increase income of smallholder farmers by boosting vegetable oil production. The programme was launched in October 1998 with support from the [International Fund for Agricultural Development \(IFAD\)](#) and has been implemented under three components namely—oil palm, traditional oil seeds and essential oils development. This project is implemented by the Ministry of Agriculture, Animal Industry and Fisheries (MAAIF) with support from development partners, local government and private sector agencies. Its covers the districts of Buvuma and Kalangala, and selected parts of eastern and northern Uganda.

The programme is also likely to decrease the country's dependence on imported oil by increasing the production of vegetable oil. The programme objectives are in line with GoU's [National Development Plan](#) and the [Comprehensive Africa Agriculture Development Programme](#). Interim results from IFAD's mid-term assessment of the first phase highlighted the programme's success in introducing oil palm and promoting sunflower production to reduce dependence on imports. This process evaluation is expected to help map out the programme components, including various inputs and best practices while flagging the gaps in implementation. Importantly the findings will contribute to the mid-term review of the programme to enable course correction and strengthen programme implementation. The full range of expectations and objectives are detailed in section 3.2.

### 3. 3ie's country policy window

This grant programme funds and provides technical support for high quality, mixed-method rigorous impact evaluations relevant for policymakers and programme managers that answer questions about the attributable impact of interventions they implement.

UK Aid through its Department for International Development (DFID) funds the Uganda Country Policy Window (UCPW). Launched in 2015, the primary aim of the window is to improve developmental outcomes through evidence-informed decision making in Uganda. 3ie is already supporting process evaluations of government programmes around youth livelihood, family planning, public service delivery and local governance, and universal primary education. Impact evaluation of the programmes on family planning and universal primary education are currently ongoing.

#### 3.1. Scope of work

The UCPW will support one high-quality process evaluation of VODP phase 2. 3ie expects that the selected team will work with the implementing agency and OPM to undertake the process evaluation. For the benefit of Ugandan policymakers and programme managers, the research teams will also prepare a brief **policy paper**, summarising the key findings from the process evaluation.

The selected team will hold a **theory of change workshop** with the implementing agency staff and other relevant stakeholders within one month of signing the study contract. The workshop will help develop a theory of change for the programme, identify key gaps and evaluation questions. Through this process, 3ie expects the team to build understanding within the implementing agency about process evaluation and ensure their effective participation in identifying questions.

During the third month, the team will hold another workshop with the implementing agency to validate preliminary findings from the evaluation. 3ie expects the study team to engage frequently with the implementing agency staff to ensure the policy relevance of the evaluation.

A GoU staff member may be seconded to the study team for the duration of the study. The staff will participate in field visits and workshops, and provide inputs into the process evaluation report.

### 3.2. Expectations from the process evaluation

3ie expects that the process evaluation will include the following elements:

- Discuss in-depth the context and the VODP programme, including its intended outcomes or objectives;
- Articulate the programme theory of change, including the key assumptions;
- Assess programme relevance to see if:
  - Programme objectives are relevant to the priorities of the target group;
  - Inputs and outputs of the programme are adequate for achieving the intended objectives; and
  - The extent to which the programme's objectives are valid in the context in which it is being implemented.
- Establish the likelihood of the programme delivering its outputs and achieving its objectives, including a discussion on the potential enabling or inhibiting factors. For example, the effectiveness of the management modalities, including the role of public private partnerships;
- Document emerging lessons and synthesise programming and process challenges (economic, environmental, financial, organisational, to name a few) that affect programme delivery;
- Recommend priority areas for action associated with improving programme performance and processes, including strategies for mitigating emerging challenges. The recommendations should include suggestions for areas that call for further research and evaluation of programme impact;
- Explore the cost-efficiency of the programme as compared to other alternatives and benchmark programme performance.

The research team will consult with the implementing agency and propose the evaluation methodology at the end of the theory of change workshop. 3ie expects the research team to propose a robust mixed methods approach as demonstrated in the design of the evaluation, and tools for data collection, namely administrative and other secondary data and primary data gathered through key informant interviews and focus group discussions, among others.

### 3.3 Deliverables

The team is expected to deliver an **inception report** after six weeks of signing the contract. The report will clearly describe the main questions that the evaluation will address, articulate the programme theory of change and indicate key outcomes of interest. Additionally, it should describe the evaluation methodology; the data collection and analysis plan, including documents to review; indicative list of stakeholders to consult and key questions to guide interviews; and, a detailed work plan.

At the end of the grant period, the research team **will deliver two outputs; (1) a process evaluation report, and (2) a brief policy paper** (template to be provided later).

3ie expects that research team to engage extensively with MAAIF, OPM and GEF during the evaluation. This would include consultations and interviews with programme stakeholders, including those at the local (sub district) level and debrief meetings from time to time. The team will be expected to host a national stakeholder workshop to discuss preliminary findings from the process evaluation and use the inputs to finalise the report and submit it to 3ie.

## 4. Application process

### 4.1 Eligibility

- Only legally registered organisations and consortia of registered organisations, not individuals, may apply;
- The lead grant-holding organisation has to be registered in Uganda. However, the lead principal investigator (PI) may be of any nationality and be located anywhere in the world;
- The **research team should include at least one researcher who is a Ugandan national as a co-PI**. The national researcher must be resident in Uganda. The national researcher must be engaged in substantive tasks like study design, data analysis, report writing and stakeholder engagement for uptake of findings into policy and practice.
- The research team may include other researchers who are not employees of the grant holding organisations.
- The proposal must be submitted by a single organisation that may include others as sub-grantees or sub-contractors (subject to 3ie's [direct](#) and [indirect cost](#) policies).
- For-profit organisations are eligible to apply, but are restricted to the same indirect cost limits as non-profit organisations and may not charge a fee.
- The applicant organisation must be able to sign the [3ie grant agreement](#), which is available on the 3ie website.

### 4.2 Budget

A grant of up to **US\$50,000** will be made to the selected team as per the schedule outlined in Table 1. The budget may include these costs:

- Relevant literature review, stock taking of relevant administrative documents and available secondary data;
- Time spent on data collection and analyses;
- Researcher time and travel to work with implementing agency partners and conduct theory of change workshop, and participate in national stakeholder workshop for presentation of process evaluation findings;
- Field visits to carry out the necessary quantitative and qualitative surveys for the process evaluation.

**Table 1: Grant disbursement schedule**

Tranche	Disbursement	Deliverables
Tranche 1	20 per cent	Signing of the contract
Tranche 2	20 per cent	Inception report and theory of change workshop
Tranche 3	20 per cent	Draft process evaluation report
Tranche 4	40 per cent	Final process evaluation report in 3ie template and a brief policy paper

### 4.3 Selection criteria

Proposals for process evaluation will be reviewed and scored by a panel consisting of two external reviewers, one 3ie reviewer and a representative from the implementing agency. The criteria is outlined in Table 2. 3ie will award the research team a grant to conduct the process evaluation under 3ie’s standard terms and conditions. Please see the [3ie grant agreement](#) template for more details. 3ie may provide comments and request resubmission if the proposal does not receive adequate scores. 3ie reserves the right to **not** award any grant in case no applicant meets the requirements.

**Table 2: Criteria for assessment of proposals**

Proposals for process evaluations	%
Credentials of PIs <i>Assessed from letter of eligibility, CVs and sample publications</i>	40
Plan for meaningful and substantive involvement of local and regional researchers <i>Assessed from letter of eligibility and Qualification and Eligibility form</i>	20
Organisational capabilities to hold and manage grants <i>Assessed from letter of eligibility, Organisation Information form, Qualifications and Eligibility form including ability to hold and manage similar grants in the past.</i>	10
Sector and country experience of the research team <i>Assessed from letter of eligibility, Qualifications and Eligibility form, sample publications</i>	20
Value for money	10

## 4.4. Timeline

The table below provides an indicative timeline for the roll out of the study.

**Table 3: Study timeline**

Activity or deliverable	Dates
RFP is posted	18 July 2017
Deadline for submitting queries related to RFP	26 July 2017
Deadline for posting responses to queries on 3ie website	31 July 2017
Application submission deadline	14 August 2017
Announcement of grant awards	4 September 2017
Financial due diligence undertaken and grant agreements signed; <b>study period begins</b>	<b>18 September 2017</b>
Virtual meetings between 3ie staff and the grantee	21 September 2017
Submission of inception report	30 October 2017
<b>Submission of all deliverables associated with the grant</b>	<b>20 January 2017</b>

## 5. Instructions for applicants

Proposals must include the following information:

1. A letter of eligibility, which is a narrative of up to 3000 words covering the following:
  - The team's experience in undertaking process evaluations, especially in the agriculture sector;
  - Past experience of studying public private partnership interventions and/or programmes;
  - Knowledge of agriculture sector and context in Uganda;
  - Potential process evaluation questions for VODP, including a short description of possible methods and approaches that may be used.
2. Copies of up to three process evaluation reports relevant for this call, with proposed PIs as named authors.
3. Completed organisation information form available on the 3ie website.
4. Completed eligibility and qualifications form available on the 3ie website.
5. Curriculum vitae (not to exceed three pages each) of all proposed PIs, along with a signed letter from each indicating the share of working time expected to be spent on the study and confirming availability for the proposed time. Applicants are required to highlight information relevant to process evaluations in their CV.
6. If applicable, include CVs (not to exceed three pages each) of additional researchers who will be involved in the evaluation. Applicants need to provide only information relevant to the grant in their CV.

7. The proposed budget, not to exceed US\$50,000, must follow [3ie's direct cost](#) and [indirect cost policies](#).

## 6. Submission guidelines

- Please submit all files in a single email message not to exceed [10MB] to [upw@3ieimpact.org](mailto:upw@3ieimpact.org) no later than 23:59GMT, 14 August 2017.
- Components 3 and 4, listed above, should be submitted in a single Microsoft Word or .rtf file in font size equal to or larger than 11 point.
- The signed letters from the PIs and sample process evaluation studies relevant to the grant may be submitted as separate pdf files.
- The budget should be presented in [3ie budget format and follow 3ie budget guidelines](#). Budget notes may be submitted as a separate Microsoft® Word or .rtf file in font size equal to or larger than 11.

Incomplete submissions will not be considered.

Please direct any questions related to this RFP to [upw@3ieimpact.org](mailto:upw@3ieimpact.org) with 'CPW- Uganda query' in the subject line by 23:59 GMT, 26 July 2017. By 31 July 2017, a single document with all questions and answers will be made publicly available [here](#).

**This RFP does not constitute a guarantee of an award.**

The Uganda Country Policy Window is the result of collaboration with the Office of the Prime Minister of Uganda, a 3ie member, and with funding from UK Aid through DFID.

