**TERMS OF REFERENCE**

**To conduct a baseline study in Kosovo and Albania, describing the situation prior to a development intervention, against which progress can be assessed, comparisons be made and indicators be verified and updated**

on the BMZ Project P7414

*„****Promotion and Realization of the Rights of Roma***

***in Kosovo and Albania****“*

Implemented by

Karl Kübel Stiftung für Kind und Familie (KKS)

Ein Bild, das Text, Schrift, Logo, Grafiken enthält.

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and

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1. **Introduction**

Karl Kübel Stiftung für Kind und Familie (KKS) and the local executing Organizations Kosovo Foundation for Open Society (KFOS), Nevo Koncepti (NVK) and Drejtesi Sociale (DS) (hereafter called Project Holders) are implementing a Consortium Project in Kosovo and Albania with the Project Title „Promotion and Realization of the Rights of Roma in Kosovo and Albania“. The Project has been approved by BMZ with the Project ID P7414. The project duration is set from 01.11.2023 until 30.04.2027. The CONSORTIUM will be led by KKS and co-funded by the German Federal Ministry of Economic Cooperation and Development (BMZ). To conduct a Baseline Study is a mandatory and legally binding pre-requisite of the BMZ for granting funds towards project P7414. The execution of the findings of the baseline study are subject of formal approval of BMZ. The project P7414 promotes and ensures the effective realization of the rights of Roma and returnees through social inclusive and integrative measures and the improvement of policy making and political advocacy between civil society organizations and governments. It contributes to the Agenda 2030 / Sustainable Development Goals 1, 3, 4, 5, 10, 16 and 17, and to improved integration of an overall direct target group of 35.856 Romas, including returnees into the Education, Health and Labour Market Systems in Albania and Kosovo. The Project goal intends to support marginalized and disadvantaged Roma (m/f/d), especially returnees from 7 communities in Kosovo to be protected from educational poverty, unemployment, diseases and health hazards through inclusive and socially as well as politically integrative measures of social work in education, employment and health programs. In addition, Roma from 7 municipalities in Kosovo and from 22 municipalities in Albania for humane political and legal integration are strengthened by institutionalized advocacy groups at all political levels. The Roma target group in Albania refers to the 4 Albanian regions of Berat (Berat, Otllak, Roshnik, Sinja, Velabisht), Elbasan (Belsh, Cërrik, Elbasan, Gramsh, Librazhd, Peqin, Përrenjas), Korca (Devoll, Kolonja, Korça, Maliq, Pogradec, Pustec) and Lezha (Kurbin, Lezha, Mirdita). The direct Roma target group in Kosovo refers to the7 municipalities (corresponding to the superordinate district administrations) in Kosovo: Pristina, South Mitrovica, Prizren, Gjakova, Gjilan, Peja and Ferizaj. The project concept consists of four sub-objectives with impact related sets of measures to improve School Inclusion and Education of Roma Children, Labour Market integration, access to health care in Kosovo as well as improving Evidence-based Policy Making, Implementation and Evaluation for Roma in Kosovo and Albania.

1. **Objectives of the baseline study**

The purpose of the baseline study is to provide the consortium with an analysis describing the situation prior to a development intervention, against which progress can be assessed or comparisons made. The study therefore will collect, analyse and present/ document empirical data on target group data according to the set of measures / Impact Matrix of the project P7414, verify existing challenges/ risks, gaps, sustainability aspects and opportunities within the project location in Kosovo and Albania. The data will be used as to benchmark and verify/ update the results and impact of the project in the initial Impact Matrix / initial set of measures of P7414. The baseline should either confirm or revise the assumptions made in the initial impact matrix as well as the initial indicators targets sets as well as adjusting the budget accordingly to the findings / recommendations.

According to the mandatory provisions of the German Federal Ministry of Economic Cooperation and Development (BMZ), the specific objectives are specifically as follows:

1. A revised presentation of the direct target group of both countries.
2. An adjustment of the initial values in the impact matrix[[1]](#footnote-1) - based on the results of the baseline study.
3. The predefined means of verification shall be identified for the following Indicators[[2]](#footnote-2), or the Indicators shall be reformulated and redefined to be measurable and SMART[[3]](#footnote-3): Project Objective[[4]](#footnote-4): Indicator 6; Sub-Objective[[5]](#footnote-5) 1: Indicators 2, 3, 5 and Sub-Objective 3: Indicator 3.
4. Verification of Sustainability[[6]](#footnote-6): The evidence in support of the honorary endowment fund for the volunteers (sub-objective 1-3), the involvement, motivation and support of the volunteers (sub-objective 1-3), as well as the establishment of the self-help groups shall be analyzed by valid data and reported explicitly.
5. A concept for the continued financing of the health checks (sub-objective 3) after the end of the project must be elaborated.

The detailed objectives of the project and other requirements are presented in the following subsequent sections. The local executing partner KFOS will be responsible of the operational lead of the baseline study and will contract with the professional consultants selected to conduct the baseline study on the basis of a tendering process.

1. **Use of the baseline study**

The main users of the baseline study will be the staff of the contracting entities in order to make adjustments to the project concept – especially the Impact Matrix/ SMART Indicators/ Sustainability with regard to the BMZ mandatory objectives and implementation conditions based on the study’s recommendations. The findings of the baseline study will be reported to the BMZ.

1. **Expected Deliverables**

The contractee will deliver the following outputs in English and WORD-format:

* **Inception report** including methodology, data collection tools, budget breakdown and detailed work plan to be discussed and agreed with KKS and the Project Holders in advance.
* **Draft baseline study report** including key results. The draft report will be shared with KKS, KFOS, NVK and DS and relevant stakeholders for their inputs and will be validated in a workshop in the project areas.

**Final baseline study report** of **maximum 30 pages** (excl. annexes)**,** according to the structure given in Annex I with baseline data as Annex (2 hard copies and 1 soft copy).

1. **Methodology and assessment framework**

This assessment has to employ both qualitative and quantitative assessment methodologies. The standard sampling procedures of the target population has to be followed. The assessment has to capture ideas of representatives of all actors and at different levels in order to verify and validate existing data of the project beneficiaries/ project location. The assessment has to come up with an revised Impact Matrix according to their data verification that should be sufficient to cover BMZ requirements as stipulated under chapter IV. Methodologies shall include, but not limited to the following: 1) Desk review, 2) Target Group and Location review using secondary data 3) Key Informant Interviews and Focus Group Discussions to validate initial data of the target group in the target locations of both countries 3) Analyzing the data collected using statistical packages and developing a revised Impact Matrix, and SMART indicators/ target sets as well as the activities to achieve the sub-objectives and 4) Validation of Draft Baseline Report and Impact Matrix during a stakeholder workshop. For quantitative data collection and analysis shall be done through SPSS or R-Studio. The following guiding questions shall be analyzed in the context of the socio-economic development and promotion of rights of Roma minorities in the target locations in Kosovo and Albania:

1. **Purpose, objectives and utilization of the study**

* What is the rationale or the specific reason for conducting the baseline study, and what are its objectives?
* Who will use the findings? In what way? For what purpose? This question should be reviewed, in particular, with regard to potential utilization of the study for the development of project application, the project concept and for project implementation. What will be the scope of the study in terms of timing and geographical coverage? What specific (sub) areas or (sub-) sectors will be given special attention?
* What methodology will the study be based on?
* What earlier experience from similar projects and programs and from other studies and analyses etc. should be used as a basis for drawing up the baseline study?
* What specific recommendations can the study provide for the organization carrying out the project with a view to planning and implementing the project?

1. **Context and problem analysis**

* What is the (current) situation in the sector/region/country in question? What does the socioeconomic, political and cultural context look like?
* What problems have been identified? What are their causes and how do they impact on the living conditions of population groups? Which population groups?
* What needs have been identified based on the problem analysis? How were these needs identified (or how will they be identified)?
* What is the background of, and what has led to, the project and its impact logic?
* Who proposed the original project idea?
* Are there any alternatives to the project or any of its components?

1. **Project-executing organization in the partner country (local executing organization)**

* How much capacity do the local executing organizations have in institutional, technical, staffing and financial terms?
* What measures are needed to build the local partner’s organizational and general capacity?
* To what extent do local implementation partners identify with the project (ownership) and are committed to making it a success?
* What is the relationship between the local partners and the target group/stakeholders? (Legitimacy)
* Is there an overlap or conflict of interests? How can interaction and coordination between the partners and the stakeholders be improved?

1. **Target group and stakeholder analysis**
2. **Target group**

* What is the target group for the project? What criteria are used in the selection of the target group? Are there possibly several target groups affected in different ways by the problems?
* How homogeneous or heterogeneous is the target group in terms of gender, ethnicity, age, sexual orientation, language, capacity, etc., and how will the project need to respond to this?
* What are the needs of the target group? How can these needs be addressed?
* What is the role of the target group(s) in the broader social context? What conflicts of interest could arise between the target group and other, non-target groups as a result of the support provided through the project?
* What is the target group’s potential especially with regard to ownership/initiative, self-help activities and local problem-solving capacity? How can this potential be strengthened?

1. **Stakeholders**

* Who are the main governmental and non-governmental stakeholders in the sector and beyond – at the project location, in the project region and the project country?
* How does the project fit in with the government development strategy?
* What are the interests of the stakeholders? Are there any visible conflicts of interest? What interdependencies are to be expected between the project and other interventions/projects supported by the stakeholders? How will this be taken into account in the project concept?
* Do the stakeholders share a common understanding of the problem(s) and of the project objectives derived thereof?
* How strong is the various stakeholders’ support for the project? How much influence could they exert on the project? Have the stakeholders already entered into any agreements?

1. **Assessment of the project based on OECD/DAC criteria**
2. **Relevance: “Are we doing the right thing?”**

* Are the project activities appropriate for addressing the problem?
* Does the project approach address a key development problem or constraint in the partner country or region?
* Is the approach in line with the needs of the target groups?
* What changes will be accomplished by the project after it has been completed?

1. **Effectiveness: “Doing the thing right.”**

* Is the project approach to achieving the objectives suitable?
* Are the measures and the chosen methodology suitable for reaching the landscape level project objective? Should activities be at the meso and/or macro level (multi-level approach) adjusted in order to make the project more sustainable?
* Will use be made of synergies with interventions supported by other donors or programs?
* What measures does the study recommend with a view to achieving objectives?
* What impact logic/impact hypothesis should the project be adjusted? What could a meaningful Impact Matrix according to pre-requisites look like, including suitable and informative indicators?
* Who will monitor impacts? When? At what intervals? (Impact monitoring)

1. **Efficiency: “Can the objectives be achieved in an economically efficient way through the project?”**

* Are financial, institutional and human resources sufficient?
* Will it be possible to implement the measures within the time allocated for the project and based on the resources that are included? Will it be possible to achieve the desired impacts, and will all that be possible in an economical and efficient manner (in terms of cost-benefit ratio)?

1. **Significance / overarching development impact: “Will the project help achieve broader development impacts?”**

* Which objectives and impacts derived from the problem/needs analysis are to be achieved, and for what target groups?
* To what extent will the project have a structural impact, to what extent can it serve as a model, and to what extent will it have a broad-based impact?
* Would it be advisable to pursue a multi-level approach (micro, meso and macro levels) in order to increase significance and effectiveness?
* To what extent have aspects relating to health, gender sensitivity, inclusion of persons with disabilities, cultural sensitivity, conflict sensitivity and human rights been incorporated in the project’s objectives?

1. **Sustainability: “Will the positive impact last after the project has been completed (without further external support)?”**

* How can sustainability of results and impacts be ensured and reinforced (in institutional, economic, social and environmental terms)?
* What are the roles and responsibilities of governmental and/or civil society institutions? To what extent will the project be able to build on local potential, institutions and procedures? What measures and instruments are best suited to harness and strengthen local ownership and initiative, participation, and capacity?
* Which socio-cultural barriers may impede the approach, and how can they be overcome?
* What negative consequences and impacts might result from project implementation? To what extent will it be possible to consider and address these risks in the project/project concept (e.g., Do No Harm approach, conflict-sensitive impact monitoring, etc.)?
* What risks are involved in project implementation (personal risk for those implementing the project, institutional and reputational risk, contextual risk)? How can they be minimized?

1. **Time frame**

The entire period of the baseline study will take a total of 30 days that will include preparation, development of the assessment tools, actual data collection at desk and field level, data analysis, preparation of draft and final reports. The time frame will not be extended unless otherwise proven evidences presented.

**Table 1: Timeline of assessment**

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| --- | --- | --- |
| **No.** | **Activity** | **No. of working days** |
| 1 | Briefing and Q&A on ToR and work schedule with Consortium Partners KFOS, NVK, DS (partial participation of KKS via MS Teams) | 1 |
| 2 | Desk study and development of an inception report to be shared with KFOS, NVK, DS and KKS for validation | 2 |
| 3 | Data collection, interviews, field visit in three project areas in two countries | 18 |
| 4 | Data analysis, report writing and submission of the 1st draft report to KFOS, NVK, DS KKS | 5 |
| 5 | Workshop on preliminary results and recommendation of the baseline study and debriefing (partial participation of KKS via MS Teams) | 1 |
| 6 | Revision of 1st draft report and submission of 2nd draft | 1 |
| 7 | Briefing and Q&A prior to finalization of the final report (partial participation of KKS via MS Teams) | 1 |
| 8 | Validation by KKS and submission of the final report | 1 |
| **TOTAL** | | **30** |

The timeline is indicated as follows:

* The contract should be signed by December 29th 2023
* The briefing via MS Teams is anticipated for January 25th 2024.
* Data collection should start January 29th 2024
* The final baseline study report should be submitted to KKS by March 05th 2024.

1. **Selection, Contracting and Communication**

According to BMZ regulations, the selection of the consultancy to conduct the baseline study will be proceeded on the basis of a public tendering process. The decision will be made based on selection criterias provided by BMZ/KKS by all Consortium Partners involved. KKS Germany will provide the final approval of the decision.

After KKS final approval, the local executing partner KFOS will contract with the professional consultants selected.

According to BMZ regulations equal transparent communication between all Project Holders and KKS Germany alike at any time will be provided to ensure transparent coordination of the baseline study.

1. **Qualifications and Required Competencies**

The assessment team should have a licensed consultancy certified and legally entitled to conduct research in Kosovo and Albania in the following areas:

* The lead consultant should have a minimum of 10 years’ experience in leading baseline study, project development, baseline establishment, impact evaluations and demonstrate knowledge in the areas of Promotion and Realization of the Rights of Roma in Kosovo and Albania with special emphasis of socio-economic (re-)integration of Roma minorities in the field of primary education, health and employment in the specific target locations of the project and in both countries Kosovo/ Albania.
* A team of experts with demonstrated knowledge and expertise of the Roma society/ minority in Kosovo and Albania, expertise in conducting field research within Roma communities, expertise in Roma policies on national and European political level – most likely experienced in previous baseline/ evaluations and feasibility studies affiliated to Roma minorities
* Demonstrated academic and practical experience in qualitative and quantitative research methodologies, data collection, analysis and evaluation and are familiar with the region in question and the content of the intervention.
* Experienced in the field of social Sience and research, development cooperation and evaluation with special emphasis on education for Roma children, health & hygiene, income generating activities and employment/ occupation re-integration of Roma
* Experience in baseline study/ evaluation of development projects using OECD DAC criteria.
* Strong analytical, facilitation and communication skills.
* Excellent reporting skills
* Fluent in professional English
* Commitment to meet the deadlines, with available resources and human power to make necessary logistical arrangements.

1. **Management of the baseline study**

The baseline study will be conducted by the consultancy/ study team selected in close coordination with the Project Holders. The expenses for the baseline study are already budgeted and part of the Cost Plan of the Project. KFOS will remunerate the consultant selected. The implementation of the study, including the administrative and financial management will be done by the contractee selected in the selection procedure. The contractee will be supported by all Consortium Partners (Project Holders) KFOS, NVK and DS with their professional support towards target group and target area as well as activities according to project documentation handed over to the consultant after contracting with KKS. The contractee will coordinate with KFOS during the study period and KFOS with all partners involved if not necessarily independent with NVK and DS precisely need based / field research based in their specific project location/ beneficiaries (Roma communities). All Partners will facilitate logistical support, arrange/attend meetings, provide background information, concerning the organizations capabilities in relevant fields, etc.

**Offers can be submitted until December 28, 2023 to KFOS to the email:** [**arben@kfos.org**](mailto:arben@kfos.org)**.**

**The following documents must be submitted** by the consultants as PDF:

1. Technical offer
   1. Reference to the baseline of the present ToR.
   2. Brief description of the overall design and methodology of the baseline study and a proposed work plan (max. 3 pages).
2. Financial offer
   1. A budget proposal for the entire baseline study incl. VAT, specifying the number of suggested working days and other relevant costs (e.g. accommodation costs, local transport)
   2. Proof of professional admission and taxation of the consultants (e.g. by specifying the tax number).
3. CVs of relevant personnel, with two references
4. Statement of independence
5. Registration documentation that proves the eligibility or performing similar undertakings

The **estimated costs** of the baseline study include the following components:

* Per diems for contractees team members.
* Travel and accommodation costs within the Target Area.
* Food, communication and local transportation costs for the respondents and organizers are to be borne by the contractees team members.
* All insurance-related matters lie with the contractees teammembers themselves.
* The study team themselves haveto cover the costs for necessary equipment, materialsetc. for the implementation of the baseline study.

1. **Resources**

The contractee is granted access to relevant interview partners by all Partners of the Consortium as well as their sub-partners and implementation organizations on site, if possible. The following documents are made available as soft copies when the contract is concluded: Project conception (narrative description of the project), Project logframe/impact matrix, Project budget.

1. The impact matrix reveals the project objectives and changes to be achieved within the planned project du-ration (=impacts). The matrix is developed on the basis of the specific initial situation and the problem analy-sis at the project location. [↑](#footnote-ref-1)
2. Indicators are measurable and observable characteristics that can be used to verify the changes during the course of the project as well as the achievement of objectives and impacts at the end of the project. They are divided into different levels: Overall objective, project objective and sub-objective indicators that demonstrate the benefits, utilisation and strengthened capacities.

   The specification of benefit indicators at overall objective level is optional, as they may be hard to measure in the immediate project context. However, if the private German and the local executing agency estimate this measurement possible anyway intending to implement it, such indicators will be appreciated and can be inserted at the corresponding matrix field.

   For each indicator, the initial situation (= quantitatively or qualitatively measurable initial value) and the situ-ation at the end of the project term (= corresponding measurable target value) must be indicated. The AC-TUAL and TARGET values must represent a precise benchmark, i.e. they must contain the same measurable and observable characteristics. [↑](#footnote-ref-2)
3. The indicator should be formulated as SMART as possible:

   S pecific: It is clearly related to the objective and describes a concrete situation.

   M easurable: It makes the change quantitatively or qualitatively detectable.

   A ppropriate: It is oriented towards existing needs, desirable for all participants.

   R elevant: It contributes significantly to the solution of the identified problems.

   T erminable: It is achievable and measurable by the end of the project duration at the latest. [↑](#footnote-ref-3)
4. The project objective is primarily to describe the successful use of the capacities and resources that the tar-get groups have gained with the project and to depict their direct result. [↑](#footnote-ref-4)
5. The sub-objectives are intended to contribute concretely to the achievement of the project objective and mostly refer to the different direct target groups and/or individual components of the project. At this level, it should become clear in how for their strengthened capacities (additional competences, equipment with new resources such as infrastructure, materials and others) empower the target groups. [↑](#footnote-ref-5)
6. The promotion of private executing agencies focuses on structure-building development projects with a sus-tainable impact. This means that the positive effects of a project and its measures continue after the end of the project and develop further positive effects and will not be cancelled by unplanned negative effects. Therefore, special attention must be paid to the aspect of sustainability. [↑](#footnote-ref-6)