# TERMS OF REFERENCE

## Final Evaluation of the Pilot Project to Support Socio-Economic Development of Rural Areas in DPRK (SED project)

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| **Location** | - Home based<br>- DPRK: Pyongyang and SED project areas *(Unryul and Unchon Counties of South Hwanghae Province, and Hoechang County of South Pyongan Province)* |
| **Application deadline** | By 27 May, 2019 |
| **Type of Contract** | Individual Contractor |
| **Post Level** | International Consultant |
| **Languages required:** | English |
| **Duration of Initial Contract:** | Total 25 working days (including 7 working days in DPRK) |

## BACKGROUND

**Briefly describe the project rationale / background and the objectives of the project**

**About the project:**

*Pilot Project to Support Socio-economic Development of Rural Areas in DPRK* (SED) was formed in mid-2015 during the UNDP's Country Programme Cycle 2011-2015, when the Democratic People's Republic of Korea (DPRK) was recovering slowly from the extreme difficulties (1990's till 2005, due to externally the collapse of the former socialist economic system of the Soviet Union and internally a series of severe natural disasters subsequently ins the country). Improvement in people's living standards has been a high priority of the DPRK national development strategy.

Growing foreign investments are reported primarily in heavy industry and infrastructure sectors mostly from China, whilst volatility in agricultural production is a major challenge, with food shortage and diversity a chronic problem. The structural causes of the crisis include: inefficient production and distribution systems, limited arable land, short farming seasons, floods and climatic shocks, and lack of investment.

To alleviate the impact of such a major challenge on people, among others, the sectors of agriculture and light industry that are more directly related to people's lives have been identified as key areas by UNDP for intervention during 2011-2015 programme cycle (extended to 2016). The aim is to address the barriers for effective food production, employment, livelihoods and income generation in rural areas, which exist in all links of the production and consumption chain such as the local raw materials bases, foodstuff factories, daily necessities factories, household organizations, and training institutions serving rural productions, etc. due to their old techniques, low skills, and weak management.

The SED project has a duration of 3 years with a budget of USD 4,328,309 when formed in June 2013, with technical support from the United Nations Industrial Development Organizations (UNIDO) and was supposed to be completed by July 2016. Given slow progress resulted from various difficulties encountered[1], with approval from UNDP HQ in December 2015, the project was extended by two years till July 2018 with its total budget increased to USD 5,240,309 (USD 912,000 incremental). However, due

[1] These include late recruitment of the project team (international project manager on board in July 2014), lengthy clearance process for agreement between UNDP and UNIDO on project implementation (since the project's signature), national precaution measure of quarantine for prevention of Ebola transmission (quarter 4, 2014 to quarter 1, 2015), and closure of banking channel for fund transfer to UNDP DPRK Country Office (quarter 3 to 4, 2014), etc.

to old difficulties continued or re-happened[2] and new challenges[3] emerged further restricting the project progress after the extension, the project was granted no-cost extension until 31 December 2018.

Using the lenses of human development and social welfare promotion, the project aims to enhance living standards by strengthening livelihood of rural population (women, youth, and vulnerable groups in particular), through a 'bundle' of multi-sector interventions to improve existing farm and agri-business initiatives. On-and-off farm diversification (including crop diversification and rural industry diversification) will be piloted as a strategy for food security, and income/livelihoods expansion. Economic integration involving existing local farms and agri-businesses will be piloted as a strategy for agricultural sector development.

Specifically, the activities are expected to foster revitalization of county and village (Ri) level enterprises i.e. food and daily necessities factories (FDFs) household organizations as well as raw material bases (RMBs) for daily necessities factories (DNFs) in the soap and paper sectors. The project will also assist in improvement of the production chain from cultivation and/or harvesting of raw materials to processing in factories and facilities dealing with food e.g. potato, fruits, and plants, and support to spirulina and pistia production. In addition, the project will support local cooperatives making garments, earthenware's, and other daily-necessities from locally available materials.

Through a series of technical analyses and training programmes, the project also aim to uncover and target the underlying institutional drivers of socio-economic development in rural areas, by strengthening existing human and social resources for the efficient utilization of livelihood opportunities.

Three counties i.e. Unryul, Unchon and Hoechang were selected as pilot areas considering their status of underdevelopment, energy sufficiency, landscape diversity, raw materials availability, geographical accessibility (for project management and monitoring), and local authorities' commitment to the project.

The detailed outcome and outputs of the project are:

Outcome: Increased standards of living and sustainable livelihood

Outputs:

Output 1: Employment and income generation in rural community industries promoted for more productive activities and improved standards of living and livelihoods

1.1 Production improvement of selected local food processing factories (Unryul and Unchon Counties)

1.2 Wild fruit and edible plant processing for nutrition improvement and food security in the mountainous areas of DPRK (Hoechang County)

1.3 Enabling the production and processing of protein rich plants (Unryul and Unchon Counties)

Output 2: Household food security and income generating activities enhanced for rural populations

2.1 Capacity building of local raw material bases for soap and paper production (Unryul and Unchon Counties)

2.2 Production revitalization of daily-necessities factories based on their own raw material bases (Unryul and Unchon Counties)

Output 3: Quality of rural production system and institutions improved for efficient utilization of livelihood opportunities.

[2] The LOA consultation process between UNDP and UNIDO continued till end Nov 2016 when it was finally signed, and the closure of bank channel for funds transfer re-occurred during Mar-Nov 2016, and then from quarter 2017 onwards till present.

[3] Two more UN sanction resolutions re. DRRK came in 2016 and in 2017, resulting in more stringent internal procurement policies and procedures for UNDP projects in DPRK since then.

3.1 Capacity building of community organizations for more productive activities and improved income generation (Unryul and Unchon Counties)

3.2 Support to community capacity for knowledge dissemination for local sustainable production (Hoechang, Unryul and Unchon Counties)

The project is implemented under Direct Implementation Modality (DIM), with the UNDP being responsible for the overall project management as well as direct implementation of the output 1.2, 1.3, and 3.2, whilst UNIDO is fully responsible under a UN Agency to UN Agency funding Agreement for implementing the remaining output 1.1, 2.1, 2.2, and 3.1.

UNDP's components were initiated in 2015 and completed by the end of 2018. Due to constraints e.g. limited funds in country for local procurement and UN sanctions for import of prohibited items, some residual activities expected to be completed by mid-2019.

Due to late agreement between UNDP and UNIDO for the implementation of this project, UNIDO sent its two technical assessment missions in July 2017 to DPRK to kick off its activities on ground. The missions assessed current situation, identified technology gaps, and designed processing lines as well as the training modules and list of equipment and materials needed for setting up these lines under its components of the project. However, UNIDO's components were not delivered since the procurement of needed equipment and materials could not be realized by the end of 2018, due to UN sanctions and cash conservation mode implemented by the CO resulted from the disruption of the banking channel.

**Management structure and stakeholders for the project:**

Adopting a direct implementation modality (DIM), the project has its dedicated management team based in the UNDP CO. An International Project Manager responsible for the daily management of the project with assistance from national project staff and consultant was recruited.

A Project Steering Committee was formed for guiding the project direction and addressing challenges, co-chaired by the UNDP Deputy Resident Representative (DRR) and the National Coordinator from the DPRK National Coordinating Committee (NCC) for UNDP, with participation of representatives from the Ministry of Local Industries (MoLI, former Ministry of Food and Consumer Goods Industry/MoFCGI), State Commission for Science and Technology (SCfST), and other institutions as needed at the central level.

## EVALUATION PURPOSE, SCOPE AND SAMPLE QUESTIONS

**Purpose and scope of evaluation:**

The project conducted a Mid-Term-Review in 2017 to assess its relevance, efficiency, effectiveness and recommend specific measure for further improvement of project implementation including solutions for overcoming the challenges in 2018, however due to the impossibility of the project's further extension, some of the recommendations were not implemented.

The project document also requires a "*Terminal Evaluation, to be conducted by an independent third party, will be initiated at the end of the Project and involve consultation with the Project stakeholders at the national and local levels*". It further outlines that the "*Terminal Evaluation will detail the achievements, outcomes & impacts of the project compared to baseline, the issues faced, and lessons learned during the project implementation and will provide recommendations for future actions*".

Therefore, this Terms of Reference (ToR) outlines the conduct of the Final Evaluation of the SED project. The international consultant to be recruited will need to review the entire duration of project implementation (June 2013 to December 2018), focusing on project results and experiences as well as key challenges met, lessons learnt, and areas for improvement, through the lenses of relevance, efficiency, national ownership, effectiveness and sustainability. The consultant will also take into consideration issues of gender, human rights and leaving no one behind. This will lead to recommendations of areas and methods of possible future interventions for the DPRK.

**Evaluation questions**:

The mainstream definitions of the OECD-DAC criteria are neutral in terms of human rights and gender dimensions which need to be added into the evaluation criteria chosen (link Integrating Human Rights and Gender Equality in Evaluations)

- ***Relevance:***
  - To what extent was the project in line with the national development priorities, the CPD outputs, CPD outcomes, UNDP Strategic Plan and the SDGs?
  - To what extent does the project contribute to the Theory of Change for the relevant CPD outcome?
  - To what extent were lessons learned from other relevant projects considered in the project's design?
  - To what extent were perspectives of those who could affect the outcomes, and those who could contribute information or other resources to the attainment of stated results, taken into account during the project design processes?
  - To what extent does the project contribute to gender equality, the empowerment of women and the human rights-based approach?
  - To what extent has the project been appropriately responsive to political, legal, economic, institutional, etc., changes in the country?
- ***Effectiveness:***
  - To what extent did the project contribute to the CPD outcomes and outputs, the SDGs, UNDP Strategic Plan and national development priorities?
  - To what extent were the project outputs achieved?
  - What factors have contributed to achieving or not achieving intended CPD outputs and CPD outcomes?
  - To what extent has the UNDP partnership strategy been appropriate and effective?
  - What factors contributed to effectiveness or ineffectiveness?
  - In which areas does the project have the greatest achievements? Why and what have been the supporting factors? How can the project build on or expand these achievements?
  - In which areas does the project have the least achievements? What have been the constraining factors and why? How can they or could they be overcome?
  - What, if any, alternative strategies would have been more effective in achieving the project's objectives?
  - Are the projects objectives and outputs clear, practical, and feasible within its frame?
  - To what extent have stakeholders been involved in project implementation?
  - To what extent is project management and implementation participatory and is this participation contributing towards achievement of the project objectives?
  - To what extent has the project been appropriately responsive to the needs of the national constituents and changing partner priorities?
  - To what extent has the project contributed to gender equality, the empowerment of women and the realization of human rights?
- ***Efficiency:***
  - To what extent was the project management structure as outlined in the Project Document efficient in generating the expected results?
  - To what extent has UNDP's project implementation strategy and execution been efficient and cost effective?
  - To what extent has there been an economical use of financial and human resources? Have resources (funds, human resources, time, expertise, etc.) been allocated strategically to achieve outcomes?
  - To what extent have resources been used efficiently? Have activities supporting the strategy been cost-effective?
  - To what extent have project funds and activities been delivered in a timely manner?
  - To what extent do the monitoring and evaluation systems utilized by UNDP ensure effective and efficient project management?

- ***Sustainability:***
  - Are there any financial risks that may jeopardize the sustainability of project outputs?
  - To what extent will financial and economic resources be available to sustain the benefits achieved by the project?
  - Are there any social or political risks that may jeopardize sustainability of project outputs and the project's contributions to CPD outputs and CPD outcomes?
  - Do the legal frameworks, policies and governance structures and processes within which the project operates pose risks that may jeopardize sustainability of project benefits?
  - To what extent did UNDP actions pose an environmental threat to the sustainability of project outputs?
  - What is the risk that the level of stakeholder's ownership will be sufficient to allow for the project benefits to be sustained?
  - To what extent do mechanisms, procedures, and policies exist to carry forward the results attained on gender equality, empowerment of women, human rights and human development by primary stakeholders?
  - To what extent do stakeholders support the project's long-term objectives?
  - To what extent are lessons learned being documented by the Project Team on a continual basis and shared with appropriate parties who could learn from the project?
  - To what extent do UNDP interventions have well designed and well-planned exit strategies?
  - What could be done to strengthen exit strategies and sustainability?

**Evaluation crosscutting issues sample questions:**

- ***Human rights:***
  - To what extent have poor, indigenous and physically challenged, women and other disadvantaged and marginalized groups benefitted from UNDP DPRK's work in contributing to enhance fulfillment of people's economic and social right
- ***Gender equity:***
  - To what extent has gender equality and the empowerment of women been addressed in the design, implementation and monitoring of the project?
  - Is the gender marker data assigned to this project representative of reality?
  - To what extent has the project promoted positive changes in gender equality and the empowerment of women? Were there any unintended effects?

## DUTIES AND RESPONSIBILITIES

**Expected Outputs and Deliverables**

**Methodology:**

The evaluation will be guided by the updated UNDP evaluation policy building on its global practices (Programme and Project Operating Procedures). Following this TOR by the UNDP DPRK Country Office, the international consultant should,

*Before the field mission to DPRK*

- Conduct an extensive project related document review, based on which prepare a draft Inception Report with detailed evaluation methodology proposed such as Key Informant Interviews (KII), Focus Group Discussions (FGD) and other effective ways as appropriate to capture perceptions and evidence from both the key stakeholders at central level and the beneficiaries at the community level in the project areas, utilizing quantitative and qualitative mixed-methods.
- Finalize the Inception Report integrating comments and suggestions from UNDP and national counterparts.

*During the field mission in DPRK*

- Conduct field assessment applying the methodologies as per the Inception Report.
- Organize a validation / debriefing meeting with relevant key government counterparts and UNDP, to test the assumptions, findings, and recommendations, covering achievement and experiences, challenges and lessons, future improvement in possible continuation and / or replication.

*After the filed mission in DPRK*

- Utilize high quality info-graphics and other means in communicating the data and findings in the final report.
- Illustrate the extent to which the design and implementation of the project incorporate a gender equality perspective and human rights-based approach.
- Adopt an evidence-based approach underpinned by observations and especially data collected in findings provided, conclusions drawn, and recommendations made.

Methodologies may include some or all of the following:

- Evaluation should employ a combination of both qualitative and quantitative evaluation methods and instruments.
- Review of all relevant documentation including (see details in Annex):
  - Project Document including theory of change and results framework
  - Quality assurance reports
  - Annual Work Plans
  - Consolidated Quarterly and Annual Reports
  - Results Oriented Monitoring Report
  - Highlights of Project Board Meetings and
  - Technical/Financial Monitoring Reports amongst other documents.
- Semi-structured interviews with key stakeholders including key government counterparts, donor community members, representatives of key civil society organizations, UNCT members, and implementing partners;
  - Development of questionnaires assessing relevance, effectiveness, efficiency and sustainability through interviewing different stakeholders.
  - Key informant and focus group discussions with men and women, beneficiaries and stakeholders.
  - All interviews should be undertaken in full confidence and anonymity. The final evaluation report should not assign specific comments to individuals.
- Field visits and on-site validation of key tangible outputs and interventions.
- Participatory and consultative approach ensuring close engagement with the evaluation managers, relevant stakeholders and direct beneficiaries.
- Data review and analysis of monitoring and other data sources and methods.
  - Ensure maximum validity, reliability of data (quality) and promote use, the consultant will ensure triangulation of the various data sources.

**Deliverables:**

- *Evaluation inception report (10-15 pages)*: the inception report should be carried out following and based on preliminary discussions with UNDP CO, desk review and should be produced before the evaluation starts (before any formal evaluation interviews, survey distribution or field visits) and prior to field mission in DPRK.
- *Evaluation debriefings*: before leaving DPRK, UNDP will hold a preliminary debrief and findings with the consultant.
- *Evaluation matrix*[4]*:*
  Sample Evaluation matrix

| Relevant evaluation criteria | Key Questions | Specific Sub-Questions | Data Sources | Data collection Methods/Tools | Indicators/ Success Standard | Methods for Data Analysis |
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[4] The evaluation matrix is a tool that evaluators create as map and reference in planning and conducting an evaluation. It also serves as a useful tool for summarizing and visually presenting the evaluation design and methodology for discussions with stakeholders. It details evaluation questions that the evaluation will answer, data sources, data collection, analysis tools or methods appropriate for each data source, and the standard or measure by which each question will be evaluated.

- *Draft evaluation report* (within an agreed length)[5]: UNDP CO will review the draft evaluation report, coordinate inputs from relevant stakeholders and provide an amalgamated set of comments to the consultant within two weeks.
- *Final evaluation report with a stand-alone Executive Summary*: final editing to be completed within two weeks by the consultant with incorporation of comments received. For the purpose of *evaluation report audit trail*, changes by the consultant in response to the draft report should be retained by the consultant to show how s/he has addressed comments.

**Evaluation ethics**

Evaluations in UNDP will be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation'[6]

This evaluation will be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation'. The Consultant must safeguard the rights and confidentiality of information providers, interviewees and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on its data. The Consultant must also ensure security of collected information before and after the evaluation and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information knowledge and data gathered in the evaluation process must also be solely used for the evaluation and not for other uses with the express authorization of UNDP and partners.

The Consultant is expected to read carefully, understand and sign the 'Code of Conduct for Evaluators in the UN System', which may be made available as an attachment to the evaluation report.

**Institutional Arrangement**

- UNDP ensures the participation of key stakeholders and beneficiaries through meetings, discussions and sharing of evaluation report.
- UNDP Evaluation Commissioner/Owner (RR a.i / DRR a.i) as advisory body will provide a sounding board for the international consultant while protecting his/her independence and ensure UNDP's ownership of the report's findings and recommendations.
- UNDP Evaluation Manager (M&ES) and Programme Manager (Programme Analyst) will support the conduct of the evaluation, including provision of feedback to the inception report, participation in the validation meeting, provision and coordination for comments on the draft report, distribution of the final report, and initiation of the recommendations' implementation.
- UNDP Programme Manager will be responsible for facilitating the provision of the existing data / documents to the international consultant and field data collection in DPRK, including preparation of field assessment schedules and logistic coordination.
- The international consultant will work independently.
- Detailed arrangements including service days and schedule of payments will be defined in UNDP's contract with the recruited Individual Consultant.
- UNDP Evaluation Commissioner/Owner will approve the final evaluation report.

**Duration of the Work**

The estimated duration of the assignment is 25 working days during June and July 2019. The whole process will be completed with the final report submitted and approved by 31st July 2019.

[5] 40 to 60 pages including executive summary is suggested

[6] UNEG, 'Ethical Guidelines for Evaluation', June 2008: http://www.uneval.org/search/index.jsp?q=ethical+guidelines

The tentative key stages of evaluation include:

- Phase 1 – Consultant selection: by 1 June 2019
- Phase 2 - Desk review and inception report: 4 – 8 June 2019 (5 consultancy/working days)
- Phase 3 - Data collection/field mission in DPRK: 24 June – 2 July 2019 (7 consultancy/working days)
- Phase 4 - Draft and finalization of report (incl. an executive summary): final report by 31 July 2019 (13 consultancy/working days)

**Duty Station**

- During mission in the DPRK, the Consultant will be based in Pyongyang, but with at least 2-3 days of field trips to the selected sites in the project areas *(Unryul and Unchon Counties of South Hwanghae Province, and Hoechang County of South Pyongan Province).*

## COMPETENCIES

- Strong facilitation, communication, presentation skills.
- Strong analytical abilities and reporting skills, with openness to change responding to feedbacks received.
- Ability to plan, organize and implement work, including under pressure and tight deadlines.
- Proficiency in the use of IT facilities including office applications and also networks in conducting research.
- Demonstrates integrity and ethical standards.
- Displays cultural, gender, nationality and age sensitivity and adaptability.

## REQUIRED SKILLS AND EXPERIENCE

**Educational Qualifications:**

- At least master's degree in economics, development or other related fields

**Experience**

- At least 8 years of demonstrable experience in development project assessment/evaluation
- Experience in dealing with government agencies at different levels, international organizations, and community people
- Understanding of socialist planned economy is a great asset
- Prior work experience with international organizations in DPRK or other countries in Asia Pacific region is desirable

**Language requirements**

- Excellent communication, presentation and writing skills in English

**Price Proposal and Schedule of Payments**

The candidates who feel interested in the assignment must send a financial proposal at **Lump Sum Amount**. The total amount quoted shall be itemized covering all costs required to perform the tasks identified in the TOR, including professional fee, travel costs, living allowance and any other applicable cost to be incurred. The contract price will be output-based regardless of extension of the herein specified duration. Payments will be made upon completion of the deliverables/outputs as per below percentages:

- *Deliverables - phase 1:* Desk Review and Inception Report produced, submitted to and cleared by UNDP DPRK Country Office: 30% of total contract amount
- *Deliverables - phase 2:* Evaluation debriefing, Evaluation matrix and Draft Evaluation Report submitted to UNDP for review and comments and acknowledged by UNDP DPRK CO: 30 % of total contract amount
- *Deliverables - phase 3:* Final Evaluation Report incl. Executive summary incorporating comments received and approved by UNDP DPRK CO: 40% of total contract amount

**Evaluation Method and Criteria**

The candidates will be evaluated based on the ***cumulative analysis*** methodology.

The award of the contract shall be made to the candidate whose offer has been evaluated and determined as a) responsive/compliant/acceptable; and b) having received the highest score out of set of weighted technical criteria (70%) and financial criteria (30%). Financial score shall be computed as a ratio of the proposal being evaluated and the lowest priced proposal received by UNDP for the assignment.

**Technical Criteria for Evaluation (Maximum 70 points):**

- Criteria 1: Education – Max 10 points (10 pts – PhD degree; 5 pts – Master's degree)
- Criteria 2: Relevant professional experience - Max 20 Points (20 pts – above 12 years; 15 pts – 10 to 12 years; 10 pts – 8 to 10 years);
- Criteria 3: Language skills – Max 5 points (5pts - native English speaker)
- Criteria 4: Knowledge and experience about DPRK – Max 10 points (10 pts - work or consultancy experience in DPRK; 5pts – experience in other Asia Pacific countries)
- Criteria 5: Proposed methodology to undertake the assignment – Max 25 Points (25 pts – fully understand the task, logical and reachable; 15 pts - get sense of the task, basically meet the requirement; 5 pts – rough and unclear)

Only candidates obtaining a minimum of 49 points (70% of the total technical points) would be considered for the Financial Evaluation.

**Documentation required**

Interested individual consultants must submit the following documents/information to demonstrate their qualifications. Please group them into one (1) single PDF document as follows:

- Letter of Confirmation of Interest and Availability using the template provided in Annex II.
- Personal CV or P11, indicating all past experience from similar projects, as well as the contact details (email and telephone number) of the Candidate and at least three (3) professional references.
- Technical proposal, including a) a brief description of why the individual considers him/herself as the most suitable for the assignment; and b) a methodology, on how they will approach and complete the assignment.
- Financial proposal, as per template provided in Annex II.

Incomplete proposals may not be considered.

**Annexes**

- Annex I - Individual IC General Terms and Conditions
- Annex II - Offeror's Letter to UNDP Confirming Interest and Availability for the Individual IC, including Financial Proposal Template
- Annex III - Project documents for desk review

For any clarification regarding this assignment please write to operations.dprk@undp.org

## Annex III - Project Documents for Desk Review

Following documents will be shared with the international consultant after his/her recruitment contract is signed:

1. UN Strategic Framework DPRK 2011-2016
2. UN Strategic Framework DPRK 2017-2021
3. UNDP Country Programme Document DPRK 2011-2015
4. SED project document
5. UN Agency to UN Agency Contribution Agreement (Letter of Agreement / LOA) and its annex on the activities and budget between UNDP and UNIDO)
6. SED Baseline Survey Report
7. UNDP DPRK quarterly programme monitoring and oversight reports
8. SED annual and quarterly progress reports
9. SED Project Steering Committee meeting minutes
10. SED field monitoring and visit reports
11. SED MTR report 2017
12. Technical reports including

12.1 Assessment for In-country Technical Capacity in Wild Fruits and Herbs Processing

12.2 Assessment on Nutrition Improvement of Local Population and Diversified Animal Feed Production

12.3 Assignment Report by National Consultant for Pistia Related Activities

12.4 Development of the Protein Rich Plants Production and Processing Strategy in SED Project Areas in DPRK

12.5 Local Capacity Development Strategy on Knowledge Generation and Dissemination for Livelihoods Promotion in SED Project Counties in DPRK

13. Other reports and materials produced by the project