

**ANNEX I**

ETHIOPIA

TERM OF REFERENCE (ToR)

FOR THE RECRUITMENT OF INDIVIDUAL CONTRACTOR (IC)

**GENERAL INFORMAION**

**Services/Work Description:** Recruitment of individual consultants to evaluate the institutional Strengthening For Forest Sector Development Project

**Project/Program Title:** Institutional Strengthening for Forest Sector Development

**Post Title:** 1 International and 1 National Consultant

Group of Individuals and/or Firms are not eligible for this consultancy assignment (only for individual level application**)**

**Consultant Level: Level C** (Senior Specialist)

**Duty Station:** Addis Ababa

**Duration:** 35 working days distributed over 2 months

**Expected Start Date:** August 1st 2021

1. BACKGROUND AND COUNTRY CONTEXT

**COUNTRY CONTEXT**

The country’s fast and stable economic growth creates opportunities for the forestry sector. These opportunities should be captured in forest sector development planning process to in-crease the contribution of the sector to the country’s economic development. Some of the key opportunities include: I)Political commitment of the government to build a green economy based on renewable re-sources such as sustainably and domestically produced wood products; ii) Investment in public infrastructure, particularly in roads, railways and energy, which helps the forestry sector to become more productive and competitive; iii) The booming construction sector creates huge demand for raw and processed wood prod-ducts (the construction sector accounted for nearly 50% of the share of industry in GDP during GTP I); iv) Clean and cheap energy supply enhances the completeness of wood-based manufacturing industries compared to neighboring countries in the region; v) The ongoing rural electrification program reduces pressure on forests for energy and creates significant opportunities for the production of utility poles; vii) A continued rise in the working age population provides the opportunity for labor intensive forestry programs and projects; viii) The growing economy of the country increases the purchasing power of citizens, which in turn increases demand for quality wooden furniture and construction materials.

**BACKGROUND OF THE PROJECT**

**The purpose of the project was to** assist Ethiopia in achieving its targets on large scale afforestation-reforestation as described in the CRGE strategy by 2025 and reach the targets on reduced emissions into sequestration of Green House gasses from the forest sector. The project has been implemented from 2015-2021.

**The Overall objective of the project** is to strengthen the capacity of the then Ministry of EFCCC, and the current EFCCC in particular at all levels and the Ethiopian government’s overall capacity in the forest sector at all levels to spearhead the Climate Resilient Green Economy (CRGE) strategy and the Growth and Transformation plan (GTP) targets.

The project was supporting the then Ministry of Environment, Forest and Climate Change and the existing Environment Forest and Climate Change Commission and its equivalent at regions l to enhance their capacity in forest conservation and development

The project has also been through an adjustment process ( time extension) to respond to the unprecedented COVID 19 pandemic and No Cost Extension granted until 13th December 2021 by Ministry of Finance.

**The Complementary outputs of the project are**:

* By 2020, the institutional capacity of the forest sector is strengthened at all levels
* Forest conservation and development for their multiple benefits promoted
* Private sector involvement in forest development facilitated
* Science and innovation for enhancing Sustainable Forest Management promoted
* Stakeholder engagement in forest development enhanced

**The Specific Project Objectives are**:

* Enhance and stimulate sustainable forest development in line with GTP and CRGE
* Foster institutional strengthening at all levels
* Promote popular participation
* Strengthen Science and Innovation
* Promote private sector engagement

**GEOGRAPHIC AND BENEFICIARY TARGETING**

The project has been implemented in 13 pilot districts selected from Amhara; SNNP and Tigray regions The targeted beneficiaries for Afforestation and Reforestation as well as Assisted Natural Regeneration activities are jobless youths and vulnerable communities for climate change and environmental degradation.

**IMPELEMENTING PARTNERS**

At federal level Environment, Forest and Climate Change Commission is the Implementing Partner of the project and Ministry of Finance is the Responsible Partner of the project ,

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| --- | --- | --- |
| PROJECT INFORMATION | | |
| **Project title** | Institutional Strengthening for Forest Sector Development | |
| **Atlas ID** |  | |
| **Corporate outcome and output** | The complimentary out puts of the project are:   * By 2020, the institutional capacity of the forest sector is strengthened at all levels * Forest conservation and development for their multiple benefits promoted * Private sector involvement in forest development facilitated * Science and innovation for enhancing Sustainable Forest Management promoted * Stakeholder engagement in forest development enhanced | |
| **Country** | Ethiopia | |
| **Date project document signed** | 2/06/2015 | |
| **Project dates** | **Start** | **Planned end** |
| 2/06/2015 | 31 Dec 2021 |
| **Project budget** | $ 11,045,750 of which $6,500,099; $ 2,653,000 and $1,889,651.89 Sweden; Norway and UNDP contributed respectively. | |
| **Funding source** | Norway; Sweden and UNDP | |
| **Implementing party** | UNDP and EFCCC | |

1. EVALUATION PURPOSE AND OBJECTIVE

**Purpose**

The purpose of the Terminal evaluation is to assess the achievement of project results and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming. The TE will be conducted according to the guidance, rules and procedures established by UNDP.

**OBJECTIVES OF THE MID TERM EVALUATION**

* Review and reconstruct the theory of change of the programme to map the results pathways and assess cause - effect relationships.
* Assess the relevance, effectiveness, efficiency, and sustainability of the programme interventions.
* Identify implementation issues and challenges/bottlenecks which constrain programme and financial delivery.
* Provide evidence whether the programme implementation is on track or off-track during the mid-years period and propose measures to rectify.
* Identify lessons learned and recommendations, based on evidence, so as to improve relevance, effectiveness, efficiency and sustainability of programme results, and also document knowledge basis from the programme design and implementation.
* Identify strengths and weaknesses of the programme in the application of right-based approach and gender mainstreaming and possible recommendations to apply in the remaining period of the programme;

**APPROACH & METHODOLOGY**

The TE is expected to follow a collaborative and participatory approach ensuring close engagement with the Project Team, government counterparts (the Environment of Environment, Forest and Climate Change Commission ; relevant regional and woreda bureaus in Amhara, SNNP and Tigray; the UNDP Country Office(s), UNDP, the Norwegian and Sweden Embassies as well as beneficiaries

Engagement of stakeholders is vital to a successful TE . Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to executing agencies, senior officials and task team leaders, key experts in the subject area, REDD+ Steering Committee, local communities etc. Additionally, the TE team is expected to conduct field missions in selected 4 woredas from Amhara, Tigray and SNNNP regions.

The final TE report should describe the full TE approach taken and the rationale for the approach making explicit the underlying assumptions/logics of the program, challenges, strengths and weaknesses about the methods and approach of the review.

The findings of the TE will be presented to key stakeholders for further validation, enrichment, and endorsement.

In general, the approach and methodology will be

* Conduct desk review
* Collect primary data using appropriate tools in line with evaluation questions and log frame indicators
* KII with program stakeholders and FGD with communities
* Field visits to the implementation sites

**EVALUATION CRITERIA AND KEY GUIDING QUESTIONS**

**Relevance**

* Review the project in line with the national development priorities, the projects outputs and outcomes, the UNDP Strategic Plan, and the SDGs;
* Review to what extent the project contributes to the theory of change for the relevant country Programme outcome.
* Was the project relevant to the needs and priorities of the target groups/beneficiaries? Were they consulted during design and implementation of the project?
* Review to what extent were lessons learned from other relevant projects considered in the project’s design
* Review to what extent does the project contribute to gender equality, the empowerment of women and the human rights-based approach;
* Review to what extent has the project been appropriately responsive to political, legal, economic, institutional, etc., changes in the country

**Effectiveness/**

* Review to what extent did the project contribute to the country Programme outcomes and outputs, the SDGs, the UNDP Strategic Plan, and national development priorities
* Review to what extent has the UNDP partnership strategy been appropriate and effective and what factors contributed to effectiveness or ineffectiveness In which areas does the project have the greatest achievements; and what have been the supporting factors
* Review to what extent was the project management structure as outlined in the project document efficient in generating the expected results.
* Review to what extent have the UNDP project implementation strategy and execution been efficient and cost-effective.
* Review 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 did project achieve its envisioned outcomes/outputs contribute to the project’s strategic vision?
* To what extend did the project mainstreamed a gender dimension and support gender-responsive peacebuilding?
* How appropriate and clear was the project’s targeting strategy in terms of geographic and beneficiary targeting?
* How strong is the commitment of the Government and other stakeholders to sustaining the results of the project and continuing any unfinished activities?
* Was the project monitoring system adequately capturing data on the project results at an appropriate outcome level?

Impact.

* To what extent – and how – project investments contributed to helping improve the lives of beneficiaries.
* What were the effects of the intervention on participants’ lives? • Did a specific part of the intervention achieve greater impact than another?
* Were there unintended (positive or negative) effects of assistance for participants and nonparticipants?
* Were there any gender-specific impacts? Did the intervention influence the gender context? • Were there impacts on institutions? • Did the intervention contribute to long-term intended results?

**Sustainability and ownership**

* How strong is the commitment of the Government and other stakeholders to sustaining the results of PBF support and continuing initiatives, especially women’s participation in decision making processes, supported under PBF Project?
* **How has the project enhanced and contributed to the development of national capacity in** order to ensure suitability of efforts and benefits?

**EFFICIENCY:**

* How efficient was the overall staffing, planning and coordination within the project?
* How well did the project collect and use data to monitor results? How effectively was updated data used to manage the project?
* How well did the project team communicate with implementing partners, stakeholders, and project beneficiaries on its progress?
* Overall, did the project provide value for money? Have resources been used efficiently?

**CATALYTIC:**

* Was the project financially and/or programmatically catalytic?
* Has the project funding been used to scale-up other forestry /REDD+ initiatives?

**GENDER:**

* To what extent have gender considerations mainstreamed and had 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 women participation in the forest conservation and development activities? To what extent have poor, indigenous and physically challenged, women and other disadvantaged and marginalized groups benefited from the work of UNDP in the country?

SCOPE OF EVALUATION

The evaluation will consider the overall performance of the ISFSDP from January 2015 to December 2021 The scope of the evaluation will focus on examining the ISFSDP project overall contribution to capacity building of the forest sector at all levels in the country and piloting A/ R and ANR in selected districts in Amhara, SNNP and Tigray National Regional States.

1. METHODOLOGY

The terminal evaluation of the project will be carried out in accordance with UNDP Evaluation guideline, Evaluation Norms[[1]](#footnote-2), ethical standards. This is a summative evaluation involving both qualitative and quantitative methods to evaluate the project performance and to make recommendations. The evaluation must follow participatory approach whereby discussions with and surveys of key stakeholders provide/ verify the substance of the findings. The Evaluators should review the project theory of change, and the programming logic.

The evaluators expected to employ innovative approaches to data collection and analysis. Proposals should be clear on the specific role each of the various methodological approaches in helping to address each of the evaluation questions.

The methodologies for data collection may include but not necessarily be limited to:

* **Document review of all relevant documentation**: Theory of change and results framework, Annual workplans, biannual and annual reports, monitoring reports and technical project team meeting minutes.
* **Semi-structured interviews** with key stakeholders including key government counterparts, community members, and representatives of key civil society organizations (CSOs). Key informant interviews and focus group discussions, as appropriate, with major stakeholders including Donor Agencies
* Systematic review of monitoring data from the Recipient UN Organizations, and other key sources of data.
* On-site field visits and interviews of project beneficiaries,

1. EVALUATION PRODUCTS (DELIVERABLES)

The evaluation team expected to deliver the following

* Evaluation inception report (10-15 pages). The consultants/Evaluators will prepare an inception report which details the consultants/ evaluators understanding of the evaluation and how the evaluation questions will be addressed. This is to ensure that evaluators and the stakeholders have a shared understanding of the evaluation. The inception report must include the evaluation matrix summarizing the evaluation design, methodology, evaluation questions, data sources and collection analysis tool for each data source and the measure by which each question will be evaluated.

**The inception report should include the following key elements:**

* Overall approach and methodology
* Evaluation Matrix – summarizes and visualize the evaluation design and methodology for discussion 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.

**Sample evaluation matrix**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Relevant evaluation criteria | Key questions | Specific sub questions | Data sources | Data-collection methods/tools | Indicators/ success standard | Methods for data analysis |
|  |  |  |  |  |  |  |

* Key lines of inquiry & interview protocol
* Data collection tools and mechanisms
* Proposed list of interviewees
* A work plan and timelines to be agreed with relevant PBF focal points

The Inception report will be reviewed and approved by both UNDP and EFCCC

* Presentation/validation of preliminary findings to relevant in-country stakeholders and PBF. Immediately following an evaluation, the evaluator is expected to provide preliminary debriefing and findings before sharing the draft report.
* Draft evaluation report (30 – 50 pages including annexes). The draft evaluation report will be submitted to the UNDP for review and comments. Comments from the stakeholders will be provided within 10 days after the reception of the Draft Report. The report will be reviewed to ensure that the evaluation meets the required quality criteria. The report expected to provide options for strategy and policy as well as recommendations.
* Final evaluation report. The final report (30 to 50 pages): This will be submitted 10 days and will include comments from the Programme stakeholders. The content and the structure of the final analytical report with finding, recommendations and lessons learnt covering the scope of the evaluation should meet the requirements of the UNDP evaluation guideline.
* Presentations of the evaluation key findings and lesson learned to stakeholders and/or the other relevant project partners

1. EVALUATION TEAM COMPOSITION REQUIRED COMPETENCIES AND QUALIFICATION

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| **Corporate competencies**   * Demonstrates integrity by modelling the UN's values and ethical standards; * Promotes the vision, mission, and strategic goals of UNDP; * Displays cultural, gender, religion, race, nationality, and age sensitivity and adaptability; * Treats all people fairly without favoritism.   **Functional and technical competencies**   * Ability to work in a diverse and multi-cultural environment; * Self-motivated and ability to work under pressure and to meet strict and competing deadlines; * Demonstrated familiarity with the United Nations and its Agencies, Funds and Programmes; * Demonstrated understanding of gender issues and women in peacebuilding within evaluation; * Demonstrated understanding of conflict analysis, conflict drivers, post-conflict recovery; * Demonstrating understanding of the governance sector, Rule of law, citizen security, justice, and human rights issues * Ability to plan effectively, prioritize, complete tasks quickly, adapt to changing context and demonstrated leadership in managing a team. * Strong analytical skills, including with qualitative and quantitative research methods; * Excellent communication skills, written and oral, including in cross-cultural contexts; |

##### **Required Skills and Experience - International consultants**

* Master degree or equivalent in forestry or other closely related fields
* Eight to ten years of evaluation experience, including the use of mixed methods. Ideally evaluation experience within development projects ;
* Sound knowledge of results-based management systems, and gender-sensitive monitoring and evaluation methodologies;
* Fluency in English is mandatory;

##### **Required Skills and Experience - National consultants**

* Master degree or equivalent in forest conservation and development or other closely related fields
* At least 5 years of professional experience in project/Programme evaluations, specifically in the area of forestry and natural resource management
* Sound knowledge of results-based management systems, and gender-sensitive monitoring and evaluation methodologies;
* Knowledge and experience of the UN System and the UN Reform process;
* Fluency in English is mandatory;

1. EVALUATION ETHICS

* This evaluation will be conducted in accordance with the principles outlined in the UNEG ‘Ethical Guidelines for Evaluation’. The evaluators 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 data. The evaluator 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.

1. IMPLEMENTATION ARRANGEMENTS

* The international consultant will work under the daily supervision of the ISFDP project manager and the overall guidance of the Team Leader for Climate Resilient Environmental Sustainability ( CRES ). The UNDP CO and the MoEFCC will provide the required logistical facilities such as DSA; field vehicle, etc.

1. TIME FRAME FOR THE EVALUATION PROCESS

* The schedule of the evaluation is expected to be as follows

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| Activity | Deliverable | Time allocated |
| Desk review, briefings of evaluators, Finalizing the evaluation design and methods and preparing the detailed inception report | Inception report | 10 days (August 10 2021 |
| Data collection and analysis (visits to the field, interviews, questionnaires), sharing preliminary findings, and Preparing the draft report | Draft report | 20 days ( August 30/2021) |
| Validation workshop – the draft report will be reviewed (for quality assurance) and comments will be incorporated in the final evaluation report | Final report | 5 days ( September 05/2021) |

1. LOGISTICS AND ADMINISTRATIVE SUPPORT TO PROSPECT IC (IF ANY)

The Consultants are expected to cover any transport service cost that they may be incurring during the 35 days.

1. DURATION OF THE WORK

Each consultant is expected to take 35 working days including for the number of days required to produce the inception report, data collection, draft report, and final report.

1. CRITERIA FOR SELECTING THE BEST OFFER

Upon the advertisement of the Procurement Notice, qualified Individual Consultant is expected to submit both the Technical and Financial Proposals. Accordingly; Individual Consultants will be evaluated based on Cumulative Analysis as per the following scenario:

* Responsive/compliant/acceptable, and
* Having received the highest score out of a pre-determined set of weighted technical and financial criteria specific to the solicitation. In this regard, the respective weight of the proposals is:
  1. Technical Criteria weight is **70%**
  2. Financial Criteria weight is **30%**

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| **Criteria** | | **Weight** | **Max. Point** |
| **Technical Competence (based on CV, and Proposal,** | | **70%** | 100 |
| **Criteria a.** [Understanding the Scope of Work (SoW); comprehensiveness of the methodology/approach; and organization & completeness of the proposal] | |  | 50 pts\* |
| **Criteria b.** [International consultant - Master’s degree in forestry administration, or | |  | 5 pts\*\* |
| * **Criteria c.** [International consultant Eight to ten years of evaluation experience, including the use of mixed methods. Ideally evaluation experience within development projects National consultant - At least 5 years of professional experience in project/Programme evaluations, specifically in the area of forestry and natural resource management | |  | 10 pts \*\* |
| **Criteria d.** [Extensive knowledge and understanding of evaluation methodologies, data analysis issues in peace building, conflict transformation and the role of women and youth in peace building and conflict resolutions] | |  | 5 pts\*\* |
| **Financial (Lower Offer/Offer\*100)** | | **30%** | 30 |
| **Total Score** | **Technical Score \* 70% + Financial Score \* 30%** | | |

**\* It is mandatory criteria and shall have a minimum of 50%**

1. **PAYMENT MILESTONES AND AUTHORITY**

The prospective consultants are expected to indicate the cost of services for each deliverable in US dollars **all-inclusive[[2]](#footnote-3) lump-sum contract amount** when applying for this consultancy. The consultant will be paid based on the effective UN exchange rate (where applicable), and only after approving authority confirms the successful completion of each deliverable as stipulated hereunder.

| **Installment of Payment/ Period** | **Deliverables** | **Approval should be obtained** | **Percentage of Payment** |
| --- | --- | --- | --- |
| The payment will be made to the consultant firm up on approval and acceptance of the Inception report | Inception Report | EFCCC/UNDP | 30% |
| The payment will be made to the consultant firm up on approval and acceptance of the Draft report | Draft Report | EFCCC/UNDP | 40% |
| The payment will be made to the consultant firm up on approval and acceptance of the Final report | Final Report | EFCCC/UNDP | 30% |

1. RECOMMENDED PRESENTATION OF TECHNICAL PROPOSAL

Interested consultants should submit cover letter expressing their interest and outlining their qualification and motivation for the consultancy together with CV and brief proposal on the methodology, approach for the assignment with financial quotation to the UNDP.

1. CONFIDENTIALITY AND PROPRIETARY INTERESTS

The Individual Consultants shall not either during the term or after termination of the assignment, disclose any proprietary or confidential information related to the consultancy service without prior written consent. Proprietary interests on all materials and documents prepared by the consultants under the assignment shall become and remain properties of UNDP.

15 Annexes

a) Intervention results framework and theory of change.

(b) Key stakeholders and partners.

(c) Documents to be reviewed and consulted.

(d) Evaluation matrix template.

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| --- | --- | --- | --- | --- | --- | --- |
| Relevant evaluation criteria | Key questions | Specific sub questions | Data sources | Data-collection methods/tools | Indicators/ success standard | Methods for data analysis |
|  |  |  |  |  |  |  |

(e) Outline of the evaluation report format.

Standard outline for an evaluation report. Annex 1 provides further information on the standard

outline of the evaluation report. In brief the minimum contents of an evaluation report include:

1. Title and opening pages with details of the project/programme/outcome and of the

evaluation team.

2. Project and evaluation Information details: project title, Atlas number, budgets and project

dates and other key information.

3. Table of contents.

4. List of acronyms and abbreviations.

5. Executive summary: a stand-alone section of maximum four pages including the quality

standards and assurance ratings.

6. Introduction and overview. What is being evaluated and why?

7. Description of the intervention being evaluated. Provides the basis for report users to

understand the logic and evaluability analysis result, assess the merits of the evaluation

methodology and understand the applicability of the evaluation results.

8. Evaluation scope and objectives. The report should provide a clear explanation of the

evaluation’s scope, primary objectives and main questions.

9. Evaluation approach and methods. The evaluation report should describe in detail the

selected methodological approaches, methods and analysis.

10. Data analysis. The report should describe the procedures used to analyse the data collected

to answer the evaluation questions.

11. Findings and conclusions. Evaluation findings should be based on an analysis of the data

collected and conclusions should be drawn from these findings.

12. Recommendations. The report should provide a reasonable number of practical, feasible

recommendations directed to the intended users of the report about what actions to take or

decisions to make.

13. Lessons learned. As appropriate and as requested in the TOR, the report should include

discussion of lessons learned from the evaluation of the intervention.

14. Annexes

a) Intervention results framework and theory of change.

(b) Key stakeholders and partners.

(c) Documents to be reviewed and consulted.

(d) Evaluation matrix template.

1. http://web.undp.org/evaluation/guideline/index.shtml [↑](#footnote-ref-2)
2. *The term “All inclusive” implies that all costs (professional fees, travel costs, living allowances, communications, consumables, etc.) that could possibly be incurred by the Contractor are already factored into the final amounts submitted in the proposal* [↑](#footnote-ref-3)