# Terms of Reference

**Terms of Reference**

1. **General Information**

**Services/Work Description:** Program evaluation of Sustainable Investment Promotion (SIP) program

**Project/Program Title:** Belt Promoting Sustainable Investments along the Belt and Road Initiative

**Duty Station:** Addis Ababa

**Type of the Contract: International Consultant**

**Duration:** 30 working Days

**Expected Start Date:** November 2021

**II. Background**

The China-led Belt and Road Initiative (BRI) envisions enhanced economic cooperation by pursuing five major goals: policy coordination, infrastructure connectivity, unimpeded trade, financial integration, and people-to-people bonds. UNDP has a state-level and strategic partnership on the Belt and Road Initiative (BRI) to achieve positive outcomes for developing countries and global public goods.

BRI believed to significantly contribute towards the achievement of the Sustainable Development Goals (SDGs) by unlocking important resources and promoting sustainable human development in partner countries (UNDP, 2020). Aligning the BRI with the United Nation’s 2030 Agenda for sustainable development (Agenda 2030) at the global level, with the African Union Agenda 2063 at the continental level, and with Ethiopia’s Growth and Transformation Plan at the national level aimed to accelerate the implementation of Sustainable Development Goals (SDGs). In this regard, UNDP as a partner intended to promote sustainable investments through BRI by strengthening partner countries’ capabilities by establishing a network of Sustainable Investment Promotions (SIP) facilities with Ethiopia as the pilot country to support in enhancing environmental and social sustainability.

Ethiopia as one pilot country to the BRI initiative, the Sustainable Investment project under the BRI initiative has been under implementation since January 2019. The main objectives of the project were

* To strengthen institutional frameworks and building capacity towards the leveraging of sustainable investments, in order to improve the overall investment climate to attract and sustain foreign investments that respond to the country’s national development priorities and local needs.
* to provide a framework of cooperation to leverage sustainable investment opportunities, show early and positive results, bridge communication gaps and ensure BRI investments complement existing programs with local stakeholders fully engaged.
* to improve the overall investment cooperation and conditions towards a sustainable, forward-looking path, and to tie investment promotion approach with well-structured, local institutions that have embodied local needs and development priorities including-

1. Promote investments in a way that creates sustainable pattern***s*** in economic, social and environmental terms, searching for innovative solutions that will ensure the achievement of the enhanced connectivity and accelerated progress for the advancement of the SDGs in both Ethiopia as the piloting country and other countries along the Belt and Road.
2. Provide investment offer to match investment demand.
3. Strengthen BRI partner countries’ capacities to better engage with BRI investment opportunities.
4. Forge mutually-beneficial and win-win cooperation for Chinese, international and local actors.
5. Promote positive early-harvest results and enhanced communication. While the BRI is still at an early stage, it is crucial to achieve positive results and to showcase successful examples, to demonstrate the potential of the initiative and encourage sustainable investments in the long run that clearly benefits partner countries. It also needs to create engagement mechanisms to enhance communication and consultation among key stakeholders to strengthen linkages to national and local authorities, rules and regulations and partners.

Since the start of the project implementation, the program has achieved the following accomplishments:

* BRI-SIP Investment Forum successfully held in Addis Ababa, Ethiopia, with identified thematic areas, practical challenge for further analysis and studies.
* Sustainable Investment Promotion event held in Beijing, China in light of the outcomes of the 2019 Belt and Road Forum for International Cooperation
* Training program (knowledge sharing workshop) to enhance knowledge on environment, social and governance (ESG) aspects of sustainable investments, a targeted sustainable investment knowledge exchange session on ESG aspect of sustainability of investments was held at Beijing
* BRI-SIP information platform established based on the existing UNDP network, as well as information and data access provided by external partners integrated with Ethiopian Investment Commission’s (EIC’s) existing information network/web platform- IT Servers and Core switches purchased.
* Assessment conducted on private sector engagement in light of sustainable investment  promotion in the framework of BRI/SIP.
* Diagnostics study conducted on environmental, social and governance (ESG) sustainable investments- **textile and *garment****, horticulture, leather and leather products, and agro-processing including sugar-related industries*
* Diagnostics study conducted on environmental, social and governance (ESG) sustainable investments- *infrastructure investments: energy and ceramics*
* In response to COVID-19, business continuity support to Ethiopian Investment Commission and Industrial Park Development Corporation both in term of strengthening EIC information platform for online services as well as remote working during COVID-19.
* Implementation of the ESG gaps in selected 10 pilot companies through deployment of international experts is underway. The sectors include Ceramic, Horticulture, Textile and Garment, Leather and Leather Products and Agro-processing

The Ethiopian Investment Commission (EIC) is the primary project implementing partner for this project. The project is funded by UNDP and UNDP takes the role of administering the project fund as well as in providing demand driven technical assistance and capacity building support to EIC. UNDP also provides quality assurance support to the project and monitors achievement of agreed results indicated in the annual work plans.

UNDP, having reached the end of the pilot phase of the program, would like to conduct monitoring and evaluation of the overall program on the development impact of the pilot BRI-SIP projects and to summarize successful practices. The evaluation is also expected to review the implementation of the pilot project activities and achievements of results starting from its initial period so that measure the impact of the project and draw lessons to facilitate decisions on future orientation of the program.

UNDP is now seeking the services of qualified and experienced international individual consultant to undertake **development impacts of the BRI-SIP projects** on the basis the program document and accomplished tasks since 2019

**III. Evaluation purpose**

**The programme evaluation** shall be conducted according to the guidance, rules and procedures established by Evaluation Guidance for UNDP Financed Projects. More specifically, the purpose of this evaluation is to assess the achievement and progress made against the planned results, assess challenges, and draw lessons learned, measure the impact of the project and draw lessons to facilitate decision on future orientation of the program. The evaluation aims also to promote accountability and transparency and assesses the extent of the program accomplishments.

The evaluation will also look into how emerging issues that were not reflected during the design of the current program document could impact the achievement of its outcomes, and make recommendations to ensure the continued alignment of UNDP assistance with national priorities to achieve robust results in the future.

The evaluation will assess the program results achieved thus far using commonly agreed criteria to validate the continued **relevance**, **effectiveness,** **efficiency**, **coherence**, sustainabilityand the **impact** of the overall program.

**IV. Evaluation Scope and objectives**

The scope of the program evaluation will cover all interventions of the project planned to be implemented during the project phase. The evaluation should compare planned output of the projects to actual outputs and access the actual results to determine their contribution to the attainment of the program objectives It should also attempt to evaluate the efficiency of project management including the delivery of the outputs and activities in terms of quality, quantity, timeliness and cost efficiency as well as features relate to the process involved in achieving those outputs and the impacts of the projects. The evaluation should also address the underlying causes and issues that contributed to changes or targets not adequately achieved

The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with all government counterparts, in particular Ethiopian Investment Commission and UNDP.

Taking in to consideration the participatory nature of the evaluation process, the major role of the evaluator will be to review and analyse relevant documents; collect any additional relevant information (such as through interviews with stakeholders and partners, program beneficiaries, conducting original research if necessary); preparing and presenting the draft report based on the information collected at various levels and finalizing the report and its recommendations taking into account comments received.

Overall, the evaluator will be responsible for:

* Carrying out a thorough desk review of available progress, go through the program document, annual review quarterly reports and analyze the overall achievement against the program action plan;
* Visit some of the project sites that will be determined after initial review and assessment of the documents and consultations with government partner and UNDP.
* Review all relevant sources of information including national strategic and legal documents and any other materials that the evaluator considers useful for this evidence-based assessment
* Assess the program performance against expectation. The evaluation shall at a minimum cover the criteria: relevance, effectiveness, efficiency, sustainability and impact
* The evaluation should assess the key financial aspects of the program including the extent of co-financing planned and realized. Project costs and funding data need to be required, including annual expenditure. Variances between planned and actual expenditure will need to be assessed and explained
* The evaluation needs to assess the extent to which the projects were successfully mainstreamed with other UNDP priorities
* The evaluation should assess the extent to which the projects are achieving impacts or progressing towards the achievement of impacts
* In close coordination with UNDP, EIC and other stakeholders to produce a comprehensive analytical report for the program evaluation which includes achievements/ progress realised, strategic issues, implementation challenges, lessons learned and recommendations;
* The report must include a chapter providing a set of conclusions, recommendations and lesson learned. Conclusion should build on findings and backed by evidence. Recommendations should be prioritized, specific, relevant and targeted and given that this is the final stage of the pilot program phase, recommendations must be useful for future programming and new project development in same or similar areas for UNDP and the government. Lessons should have wider applicability to other initiatives the areas of interventions and for future programming.

The main objectives of the evaluation process therefore include the need:

* To assess the relevance, effectiveness, efficiency, coherence, sustainability and the impact of the program in delivering on agreed outcomes and their contribution to national development efforts;
* To determine the adequacy of the existing systems and structures for implementing the program;
* To assess if program outputs and outcomes have been achieved;
* To identify major constraints faced, document lessons learned during implementation, and make recommendations for overcoming implementation challenges and supporting results achievement going forward;
* To identify implementation challenges and operational issues, and provide inputs and lessons learned;
* To identify factors that have contributed to achieving or not achieving the intended program outcomes;
* To identify factors that have contributed to effectiveness or ineffectiveness of the program;
* To assess appropriateness and effectiveness of the UNDP partnership strategy

**V. Evaluation criteria and questions**

Aligning to the evaluation criteria, the evaluation may need to include and address the following key evaluation questions, among others:

**Relevance:**

* To what extent the objectives and operations of the project were consistent with the need of beneficiaries, need of implementing partners, current country need, and donors’ policies and expectations?
* To what extent were the interventions aligned with the needs of other key stakeholders particularly government and other actors in the sectors?
* Were the approaches and strategies/arrangements used relevant to achieve intended outputs, outputs and outcomes of the programme/intervention? To what extent the thematic focus and institutional scope of the programme were appropriate to achieve intended results?
* To what extent did the interventions respond to the needs of vulnerable groups and women?
* To what extent the project was aligned to the SDGs, GTP II, UNSDCF, ten years and home grown?
* To what extent were project’s interventions coherent with UNDP’s policies, strategies and normative guidance?
* To what extent were the key stakeholders of the project including downstream stakeholders engaged in the design, implementation and monitoring of the programme?
* Did the assumptions and the Theory of Change hold true? If not, why?

**Effectiveness:**

* To what extent did this project achieve its planned outputs, and outcomes?
* What were the main expected and unexpected results of the project?
* What were the major factors influenced implementation and operations of the programme for achievement or non-achievement of results? What was the quality of implementation of the project?
* What were the unintended results of the changes in political landscape and the reforms underway in the country to the programme implementation and achievement of results?
* What are lessons learned and good practices to take up for future in designing and implementing a new second phase of the project?

**Efficiency:**

* Did the Project’s implementation mechanisms -including institutional arrangements, partnership, support services, etc., permit utilization of resources in efficient way, and also delivery of services and achievement of results in timely manner?
* Were the programme resources efficiently used? Was the cost per outputs used in the most cost-effective way or were there areas where savings ought to be made to reduce costs?
* To what extent were project management practices and tools adequate to timely and effectively implement the programme?
* Are project resources adequate and available on time to implement the activities as planned?

**Impact:**

* What were the long-term effects/outcomes of the project on the target beneficiaries/institutions and citizens? To what extent were the project objectives met? What are indications of success?
* Did the interventions of the project bring about any unintended (both negative or positive) effects on the target beneficiaries/institutions, citizens and/or operational environment?
* What were the gender-specific impacts, especially regarding women’s empowerment?
* How could the project be improved in its design, implementation and monitoring to have long-term effect/impact?

**Sustainability:**

* To what extent are the results and positive changes from the project implementation up to this point in time likely to continue after end of the project?
* To what extent did the current country situation would affect continuity and sustainability of results achieved?
* To what extent were the implementing partners showed ownership of the programme, results, and lessons learned and their ability to continue with the project with limited or without intervention from UNDP?
* To what extent the project established and maintained effective partnership with development partners, government, Civil Society Organizations (CSOs), etc.?
* To what extent were the participation and ownership of the programme by the IPs and other key stakeholders for ensuring sustainability of achieved results & lessons learned after end of the current programme?

**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 development activities? To what extent women benefitted from this project?

**Human rights**

* To what extent have poor, indigenous and physically challenged, women and other disadvantaged and marginalized groups benefited from the work of this project?
* The above listed evaluation questions are not to be considered as exhaustive to address the evaluation purpose and objectives in comprehensive manner. So, the evaluation questions will be further discussed and elaborated in collaboration with the evaluation team, stakeholders (implementing partners) and UNDP during the inception phase to refine and accept.

**VI. Evaluation approach and Methodology**

The evaluation is expected to follow a participatory and consultative approach ensuring close engagement with the Project Team, government counterparts / Implementing Partners, the UNDP Country Office(s), and other stakeholders. To ensure that the evaluation exercise will not place unnecessary additional burden on UNDP, EIC and government counterparts, the consultant will be significantly involved in the collection and consolidation of additional primary and secondary data to beef up the report writing. The exercise should thus be informative and forward looking.

**The methodology** of the evaluation will involve both primary and secondary data/information collection through conducting various consultations. The primary data/information gathering process may include interviews with UNDP, EIC and other key stakeholders and partners.

The evaluation will use the program Action Plan and Results Matrix plus Program Monitoring Framework as a basis for reporting on results and their achievement. The evaluator is expected to frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact,** as defined and explained in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported Projects. A set of questions covering each of the criteria using the template in **Annex A** should be completed and submitted the matrix as part of an evaluation inception report, and shall include it as annex to the final report

**Effectiveness refers to:**

·       Whether the project intervention achieved the expected output and immediate outcomes and made progress towards the intermediate outcomes

·       Whether there are any unintended results, either positive or negative observed

**Efficiency refers to:**

·       How economically are resources/inputs (funds, expertise, time, etc.) converted to outputs

·       Whether outputs achieved on time and on budget

**Sustainability refers to:**

·       What is the likelihood that results/benefits will continue after the closure of the project?

·       Are there committed financial and human resources to maintain benefits and results

·       Is the external environment conducive to the maintenance of results

**Impact refers to**

·       Extent to which the project is achieving impacts or progressing towards the achievement of impacts

At the secondary data level, the consultants may consult relevant documents, including evaluation of the program document, Annual Work Plans (AWPS), annual and quarterly reports, GTP II reports, donor reports, and global level documents on UN reforms, and any other relevant documents. The consultants could also refer to other countries’ BRI experiences and reports to cross-fertilize global experiences to enhance their recommendations. It is anticipated that the desk review should result in indicators summary

The consultants will also touch base with UNDP and EIC Operations Units to discuss regarding operational issues, and identified operational challenges.

Specifically, the thematic assessments should:

* Describe key results achieved (key achievements against the results in the program document and results framework and the Program Monitoring Framework);
* Good practices, that should continue and/or replicated;
* Challenges, operational issues, lessons learned and proposed actions to address the challenges;
* Provide inputs in to the development of Annual Work Plans and the next Program Monitoring Framework; and
* Issues for strategic-level direction.

**VII. Evaluation products and deliverables**

The consultancy assignment shall deliver the following outputs and be completed in a total of 30 working days. **Annex B clutches the evaluation reporting outline**

* Brief inception report of the evaluation
* Support the analytical reporting by focusing on thematic areas
* Collection and analysis of the secondary and primary information
* Draft evaluation report produced and shared with the UNDP and EIC for comment
* Final evaluation report

**VIII. Time frame**

The evaluation will be conducted between November 2021 and December 2021 as per the following tentative timeline.

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Deliverables** | **Working days assigned** | **November 2021** | | | | **December 2021** | | | |
| W1 | W2 | W3 | W4 | W1 | W2 | W3 | W4 |
| Inception report (Desk review of documents, development of detailed work plan, questionnaires, methodologies and (Evaluation) outline | 5 |  |  |  |  |  |  |  |  |
| Debriefing with UNDP CO, agreement on the methodology, scope and outline of the Evaluation report | 1 |  |  |  |  |  |  |  |  |
| Consultations and discussion with relevant stakeholders including UNDP and EIC, prepare necessary data and internal analyses on program outcome and achievement | 9 |  |  |  |  |  |  |  |  |
| Draft evaluation report produced and shared with UNDP and EIC for comments | 11 |  |  |  |  |  |  |  |  |
| Final evaluation report produced and shared to UNDP and EIC | 4 |  |  |  |  |  |  |  |  |

**IX. Evaluator required competencies**

The Evaluator should be an expert with experience and exposure to sustainable investment promotion and sustainable development advices on policy and capacity building projects and will have solid prior experience in carrying out mid-term or final evaluations of UNDP funded programs. The consultant cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project’s related activities.

The Evaluator should have the following qualifications and experience:

1. **Education**

* Advanced university degree in development studies, international development, economics, climate change, environmental management/engineering, Environmental Economics, policy evaluation, public policy or relevant field of studies

1. **Experience**

* Minimum of 10 years progressive experience in development related works.
* Strong analytical skills, a demonstrated ability to conduct interviews with a range of stakeholders, and experience in pulling together analysis and data into reports
* Experience in reviewing and compiling multiple data sets and strong understanding of quantitative and qualitative analysis with M&E Frameworks
* Deep knowledge and understanding of the UN reform processes, the United Nations Sustainable Development Cooperation Framework (UNSDCF); and Sustainable Development Goals (SDG)
* Understanding of or experience working with UN will be a strong asset
* The consultant must have prior experience of working with complex national level M&E frameworks or strategic plans involving multiple stakeholders
* Ability to identify implementation issues and operational challenges, and provide recommendations to remedy these issues to accelerate program delivery
* Adequate understanding of human rights-based approach to development, gender equality, environmental sustainability, Results based management
* Experience of carrying out similar assignment for UNDP funded evaluations in other countries is an asset

1. **Functional Competencies**

* Outstanding communication skills in English
* Positive and constructive approaches to work with energy
* Demonstrate openness to change and ability to receive and integrate feedback
* Excellent written and verbal communication skills
* Strong time management and meet established timelines.

1. **Language and Other Skills**

* Excellent knowledge of English, including the ability to write reports clearly and concisely and to set out a coherent argument in presentation and group interactions
* Capacity to facilitate and communicate with different stakeholders
* Computer skills: full command of Microsoft applications (word, excel, PowerPoint) and common internet applications

**X. Implementation arrangements**

The evaluator will be recruited under UNDP terms and conditions and will operate under the direct supervisor of the program specialist from the Inclusive Economic Transformation (IET) Unit.

**XI. Criteria for selecting the best offer**

Upon the advertisement of the procurement notice, qualified individual consultant is expected to submit both 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%**

|  |  |  |  |
| --- | --- | --- | --- |
| **Criteria** | | **Weight** | **Max. Point** |
| **Technical Competence (based on CV, Proposal and interview (if required))** | | **70%** | 100 |
| * Criteria a. Educational relevance: close fit to post | |  | 10 pts |
| * Criteria b. Understanding the scope of work and organization of the proposal | |  | 50 pts |
| * Criteria c. Experience of similar assignment | |  | 30 pts |
| * Criteria d. Previous work experience in Africa/ Ethiopia | |  | 10 pts |
| **Financial (Lower Offer/Offer\*100)** | | **30%** | 30 |
| **Total Score** | **Technical Score \* 70% + Financial Score \* 30%** | | |

**XII. Payment milestones and authority**

The prospective consultant will indicate the cost of services for each deliverable in US dollars **all-inclusive[[1]](#footnote-1) lump-sum contract amount** when applying for this consultancy. The consultant will be paid only after approving authority confirms the successful completion of each deliverable as stipulated hereunder.

The qualified consultant shall receive his/her lump sum service fees upon certification of the completed tasks satisfactorily, as per the following payment schedule:

| **Instalment of Payment/ Period** | **Deliverables or Documents to be Delivered** | **Approval should be obtained** | **Percentage of Payment** |
| --- | --- | --- | --- |
| 1st instalment | Upon submission and approval of inception Report | UNDP CO | 20% |
| 2nd instalment | Following submission and approval of the 1st draft evaluation report | “ | 30% |
| 3rd instalment | Following submission and approval of the final evaluation report | “ | 50% |

**XIII. Confidentiality and Proprietary Interests**

The consulting individuals 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 assignments shall become and remain projects/property of UNDP.

**XIV. Evaluation Ethics**

This terminal evaluation will be conducted in accordance with the principles outlined in the UNEG ‘Ethical Guidelines for Evaluation’ ; and the Evaluation Team is expected to be abided with those ethical considerations in the guidelines. Moreover, while conducting the evaluation, the Evaluation Team should carefully consider any harm that may result from an evaluation and take steps to reduce it. Everyone who participates in the evaluation should do so willingly (informed consent). Attention should also be made in order to keep the confidentiality and safety of the participants.

The evaluation ethical considerations and critical issues must be addressed both during the design and implementation of the evaluation. The evaluation ethics and procedures to safeguard the rights and confidentiality of information providers may include: measures to ensure compliance with legal codes governing areas such as provisions to collect and report data, particularly permissions needed to interview or obtain information about children and young people; provisions to store and maintain security of collected information; and protocols to ensure anonymity and confidentiali

1. *The term “All inclusive” implies that all costs (professional fees, travel costs (local field mission), 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-1)