

United Nations Development Programme

Terms of Reference

for Outcome Evaluation on Partnerships (Global Partnerships Promoted for Effective Results)

UNDP China

30 April 2008

A. INTRODUCTION

The growing demand for development effectiveness is largely based on the realization that producing good “deliverables” is simply not enough. Efficient or well-managed development projects and outputs will lose their relevance if they yield no discernible improvements in development conditions and ultimately in people’s lives. The United Nations Development Programme (UNDP) has been increasing its focus on achievement of clearly stated results. Nowadays, results-based management (RBM) has become UNDP’s management philosophy.

As part of its efforts in enhancing RBM, UNDP has shifted from traditional project monitoring and evaluation (M&E) to results-oriented M&E, especially outcome monitoring and evaluation that cover a set of related projects, programmes and strategies intended to bring about a certain outcome. An outcome evaluation assesses how and why an outcome is or is not being achieved in a given country context, and the role that UNDP has played. Outcome evaluations also help to clarify underlying factors affecting the situation, highlight unintended consequences (positive and negative), recommend actions to improve performance in future programming, and generate lessons learned.

Outcome to be evaluated

The Evaluation Plan of UNDP China adopted in January 2007 has made arrangements for Country Programme Document (CPD) outcome evaluations in the country Programme cycle of 2006-2010. The CPD outcome 10, Global Partnerships Promoted for Effective Results is scheduled for the year 2008, which needs to be finished by July, with key evaluation stakeholders like CICTEC, SSC/SU, CABC, etc. The specifications are summarized in the table followed on programme component, programme outcome, programme output, output indicators/baseline/target and resources by goal.

UNDAF Outcome 5: Increased role and participation in international arena and international cooperation.

Programme component	Programme outcomes	Programme outputs	Output indicators, baselines and targets	Resources by goal
Achieving the MDGs and reducing human poverty	10. Global partnerships promoted for effective results	10.1. China/Africa Business Council effectively promoting trade and investment.	10.1. Public-private partnerships enhanced in South-South cooperation initiatives. 10.2. China's cooperation with neighbouring countries in Tumen area, Central Asia and Mekong sub-region increased, especially in fields of trade, investment, tourism and transport.	Regular resources: \$2 million Other resources: \$6 million

Source: *Country Programme Document for China, 2006-2010*, Pages 13-14, UNDP China.

In the above box, a few indicators are identified to help measure the progress towards the achievement of the outcome. The evaluators are allowed to choose other indicators that are conducive to examining the progress of the outcome and the contributions of UNDP.

Brief national context related to the outcome

Globalization has on the one hand posed challenges for developing countries while on the other hand introducing new partnerships to the arena of South-South cooperation (SSC). The decline of Overseas Development Assistance and the recognition of shared needs and common issues have stimulated the growth of technical and economic cooperation between developing countries (TCDC/ECDC). Strengthening SSC through TCDC/ECDC has become a key part of China's foreign and economic policy in recent years.

South-South cooperation has an essential role to play in enhancing the status and voice of developing countries in the global economic arena. As such it can play an important role in boosting achievement by 2015 of the Millennium Development Goals – the MDGs – the globally accepted targets for reducing poverty, enhancing sustainability and raising the living standard of vulnerable populations.

Since the start of South-South cooperation in the 1960s, political forces have been its drivers, with inter-governmental arrangements and international organizations as key tools and players in the arena. As a result there have been times when South-South cooperation seemed more of a slogan and a topic of discussion than a concrete reality. It is only in the past few years that economic forces, i.e. trade, investment, tourism, transport and banking credit have emerged as dominant levers in promoting international flows of goods, capital, technology and human resources among developing countries, with an increasing part driven by private sector. According to Chinese official statistics, the value of bilateral trade between China and Africa increased from US\$ 40 billion in 2005, to 56 billion in 2006 and further to 73 billion in 2007.

In the meantime, Chinese outwards direct investment in Africa rose from US\$ 317 million in 2004, to 392 million in 2005 and further to 519 million in 2006. As declared in November 2006 by Chinese President *Hu Jintao* in his speech at the opening ceremony of *the Beijing Summit of the Forum on China-Africa Cooperation*, China promised to double its 2006 assistance to Africa by 2009; to provide US\$ 3 billion of preferential loans and US\$ 2 billion of preferential buyer's credits to Africa in the period of 2007-2009; and to set up a *China-Africa Development Fund* which will reach US\$ 5 billion to encourage Chinese companies to invest in Africa. All of the above figures have demonstrated the momentum and bright future of closer economic exchange between China and Africa.

Strategically, the tool of public private partnerships (PPP) has huge potential in China, with both challenges and opportunities. It is well-timed for UNDP China to scale up its efforts, to mobilize more resources, so as to realize good results. In order to make our outreach efforts more effective, strategic and systematic, the strategy of UNDP China on PPP is to help intensify our partnership efforts with the private sector to contribute to the attainment of the United Nations Development Assistance Framework (UNDAF) and UNDP Country Programme. As an integral part of the country programme, PPP will be integrated into the UNDP Programmes aiming at helping achieving the expected outcomes and results.

UNDP outputs and associated projects

The outputs are to be accomplished through a group of UNDP-supported projects and various non-project activities (soft assistance). The following table shows the UNDP-supported projects that are associated with the outputs and the outcome. Currently, the total approved budget under UNDP-supported projects in China with regard to the above outcome is around US\$ 15.5 million in the whole project cycles of the listed projects.

Table: Summary of UNDP-supported projects that are associated with the outcome

No.	Project Number	Project Title	Source of Fund	Total Budget (in USD)	Project Duration	Executing Agency	Counterparts
1	00043576 (CPR/04/618)	China-African Business Council (CABC)	TRAC SU/SSC	700,000	2005-2008	CICETE	Guangcai Programme
2	00034283 (CPR/04/606)	Chinese New Silk Road (Phase II)	TRAC Gov't C/S	1,384,965	2004-2008	CICETE	Some Silk Road Cities
3	00037848 (CPR/04/608)	Promoting SSC in the 21st Century (TCDC II)	TRAC Gov't C/S	1,606,339	2004-2007	CICETE	TCDC Internet Members
4	00055702 (CPR/07/17)	Cross-Border Economic Zone (CBEZ)	TRAC Gov't C/S	3,000,000	2007-2009	CICETE	Guangxi Yunnan
5	00012158 (INT/01K50)	Strengthening SSC through Pivotal Countries	TF (China)	2,698,769	2001-2008	CICETE	
6	00057549 (INT/07K51)	South-South GATE	SU/SSC TF(China)	323,000	2007- 2008	CICETE	SUAEE
7	00032172 (RAS/01/430)	Tumen III	TRAC CPR ROK TF ROK Gov't	3,155,302	2001-2008	UNOPS	Five Tumen Member countries
8	00043576 (RAS/04/SRSP)	Silk Road Regional Programme	RBAP RBEC	1,069,784	2005-2007	DEX	Five Central Asian Countries
9	00012119 <i>(Pending)</i>	Public Private Partnership Facility (Umbrella Project)	TRAC Third Party	1,470,000	2001-2008	CICETE	

B. OBJECTIVES OF THE EVALUATION

As one of the CPD outcome evaluations in the Country Programme Cycle 2006-2010, the evaluation is to conduct an overall assessment of the relations between the outcome and its variables, by ways of reviewing important projects/programmes in this portfolio and their responding inputs/outputs to the outcome, examining the contribution of non-project activities and soft assistance to the outcome, and looking into the effectiveness of the current partnerships.

Specifically, the outcome evaluation shall assess the following: (i) *outcome analysis* - what and how much progress has been made towards the achievement of the outcome (including contributing factors and constraints), (ii) *output analysis* - the relevance of and progress made in terms of the UNDP outputs (including an analysis of both project activities and soft-assistance activities¹), and (iii) *output-outcome link* - what contribution UNDP has made/is making to the progress towards the achievement of the outcome (including an analysis of the partnership strategy), (iv) *future intervention strategies and issues*. Most importantly, the evaluation report should be forward-looking by making recommendations on future programming strategies and issues in line with the Country Programme Document.

C. SCOPE OF THE EVALUATION

This outcome evaluation will be looking at the relevance and contributions of UNDP project activities with regard to the outcome. Specifically, the outcome evaluation is expected to address the following issues:

Outcome analysis

- How has UNDP's support for Global partnerships positively contributed to a favorable environment for the attainment of MDGs in China and abroad?
- How is the Global partnerships used to improve trade, investment, tourism, transport and banking credit in promoting South-South cooperation?
- How is the Global partnerships promoted as part of sustainable development strategy in China and other developing nations?
- Has there been improvement in key institutions in terms of institutional and individual capacities in servicing public and private sectors, as a result of UNDP's support? Is it more likely that coordinated efforts will be made among various institutions?
- How has the concept as well as the achievement of global partnerships been distributed among the network of partnerships of UNDP?

¹ For UNDP, soft assistance activities include advocacy, policy advice/dialogue, and facilitation/brokerage of information and partnerships.

- To what extent have the partners of UNDP been inspired and empowered by UNDP in either policy making or business operations?
- To what extent have the good practices and lessons been shared among developing nations? Are there any follow-up actions in institutional changes, knowledge products, or individual capacity improvement?

Output analysis

- How have the UNDP's outputs been relevant to the outcome?
- Has sufficient progress been made in relation to the UNDP outputs? If not, what are the factors (positive and negative) that affect the accomplishment of the outputs?
- Has UNDP's strategy in producing the outputs been effective and cost-efficient?
- Assessment of UNDP's ability to advocate best practices and desired goals both in China and abroad.

Output-outcome link

- Whether UNDP's outputs or other interventions can be credibly linked to the achievement of the outcome (including the key outputs, projects and assistance soft and hard that contributed to the outcome)?
- What are the key contributions that UNDP has made/is making to the outcome?
- What has been the role of UNDP's soft-assistance activities in helping achieve the outcome? Has UNDP been able to advocate for change and reform, promote public participation, or support drafting/implementation of rules in line with international practices?

Forward-looking analysis and recommendations

- With the existing partnerships with other actors and stakeholders, has UNDP achieved the outcome within the set timeframe and inputs – or whether additional resources are required and new or changed variables/factors are needed in the future?
- To what extent are the focus areas in the new Country Programme Document (CPD) relevant to the development needs of China during the new programme cycle? What strategies should UNDP undertake to achieve intended development results? What are the priority issues that UNDP could focus on in the short-term?
- Whether UNDP's partnership strategy has been appropriate and effective. Has UNDP been able to bring together various partners across sectoral lines to address global partnerships of China? Will these concerns be taken into account in national policy and “go abroad” strategies?

- Assessment of UNDP's ability to develop national capacity in a sustainable manner. Has UNDP been able to respond to changing circumstances and requirements in capacity development?
- What is the prospect of the sustainability of UNDP activities related to the outcome? Can it be ensured that outcome will be reached and maintained even after the UNDP engagement?

D. PRODUCTS EXPECTED FROM THE EVALUATION

The key product (deliverable) expected from this outcome evaluation is a 20-25 page comprehensive analytical report in English that should, at least, include the following content:

- Executive summary
- Introduction
- Description of the evaluation methodology
- An in-depth analysis of the situation with regard to the outcome, the outputs and the partnership strategy
- Key findings (including best practice and lessons learned)
- Conclusions and recommendations
- Annexes: TOR, field visits, people interviewed, documents reviewed, etc.

The evaluation report should provide fact-based answers to the key questions raised in Section C on the scope of the evaluation. (See the *UNDP Guidelines for Outcome Evaluators* for a detailed guidance on the preparation of an outcome evaluation report).

E. METHODOLOGY/EVALUATION APPROACH

An overall guidance on outcome evaluation methodology can be found in the *UNDP Handbook on Monitoring and Evaluating for Results* and the *UNDP Guidelines for Outcome Evaluators*. The evaluators should study those two documents very carefully before they come up with the concrete methodology/approach for the outcome evaluation.

Specifically, during the outcome evaluation, the evaluators are expected to apply the following approaches for data collection and analysis: (i) desk review of existing documents and materials, (ii) interviews with partners and stakeholders (including what the partners have achieved with regard to the outcome and what strategies they have used), (iii) field visits to selected key projects, (the purpose of the field visits is mainly to verify the UNDP produced outputs and the impact of the outputs), and (iv) briefing and debriefing sessions with UNDP and the government, as well as with

other donors and partners. Of course, the evaluation team has certain flexibility to adapt the evaluation methodology/approach to better suit the purpose of the evaluation exercise.

F. EVALUATION TEAM

The evaluation team will consist of two consultants: one international consultant (as team leader) and one national consultant (as team member). The international consultant should have an advanced university degree and at least ten years of work experience in the field of development, international trade, foreign direct investment, business administration and finance. The team leader will take the overall responsibility for the quality and duly submission of the evaluation report in English.

Specifically, the international consultant (team leader) will perform the following tasks:

- Lead and manage the evaluation mission;
- Design the detailed evaluation scope and methodology (including the methods for data collection and analysis);
- Decide the division of labor within the evaluation team;
- Conduct an analysis of the outcome, outputs and partnership strategy (as per the scope of the evaluation described above);
- Draft related parts of the evaluation report; and
- Finalize the whole evaluation report and submit it to UNDP.

The national consultant will perform the following tasks with a focus on China-specific analysis:

- Liaise with Chinese project authorities; collect and translate, when necessary, project materials;
- Introduce Chinese background information to international consultant;
- Review project documents particularly including those in Chinese;
- Participate in the design of the evaluation methodology;
- Conduct an analysis of the outcome, outputs and partnership strategy (as per the scope of the evaluation described above); and
- Draft related parts of the evaluation report.
- Draft 6-8 page mid-term evaluation report for the first phase of the project of China-Africa Business Council, if it is possible in both timeframe and budget.

G. IMPLEMENTATION ARRANGEMENTS

To facilitate the outcome evaluation, UNDP China will set up an Evaluation Focal Team (EFT), which will provide both substantive and logistical support to the evaluation team.

During the evaluation, UNDP China will help identify the key partners for interviews by the evaluation team. A total of about 15 work days are required for the evaluation, which are broken down as follows:

Activity	Working days
Evaluation designing	1 day
Desk review of existing documents	2 days
Briefing with UNDP China	1 day
Interviews with CICETE	1 day
Interviews with Guangcai Programme, CABC Secretariat, Tumen Secretariat, IPRCC	2 days
Drafting of the evaluation report	3 days
Debriefing with UNDP China	1 day
Finalization of the evaluation report	2 days
Final revision	2 days in the last week of July 14-18

H. SELECTED DOCUMENTS TO BE STUDIED BY THE EVALUATORS

The following documents should be studied by the evaluators:

- UNDP Handbook on Monitoring and Evaluating for Results
- UNDP Guidelines for Outcome Evaluators
- UNDP Results-Based Management: Technical Note
- United Nations Development Assistance Framework (UNDAF) for China (2001-2005)
- UNDP Country Cooperation Framework (CCF II) for China (2001-2005)
- UNDP Mutli-Year Funding Framework (2004-2007)
- UNDP Assessment of Development Results (ADR) for China (2005)
- UNDP Results-Oriented Annual Report (ROAR) for China (2005, 2006, 2007)
- UNDP Project documents and project monitoring reports
- UNDP Strategic Plan, 2008-2011, Accelerating Global Progress on Human Development
- Evaluation of UNDP'S Second Regional Cooperation Framework for Asia and the Pacific, 2002–2006
- Third Cooperation Framework for South-South Cooperation (2005-2007)

- Other documents and materials related to the outcome to be evaluated (e.g. government, donors)

**Specific Terms of Reference for the International Consultant (Team Leader)
as a supplement to the overall TOR for the outcome evaluation**

In consultation with UNDP and within the framework of the overall Outcome Evaluation TOR and available resources (time and financial budget etc.), the International Consultant (Team Leader) has the overall responsibility for the evaluation in terms of the following:

- Evaluation preparation, e.g., design, approach, itinerary, document review, team discussion, focus of the evaluation efforts (past or future orientation etc.);
- Realistic scoping of the evaluation (e.g., format, contents, and length of the evaluation report, level of details expected including the amount of quantitative data, roles and participation of key partners), within the available resources (time and financial budget etc.);
- Designation and clarification of specific responsibilities in the team; supervision and certification of the performance of the national team member;
- Field visits to project sites;
- Interviews with partners and stakeholders;
- Coordination of the actual implementation of the evaluation;
- Within the evaluation team, focusing on overall designing of the mission, methodology, global impacts, key factors to outcome, key partners, and key programme/projects.
- Final report writing with inputs from the team member to meet the objectives of the evaluation TOR.

For the purpose of workload calculation, the following indicative schedule since early June 2008 is drafted. The more specific itinerary of travel and work in China may be adjusted and improved by the evaluation team as necessary, in consultation with UNDP.

Activity	Working days
Evaluation designing	1 day
Desk review of existing documents	2 days
Briefing with UNDP China	1 day
Interviews with CICETE	1 day
Interviews with Guangcai Programme, CABC Secretariat, Tumen Secretariat, IPRCC	2 days
Drafting of the evaluation report	3 days
Debriefing with UNDP China	1 day
Finalization of the evaluation report	2 days
Final revision	2 days in the last week of July 14-18

Before the mission starts, the team leader is expected to communicate with UNDP and team member for the evaluation preparation, and review relevant documents sent by UNDP and the national consultant.

The team leader will prepare a final report to cover the content required by the evaluation TOR and agreed to with UNDP during the specific design of the evaluation. The length of the final report is expected to be 20-25 pages, with any additional details needed to be supplied in supporting appendices/annexes.

Based on the response to the above points and duly preparation of the final evaluation report, the performance of the team leader's services will be certified by UNDP China.

Implementation Arrangements

UNDP China will provide the following inputs, as more specific description of the travel provisions of the SSA:

- Domestic mission travels to and from the project sites in China: round-trip economy-class air tickets and/or land transportation following the actual mission itinerary between Beijing and the project sites;
- International mission travel: one round-trip air-ticket for the most direct route, plus airport charges as required.

Reporting to UNDP China

The evaluation team will maintain close contacts with all the key and relevant partners and stakeholders and will report to UNDP China. Although the team should feel free to discuss any relevant matters with the partners/stakeholders in relation to its assignment, it is not authorized to make any commitment on behalf of UNDP or the Government.