



Terms of Reference (TOR)

External Evaluation of Development Account Project 1415 AX Support Developing Country Policy Makers in the Formulation of National Entrepreneurship Policies through the Implementation of Entrepreneurship Policy Frameworks

1. Introduction and Purpose

This document outlines the Terms of Reference (TOR) for the final independent project evaluation for the United Nations Development Account (UNDA) funded project titled “Support Developing Country Policy Makers in the Formulation of National Entrepreneurship Policies through the Implementation of Entrepreneurship Policy Frameworks.”

The UNCTAD Evaluation and Monitoring Unit (EMU), in close collaboration with the Division on Investment and Enterprise (DIAE), will undertake this evaluation.

This evaluation exercise is meant to ensure ownership, result-based orientation, cost-effectiveness and quality of UNCTAD assistance. By carrying out this evaluation, UNCTAD plans to assess its work, to learn lessons, to receive feedback, appraisal and recognition, as well as to mobilize resources by showing the possible attribution of achievements to the programme.

The evaluation will systematically and objectively assess project design, project management, and project performance. The evaluation will provide assessments that are credible and useful, and also include practical and constructive recommendations, in order to enhance the work of UNCTAD in this area.

The evaluation will provide accountability to UNCTAD management, the Capacity Development Office/Development Account of DESA, project stakeholders, as well as UNCTAD's member States with whom the final evaluation report will be shared.

2. Project Background

The main objective of the project outlines the process for policy makers and other stakeholders to design entrepreneurship policies and implement them through action plans. It highlights the key capacity building elements that policy makers in developing countries will need to master when developing their strategies including aspects of financial inclusion (accounting and insurance) for SMEs. Stakeholders that need to be engaged during the development of the strategy and their roles in the process are also identified and "movers and shakers" will be trained. Recognizing that the development, implementation and monitoring of entrepreneurship policies need a participatory approach, the project will strengthen and/or establish a coordination body for the development, implementation, evaluation and monitoring of entrepreneurship policies in the six countries. An assessment of the entrepreneurial ecosystem entails mapping and measuring its features for the purpose of identifying its opportunities and challenges, with a goal of determining how these elements can be addressed through policy options. Towards this goal, working groups will conduct this mapping, establish priorities for reforms and develop action plans. According to established priorities by working groups, the project will undertake a review of administrative procedures addressing the key bottlenecks that impede

entrepreneurs from starting and growing their businesses, including complex regulatory processes and high business registration costs and access to financial services. UNCTAD's E-regulations systems will be put in place at least in 3 of the participating countries. At the regional and global levels, the project will provide an e-platform to host the "Entrepreneurship Hub" to include good practices in entrepreneurship policies in the six countries and beyond, and on-line training material developed for the national and regional capacity building. At the regional level, the preparation of tools on financial literacy and insurance, and the conduction of regional capacity building workshops will examine ways of simplifying credit application and improve available insurance schemes, taking into account small and medium sized enterprises' (SMEs) needs and facilitating formalization.

The expected accomplishments of the project include:

EA1. Enhanced capacity of policy makers in selected countries in Africa and Latin America and the Caribbean to design entrepreneurship policy in collaboration other stakeholders (private sector, civil society).

EA2. Enhanced capacity of stakeholders to develop and implement entrepreneurship action plans in selected countries in Africa and in Latin America and the Caribbean.

EA3. Improved awareness and experience sharing among policy makers, private sector and civil society at national, regional and global levels regarding entrepreneurship policy, accounting for SMEs and insurance.

3. Scope of the Evaluation

The evaluation will cover the duration of the project from June 2015 to December 2017.

The evaluation is expected to address the following questions under the below criteria:

a) *Relevance*

- Did the project design, choice of activities and deliverables properly reflect and address the primary development needs of entrepreneurship, taking into account UNCTAD's mandates, and alignment with the objectives of the UNDA?
- Were the actual activities and outputs of the project consistent with the overall goals and intended outcomes?
- What is UNCTAD's comparative advantage in this area and to what extent did this project maximize it?

b) *Effectiveness*

- Have the activities achieved, or are likely to achieve, planned objectives and outcomes as enunciated in the project document?
- To what extent are project beneficiaries satisfied with the activities organized by the project and the quality of the outputs?
- Is there evidence that the beneficiaries' knowledge, understanding and capacity to carry out action plans for entrepreneurship development, accounting and insurance of SMEs have been improved?
- How have the different activities complemented each other in the capacity building of the project beneficiaries?
- What are the lessons learned or best practices for similar future interventions?

c) *Efficiency*

- Have project implementation modalities, and internal monitoring and control been adequate in ensuring the achievement of the expected outcomes in a timely and cost-effective manner?

- Has the project leveraged in-house expertise, previous research and technical cooperation outcomes, existing databases, and other internal resources of UNCTAD and/or external collaboration from international development partners and mechanisms?
- Has the project timeline been affected by possible constraints/problems? If so, how have these affected project objectives and have they been addressed in an appropriate manner?

d) Sustainability

- Is there evidence that national counterparts and regional partners are committed to continue working towards the project objectives beyond the end of the project? To what extent have project beneficiaries' institutional capacities been enhanced? Is there awareness of bottle necks or further actions for improved capacities?
- Have the activities and outputs have been designed and implemented in such a way to ensure maximum sustainability of the project's impact? For instance, to what extent did the beneficiary country stakeholders have strong sense of ownership?
- Have efforts been made to sustain the knowledge and capacity gained in the project for future similar interventions to be carried out by UNCTAD?

e) Gender and human rights

- To what extent the design and implementation of the project incorporated gender mainstreaming considerations, and can evidence be identified in this regard?
- How have the beneficiaries been sensitized on the gender dimension of national entrepreneurship policies? On accounting and insurance for SMEs? On their impact on gender equality?
- To what extent does the project advance UNCTAD's efforts to promote equitable investment, trade, investment enterprise and sustainable development?

f) Partnerships and synergies (optional)

- How has the project advanced partnerships with national and regional counterparts, the civil society and/or the private sector?

4. Deliverables and Expected Outputs

The evaluation, based on its findings and assessments made on the above criteria, should draw conclusions, make recommendations and identify lessons learned from the implementation of the project.

More specifically, the evaluation should:

- Highlight what has been successful and can be replicated elsewhere;
- Indicate shortcomings and constraints in the implementation of the project while, at the same time, identifying the remaining challenges, gaps and needs for future courses of action;
- Make pragmatic recommendations to suggest how UNCTAD's work in this area can be strengthened in order to deliver better results in addressing beneficiaries' needs and create synergies through collaboration with other UNCTAD divisions, international organizations and development partners, and other international forums;
- Draw lessons of wider application for the replication of the experience gained in this project in other projects/countries;

Three deliverables are expected out of this evaluation (following EMU templates):

- 1) An inception report¹;
- 2) A draft evaluation report; and

¹ Quality of the inception report should meet those set out in UNEG Quality Checklist for Evaluation Terms of Reference and Inception Reports: http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=608

3) The final evaluation report²

The inception report should summarize the desk review and specify the evaluation methodology, determining thereby the exact focus and scope of the exercise, including the evaluation questions, the sampling strategy and the data collection instruments.

The final report of the evaluation must be composed of the following key elements:

- 1) Executive summary;
- 2) Introduction of the evaluation, a brief description of the projects, the scope of the evaluation and a clear description of the methodology used;
- 3) Findings and assessments according to the criteria listed in Section 3 of this ToR, with a comparison table of planned and implemented project activities and outputs; and
- 4) Conclusions and recommendations drawn from the assessments.

All the evaluation assessments must be supported by facts and findings, direct or indirect evidence, and well-substantiated logic. It follows that proposed recommendations must be supported by the findings and be relevant, specific, practical, actionable, and time-bound recommendations.

5. Methodology

The evaluation will be undertaken through a triangulation exercise of all available data to draw conclusions and findings. The evaluation methodology includes, but is not limited to, the following:

- Desk review of project documents, reports of activities and other relevant materials;
- Face-to-face interview and/ or telephone interviews with relevant UNCTAD staff;
- Online surveys of beneficiaries of the project, and other stakeholders, as may be required*; conduct follow-up interviews as may be necessary;
- Telephone/skype interviews with a balanced sample of project participants, project partners and other relevant stakeholders.

As part of the desk review, which will lead to an Inception Report, the evaluator will use the project document as well as additional documents such as mission reports; progress reports, financial reports, publications, studies - both produced under the project as well as received from national and regional counterparts. An exhaustive list of donors, project beneficiaries as well as other partners and counterparts involved in the project will be provided to the evaluator.

The evaluator will further elaborate on the evaluation methodology in an Inception Report, determining thereby the exact focus and approach for the exercise, including developing tailor made questions that target different stakeholders (based on a stakeholder analysis), and developing the sampling strategy and identifying the sources and methods for data collection. The methodology should follow the UNCTAD Inception Report Guidelines.

The evaluator is required to submit a separate final list of those interviewed in the Annex of the evaluation report. The evaluator is ensure a wide representation of stakeholders, bearing in mind the need to include those in a disadvantaged or minority position as appropriate.

6. Description of Duties

The evaluator reports to the Chief of EMU. S/he will undertake the evaluation exercise under the guidance of the EMU and in coordination with the project manager. The evaluator is responsible for the

² Quality of the evaluation report should meet those set out in UNEG Quality Checklist for Evaluation Reports: <http://www.uneval.org/document/detail/607>

evaluation design, data collection, analysis and reporting as provided in this TOR. The evaluator will submit a copy-edited final report to UNCTAD.

The evaluator shall act independently, in line with United Nations Evaluation Group (UNEG) Ethical Guidelines and in her/his capacities and not as a representative of any government or organisation that may present a conflict of interest. S/he will have no previous experience of working with the project or of working in any capacity linked with it.

The evaluator should observe the UNEG guidelines, standards³, and norms⁴ for evaluations in the UN system, as well as UNCTAD's Evaluation Policy⁵, in the conduct of this assignment. The evaluator needs to integrate human rights and gender equality in evaluations to the extent possible.⁶ The evaluator needs to ensure a complete, fair, engaging, unreserved, and unbiased assessment. In case of difficulties, uncertainties or concern in the conduct of the evaluation, the evaluator needs to report immediately to the Chief of EMU to seek guidance or clarification.

The project team will support the evaluation, by providing desk review documents (following EMU desk review documents guidelines), contact details of project stakeholders as well as any additional documents that the evaluator requests. It is the responsibility of the project manager to ensure senior management engagement throughout the evaluation and timely feedback in the quality assurance and factual clarification process coordinated by the EMU. The project team will review and provide comments on the inception, draft and final reports with a view on quality assurance and factual accuracies.

The EMU acts as clearing entity during the main steps of this evaluation. It endorses the TOR and approves the selection of the proposed evaluator. EMU reviews the evaluation methodology, clears the draft report, performs quality assurance of the final report and participates in disseminating the final report to stakeholders within and outside of UNCTAD. EMU engages the project manager throughout the evaluation process in supporting the evaluation and validating the reports.

7. Timetable

The total duration of the evaluation is equivalent to 22 days of work and will take place from November 2017 to January 2018.

| Activity | Days |
|--|--------|
| Desk research and study of relevant documentation | 3 days |
| Preparation of data collection tools and inception report | 4 days |
| Interviews with UNCTAD staff and implementation partners | 2 days |
| Other interviews with project participants, focal points and other stakeholders* | 4 days |
| Data analysis and draft report write up | 6 days |
| Final report write up | 3 days |

Note:

³ "Standards for Evaluation in the UN System" by UNEG, UNEG/FN/Standards (2005);

http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=22;

⁴ "Norms for Evaluation in the UN System" by UNEG, UNEG/FN/Norms (2005);

http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=21;

⁵ "Evaluation Policy" of the United Nations Conference on Trade and Development (UNCTAD), December 2011. December 2011, http://unctad.org/Sections/edm_dir/docs/osg_EvaluationPolicy2011_en.pdf.

⁶ "Integrating human rights and gender equality in evaluations" by UNEG, UNEG Guidance Document (2014): <http://www.unevaluation.org/document/detail/1616>. The UNEG Handbook on "Integrating human rights and gender equality in evaluations: Towards UNEG Guidance" by UNEG, UNEG Guidance Document (2011): <http://www.uneval.org/document/detail/980>.

*: The evaluator may be required to attend a project activity/regional workshop in one of the project countries in Africa or Latin America and the Caribbean.

The first draft report should be presented to the EMU and relevant stakeholders for quality assurance and factual corrections at least 3 weeks before the deadline for the submission of the final report.

8. Monitoring and Progress Control

The evaluator must keep the EMU informed of the progress made in the evaluation on a regular basis.

The evaluator will submit the inception report by 15 November 2017.

The evaluator will also present the draft report to the EMU and the project manager before the final submission, giving sufficient time for the verification of factual findings as well as its compliance with the ToR (approximately 2 week). To this end, a draft of the report must be presented by 20 December 2017 for quality assurance by the EMU and factual clarification by the project manager, before submission of the final report.

The deadline for submission of the final report will be 20 January 2018.

The contract concludes, and payment issued, upon satisfactory receipt of the final report.

9. Qualifications and Experience⁷

- **Education:** Advanced university degree in economics, trade, development, public administration or related field.
- **Experience:** At least 5 years of experience in conducting evaluations, preferably on interventions in the areas of enterprise development and business environment reforms. Demonstrated knowledge of investment and enterprise issues is required. Experience in gender and human rights mainstreaming is desirable.
- **Language:** Fluency in oral and written English. Ability to communicate in one of the official languages of beneficiary countries and regions (French and Spanish) of the project under evaluation is a must, knowledge of the third language of beneficiary countries and regions (French and Spanish) is an advantage.

10. Conditions of Service

The evaluator will serve under a consultancy contract as detailed in the applicable United Nations rules and regulations. The evaluator will not be considered as staff member or official of the United Nations, but shall abide by the relevant standards of conduct. The United Nations is entitled to all intellectual property and other proprietary rights deriving from this exercise.

11. Payment of the consultancy fee

The Evaluation Consultant's fee will be paid in line with the following schedule and upon acceptance (part of the quality assurance process) by EMU of the key deliverables:

- Upon acceptance of the inception report: 20%

⁷ The United Nations shall place no restrictions on the eligibility of men and women to participate in any capacity and under conditions of equality in its principal and subsidiary organs.

- Upon acceptance of the draft Evaluation Report: 40%
- Upon acceptance of the final Evaluation Report: 40%.

12. Applying for the consultancy

Applicants are required to submit an expression of interest to undertake the assignment/consultancy and include the following:

- Cover letter stating why you are suited for this work, your available start date and work experience, especially evaluation experience;
- Detailed CV; and
- A sample of a recent evaluation report.

Applications with the above details should be sent to evaluation@unctad.org

The deadline for submitting the applications is 20 October 2017. UNCTAD reserves the right to close the application before the indicated date if a suitable candidate is found.