

Terms of Reference for conducting an assessment and evaluation study for IICA-GIZ Business Responsibility Initiative

1. Background

The IICA-GIZ Business Responsibility Initiative is a bilateral co-operation Project between the Indian Institute of Corporate Affairs (IICA) the principal think tank and capacity development institution set up by the Ministry of Corporate Affairs (MCA) and the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), the federally owned German international cooperation agency for sustainable development which operates worldwide, on a public benefit basis. The bilateral co-operation Project, which began in 2008 was implemented in two phases. The first phase lasting for four years ended in **May 2012** and the second phase which marked the closure of the Project ended in December, 2014.

The **overarching objective** of the Project was to develop a “country specific common understanding of Business Responsibility (BR), and to enable the adoption of responsible business practices by businesses. The focus, however, for each phase was nuanced, so as to best meet the Project mandate. A unique set of indicators were also developed to provide focus in the desired direction. The bilateral co-operation Project was guided throughout by an Expert Group consisting of practitioners and experts from a diverse stakeholder groups.

In the first phase, the Project assisted the IICA in developing a uniform and comprehensive understanding on BR through a multi-stakeholder dialogue and consensus building engagement process. The success of this process is reflected in the formulation and release of the National Voluntary Guidelines on Social, Environmental and Economic Responsibilities of Businesses (NVGs) on July 8, 2011. Following the release of the NVGs, on the Ministry’s request a corresponding reporting framework “Business Responsibility Report” was developed under the aegis of the Project, to enable a wider uptake of the NVGs.

Accordingly, **in the second phase**, the focus was centered on designing and rolling out activities that aid effective and wider implementation of the NVGs and to strengthen IICA’s role as a leading national platform for promoting BR. The Project approach for the second phase was premised on two main pillars: Outreach

and Capacity Development of select multiplier (such as Chambers and Industry associations, Business-schools, financial institutions, government, consumer groups and media) constituencies on of BR.

The indicators supporting the Project mandate in the second phase are as follows:

- Training and capacity building of ten intermediary institutions and their multiplier effect on training and capacity building of companies.
- Facilitation and formulation of sector specific voluntary guidelines on business responsibilities aligned with the NVGs and/or CSR policies and guidelines for at least two sectors.
- Enabling 100 companies to make disclosures as per the NVGs and/or CSR policies and guidelines formulated by Ministry of Corporate Affairs, Govt. of India voluntary framework being developed by IICA/MCA.
- Offering training and capacity development courses on Business Responsibility on a self sustaining model
- Running campaigns for mainstreaming the NVGs and/or CSR policies to reach out to at least 50,000 entrepreneurs.

To achieve the above mentioned indicators the Project was organized into three broad overlapping components: **(i) Sector Guidelines; (ii) Advocacy; (iii) Capacity Building**

- **Component one:** *Voluntary Sector Guidelines:* to facilitate adoption of BR by industry, it was envisaged that NVGs based guidelines for at least two sectors be formulated and rolled out. The two sector guidelines – Apparel sector and for Pharma sector have been developed in close consultation with industry actors and associations.
- **Component two:** *Advocacy:* focused on the promotion of NVGs, sector guidelines and reporting framework among businesses by working with relevant stakeholder agencies that have the potential to influence and mainstream the sustainable development agenda, such as business, chambers and industry associations, financial institutions, civil society organizations,

business schools and media. The advocacy campaign aimed to infuse element of BR in their respective agendas and modules.

- **Component three: Capacity Development:** the focus for this component was on developing standard Training of Trainer modules on the NVGs and BRR and integrating them into the curriculum of at least ten intermediary organizations. The trainings would be a part of IICA's service portfolio and implemented on self-sustaining model.

Each component included a corresponding set of activities to be undertaken in the course of the Project. In addition to the fulfillment of the Project indicators the larger impact envisaged was to bring the dialogue on and adoption of BR center stage with IICA driving the agenda forward nationally.

2. Objective of Assignment

The Project is seeking to hire consultant for an exhaustive evaluation of the Project, with a focus on the period 2012-2014. The assessment must be carried out based on the Project mandate and indicators.

Scope of Tasks

- Assess the effectiveness and efficiency of the Project.
- Assess impact of the project interventions on the target groups
- Critically analyze the implementation and management arrangements of the Project.
- Assess the sustainability of the project outcomes and its impacts.
- Assess project relevance to national priorities, as well as IICA and GIZ strategic objectives.
- Identify and document possible opportunities for collaboration emerging from the Project
- Evaluate the performance and outcome of the Project with reference to Project objective and produce comprehensive report including possible way forward.

3. Outline of Tasks -Methodology

- **Review of Project Documents:** Review of archived material related to the overall program, as well as background material used in project preparation, approved project documents, project monitoring documents, disbursement reports, progress

reports, action plans, and other information available in order to be aware of the project specifications, its target group and all the parties involved in it.

- **Field visits and interviews:** Carry out interviews, inspection, and analysis of the project activities; interviews with executing agency staff who participated in the program design and execution; interviews with expert group; interviews with participating institutes and companies who have undergone training and capacity building.
- **Collection of data and documentation:** Document lessons and good practices concerning project design, implementation and management which may be of relevance to other projects in the country and elsewhere in the world.
- **Evaluation and Reporting:** Develop an evaluation report including conclusions and recommendations, emphasising on the learnings and success factors of the Project and technical and financial sustainability of the project, as well as other issues mentioned in the previous paragraphs is to be presented to IICA. After receiving comments, the agency will finalize and submit a final version.

4. Duration & Payment Schedule of the Project

The duration of the assignment will be for 35 days beginning from the date of award of contract limited to 25th March, 2015.

- The first draft of the Report should be submitted for review by 18th March, 2015.
- Final version with two hard copies and other relevant documents should be submitted within two weeks of the completion of the project.

These dates can be suitably modified at the discretion of IICA-GIZ.

The table below shows the sequence of payments against project milestones.

No	Project Milestone	Payment*
P1	Contract signing	50%
P2	On the satisfactory completion and submission of the final evaluation report	50%

5. Eligibility Criteria & Skills Set Required:

- The consulting agency should be a registered/legal entity, in existence for a period of minimum five years and should have an average annual turnover of at least 3 crores in the past three financial years.
- The agency should have a proven track record of at least three years in conducting evaluation study/assessments/appraisal of Schemes/Projects of Government/Public Sector/reputed Private Corporate entities.
- The agency must have experts with an understanding of sustainable development/ ESG/Business Responsibility and CSR;
- The intermediary organization must have a critical mass with regard to right competencies, infrastructure;
- The agency must be willing to work on a tight timeline.

How to Apply:

Instructions for Applying:

1.The Technical Proposal

It should include detailed working concept which allows us to examine the technical aspects in the light of the assignment objective. Also, if applicable, special tasks requested within the scope of the terms of reference (TOR). Technical proposals should be submitted in the following format

- 1) Executive Summary
- 2) Profile: background, organisation and competencies of the agency and each associate for this assignment.
- 3) Relevant Experience: should include snapshots of relevant projects undertaken both nationally and globally.
- 4) Technical Response: qualification of the TORs: This section is intended to record understanding of the assignment and interpretation of the TOR and any observations/suggestions the bidder may have on the terms of reference. This section should define the approach, methodology, work plan including sub

- activities and deliverables and how the bidder intends to organise the project team to execute the engagement.
- 5) Description of the Team: should highlight aspects on staffing and corresponding schedules.
 - 6) Matters not indicated in any other section.

There should be no price information anywhere in the technical proposal document. Failure to comply will result in disqualification of the bid.

2. The Financial Proposal

3.

Price quotation clearly indicating total amount (inclusive of all taxes etc.) is to be submitted in a **separate envelope** together with the technical proposal. It shall list all costs associated with the assignment.

Thereafter both the envelopes of Technical & Financial proposal may be placed in a bigger envelope and sent.

All eligible agencies are requested to send their proposals latest by 5.00 PM on 23rd February, 2015 (Monday) to the following address:

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