



Joint GEF/UNDP SGP Evaluation: *Preparing for GEF-6*

Terms of Reference for an Evaluation Expert (Country Case Study - Kenya)

BACKGROUND AND CONTEXT

The Global Environment Facility and the United Nations Development Programme

The Global Environment Facility (GEF) is a financial mechanism, set up as a partnership, that provides grant and concessional funding to projects and activities to protect the global environment in developing countries and countries with economies in transition, with guidance from the GEF Council and the Conference of Parties of the global environmental conventions dealing with climate change, biodiversity, international waters, land degradation and persistent organic pollutants. The GEF Secretariat provides support to GEF Council and ensures that Council decisions are implemented. Projects financed by the GEF are implemented by 10 GEF Agencies: UNDP, UNEP, World Bank, UNIDO, FAO, IFAD, IADB, EBRD, AfDB, and ADB.

The GEF Evaluation Office (GEF EO) is an independent unit of the GEF with the central role of ensuring the evaluation function within the GEF, of setting minimum requirements for monitoring and evaluation, of ensuring oversight of the quality of M&E systems on program and project level and of sharing evaluative evidence within the GEF partnership.

The United Nations Development Programme (UNDP) has, since 1966, been partnering with people at all levels of society to help build nations that can withstand crisis and drive and sustain the kind of growth that improves the quality of life for everyone. UNDP works in four main areas: poverty reduction and achieving the Millennium Development Goals (MDGs); democratic governance; crisis prevention and recovery; environment and sustainable development

The United Nations Development Programme (UNDP) Evaluation Office (UNDP EO) the custodian of the evaluation function for UNDP. The UNDP EO supports the Administrator in his/her substantive accountability function. It contributes to informed decision-making by the Executive Board of UNDP, managing for development results by the organization and enhancing the evaluation function across the UN system by engaging with partners in the evaluation and development community. As part of this responsibility the UNDP EO provides systematic assessment of UNDP's contribution to development results by conducting independent evaluations including global, thematic and strategic evaluations, regional and country programme evaluations, and other evaluations as required.

In the present case, the GEF EO and the UNDP are partnering to conduct a joint evaluation.

The Small Grants Programme

The Small Grants Programme (SGP) is a Global Environment Facility (GEF) corporate programme implemented by UNDP, with financial and administration support services provided by the United Nations Office for Project Services (UNOPS). SGP's aim is to contribute to resolving global environment and sustainable development challenges by providing small grants to communities and Civil Society Organizations (CSOs) for projects aligned with the strategic priorities of the GEF and within the framework of sustainable development. SGP targets community-level initiatives across the range of global environmental issues addressed by the GEF and seeks to integrate actions that lead to poverty reduction with a participatory approach.

The SGP is supervised by and receives technical support from a Central Programme Management Team (CPMT) based in New York. Each participating country has a SGP National Coordinator (NC). The NC is often associated and supported by the UNDP country office, or hosted in a Non-Governmental Organization (NGO) that acts as a National Host Institution (NHI). National Steering Committees (NSCs) provide major substantive contributions to and oversight of their respective SGP country programme. The NSC, members of which work voluntarily, typically comprises representatives from local NGOs, government, academia, UNDP and occasionally co-funding donors, indigenous peoples' organizations, the private sector and the media; a majority of members are non-government. Grants are awarded directly to Community-Based Organizations (CBOs) and Non-Governmental Organizations (NGOs). In OP5 the SGP has expanded its scope to include all CSOs. The use of local NGOs and/or CBOs as grantee-partners implies a built-in preference for projects requiring community involvement.

Joint GEF/UNDP Small Grants Programme Evaluation: Preparing for GEF6

The Small Grants Programme (SGP) of the GEF is being evaluated jointly by the independent evaluation offices of the GEF and UNDP. The Joint GEF/UNDP SGP Evaluation is being conducted in two phases. The 1st Phase started in April and will be concluded on September 15, 2013. The focus is on providing an update of the previous Joint Evaluation of the SGP (GEF, UNDP, 2008) and an assessment of the progress made to date on implementation of its recommendations. The findings of this 1st Phase will be included in the final report of the fifth GEF Overall Performance Study (OPS5). The 2nd Phase will take place from September 16, 2013 to June 30, 2014 and will expand the analysis of the effectiveness of the SGP, looking at themes including the linking of poverty reduction and environment conservation at local level. The findings of the 2nd Phase will be presented to the UNDP Executive Board and the GEF Council in 2014.

The Joint Evaluation of the SGP (GEF/UNDP, 2008) was crucial in shaping the way forward for the SGP, and provided the foundation for the implementation of several important changes, some of which were essential for making the broadening of the programme to more countries possible. The Joint GEF/UNDP SGP evaluation aims at assessing the extent to which the most important recommendations and related GEF Council decisions progress have been implemented, the factors that have affected their implementation and the extent to which recommendations and Council decisions remain pertinent in the light of current and future situations. The Joint GEF/UNDP SGP Evaluation, particularly in the first phase, will also look at trends concerning networking, management, monitoring and evaluation (M&E), focal area and capacity development, linking these to observed achievements on the ground. The 2nd Phase of the Joint GEF/UNDP Evaluation will expand the analysis of the effectiveness of the SGP and look at the linkages between poverty reduction and environment conservation at local level, amongst other.

The Joint GEF/UNDP SGP Evaluation is a joint effort by the GEF and the UNDP evaluation offices, as equal partners. The execution structure of the evaluation is composed of three tiers: A) The Steering Committee, co-chaired by the directors of the two offices and composed of senior evaluators, bears overall responsibility for this evaluation; B) The Management Team, formed by two task managers; and C) The Evaluation Team, composed by the Lead Consultant, one national consultant per country study (total of 8). The team is supported by research assistants from both UNDP and GEF evaluation offices assigned to the evaluation. The Lead Consultant and the national consultants for country case studies will respond directly to the Management Team and conduct specific tasks as directed by the Management Team. The Terms of Reference guiding this evaluation, approved by the Joint Steering Committee on May 23, 2013, are available on the GEF Evaluation Office website at: (<http://www.thegef.org/gef/sites/thegef.org/files/documents/Joint%20valuation%20GEFEO-UNDP%20SGP%20-%20TORs.pdf>).

A key input to the evaluation will be a country case study in Kenya, which will build on the case study conducted during the previous Joint Evaluation of the SGP (GEF/UNDP, 2008)

OVER-ARCHING EVALUATION QUESTIONS

The first phase of the evaluation will provide an update to the previous Joint GEF/UNDP Evaluation, and assess progress made to date on the implementation of its recommendations, in order to respond to key question ten of the terms of reference for the OPS5 final report:

To what extent is the GEF Small Grants Programme successful in broadening its scope to more countries while continuing to ensure success on the ground?

The first phase of the Joint GEF/UNDP SGP Evaluation will assess the extent to which the SGP continues to contribute towards conservation of the global environment while addressing the challenges inherent to its ongoing growth. In this broad framework, the following key questions will be specifically addressed.

- What is the effectiveness and efficiency of the SGP at local and global level?
- How have the changes introduced since 2008 affected the SGP central management system and in particular its cost structure?
- What are the key factors affecting SGP results?
- How did the introduction of the SGP upgrading policy affect countries' access to GEF resources and the effectiveness and efficiency of ongoing country programme operations?
- Are the M&E systems in SGP at central as well as local level adequately and appropriately tracking SGP's contributions to global environmental benefits as well as to local groups' livelihoods?
- Are these systems useful for learning and helping local groups to build confidence in the progress they make?

The changes in the SGP central management system to be looked at include the dual management structure introduced in GEF5 in which upgraded countries are coordinated through UNDP's Community Resilience and Sustainability Technical Team Cluster, a structure that functions in parallel to the CPMT in the management of the SGP. The SGP management and administrative cost structure at the central as well as the national level will be a specific focus of the analysis. The nature, effectiveness and efficiency

of the services provided by UNOPS at central as well as national levels will also be looked at during the First Phase.

The Second Phase of the Joint GEF/UNDP Evaluation will expand the analysis of the effectiveness of the SGP. One of the expectations from this country case study is to contribute to the scoping of issues to be looked into in Phase 2. The Evaluation Expert and other interested parties can find in the approved TORs on the GEF EO website all the information on what the GEF and UNDP EOs plan as of now to assess in Phase 2.

The areas of inquiry and key evaluation questions for this second phase of the evaluation will be informed by and refined during the first phase of the evaluation.

METHODS AND PROCESS – COUNTRY CASE STUDY

The previous Joint Evaluation of the SGP (GEF/UNDP, 2008) was a one year-long intense effort, to which as many as 25 evaluators contributed at different levels. The evaluation encompassed country case studies in 20 countries around the globe with field work involved in nine of these, during which more than 200 grants were visited and field verified. Kenya was one of these case study countries. The methods and tools developed as well as the depth and thoroughness of the evaluative analysis and evidence collected in that evaluation are assets upon which this evaluation intends to build, notably in this follow-up country case study in Kenya.

In the first phase, Country Case Studies will answer the key evaluation questions at the country level:

- What is the effectiveness and efficiency of the SGP at the country level?
- How have the changes introduced since 2008 affected SGP at the national/local level?
- What are the key factors affecting SGP results at the national and local level?
- How did the introduction of the SGP upgrading policy affect the country's access to GEF resources and the effectiveness and efficiency of ongoing country programme operations?
- Are the M&E systems in SGP at the local level adequately and appropriately tracking SGP's contributions to global environmental benefits as well as to local groups' livelihoods?
- Are these systems useful for learning and helping local groups to build confidence in the progress they make?

An evaluation matrix containing the key evaluation questions, indicators, information sources, and evaluation tools and methods – derived and adapted from the ones used in the 2007 SGP evaluation – is under development. Tools used in the previous case study are also being updated and expanded to allow updating of the data gathered during the previous evaluation, and gathering of new data to address the evaluation questions of the present joint evaluation.

A number of different tools and methods will be used to gather data to answer these questions, including

- Desk review of programme documents, national steering committee meeting minutes, reports from grantees, evaluations and other reports available in-country
- Assessments of a sample of projects with respect to effectiveness, efficiency, and M & E systems, using standardized protocols to be provided

- Interviews (individual or group) with a wide range of stakeholders, including SGP staff, NSC members, government officials, UNDP and other GEF Agency officials, NGOs, CBOs and communities, using interview protocols to be provided
- Field visits to a representative sample of projects to validate assessments based on desk reviews and conduct further interviews with local level stakeholders

QUALIFICATIONS

The Evaluation Expert who will conduct the country case study will have the following background and experience:

- Solid background and at least 10 years of demonstrated professional experience in areas of environment and sustainable development;
- Strong understanding of institutional, environmental and sustainable development issues at both national and local levels in the country;
- Experience in conducting evaluations and, in particular, demonstrated experience in evaluating demand-based community-level grant programmes or small grant components of larger projects/programmes in the areas of natural resources, environment, poverty reduction and/or sustainable rural development;
- In-depth knowledge of the GEF, its agencies and its focal areas, particularly biodiversity, climate change and land degradation;
- Direct involvement in, or full familiarity with the country case study conducted in 2007 as part of the previous joint evaluation;
- In-depth understanding of gender, exclusion and poverty issues, particularly with respect to environmental and livelihoods issues;
- Excellent written English; and
- Demonstrated ability to prepare quality deliverables in a timely manner.

EVALUATION ETHICS

All evaluations in UNDP are to be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation' (available at http://www.unevaluation.org/papersandpubs/documentdetail.jsp?doc_id=102) and in line with the UNEG Code of Conduct for Evaluation in the UN system (available at http://www.unevaluation.org/papersandpubs/documentdetail.jsp?doc_id=100).

MANAGEMENT ARRANGEMENTS

The evaluation is being conducted jointly by the GEF Evaluation Office and the UNDP Evaluation Office. A Steering Committee, co-chaired by the Directors of the Evaluation Offices, reviews and approves the Terms of Reference, the joint management arrangements, selection and hiring of consultants, and the evaluation reports. This Committee will also function to review and resolve disputes if they arise.

The Management Team, formed by two task managers, Mrs. Heather Bryant from the UNDP Evaluation Office and Mr. Carlo Carugi from the GEF Evaluation Office, is responsible for the over-all development and execution of the evaluation; identification, hiring and supervision of consultants in accordance to

mutually agreed TORs and institutional procedures; coordination of evaluation activities carried out by both offices, quality control of products and processes; and the timely delivery of evaluation products.

The Evaluation Team, will be led by a Lead Consultant, and supplemented by the national consultants carrying out the country case studies. Research assistants from both UNDP and GEF evaluation offices assigned to the evaluation. Consultants will respond directly to the Management Team and conduct specific tasks as directed by the Management Team.

The Evaluation Expert for the Country Case Study will report directly to and be finally accountable to Ms. Heather Bryant of the UNDP Evaluation Office, but will also seek and follow guidance from Mr. Carlo Carugi in the GEF Evaluation Office, and participate in discussions with the Lead Consultant.

RESPONSIBILITIES

The Evaluation Expert will work closely with the evaluation Management Team during the evaluation process, in particular during data collection and preparation of the case study reports. No payment will be processed until the deliverables have been fully approved by the UNDP Evaluation Office. The Evaluation Expert's key tasks in carrying out the Country Case Study will include:

- Review reference material provided by the GEF and UNDP Evaluation Offices, the SGP CPMT, and national SGP staff, including but not limited to: the previous Joint Evaluation of the SGP, the previous country case study, corporate strategies, programmes, project documents related to the GEF in general and to SGP in particular, SGP country programme strategies, the FSP programme document, SGP country programme reports, National Steering Committee meeting minutes and grant project proposals and progress and completion reports.
- Review relevant national policies, strategy documents, statistical reports and national programme/project documents.
- Interview the National Coordinator, other national SGP staff, NSC members, the Government GEF focal point, UNDP Country Office senior management, UNDP GEF focal point and other relevant UNDP staff, staff of other GEF Agencies, managers of other projects (e.g., other GEF FSPs, other UNDP projects), National Steering Committee members and other relevant stakeholders at the central level (capital), using established interview protocols (adapted to the context, in consultation with the Evaluation Management Team and lead consultant, as necessary).
- Analyze project documentation and reports for a sample of projects (to be developed with the Evaluation Management Team) using established tools and protocols
- Conduct field visits to sub-set of these sample projects (to be determined in consultation with the Evaluation Management Team and national SGP staff) and conduct interviews with NGOs, CBOs, and community members involved in project implementation, and fill out prescribed templates .
- Prepare a draft country case study report for the first phase.
- Revise the draft country case study report based on feedback from the Evaluation Management Team.

- Participate in team discussions and provide technical inputs, clarification and supplemental information, as required, until the completion of the report for the first phase of the evaluation.

DELIVERABLES

A briefing note on preliminary findings and assessments of sampled projects based on review of secondary data and interviews with interviews in the capital is to be submitted by 15 July.

The key deliverable of the First Phase will be a case study report, to be submitted by 2 August 2013 that will cover the following, with a final outline to be agreed upon in consultation with the Evaluation Management Team:

- Country context (based on the previous case study, with updates for the period 2007-2013)
 - Environmental and socio-economic context
 - Key environmental policies and laws
 - The GEF in the country
 - History of SGP in the country
 - Structure and operations of the SGP in the country (with emphasis on any changes as part of the upgrading process)
 - Assessment of the SGP country results framework (what are the objectives, outcomes, indicators; are they appropriate? Are they clearly defined?)
- Relevance of SGP in the country (very brief, with emphasis on any changes with respect to the previous case study)
 - Alignment of the SGP with country-level sustainable development priorities
 - Alignment of the SGP with Environmental Priorities and Programs
 - Relevance of the SGP to the GEF Country Portfolio
- Effectiveness of the SGP (building on the previous case study, with focus on the period since 2007 and any shifts, with special attention to the transition to an upgraded programme)
 - Global environmental benefits
 - SGP Contribution to local benefits (by GEF theme and by key cross-cutting issues such as capacity development and gender)
 - SGP Contributions to policy reforms
 - SGP Contributions to meeting international obligations
 - Key factors affecting results (positively or negatively)
 - Other trends or factors of note
- Efficiency of the SGP
 - Upgrading to an FSP
 - Major differences between the previous SGP Country Programme and the new FSP
 - Transition process to the FSP
 - Resource Framework
 - Challenges
 - Benefits
 - M & E Systems
- Sustainability of the SGP (very brief, highlight any notable factors contributing to or hindering sustainability)
- Lessons and Recommendations
- Annexes

- Summary protocol sheets for each sampled project
- Summary findings for each field visit using the agreed template
- Other summary sheets based on the evaluation tools and templates as agreed with the Evaluation Management Team

TIME FRAME FOR THE CASE STUDY PROCESS

A detailed work plan will be agreed upon between the Evaluation Expert and the UNDP Evaluation Manager, based on the following.

First Phase – Calendar and estimated input in terms of working days	
Preliminary desk review, briefing on evaluation tools	1 st week of July (2 days)
Analysis of secondary information on sampled projects	1 st week of July (2-3 days)
Interviews (national level)	1 st -2 nd week of July (3 days)
Submit a briefing note on preliminary findings and assessments of sampled projects based on review of secondary data and interviews at the central (capital) level	15 July
Field visits	2 nd -3 rd week of July (10-12 days)
Report drafting	3 rd week of July (2-3 days)
Submit draft country case study report	29 July 2013
<i>Receive feedback on draft report and revise</i>	31 July 2013 (1/2 - 1 day)
Submit final Phase 1 country case study report	2 August 2013
Participate in follow-up discussions for the analysis for the complete report (prepared by the Lead Consultant)	August 2013 (1/2 day)

Duration of assignment, travel and payment

The Evaluation Expert will be recruited to carry about the above work and produce the above deliverables including a high-quality country case study report between the date of contract and 2 August 2013, plus follow-up discussions with the Evaluation Management Team through 29 August

2013, according to the indicative time-table above and further guidance from the UNDP Evaluation Office. It is expected that 22 working days will be required to complete the deliverables as specified.

The Evaluation Office will issue a lump sum contract, according to an agreed fee upon certification by the Evaluation Manager that expected services have been satisfactorily performed. Payment will be made according to the following table:

Payment	Percentage	Indicator
1	20%	Upon the satisfactory submission of the preliminary briefing note
2	40%	Upon satisfactory submission of the draft country case study report
3	40%	Upon satisfactory completion of the final country case study report and contributions to discussions leading to finalization of the first phase evaluation report by the lead consultant

Where travel is required and authorized by UNDP, a daily subsistence allowance at United Nations authorized base rates when traveling outside of home base will be paid, and travel expenses will be reimbursed according to UNDP Evaluation Office travel policies.

ANNEXES

Key stakeholders and partners (preliminary list)

Documents to be consulted (preliminary list)

Annex 1: Key stakeholders and partners (preliminary list)

UNDP Kenya

UNDP Resident Representative
UNDP Environment team leader
Other UNDP staff working with SGP

SGP Kenya

SGP National Coordinator
Other SGP Staff

Government of Kenya

GEF Operational Focal Point

SGP National Steering Committee

Members

Donor partners

Annex 2: Documents to be consulted (preliminary list)

Joint Evaluation of the GEF Small Grants Programme
(<http://www.thegef.org/gef/Program%20Evaluation%20-%20Joint%20Evaluation%20SGP>)

Country Programme Case Study: Kenya (<http://www.thegef.org/gef/content/sgp-case-study-kenya>)

Kenya SGP programme documents

National Steering Committee Meeting minutes

Reports from grantees