**Terminal Evaluation Terms of Reference**

INTRODUCTION

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for a Terminal Evaluation (TE) of the“Integrating Climate Change Risks into Water and Flood Management by Vulnerable Mountainous Communities in the Greater Caucasus Region” (PIMS 3929.) The essentials of the project to be evaluated are as follows:

Project Summary Table

|  |  |
| --- | --- |
| Project Title:  | “Integrating Climate Change Risks into Water and Flood Management by Vulnerable Mountainous Communities in the Greater Caucasus Region”  |
| GEF Project ID: | 4261 |   | *at endorsement (Million US$)* | *at completion (Million US$)* |
| UNDP Project ID: | PIMS 3929 | GEF financing:  | 2,700,000 | 2,700,000 |
| Country: | (AZE) Azerbaijan | IA/EA own: |  |  |
| Region: | Greater Caucasus Region  | Government: | 0 | 0 |
| Focal Area: | Climate Change | Other: (UNDP) | 260,000 | 260,000 |
| FA Objectives, (OP/SP): |  | Total co-financing: | 260,000  | 260,000 |
| Executing Agency: | Ministry of Emergency Situations | Total Project Cost: | 2960,000 | 2960,000 |
| Other Partners involved: | Implementing entity/Responsible Partner: UNDP | ProDoc Signature (date project began):  | 09 March 2012 |
| (Operational) Closing Date: | Proposed: March 2017 | Actual: August 2017 |

Objective and Scope

The project was designed to:

Azerbaijan belongs to the world’s water stress countries. With current deficit of water resources being about 5 km3, the additional pressures on water resources due to climate change will seriously affect the rural water supply. The region of Greater Caucasus has been identified as particularly vulnerable in this regard.

Water is unevenly distributed across the seasons and geographic areas in Azerbaijan. Despite an overall trend of rainfall reductions in the country, the mountainous regions of Greater Caucasus experience increasingly prolonged inundations and flash floods during the wet season and extended dry spells during the dry seasons. Variation of water flow may reach 30% between the dry and wet seasons. Paradoxically, most of the quality ground waters are formed in foothills of the Greater and Lesser Caucasus and constitute 24 million m3 (8.8.km3) per year. However, currently, only 20% of a total resource has been used. And as Azerbaijan's Second National Communication (SNC) suggests, with the view of increasing water deficit, the country will have to increase ground water extraction both for irrigation and fresh water supply needs.

The project aims to reduce vulnerability of the mountain communities of the Greater Caucasus region of Azerbaijan to climate change induced water stress and flood hazards by improved water and flood management through addressing the management framework at the legislative and policy level, strengthening institutional capacity by introducing new non- structural methods and providing training and empowering communities to actively participate in water and flood management.

Azerbaijan already has considerable experience of structural measures and therefore the proposed project focuses on non-structural measures. These measures mainly address institutional and management challenges, as well as improving public understanding of the problems and potential solutions, developing both organizational and community involvement in the process and pilot actions to improve micro-watershed management practices with a direct engagement of affected communities. The project proposes to sensitize water management policies and practices to the long term risks of, and adaptation to, climate change. Other aspects of flood mitigation and reduction of water stress, such as improved land use management and flood zoning, also require the sensitization of both government and civil society and these tend to have become very much secondary considerations in water management.

###### Project has following components:

* + Water and Flood management policy and regulatory frameworks to respond to climate change risks
	+ Technical capacities to improve climate risk management in the Greater Caucasus
	+ Water and Flood management practices demonstrated to lead to community resilience

###### Expected outcomes:

* + Water and Flood management framework is modified to respond to adaptation needs and improve climate risk management on over 10,838.5 sq. km 3of land in highly vulnerable region of Greater Caucasus.
	+ Key institutions have capacities, technical skills, tools and methods to apply advanced climate risk management practices for water stress and flood mitigation;
	+ Community resilience to floods and water stress improved by introducing locally tailored climate risk management practices benefiting over 650.000 people on total land area of 10,838.5 km2 of the Southern slopes of the Greater Caucasus.

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects.

The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

Evaluation approach and method

An overall approach and method[[1]](#footnote-1) for conducting project terminal evaluations of UNDP supported GEF financed projects have developed over time. 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, GEF-financed Projects. A set of questions covering each of these criteria have been drafted and are included with this TOR (*fill in* [*Annex C*](#_TOR_Annex_C:)) The evaluator is expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence‐based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders. The evaluator is expected to conduct a field mission to Baku*,* including the following project sites (pilot River Basin of Turyanchay)*.* Interviews will be held with the following organizations and individuals at a minimum: Ministry of Emergency Situations of Republic of Azerbaijan, State Water Resources Agency of the Ministry of Emergency Situations, North-West Regional Center of the Ministry of Emergency Situations and vulnerable mountain communities.

The evaluator will review all relevant sources of information, such as the project document, project reports – including Annual APR/PIR, project budget revisions, midterm review, progress reports, GEF focal area tracking tools, project files, national strategic and legal documents, and any other materials that the evaluator considers useful for this evidence-based assessment. A list of documents that the project team will provide to the evaluator for review is included in [Annex B](#_TOR_Annex_B:) of this Terms of Reference.

Evaluation Criteria & Ratings

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework (see  [Annex A](#_TOR_Annex_A:)), which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of: **relevance, effectiveness, efficiency, sustainability and impact.** Ratings must be provided on the following performance criteria. The completed table must be included in the evaluation executive summary. The obligatory rating scales are included in  [Annex D](#_TOR_Annex_D:).

|  |
| --- |
| **Evaluation Ratings:** |
| **1. Monitoring and Evaluation** | ***rating*** | **2. IA& EA Execution** | ***rating*** |
| M&E design at entry |       | Quality of UNDP Implementation |       |
| M&E Plan Implementation |       | Quality of Execution - Executing Agency  |       |
| Overall quality of M&E |       | Overall quality of Implementation / Execution |       |
| **3. Assessment of Outcomes**  | **rating** | **4. Sustainability** | **rating** |
| Relevance  |       | Financial resources: |       |
| Effectiveness |       | Socio-political: |       |
| Efficiency  |       | Institutional framework and governance: |       |
| Overall Project Outcome Rating |       | Environmental : |       |
|  |  | Overall likelihood of sustainability: |       |

Project finance / cofinance

The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration. The evaluator(s) will receive assistance from the Country Office (CO) and Project Team to obtain financial data in order to complete the co-financing table below, which will be included in the terminal evaluation report.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Co-financing(type/source) | UNDP own financing (mill. US$) | Government(mill. US$) | Partner Agency(mill. US$) | Total(mill. US$) |
| Planned | Actual  | Planned | Actual | Planned | Actual | Actual | Actual |
| Grants  |  |  |  |  |  |  |  |  |
| Loans/Concessions  |  |  |  |  |  |  |  |  |
| * In-kind support
 |  |  |  |  |  |  |  |  |
| * Other
 |  |  |  |  |  |  |  |  |
| Totals |  |  |  |  |  |  |  |  |

Mainstreaming

UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programmes. The evaluation will assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

Impact

The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievements.[[2]](#footnote-2)

Conclusions, recommendations & lessons

The evaluation report must include a chapter providing a set of **conclusions**, **recommendations** and **lessons**.

Implementation arrangements

The principal responsibility for managing this evaluation resides with the UNDP CO in *Azerbaijan.* The UNDP CO will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country for the evaluation team. The Project Team will be responsible for liaising with the Evaluators team to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

Evaluation timeframe

The total duration of the evaluation will be *31* days according to the following plan:

|  |  |  |
| --- | --- | --- |
| **Activity** | Timing | Completion Date |
| **Preparation** | *2* days  | *02 July, 2017* |
| **Evaluation Mission** | *7* days  | *09 July, 2017* |
| **Draft Evaluation Report** | 10 days  | *19 July, 2017* |
| **Final Report** | *12* days  | *31 July, 2017* |

Evaluation deliverables

The evaluation team is expected to deliver the following:

|  |  |  |  |
| --- | --- | --- | --- |
| Deliverable | Content  | Timing | Responsibilities |
| **Inception Report** | Evaluator provides clarifications on timing and method  | No later than 2 weeks before the evaluation mission.  | Evaluator submits to UNDP CO  |
| **Presentation** | Initial Findings  | End of evaluation mission | To project management, UNDP CO |
| **Draft Final Report**  | Full report, (per annexed template) with annexes | Within 3 weeks of the evaluation mission | Sent to CO, reviewed by RTA, PCU, GEF OFPs |
| **Final Report\*** | Revised report  | Within 1 week of receiving UNDP comments on draft  | Sent to CO for uploading to UNDP ERC.  |

\*When submitting the final evaluation report, the evaluator is required also to provide an 'audit trail', detailing how all received comments have (and have not) been addressed in the final evaluation report.

Team Composition

The evaluation team will be composed of *1 international evaluator.* The consultants shall have prior experience in evaluating similar projects. Experience with GEF financed projects is an advantage. The evaluator selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

The evaluator must present the following qualifications:

* International consultant with advanced academic degree (MSC or PhD) and professional background in fields related to Climate Change Adaptation, Agriculture and Integrated Water Resource Management.
* A minimum of 5 years of relevant experience is required;
* Substantive experience in reviewing and evaluating similar projects, preferably those involving UNDP/GEF or other United Nations development agencies or major donors;
* Familiarity with the challenges developing countries face in adapting to climate change

Other knowledge and skills:

* Technical knowledge in the targeted focal area(s)
* Ability deliver quality reports within the given time;
* Excellent English writing and communication skills. The consultant must bring his/her own computing equipment;
* Excellent feedback-giving skills and culture sensitiveness.

Evaluator Ethics

Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct (Annex E) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the [UNEG 'Ethical Guidelines for Evaluations'](http://www.unevaluation.org/ethicalguidelines)

Payment modalities and specifications

(*this payment schedule is indicative, to be filled in by the CO and UNDP GEF Technical Adviser based on their standard procurement procedures)*

|  |  |
| --- | --- |
| % | Milestone |
| *10%* | At contract signing |
| *40%* | Following submission and approval of the 1ST draft terminal evaluation report |
| *50%* | Following submission and approval (UNDP-CO and UNDP RTA) of the final terminal evaluation report  |

Application process

Proposal should be submitted by email to **procurement.aze@undp.org**by **June 13, 2017**. Individual consultants are invited to submit applications together with their CV for these positions. The application should contain a current and complete C.V. in English with indication of the e‐mail and phone contact. Shortlisted candidates will be requested to submit a price offer indicating the total cost of the assignment (including daily fee, per diem and travel costs).

UNDP applies a fair and transparent selection process that will take into account the competencies/skills of the applicants as well as their financial proposals. Qualified women and members of social minorities are encouraged to apply.

Annex A: Project Logical Framework

##

|  |
| --- |
| **This project will contribute to achieving the following Country Programme Outcome as defined in CPAP or CPD:** **Outcome 1.** By 2015, non-oil development policies result in better economic status, decent work opportunities and a healthier environment in all regions and across all social groups |
| **Country Programme Outcome Indicators:** |
| **Primary applicable Key Environment and Sustainable Development Key Result Area (same as that on the cover page, circle one): Promote climate change adaptation.** |
| **Applicable GEF Strategic Objective and Program:** **CCA-1:** **CCA-2:** |
| **Applicable GEF Expected Outcomes:** Outcome 1.1. Mainstreamed adaptation in broader development frameworks at country level and in targeted vulnerable areasOutcome 2.1. Increased knowledge and understanding of climate variability and change-induced risks at country level and in targeted vulnerable areasOutcome 2.2: Strengthened adaptive capacity to reduce risks to climate-induced economic losses |
| **Applicable GEF Outcome Indicators:** The project is aligned with CCA Objectives 1 and 2 and with the Results-based management focus under Climate Change Adaptation, as evidenced by the completion of the Adaptation Monitoring Assessment Tool (AMAT) at this CEO endorsement stage. AMAT Outcome indicators relevant to this project are: Outcome Indicator 1.1.1: Adaptation actions implemented in national development frameworks; Outcome Indicator 2.1.1: Relevant risk information disseminated to stakeholders; Outcome Indicator 2.2.1: Number and type of targeted institutions with increased adaptive capacity to reduce risks of and response to climate variability; Outcome Indicator 2.2.2: Capacity perception index; These indicators in turn are reflected in the project’s results framework below. |

Annex B: List of Documents to be reviewed by the evaluators

*Indicative, but not exhaustive:*

* PRODOC;
* Technical documents: Terms of Reference; consultancies report, Management plans; proposals; staff review & comments on consultancies deliverables
* Annual and Quarter Work Plans & Reports
* Financial Reports
* Communication materials
* Training Materials
* Training and events reports
* Memorandum of understanding for activity execution
* Relevant legislation and regulations

Annex C: Evaluation Questions

*This is a generic list, to be further detailed with more specific questions by CO and UNDP GEF Technical Adviser based on the particulars of the project.*

| **Evaluative Criteria Questions** | **Indicators** | **Sources** | **Methodology** |
| --- | --- | --- | --- |
| Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
| Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved? |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
| Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards? |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results? |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
| **Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?**  |
|  |  |  |  |  |
|  |  |  |  |  |

Annex D: Rating Scales

|  |  |  |
| --- | --- | --- |
| ***Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution*** | ***Sustainability ratings:***  | ***Relevance ratings*** |
| 6: Highly Satisfactory (HS): no shortcomings 5: Satisfactory (S): minor shortcomings4: Moderately Satisfactory (MS)3. Moderately Unsatisfactory (MU): significant shortcomings2. Unsatisfactory (U): major problems1. Highly Unsatisfactory (HU): severe problems | 4. Likely (L): negligible risks to sustainability | 2. Relevant (R) |
| 3. Moderately Likely (ML):moderate risks | 1.. Not relevant (NR) |
| 2. Moderately Unlikely (MU): significant risks1. Unlikely (U): severe risks | ***Impact Ratings:***3. Significant (S)2. Minimal (M)1. Negligible (N) |
| *Additional ratings where relevant:*Not Applicable (N/A) Unable to Assess (U/A |

Annex E: Evaluation Consultant Code of Conduct and Agreement Form

**Evaluators:**

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people’s right not to engage. Evaluators must respect people’s right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders’ dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

**Evaluation Consultant Agreement Form[[3]](#footnote-3)**

**Agreement to abide by the Code of Conduct for Evaluation in the UN System**

**Name of Consultant:** \_\_     \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Name of Consultancy Organization** (where relevant)**:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.**

Signed at *place* on *date*

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Annex F: Evaluation Report Outline[[4]](#footnote-4)

|  |  |
| --- | --- |
| **i.** | Opening page:* Title of UNDP supported GEF financed project
* UNDP and GEF project ID#s.
* Evaluation time frame and date of evaluation report
* Region and countries included in the project
* GEF Operational Program/Strategic Program
* Implementing Partner and other project partners
* Evaluation team members
* Acknowledgements
 |
| **ii.** | Executive Summary* Project Summary Table
* Project Description (brief)
* Evaluation Rating Table
* Summary of conclusions, recommendations and lessons
 |
| **iii.** | Acronyms and Abbreviations(See: UNDP Editorial Manual[[5]](#footnote-5)) |
| **1.** | Introduction* Purpose of the evaluation
* Scope & Methodology
* Structure of the evaluation report
 |
| **2.** | Project description and development context* Project start and duration
* Problems that the project sought to address
* Immediate and development objectives of the project
* Baseline Indicators established
* Main stakeholders
* Expected Results
 |
| **3.** | Findings (In addition to a descriptive assessment, all criteria marked with (\*) must be rated[[6]](#footnote-6))  |
| **3.1** | Project Design / Formulation* Analysis of LFA/Results Framework (Project logic /strategy; Indicators)
* Assumptions and Risks
* Lessons from other relevant projects (e.g., same focal area) incorporated into project design
* Planned stakeholder participation
* Replication approach
* UNDP comparative advantage
* Linkages between project and other interventions within the sector
* Management arrangements
 |
| **3.2** | Project Implementation* Adaptive management (changes to the project design and project outputs during implementation)
* Partnership arrangements (with relevant stakeholders involved in the country/region)
* Feedback from M&E activities used for adaptive management
* Project Finance:
* Monitoring and evaluation: design at entry and implementation (\*)
* UNDP and Implementing Partner implementation / execution (\*) coordination, and operational issues
 |
| **3.3** | Project Results* Overall results (attainment of objectives) (\*)
* Relevance(\*)
* Effectiveness & Efficiency (\*)
* Country ownership
* Mainstreaming
* Sustainability (\*)
* Impact
 |
| **4.**  | Conclusions, Recommendations & Lessons* Corrective actions for the design, implementation, monitoring and evaluation of the project
* Actions to follow up or reinforce initial benefits from the project
* Proposals for future directions underlining main objectives
* Best and worst practices in addressing issues relating to relevance, performance and success
 |
| **5.**  | Annexes* ToR
* Itinerary
* List of persons interviewed
* Summary of field visits
* List of documents reviewed
* Evaluation Question Matrix
* Questionnaire used and summary of results
* Evaluation Consultant Agreement Form
 |

Annex G: Evaluation Report Clearance Form

*(to be completed by CO and UNDP GEF Technical Adviser based in the region and included in the final document)*

Evaluation Report Reviewed and Cleared by

UNDP Country Office

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

UNDP GEF RTA

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. For additional information on methods, see the [Handbook on Planning, Monitoring and Evaluating for Development Results](http://www.undp.org/evaluation/handbook), Chapter 7, pg. 163 [↑](#footnote-ref-1)
2. A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROtI) method developed by the GEF Evaluation Office:  [ROTI Handbook 2009](http://www.thegef.org/gef/sites/thegef.org/files/documents/M2_ROtI%20Handbook.pdf) [↑](#footnote-ref-2)
3. www.unevaluation.org/unegcodeofconduct [↑](#footnote-ref-3)
4. The Report length should not exceed *40* pages in total (not including annexes). [↑](#footnote-ref-4)
5. UNDP Style Manual, Office of Communications, Partnerships Bureau, updated November 2008 [↑](#footnote-ref-5)
6. Using a six-point rating scale: 6: Highly Satisfactory, 5: Satisfactory, 4: Marginally Satisfactory, 3: Marginally Unsatisfactory, 2: Unsatisfactory and 1: Highly Unsatisfactory, see section 3.5, page 37 for ratings explanations. [↑](#footnote-ref-6)