



UNDP-UNEP POVERTY-ENVIRONMENT INITIATIVE
Initiative Pauvreté-Environnement PNUD-PNUE
Iniciativa Pobreza-Ambiente PNUMA-PNUD
Инициатива ПРООН-ЮНЕП Бедность и Окружающая Среда



UNDP-UNEP POVERTY – ENVIRONMENT INITIATIVE SCALE-UP PHASE

Final Programme Evaluation

Terms of Reference

1. Background and Context

PEI – FROM THE PILOT TO THE SCALE-UP

The UNDP-UNEP Poverty-Environment Initiative (PEI) has its roots in the growing appreciation of how environmental sustainability can contribute to pro-poor growth and poverty reduction that emerged in the late 1990s and was endorsed at the World Summit on Sustainable Development in 2002 in Johannesburg.

UNDP launched the first PEI activities during the late 1990s. This was a policy initiative focused on desk studies and policy recommendations. Meanwhile, UNEP launched its own poverty-environment project, which concentrated on the significance of ecosystem services for poor people.

Increasingly substantive collaboration between UNDP and UNEP commenced in early 2005 and the initial joint UNDP-UNEP PEI was formally launched at a side event – Environment for the MDGs – at the 2005 World Summit, with strong donor support. The two institutions effectively combined their efforts and their funds in support of a set of 7 country programmes in Africa. This is referred to as the PEI Pilot Phase. (The one PEI country programme in Asia remained a UNDP supported programme)

In late 2006, UNDP and UNEP undertook a vigorous effort to learn from the experience gained in this Pilot Phase. With the backing of key donors, UNDP and UNEP jointly prepared a formal proposal to seek financial support for a UNDP-UNEP PEI Scale-up.

The favourable reaction by donors to this proposal led to UNDP and UNEP launching the joint UNDP-UNEP PEI Scale-up in February 2007. The joint programme document for “Scaling-up the UNDP-UNEP Poverty-Environment Initiative” (commonly referred to as the **PEI Scale-up joint PRODOC** - see Annex I) set an initial target of expanding the programme to work in about 25-30 countries (from 8 in the pilot phase) with a budget of \$33 million over five years. Its implementation effectively started in 2008.

THE POVERTY-ENVIRONMENT INITIATIVE IN BRIEF

The PEI is a global UN programme that supports country-led efforts to mainstream poverty-environment linkages into national development planning, from policymaking to budgeting, implementation and monitoring. It provides financial and technical assistance to governments to set up analytical, institutional and capacity strengthening programmes with the aim of influencing policy and budgets and bringing about enduring institutional change by increasing the understanding of country poverty-environment linkages. In order to achieve this, PEI works in collaboration with other relevant actors at the country level such as leading practitioner and knowledge organizations, civil society organizations, and the private sector. It is a significant example of commitment to UN Reform, including One UN.

The UNDP-UNEP PEI:

- Was formally launched in 2005 and was followed by a scale-up phase from December 2007 – 30 June 2013.
- Currently works in Africa, Asia-Pacific (PEI A-P), Europe and the CIS (PEI ECIS) and Latin America and the Caribbean (PEI LAC). Under the Scale-up, the PEI has implemented activities in 24 PEI countries, out of which 18 are full country programmes under implementation, and 6 where PEI provides targeted technical support¹;
- Operates through a joint UNDP-UNEP Management Board (JMB), a global Poverty-Environment Facility (PEF), four regional teams (RTs) under guidance of Regional Steering Committees, and the UN country teams (UNDP COs);
- Receives guidance from the Donor Steering Group from participating partners/donors. Funding has been provided by the Governments of Belgium, Denmark, Germany, the European Commission, Ireland, Norway, Spain, Sweden, the United Kingdom, the United States, as well as core funding from UNDP and UNEP.
- Contributes to the UN 'Delivering as One' process and strengthening the capacity of its host agencies to mainstream environment in their country operations.
- Value-added is that there is a demonstrable need to improve the incorporation of environmental sustainability in country development processes and that the PEI is the one major international programme that attempts to operationalise the integration of pro-poor environmental sustainability into national development processes and budgets – using a country-led approach based upon experience and lessons learned. Furthermore, the UNDP-UNEP PEI is a leading example of UN interagency co-operation and UN reform in action.

THE PEI PROGRAMMATIC APPROACH

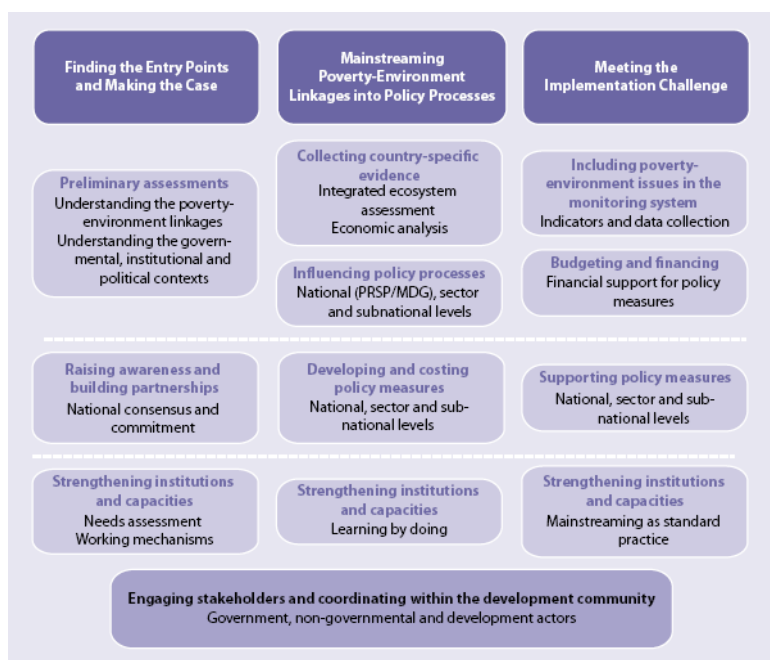
The PEI developed a programmatic approach for mainstreaming poverty-environment linkages into national development planning which consists of three components:

1. Finding the entry points and making the case, which sets the stage for mainstreaming
2. Mainstreaming poverty-environment linkages into policy processes, which is focused on integrating poverty-environment linkages into an ongoing policy process, such as a PRSP or sector strategy, based on country-specific evidence
3. Meeting the implementation challenge, which is aimed at ensuring integration of poverty-environment linkages into budgeting, implementation and monitoring processes

The diagram below outlines the P-E mainstreaming tools applied under each of the components. This approach is flexible and can be tailored to each country context².

¹ For more information see the Overview of country programme status per region – Annex I of the PEI Annual Progress Report for 2009. The PEI Annual Progress Reports for 2008 and 2009 are available under major publications on www.unpei.org

² A Handbook, entitled [Mainstreaming Poverty-Environment Linkages into Development Planning: A Handbook for Practitioners](http://www.unpei.org/knowledge-resources/publications/mainstreaming-poverty-environment-linkages-into-development-planning-a-handbook-for-practitioners-2009) was developed through consultative processes over the course of 2008 that further elaborates the programmatic approach. Available at <http://www.unpei.org/knowledge-resources/publications/mainstreaming-poverty-environment-linkages-into-development-planning-a-handbook-for-practitioners-2009>



1.1 Programme Objective, Expected Outcomes and Outputs

The Joint Programme Document of the PEI Scale-up, signed on 4 December 2007, stated that the Expected Outcome of the programme was an “improved capacity of programme country governments and other stakeholders to integrate the environmental concerns of poor and vulnerable groups into policy, planning and implementation processes for poverty reduction, pro-poor growth and achievement of the MDGs.”

The Expected Outputs were formulated as follows:

- 1) Country-led poverty-environment mainstreaming programmes
- 2) Joint UNDP-UNEP regional support programmes and regional communities of practice on environmental mainstreaming
- 3) Global knowledge products and services on environmental mainstreaming.

The monitoring and reporting system of PEI presented in the project document contained significant weaknesses. This was acknowledged during the Mid-Term Review. The M&E framework did not sufficiently capture outcomes and impact; which implies that it is difficult for PEI to demonstrate the value added and outcomes of PEI to donors. During the implementation period of the Scale-up phase, the PEF, in close collaboration with the Regional Teams, the **Technical Advisory Group (TAG)** and technical advice from IIED, worked on a comprehensive revision of the monitoring and reporting system. The results of this work were included in the new results and resources framework (RRF) presented in the Project document for the PEI 2013-2017, signed on 29 May 2013.

1.2 Programme Structure and Executing Arrangements

PEI is a pioneering example of a joint UNDP-UNEP programme – with a **Joint Management Board (JMB)**, the **Poverty-Environment Facility (PEF)** and four joint PEI regional teams (RTs). Both host institutions contribute core staff – some full-time, some part-time - at the global, regional and

country levels. Since PEI is a jointly managed initiative with pooled funds, contributions from PEI Scale-up donors are pooled and jointly managed by the PEF under the UNDP Atlas system³. According to PEI staff, the programme has, over the last five years, moved progressively from a highly centralised programme to a more devolved programme delivered by regional and country teams. Current structural and executing arrangements are described below.

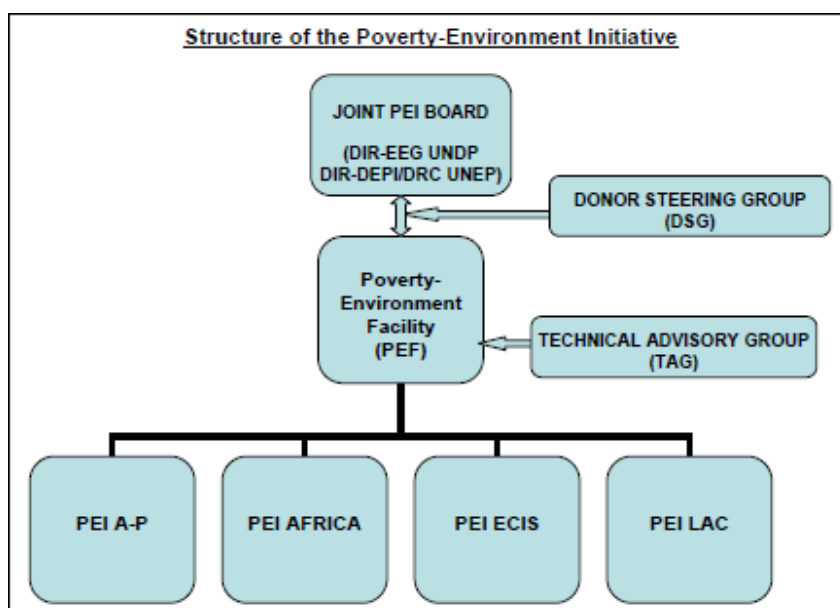
The PEI Joint Management Board consists of the Director of UNDP's Environment and Energy Group (BDP/EEG), UNEP's Director of the Division of Environmental Policy Implementation (DEPI), the Director of UNEP/Division for Regional Coordination, and the Director of the UNDP Poverty Group. (Note: originally and until August 2010, the UNEP representative was the Director of the Division of Regional Cooperation, DRC). The **PEF** based in Nairobi is jointly managed by two Co-Directors, appointed by UNDP and UNEP, who report to the Board. It is charged with global coordination and management of the programme – including budget management and reporting to donors on expenditure and results. It also offers knowledge management and technical advisory services to the regional and country programmes. Each **country programme** is developed jointly with the Government and formalized in a joint Programme Document (PRODOC) approved by the main Government partners, the UNDP-UNEP Poverty-Environment Facility, and the UNDP Country Office (UNDP CO). The **four regional teams** support the design, delivery, monitoring and reporting of country programmes, in cooperation with the UNDP COs and the Government, and are responsible for providing P-E mainstreaming technical support and responding to demand in their respective region. Under the guidance of the PEF, the regional teams use the results framework in the PEI Scale-up joint PRODOC to monitor and report on P-E mainstreaming achievements by drawing on country-based reporting against respective country programme PRODOCS.

A **Donor Steering Group** (DSG) formed by donor contributing to the PEI Scale-up meets annually and provides guidance and feedback to management. Reporting to donors is done through a consolidated annual progress report⁴ - rather than individual donor reports - as agreed with the Donor Steering Group. In addition to reporting on progress and results, the annual report is used for disseminating information on lessons learned in programme countries and other outreach purposes. During the DSG meeting in 2010 it was agreed to reconvene the PEI TAG to provide strategic advice to the management of the PEF. The TAG is an independent source of advice on PEI scale-up strategy and implementation. The TAG normally meets at least once a year.

Since 2012, the Regional Teams receive guidance from the **Regional Steering Committees**, which are co-chaired by the UNDP and UNEP Regional Directors, and have members from UNDP and UNEP regional office technical programmes and PEF Co-Directors. The Regional Steering Committees are responsible for endorsing the PEI Regional Strategy and budget for submission to the PEF and the Joint Management Board. Regional Steering Committees are also responsible for ensuring the effective coordination of PEI with other UN and non-UN programmes engaged in P-E mainstreaming or similar themes within their respective regions. The Joint Management Board approves the regional implementation strategies.

³ Atlas is a name for PeopleSoft ERP system used in UNDP and other partner UN agencies to manage finances, human resources, inventory and procurement.

⁴ The PEI Annual Progress Reports for 2008 and 2009 are available under major publications on www.unpei.org



MANAGEMENT ARRANGEMENTS - PEI COUNTRY PROGRAMMES

PEI works at country level with the government to establish institutional and management arrangements aiming to create a well-functioning team to deliver sustainable results for poverty reduction and improved environmental management. PEI country programmes operate through the UNDP CO, with joint support from PEI regional teams and the broader UN country team. In general, the ministry of planning and finance is the most suitable entity to lead the effort, in close collaboration with environmental institutions. In most cases PEI is integrated in an existing government-led:

- **Steering Committee-** including high level environment institutions, planning and finance ministries, sector ministries, subnational actors, and non-governmental actors, that provide strategic and political guidance to the poverty-environment mainstreaming process.
- **Technical committee or task team-** Provides technical inputs and guidance throughout the poverty-environment mainstreaming process. This team can be composed of external experts, government officials, UN staff, and local officials.

The PEI country teams vary in composition. Drawing on support from the PEI RT and the PEF they focus on a specific entry point, such as a development policy process, budgeting process, sector or local planning process, or similar process to integrate environment into development and poverty-reduction policies, and advise on the implementation of the program at the country level.

1.3 Programme Cost and Financing

At the time of signature of the Scale-up programme, the programme document set an initial target of \$ 33,043,478 million to be mobilized. As per December 2012, the PEI programme had mobilized approximately US\$30 million (see table 2).

The positive support of the PEI donors enabled a continuity of the PEI programme in all PEI countries, four regional programmes and the global Poverty Environment Facility (PEF). More importantly, these contributions may have had a catalytic effect, by generating a considerable amount of additional resources from UNDP country offices, in-country donors, other projects and initiatives and

Governments. Strong donor support has also enabled a continuity of the programme whilst the next phase PEI 2013-2017 was elaborated in a consultative manner during the period from June 2012 to May 2013.

Table 1 provides a breakdown of the donor resources provided to the PEI.

GROSS TOTAL DONOR INCOME RECEIVED	2008	2009	2010	2011	2012	2013	TOTAL
UNEP EF - pooled (DFID)	1,771,700	1,937,300		1,000,000			4,709,000
Norway	500,000	500,000	1,500,000	1,000,000	2,000,000	2,000,000	7,500,000
(PEP Malawi)			22,659				22,659
EC (EuropeAid/DCI-ENV/2007-143935/TPS)		818,733	914,909	798,292	784,884	352,021	3,668,839
EC (ENRTP)					1,965,924	590,000	2,555,924
Germany						135,685	135,685
Sweden (Subglobal Assessment)			478,550	65,000			543,550
Spain	872,840			263,611	613,695	456,225	2,206,371
Sweden (UNDP Agreement)	1,455,721	67,526	139,470				1,662,717
Sweden UNEP Agreement				772,440	369,560	1,142,000	2,284,000
Denmark	1,413,834	652,585	744,740	760,023	690,250		4,261,432
UNEP			200,000				200,000
USA				100,000	100,000		200,000
TOTAL	6,014,095	3,976,144	4,000,328	4,759,366	6,524,313	4,675,931	29,950,177

1.4 Programme Implementation Status

- By the end of 2012, the PEI was active in 21 countries, see table 5 below.

Table 5. List of UN PEI Programme partner countries, 1 January 2013

Africa	Asia-Pacific	Europe and the CIS	Latin America and the Caribbean
Botswana	Bangladesh	Armenia	Dominican Republic
Burkina Faso	Bhutan	Tajikistan	Guatemala
Kenya	Lao PDR	Kyrgyzstan	Uruguay
Malawi	Nepal		
Mali	Philippines		
Mauritania	Thailand		
Mozambique			
Rwanda			
Tanzania			

2. The mid-term review of the PEI Scale-out recommended the continuation of PEI beyond 2013. Consequently, a formal PRODOC for the period 2013 – 2017 was prepared and formally endorsed by UNDP and UNEP. It is envisaged that the PEI as a discrete programme will terminate in 2017, but that work will continue as a part of the ‘core’ work programmes of both UNDP and UNEP.

2. The Evaluation

3. As indicated in the PEI Scale-up project document, “an external evaluation will be conducted in Year 5 to assess programme results and to make recommendations for a second 5 year phase”. This second phase has been formulated and approved, and has started operations from 1 July 2013 onwards, with strong emphasis on the implementation of P-E mainstreaming.

4. An **Evaluation Management Group** (EMG) is set up comprising of the UNDP and UNEP Evaluation Offices. It will be supported by the Poverty- Environment Facility. All decisions made regarding the evaluation process, recruitment of consultants, evaluation budgeting, deliverables etc. are made by the EMG to ensure full independence of the evaluation process.

5. The Evaluation will be conducted by an **independent team of evaluation consultants** who will report to the EMG. The PEF will facilitate and assist the evaluation process.

6. The PEI Joint Management Board and Co-Directors will provide insights and other inputs into evaluation deliverables, and promote learning and ownership of the evaluation findings and recommendations among PEI stakeholders and partners.

2.1 Evaluation Objective and Scope

7. The **main purpose** of this final evaluation of the UN PEI Scale-up phase is to make a broad and representative assessment of the programme performance in terms of relevance, effectiveness (outputs and outcomes), efficiency, and to the extent possible impacts (actual and potential) stemming from the programme, including their sustainability (OECD DAC criteria for evaluation).

8. The evaluation has three **primary objectives**: (i) to provide evidence of results to meet accountability requirements, (ii) to promote learning, feedback and knowledge sharing through results and lessons learned among the Board, PEF, the broader PEI team and other stakeholder and partners, and, (iii) to improve implementation and delivery into the next phase. Therefore, the evaluation will identify lessons of operational and technical relevance for future programme formulation and implementation.

9. Further to the recommendations of the Mid-Term Review (2011), the PEI conducted a “Business Review” in 2012 which studied the PEI ‘business model’ in terms of effectiveness and efficiency. Although assessment of effectiveness and efficiency will be updated in light of this business review, the focus of this evaluation will be placed strongly on five key **issues**:

1. The current relevance / value added of the PEI and whether changes in the wider policy environment (e.g opportunities and challenges in view of the Rio+20 outcomes, the post 2015 and Sustainable Development debates, the climate change agenda, green economy and consideration of other – related – initiatives or actors that have emerged recently), may have implications for how PEI operates during the next phase (2013 – 2017).

2. In light of the Mid-Term Review and recent business review, the evaluation will:
 - (i) update the assessment of the effectiveness / progress to date of the Initiative and its **implementation** against the results and resource framework of the Scale-up programme, and identify its strengths and weaknesses.
 - (ii) provide updated findings, conclusions and recommendations on the efficiency of the PEI to improve implementation and delivery into the next phase. These should focus on:
 - The global joint PEI design and arrangements (including the PEF, PEI governance and operational and technical support from UNDP and UNEP)
 - PEI regional teams
 - PEI country programme design and implementation.
3. The evaluation will assess the changes to the PEI Results and Resources Framework, provide findings and make recommendations on the RRF of the PEI Phase 2013 – 2017, for more efficient monitoring of progress into the next phase.
4. The evaluation should provide recommendations on the likelihood that PEI outputs deliver the expected outcomes and impact in beneficiary countries as indicated in their respective country PRODOCs.
5. The evaluation will assess the sustainability strategy of the PEI by providing findings, and making recommendations on the progress and level of PE mainstreaming in UNDP and UNEP, and provide forward looking recommendations to strengthen the sustainability/exit strategy of the PEI programme.
10. The **scope** of the evaluation is the PEI over scale up period from the time of its inception in January 2008 to 30 June 2013. The evaluation will encompass the activities and geographical scope of the PEI Programme as a whole, at country, regional and global levels.
11. The **primary audience** for the evaluation will be the PEI Joint Management Board, the UNDP and UNEP senior management, the PEF, PEI staff and the members of the PEI Donor Steering Group. The secondary audience for the evaluation will be the relevant institutions of all countries participating in PEI activities, other linked initiatives, along with the broader PEI communities of practice and stakeholders. The evaluation will also be made available to the public through the PEI [website](#) and the websites of the evaluation offices of UNDP and UNEP.

2.2 Evaluation Criteria

12. To focus the evaluation objectives by defining the standards against which the initiative will be assessed, the following six internationally accepted evaluation criteria will be applied:
 - i) **Relevance**, concerns the extent to which the PEI and its intended outputs and outcomes are consistent with regional and national policies and priorities, but also with the countries' intended policy results. Relevance also considers the extent to which the initiative is responsive to the corporate plans of the UNDP (Strategic Plan) and UNEP (Programme of Work), and the changes in the international environmental policy arena (Rio+20, post 2015, etc.). The scope includes a retrospective assessment of the project's objectives and

implementation strategies at the time of design and any subsequent changes made during implementation

- ii) **Effectiveness**, measures the extent of which the Programme's intended outcome and expected outputs, as formulated in the project document, have been achieved or the extent to which progress towards these outcomes has been made.
- iii) **Likelihood of impact**, measures to what extent the Programme has contributed to, or is likely to contribute to the expected outcome, or intermediate states towards impact, such as changes in the governance systems and institutional behaviour at the national level, but also at the global level. The evaluation will assess the likelihood of impact at the country level, but also at the global policy levels, by critically reviewing the programmes intervention strategy (using a Theory of Change approach) and the presence of the required drivers and assumptions for outcomes to lead to intermediate states and impact. The evaluation will assess whether and how the lessons learned and best practices from the PEI work are finding their way into global policy formulation, debates and discussions.

Note: as the PEI is a partnership programme, with country programmes strongly embedded in existing government processes and agencies, impact should be assessed in such a partnership context, the policy and budgeting processes where all parties play key roles, rather than focussing impact assessment at the level of enhanced environmental and poverty conditions. P-E mainstreaming is a long-term process. Although the country teams are now well underway achieving some important results, it may still be relatively early to provide substantive evidence on PEI's possible impact on poverty reduction and sustainable growth. Furthermore, the joint PEI Scale-up PRODOC (see page 16) already points out at the fact that: "An assessment of PEI, therefore, must focus on the *processes* generated or facilitated by the programme [...]". This evaluation should therefore provide recommendations on the likelihood that PEI outputs will deliver the expected outcomes and impact in beneficiary countries as indicated in their respective country PRODOCs. In this sense, the evaluation will address important aspects impacting on present and future performance, such as country ownership or UNDP and UNEP joint programming related issues. It will also review design and implementation – including organizational and institutional arrangements or project design - to identify process issues that may affect overall PEI delivery. As such, and in-line with the PEI Scale-up joint PRODOC, the evaluation team will focus on understanding and commenting on the extent to which the PEI is assisting in creating the enabling conditions needed to effectively mainstream poverty-environment in national development plans and policy processes and the likelihood that those PEI-driven changes have an impact on the ground.

- iv) **Sustainability, and upscaling** analyses the likelihood of sustainable outcomes at programme termination (in 2017), with attention to sustainability of financial resources, the socio-political environment, catalytic or replication effects of the programme, institutional and governance factors, and environmental risks. This will also encompass an assessment of the level of integration/up take of P-E mainstreaming by UNDP and UNEP in their

respective corporate policies, implementation at the country level, and assessing to what extent PEI methodology has been used by other programs and agencies in the UN family.

- v) **Efficiency**, measures if resources or inputs (such as funds, expertise and time) were used economically to deliver high quality goods and services (outputs), and the timeliness of their delivery.
- vi) **Cross-cutting issues** such as gender mainstreaming, local stakeholder participation in the programme, and capacity building, both at design and during implementation.

13. The the performance assessment will be based on the **Theory of Change (ToC)** of the PEI Programme⁵. A ToC depicts the logical sequence of desired changes (also called “causal pathways”, “impact pathways” or “results chains”) to which an intervention, programme, strategy etc. is expected to contribute. It shows the cause-to-effect linkages from project outputs (goods and services delivered by the project) through outcomes (changes resulting from key stakeholders’ use of project outputs) towards impact (changes in living conditions and environmental benefits), including any intermediate changes that need to happen between project outcomes and impact (called intermediate states). A ToC further defines the external factors that affect changes along the pathways, namely:

- **Drivers** – these are external factors partly under control of the programme, such as national stakeholder ownership, that help “drive” change processes along the causal pathways;
- **Assumptions** – these are external factors entirely outside the programme’s control that affect the achievement of outcomes, intermediary states and impact.

14. The timely delivery of quality outputs by the programme and the use of these outputs by stakeholders are also affected by internal **factors affecting performance**. The evaluation will carefully assess those factors, such as preparation and readiness of the programme, overall management and adaptation to changing conditions, financial planning, effectiveness of implementing agencies, internal coordination and supervision mechanisms, and coordination with other relevant donors projects/programmes; as to understand why performance has been better on certain aspects than others. This deeper understanding of factors affecting performance will likely generate important lessons.

2.3 Evaluation Questions

15. The following list includes standard questions and issues that the PEI Scale-up final evaluation should address. It is based on the standard evaluation criteria mentioned above, i.e. relevance, effectiveness, efficiency, impact and sustainability, as well as an additional category of questions regarding factors affecting programme performance. The evaluation will assess the PEI Programme as follows:

⁵ GEF Evaluation Office, (OPS4) Progress towards Impacts: The ROTI Handbook: Towards enhancing the impacts of environmental projects – Methodological paper 2:

http://www.thegef.org/gef/sites/thegef.org/files/documents/M2_ROT%20Handbook.pdf In addition to the PEI Handbook for Practitioners: <http://www.unpei.org/sites/default/files/publications/PEI%20Full%20handbook.pdf> provides useful material for analysis of the TOC.

1.1.1 Strategic relevance of the UNPEI

16. The evaluation will assess, in retrospect, whether the programme's objectives and implementation strategies were consistent with:

- Countries' needs and development priorities as expressed in national policies and plans as well as in sector development frameworks;
- UN Country Programmes or other donor assistance frameworks approved by the governments of the partner countries;
- The corporate mandate, strategies and programmes of work of the UNDP and UNEP;
- The One UN Plans between the Government and the UN Organizations;
- Other PEI related programmes, and initiatives.
- Existing policies, programmes, mechanisms and experiences in-country and in the Regions, and if these were taken into consideration?
- The wider international environmental governance context, ie. Rio+20. Post 2015 and Sustainable Development debates, Climate Change policies, Green Economy and other related trends.

17. The evaluation will also assess whether the programme objectives were realistic, in light of the programme duration, its geographical scope and its allocated funding, and considering the baseline situation and the global, regional and national political, institutional and economic contexts in which the programme is operating (including from a risk perspective). The evaluation will also make recommendations for PEI's work in the future according to the current international environmental governance context and trends such as Green Economy/ Green Growth.

1.1.2 Results and contribution to stated objectives

Delivery of Outputs

18. The evaluation will assess the extent to which the major outputs defined in the Results and Resources Framework (RRF) have been produced, their quality and timeliness, and any gaps and delays incurred in output delivery and their causes and consequences. The evaluation will make use of the findings of previous evaluations; Belgian evaluation (2008), Norwegian evaluation (2009), and the Mid-Term Review (2011).

19. Ideally, the evaluation team should directly assess all outputs, but this may not be feasible due to time and resource constraints. Therefore, a detailed analysis should be done on a representative sample of outputs that were assessed directly, while a complete list of outputs and their delivery rate and quality, prepared by the programme team, should be included as annex.

Effectiveness

20. The evaluation will assess the extent to which the programme's expected outputs and intended outcomes were effectively achieved or are expected to be achieved.

21. For this, the evaluation will assess the Theory of Change (ToC) of the UNPEI programme which was elaborated during the formulation phase of the PEI 2013 – 2017 programme. The assessment of effectiveness will then focus on the following questions:

- Extent to which the intermediate outcome, as defined in the Theory of Change, have been achieved by the programme;
- Extent to which the expected outputs have been achieved, referring as much as possible to the assessment made under the previous point to avoid repetition;
- The contribution of UNDP and UNEP, the PEF, the Regional Teams and partner countries to the achievement of the expected outcome and expected outputs.

- A summary of the main factors influencing the achievement of the expected outcome (with reference to the more detailed analysis that will follow under the “Factors affecting performance”).

22. A key question under effectiveness will be what the current status of PEI mainstreaming is in the supported countries.

Likelihood of Impact

23. The evaluation will assess actual and potential, positive and negative impacts produced by the initiative, directly or indirectly, intended or unintended. Since impact is a result of long term change, and requires specialised tools to be measured, this evaluation will only assess the likelihood of impact, and the processes in place and progress made towards it.

24. The evaluation will use a Review of Outcomes towards Impact (ROtI) approach to assess the likelihood that results achieved by the PEI (will) contribute to long-term impact on environmental benefits and sustainable development. This theoretical approach is warranted because there is likely to be a significant time lag between the programme’s outputs such as tools, methods and guidance to encourage the capture of multiple benefits and outcomes in terms of behavioural change. In addition to the time lag, the PEI programme’s contribution to impact becomes much harder to assess the further along the causal pathways the assessment is conducted. It is, however, possible to enhance the reliability of the assessment of likelihood of impact and of the extent of the programme’s contribution, through a rigorous review of progress along the pathways from output to outcome to impact set out in the Theory of Change of the programme. The ROtI will also assess to what extent the drivers and assumptions are present, that are deemed necessary for PEI outputs to lead to outcomes, and those outcomes to yield impact.

Sustainability and Up-scaling

25. **Sustainability** is understood as the probability of continued long-term programme-derived results and impacts after the external programme funding and assistance has ended. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of benefits. The ToC will be used as a framework to assist in the evaluation of sustainability.

26. Three aspects of sustainability will be addressed:

- (a) *Socio-political sustainability.* Are there any social or political factors that may influence positively or negatively the sustenance of programme results and progress towards impacts? Is the level of ownership by the main national, regional and global stakeholders (including UNDP and UNEP) sufficient to allow for programme results to be sustained? Are there sufficient government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the programme?
- (b) *Financial resources.* To what extent are the continuation of programme results and the eventual impact of the programme dependent on continued (external) financial support (at country level, but also from UNDP/UNEP)? What is the likelihood that adequate financial resources will be available to implement the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project? Are there any financial risks that may jeopardize sustenance of programme results and onward progress towards impact?
- (c) *Institutional framework.* To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance at national level? To what extent are changes in the UNDP and UNEP institutional frameworks leading to sustainability of the P-E mainstreaming approach? How robust are the institutional

achievements such as governance structures and processes, policies, global and regional agreements, legal and accountability frameworks etc. required to sustaining programme results and to lead those to impact on human behaviour and environmental resources?

27. **Up-scaling** is defined as up-take and application of practices, approaches and lessons emerging from the programme on a much larger scale and funded by other sources. The Mid-Term Review has extensively looked into this aspect. The evaluation team will take this further and assess the approaches adopted by the programme to determine and assess the factors that influence up-scaling of programme results. **Replication**; the evaluation will identify what factors have promoted successful UNDP/UNEP cooperation and will assess whether these may be replicated in other contexts.

Efficiency

28. The evaluation will take into consideration the recently conducted PEI Business Review and will assess and / or update:

- The extent to which the recommendations of the Business Review have been implemented, the effects of any measures implemented and any other time and cost-saving measures taken by the programme
- The cost and timeliness of key outputs delivered compared to national and regional benchmarks
- Administrative costs (including costs for supervision and coordination between participating UN agencies) compared to operational costs
- Any significant delays or cost-overruns incurred, reason why and appropriateness of any remedial measures taken
- Any explicit efforts at global and national level to make use of pre-existing results, partnerships and approaches, as well as to exploit complementarities and synergies between related internal and external initiatives.

1.1.3 Cross-cutting issues

Gender mainstreaming

- Analysis of how gender issues were reflected in Programme objectives, design, identification of beneficiaries and implementation;
- Analysis of how gender relations and equality are likely to be affected by the initiative;
- Extent to which gender issues were taken into account in Programme management.
- Assessment of likely distribution of benefits and costs between stakeholders.
- To what extent, were both women and men equally involved, in PEI activities among the various stakeholder and beneficiary groups?

Participation of local stakeholders

- To what extent are local stakeholders participating in decision making in the PEI programme?
- To what extent are beneficiaries involved in the various PEI activities and at what stages of the program (from initial design through to implementation) were they involved?,
- Are appropriate policies, tools, methods and approaches being promoted by PEI to ensure that the views of local stakeholders are fully taken into account in decision making processes at national and local level?

Capacity Development

- The extent and quality of programme work in capacity development of beneficiaries;
- The perspectives for institutional uptake and mainstreaming of the newly acquired capacities, or diffusion beyond the beneficiaries or the programme.

1.1.4 Factors affecting performance

Programme Design and Structure

29. The Evaluation will assess the extent to which the overall performance of the PEI Programme has been affected by the way it has been designed and structured. It will look at whether the establishment of a dedicated programme on P-E mainstreaming among UN agencies has helped to better define and coordinate activities among the 2 participating UN agencies and lead to more effective country assistance. The evaluation will consider the internal coherence and logic between Programme vision, mission, outcomes and outputs. It will seek to answer the following questions:

- When examining the programme's formal results framework, its evolution, and the Theory of Change, how clear and logical is the programme's formal results framework, including the appropriateness of stated expected outcomes and outputs, and the evolution of outputs and outcomes since programme formulation? Is the Theory of Change underpinning the overall programme results' framework robust and realistic? Are causal relationship between inputs, activities, expected outputs, outcomes and impacts logical and is adequate consideration given to drivers and assumptions?
- Is the proposed implementation strategy and intervention approach under each work area the most adequate?
- Was the design process for the project adequate, and were stakeholder and beneficiary needs taken into consideration?

Programme Organisation and Management

30. The Evaluation will look at current programme organization, coordination and management arrangements, by addressing the following questions:

- How effective are the organization, coordination and management arrangements towards the achievement of PEI objectives?
- Further to the recommendations by the Business Review, what still needs to be done to strengthen the roles and responsibilities between UNDP and UNEP to be optimally aligned with the respective mandates and comparative advantages of the agencies?
- Assess the role of the Joint Management Board, the Donor Steering Group and the Technical Advisory Committee and its guidance and decisions on the PEI Programme
- What is the timeliness and quality of administrative and technical support given by the two participating UN Organizations to the PEI at global, regional and country level?

Financial and Human Resources Administration

31. The Evaluation will consider the adequacy of financial and human resources planned and available both at the global and national level for the design and implementation of programme activities by assessing, among other things:

- Distribution of funding according to funding source and the adequacy and stability of the funding base for the achievement of programme objectives;
- Coherence and soundness of budget revisions in matching implementation needs and programme objectives;
- Allocation of funds towards and expenditure rate by each type of intervention and by the different partners;
- Quality, transparency and effectiveness of the systems and processes used for financial management;
- Any other administrative processes facilitating or inhibiting fluid execution of programme activities;

Cooperation and Partnerships

32. The Evaluation will assess the effectiveness of mechanisms for information sharing and cooperation between the PEI, governments and external partners, by addressing the following questions:

- Have key partners been identified and has their commitment at critical stages of programme implementation been secured?
- How is the overall collaboration with and between the different partners involved in the PEI programme?
- How effective are the coordination mechanisms in place between the programme and these partners, within and between Government ministries, and between the National Programme and other bilateral and multilateral PE initiatives. Are the incentives for collaboration adequate?
- What is the timeliness and quality of inputs and support by governments and other partners?
- To what extent have target stakeholder groups and external partners been involved in the planning and implementation of programme activities at the country level? Were there any benefits that stemmed from their involvement, e.g. in terms of programme performance, for themselves, for the participating UN agencies etc.?
- To what extent has the programme been able to take up opportunities for joint activities and pooling of resources with other organizations and networks? Has the PEI made full use of opportunities for collaboration with other relevant development programmes? Have complementarities been sought, synergies been optimized and duplications avoided?

Monitoring, Evaluation and Reporting

33. The Evaluation will examine arrangements for reporting, monitoring and evaluating the PEI programme activities and will assess:

- The quality, comprehensiveness and regularity of reporting on programme outputs, outcomes and impact. What quality assurance processes are in place to ensure the reliability and accuracy of reporting?
- The effectiveness of programme monitoring and internal review systems, including clear definition of roles and responsibilities for data collection, analysis and sharing and adequate resources for monitoring.
- How monitoring information is used for programme steering and management. Assess use by PEI programme management, Regional Teams and UNDP/UNEP corporate management of UNDP ATLAS/ROAR and UNEP PIMS systems to ensure that monitoring results are used to enhance programme performance?
- The appropriateness of performance indicators to measure progress towards the achievement of outputs, outcomes and impact;
- Who participates in the monitoring and review of PEI activities including the role of PEI staff stakeholders and beneficiaries (if any) in giving feedback on the activities through monitoring and reporting systems;
- The extent to which programme activities have been independently evaluated, and whether adequate resources have been allocated to this purpose.

2.4 Evaluation Methodology

34. The PEI final evaluation will adhere to the UNEG Norms & Standards⁶. Evaluation findings and judgements should be based on sound evidence and analysis, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the extent possible, and when verification is not possible, the single source will be mentioned⁷. Analysis leading to

⁶UNEG Norms & Standards: <http://uneval.org/normsandstandards>

⁷ Individuals should not be mentioned by name if anonymity needs to be preserved. In such cases sources can be expressed in generic term (Government, NGO, donor etc.).

evaluative judgements should always be clearly spelled out. The limitations of the methodological framework should also be spelled out in the evaluation reports.

35. The evaluation will rate the different evaluation criteria on a six-point scale as detailed in Annex 5.

36. In attempting to attribute any outcomes and impacts to the programme, the evaluators should consider the difference between what has happened with and what would have happened without the programme. This implies that there should be consideration of the baseline conditions and trends in relation to the intended programme outcomes and impacts. This also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

37. As this is the final evaluation of the PEI Scale-up phase, particular attention should be given to learning from experience, to inform the on-going PEI 2013 -2017 phase. This should be at the front of the evaluation consultants' minds throughout the evaluation exercise. This means that the consultants need to go beyond the assessment of "where things stand" today, and explore processes affecting attainment of programme results, which should provide the basis for the lessons that can be drawn from the Programme. The consultants should also provide recommendations for the way forward.

2.5 Data sources and Tools

38. The PEI Programme evaluation will make use of the following tools and data sources:

- a) A **desk review** of project documents including, but not limited to:
 - General background documentation on PEI, including PEI-related websites, evaluations conducted by international agencies and donors, books and scientific articles pertaining to PEI, etc.;
 - Relevant reports, as posted on the UNPEI website
 - PEI Internal Guidance Note for Improved delivery of the PEI;
 - Project design documents, including approved Global Programme document, regional strategies, and individual national Project Documents, annual work plans and budgets, revisions to the logical framework and project financing;
 - Documentation related to national programme outputs and relevant materials published on the programme website, such as the Annual Progress Reports, and Country level progress reports;
 - Mid-term review, business review
 - M+E system and PIMS and ATLAS reporting
 - Evaluations of national PEI projects
 - Minutes from TAG meetings
 - Minutes of the Joint Management Board meetings and Donor Steering Group meetings.
 - Other relevant documents

- b) **Semi-structured interviews**⁸ with a sample of key informants, stakeholders and participants, drawn from:
- JMB members,
 - Government stakeholders including ministries participating in national coordinating bodies or steering committees;
 - Current and potential donors;
 - Country, regional and headquarter personnel from the two UN-Agencies involved in the National Programme, e.g. the Programme Management Unit, Resident Coordination and Regional Technical Advisers;
 - UNPEI/PEF, Joint Management Board,
 - Representatives from other bi-lateral or multi-lateral initiatives, including members from the Poverty Environment Partnership and Donor Steering Group.
- c) **Surveys**⁹
- A survey of supported countries (in countries where PEI project activities have taken/are taking place and others), including government, civil society, private sector etc. to collect views from countries on PEI relevance, quality of support provided and outcomes achieved to date.
- d) **Missions to selected partner countries.** Meeting in-country partners and Programme staff on the ground will be vital to acquiring a comprehensive understanding of the work conducted at the country level. The evaluators will study the different types of country-level reviews already available and propose on that basis which countries best to visit in order to fill information gaps. Countries whose national PEI project has recently been evaluated will not be visited. Six (6) countries, with at least 2 countries each in Africa and Asia, and 1 country each in Latin America and Europe & CIS. Tentative country selection criteria will be discussed and agreed on during the inception phase.

2.6 Consultation process

39. While fully independent in its judgements, the Evaluation Team will adopt a consultative and transparent approach with internal and external stakeholders. Throughout the process the evaluation team will liaise closely with: the Evaluation Management Group, relevant Programme staff of the UNDP and UNEP, the Joint Management Board, the Co-Directors and other key stakeholders. Although the evaluation team is free to discuss with relevant government authorities anything pertaining to its assignment, the team is not authorized to make any commitments on behalf of the Programme or the participating UN Organizations.

40. The inception report will be shared first with the EMG and the PEF. Once cleared by the EMG, the inception report will be shared with other evaluation stakeholders for information purposes.

⁸ Face-to-face or through any other appropriate means of communications

⁹ These surveys can be conducted online or through Email, as deemed most effective by the team. In preparation of the questionnaires, duplication with the Policy Board Review should be avoided.

41. The draft evaluation reports will be shared first with the EMG and the PEF, then with the Joint Management Board, relevant Programme staff of the PEI, UNDP and UNEP, and other key stakeholders for comments before finalisation. Comments will be incorporated as deemed appropriate by the evaluation team.

2.7 The Evaluation Team

42. The Evaluation Team should consist of 3 independent evaluators, including one Team Leader. The Team Leader will have sound experience in leading evaluations of large programmes and excellent English writing skills. To the extent possible the Evaluation Team will be balanced in terms of geographical and gender representation to ensure diversity and complementarity of perspectives. The evaluation team should comprise the best available mix of skills and expertise required to assess the PEI:

- a) Extensive evaluation experience, including using a Theory of Change approach;
- b) Good technical understanding of the Poverty Environment Nexus, of Climate Change issues, and of Public, Private and innovative environmental financial investments and financing schemes;
- c) Knowledge of the UN, in particular of UNDP and UNEP;
- d) First-hand experience in large, global programme coordination and management;
- e) Knowledge management and communication;
- f) Partnerships; and
- g) Gender equity, vulnerable groups and other social and cultural issues.

43. The Evaluation Team members will have had no previous direct involvement in the formulation, implementation or backstopping of the Programme. All members of the Evaluation Team will sign the Evaluation Consultant Code of Conduct Agreement Form (Annex 3).

44. The Evaluation Team is responsible for conducting the evaluation as set out in these TORs and applying the approach and methods proposed in the inception report they will prepare. All team members, including the Team Leader, will participate in briefing and debriefing meetings, discussions and field visits, and will contribute to the evaluation with written inputs. The Team Leader will determine the distribution of data collection, analysis and reporting responsibilities within the team, in consultation with the other team members. The Inception Report will specify how responsibilities will be shared among the evaluators.

2.8 Evaluation Team Deliverables

Inception Report

45. Before going into data collection the Evaluation Team shall prepare an *Inception Report* which should detail the evaluators' understanding of what is being evaluated, showing how the evaluation questions can be answered by way of proposed methods and sources of data. It will contain:

- A thorough review of the programme context
- A thorough review of the programme design

- A desk-based assessment of the PEI Theory of Change, identifying immediate outcomes, intermediate states towards impact, drivers and assumptions for evaluation
- The evaluation framework. It should present in further detail the evaluation questions under each criterion with their respective indicators and data sources, and summarize the information available from programme documentation against each of the main evaluation parameters. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified.
- A proposed schedule of tasks, activities and deliverables –and how these are distributed over the different Team Members
- A list of key stakeholders and other individuals who should be consulted, developed with the assistance of the PEF
- A preliminary list of documents to be reviewed by the evaluation team. A list of important documents and web pages that the evaluators should read at the outset of the evaluation and before finalizing the inception report is included in Annex 4.

46. The Inception Report will be shared with the EMG, and the PEF – RT. The EMG must clear the Inception Report.

Evaluation Reporting

47. Each evaluation consultant will provide written inputs to the evaluation. They will prepare country case study reports and contribute to the main report by writing sections of the main report. The Team Leader, in consultation with the other evaluation team members, will determine the specific inputs and format of the inputs expected from the other team member during the inception phase.

48. After data collection and analysis has been completed, before drafting the main report, the evaluation team will jointly prepare a *presentation of preliminary findings*, showing the most important findings emerging from the evaluation on which the main report will be focused. This presentation will be presented to (or shared electronically with –as practicable) the EMG, the PEF and members of the Joint Management Board to obtain their feedback on the emerging findings, to make sure that the most important issues have been captured by the evaluators.

49. Then, the evaluation team shall prepare a *Draft Evaluation Report* meeting the required criteria as described in the Terms of Reference. The Team Leader bears responsibility for submitting the draft report within four weeks from the conclusion of the country visits. The report will present the evidence found on the evaluation issues, questions and criteria listed in the Terms of Reference. The length of the report should be 15-18,000 words, excluding executive summary and annexes. Supporting data and analysis should be annexed to the report when considered important to complement the main report. The recommendations will be addressed to the different stakeholders and prioritized: they will be evidence-based (with references to the relevant findings in the report), relevant, focused, clearly formulated and actionable. The Evaluation Team shall agree on the outline of the report at the inception phase, based on the template provided in Annex 2 of this Terms of Reference. The report shall be drafted in English.

50. The *Draft Evaluation Report* will immediately be circulated among the evaluation offices, who will verify that the draft report meets evaluation quality standards, and may request a revision of the draft report by the consultants before it is shared with a wider audience. The revised draft report

will then be circulated among relevant Programme staff of the participating UN Agencies, the full Joint Management Board, and other key stakeholders for comments. Comments will be incorporated as deemed appropriate by the evaluation team. A “Response to comments matrix” will be prepared by the evaluation team to show how comments received have been dealt with in the *Final Evaluation Report*.

51. The Evaluation Team is fully responsible for the preparation of its independent report, which may not necessarily reflect the views of the UNDP or UNEP, or the PEF and Joint Management Board. The evaluation departments of the UNDP and UNEP are responsible for ensuring conformity of the evaluation report with quality standards for programme evaluation in the two Organizations.

52. The *Final Evaluation Report* will be translated into French, Spanish and Russian by the PEF. It will be published on the UNPEI Programme website (www.unpei.org) and the websites of the UNDP and UNEP evaluation offices.

2.9 Management Response

53. Following completion of the evaluation and delivery of the final Evaluation Report, a Management Response will be prepared by the Joint Management Board and the PEF. The formal management response will be prepared within six weeks of completion and delivery of the final evaluation report. The Joint Management Board and the PEF will track implementation of evaluation recommendations.

2.10 Evaluation timetable

54. Table 6 outlines the provisional timetable and roles and responsibilities at each stage of the evaluation process. The timetable will be adjusted according to the availability of the selected evaluation team.

Table 6: Provisional UN-PEI Programme Evaluation Timeline

Phase	Activity	Responsibility	2013				2014											
			September	October	November	December	January	February	March	April	May	June	July	August	September	October		
	Prepare draft Evaluation ToR	PEF & EMG	X															
	Circulate workplan and process to JMB	PEF	X															
	JMB meeting 18 Sept. Presentation of 1 st draft ToR and workplan	PEF & EMG	X															
	Final draft ToR sent to stakeholders for comment	EMG & PEF		X														
	ToR finalised	EMG			X	X												
	Recruit evaluation team							X	X									
	Inception report (Evaluation quality assurance)	Evaluation Team Logistical support by EMG & PEF								X								
	Review inception report (2 wks)	EMG									X							
	Data collection: Doc review, interviews, surveys and country visits	Evaluation Team								X	X	X	X					
	Data analysis	Evaluation Team									X	X	X					
	Presentation of preliminary findings to PEF & RTs	Evaluation team												X				
	Preparation of draft evaluation report	Evaluation Team										X	X	X				
	Review draft evaluation report by EMG (Evaluation quality assurance)	EMG & Evaluation Team												X				
	Review draft evaluation report by stakeholders	JMB, PEF, Regional Teams, 2 Agencies, and other stakeholders													X			
	Submission of final report	Evaluation Team														X		
	Preparation of management response addressing the recommendations	PEI JMB, PEF, RTs														X		
	JMB Meeting: presentation & dissemination of report and response	Team Leader or EMG														X		

Annex 1: UN PEI Final Evaluation Scale-up phase – Consultants Terms of Reference

Lead Consultant (Team Leader)

Location:	Home-based with missions to (Burkina Faso, Malawi)
Post Level:	International Consultant
Languages Required:	English, French
Application Deadline:	25 April 2014
Expected Start Date:	26 May 2014
Duration of Initial Contract:	57 working days spread over five (5) months

The Team Leader will be responsible for overall management of the evaluation and timely delivery of its outputs as described in the overall TORs of the evaluation, under supervision of and in consultation with the Evaluation Management Group comprising of the evaluation departments of the participating UN agencies (UNDP and UNEP). (S)He will lead the evaluation design, document analysis, fieldwork and report-writing with support and input from the other team members. More specifically:

Coordination of the inception phase of the evaluation, including:

- conduct a preliminary desk review and introductory interviews with PEI programme staff,
- draft the reconstructed Theory of Change of the programme,
- prepare the evaluation framework,
- develop the desk review and interview protocols,
- plan the evaluation schedule,
- distribute tasks and responsibilities among the evaluation team members, and
- prepare the inception report, including comments received from the EMG;

Coordination of the data collection and analysis phase of the evaluation, including:

- conduct further desk review and in-depth interviews with global and regional partners of the programme;
- provide technical support to the evaluation team regarding information collection, data analysis, surveys etc.
- regularly monitor progress of the team in information gathering and analysis,
- prepare a country case study report template and coach team members during the first joint country visit,
- conduct two additional country visits and prepare two country case studies,
- review the country case studies prepared by the other team members and provide feedback,
- discuss preliminary findings of the evaluation with the team, and
- present preliminary findings to the Joint Management Board;

Coordination of the reporting phase, including:

- assign writing responsibilities among the team members for the main report,
- write key section of the main report,
- review/edit sections written by the other team members, ensuring a coherent report both in substance and style, and

- liaise with the EMG on comments received and ensuring that comments are taken into account during finalization of the main report, and
- present the evaluation findings and recommendations at the Joint Management Board meeting;

Managing internal and external relations of the evaluation team, including:

- maintain a positive relationship with evaluation stakeholders, ensuring that the evaluation process is as participatory as possible but at the same time maintains its independence,
- avoid and resolve any misunderstandings, tensions and performance issues within the team, and
- communicate in a timely manner with the EMG on any issues requiring its attention and intervention.

The Evaluation Team will be supported by the EMG, the PEF and Regional and National Programme Teams for logistical arrangements as much as possible, but will be required to make appointments with stakeholders directly and acquire their own country visas and health/repatriation coverage.

The Team Leader shall have had no prior involvement in the formulation or implementation of the UN-PEI Programme and will be independent from the participating UN Organizations and other global, regional and national partners to the programme. (S)He will sign the Evaluation Consultant Code of Conduct Agreement Form (Annex 3).

The Team Leader will be selected jointly by the EMG and recruited by the UNDP Evaluation Office through an individual consultancy contract.

Key selection criteria

- Advanced university degree in international development, Poverty alleviation, Environmental sciences or other relevant social science areas.
- Extensive evaluation experience, including of large, regional or global programmes and using a Theory of Change approach;
- Extensive team leadership experience;
- In-depth knowledge of poverty environment mainstreaming, governance and Climate Change issues;
- Knowledge of results-based management orientation and practices;
- Experience from or knowledge of the UN system, UNDP and UNEP in particular;
- Excellent writing skills in English and working level knowledge of French, and/or Spanish;
- Attention to detail and respect for deadlines.
- Minimum 10 years of professional experience, longer professional experience is an advantage, including proven experience in developing countries.

The fee of the Team Leader will be agreed on a lumpsum basis and paid upon acceptance of expected key deliverables by the EMG.

Deliverables:

- Inception report
- 6 country case studies (covering Africa, Asia and Latin America)
- Presentation of preliminary findings for key internal programme stakeholders (i.e. EMG, the PEF and the Joint Management Board)

- Draft main report and revised draft report incorporating EMG comments if necessary
- Response to comments received from stakeholders on the draft report
- Final main report
- Presentation of findings and recommendations of the evaluation for discussion at the Joint Management Board meeting.

Schedule of Payment:

Deliverables	Percentage payment
Inception report	20
Final country case studies	20
Submission and approval of the draft evaluation report	30
Submission and approval of the final evaluation report <u>and</u> presentation of findings and recommendations at the twelfth Policy Board meeting	30

Below is the Evaluation Criteria for the Lead Consultant:

EVALUATION CRITERIA-LEAD CONSULTANT	Maximum Percentage (%)
Technical Criteria (70%)	
Criteria A - Relevance of qualifications and specialised evaluation knowledge (30%)	
A.1. Advanced university degree in international development, Poverty alleviation, Environmental sciences, social sciences or related disciplines with fluency in oral and written English;	5%
A.2. Minimum of ten (10) years of experience leading evaluations of large programmes;	10%
A.3. Good technical understanding of the Poverty Environment Nexus, of Climate Change issues, and of Public, Private and innovative environmental financial investments and financing schemes.	15%
Criteria B- Experience on similar programme / projects (25%)	
B.1. Extensive evaluation experience using a Theory of Change approach;	5%
B.2. Previous experience with the United Nations and/or other multilateral, bilateral organizations and international civil society development partners. Evaluation experience with UNDP and/or UNEP is an added advantage;	10%
B.3. First-hand experience in large, global programme coordination and management, and in-depth experience of a variety of organisational and project implementation partnership arrangements.	10%
Criteria c - Proposed approach to the evaluation work plan and method is clear, relevant and practical. (15%)	
To be reviewed through the work plan submitted together with the CV, in which the following aspects will be examined: strong conceptual and analytical skills; communication and writing skills with proficiency in English; ability to compile information in coherent and succinct formats; high attention to detail; and ability to work under tight deadline	15%
Financial Criterion (30%)	30%
TOTAL	100%

Expert Consultants (Supporting Consultants)

Location:	Home-based with missions as per footnote.
Post Level:	International Consultant
Application Deadline:	25 April 2014
Expected Start Date:	26 May 2014
Duration ¹⁰ :	No. of days as per the footnote over a duration of five (5) months

The evaluation team will comprise two Supporting Consultants (Asia-Pacific / CIS and Latin America / Caribbean) in addition to the evaluation Team Leader. The Supporting Consultants will be responsible for delivering timely and high quality contributions to the evaluation process and outputs as described in the overall TORs of the evaluation under the leadership and supervision of the Team Leader. They will participate actively in evaluation design, document analysis, fieldwork and report-writing. Each Supporting Consultant will specifically provide:

Substantive contributions to the inception of the evaluation, including:

- conduct a preliminary desk review and introductory interviews with PEI programme staff,
- support the Team Leader in drafting the reconstructed Theory of Change of the programme,
- assist in the preparation of the evaluation framework,
- contribute to the desk review and interview protocols,
- draft one of the two survey protocols (country survey or partner agency staff survey),
- contribute to sections of the inception report as agreed with the Team Leader, and
- any other tasks during the inception phase as requested by the Team Leader;

Substantive contributions to data collection and analysis, including:

- conduct further desk review and in-depth interviews with global and regional partners of the programme as assigned by the Team Leader;
- conduct assigned country visits and prepare assigned country case studies, incorporating feedback received from the Team Leader and the other Supporting Consultant,
- review the country case studies prepared by the other team members and provide feedback,
- discuss preliminary findings of the evaluation within the team, and
- support the Team Leader with the preparation of a presentation of preliminary findings to the Joint Management Board meeting, and
- any other tasks related to data collection and analysis as requested by the Team Leader;

Substantive contributions to the main report, including:

- write key sections of the main report, as assigned by the Team Leader,

¹⁰Supporting Consultant for Asia-Pacific & CIS - 42 working days, and will visit Kyrgyzstan, Nepal and Bangladesh (knowledge of Russian preferred)

Supporting Consultant LAC – 44 working days and will visit New York (UNDP) and Dominican Republic (knowledge of Spanish required).

- review/edit sections written by the other team members, ensuring a coherent report both in substance and style,
- Assist the Team Leader with reviewing comments received from the EMG and other stakeholders and with finalizing the main report, and
- any other tasks related to reporting as requested by the Team Leader;

Ensure good team work and external relations, including:

- maintain a positive relationship with evaluation stakeholders, ensuring that the evaluation process is as participatory as possible but at the same time maintains its independence,
- be a team player, avoid and help resolve any misunderstandings, tensions and performance issues within the team, and
- communicate in a timely manner with the EMG on any issues requiring its attention and intervention.

The Evaluation Team will be supported by the EMG, the PEF, the Regional Teams and the national Programme Teams for logistical arrangements as much as possible, but will be required to make appointments with stakeholders directly and acquire their own country visas and health/repatriation coverage.

The Supporting Consultants shall have had no prior involvement in the formulation or implementation of the PEI Programme and will be independent from the participating UN Organizations and other global, regional and national partners to the programme. They will sign the Evaluation Consultant Code of Conduct Agreement Form (Annex 3).

The Supporting Consultant will be selected jointly by the EMG and recruited by UNDP through individual consultancy contracts.

Key selection criteria

One Supporting consultant will be an expert in environmental and policy processes and the other will be a social scientist. Both consultants will have:

- Advanced university degree in international development, Environmental sciences, Social sciences or other relevant disciplines;
- Significant evaluation experience including using a Theory of Change approach;
- Good knowledge of the UN system, UNDP and UNEP in particular;
- Minimum 7 years of professional experience, longer professional experience is an advantage, including proven experience in developing countries;
- Excellent writing skills in English and working level knowledge of at least one among the following languages: French, Russian, or Spanish.

The fee of the Supporting Consultants will be agreed on a lumpsum basis and paid upon acceptance of key evaluation deliverables by the EMG.

Deliverables:

- Inception report
- 6 country case studies
- Presentation of preliminary findings for key internal programme stakeholders (i.e. EMG, PEF, Regional Teams and the Joint Management Board)
- Draft main report and revised draft report incorporating EMG comments if necessary

- Response to comments received from stakeholders on the draft report
- Final main report

Schedule of Payment:

Deliverables	Percentage payment
Inception report	20
Draft country case studies	40
Final country case studies	20
EMG approved final evaluation report	20

Below is the Evaluation Criteria for the Expert Consultants:

EVALUATION CRITERIA- EXPERT CONSULTANTS (LAC AND AP-CIS)	Maximum Percentage (%)
Technical Criteria (70%)	
Criteria A - Relevance of qualifications and specialised evaluation knowledge (30%)	
A.1. Advanced university degree in international development, Environmental sciences, Social sciences or related disciplines. Fluency in oral and written Spanish (for those applying for the Expert Consultant in LAC). Fluency in oral and written Russian (for those applying for the Expert Consultant in AP-CIS).	5%
A.2. Minimum of seven (7) years of experience leading evaluations of large programmes;	10%
A.3. Good technical understanding of the Poverty Environment Nexus, of Climate Change issues, and of Public, Private and innovative environmental financial investments and financing schemes.	15%
Criteria B- Experience on similar programme / projects (25%)	
B.1. Extensive evaluation experience using a Theory of Change approach;	5%
B.2. Previous experience with the United Nations and/or other multilateral, bilateral organizations and international civil society development partners. Evaluation experience with UNDP and/or UNEP is an added advantage;	10%
B.3. First-hand experience in large, global programme coordination and management, and in-depth experience of a variety of organisational and project implementation partnership arrangements.	10%
Criteria c - Proposed approach to the evaluation work plan and method is clear, relevant and practical (15%)	
To be reviewed through the work plan submitted together with the CV, in which the following aspects will be examined: strong conceptual and analytical skills; communication and writing skills with proficiency in English; ability to compile information in coherent and succinct formats; high attention to detail; and ability to work under tight deadline	15%
Financial Criterion (30%)	30%
TOTAL	100%

EVALUATION METHODOLOGY

Individual consultants will be evaluated based on the following methodology

Cumulative analysis: When using this weighted scoring method, the award of the contract should be made to the individual consultant whose offer has been evaluated and determined as:

- a) responsive/compliant/acceptable, and
 - b) Having received the highest score out of a pre-determined set of weighted technical and financial criteria specific to the solicitation.
- * Technical Criteria weight: 70
 * Financial Criteria weigh: 30

Only candidates obtaining a minimum of 49% of the maximum obtainable technical score of 70% would be considered for the Financial Evaluation.

APPLICATION PROCEDURE

Documents to be included when submitting the proposals

Qualified and interested candidates should submit the following in English

1. **Personal CV and /or P11 form (attached as Annex 2)** indicating all past experience from similar projects and at least three (3) professional references;
2. **Technical Proposal**
 - i. **A brief write-up (max 1 page)** explaining why the individual considers him/herself as the most suitable candidate for the assignment;
 - ii. **A brief written approach (max 2 pages)** providing a description of the approach, process and methods this individual would use to complete the assignment (work plan)
3. **Financial Proposal:** The financial proposal should indicate an all inclusive fixed total contract price (stated on a lump sum basis in USD). It should include a breakdown of the lump sum total (including travel, per diems and daily rate).

The financial proposal shall specify a total lump sum amount, and payment terms around specific and measurable (qualitative and quantitative) deliverables (i.e. whether payments fall in installments or upon completion of the entire contract). Payments are based upon output, i.e. upon satisfactory delivery of the services specified in the TOR.

NB: The financial proposal must be submitted on a separate e-mail.

Items 2 and 3 must be completed in the attached Individual Consultant Proposal Template (Annex 3).

Interested applicants are required to submit their applications to the Poverty Environment Facility email facility.unpei@unpei.org by 25 April 2014.

Applications submitted should indicate in the subject line **“PEI SCALE-UP EVALUATION – LEAD CONSULTANT, OR EXPERT CONSULTANT (AP –CIS), or EXPERT CONSULTANT (LAC) respectively.**
(This is determined by the assignment you apply for)

Annex 2: Annotated evaluation report outline

In consultation with the EMG, The Evaluation Team can modify the structure of the report outline below, as long as the key contents are maintained in the report and the flow of information and analysis is coherent and clear. The length of the PEI final evaluation report should not exceed 18,000 words, excluding executive summary and annexes. The report will use numbered paragraphs for easy cross-referencing.

Acknowledgements

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Acronyms

Maximum 1 page and only for terms used more than 3 times in the report. When an acronym is used for the first time in the text, it should be written out in full.

Executive Summary

A 'stand alone' Executive Summary which should:

- Maximum 2,000 words;
- Provide key information on the evaluation process and methodology;
- Illustrate key findings and conclusions;
- List all recommendations: this will facilitate the drafting of the Management Response to the evaluation.

1. Introduction

1.1 Background and purposes of the evaluation

This section will include:

- The purpose of the evaluation, as stated in the Terms of Reference;
- Programme title, starting and closing dates, initial and current total budget;
- Dates of implementation of the evaluation.

It will also mention that Annex I of the evaluation report is the evaluation Terms of Reference.

1.2 Methodology of the evaluation

This section will comprise a description of the methodology and tools used and evaluation criteria that were applied by the evaluation. This should also note any limitations incurred in applying the methodology by the evaluation team.

2. Programme and context

This section will describe the UN-PEI Programme (starting and closing dates, expected outcomes and outputs, initial and current total budget, implementation arrangements etc.).

It will also include a description of the developmental context relevant to the Programme including major challenges in the area of the intervention, political and legislative issues, etc. It will also describe the process by which the programme was identified and developed and cite other related initiatives and interventions.

3. Strategic relevance

4. Results and contribution to stated objectives

4.1 Delivery of outputs

4.2 Effectiveness

4.3 Likelihood of impact

4.4 Sustainability and up-scaling

4.5 Efficiency

4.6 Cross-cutting issues: Gender, capacity development, norms, guidelines and safeguards

5. Factors affecting performance

5.1 Programme design and structure

5.2 Programme organization and management

5.3 Financial and human resources administration

5.4 Cooperation and partnerships

5.5 Monitoring, evaluation and reporting

6. Conclusions and recommendations

Conclusions need to be substantiated by findings consistent with data collected and methodology, and represent insights into identification and/or solutions of important problems or issues. They may address specific evaluation questions raised in the Terms of Reference and should provide a clear basis for the recommendations which follow.

The Conclusions will synthesise the main findings from the preceding sections: main achievements, major weaknesses and gaps in implementation, factors affecting strengths and weaknesses, prospects for follow-up, any emerging issues. It will consolidate the assessment of various aspects to judge the extent to which the programme has attained, or is expected to attain, its intermediate/specific objectives. Considerations about relevance, costs, implementation strategy and quantity and quality of outputs and outcomes should be brought to bear on the aggregate final assessment.

Recommendations should be firmly based on evidence and analysis, be relevant and realistic, with priorities for action made clear. They can tackle strategic, thematic or operational issues. Each recommendation should each be introduced by the rationale for it; alternatively, it should be referenced to the paragraphs in the report to which it is linked.

Each recommendation should be clearly addressed to the appropriate party, i.e. the Joint Management Board, the PEF, and the two participating UN organizations at different levels (headquarter, regional, and national). Responsibilities and the time frame for their implementation should be stated, to the extent possible. Although it is not possible to identify a 'correct' number of recommendations in an evaluation report, the evaluation team should consider that each recommendation must receive a response.

7. Lessons learned

The evaluation will identify lessons and good practices on substantive, methodological or procedural issues, which could be relevant to the design, implementation and evaluation of future UN-PEI activities. Such lessons/practices must have been innovative, demonstrated success, had an impact, and be replicable.

Annexes to the evaluation report will include, though not limited to, the following as relevant:

- I. Evaluation Terms of Reference
- II. Evaluation Framework
- III. Additional methodology-related documentation and evaluation tools;
- IV. Detailed output matrix

- V. Detailed ROTI analysis
- VI. Brief profile of evaluation team members
- VII. List of documents reviewed
- VIII. List of institutions and stakeholders met during the evaluation process. (The team will decide whether to report the full name and/or the function of the people who were interviewed in this list.)

Annex 3: Evaluation Consultant Code of Conduct¹¹ Agreement Form

The form is to be completed by all consultants and included as an annex in the final report.

<p style="text-align: center;">Evaluation Consultant Agreement Form</p> <p>Agreement to abide by the Code of Conduct for Evaluation in the UN System</p> <p>Name of Consultant: _____</p> <p>I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.</p> <p>Signed at (place) on (date)</p> <p>Signature: _____</p>
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¹¹ Code of Conduct for Evaluation in the UN System: www.unevaluation.org/unegcodeofconduct

Annex 4: Documents to be consulted

The following list of documents should be consulted by the evaluators at the outset of the evaluation and before finalizing the evaluation design and the inception report:

- The UN PEI Scale-up project document:
http://www.unpei.org/sites/default/files/dmdocuments/PEI_Scale_Up_Prodoc.pdf
- PEI Business Review:
- Poverty Environment Nexus study
- PEI Annual Progress Report 2009, 2010, 2011, 2012
- PEI Annual Financial Report 2009, 2010, 2011, 2012

Previous evaluations:

- [External Mid-Term Review 2011, Annexes, Botswana, Bhutan, Laos, Malawi, Tajikistan, Uruguay](#)
- [Evaluation of the Contribution of UNDP to Environmental Management for Poverty Reduction: The Poverty and Environment Nexus, 2010](#)
- [Evaluation: PEI Pilot Programme 2004-2008](#)
- [Evaluation of Pilot Ecosystem Assessments in Rwanda, Tanzania and Uganda, 2008](#)

Knowledge resources:

- PEI Handbook for Practitioners:
<http://www.unpei.org/sites/default/files/publications/PEI%20Full%20handbook.pdf>

Annex 5: Rating Programme Performance

The evaluation will provide individual ratings for the evaluation criteria described in section 2.3 of these TORs.

All criteria will be rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability is rated from Highly Likely (HL) down to Highly Unlikely (HU).

An aggregated rating (on a six-point scale) will be provided for Results and Contribution to stated objectives, and Overall Programme Performance. These ratings are not the average of the ratings of sub-criteria but should be based on sound weighting of the sub-criteria by the Evaluation Team. All ratings should use letters (not numbers).

In the conclusions section of the report, ratings will be presented together in a table, with a brief justification cross-referenced to the findings in the main body of the report.

Criterion	Rating	Summary assessment
Strategic relevance of the PEI Programme		
Results and contribution to stated objectives		
Delivery of Outputs		
Effectiveness		
Likelihood of Impact		
Sustainability		
Up-scaling		
Efficiency		
Cross-cutting issues:		
Gender & vulnerable groups		
Participation of local stakeholders		
Capacity Development		
Factors affecting performance		
Programme Design and Structure		
Programme Organization and Management		
Human and Financial Resources Administration		
Cooperation and Partnerships		
Monitoring, reporting and evaluation		
Overall Programme Performance		