



## TERMINAL EVALUATION TERMS OF REFERENCE

**Project No.:** 00087582  
**Project Title:** Integrated and Environmentally Sound Management of Polychlorinated Biphenyl (PCB) in Ecuador.  
**Functional Title:** Consultant for Independent Terminal Evaluation  
**Contract Type:** Individual Contract  
**Location:** Quito - Ecuador  
**Duration:** 60 days (over a period of 12 weeks)

### INTRODUCTION

In accordance with UNDP and GEF 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) set out the expectations for a Terminal Evaluation (TE) of the Project "Integrated and Environmentally Sound PCB Management in Ecuador" (PIMS # 4827).

The essentials of the project to be evaluated are as follows:

### PROJECT SUMMARY TABLE

Project Title:		Integrated and Environmentally Sound Management of PCB in Ecuador		
GEF Project ID:	87582		At endorsement (Millon US\$)	At December 2016 (Millon US s\$)
UNDP Project PIMS ID:	4827	GEF Financing:	2,000,000.00	1,375,680.22
Country	Ecuador	IA / AE own:	-	-
Region:	Latin America	Government:	1,083,105.00	465,016.74
Focal Area:	Climate control, Environment	Other:	8,310,844.00	
Operational Program:	United Nations Development Programme	Total co- financing:	9,393,949.00	465,016.74

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<b>Executing Agency:</b>	Ministry of Environment	<b>Total Project Cost:</b>	11,393,949.00	1,840,696.96
<b>Other partners involved:</b>	Ministry of Electricity and Renewable Energy	<b>Prodoc Signature (date project began):</b>		Real: May 2014
<b>FA Objectives (OS / SP):</b>	i) Institutional capacity strengthening for sound and environmentally friendly management of PCB. ii) Environmentally sound management of PCB, and iii) Environmentally sound storage and disposal of PCB waste.	<b>Closing date (operational):</b>	Proposed: Oct 2017	Real: May 2018

#### **OBJECTIVE AND SCOPE**

The long-term goal of the project is to promote the sound management of PCB contaminated oil, equipment, sites and wastes in Ecuador; not only to meet the country's commitment to the Stockholm Convention, but also to minimize the risk of exposure of the population to PCB oil and wastes and possible damages to the environment as a result of PCB presence.

Hence, the Project will contribute to enhancing the integrated and environmentally sound management of PCB in Ecuador by addressing five barriers:

- i) Lack of an updated and accurate PCB inventory;
- ii) Lack of monitoring, control and enforcement of the legislation;
- iii) Lack of a structured long-term plan for capacity building and institutional strengthening;
- iv) Lack of physical infrastructure and the environmentally sound management of PCB practices;
- v) Lack of a national elimination plan and technical alternatives for the disposal of PCB contaminated equipment and oil.



The project's policy development and institutional strengthening actions at the systemic level will be complemented with the creation of national regulation for PCBs management, the continuous training of all involved parties, the gathering of information to update the PCB national inventory, elaboration of PCBs Plans such as, National Management Plan and Elimination Plan, the collaboration with the laboratories from National Universities or Institutions to strengthen their capacity to perform gas chromatography for PCB in oil, etc.

The **terminal evaluation** shall 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 the 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. The terminal evaluation will assess the implementation and performance of the project by looking at the potential impact and sustainability of results. This includes contribution to capacity development to achieve effective integrated and environmentally sound management of PCB and the attainment of global and country specific environmental goals.

The evaluation is expected to review the project's progress with the main stakeholders: Ministry of Environment of Ecuador (MAE), National Agency of Regulation and Control of Electricity (ARCONEL), Electric Distribution Companies (public and private), Industrial Sector, Research Centers and Laboratories.

Additionally, it is considered as a significant opportunity to provide donors, government and project partners with an independent assessment of relevance and achievement of objectives and impact indicators, to determine progress being made towards the achievement of outcomes.

The evaluator will review all relevant sources of information, such as project document, project reports, project budget revisions, midterm review, Progress reports, GEF area of interest tracking tools, project files, national strategic and legal documents, sustainability strategy and any other material that the evaluator considers useful for this analysis, conclusions and recommendations for preparing the project evaluation's final report.

## **EVALUATION APPROACH AND METHOD**

An overall approach and method<sup>1</sup> for conducting project final evaluations of UNDP supported GEF financed projects has been 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,**

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<sup>1</sup> For additional information on methods, see the Handbook on Planning, Monitoring and Evaluation for Development Results, Chapter 7, pg. 163, <http://web.undp.org/evaluation/handbook/>

**GEF-financed Projects.** A set of questions covering each of these criteria have been drafted and are included in this TOR (see 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 Steering Committee members, project team, UNDP GEF technical Adviser based in the region and key stakeholders. The evaluator is expected to conduct a field mission in Ecuador to chosen sites where the Project has developed activities in coordination with stakeholders. The field visits **may include** the following sites:

City	Site / distance from the project office / means of mobilization	Interviews will be held with the following stakeholders at a minimum
Quito	Warehouse belonging to the Electric Company Quito (EEQ) in Cumbayá / 12 Km / travel by car to the site.	EEQ's Environmental and Social Director
Guayaquil	Warehouse belonging to the Electric Company Guayaquil (CNEL-Guayaquil) / 405 Km / travel by plane to Guayaquil and by car to the warehouse.	CNEL-Guayaquil Environmental Director
Cuenca	Warehouse in belonging to the Electrical Company of Cuenca and warehouse belonging to company CELEC Hidropaute / 440 Km / travel by plane to Cuenca and by car to the sites	Electrical Company of Cuenca, Environmental Director. And CELEC HIDROPAUTE Environmental Director
Santa Cruz (Galápagos)	Power Plant and warehouse belonging to ELECGALAPAGOS S.A. / > 1000 Km / travel by plane to the islands and by car once in the site	Environmental Responsible from ELECGALAPAGOS.

The evaluator will review all relevant sources of information, such as the project document, project reports - including annual APR/PIR, project budget revisions, progress reports, GEF focal area tracking tools, project files, national strategic and legal documents, sustainability strategy and any other materials that the evaluator considers useful for his evidence-based assessment. A list of documents that the project team will provide to the evaluator for review is included in Annex B of this term of reference.

#### **EVALUATION CRITERIA & RATINGS**

An assessment of the project performance will be carried out, based against expectations set out in the Project Logical Framework / Results Framework (Annex A), which provides performance and impact indicator for project implementation along with their corresponding means of verification.

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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. And a total/averaged rating obtained from the ratings of the following table must be presented for the project.

Rating Project Performance		
Criteria		Comments
<b>Monitoring and Evaluations: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)</b>		
Overall quality of M&E	(rate 6 pt. scale)	
M&E design at project start up	(rate 6 pt. scale)	
M&E plan implementation	(rate 6 pt. scale)	
<b>IA &amp; EA Execution: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)</b>		
Overall Quality of Project Implementation / Execution	(rate 6 pt. scale)	
Implementing Agency Execution	(rate 6 pt. scale)	
Executing Agency Execution	(rate 6 pt. scale)	
<b>Outcomes: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)</b>		
Overall Quality of Project Outcomes	(rate 6 pt. scale)	
Relevance: relevant (R) or not relevant (NR)	(rate 6 pt. scale)	
Effectiveness	(rate 6 pt. scale)	
Efficiency	(rate 6 pt. scale)	
<b>Sustainability: Likely (L), Moderately Likely (ML), Moderately Unlikely (MU), Unlikely (U)</b>		
Overall likelihood of risks to Sustainability	(rate 6 pt. scale)	
Financial resources	(rate 6 pt. scale)	
Socio-economic	(rate 6 pt. scale)	
Institutional framework and governance	(rate 6 pt. scale)	
Environmental	(rate 6 pt. scale)	
<b>Impact: Significant (S), Minimal (MS), Negligible (N)</b>		
Environmental Status Improvement	(rate 6 pt. scale)	

Environmental Stress Reduction	(rate 6 pt. scale)	
Progress towards stress/status change	(rate 6 pt. scale)	
<b>Overall Project Results</b>	(rate 6 pt. scale)	

### PROJECT FINANCE / COFINANCE

The Evaluation will assess the key financial aspects of the project, including the extend 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 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 financing (mill. US\$)		own Government (mill. US\$)		Partner Agency		Total (mill. US \$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants								
Loans/Concessions								
- In-kind support								
- Other								
<b>Totals</b>								

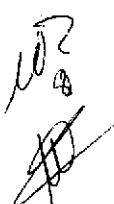
### MAINSTREAMING

UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programs. 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<sup>2</sup>.

### IMPACT

The evaluator 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 the national capacity to

<sup>2</sup> For this the CO will share the UNDAF, CCA, CPD, Strategic Plan and CPAP.



adequately manage PCBs, b) improvements in the environmentally sound management of PCBs, c) improvements in the environmentally sound storage and disposal of PCB waste.

The Project expects the evaluation to answer some of the following questions:

- Has the project achieved the expected results and products for the final evaluation?
- How is the progress towards each result, product and impact indicator?
- Which factors have contributed or hinder the achievement of the expected results?
- What level of appropriation, support and technical support has provided the executing agency (MAE) for the project's achievement of results?
- How do the main stakeholders plan to provide sustainability to the project's results in the future?
- How has the UNDP contribution helped the project's result achievement?

#### **CONCLUSIONS, RECOMMENDATIONS & LESSONS**

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

#### **IMPLEMENTATION ARRANGEMENTS**

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The main responsibility for managing this evaluation resides with the UNDP CO in Ecuador and the PCB Project Unit. The UNDP CO will contract the evaluator, as per requirement of the Project and the Ministry of Environment. The Project Team will be responsible for liaising with the Evaluator to set up stakeholder interviews, arrange field visits, coordinate with the Government, etc.

The Evaluator will be responsible for all logistics arrangements that his/her field visit could imply. In addition, he/she will present all documents including main report and annexes in Spanish first, once they are approved, the Evaluator will translate them and present them in English.

#### **EVALUATION TIMEFRAME**

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The total duration of the evaluation will be 60 days according to the following plan, the time that the reference group, composed by the project's Steering Committee members, takes to review the reports/findings and other documentation is not taken into account in the following table:

Activity	Timing	Completion date
Preparation	12 days	
Evaluation Mission	8 days	
Draft Evaluation Report	20 days	



Final Report - Spanish version	10 days	
Final Report – English version	10 days	

### **EVALUATION DELIVERABLES**

The evaluator is expected to deliver the following:

<b>Deliverable</b>	<b>Content</b>	<b>Timing</b>	<b>Responsibilities</b>
Inception Report	Evaluator provides clarifications on timeframe and methodologies	No later than 12 days before the evaluation mission.	Evaluator submits to reference group, composed by the Project's Steering Committee members.
Presentation	Initial Findings	End of evaluation mission	Evaluator submits to reference group.
Draft Evaluation Report	Full report, (per annexed template) with annexes	Within 20 days of the evaluation mission	Evaluator submits to reference group. Also, to be reviewed by RTA, PCU, GEF OFPs, others
Final Evaluation Report**	Revised report in Spanish	Within 10 days of receiving comments on draft	Evaluator submits to reference group for revision and approval.
Final Evaluation Report*	Revised report in English	Within 10 days of approval of report in Spanish version.	Evaluator submits to reference group for final approval and prior to 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.

### **EVALUATOR EXPERIENCE**

The evaluator 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:

- University degree in environmental sciences, economics, administration or other related fields.
- Minimum 6 years of relevant professional experience evaluating development projects.
- Technical knowledge related to the environmental field.





- Knowledge of UNDP and GEF Principles and Projects, project evaluation experiences within United Nations system and GEF projects will be considered an asset.
- Fluency in reading, speaking and writing in Spanish and English will be necessary.

### **EVALUATOR ETHICS**

Evaluation consultant 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'.

### **PAYMENT MODALITIES AND SPECIFICATIONS**

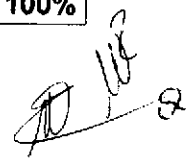
60%	Payable upon satisfactory completion and approval by reference group, composed by the project's steering committee members, of the Draft Evaluation Report. The costs of in-country mission of the consultant are to be included in this invoice.
40%	Payable upon completion and approval by the reference group, of the Final Evaluation Report, both in Spanish and English version.

### **EVALUATION CRITERIA**

Technical proposals (P11 and technical offer) will weight a maximum of 70% and only the consultants that meet the technical phase with a minimum score of 49/70 or more, will continue to the review of economic proposal, which will weight a maximum of 30%.

The evaluation criteria are the following:

Criteria	Points	Percentage
CVs:		
• General experience	100	35%
• Specific experience		
Technical proposal	100	35%
Economic proposal	100	30%
		<b>100%</b>





Rating parameter	Score	
Experience.	<b>General experience:</b>	
	<ul style="list-style-type: none"> <li>University degree in environmental sciences, economics, administration or other related fields.</li> </ul>	20
	<ul style="list-style-type: none"> <li>Minimum 6 years of relevant professional experience evaluating development projects.</li> </ul>	30
	<b>Specific experience:</b>	
	<ul style="list-style-type: none"> <li>Technical knowledge related to the environmental field.</li> </ul>	20
	<ul style="list-style-type: none"> <li>Knowledge of UNDP and GEF Principles and Projects, project evaluation experiences within United Nations system and GEF projects will be considered an asset.</li> </ul>	20
General criteria (Technical Proposal)	<b>Methodology, agenda and implementation schedule:</b>	
	<ul style="list-style-type: none"> <li>Understanding the nature of work and understanding the ToRs.</li> </ul>	30
	<ul style="list-style-type: none"> <li>Developed the relevant aspects of the work with a sufficient level of detail.</li> </ul>	20
	<ul style="list-style-type: none"> <li>Development of appropriate conceptual and methodological framework for the work to be performed.</li> </ul>	30

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Rating parameter		Score
	<ul style="list-style-type: none"><li>• Appropriate sequence of activities and planning.</li></ul>	20

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**ANNEX A: PROJECT LOGICAL FRAMEWORK**

GOAL

Implement a national environmentally sound PCB management system and the development of environmentally sound storage and viable disposal alternatives for Ecuador's PCB inventory.

OBJECTIVE

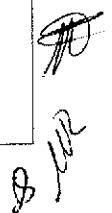
Promote the sound management of PCB contaminated oil, equipment, sites and waste in Ecuador, according with the Basel and Stockholm Convention.

RESULTS

<p>1. Institutional capacity strengthening for sound and environmentally friendly management of PCB.</p>	<p>2. Environmentally sound management of PCB.</p>	<p>3. Environmentally sound storage and disposal of PCB waste.</p>	<p>4. Monitoring, learning, adaptive feedback and evaluation.</p>
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INDICATORS

<p>1. Number of PCB management regulations developed and validated by regulation institutions.</p> <p>2. Number of electrical sector companies implementing PCB management and elimination plans to meet national goals by 2020.</p> <p>3. Number of inspectors trained to conduct site visits for the verification of compliance to the PCB management regulations.</p> <p>4. Number of inspections completed during project implementation (2013-2017).</p> <p>5. Number of reports to the Stockholm Convention presented on time and in an effective manner. Number of inventories updated on line with information from the electrical sector companies with PCBs identified and eliminated.</p> <p>6. Number of publications and activities developed under the awareness raising campaign.</p>	<p>1. Number of electrical sector companies with PCB management plans, developed and presented to the CONELEC/MAE for approval.</p> <p>2. Number of occupational health and safety trainers to implement guidelines. Number of occupational health and safety guidelines issued and implemented by the electrical companies.</p> <p>3. Number of alternative PCB disposal options evaluated with a feasibility study.</p> <p>4. Number of alternative PCB disposal options evaluated with a feasibility study.</p>	<p>1. Number of electrical sector companies with a management plan for the temporary storage of PCB contaminated equipment, oil and waste presented to regulating authorities (CONELEC/MAE) for approval and being implemented.</p> <p>2. One or a combination of PCB disposal options identified and in tender process for selection of servicers. Number of tons of PCB contaminated equipment; oil and waste are eliminated during the project (2013-2017).</p> <p>3. Number of tons of PCB contaminated equipment, oil and waste identified in the Galapagos.</p> <p>4. Number of tons of identified inventory is removed from the Galapagos Island.</p> <p>5. Number of tons of PCB contaminated equipment, oil and waste eliminated.</p>	<p>1. Number of high quality monitoring and evaluation documents prepared during project implementation.</p>
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## PRODUCTS

(Targets at the end of the Project)

<ol style="list-style-type: none"><li>1. PCB management regulations and environmentally sound management norms developed and validated.</li><li>2. National PCB management and elimination plan up to 2020 approved and in implementation process</li><li>3. At least 10 inspectors trained in PCB management evaluation and enforcement in the environmental, electric and health regulating institutions.</li><li>4. Inspections made by regulating institutions to each electrical sector company per semester.</li><li>5. PCB inventory updated with equipment, oil and waste identified and the amounts of tons that have been eliminated incorporated into monitoring information system.</li><li>6. Environmentally sound management of PCB training manual elaborated and implemented with training plan for electrical sector companies. Awareness raising campaign among public and private sectors involved in chemicals management on proper PCB management.</li></ol>	<ol style="list-style-type: none"><li>1. Technical guidelines for PCB management approved and in implementation process.</li><li>2. Occupational health and safety regulations for personnel exposed to PCB contaminated equipment, oil and waste prepared and in process of implementation.</li><li>3. Feasibility studies completed to determine technically and economically viable in-country and out-of-country alternatives for the elimination of PCB contaminated equipment, oil and wastes.</li><li>4. Identification of process to be implemented for elimination of PCB contaminated equipment, oils and waste.</li></ol>	<ol style="list-style-type: none"><li>1. Technical guidelines for temporary storage facilities for PCB inventories approved and implemented. Environmentally sound temporary storage of PCB contaminated equipment; oil and waste are implemented in the electrical sector companies.</li><li>2. Technically and economically viable PCB elimination option identified and in implementation process. National disposal plan developed, approved and electrical sector companies committed to its implementation</li><li>3. Pilot project for identification and removal of PCB contaminated equipment, oil and waste from Galapagos developed and implemented.</li><li>4. Disposal plan for Galapagos PCB inventory developed approved and budgeted.</li><li>5. Disposal of 750 metric tons of the existing PCB inventory of contaminated equipment, oil and waste.</li></ol>	<p>1. Products are:</p> <ul style="list-style-type: none"><li>- Monthly Operational Reports submitted to UNDP each year.</li><li>- Annual APR/PIR submitted to UNDP each year.</li><li>- Mid-term evaluation.</li><li>- Final evaluation.</li></ul> <p>MTE and FE must include lessons learned section and a strategy for dissemination of project results.</p>
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## **ANNEX B: LIST OF DOCUMENTS TO BE REVIEWED BY THE EVALUATORS**

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- Project document (PRODOC) and annexes.
- Project Annual Reports APR/PIR.
- Monthly project's reports
- National Plan for PCB Management 2018-2025, including the sustainability strategy
- Project budget revisions.
- GEF focal area tracking tools.
- UNDP Focal area tracking tool: UNDP Financial Scorecard
- Mid-Term Evaluation Report.

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**ANNEX C: SET OF QUESTIONS**

Evaluative Criteria	Questions	Indicators	Sources
<b>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?</b>			
•	•	•	•
•	•	•	•
•	•	•	•
<b>Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?</b>			
•	•	•	•
•	•	•	•
<b>Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?</b>			
•	•	•	•
•	•	•	•
•	•	•	•
<b>Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?</b>			
•	•	•	•
•	•	•	•
•	•	•	•
<b>Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?</b>			
•	•	•	•
•	•	•	•
•	•	•	•

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**ANNEX D: RATING SCALES**

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

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## **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 weakness 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 interest 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.

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Evaluation Consultant Agreement Form<sup>3</sup>

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: \_\_\_\_\_

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<sup>3</sup> [www.unevaluation.org/unegcodeofconduct](http://www.unevaluation.org/unegcodeofconduct)

## **ANNEX F: EVALUATION REPORT OUTLINE<sup>4</sup>**

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- 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 member
  - Acknowledgements
- II. Executive Summary
  - Project Summary Table
  - Total/Averaged project rating
  - Project Description (brief)
  - Evaluation rating table
  - Summary of conclusions, recommendations and lessons
- III. Acronyms and Abbreviations  
(See: UNDP Editorial Manual<sup>5</sup>)
  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 indicator established
    - Main stakeholders
    - Expected results
  3. Findings  
(In addition to a descriptive assessment, all criteria marked with (\*) must be rated<sup>6</sup>)
    - 3.1. Project Design / Formulation
      - Analysis of LFA/Results Framework (Project logic / strategy; Indicators)
      - Assumptions and Risks

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<sup>4</sup> The Report Length should not exceed 40 pages in total (not including annexes).

<sup>5</sup> UNDP Style Manual, Office of Communications, Partnerships Bureau, updated November 2008

<sup>6</sup> 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.



- Lessons from other relevant projects (e.g., same focal area) incorporated into project design
  - Planned stakeholders 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



**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: _____



- Questionnaire used and summary of results
- Evaluation Consultant Agreement Form 