**Annex I: Terms of Reference for Terminal Evaluation**

Terminal Evaluation Terms of Reference

**INTRODUCTION**

In accordance with UNDP and AF M&E policies and procedures, all regular sized UNDP supported AF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for a Terminal Evaluation (TE) of the“Ecosystem Based Adaptation Approach to Maintaining Water Security in Critical Water Catchments in Mongolia” (MON/12/301) project (PIMS #4505).

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

**Project Summary Table**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Project Title: | “Ecosystem Based Adaptation Approach to Maintaining Water Security in Critical Water Catchments in Mongolia” (MON/12/301) project | | | | | |
| AF Project ID: | | MNG/MIE/EBA/2011/1 |  | *at endorsement (Million US$)* | | *at completion (Million US$)* |
| UNDP Project ID: | | 00079875 | AF financing: | 5,069,124 | | 4,440778.07 |
| Country: | | Mongolia | IA/EA own: |  | |  |
| Region: | | Asia-Pacific | Government:  In kind contributions | 5,000,000 | |  |
| Executing Agency: | | Ministry of Environment and Tourism (MET) | Other:  UNDP | 500,000 | | 492,062.66 |
| Other Partners involved: | | UNDP | Total co-financing: |  | |  |
|  | |  | Total Project Cost: | 10,569,124 | | 4,932,840.73 |
|  | |  | ProDoc Signature (date project began): | | | 18 Nov 2011 |
| (Operational) Closing Date: | | Proposed:  31 Dec 2017 | Actual:  31 Dec 2017 |

**PROJECT BACKGROUND INFORMATION**

Mongolia is witnessing significant alterations to water and ambient air temperatures and precipitation patterns. Both the frequency and severity of extreme weather events are increasing. From 1940 to 2007, the annual mean air temperature in Mongolia increased by approximately 2.140C. This is three times higher than the global average. Warming is projected to further increase up to 50C by the end of the 21st century.

To address the additional ecological challenges presented by climate change, there is still an urgent need to conserve and rehabilitate the ecosystem services upon which Mongolia’s rural economy, traditional culture, and rich biodiversity depend. This required a paradigm shift to ensure that the very foundation of human livelihood - ecosystems and their services - is sufficiently resilient to climate change pressure, and to enable communities to adapt to climate change.

The project was designed to maintain ecosystem functions and water provisioning services addressing the needs of critical for survival of rural communities and national economy. The project is implemented at two large landscapes: **the Turgen/Kharkhiraa sub-river basin** in Altai Mountains and Great Lakes Depression (Altai/GLD) eco-region and **the Ulz river basin** in the Dornod steppe and Mongol Daurian eco-region.

The target landscapes represent a significant portion of Mongolia’s water resources and encompass an array of representative ecological, social and economic samples in the country, with potential for generating a variety of experiences and lessons. Both eco-regions and watersheds are emblematic of Mongolia’s resilience barriers and concrete adaptation challenges, e.g., over-grazing, riparian disturbance, and over-appropriation. The specific locations were selected because they are: (1) “distinct”, offering two very different ecological zones for establishing EBA practices; (2) “representative” of key climate change challenges; (3) appropriately scaled both in terms geographic size and population to allow for substantial, landscape level improvements within budget constraints; and, (4) strategic in that the locations are priorities for government action and allow for building upon and/or coordinating with on-going programming.

Based on these studies Ecosystem based adaptation (EbA) guidance was prepared on adaptation measures for current and future climate change and variability and associated disaster risks. Adaptation practices and technologies for sustaining social, economic, cultural services provided by ecosystem are introduced in accordance with these recommendations aimed to maintain regional ecosystem resilience at present and in the future.

The main objective of the project is to maintain the water provisioning services supplied by mountain and steppe ecosystems by internalizing climate change risks within land and water resource management regimes. The project is implemented between 2012 and 2017. Geographically, the project covers i) the Altai Mountains and Great Lakes Basin Eco-region; ii) the Eastern Steppe Eco-region; focusing on the Turgen/Kharkhiraa sub-river basin – (Turgen, Ulaangom, Sagil, Bukhmurun, Khovd, Tarialan, Naranbulag soums of Uvs Aimag); and the Ulz River Basin – (Chuluunkhoroot, Dashbalbar, Bayandun, Bayan-Uul, Gruvanzagal, Choibalsan, Sergelen soums of Dornod aimag; Bayan-Adarga, Batnorov, Norovlin soums of Khentii aimag).

The project has three interconnected components:

1. Landscape Level integrated land use and water resources monitoring and planning system focused upon reduction of ecosystem vulnerability to climate change developed and under implementation;
2. Implementing landscape level adaptation techniques to maintain ecosystem integrity and water security under conditions of climate change;
3. Strengthening institutional capacities to support integrated river basin management, its replication and mainstreaming in sector policies;

Upon the request of the Government of Mongolia, UNDP is the Multilateral Implementing Agency (MIE) for this project. The Project is implemented following UNDP’s National Implementation Modality (NIM). The designated Implementing Partner of the project is the [Ministry of Environment and Tourism](http://mne.mn/v3) (MET). MET is responsible for implementing UNFCCC and water resource management and holds the responsibility of the senior supplier. MET is ultimately responsible for the timely delivery of inputs and outputs and for coordination of all other Responsible parties including other line ministries, relevant agencies, and local government Authorities. The MET appointed the National Project Director, the chair and members of the Project Board (PB), responsible for making management decisions for the project and plays a critical role in project monitoring and evaluations by quality assuring these processes and products, and using evaluations for performance improvement, accountability and learning.

**Objective and Scope**

The project was designed to maintain ecosystem functions and water provisioning services addressing the needs of critical for survival of rural communities and national economy. The project is implemented at two large landscapes: the Turgen/Kharkhiraa sub-river basin in Altai Mountains and Great Lakes Depression (Altai/GLD) eco-region and the Ulz river basin in the Dornod steppe and Mongol Daurian eco-region.

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects[[1]](#footnote-1).

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

**Evaluation approach and method**

An overall approach and method[[2]](#footnote-2) for conducting project terminal evaluations of UNDP supported AF financed projects has developed over time. The evaluation should include a mixed methodology of document review, interviews, and observations from project site visits, at minimum, and the evaluators should make an effort to triangulate information. The evaluator is expected to frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact,** as defined and explained in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects. A set of questions covering each of these criteria have been drafted and are included with this TOR (*fill in* [*Annex C*](#_TOR_Annex_C:)) The evaluator is expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence‐based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the AF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders. The evaluator is expected to conduct a field mission to Mongolia, including the following project sites: **the Turgen/Kharkhiraa sub-river basin** and **Ulz river basin**. Interviews will be held with the following organizations and individuals at a minimum:

1. [Ministry of Environment and Tourism](http://mne.mn/v3)
2. [Ministry of Food, Agriculture, Light Industry](http://zasag.mn/en/m/mia)
3. [Ministry of Finance](http://mof.gov.mn)
4. Local Government (aimags and soums in the 2 target eco-regional landscapes)
5. [Administration of Land Affairs, Geodesy and Cartography](http://www.gazar.gov.mn)
6. [National Agency for Meteorology and Environment Monitoring](http://www.tsag-agaar.gov.mn/)
7. The Nature Conservancy
8. World Wildlife Fund
9. Mongolian Academy of Science and research institutes
10. River basin administrations
11. River basin councils/ Water user groups
12. Communities
13. National media etc.

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

**Evaluation Criteria & Ratings**

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

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

**Project finance / cofinance**

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

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Co-financing  (type/source) | UNDP own financing (mill. US$) | | Government  (mill. US$) | | Partner Agency  (mill. US$) | | Total  (mill. US$) | |
| Planned | Actual | Planned | Actual | Planned | Actual | Planned | Actual |
| Grants | 500,000 |  |  |  | 5,069,124 |  | 5,569,124 |  |
| Loans/Concessions |  |  |  |  |  |  |  |  |
| * In-kind support |  |  | 5,000,000 |  |  |  | 5,000,000 |  |
| * Other |  |  |  |  |  |  |  |  |
| Totals |  |  |  |  |  |  | 10,569,124 |  |

**Mainstreaming**

UNDP supported AF financed projects are key components in UNDP country programming, as well as regional and global programmes. The evaluation will assess the extent to which other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender were successfully mainstreamed into the project. The evaluation will examine this project’s contribution to the UNDP’s Country Programme Document.

**Impact**

The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievements.[[3]](#footnote-3)

**Conclusions****, recommendations & lessons**

The evaluation report must include a chapter providing a set of **conclusions**, **recommendations** and **lessons**. Conclusions should build on findings and be based in evidence. Recommendations should be prioritized, specific, relevant, and targeted, with suggested implementers of the recommendations. Lessons should have wider applicability to other initiatives across the region, the area of intervention, and for the future.

**Implementation arrangements**

The principal responsibility for managing this evaluation resides with the UNDP CO in Mongolia, in terms of per diem, it goes as a part of the financial offer and the payment is proposed as lump sum payable in installments. With regard to travel arrangements within the country, it falls under the responsibility of the Project team to arrange transportation in UB and field visits by covering travel costs. For more information on duration of staying in UB and countryside please refer to Draft mission agenda. The Project Team will be responsible for liaising with the Evaluators team to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

**Tentative Mission Agenda for INTERNATIONAL CONSULTANT ON terminal REVIEW**

This schedule shall be undertaken from July 30 to August 10, 2017.

|  |  |  |  |
| --- | --- | --- | --- |
| **No** | **Activity** | **Date** | **Responsible parties/persons** |
|  | Arrival in UB | 30 July 2017 | IC |
|  | Briefing at UNDP CO, Mongolia (also security briefing) | 31 July 2017 | IC/NC, PO UNDP CO |
|  | Meet at PIU | 31 July 2017 | IC/NC, PIU |
|  | Interview with relevant parties in Ulaanbaatar city | 31 July -1 August 2017 | PIU/IC/NC |
|  | Field trip to eastern target area, Ulz river basin. | 2-6 August 2017 | PIU will be responsible for trip and meeting arrangements to and at target sites |
|  | Field trip to eastern target area, Kharkhiraa/Turgen sub river basin | 7-10 August 2017 | PIU will be responsible for trip and meeting arrangements to and at the target sites |
|  | Mission wrap up meeting | 10 August 2017 | IC/NC/PIU (All relevant parties) |
|  | Debriefing UNDP CO, Mongolia | 10 August 2017 | IC/NC, PO UNDP CO |
|  | Departure | 11 August 2017 | IC |

**Evaluation timeframe**

The total duration of the evaluation will be 27 working days over a time period of 10 weeks according to the following plan:

|  |  |  |
| --- | --- | --- |
| **Activity** | **Timing/ Number of working days** | **Completion Date** |
| **Preparation** | 3 days: | 3-5 July 2017 |
| **Evaluation Mission** | 12 days: | 30 July -10 August 2017 |
| **Draft Evaluation Report** | 10 days: | 22-31 August 2017 |
| **Final Report** | 3 days: | 6-8 September 2017 |

**Evaluation deliverables**

The evaluation team is expected to deliver the following:

|  |  |  |  |
| --- | --- | --- | --- |
| Deliverable | Content | Timing | Responsibilities |
| **Inception Report** | Evaluator provides clarifications on timing and method | No later than 2 weeks before the evaluation mission:  *17 July 2017* | Evaluator submits to UNDP CO |
| **Presentation** | Initial Findings | End of evaluation mission:  *10 August 2017* | To project management, UNDP CO |
| **Draft Final Report** | Full report, (per annexed template) with annexes | Within 3 weeks of the evaluation mission:  *31 August 2017* | Sent to CO, reviewed by RTA, PCU, AF OFPs |
| **Final Report\*** | Revised report | Within 1 week of receiving UNDP comments on draft:  *8 September 2017* | Sent to CO for uploading to UNDP ERC. |

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

**Team Composition**

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

Terminal evaluation:

**International Consultant/ Team Leader**

The Team Leader will have overall responsibility for the work and operation of the evaluation team, including the coordination of inputs from national team member. The Team Leader is responsible and accountable for the production of the agreed deliverables.

The Team Leader is responsible for the following:

* Desk research of existing management plans, survey/research/reports and databases;
* Conduct fieldwork and interview stakeholders, and communities to generate authentic information and opinions;
* Write and compile the information and reports as needed;
* Make a presentation of key findings highlighting achievements, constraints, and make practical recommendations to decision makers and stakeholders;
* Draft and finalize the Evaluation Report.

**National Consultant**

The national consultant will assist and collaborate with the Team Leader in all e tasks mentioned above including fieldwork, logistic arrangement in cooperation with PIU. Specific tasks are as following:

* Desk review of project materials and databases;
* Fieldwork together with international consultant. Carry out stakeholders’ interview as requested by the team leader and do interpretation work (if necessary);
* Write brief notes or certain parts of the evaluation report as agreed with the team leader;
* Provide inputs either by written or verbally to the presentation, highlighting key findings, achievements and constraints;
* Contribute to draft and final Evaluation Reports;
* Translate the draft and final reports into Mongolian.

**International Consultant/ Team Leader Required Experience:**

Education:

* A post-secondary/advanced degree (Masters level or higher) in nature& environment science, management and or other closely related field.

Experience:

* Minimum 10 years of relevant professional experience in climate change adaptation and EbA
* Minimum of 5 years experience evaluations (with UNDP and/or GEF-financed projects is an advantage)
* Experience with results‐based monitoring and evaluation methodologies
* Technical knowledge in the targeted focal area(s): biodiversity, land use and water management in context of similar climate condition
* Excellent communication skills
* Demonstrable analytical skills

**National Consultant/ Team Specialist Required Experience:**

Education:

* A higher education degree (Masters level or higher) in in nature& environment science, management and or other closely related field.

Experience:

* Minimum 5 years of relevant professional experience in in climate change adaptation and EbA
* Experience with results‐based monitoring and evaluation methodologies
* Technical knowledge in the targeted focal area(s): land use and water management in context of climate change
* Excellent communication skills
* Demonstrable analytical skills

**Evaluator Ethics**

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

**Payment modalities and specifications**

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

**Application process**

Applicants are requested to apply online (http://jobs.undp.org) by 26th May 2017. Individual consultants are invited to submit applications together with their CV for these positions. The application should contain a current and complete C.V. in English with indication of the e‐mail and phone contact. Shortlisted candidates will be requested to submit a price offer indicating the total cost of the assignment (including daily fee, daily allowance and international travel costs). Travel cost for the evaluation mission to target river basins shall be covered by the Project Implementing Unit.

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

1. The guidance document for UNDP-supported GEF financed projects can be used for AF financed projects as well. The document is available via this [link](http://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=2&ved=0CCUQFjAB&url=http%3A%2F%2Fweb.undp.org%2Fevaluation%2Fdocuments%2Fguidance%2Fgef%2Fundp-gef-te-guide.pdf&ei=TR5JVZfCFYadgwTrvIH4Bw&usg=AFQjCNGsRhcXqiAAWwMGYKwml2H4hQ8d8Q&bvm=bv.92291466,d.eXY&cad=rja). [↑](#footnote-ref-1)
2. For additional information on methods, see the [Handbook on Planning, Monitoring and Evaluating for Development Results](http://www.undp.org/evaluation/handbook), Chapter 7, pg. 163 [↑](#footnote-ref-2)
3. A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROtI) method developed by the GEF Evaluation Office:  [ROTI Handbook 2009](http://www.thegef.org/gef/sites/thegef.org/files/documents/M2_ROtI%20Handbook.pdf) [↑](#footnote-ref-3)