

**Terminal Evaluation of the Fifth Operational Phase of the GEF Small
Grants Program in Brazil**

**- BRA 12/G32 / PIMS 4578
IC 32046/2018**

ANNEXES

June 2018

ANNEX 1: ToR

Terms of Reference (ToR) RC 32046

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (ToR) sets out the expectations for a Terminal Evaluation (TE) of the Fifth Operational Phase of the GEF Small Grants Program in Brazil (PIMS 4578).

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

PROJECT SUMMARY TABLE

Project Title:	Fifth Operational Phase of the GEF Small Grants Program in Brazil			
GEF Project ID:	4560		<u>at endorsement</u> <u>(Million US\$)</u>	<u>at completion</u> <u>(Million US\$)</u>
UNDP Project ID:	BRA12/G32 PIMS 4578	GEF financing:	5,000,000	5,000,000
Country:	Brazil	IA/EA own:		
Region:	Latin America	Government:		
Focal Area:	Multifocal Area - BD, CC, LD	Other:		
FA Objectives, (OP/SP):	BD-2: Mainstream Biodiversity Conservation and Sustainable Use into Production Landscapes, Seascapes and Sectors. CCM-5: Promote conservation and enhancement of carbon stocks through sustainable management of land use, land-use change, and forestry. LD-1: Maintain or improve flow of agro-system services to sustaining the livelihoods of local communities. CD 2: Generate, access and use of information and knowledge CD 5: Capacities enhanced to monitor and evaluate environmental impacts and trends	Total co-financing:	5,343,500	5,343,500
Executing Agency:	UNDP	Total Project Cost:	10,343,500	10,343,500
Other Partners involved:	Instituto Sociedade, População e Natureza (ISPNI)	ProDoc Signature (date project began):		May 2, 2013
		(Operational) Closing Date:	Proposed/Original Expected Date of Operational closure: May 31, 2017	Actual/Revised expected closing date of Operational Closure: Nov 30, 2018

OBJECTIVE AND SCOPE

The project was designed to secure Global Environment Benefits through community-based initiatives and actions for conservation and sustainable use of biodiversity, and maintenance of carbon stocks in the Cerrado and Caatinga biomes. The project will enable a shift away from unsustainable practices by ensuring: (i) Biodiversity conservation in the production landscape through community-based sustainable resource use and management of natural resources; (ii) Maintenance of carbon stocks through avoidance of land use change and improved agriculture and forest management at the community level; (iii) Implementation of sustainable land management techniques that prevent land degradation, restore agro-ecosystem services, and improve livelihoods of local communities; and (iv) Capacity development and knowledge management to help communities deliver global environmental benefits.

The project is executed under the NGO modality by Instituto Sociedade, População e Natureza (ISPN) and UNDP acts as the GEF Implementing Agency. ISPN, which has been the NGO National Host Institution for GEF-SGP in Brazil before its upgrading, is executing agency, taking over the previous execution role played by UNOPS, and is responsible for the day-to-day management and implementation of project activities with the support of a full time Country Programme Manager (CPM) and under the leadership of the National Steering Committee (NSC). The project is implemented with UNDP support, and UNDP ensures that the project receives technical and managerial support, as needed, from the UNDP Country Office, and from the regional team, as well as the global team responsible for project oversight for all GEF-SGP upgraded Country Programme projects.

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

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

EVALUATION APPROACH AND METHOD

An overall approach and method¹ for conducting project terminal evaluations of UNDP supported GEF 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) The evaluator is expected to

¹ For additional information on methods, see the Handbook on Planning, Monitoring and Evaluating for Development Results, Chapter 7, pg. 163.

amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders. The evaluator is expected to conduct field missions to Caatinga and Cerrado biomes in Brazil, including the project sites. Interviews will be held with the following organizations and individuals at a minimum: ISPN (National Host Institution), SGP Country Programme Manager, UNDP CO, UCP Global Coordinator, minimum of 4 grantees, minimum of 3 members of the NSC, as well as GEF operational focal point.

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

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

PROJECT FINANCE / COFINANCE

The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will need to be assessed and explained.

Results from recent financial audits, as available, should be taken into consideration. The evaluator(s) will receive assistance from the Country Office (CO) and Project Team to obtain financial data in order to complete the co-financing table below, which will be included in the terminal evaluation report.

Co-financing (type/sourc)	UNDP own financing (mill. US\$)		Government (mill. US\$)		Partner Agency (mill.		Total (mill. US\$)	
	Planne	Actual	Planned	Actual	Planned	Actual	Actual	Actual
Grants								
Loans/Concessions								
• In-kind suppor								
• Other								
Totals								

MAINSTREAMING

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. UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global pprograms. In addition, the evaluation will be included in the country office evaluation plan.

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 achievements².

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.

² 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. See Annex H for an audit trail template.

IMPLEMENTATION ARRANGEMENTS

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

EVALUATION TIMEFRAME

The total duration of the evaluation will be *28 working days* according to the following plan:

Activity	Timing	Completion Date
Preparation	<i>3 working days</i>	<i>April 27, 2018</i>
Evaluation Mission	<i>10 working days</i>	<i>May 11, 2018</i>
Draft Evaluation Report	<i>10 working days</i>	<i>May 25, 2018</i>
Final Report	<i>5 working days</i>	<i>June 8, 2018</i>

EVALUATION DELIVERABLES

The evaluator 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. Due date: April 27th, 2018	Evaluator submits to UNDP CO
Presentation	Initial Findings	End of evaluation mission. Due date: May 11th, 2018	To project management, UNDP CO
Draft Final Report	Full report, (per annexed template) with annexes	Within 3 weeks of the evaluation mission. Due date: May 25th, 2018	Sent to CO, reviewed by RTA, PCU, GEF OFPs
Final Report*	Revised report	Within 1 week of receiving UNDP comments on draft Due date: June 8th, 2018	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. See [Annex H](#) for an audit trail template.

TEAM COMPOSITION

The evaluation team will be composed of one international/national evaluator. The consultant 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:

Mandatory criteria:

- Minimum 10 years of relevant professional experience;
- Previous experience with results-based monitoring and evaluation methodologies;
- Technical knowledge in the targeted focal area(s);
- Fluency in English with excellent writing skills;
- Good knowledge of Spanish.

Qualifying criteria:

- Post-graduate studies in related areas of the TOR;
- Experience of working on GEF evaluations, especially with SGP - Small Grants Programme;
- Project evaluation/review experiences within United Nations system;
- Competence in adaptive management, as applied to Biodiversity, Climate Change and Land Degradation;
- Demonstrated understanding of issues related to Biodiversity, Climate Change and Land Degradation; experience in gender sensitive evaluation and analysis.
- Experience working in Latin America;
- Capacity of communication in Portuguese;
- Excellent communication 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'](#)³

³ UNEG Ethical Guidelines for Evaluation. UNEG, March 2008, 14 pp.

PAYMENT MODALITIES AND SPECIFICATIONS

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

APPLICATION PROCESS

Individual consultants are invited to submit applications together with their CV for this position. The application should contain current and complete CV in English with indication of the e-mail and phone contact, as well as a price offer (in US Dollars) indicating the total cost of the assignment. Daily fee, per diem and travel costs (national and/or international) will be provided by UNDP.

The CV and the proposed price must be submitted in separate files. Noncompliance with this provision will cause the application to be disregarded.

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.

EVALUATION PROCEDURE

The final criteria for this selection process will be technical capacity and price.

Individual consultants will be evaluated based on a cumulative analysis taking into consideration the combination of the applicant's qualifications and financial proposal. The award of the contract shall be made to the individual **consultant whose offer has been evaluated and determined as:**

1. CLASSIFICATION OF TECHNICAL QUALIFICATION (CV)

The maximum score in TECHNICAL QUALIFICATION is 100 points.

Qualification criteria are divided into 03 (three) steps:

a. Step 1 (qualification / mandatory - no scoring)

Analysis of the CV regarding compliance with the mandatory requirements specified in these Terms of Reference. Candidates who do not meet the minimum mandatory criteria described herein will be disqualified at this stage.

b. Step 2 (classification / scoring): CV Analysis (Maximum score in this phase is 70 points)

The criteria for CV analysis are listed in the table below. Only the CVs of candidates accepted under Step 1 of Qualification (review of the CVs on mandatory requirements) will be analyzed.

CRITERIA	SCORE	WEIGHT	SUBTOTAL
Post-Graduate in related areas of the TOR			
Doctorate: 05 points; Master: 03 points; Specialization: 02 points	0 to 5	1	5
Experience			
Competence in adaptive management, as applied to Biodiversity, Climate Change and Land Degradation 05 years or more: 05 points; Less than 05 years: 03 points; Less than 02 years: 01 point	0 to 5	5	25
Experience of working on GEF evaluations, especially with SGP - Small Grants Programme 01 point per evaluation report	0 to 5	6	30
Experience working in Latin America 04 years or more: 05 points; Less than 04 years: 03 points; Less than 2 years: 01 point	0 to 5	2	10
Total			70

Step 3 (classification / scoring): Interview (Maximum score in this phase is 30 points).

Interviews will be conducted by telephone or Skype.

Interview			
Demonstrated understanding of issues related to Biodiversity, Climate Change and Land Degradation; experience in gender sensitive evaluation and analysis Knowledge of GEF project monitoring and evaluation methodologies Capacity of communication in Portuguese or Spanish	1 to 5	6	30
Total			30

5 points: excellent, 4 points: Very good, 3 points: Good, 2 points: satisfactory, 1 point: poor

2. CLASSIFICATION OF FINANCIAL PROPOSALS (PRICE) – FINAL

Only the financial proposals (price) of candidates who attain a **final Score of 70 points or higher in the TECHNICAL CLASSIFICATION** will be taken into consideration. The Final Score—FS—of the process will be reached by the sum of the **final Technical Score—TS multiplied by a factor of 0.70**, and the **Price Proposal score—PS—multiplied by a factor 0.30**, i.e.:

$$FS = TS \times 0.70 + PS \times 0.30$$

The **PS** score will be calculated according to the following formula: **PS = 100 x LPP / Ppe**

Where: PS = score of the price proposal LPP = lowest price proposal; Ppe = price proposal under evaluation

The lowest price proposal will score one hundred (100).

The proposal achieving the highest final score will be selected.

ANNEX 2: FIELD MISSION ITINERARY

Date	Day	Activity	Night
1/5	Tuesday	Trip to Brasília	Brasília
2/5	Wednesday	Meetings in Brasilia and preparation for field	Brasília
3/5	Thursday	7-10 flight to Fortaleza, ride to Pentecoste BRA/13/33 e BRA/15/07 - ADEL	Fortaleza
4/5	Friday	. Trip to Russas and meeting with agro ecological project's team. BRA/14/15 – OBAS	Russas
5/5	Saturday	Visit fair. Meeting with project's staff. Trip to Fortaleza	Fortaleza
6/5	Sunday	Return to Brasília 7-10h - break	Brasília
7/5	Monday	Visit town BRA/15/19 - ISSA and Central do Cerrado BRA/13/23 e BRA/15/02- CENTRAL DO CERRADO	Brasília
8/5	Tuesday	II Seminar on Experiences and Lessons	Brasília
9/5	Wednesday	II Seminar on Experiences and Lessons	Brasília
10/5	Thursday	II Seminar on Experiences and Lessons	Brasília
11/5	Friday	Meetings with: Project's Steering Committee, UNDP and ISPN.	Brasília
12/5	Saturday	Flight to Buenos Aires	

ANNEX 3: LIST OF PERSONS INTERVIEWED

Individual Interviews:

Name	Position	Institution
Diana Salvemini	SGP Responsible	UNDP New York
Mauro Oliveira Pires	Director of Extractivism Department	Ministry of Environment
Luana Lopes	Program Analyst UNDP	UNDP Country Office
Isabel Figueiredo Renato Araújo	Country Programme Manager - SGP Brazil SGP Brazil technical assistance	ISPN ISPN
Rosenely Diegues Peixoto	Environment specialist	UNDP Country Office
Pedro Lion	Coordinator in Extractivism and Rural Sustainable Development Secretariat. Member of Project's NSC	Ministry of Environment
Vicenzo Lauriola	General biome coordinator in Investigation and Development.	Ministry of Science, Technology, Innovation and Communication (MCTIC)
Donald Sawyer	Founder and senior consultant	ISPN
Tania Jardim	ABC representative in Project's NSC	Agência Brasileira de Cooperação (ABC)
Isabel Belloni Schmidt	Alternate representative in Project's NSC	Department of Ecology, University of Brasilia
Jaime Siqueira	Centro de Trabalho Indigenista (National NGO). Representative in Project's NSC	CTI
Mercedes Bustamante	University's representative in Project's NSC	Department of Ecology, University of Brasilia

Name	Position	Institution
Manoel Jorge	ASA Representative on Project's NSC	Barreira Amigos Solidários Organization (OBAS)
Irene Santos	Representative Rede Cerrado on Project's NSC and	IBRACE (national NGO for Human Rights, Environment and Popular Education)
Paulo Table and wife	Beneficiaries, peasants	Acerola Organic Producers
Cleidiane Barreto	Organization's representative in Seminar	Fecho de Pasto de Clemente
Pedro Cardoso	Organization's representative in Seminar	Associação Indígena Xakriabá
Dinha		Quilombo Corcovado
Maria do Socorro Teixeira Lima	Coordinator	Rede Cerrado

Focal Groups:

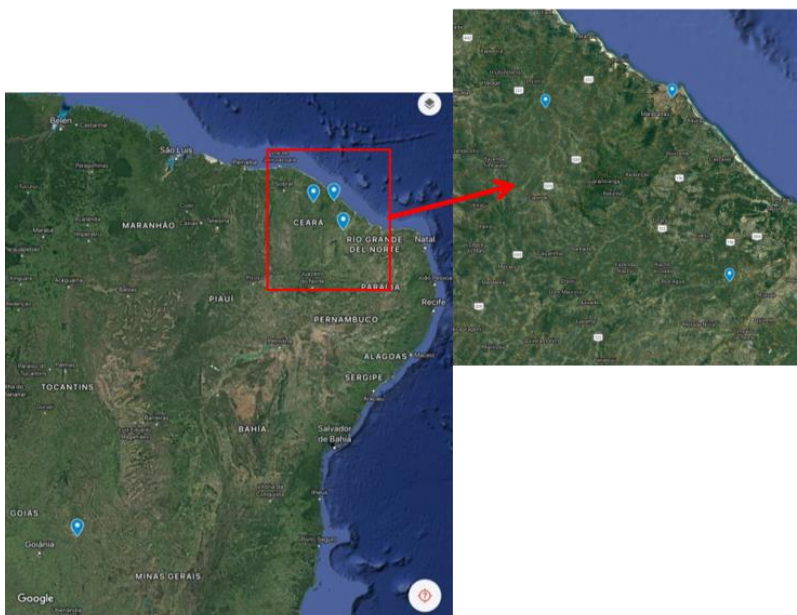
Organization/Community	Reference
Rede Nectar Do Sertão	Interview with 30 producers in Lagoa de Pedras, Pentecostes, CE
Central do Cerrado (Luis Carrazza)	Second Grade Cooperativa, Brasília, DF
Aprospera	Small holder's association, Brasília, DF
Feira livre de Russas, CE	Producers: Raimundo Joncelita Sirio, Osmarina Rosa Rosendo, María del Rosario Gelvina
Sindicato dos Trabalhadores e Trabalhadoras Rurais de Russas (STTR). Dona Luzinha, Seu Berrobró	Manuel, member of CUT and FETRAEC Associação Moradores do Fradinho Russas, CE
Annual aviar fair, Limoeiro do Norte, CE	Interviews with solidarity fair beneficiaries which participated in the Feira Aviária organized in Limoeiro do Norte, CE
ADEL	Local NGO, Pentecoste, CE

ANNEX 4: SUMMARY OF FIELD VISITS

Mission's Objectives:

- i. Become familiar with the stakeholder's vision on GEF SGP and on the projects they take part of;
- ii. Explore the project's pertinence and coherence, and particularly on the final objectives achievement;
- iii. Explore if the developed mechanisms and instruments result efficient and effective for their own purposes; specially activities efficiency and effectiveness, and the acceptability, quality and quantity of the received assistance and training,
- iv. Identify and visualize project's possible impacts;
- v. Identify project's strengths and weaknesses;
- vi. Explore best practices and lessons learned;
- vii. Become acquainted with stakeholder's ownership; and
- viii. Become familiar with stakeholder's view on the project's sustainability.

The mission, realized in May 2018, had as main characteristic to concentrate in a relatively short period of time (11 days) field visits, contacts with key stakeholders and participation in a Seminar with the projects representatives. The field visit activities were held together with the analysis of the information received reports and communication materials.



Date: May 1st – May 12th, 2018;

Objective: Gather as much information as possible regarding target groups and key stakeholders' opinions and experiences.

Locations: Ceará (Pentecoste and Russas) and Brasília, DF.

Activities: Interviews with key stakeholders, strategic partners and beneficiaries. Field visits to projects including visit to NGOs, community-based organizations, CSO's networks authorities and beneficiaries.

An Itinerary is included in **Annex 2** and a list of the interviews held during the field mission is included in **Annex 3**.

Summary of Field Visits:

- BRASILIA 2/5/18

The mission started with meetings at Brazil UNDP office, in order to have context information and the UNDP evaluation of the SGP.

I visited the ISPN office, I met several key officers. They explained me their experience not only with GEF OP5, they also explained the continuity of the NGOs and the learning process. I reviewed communication information, the territorial dispersion of the program with an interactive map, the little store with the beneficiaries' products and also, I made contact with the people who are supporting as eco- agriculture. One of the peasants, that was ISPN distributing his product and was the one that I also visited the second week of the mission in this propriety in the Cerrado.

- VISIT TO CEARÁ 3/5 to 6/5/18

This visit included producers' networks, NGOs, community-based organization (CBO, and individual producers (See Annex 3 for a detail of the interviewees). There were visits to the area of Russas and Pentecoste and the rural area nearby these cities. In the different meetings the beneficiaries stated that received funds through different projects training topics that includes: Handicrafts, using some of the non-timber products, Food processing; Cultivation of native crops, Leadership/management training, among other topics. They also remarked that after the SGP they prepared proposals for government and non-government programmes.

They also purchased processing equipment for processing different elements contributing to their family budgets, some of them used collectively and some of them used individually in each propriety. They also explained the solidarity fairs, in order to access local markets directly. Only a few of them have contacts with private sector companies, one of the producers could have a privilege relationship with a French export/import company. The different organizations, like OBAS, STTR (Syndicate of smallholders) and local CBOs have been involved in land restoration. The beneficiaries have also been involved in agro-forestry and some agricultural conservation. The beneficiaries provided their work and lands as a co-financing contribution. The program through the different projects also contributed in facilitating the preparation of regulation on environmental protection, organic certification, security food norms, etc. Some of the producers (supported by ADEL) worked with native bees and developed a network (Rede Nectar) of producers, using similar marketing strategies.

Also, the operational and management plans facilitated by the program help the CBOs and individual producers to improve their activity planning. There is a long history of forest degradation in the Ceará, and the Caatinga was not usually focused. The SGP was successful because it involved integrated community solutions, inside the Caatinga.











- BRASILIA, DF 7/5/18

The visit to CBOs and producers in the area of Cerrado, included focus groups with members of organizations producer's and members of NGOs; allocated on community based natural resource management activities.

I also visited proprieties included in the projects, several of them coming for the agricultural reform that took held in Cerrado area (7,5 Hectares for each family). I was also talking with women and young people about their visions on the SGP. They explained promotion of medicinal plants.

I also visited the Central of Cerrado, an initiative which included a complete marketing and access to market strategy, with a store in Brasilia, DF and Mercado de Pinheiros, in São Paulo.

An important learned lesson from the Program is the possibility to use the strategy of eco agriculture if a big urban center is close to the producer and results in simultaneous environmental improvements.



















- BRASILIA 8 to 11/5/18

Seminar of SGP Lessons and Experiences

8 to 10/5/18

II Encontro de Experiências e Aprendizados do Programa de Pequenos Projetos Ecosociais – PPP Ecos do Instituto Sociedade, População e Natureza – ISPN)

I had the opportunity to participate of this Seminar, which has the purpose of validating, exchanging lessons among 85 organizations from 18 different States that executed projects in the Caatinga and Cerrado biomes during the last five years.

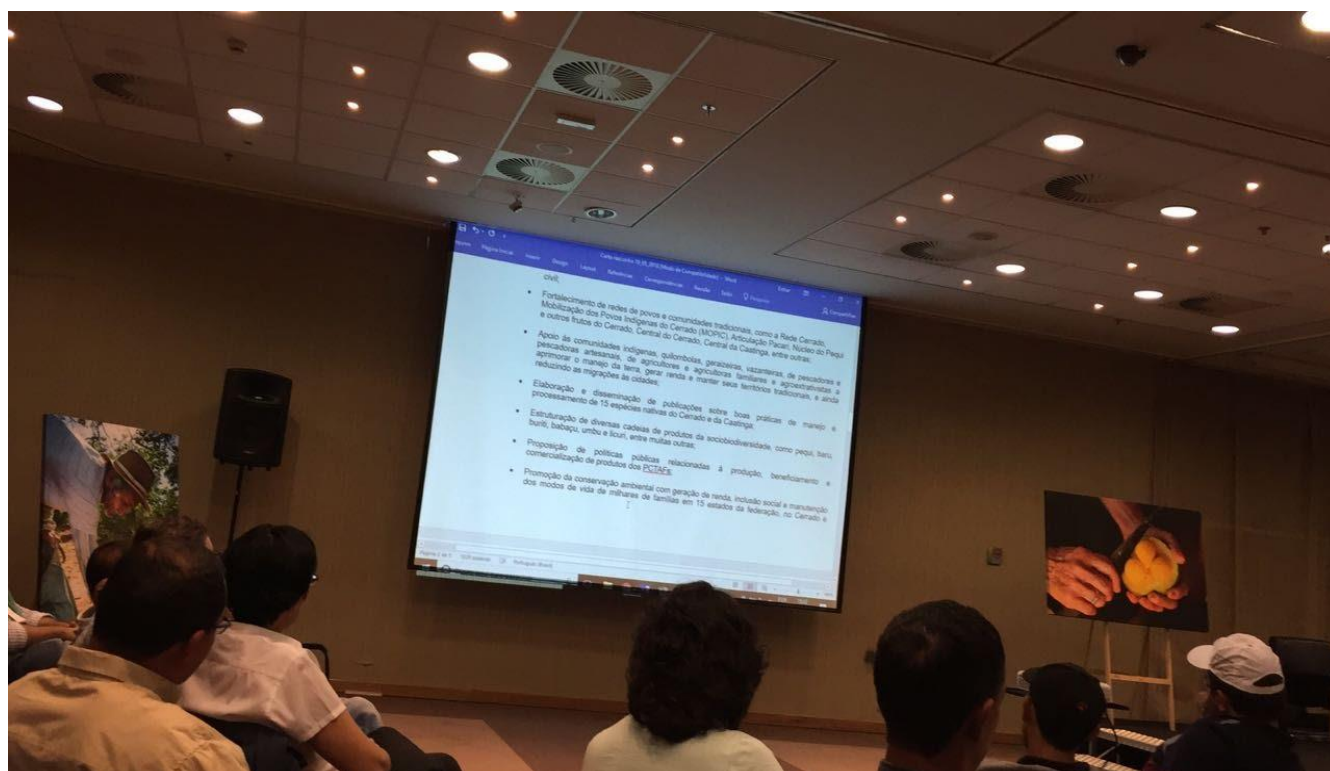
The Seminar was divided in three stages:

1. the first stage, where participants could share the results achieved by each project;
2. The second stage, which was focused in the analysis made by CSO's organizations shared experiences, challenges and reflections on what would they do differently in a new phase of PPP ECOS.
3. In the last stage, there were presented proposals for a new phase of the Program, they were discussed, and suggestions were also presented in a collective letter of support to the continuity of SGP for a next period.

During the seminar, several interviews were performed by me with representatives of women, young people, indigenous people, quilombolas and traditional communities and NGO's on one hand, and high governmental officers on the other hand. I also could take part of conferences and expositions made by stakeholders, UNDP and key governmental officer.

I also was present at the meeting relating new presentation for GEF OP7 that took held in parallel, in which several sustainability issues were discussed.





11/5/18

Meeting with steering committee at ISPN

I had group discussion with members of the steering committee and ISPN, oriented by 2 main questions, a general evaluation of the program and what are they main recommendations for the future.

Initial Findings presentation at UNDP office

I prepared an initial finding presentation that was presented for UNDP officers and ISPN members. We discuss the general evaluation approach as well as differences between the PIR and the TE. We review main conclusions and recommendation vis a vis the final report.

ANNEX 5: LIST OF DOCUMENTS REVIEWED

The following documents were provided by the Program and constitute this TE's documental evidence which was complemented by field work.

Document Name	Format	Content
Brasil 2017-PIR-PPPECOS.docx	Word	Project Implementation Report
CPD Versão Final APROVADA Ingles.pdf	Pdf	Country programme document for Brazil (2017-2021)
DCPD Brazil-2012-2015 ExB approved 02 02 2012.pdf	Pdf	Draft country programme document for the Federative Republic of Brazil (2012-2015)
GEF.C.46.13 GEF Small Grants Programme - Implem...April 30 2014.pdf	Pdf	GEF SGP implementation arrangements for GEF-6
Programa Conecta.pdf	Pdf	National Landscape Connectivity Program - CONECTA (Documento em fase de diagramação)
Revision 2018.03.12 - General 6 - signed.pdf	Pdf	The purposes of this general revision arc to: 1. Reflect 2014 expenditures according to final CDR; and 2. Rephasc the accounts balance to subsequent years
BRA 12 G32 Revision - 2015.02.12 - General 2 signed.pdf	Pdf	The purposes of this general revision arc to: 1. Reflect 2014 expenditures according to final CDR; and 2. Rephasc 2014 budget balance to 2015.

Document Name	Format	Content
BRA12G32 - PIMS 4578 - Revisão 2017.04.25 Substantiva 1 signed.pdf	Pdf	Quinta fase do programme de pequenos projectos ecossociais do GEF no Brasil. Revisao substantiva 1
BRA12G32 - Revisão 2013.05.02 - Inicial signed.pdf	Pdf	The primary objective of the project is to ensure conservation of the Cerrado and Caatinga biomes of Brazil through community initiatives on sustainable resources use, and actions that maintain or enhance carbon stocks and increase areas under sustainable land management.
BRA12G32 - Revisão 2016.05.25 - Geral 5 signed.	Pdf	The proposes of this general revision are to: 1- reflect the 2015 expenditures according to the CDR; 2- Rephase the 2015 budget balance to the subsequent years; and 3- Adjust the 2016 budget according to the best estimate of expenditures for the year, by transferring best budget balance estimate to 2017.
BRA12G32 Revisão - 2015.07.17 - General 3 signed	Pdf	The propose of this budget is to create account 71200 in Activity 5 by transferring resources from Account 71300 of the same
BRA12G32 Revisão - 2015.08.27 - General 4 signed.pdf	Pdf	The purpose of this budget revision is to adjust the AWP-2015 by transferring resources to the same activities in 2016
1709 Contrapartidas	Exls	Financial information of Programme execution

Document Name	Format	Content
Brasi lApreentacao_Central do Cerrado_avaliacao_PPP_ECOS...	Ppt	Sumary of Central do Cerrado objectives and main results
Anexo Roteiro de Apresentação de projetos. 19° edital de convocação programa de pequenos projetos ecossociais.	Paper	Instruções importantes. Feiras solidarias: agroecologia e agrobiodiversidade no semiárido cearense.
Anexo A Roteiro de Apresentação de projetos. 20° edital de convocação programa de pequenos projetos ecossociais.	Paper	Instruções importantes. Feiras solidarias: agroecologia e agrobiodiversidade no semiárido cearense.
Midterm review (MTR) of the fifth operational phase of the Gef Small Grants Program in Brazil	pdf	Midterm review (MTR). Final Report September 2015

Document Name	Format	Content
Brazil UNDP	Web Page	SGP General Information
ISPN	Web Page	SGP General Information
Sawyer, Donald. 2018. An imminent tipping point in Brazil's savannahs: permanent water crisis in South America Brasília: Instituto Sociedade, População e Natureza.	Word	
Plano de Trabalho. Inedito. Rodica Weitzman	word	Consultoria de Analise de Gênero nos Projetos GEF: BRA/14/G31; BRA/14/G32; BRA/14/G33; BRA/12/G32; BRA/067/G32.

ANNEX 6: EVALUATION QUESTION MATRIX

Levels of analysis	Evaluation criteria	Questions and sources of information (See Annex 7 for questionnaire used in Portuguese)
Design Monitoring and Evaluation (M&E) Learning and Good practices	Relevance and Coherence The degree to which the objectives of the project are consistent with the needs and interests of the people, the needs of the country and the objectives of the GEF.	<ul style="list-style-type: none"> - How does the project relate to the main objectives of the GEF focal areas, and to the environment and development priorities at the local, regional and national levels?
Management	Efficiency The extent to which resources or inputs (funds, time, human resources, etc.) have been translated into results.	<ul style="list-style-type: none"> - Was the Project implemented efficiently, in-line with international and national norms and standards? - Is the management structure appropriate for the implementation of the project? - What have been the strengths and weaknesses of the management mechanism?
Process	Appropriation Process of adaptation, transformation or active reception of the products and transformations of the project.	<ul style="list-style-type: none"> - Participation processes have been developed for the adaptation, transformation or active reception of the products of the project? - To what extent do actors (national and international NGO/CSOs, government entities, and beneficiaries) participate in the implementation and management of the intervention? - Observation at seminar and general observations in focus groups and individual interviews
General and	Effectiveness The extent to which the	<ul style="list-style-type: none"> - To what extent have the expected outcomes and objectives of the Project been achieved? - What were the internal and external factors that have influenced the achievement or not of the

Levels of analysis	Evaluation criteria	Questions and sources of information <i>(See Annex 7 for questionnaire used in Portuguese)</i>
Specific results Association and Coordination	objectives of the development intervention have been achieved.	results? - Have other unforeseen effects been achieved? - What organizations are there coordination of actions? What is the added value that these contribute to the achievement of the results of the project? - What is the quality and usefulness of the project's current monitoring and evaluation system (M&E)?
Results (Outcomes)	Sustainability Probability that the benefits of the intervention will last in the long term.	- To what extent are there financial, socio-economic and/or environmental risks to sustaining long-term Project results? - What measures related to the project's axes of work have been institutionalized to ensure the sustainability of the activities/achievements? - Does the project have integrated issues of gender transversalización, interculturality and human rights during its implementation?
Results Effects	Impact Changes and effects (positive/negative), foreseen or not, direct or indirect, as a result of the implementation of the project.	- Are there indications that the Project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status? - Was there any influence on the assumptions and risks taken into account in the design of the project, on its implementation and compliance with the goals?

ANNEX 7: QUESTIONNAIRE USED AND SUMMARY OF RESULTS

Following, a copy of the questionnaire used during the interviews:

Instituição	Estado	Nome do entrevistado Posição institucional
Data	Tempo	Lugar da entrevista
Outras pessoas presentes	Membros da equipe de contrapartida presentes	Notas tomadas por (entrevistador)

INTRODUÇÃO:

O projeto foi desenvolvido para garantir benefícios globais ao meio ambiente através de iniciativas e ações baseadas na Comunidade para a conservação e uso sustentável da biodiversidade, e manutenção de ações de carbono nos biomas do Cerrado e da Caatinga.

O projeto permitirá uma deslocação das práticas insustentáveis, assegurando:

- (i) a conservação da biodiversidade no panorama da produção através da utilização sustentável e da gestão dos recursos naturais baseados na Comunidade;*
- (ii) a manutenção das existências de carbono através da prevenção da mudança do uso do solo e da melhoria da agricultura e da gestão florestal a nível comunitário;*
- (iii) a implementação de técnicas sustentáveis de manejo de terras que impeçam a degradação da terra, restaurem os serviços da agro-ecossistema e melhorem a subsistência das comunidades locais;*
- (iv) o desenvolvimento de capacidades e gestão do conhecimento para ajudar as comunidades a oferecer benefícios ambientais globais.*

O projeto é executado na modalidade de ONG pelo Instituto “Sociedade, População e Natureza” (ISPN) e o PNUD atua como agência de implementação. O ISPN, como a agência executora, assumiu o papel que UNOPS anteriormente desempenhado, e é responsável pela gestão do dia-a-dia do atividades do projeto; o que realiza com o apoio de um Administrador nacional do programa (CPM) e da liderança de um Comitê de Direção Nacional (NSC).

O projeto é implementado com o apoio do PNUD, e o PNUD garante que o projeto receba suporte técnico e gerencial conforme necessário, bem como é responsável pela supervisão dos projetos do GEF-SGP.

A Avaliação Final do Projeto (TE) será conduzida de acordo com as diretrizes, as regras e os procedimentos estabelecidos pelo PNUD e GEF, como refletido na orientação de avaliação do PNUD para projetos financiados pela cooperação. Os objetivos da avaliação são analisar o cumprimento dos resultados do projeto, e desenhar lições que possam melhorar a sustentabilidade dos benefícios deste projeto, e ajudar no aprimoramento geral da programação do PNUD.

Você foi identificado como uma das partes interessadas do projeto e nós gostaríamos de convidá-lo para participar desta avaliação fornecendo seus comentários sobre sua experiência.

Valorizamos a sua opinião, tanto negativas como positivas. Sua resposta permanecerá anônima.

Tem alguma pergunta antes de começar?

HISTÓRIA

A. Identifique o componente no qual você está nos oferecendo seus comentários:

B. Especifique a relação (sua própria ou a instituição a que pertence), com o PNUD e o ISPN: se for através de um projeto, se colaborar com uma área programática, se eles têm links acadêmicos para fornecer entradas para projetos ou se eles participam de atividades, como a OSC ou outro tipo de link.

Dimensões a serem avaliadas neste EF e escalas de avaliação adotadas:

1- Relevância: *Como o projeto se relaciona com os principais objetivos da área focal do GEF e com as prioridades de meio ambiente e desenvolvimento nos níveis local, regional e nacional?*

- 2- **Eficácia:** Até que ponto os resultados esperados e os objetivos do projeto foram alcançados?
- 3- **Eficiência:** O projeto foi implementado de forma eficiente, de acordo com as normas e padrões internacionais e nacionais?
- 4- **Sustentabilidade:** Até que ponto existem riscos financeiros, institucionais, socioeconômicos e / ou ambientais para sustentar resultados de projetos de longo prazo?
- 5- **Impacto:** Existem indicações de que o projeto contribuiu para, ou possibilitou o progresso em direção à redução do estresse ambiental e / ou melhoria do status ecológico?

Escalas de avaliação para eficácia, eficiência, M&E e execução I&E*

A eficácia, eficiência, M&E e execução I&E será avaliado com uma escala de seis valores: Altamente Satisfatório (HS): O projeto não teve lacunas na consecução dos seus objetivos em termos de relevância, eficácia ou eficiência; Satisfatório (S): Havia apenas pequenas deficiências; Moderadamente Satisfatório (MS): Houve deficiências moderadas; Moderadamente Insatisfatório (MU): O projeto teve deficiências significativas; Insatisfatório (U): Houve grandes lacunas na consecução dos objetivos do projeto em termos de relevância, eficácia ou eficiência; Altamente Insatisfatório (HU): O projeto teve deficiências severas

Escalas de avaliação para sustentabilidade, relevância e impacto*

A **sustentabilidade** será avaliada com uma escala de quatro valores: Prováveis (P) com riscos negligenciáveis para a sustentabilidade; Algo provável (AP) com riscos moderados; Algo improvável (AI) com riscos significativos; Improvável (I) com riscos sérios.

A **relevância** será avaliada com uma escala de dois valores: Relevante (R); Não relevante (NR).

O **impacto** será avaliado em uma escala de três valores: Significativo (S); Mínimo (M); Não significativo (N).

* UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects.
<http://web.undp.org/evaluation/documents/guidance/GEF/UNDP-GEF-TE-Guide.pdf>

DIMENSÕES DA AVALIAÇÃO FINAL DO PROJETO

1. RELEVÂNCIA:

1.1. Relevância: Como o projeto se relaciona com os principais objetivos da área focal do GEF e com as prioridades de meio ambiente e desenvolvimento nos níveis local, regional e nacional?

Resposta:

2. EFICÁCIA:

2.1. Até que ponto os resultados esperados e os objetivos do projeto foram alcançados?

Resposta:

2.2. Quais foram os fatores internos e externos que influenciaram a realização (ou não) dos resultados? Outros efeitos imprevistos foram alcançados?

Resposta:

2.3. Com que organizações há coordenação de ações? Qual é o valor acrescentado que estes contribuem para a realização dos resultados do projeto?

Resposta:

2.4. Qual é a qualidade e utilidade do atual sistema de monitoramento e avaliação (M&E) do projeto?

Resposta:

3. EFICIÊNCIA:

3.1. O projeto foi implementado de forma eficiente, de acordo com as normas e padrões internacionais e nacionais? Especificar

Resposta:

3.2. A estrutura de gestão é apropriada para a implementação do projeto?

Resposta:

3.3. Em sua opinião, quais foram os pontos fortes e fracos do mecanismo de gestão?

Resposta:

4. SUSTENTABILIDADE:

4.1. Até que ponto existem riscos financeiros, institucionais, socioeconômicos e / ou ambientais para sustentar resultados de projetos de longo prazo?

Resposta:

4.2. *¿Que medidas relacionadas com os eixos de trabalho do projeto foram institucionalizadas para garantir a sustentabilidade das atividades e a Realizações?*

Resposta:

4.3. *O projeto tem questões integradas de transversalización de género, interculturalidade e direitos humanos durante a sua implementação?*

Resposta:

5. **IMPACTO:**

5.1. *Existem indicações de que o projeto contribuiu para, ou possibilitou o progresso em direção à redução do estresse ambiental e / ou melhoria do status ecológico?*

Resposta:

5.2. *Houve alguma influência nos pressupostos e riscos tidos em conta na concepção do projeto, na sua implementação e no cumprimento dos objetivos?*

Resposta:

6. **LIÇÕES APRENDIDAS:**

6.1. *Que práticas desenvolvidas contribuíram ou podem contribuir para o fortalecimento dos objetivos do projeto?*

Resposta:

6.2. *Que aprendizagem é relevante para o futuro arranque de outras iniciativas semelhantes?*

Resposta:

7. TÓPICOS COMPLEMENTARES:

7.1. *Existem questões que não foram abrangidas por este questionário, mas que consideram importante abordar?*

Resposta:

Muito obrigado!

Summary of Results:

In general, the beneficiaries and the Project Team have a positive opinion on the Project and its execution strategy. Beneficiaries stressed mainly the enhancement of communities, organizations and their people, while the Project Team emphasized on the importance of committing governmental authorities to mobilize resources in order to give continuation to the projects.

The implementation of sustainable techniques for soil management contributes to avoid degradation, restore the agro ecosystem's services, improve the local communities' subsistence within environmentally, socially, economically and politically vulnerable territories.

UNDP plays a distinguished role in leading civil society and a 25-year experience in SGP; and also plays an outstanding leading role and is recognized for providing valuable contributions on policies and knowledge transference to the country; and its image is favorable within the national government;

ISPN's strategy in working with civil society for the project's presentation and supervision ensures the quality of the supported projects; this organization guarantees accountability and transparency and works on developing clear information to the Project's National Steering Committee (NSC).

The bottom-up approach fosters project's achievements from the beneficiaries and their execution compromise.

Women led organizations' participation promoted a gender assessment during the project's execution. This is expected to encourage a gender approach in the design of future projects.

The SGP should continue supporting efforts to simplify regulations for marketing family agriculture and biodiversity products with basic processing (pulp, jellies, preserves, flour, etc.). Basic processing adds value to products and much needed income to rural families; unnecessary or excessive regulations blocking access to markets need to be adjusted or removed.

ANNEX 8: EVALUATION CONSULTANT AGREEMENT FORM

Evaluators:

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

Evaluation Consultant Agreement Form²

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*: *Buenos Aires, 30/04/2018*

Signature: _____



ANNEX 9: 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:

ANNEX 10: AUDIT TRAIL. ANNEXED IN A SEPARATE FILE