



## Terms of Reference (ToR)

RC 31547

## UNDP – BRAZIL

## INTERNATIONAL IC CONSULTANT

## Terminal Evaluation

## GEF Project BRA/07/G32 – Effective Conservation and Sustainable Use of Mangroves Ecosystems in Brazil

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 project **BRA/07/G32 – Effective Conservation and Sustainable Use of Mangroves Ecosystems in Brazil** (PIMS #3280).

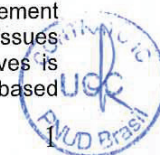
The essentials of the project to be evaluated are as follows:

## PROJECT SUMMARY TABLE

Project Title:	Effective Conservation and Sustainable Use of Mangroves Ecosystems in Brazil			
GEF Project ID:	2703		At endorsement (Million US\$)	At completion (Million US\$)
UNDP Project ID:	PIMS 3280 Atlas No. 55992	GEF financing:	5,000,000	5,000,000
Country:	Brazil	IA/EA own:		
Region:	Latin America	Government:	15,345,692	15,345,692 (to be confirmed by TE)
Focal Area:	Biodiversity	Other:		
Operational Program:	GEF-4 SO1-SP2	Total co-financing:	15,345,692	15,345,692 (to be confirmed by TE)
Executing Agency:	Ministry of Environment	Total Project Cost:	20,345,692	20,345,692 (to be confirmed by TE)
Other Partners involved:	UNDP	Prodoc Signature (date project began):		July 31 <sup>st</sup> , 2008
		(Operational) Closing Date:	Proposed: Aug. 1 <sup>st</sup> 2013	Actual: Dec. 31 <sup>st</sup> 2017

## OBJECTIVE AND SCOPE

The long-term goal of this project is the conservation and sustainable use of Brazil's mangrove ecosystems and the environmental services and functions important for national development and the well-being of traditional coastal communities. The Project objective is to contribute to this goal by providing a field tested protected area management strategy that is adopted for the effective conservation of a representative sample of mangrove ecosystems in Brazil. This will be achieved through four Outcomes: (i) The enabling environment for a sub-system of mangrove ecosystem PA is in place, including policy, regulatory, and financial mechanisms. This will also provide an enabling environment for the implementation, sustainability and replication of the Project strategy (ii) Replicable models are in place for the management of mangrove resources in SNUC sustainable-use protected areas. This will focus on environmental and pro-poor issues through working with communities to improve the sustainability of their livelihoods; (iii) Conservation of mangroves is improved by piloting the alignment of UC management with sectoral and spatial planning through a landscape-based





approach. This will tackle barriers to the PA approach from a sectoral perspective; and (iv) Mangrove-related outreach, dissemination and adaptive management will be increased. This will focus on M&E and information generation for adaptive management of mangrove PAs and their resources. The Project will be executed by Brazil's Ministry of the Environment (MMA), in cooperation with IBAMA/ICMBIO, with UNDP acting as the GEF implementing agency.

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

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

### EVALUATION APPROACH AND METHOD

An overall approach and method<sup>1</sup> for conducting project terminal evaluations of UNDP supported GEF financed projects has developed over time. The evaluator is expected to frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact**, as defined and explained in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects. A set of questions covering each of these criteria have been drafted and are included with this TOR (Annex C). The evaluator is expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders. The evaluator is expected to conduct a field mission to Delta do Parnaíba Pilot Area (APA and RESEX) and Barra do Rio Mamanguape<sup>2</sup> APA and AIRE, including the following project sites (list). Interviews will be held with the following organizations and individuals at a minimum: Ministry of Environment (several departments), NGOs, Research Institutes and Local Community Leaders.

The evaluator will review all relevant sources of information, such as the project document, project reports – including Annual APR/PIR and other Reports, 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 AND 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 TOR Annex D.



<sup>1</sup> For additional information on methods, see the [Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 7, pg. 163





A useful table to include in the evaluation report is set out below.

RATING PROJECT PERFORMANCE		
Criteria	Comments	
<b>Monitoring and Evaluation:</b> Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)		
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:</b> Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)		
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:</b> Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)		
Overall Quality of Project Outcomes	(rate 6 pt. scale)	
Relevance: relevant (R) or not relevant (NR)	(rate 2 pt. scale)	
Effectiveness	(rate 6 pt. scale)	
Efficiency	(rate 6 pt. scale)	
<b>Sustainability:</b> Likely (L), Moderately Likely (ML), Moderately Unlikely (MU), Unlikely (U)		
Overall likelihood of risks to Sustainability	(rate 4 pt. scale)	
Financial resources	(rate 4 pt. scale)	
Socio-economic	(rate 4 pt. scale)	
Institutional framework and governance	(rate 4 pt. scale)	
Environmental	(rate 4 pt. scale)	
<b>Impact:</b> Significant (S), Minimal (M), Negligible (N)		
Environmental Status Improvement	(rate 3 pt. scale)	
Environmental Stress Reduction	(rate 3 pt. scale)	
Progress towards stress/status change	(rate 3 pt. scale)	
Overall Project Results	(rate 6 pt. scale)	

## 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 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 (Million US\$)		Government (Million US\$)		Partner Agency (Million US\$)		Total (Million US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants								
Loans/Concessions								
▪ In-kind support								
▪ Other								
Total								

## MAINSTREAMING

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





## 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 ecological status, b) verifiable reductions in stress on ecological systems, or c) demonstrated progress towards these impact achievements.

## CONCLUSIONS, RECOMMENDATIONS AND LESSONS

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

## IMPLEMENTATION ARRANGEMENTS

The principal responsibility for managing this evaluation resides with the UNDP CO in Brazil. The UNDP CO will contract the evaluators and make travel arrangements for the evaluation team. The Project Team will be responsible for liaising with the evaluation team to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

## EVALUATION TIMEFRAME

The total duration of the evaluation will be 30 (thirty) days according to the following plan:

Activity	Timing	Completion Date
Preparation	03 days	November 24 <sup>th</sup> , 2017
Evaluation Mission	10 days	December 4 <sup>th</sup> , 2017
Draft Evaluation Report	10 days	December 14 <sup>th</sup> , 2017
Final Report	7 days	December 21 <sup>st</sup> , 2017

## EVALUATION DELIVERABLES

The evaluation team is expected to deliver the following:

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

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

## TEAM COMPOSITION

The evaluation team will be composed of 1 (one) international evaluator. The consultant shall have prior experience in evaluating similar projects. Experience with GEF financed projects and working knowledge of Portuguese 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 CV criteria:

- Minimum of 5 (five) 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

### Qualifying CV criteria:

- Post-graduate studies
- Years of professional experience in sustainable management/use of natural resources and/or biodiversity at national and/or international level
- Years of professional experience in development, and/or implementation and/or monitoring and evaluation of projects focused on sustainable management/use of natural resources and/or biodiversity at national and/or international level
- Experience in monitoring /evaluation of policies and/or technical cooperation projects
- Experience with GEF 's monitoring and evaluation methodologies
- Authored or co-authored book(s), book chapter(s) and/or scientific articles on sustainable management/use of natural resources and/or biodiversity at national and/or international level

### EVALUATOR(S) 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'](#).

### PAYMENT MODALITIES AND SPECIFICATIONS

%	Milestone
40%	Following submission and approval of the 1 <sup>st</sup> draft terminal evaluation report
60%	Following submission and approval (UNDP-CO and UNDP-RTA) of the final terminal evaluation report

