

Terminal Evaluation Terms of Reference (ToR) Template for UNDP-supported GEF-financed projects

Template 1 - formatted for attachment to the [UNDP Procurement website](#)

1. INTRODUCTION

In accordance with UNDP and GEF M&E policies and procedures, all full- and medium-sized UNDP-supported GEF-financed projects are required to undergo a Terminal Evaluation (TE) at the end of the project. This Terms of Reference (ToR) sets out the expectations for the TE of the *full-sized* project titled *Capacity Building for the Ratification and Implementation of the Nagoya Protocol on Access and Benefit Sharing in Vietnam ABS (PIMS 5303)* implemented through the *Ministry of Natural Resources and Environment/Viet Nam Environment Administration (ABS Project)*. The project started on the *10 October 2016* and is in its *final* year of implementation. The TE process must follow the guidance outlined in the document 'Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects' ([insert hyperlink](#)).

2. PROJECT BACKGROUND AND CONTEXT

As Viet Nam's rich biological diversity and ecological security has been under increasing pressures, the traditional knowledge of local communities that is associated with genetic resources is disappearing rapidly, due to the change of traditional lifestyles. A large volume of traditional knowledge, such as medicinal use of biological resources, is being replaced by modern technology. As part of the Government's efforts to protect the country's rich biodiversity, Law on Biodiversity was enacted in 2008 together with various policies and strategies for the conservation and sustainable use of biological resources for socio-economic development. In accordance to the Convention on Biological Diversity (CBD), Nagoya Protocol and international practices, the Law on Biodiversity also aimed at paving the way for a functional regulatory and institutional framework for Access and Benefit Sharing (ABS). Nevertheless, such legal and institutional framework was not yet fully functional. The country lacked adequately institutional and personnel capacity to carry out bio-prospecting beyond basic level and develop and manage ABS schemes that are compliant with Nagoya Protocol. The project is intended to strengthen national capacities on access and benefit sharing of genetic resources to facilitate the implementation of the Nagoya Protocol on Access and Benefit Sharing. The above objective would be achieved through four components, namely: (i) Creating an enabling national policy, legal and institutional framework for ABS; (ii) Developing administrative measures for implementation of national ABS legal framework; (iii) Increasing awareness and capacity of all relevant stakeholders for implementation of national ABS framework; and (iv) Demonstrating private-public-community partnerships on access and benefit sharing. The field activities under Component iv) have been piloted in Lao Cai province which would take on the cross-cutting aspects such as gender lens during the design and implementation to ensure women are empowered to participate fully and also benefit from the use of genetic resources.

As indicated in the ProDoc, the project implementation has been aligned with UNDP Strategic Plan Environment and Sustainable Development Primary Outcome: Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the

poor and excluded. It aimed to contribute to the expected CP Outcome(s): ONE UN PLAN: Outcome 1.4: By 2016, key national and sub-national Agencies, in partnership with the private sector and communities, implement and monitor laws, policies and programmes for more efficient use of natural resources and environmental management, and implement commitments under international conventions, and the Expected CPAP Output: A set of coherent policies and plans are prepared or updated to strengthen (1) management of protected areas and biodiversity conservation, and (2) environment management at national and community levels.

Project Summary Table:

GEF Project ID:	PIMS #5303		<i>At endorsement (Million US\$)</i>	<i>At completion (Million US\$)</i>
UNDP Project ID:	00091409	GEF financing:	2,000,000	
Country:	Viet Nam	IA/EA own:		
Region:	Asia and the Pacific	Government:	9,850,000	
Focal Area:	Biodiversity	Other:		
FA Objectives, OP/SP:	SP 1. Integrating biodiversity and ecosystem management into development planning and production sectors activities	Total co-financing:		
Executing Agency:	Ministry of Natural Resources and Environment (MONRE)	Total project cost:	11,850,000	
Other Partners involved:	Viet Nam Environment Administration/Nature and Biodiversity Conservation Agency (BCA)/VEA	ProDoc Signature (date project began):		10 October 2016
		(Operational) Closing Date:		10 June 2021

In the complicated context of COVID-19 outbreak in the world, Vietnam Government have implemented strict measures of social distancing. Using public vehicle as well as face-to-face meetings have been limited. The Government called for everyone to stay home for health security. Accordingly, during the first two quarters of 2020, there have been pending implementation of activities of the Project. Many Project’s workshops, meetings as well as events required large participants, have not been organized. Besides, consultants could not conduct surveys to collect data and information for their consultancy, and submit reports as scheduled, particularly project implementation activities at pilot site. The Project’s workplans for 2020 was also late approved until Quarter II/2020 due to social distancing which led to the significant delay of most activities planned this year.

3. TE PURPOSE

The TE report will assess the achievement of project results against what was expected to be achieved, and draw lessons that can both improve the sustainability of benefits from this project, and aid in the

overall enhancement of UNDP programming. The TE report promotes accountability and transparency, and assesses the extent of project accomplishments.

The TE focuses on determining the relevance, impact, effectiveness, efficiency and sustainability of UNDP work in order to make adjustments and improve contributions to development. The TE of ABS Project is expected to inform the review of Five-year Country Programme (2017-2021), and formulation of the next Country Programme (2022-2026), in the context of Viet Nam's Social Economic Development Strategy (2021-2030) and Plan (2021-2025), the new One UN Cooperation Framework (2022-2026) that are under formulation processes.

4. TE APPROACH & METHODOLOGY

The TE report must provide evidence-based information that is credible, reliable and useful.

The TE team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Social and Environmental Screening Procedure/SESP) the Project Document, project reports including annual PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based evaluation. The TE team will review the baseline and midterm GEF focal area Core Indicators/Tracking Tools submitted to the GEF at the CEO endorsement and midterm stages and the terminal Core Indicators/Tracking Tools that must be completed before the TE field mission begins.

The TE team is expected to follow a participatory and consultative approach ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), Implementing Partners, the UNDP Country Office(s), the Regional Technical Advisor, direct beneficiaries and other stakeholders.

Engagement of stakeholders is vital to a successful TE. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to:

- *Nature and Biodiversity Conservation Agency (BCA)/Viet Nam Environment Administration (VEA)/MONRE;*
- *Key senior officials and task team/component leaders, Project Board;*
- *Representatives of Ministry of Science and Technology (MOST);*
- *Representatives of Ministry of Agriculture and Rural Development (MARD);*
- *Representatives of Ministry of Health (MOH);*
- *Representatives of DONRE of Lao Cai province;*
- *Representatives of People Committees of Sa Pa district and Ta Phin commune;*
- *Representatives of Sa Pa Napro company*
- *Institute of Ecology and Biological Resources (IEBR)*

Additionally, the TE team may require conducting field missions to *Lao Cai province*, including the following project sites:

- *Offices of DONRE*
- *Offices of Sa Pa district and Ta Phin commune*
- *Sa Pa Napro Commune*

The specific design and methodology for the TE should emerge from consultations between the TE team and the above-mentioned parties regarding what is appropriate and feasible for meeting the TE purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. The TE team must use gender-responsive methodologies and tools and ensure that gender equality and women's empowerment, as well as other cross-cutting issues and SDGs are incorporated into the TE report.

The final methodological approach including interview schedule, field visits and data to be used in the evaluation must be clearly outlined in the TE Inception Report and be fully discussed and agreed between UNDP, stakeholders and the TE team.

The final report must describe the full TE approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the evaluation.

As of 11 March 2020, the World Health Organization (WHO) declared COVID-19 a global pandemic as the new coronavirus rapidly spread to all regions of the world. Travel to the country has been restricted since 1 April, 2020 and travel in the country is also restricted. If it is not possible to travel to or within the country for the TE mission then the TE team should develop a methodology that takes this into account the conduct of the TE virtually and remotely, including the use of remote interview methods and extended desk reviews, data analysis, surveys and evaluation questionnaires. This should be detailed in the TE Inception Report and agreed with the Commissioning Unit.

If all or part of the TE is to be carried out virtually then consideration should be taken for stakeholder availability, ability or willingness to be interviewed remotely. In addition, their accessibility to the internet/computer may be an issue as many government and national counterparts may be working from home. These limitations must be reflected in the final TE report.

If a data collection/field mission is not possible then remote interviews may be undertaken through telephone or online (skype, zoom etc.). International consultants can work remotely with national evaluator support in the field if it is safe for them to operate and travel. A short validation mission may be considered if it is confirmed to be safe for staff, consultants, stakeholders and if such a mission is possible within the TE schedule.

5. DETAILED SCOPE OF THE TE

The TE will assess project performance against expectations set out in the project's Logical Framework/Results Framework (see ToR Annex A). The TE will assess results according to the criteria outlined in the Guidance for TEs of UNDP-supported GEF-financed Projects (http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf).

The Findings section of the TE report will cover the topics listed below as minimum. A full outline of the TE report's content is provided in ToR Annex C.

The asterisk “(*)” indicates criteria for which a rating is required.

Findings

i. Project Design/Formulation

- National priorities and country driven-ness
- Theory of Change
- Gender equality and women’s empowerment
- Social and Environmental Standards (Safeguards)
- Analysis of Results Framework: project logic and strategy, indicators
- Assumptions and Risks
- Lessons from other relevant projects (e.g. same focal area) incorporated into project design
- Planned stakeholder participation
- Linkages between project and other interventions within the sector
- Management arrangements

ii. Project Implementation

- Adaptive management (changes to the project design and project outputs during implementation)
- Actual stakeholder participation and partnership arrangements
- Project Finance and Co-finance
- Monitoring & Evaluation: design at entry (*), implementation (*), and overall assessment of M&E (*)
- Implementing Agency (UNDP) (*) and Executing Agency (*), overall project oversight/implementation and execution (*)
- Risk Management, including Social and Environmental Standards (Safeguards)

iii. Project Results

- Assess the achievement of outcomes against indicators by reporting on the level of progress for each objective and outcome indicator at the time of the TE and noting final achievements
- Relevance (*), Effectiveness (*), Efficiency (*) and overall project outcome (*)
- Sustainability: financial (*), socio-political (*), institutional framework and governance (*), environmental (*), overall likelihood of sustainability (*)
- Country ownership
- Gender equality and women’s empowerment
- Cross-cutting issues (poverty alleviation, improved governance, climate change mitigation and adaptation, disaster prevention and recovery, human rights, capacity development, South-South cooperation, knowledge management, volunteerism, etc., as relevant)
- GEF Additionality
- Catalytic Role / Replication Effect
- Progress to impact

Main Findings, Conclusions, Recommendations and Lessons Learned

- The TE team will include a summary of the main findings of the TE report. Findings should be presented as statements of fact that are based on analysis of the data.
- The section on conclusions will be written in light of the findings. Conclusions should be comprehensive and balanced statements that are well substantiated by evidence and logically connected to the TE findings. They should highlight the strengths, weaknesses and results of the project, respond to key evaluation questions and provide insights into the identification of and/or solutions to important problems or issues pertinent to project beneficiaries, UNDP and the GEF, including issues in relation to gender equality and women’s empowerment.
- Recommendations should provide concrete, practical, feasible and targeted recommendations directed to the intended users of the evaluation about what actions to take and decisions to make. The recommendations should be specifically supported by the evidence and linked to the findings and conclusions around key questions addressed by the evaluation.
- The TE report should also include lessons that can be taken from the evaluation, including best practices in addressing issues relating to relevance, performance and success that can provide knowledge gained from the particular circumstance (programmatic and evaluation methods used, partnerships, financial leveraging, etc.) that are applicable to other GEF and UNDP interventions. When possible, the TE team should include examples of good practices in project design and implementation.
- It is important for the conclusions, recommendations and lessons learned of the TE report to incorporate gender equality and empowerment of women.

The TE report will include an Evaluation Ratings Table, as shown below:

ToR Table 2: Evaluation Ratings Table for *(project title)*

Monitoring & Evaluation (M&E)	Rating ¹
M&E design at entry	
M&E Plan Implementation	
Overall Quality of M&E	
Implementation & Execution	Rating
Quality of UNDP Implementation/Oversight	
Quality of Implementing Partner Execution	
Overall quality of Implementation/Execution	
Assessment of Outcomes	Rating
Relevance	
Effectiveness	

¹ Outcomes, Effectiveness, Efficiency, M&E, Implementation/Oversight & Execution, Relevance are rated on a 6-point scale: 6=Highly Satisfactory (HS), 5=Satisfactory (S), 4=Moderately Satisfactory (MS), 3=Moderately Unsatisfactory (MU), 2=Unsatisfactory (U), 1=Highly Unsatisfactory (HU). Sustainability is rated on a 4-point scale: 4=Likely (L), 3=Moderately Likely (ML), 2=Moderately Unlikely (MU), 1=Unlikely (U)

Efficiency	
Overall Project Outcome Rating	
Sustainability	Rating
Financial resources	
Socio-political/economic	
Institutional framework and governance	
Environmental	
Overall Likelihood of Sustainability	

6. TIMEFRAME

The total duration of the TE will be approximately (25 working days for International team leader; and 30 working days for national team member) over a time period of (10 weeks) starting on (21 December 2020). The tentative TE timeframe is as follows:

Timeframe	Activity
10/12/2020	Application closes
15/12/2020	Selection of TE team
22/12/2020	Preparation period for TE team (handover of documentation)
28/12/2021 (3 days)	Document review and preparation of TE Inception Report
5/1/2021 (2 days)	Finalization and Validation of TE Inception Report; latest start of TE mission
20/01/2021 (10 days)	TE mission: stakeholder meetings, interviews, field visits, etc.
30/01/2021	Mission wrap-up meeting & presentation of initial findings; earliest end of TE mission
31/01/2021 - 9/02/2021 (10 days)	Preparation of draft TE report
10/02/2021	Circulation of draft TE report for comments
25/02/2021	Incorporation of comments on draft TE report into Audit Trail & finalization of TE report
28/02/2021	Preparation and Issuance of Management Response
10/3/2021	Expected date of full TE completion

Options for site visits should be provided in the TE Inception Report.

7. TE DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	TE Inception Report	TE team clarifies objectives, methodology and timing of the TE	No later than 2 weeks before the TE mission: (5 January 2021)	TE team submits Inception Report to Commissioning Unit and project management

2	Presentation	Initial Findings	End of TE mission: (30 January 2021)	TE team presents to Commissioning Unit and project management
3	Draft TE Report	Full draft report (using guidelines on report content in ToR Annex C) with annexes	Within 3 weeks of end of TE mission: (10 February 2021)	TE team submits to Commissioning Unit; reviewed by RTA, Project Coordinating Unit, GEF OFP
5	Final TE Report* + Audit Trail	Revised final report and TE Audit trail in which the TE details how all received comments have (and have not) been addressed in the final TE report (See template in ToR Annex H)	Within 1 week of receiving comments on draft report: (10 March 2021)	TE team submits both documents to the Commissioning Unit

*All final TE reports will be quality assessed by the UNDP Independent Evaluation Office (IEO). Details of the IEO's quality assessment of decentralized evaluations can be found in Section 6 of the UNDP Evaluation Guidelines.²

8. TE ARRANGEMENTS

The principal responsibility for managing the TE resides with the Commissioning Unit. The Commissioning Unit for this project's TE is UNDP Viet Nam Country Office.

The Commissioning Unit will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country for the TE team. The Project Team will be responsible for liaising with the TE team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

9. TE TEAM COMPOSITION

A team of two independent evaluators will conduct the TE – one team leader with experience in biodiversity and exposure to projects and evaluations in Asia Pacific region, and one national team expert. The team leader will be responsible for the overall design and writing of the TE report. The national team expert will assess emerging trends with respect to regulatory frameworks, budget allocations, capacity building, work with the Project Team in developing the TE itinerary. The National Consultant will also act as a focal point for coordinating and working with relevant stakeholders in Vietnam. In the case of international travel restriction and the mission is not possible, the MTR team

² Access at: <http://web.undp.org/evaluation/guideline/section-6.shtml>

will use alternative means of interviewing stakeholders and data collection (i.e. Skype interview, mobile questionnaires, etc.) including the field visit by the National Consultant under the International Consultant's guidance.

The evaluator(s) cannot have participated in the project preparation, formulation and/or implementation (including the writing of the project document), must not have conducted this project's Mid-Term Review and should not have a conflict of interest with the project's related activities.

The selection of evaluators will be aimed at maximizing the overall "team" qualities in the following areas: The qualifications for the team leader include natural or environment science background with global/international perspectives and experience and the team expert with national experience in the field biodiversity and environmental management.

Qualifications for Team Leader

Education

- Master's degree or higher in *Natural Resource Management, Biodiversity Conservation, or environmental sciences* other closely related field;

Experience

- Relevant experience with results-based management evaluation methodologies for at least 10 years;
- Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- Competence in adaptive management, as applied to Biodiversity Focal Area, particularly experience with access and benefit-sharing of genetic/biological resources;
- Experience in evaluating projects;
- Experience working in South-East Asian or Asia Pacific Region;
- Experience in relevant technical knowledge in access and benefit-sharing of genetic/biological resources for at least 10 years;
- Demonstrated understanding of issues related to gender and Biodiversity related projects; experience in gender responsive evaluation and analysis;
- Excellent communication skills;
- Demonstrable analytical skills;
- Project evaluation/review experience within United Nations system will be considered an asset.
- Experience with implementing evaluations remotely will be considered an asset

Language

- Fluency in written and spoken English.

SELECTION CRITERIA

INTERNATIONAL CONSULTANT

No.	Criteria	Score
1	Minimum 10 years of experience with results-based management evaluation methodologies;	100
2	Experience applying SMART indicators and reconstructing or validating baseline scenarios;	100
3	Competence in adaptive management, as applied to Biodiversity Focal Area, particularly experience with access and benefit-sharing of genetic/biological resources;	50
4	Experience in evaluating projects;	200
5	Experience working in South-East Asian or Asia Pacific Region;	50
6	Experience in relevant technical knowledge in access and benefit-sharing of genetic/biological resources for at least 10 years	200
7	Demonstrated understanding of issues related to gender and Biodiversity related projects; experience in gender responsive evaluation and analysis;	100
8	Demonstrable analytical and report-writing skills (at least two reports in English relevant to technical areas must be provided)	100
9	Master's degree or higher in Natural Resource Management, Biodiversity Conservation, or environmental sciences other closely related field;	100
Total		1000

Qualifications for the team member:

Education

- Master's degree or higher in Natural Resource Management, Biodiversity Conservation, environmental sciences or other closely related field;

Experience

- Relevant experience with results-based management evaluation methodologies;
- Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- Competence in adaptive management, as applied to Biodiversity related projects;
- Experience in evaluating projects;
- Experience in relevant technical areas of biodiversity and environmental management for at least 5 years;
- Demonstrated understanding of issues related to gender and Biodiversity related projects; experience in gender responsive evaluation and analysis;
- Excellent communication skills;
- Demonstrable analytical skills;
- Project evaluation/review experience within United Nations system will be considered an asset.

Language

- Fluency in written and spoken Vietnamese and English.

NATIONAL CONSULTANT

No.	Criteria	Score
1	Minimum 5 years of experience with results-based management evaluation methodologies;	100
2	Experience applying SMART indicators and reconstructing or validating baseline scenarios;	100
3	Competence in adaptive management, as applied to Biodiversity Focal Area, particularly experience with access and benefit-sharing of genetic/biological resources;	100
4	Experience in evaluating projects;	200
5	Experience in relevant technical knowledge in access and benefit-sharing of genetic/biological resources for at least 10 years	200
6	Demonstrated understanding of issues related to gender and Biodiversity related projects; experience in gender responsive evaluation and analysis;	100
7	Demonstrable analytical and report-writing skills (at least two reports in English relevant to technical areas must be provided)	100
8	Master's degree or higher in Natural Resource Management, Biodiversity Conservation, or environmental sciences other closely related field;	100
Total		1000

10. EVALUATOR ETHICS

The TE team will be held to the highest ethical standards and is required to sign a code of conduct upon acceptance of the assignment. This evaluation will be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation'. The evaluator must safeguard the rights and confidentiality of information providers, interviewees and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The evaluator must also ensure security of collected information before and after the evaluation and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information knowledge and data gathered in the evaluation process must also be solely used for the evaluation and not for other uses without the express authorization of UNDP and partners.

11. PAYMENT SCHEDULE

- 20% payment upon satisfactory delivery of the final TE Inception Report and approval by the Commissioning Unit
- 40% payment upon satisfactory delivery of the draft TE report to the Commissioning Unit
- 40% payment upon satisfactory delivery of the final TE report and approval by the Commissioning Unit and RTA (via signatures on the TE Report Clearance Form) and delivery of completed TE Audit Trail

Criteria for issuing the final payment of 40%³:

³ The Commissioning Unit is obligated to issue payments to the TE team as soon as the terms under the ToR are fulfilled. If there is an ongoing discussion regarding the quality and completeness of the final deliverables that cannot be resolved between the Commissioning Unit and the TE team, the Regional M&E Advisor and Vertical Fund Directorate will be consulted. If needed, the

- The final TE report includes all requirements outlined in the TE TOR and is in accordance with the TE guidance.
- The final TE report is clearly written, logically organized, and is specific for this project (i.e. text has not been cut & pasted from other TE reports).
- The Audit Trail includes responses to and justification for each comment listed.

12. APPLICATION PROCESS⁴

Recommended Presentation of Proposal:

- a) **Letter of Confirmation of Interest and Availability** using the [template](#)⁵ provided by UNDP;
- b) **CV** and a **Personal History Form** ([P11 form](#)⁶);
- c) Brief description **of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
- d) **Financial Proposal** that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc), supported by a breakdown of costs, as per template attached to the [Letter of Confirmation of Interest template](#). If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

All application materials should be submitted to the address [\(insert mailing address\)](#) in a sealed envelope indicating the following reference “Consultant for Terminal Evaluation of *Capacity Building for the Ratification and Implementation of the Nagoya Protocol on Access and Benefit Sharing in Vietnam ABS*” or by email at the following address ONLY: [\(insert email address\)](#) by [\(time and date\)](#). Incomplete applications will be excluded from further consideration.

Criteria for Evaluation of Proposal: Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP’s General Terms and Conditions will be awarded the contract.

Commissioning Unit’s senior management, Procurement Services Unit and Legal Support Office will be notified as well so that a decision can be made about whether or not to withhold payment of any amounts that may be due to the evaluator(s), suspend or terminate the contract and/or remove the individual contractor from any applicable rosters. See the UNDP Individual Contract Policy for further details:

https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_Individual%20Contract_Individual%20Contract%20Policy.docx&action=default

⁴ Engagement of evaluators should be done in line with guidelines for hiring consultants in the POPP

<https://popp.undp.org/SitePages/POPPRoot.aspx>

⁵<https://intranet.undp.org/unit/bom/psu/Support%20documents%20on%20C%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx>

⁶ http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc

13. TOR ANNEXES

- ToR Annex A: Project Logical/Results Framework
- ToR Annex B: Project Information Package to be reviewed by TE team
- ToR Annex C: Content of the TE report
- ToR Annex D: Evaluation Criteria Matrix template
- ToR Annex E: UNEG Code of Conduct for Evaluators
- ToR Annex F: TE Rating Scales
- ToR Annex G: TE Report Clearance Form
- ToR Annex H: TE Audit Trail
- Annex in a separate file: Relevant TE tracking tools (list)
- Annex in a separate file: GEF Co-financing template (categorizing co-financing amounts by source as 'investment mobilized' or 'recurrent expenditure')

ToR Annex A: Project Logical/Results Framework

(Insert the project's results framework)

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
Project Objective⁷ To develop and implement a national Access and Benefit Sharing (ABS) framework, build national capacities and support an ABS Agreement based on Traditional Knowledge and Public-Private Partnership	Regulatory system in place for the implementation of the Nagoya Protocol	Legal and institutional framework for ABS exists, but not all provisions of Nagoya Protocol are incorporated in the current framework	A national decree and supporting guidelines and circulars approved in line with the Nagoya Protocol	Official gazette notification VEA/BCA website	<i>Assumption:</i> Enough political willingness to support approval of the Decree
	Number of ABS Agreements negotiated	No ABS Agreements have been concluded and approved so far	At least one ABS Agreement successfully concluded	Signed ABS Agreement	Willingness of the concerned community or other provider to reach an agreement with the user. <i>Risk:</i> Lack of agreement on the terms of the contract-
	Improved capacities of national and provincial competent authorities for ABS implementation as shown by an increase in UNDP ABS capacity development scorecard	Limited capacity of national and provincial CAs for ABS implementation as shown by UNDP ABS capacity development score of 23% (17/75)	At least 30 percentage increase in national and provincial capacity as measured by UNDP ABS scorecard Number of training and awareness raising manuals, and programs being actively used	UNDP capacity scorecard Training Evaluation Reports Project annual progress reports	<i>Assumption:</i> target audiences for training and awareness raising and other capacity building activities are committed to participate in project activities.

⁷Objective (Atlas output) monitored quarterly ERBM and annually in APR/PIR

Outcome 1 Strengthening national policy, legal and institutional framework for ABS	New Decree approved for ABS in full compliance with the Nagoya Protocol	Existing legal framework (Biodiversity Law and related decrees) are insufficient and not in full compliance with the Nagoya Protocol provisions and obligations	One national new decree for ABS and regulations, circulars and guidelines for its implementation approved by the Government	Official gazette notification VEA/BCA website	<i>Assumption:</i> Enough political willingness to support approval of the Decree
	Conservation, use and equitable benefit sharing from traditional knowledge incorporated into ABS Decree	Existing legal provisions for equitable benefit sharing from TK mechanism inadequate for effective protection of TK	Several provisions incorporated into ABS decree for protection of TK	Official gazette notification	<i>Risk:</i> Local communities and other stakeholders to arrive at the content of the TK provisions
	Community protocol supported in the ABS decree and developed for regulation of access and benefit sharing from genetic resources and traditional knowledge held by local communities ⁸	No community protocol currently exist for regulation of ABS from genetic resources and TK held by local communities	Several provisions incorporated into ABS decree for protection of TK PIC, MAT and other related provisions for community protocol included in the new ABS decree.	Bio-Community protocol document	

⁸The development of the bio-community protocol will be supported by the legislation and be part of the pilot project considered under Outcome 4.

	Financial mechanism designed to reinvest revenues for ABS agreement to support biodiversity conservation	No financial mechanism exists for reinvest of ABS revenues for biodiversity conservation	At least one set of provisions for financial mechanism created and a financial mechanisms effectively created supporting conservation and sustainable use of biological resources	Legal document validating establishment of financial mechanism	<i>Risk:</i> Lack of adequate time for generation of adequate benefits and uncertainty in revenue flows
Outcome 2 Developing administrative measures for implementation of national ABS legal framework	Guidelines for the permitting system for ABS developed and approved and piloted	No guidance, circulars or manual exists for the ABS permitting and monitoring system	Set of guidelines, manual and circulars approved and in use, including models and standardized clauses for MAT, and are implemented in at least one case.	Government gazette notices Circulars, manuals, guideline documents VEA/BCA websites	<i>Assumption:</i> Political willingness and commitment for setting up an administrative system for implementation of ABS <i>Risk:</i> Institutional rivalries preventing the coordinating mechanism being effective
	Facilitation of coordination for the operationalization of the ABS permitting system among the different national authorities involved on ABS	No coordinating system exists currently	Clear instructions available (through guidelines, circulars and manuals) for coordination and information sharing between FP and NCAs, and amongst the NCAs. Network of NCA with the involvement of the NFP fully functional using, inter alia, electronic communication mechanisms Supporting mechanism for ABS monitoring and tracking in place, such as a technical advisory committee or a similar body	Inter-agency coordination report Evaluation reports Official correspondence, government circulars Monitoring reports	<i>Risk:</i> Lack of capacity and involvement of different institutions can prevent the establishment and functioning of the technical advisory body (or a similar mechanisms)

			Formally establish network/partnership between provider/user/managers and researchers using the CHM or other tools	Circulars relating to set up of Committee Coordination meeting reports and minutes	
Outcome 3 Increasing awareness and capacity of all relevant stakeholders for implementation of national ABS framework	Number of national and provincial competent authorities trained in ABS to facilitate the implementation of the national ABS framework	Limited number of staff trained in ABS (BCA to provide current number of staff trained in ABS)	At least 100 staff trained, of which at least 30% would be women Training/awareness raising manuals developed and endorsed by the national authorities and used by agencies, research institutions and other stakeholders	Interviews with trainee reports On-the-ground practice evaluation	<i>Assumption:</i> Target audiences for training and awareness raising and other capacity building activities are committed to participate in project activities
	Percentage of the population of researchers, local communities and relevant private sector targeted by the awareness campaign of the legal framework	Limited number of stakeholders aware of ABS legal framework	At least 60 percent of targeted population of researchers local communities, and relevant private sector staff, of which at least 30% would be women aware of key provisions of ABS legal framework	Results of interviews and/or questionnaires at the beginning and end of awareness campaign Protocol document	

	National ABS clearing house mechanism operational	None exists	An ABS Clearing House system integrated into the National Biodiversity and genetic resources databases and sharing information and used as an ABS network for information sharing including between the ABS practice community (user, providers, research institutions, etc.)	Prime Minister's Decision	
Outcome 4 Demonstrating private-public-community partnerships on access and benefit sharing	Number of ABS pilot agreements negotiated and implemented enabling equitable sharing of benefits between users and providers	No officially approved ABS agreements	Local communities enter into at least one ABS agreement approved in accordance with the legal framework to provide access to genetic resources and commercialization of at least one product	ABS legal agreement	Risk: lack of agreement and trust between partners to such an agreement
	Number of community documents ⁹ developed and implemented at the local level enabling the conservation, future use and equitable sharing derived from TK	No TK registers exists	At least one TK registry proposal developed Compilation of TKs associated with genetic resources surveyed and documented in the demonstration district	TK registry proposal List of TKs documented	<i>Assumption:</i> An appropriate legal assurance is included in the ABS Decree to avoid misappropriation of the TK registered <i>Risk:</i> Local communities unwilling to register their TK for fear to lose control of its knowledge <i>Assumption:</i> Community awareness and willingness

⁹A TK community register is a mechanism for the recording and documentation of TK at the community level. This registers may have different objectives, characteristics and legal implications

			At least one community protocol ¹⁰ developed for regulation of ABS (including PIC and MAT) from genetic resources and associated TK	Bio-community protocol signed document	to developed a community protocol <i>Risk:</i> Lack of agreement among community on the content of the protocol
	In situ conservation measures to ensure the security of the concerned biological resources are integrated into the pilot project.	Ad-hoc measures for in-situ conservation and management of genetic resources	At least one Approved Management Plan for in-situ conservation and measures being implemented	Management Plan and status report of management actions	<i>Risk:</i> Reluctance and lack of awareness of communities to conservation
	Number of best practices and lessons of ABS from pilots documented and disseminated	No documentation available	At least three policy briefs developed from best practices and lessons from the project.	Best practice documents and policy briefs documents Dissemination events	<i>Risk:</i> Confidentiality restrictions of user on particular terms of agreement and uncertainty of final outcomes of pilots

¹⁰A community protocol is a written instrument which regulates, and among others how Prior and Informed Consent can be granted and how mutually agreed terms can be established including benefit sharing provisions between the community provider and the user of the genetic resources and associated traditional knowledge

ToR Annex B: Project Information Package to be reviewed by TE team

#	Item (electronic versions preferred if available)
1	Project Identification Form (PIF)
2	UNDP Initiation Plan
3	Final UNDP-GEF Project Document with all annexes
4	CEO Endorsement Request
5	UNDP Social and Environmental Screening Procedure (SESP) and associated management plans (if any)
6	Inception Workshop Report
7	Mid-Term Review report and management response to MTR recommendations
8	All Project Implementation Reports (PIRs)
9	Progress reports (quarterly, semi-annual or annual, with associated workplans and financial reports)
10	Oversight mission reports
11	Minutes of Project Board Meetings and of other meetings (i.e. Project Appraisal Committee meetings)
12	GEF Tracking Tools (from CEO Endorsement, midterm and terminal stages)
13	GEF/LDCF/SCCF Core Indicators (from PIF, CEO Endorsement, midterm and terminal stages); for GEF-6 and GEF-7 projects only
14	Financial data, including actual expenditures by project outcome, including management costs, and including documentation of any significant budget revisions
15	Co-financing data with expected and actual contributions broken down by type of co-financing, source, and whether the contribution is considered as investment mobilized or recurring expenditures
16	Audit reports
17	Electronic copies of project outputs (booklets, manuals, technical reports, articles, etc.)
18	Sample of project communications materials
19	Summary list of formal meetings, workshops, etc. held, with date, location, topic, and number of participants
20	Any relevant socio-economic monitoring data, such as average incomes / employment levels of stakeholders in the target area, change in revenue related to project activities
21	List of contracts and procurement items over ~US\$5,000 (i.e. organizations or companies contracted for project outputs, etc., except in cases of confidential information)
22	List of related projects/initiatives contributing to project objectives approved/started after GEF project approval (i.e. any leveraged or "catalytic" results)
23	Data on relevant project website activity – e.g. number of unique visitors per month, number of page views, etc. over relevant time period, if available
24	UNDP Country Programme Document (CPD)
25	List/map of project sites, highlighting suggested visits
26	List and contact details for project staff, key project stakeholders, including Project Board members, RTA, Project Team members, and other partners to be consulted
27	Project deliverables that provide documentary evidence of achievement towards project outcomes

ToR Annex C: Content of the TE report

- i. Title page
 - Title of UNDP-supported GEF-financed project
 - UNDP PIMS ID and GEF ID
 - TE timeframe and date of final TE report
 - Region and countries included in the project
 - GEF Focal Area/Strategic Program
 - Executing Agency, Implementing partner and other project partners
 - TE Team members
- ii. Acknowledgements
- iii. Table of Contents
- iv. Acronyms and Abbreviations
1. Executive Summary (3-4 pages)
 - Project Information Table
 - Project Description (brief)
 - Evaluation Ratings Table
 - Concise summary of findings, conclusions and lessons learned
 - Recommendations summary table
2. Introduction (2-3 pages)
 - Purpose and objective of the TE
 - Scope
 - Methodology
 - Data Collection & Analysis
 - Ethics
 - Limitations to the evaluation
 - Structure of the TE report
3. Project Description (3-5 pages)
 - Project start and duration, including milestones
 - Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope
 - Problems that the project sought to address, threats and barriers targeted
 - Immediate and development objectives of the project
 - Expected results
 - Main stakeholders: summary list
 - Theory of Change
4. Findings
(in addition to a descriptive assessment, all criteria marked with (*)) must be given a rating¹¹)
 - 4.1 Project Design/Formulation

¹¹ See ToR Annex F for rating scales.

- Analysis of Results Framework: project logic and strategy, indicators
 - Assumptions and Risks
 - Lessons from other relevant projects (e.g. same focal area) incorporated into project design
 - Planned stakeholder participation
 - Linkages between project and other interventions within the sector
- 4.1 Project Implementation
- Adaptive management (changes to the project design and project outputs during implementation)
 - Actual stakeholder participation and partnership arrangements
 - Project Finance and Co-finance
 - Monitoring & Evaluation: design at entry (*), implementation (*), and overall assessment of M&E (*)
 - UNDP implementation/oversight (*) and Implementing Partner execution (*), overall project implementation/execution (*), coordination, and operational issues
 - Risk Management, including Social and Environmental Standards (Safeguards)
- 4.2 Project Results and Impacts
- Progress towards objective and expected outcomes (*)
 - Relevance (*)
 - Effectiveness (*)
 - Efficiency (*)
 - Overall Outcome (*)
 - Sustainability: financial (*), socio-economic (*), institutional framework and governance (*), environmental (*), and overall likelihood (*)
 - Country ownership
 - Gender equality and women's empowerment
 - Cross-cutting Issues
 - GEF Additionality
 - Catalytic/Replication Effect
 - Progress to Impact
5. Main Findings, Conclusions, Recommendations & Lessons
- Main Findings
 - Conclusions
 - Recommendations
 - Lessons Learned
6. Annexes
- TE ToR (excluding ToR annexes)
 - TE Mission itinerary, including summary of field visits
 - List of persons interviewed
 - List of documents reviewed
 - Evaluation Question Matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)
 - Questionnaire used and summary of results

- Co-financing tables (if not include in body of report)
- TE Rating scales
- Signed Evaluation Consultant Agreement form
- Signed UNEG Code of Conduct form
- Signed TE Report Clearance form
- *Annexed in a separate file:* TE Audit Trail
- *Annexed in a separate file:* relevant terminal GEF/LDCF/SCCF Core Indicators or Tracking Tools, as applicable

ToR Annex D: Evaluation Criteria Matrix template

Evaluative Criteria Questions	Indicators	Sources	Methodology
Relevance: How does the project relate to the main objectives of the GEF Focal area, and to the environment and development priorities a the local, regional and national level?			
<i>(include evaluative questions)</i>	<i>(i.e. relationships established, level of coherence between project design and implementation approach, specific activities conducted, quality of risk mitigation strategies, etc.)</i>	<i>(i.e. project documentation, national policies or strategies, websites, project staff, project partners, data collected throughout the TE mission, etc.)</i>	<i>(i.e. document analysis, data analysis, interviews with project staff, interviews with stakeholders, etc.)</i>
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?			
Efficiency: Was the project implemented efficiently, in line with international and national norms and standards?			
Sustainability: To what extent are there financial, institutional, socio-political, and/or environmental risks to sustaining long-term project results?			
Gender equality and women's empowerment: How did the project contribute to gender equality and women's empowerment?			

Impact: Are there indications that the project has contributed to, or enabled progress toward reduced environmental stress and/or improved ecological status?			

(Expand the table to include questions for all criteria being assessed: Monitoring & Evaluation, UNDP oversight/implementation, Implementing Partner Execution, cross-cutting issues, etc.)

ToR Annex E: UNEG Code of Conduct for Evaluators

Independence entails the ability to evaluate without undue influence or pressure by any party (including the hiring unit) and providing evaluators with free access to information on the evaluation subject. Independence provides legitimacy to and ensures an objective perspective on evaluations. An independent evaluation reduces the potential for conflicts of interest which might arise with self-reported ratings by those involved in the management of the project being evaluated. Independence is one of ten general principles for evaluations (together with internationally agreed principles, goals and targets: utility, credibility, impartiality, ethics, transparency, human rights and gender equality, national evaluation capacities, and professionalism).

Evaluators/Consultants:

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.
8. Must ensure that independence of judgement is maintained, and that evaluation findings and recommendations are independently presented.
9. Must confirm that they have not been involved in designing, executing or advising on the project being evaluated and did not carry out the project’s Mid-Term Review.

Evaluation Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System:

Name of Evaluator: _____

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: _____

ToR Annex F: TE Rating Scales

Ratings for Outcomes, Effectiveness, Efficiency, M&E, Implementation/Oversight, Execution, Relevance	Sustainability ratings:
<p>6 = Highly Satisfactory (HS): exceeds expectations and/or no shortcomings</p> <p>5 = Satisfactory (S): meets expectations and/or no or minor shortcomings</p> <p>4 = Moderately Satisfactory (MS): more or less meets expectations and/or some shortcomings</p> <p>3 = Moderately Unsatisfactory (MU): somewhat below expectations and/or significant shortcomings</p> <p>2 = Unsatisfactory (U): substantially below expectations and/or major shortcomings</p> <p>1 = Highly Unsatisfactory (HU): severe shortcomings</p> <p>Unable to Assess (U/A): available information does not allow an assessment</p>	<p>4 = Likely (L): negligible risks to sustainability</p> <p>3 = Moderately Likely (ML): moderate risks to sustainability</p> <p>2 = Moderately Unlikely (MU): significant risks to sustainability</p> <p>1 = Unlikely (U): severe risks to sustainability</p> <p>Unable to Assess (U/A): Unable to assess the expected incidence and magnitude of risks to sustainability</p>

ToR Annex G: TE Report Clearance Form

<p>Terminal Evaluation Report for <i>(Project Title & UNDP PIMS ID)</i> Reviewed and Cleared By:</p>	
<p>Commissioning Unit (M&E Focal Point)</p>	
<p>Name: _____</p>	
<p>Signature: _____</p>	<p>Date: _____</p>
<p>Regional Technical Advisor (Nature, Climate and Energy)</p>	
<p>Name: _____</p>	
<p>Signature: _____</p>	<p>Date: _____</p>

ToR Annex H: TE Audit Trail

The following is a template for the TE Team to show how the received comments on the draft TE report have (or have not) been incorporated into the final TE report. This Audit Trail should be listed as an annex in the final TE report but not attached to the report file.

To the comments received on (date) from the Terminal Evaluation of (project name) (UNDP Project PIMS #)

The following comments were provided to the draft TE report; they are referenced by institution/organization (do not include the commentator's name) and track change comment number ("#" column):

Institution/ Organization	#	Para No./ comment location	Comment/Feedback on the draft TE report	TE team response and actions taken