** TERMS OF REFERENCE (TOR)** 

MOUDH

ETHIOPIA

**GENERAL INFORMATION**

**Services/Work Description:** Conducting Project Terminal Evaluation

**Project/Program Title:** Ethiopian NAMA: Creating Opportunities for Municipalities to Produce and Operationalize Solid Waste Transformation (COMPOST)

**Duty Station:** Addis Ababa

**Type of the Contract:** Individual Contract **2** (one national and one international)

**Duration:** Work to be carried out over 40-days period

**Expected Start Date:** Immediately after concluding the contract agreement

**I. BACKGROUND / RATIONALE**

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 Ethiopian NAMA: Creating Opportunities for Municipalities to Produce and Operationalise Solid Waste Transformation (COMPOST) (PIMS 5541) implemented through the Ministry of Urban Development and Construction. The project started on the 1st of January 2017 and is in its 4th 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’ [(TE Guidance).](file:///D:\COMPOST\Project%20Monitoring\Terminal%20Evaluation\Docs%20from%20RBA\TE_GuidanceforUNDP-supportedGEF-financedProjects%20Final.pdf)

1. **PROJECT BACKGROUND AND CONTEXT**

The COMPOST project is designed to promote greater use of Integrated Solid Waste Management (ISWM) and Urban Green Infrastructure (UGI) approaches in Ethiopian cities and towns that will assist the Government of Ethiopia in achieving the objectives of its Growth and Transformation Plan (GTP II). This will be achieved through four outcomes: i) strengthening the regulatory and legal framework and institutional coordination mechanisms to integrate ISWM and UGI within urban systems; ii) a developed market-based system with micro and small enterprises (MSEs) that are supported professionally to ensure financial sustainability of compost production and utilization; iii) implementation of a Nationally Appropriate Mitigation Action (NAMA) that transforms the capacity of integrated urban systems to generate large emission reductions; iv) operationalised urban systems that integrate ISWM and UGI, with quantified GHG emission reductions, within a NAMA framework.

At the end of its lifetime, the COMPOST project will deliver direct annual emission reductions from UGI initiatives and ISWM equal to approximately 306,000 and 132,321 tCO2e, respectively. These will accrue from the annual generation of 45,489 tones of compost from 151,629 tones of household organic waste, and the reforestation of 33, 309 ha of degraded land by the end of the 5-year project lifetime. By assuming a lifetime of 20 years for compost facilities and managed landfills as well as for carbon sequestration and the generation of renewable biomass for thermal energy, the direct emission reductions generated by the project will be 8.33 MtCO2e, giving a GEF abatement cost of 0.80 US$/tCO2e. The number of direct jobs created through composting by the end of the 2021 will be 744, of which at least 50% will be for women and youth. Additional direct jobs will be created by the UGI activities of the project, such as in nurseries, and digging and planting of trees. The project will produce co-benefits such as increased resilience of urban areas to drought and flooding hazards, and improved quality of life in urban areas.

Project interventions are in line with the Climate Resilient Green Economy (CRGE) strategy of Ethiopia. In addition to the CRGE, the project is also linked to other strategies developed to promote urban green development that cover both Integrated Solid Waste Management (ISWM) and Urban Green Infrastructure (UGI) that support country focus towards developing a renaissance of its cities and contribute to building a green economy. The major policies and strategies related to the project are the (1) Climate Change Resilient Urban Green Development Strategy (CCRUGDS) developed to ensure that Ethiopian cities contribute towards national development and transformation and the (2) Climate Change Resilient Green Infrastructure Strategy which identifies areas that have a significant contribution to GHG emissions and which have a serious impact on climate change. It also contributes to SDGs mainly, SDG 11 Sustainable Cities and Communities; SDG 12 Responsible Consumption and Production and SDG 13 Climate Action

The project is implemented though Ministry of Urban Development and Construction in Six cities; Adama, Bishoftu, Bahir Dar, Diredawa, Hawassa and Mekelle. Partnership has been established with like minded organizations from federal to city levels who are organized under steering committee and technical committees. The project has passed through Mid Term Review process by independent consultants from which report is available.

COVID-19 Country Situation and Impacts on Project

Following the outbreak of the COVID-19 pandemic, there have been subsequent movement restrictions imposed by the government to prevent wide spread of the virus. This has had impacts on capacity building related activities such as workshops and international travel. Moreover, companies such as Ethiopian Airlines, which were identified as potential buyers of carbon (carbon offsetters), were seriously affected by COVID-19. As a result, the market offset mechanism established by the project to generate sustainable income is not functioning.

Currently, despite the wide spread of COVID-19 throughout the country, there is no need for quarantine or restriction on movements. Only international travelers are required to have a COVID-19 test 72 hours before departure or get tested on arrival.

1. **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. It also identifies intended and unintended project impacts, success stories, areas of improvement during remaining project period and recommend possible scale up or replicating strategies. The TE will also review the project’s strategy, risks and opportunities to achieve project objectives during remaining time period and sustain results.

1. **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 Ministry of Urban Development and Construction, Environment, Forest and Climate Change Commission, Ministry of Finance; executing bureaus in the cities, senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Steering Committee, project stakeholders, academia, local government and MSEs, etc. Additionally, the TE team is expected to conduct field missions observe project activities in the six cities; Adama, Bishoftu, Hawassa, Diredawa, Bahir Dar and Mekelle.

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. Limitations faced during the evaluation process must be disclosed in the TE report.

Methodology to be Used During COVID-19

Reports show that there is a sharp increase in the spread of COVID-19 in the country. However, currently there are not any restrictions on movements or a need for quarantine. Government offices, schools and markets are open without any restriction. But gatherings of more than 50 people in one place is not allowed and individuals are required to wear a mask all the time. The proposed methodology for this TE therefore should take the current condition or changes during undertaking the evaluation into consideration.

In general, the approach and methodology will be

* Conduct desk review
* Collect primary data using appropriate tools in line with evaluation questions and log frame indicators
* Key Informant Interview with program stakeholders and Focus Group Discussion with communities
* Field visits to the implementation sites in the six cities
* Virtual interview and meeting as required

Approach and methodology can be adjusted based on consultants’ experience and on the details of the information required.

The final TE report should 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 review.

1. **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 [(TE Guidance).](file:///D:\COMPOST\Project%20Monitoring\Terminal%20Evaluation\Docs%20from%20RBA\TE_GuidanceforUNDP-supportedGEF-financedProjects%20Final.pdf) The evaluators shall complete their work within 35 days and consult project stakeholders and beneficiaries at federal as well as cities (Adama, Bahirdar, Bishoftu, Diredawa, Hawassa, Mekelle) level.

COVID-19 Impacts on Project Outcomes and Reprogramming

The outbreak of the COVID-19 pandemic and subsequent movement restrictions imposed to prevent its wide spread have disrupted implementation of project activities as planned, mainly in 2020. The livelihoods of many micro and small enterprises engaged in recyclable waste collection and sales business were affected because their market was impacted by the pandemic. The project has tried to minimize impact of COVID-19 on project beneficiaries by reprogramming budget from activities which could not be implemented such as training to creation of project-related temporary jobs such as waste collection.

The Findings section of the TE report will cover the topics listed below. 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

1. 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

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 (\*)
* Implementing Agency (UNDP) (\*) and Executing Agency (\*), overall project oversight/implementation and execution (\*)
* Risk Management, including Social and Environmental Standards (Safeguards)
* Impact of COVID-19 on project implementation and beneficiaries.
* Mitigation measures taken against COVID-19 and its impact.

1. 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
* Impact of COVID-19 on achieving project results.

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** Ethiopian NAMA: Creating Opportunities for Municipalities to Produce and Operationalise Solid Waste Transformation (COMPOST)

|  |  |
| --- | --- |
| Monitoring & Evaluation (M&E) | Rating[[1]](#footnote-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 |  |
| Efficiency |  |
| Overall Project Outcome Rating |  |
| Sustainability | Rating |
| Financial resources |  |
| Socio-political/economic |  |
| Institutional framework and governance |  |
| Environmental |  |
| Overall Likelihood of Sustainability |  |

1. **TIMEFRAME**

The total duration of the TE will be approximately 35 days over a time period of 8 weeks starting on 14 September 2021*.* There will be flexibility in extending the timeframe in the event that the work of the evaluation team is affected by COVID-19. But related costs will not be compensated by the commissioning unit. The tentative TE timeframe is as follows:

|  |  |
| --- | --- |
| Timeframe | Activity |
| *August, 10, 2021* | Application closes |
| *August 11, 2021* | Selection of TE team |
| *September. 13, 2021* | Preparation period for TE team (handover of documentation) |
| *September 14-19, 2021 (6 days* | Document review and preparation of TE Inception Report |
| *September 20-23, 2021 (4 days)* | Finalization and Validation of TE Inception Report; latest start of TE mission |
| *September 24 – Oct 4, 2021 (12 days)* | TE mission: stakeholder meetings, interviews, field visits, etc. |
| *October 5, 2021(1 day)* | Mission wrap-up meeting & presentation of initial findings; earliest end of TE mission |
| *October 6-11, 2021 (7 days)* | Preparation of draft TE report |
| *October 12-13, 2021 (2 days)* | Circulation of draft TE report for comments |
| *October 14, 2021 (1 day)* | Incorporation of comments on draft TE report into Audit Trail & finalization of TE report |
| *October 15, 2021 (1 day)* | Preparation and Issuance of Management Response |
| *October, 16, 2021 (1 day)* | Concluding Stakeholder Workshop (optional) |
| *October, 17, 2021* | Expected date of full TE completion |

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

1. **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: *(23 Sept 2021)* | TE team submits Inception Report to Commissioning Unit and project management |
| 2 | Presentation | Initial Findings | End of TE mission: *(5 Oct 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: *(13 Oct 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: *(14 Oct 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]](#footnote-2)

1. **TE ARRANGEMENTS**

The principal responsibility for managing this TE resides with the Commissioning Unit. The Commissioning Unit for this project’s TE is UNDP Ethiopia Country Office.

The commissioning unit will contract the consultants and ensure the timely provision of payments 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. The commissioning unit will not arrange international or local travels, provide logistics or pay DSA.

Virtual Meetings and Interviews during COVID-19

Arranging virtual meetings and interviews might be required if restrictions on movement are imposed by government due to COVID-19. In case of such situation, the project office will provide e-mail addresses or telephone numbers of participants to the consultants. Communication expenses will not be covered by the project unit.

1. **TE TEAM COMPOSITION**

A team of two independent consultants will conduct the TE - one team leader (with experience and exposure to projects and evaluations in other regions globally) and one team expert, from the country of the project, Ethiopia. The team leader will *be responsible for the overall design and writing of the TE report, plan all field visits, communicate with the project, present finding.* The 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, translate data collection tools to the local language and collect data from the field.*

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:

Education

* The Team Leader should have Master’s degree in *development studies, project management, economic, urban development* or other closely related field.
* The Team Expert should have Masters degree in climate change, GHG emission reduction, Afforestation and land rehabilitation or other closely related field

Experience Team Leader

* 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 climate change mitigation
* Experience in evaluating projects;
* Experience working in East Africa;
* Experience in relevant technical areas for at least *10 years;*
* Demonstrated understanding of issues related to gender and climate change mitigation; 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 Team Expert

* 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 climate change mitigation
* Experience in evaluating projects;
* Experience working in East Africa;
* Experience in emission reduction calculation, data collection and analysis, MRV for 7 *years;*
* Demonstrated understanding of aforestation, waste management, composting;
* Excellent communication skills;
* Demonstrable analytical skills;
* Project evaluation/review experience within United Nations system will be considered an asset.

Language Team Leader

* Fluency in written and spoken English.

Language Team Expert

* Fluency in written and spoken English
* Fluency in Amharic

1. **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.

1. **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]](#footnote-3):

* 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.

Impact of COVID-19 on Deliverables and Payment

Not being able to undertake the TE or partial delivery of the expected deliverables of the TE due to COVID-19 might result in deduction of payment or not effecting the payment at all.

1. **APPLICATION PROCESS[[4]](#footnote-4)**

Recommended Presentation of Proposal:

1. **Letter of Confirmation of Interest and Availability** using the [template](https://intranet.undp.org/unit/bom/pso/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx)[[5]](#footnote-5) provided by UNDP;
2. **CV** and a **Personal History Form** ([P11 form](http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc)[[6]](#footnote-6));
3. 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)
4. **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](https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_%20Individual%20Contract_Offerors%20Letter%20to%20UNDP%20Confirming%20Interest%20and%20Availability.docx&action=default). 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.

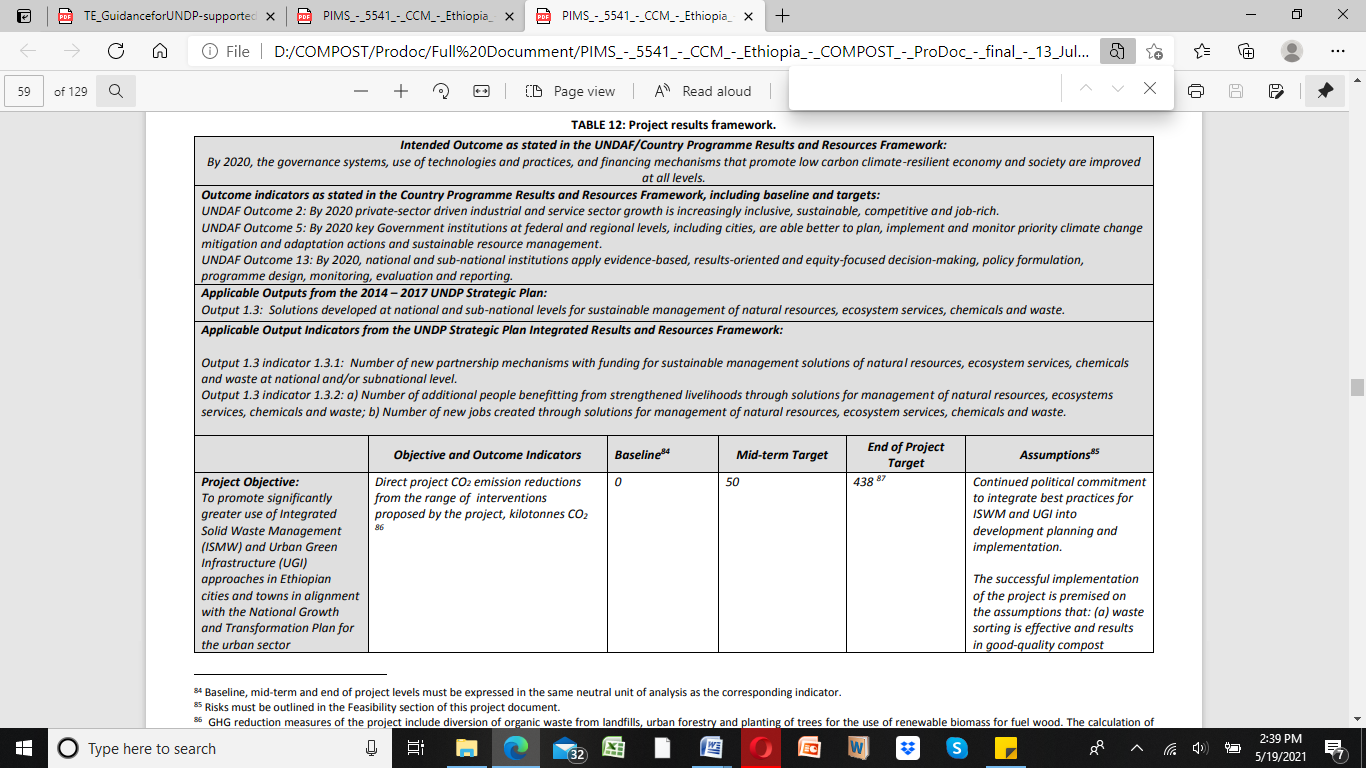
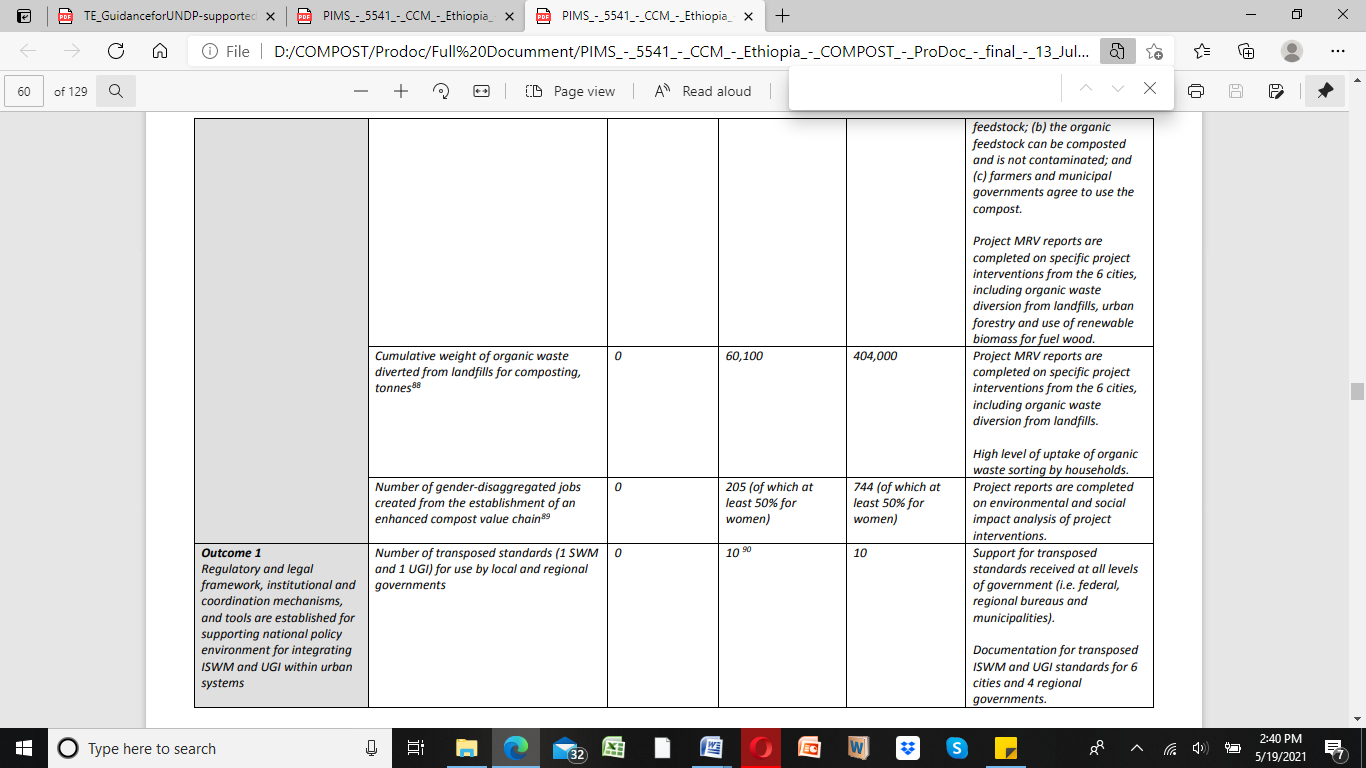
All application materials should be submitted to the address (insert mailing address) in a sealed envelope indicating the following reference “Consultant for Terminal Evaluation of Ethiopian NAMA: Creating Opportunities for Municipalities to Produce and Operationalize Solid Waste Transformation (NAMA: COMPOST)” or by email at the following address ONLY: *(insert email address)* by *(time and date)*. Incomplete applications will be excluded from further consideration.

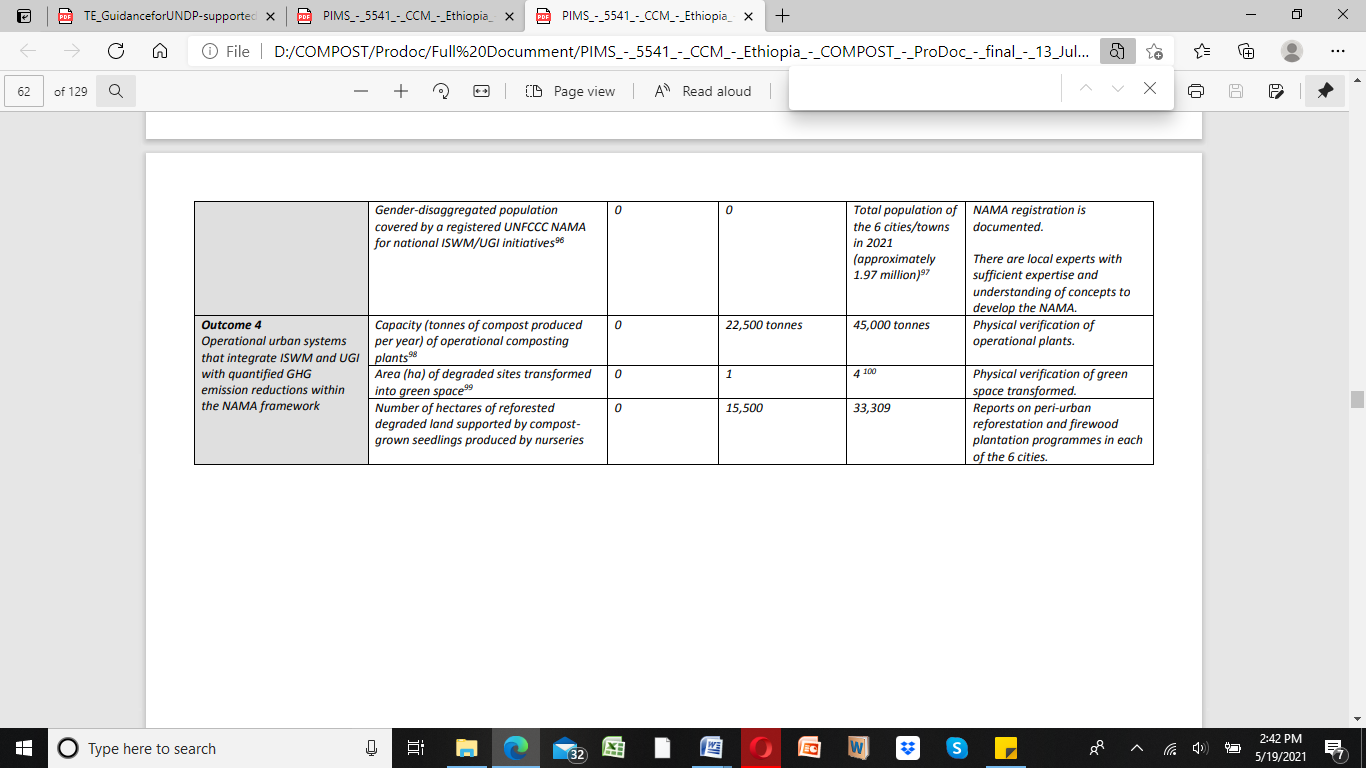
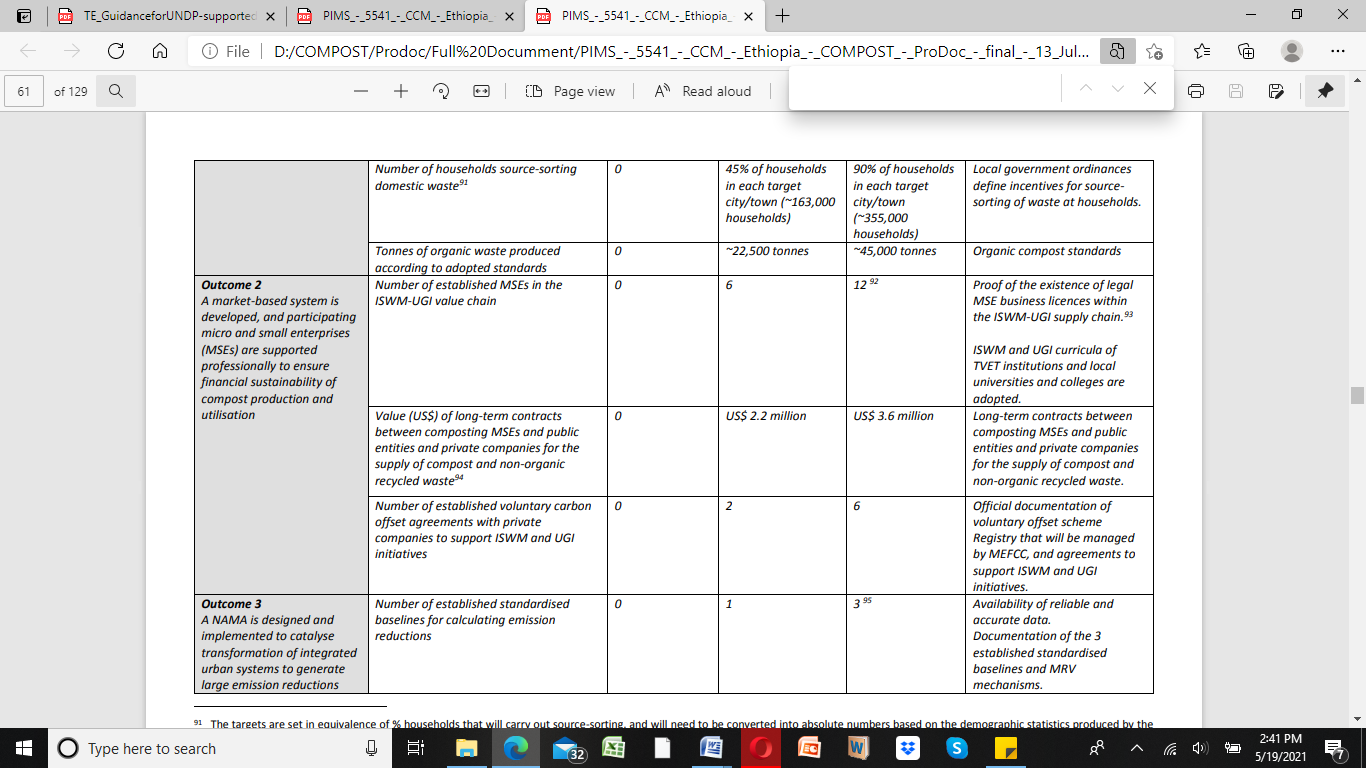
**Criteria for Evaluation of Proposal:** Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal 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.

1. **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

**ToR Annex A: Project Logical/Results Framework**

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**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 |
|  | *Additional documents, as required* |

**ToR Annex C: Content of the TE report**

1. 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

1. Acknowledgements
2. Table of Contents
3. Acronyms and Abbreviations
4. 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

1. 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

1. 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

1. Findings

(in addition to a descriptive assessment, all criteria marked with (\*) must be given a rating[[7]](#footnote-7))

4.1 Project Design/Formulation

* 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
  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)
  1. 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

1. Main Findings, Conclusions, Recommendations & Lessons

* Main Findings
* Conclusions
* Recommendations
* Lessons Learned

1. 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? | | | |
| *(include evaluative questions)* | *(i.e. relationships established, level of coherence between project design and implementation approach, specific activities conducted, quality of risk mitigation strategies, etc.)* | *(i.e. project documentation, national policies or strategies, websites, project staff, project partners, data collected throughout the TE mission, etc.)* | *(i.e. document analysis, data analysis, interviews with project staff, interviews with stakeholders, etc.)* |
|  |  |  |  |
|  |  |  |  |
| 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: |
| 6 = Highly Satisfactory (HS): exceeds expectations and/or no shortcomings  5 = Satisfactory (S): meets expectations and/or no or minor shortcomings  4 = Moderately Satisfactory (MS): more or less meets expectations and/or some shortcomings  3 = Moderately Unsatisfactory (MU): somewhat below expectations and/or significant shortcomings  2 = Unsatisfactory (U): substantially below expectations and/or major shortcomings  1 = Highly Unsatisfactory (HU): severe shortcomings  Unable to Assess (U/A): available information does not allow an assessment | 4 = Likely (L): negligible risks to sustainability  3 = Moderately Likely (ML): moderate risks to sustainability  2 = Moderately Unlikely (MU): significant risks to sustainability  1 = Unlikely (U): severe risks to sustainability  Unable to Assess (U/A): Unable to assess the expected incidence and magnitude of risks to sustainability |

**ToR Annex G: TE Report Clearance Form**

|  |
| --- |
| **Terminal Evaluation Report for** *(Project Title & UNDP PIMS ID*) **Reviewed and Cleared By:**  **Commissioning Unit (M&E Focal Point)**  Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  **Regional Technical Advisor (Nature, Climate and Energy)**  Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

**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** |
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**Terms of Reference (ToR) Terminal Evaluation**

**for Ethiopian NAMA: Creating Opportunities for Municipalities to Produce and Operationalise Solid Waste Transformation COMPOST Project**

**BASIC CONTRACT INFORMATION**

**Location: Addis Ababa, Ethiopia**

**Application Deadline: August 10, 2021**

**Type of Contract: Individual Contracts 2 (one team leader and one expert)**

**Assignment Type: Terminal Evaluation**

**Languages Required: English**

**Starting Date: Immediately after signing of the contract**

**Duration of Initial Contract: 40 Days**

**Expected Duration of Assignment: 40 Days**

**BACKGROUND**

##### **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 Ethiopian NAMA: Creating Opportunities for Municipalities to Produce and Operationalise Solid Waste Transformation (COMPOST) (PIMS 5541) implemented through the Ministry of Urban Development and Construction. The project started on the 1st of January 2017 and is in its 4th 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’ [(TE Guidance).](file:///D:\COMPOST\Project%20Monitoring\Terminal%20Evaluation\Docs%20from%20RBA\TE_GuidanceforUNDP-supportedGEF-financedProjects%20Final.pdf)

##### **Project Description**

The COMPOST project is designed to promote greater use of Integrated Solid Waste Management (ISWM) and Urban Green Infrastructure (UGI) approaches in Ethiopian cities and towns that will assist the Government of Ethiopia in achieving the objectives of its Growth and Transformation Plan (GTP II). This will be achieved through four outcomes: i) strengthening the regulatory and legal framework and institutional coordination mechanisms to integrate ISWM and UGI within urban systems; ii) a developed market-based system with micro and small enterprises (MSEs) that are supported professionally to ensure financial sustainability of compost production and utilization; iii) implementation of a Nationally Appropriate Mitigation Action (NAMA) that transforms the capacity of integrated urban systems to generate large emission reductions; iv) operationalised urban systems that integrate ISWM and UGI, with quantified GHG emission reductions, within a NAMA framework.

At the end of its lifetime, the COMPOST project will deliver direct annual emission reductions from UGI initiatives and ISWM equal to approximately 306,000 and 132,321 tCO2e, respectively. These will accrue from the annual generation of 45,489 tones of compost from 151,629 tones of household organic waste, and the reforestation of 33, 309 ha of degraded land by the end of the 5-year project lifetime. By assuming a lifetime of 20 years for compost facilities and managed landfills as well as for carbon sequestration and the generation of renewable biomass for thermal energy, the direct emission reductions generated by the project will be 8.33 MtCO2e, giving a GEF abatement cost of 0.80 US$/tCO2e. The number of direct jobs created through composting by the end of the 2021 will be 744, of which at least 50% will be for women and youth. Additional direct jobs will be created by the UGI activities of the project, such as in nurseries, and digging and planting of trees. The project will produce co-benefits such as increased resilience of urban areas to drought and flooding hazards, and improved quality of life in urban areas.

Project interventions are in line with the Climate Resilient Green Economy (CRGE) strategy of Ethiopia. In addition to the CRGE the project is also linked to other strategies developed to promote urban green development that cover both Integrated Solid Waste Management (ISWM) and Urban Green Infrastructure (UGI) that support country focus towards developing a renaissance of its cities and contribute to building a green economy. The major policies and strategies related to the project are the (1) Climate Change Resilient Urban Green Development Strategy (CCRUGDS) developed to ensure that Ethiopian cities contribute towards national development and transformation and the (2) Climate Change Resilient Green Infrastructure Strategy which identifies areas that have a significant contribution to GHG emissions and which have a serious impact on climate change. It also contributes to SDGs mainly, SDG 11 Sustainable Cities and Communities; SDG 12 Responsible Consumption and Production and SDG 13 Climate Action

The project is implemented though Ministry of Urban Development and Construction in Six cities; Adama, Bishoftu, Bahir Dar, Diredawa, Hawassa and Mekelle. Partnership has been established with like minded organizations from federal to city levels who are organized under steering committee and technical committees. The project has passed through Mid Term Review process by independent consultants from which report is available.

COVID 19 Country Situation and Impacts on Project

Following outbreak of the pandemic COVID 19, there has been subsequent movement restrictions imposed by the government to prevent wide spread of the virus. This had impact on capacity building related activities such as workshops and international travels. Moreover, companies such as Ethiopian Airlines, which were identified as potential buyers of carbon (carbon offreters) were seriously affected by COVID 19. As a result the market offset mechanism established by the project to generate sustainable income is not functioning.

Currently, despite of the wide spread of COVID 19 throughout the country, there is no need for quarantine or restriction on movements. Only international travelers are required to have a COVID 19 taste 72 hours before departure or get tasted on arrival.

##### **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. It also identifies intended and un intended project impacts, success stories, areas of improvement during remaining project period and recommend possible scale up or replicating strategies. The TE will also review the project’s strategy, risks and opportunities to achieve project objectives during remaining time period and sustain results.

**DUTIES AND RESPONSIBILITIES**

##### **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 Ministry of Urban Development and Construction, Environment, Forest and Climate Change Commission, Ministry of Finance; executing bureaus in the cities, senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Steering Committee, project stakeholders, academia, local government and MSEs, etc. Additionally, the TE team is expected to conduct field missions observe project activities in the six cities; Adama, Bishoftu, Hawassa, Diredawa, Bahir Dar and Mekelle.

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.

Methodology to be Used During COVID 19

Reports show that there is sharp increase in the spread of COVID 19 in the country. However, there is no any restrictions on movements and need for quarantine. Government offices, schools and market are open without any restriction. But gathering more than 50 people in one place is not allowed and individuals are required to wear mask all the time. The proposed methodology for this TE therefore should take the current condition or changes during undertaking the evaluation into consideration.

In general, the approach and methodology will be

* Conduct desk review
* Collect primary data using appropriate tools in line with evaluation questions and log frame indicators
* Key Informant Interview with program stakeholders and Focus Group Discussion with communities
* Field visits to the implementation sites in the six cities
* Virtual interview and meeting as required

Approach and methodology can be adjusted based on consultants’ experience and on the details of the information required.

The final TE report should 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 review.

1. **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 [(TE Guidance).](file:///D:\COMPOST\Project%20Monitoring\Terminal%20Evaluation\Docs%20from%20RBA\TE_GuidanceforUNDP-supportedGEF-financedProjects%20Final.pdf) The evaluators shall complete their work within 35 days and consult project stakeholders and beneficiaries at federal as well as cities (Adama, Bahirdar, Bishoftu, Diredawa, Hawassa, Mekelle) level.

COVID 19 Impacts on Project Outcomes and Reprogramming

Outbreak of the pandemic COVID 19 and subsequent movement restrictions imposed to prevent its wide spread had disrupted implementation of project activities as planned mainly in 2020. Livelihood of many Micro and Small Enterprises engaged in recyclable waste collection and sales business was affected because their market was impacted by the pandemic. The project has tried to minimize its impact of COVIDE 19 on project beneficiaries by reprogramming budget from activities which could not be implemented such as training to creation of project related temporary jobs such as waste collection.

The Findings section of the TE report will cover the topics listed below. 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

1. Project Design/Formulation

* National priorities and country driven-ness
* Theory of Change
* Gender equality and women’s empowerment
* Social and Environmental 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

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 (\*)
* Implementing Agency (UNDP) (\*) and Executing Agency (\*), overall project oversight/implementation and execution (\*)
* Risk Management, including Social and Environmental Standards
* Impact of COVID 19 on project implementation and beneficiaries.
* Mitigation measures taken against COVID 19 and its impact.

1. 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
* Impact of COVID 19 on achieving project results.

1. 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 include results related to gender equality and empowerment of women.

The TE report will include an Evaluation Ratings Table, as shown in the ToR Annex.

1. **Expected Outputs and Deliverables**

The TE *team* shall prepare and submit:

* TE Inception Report: TE team clarifies objectives and methods of the TE no later than *2 weeks* before the TE mission. TE team submits the Inception Report to the Commissioning Unit and project management. Approximate due date: *(23 Sept 2021)*
* Presentation: TE team presents initial findings to project management and the Commissioning Unit at the end of the TE mission. Approximate due date: *(05 Oct 2021)*
* Draft TE Report: TE team submits full draft report with annexes *within 3 weeks* of the end of the TE mission. Approximate due date: *(13 Oct 2021)*
* Final TE Report\* and Audit Trail: TE team submits revised report, with Audit Trail detailing how all received comments have (and have not) been addressed in the final TE report, to the Commissioning Unit *within 1 week* of receiving UNDP comments on draft. Approximate due date: *(14 Oct 2021)*

\*The final TE report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

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.[[8]](#footnote-8)

1. **TE Arrangements**

The principal responsibility for managing this TE resides with the Commissioning Unit. The Commissioning Unit for this project’s TE is UNDP Ethiopia Country Office.

The commissioning unit will contract the consultants and ensure the timely provision of payments 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. The commissioning unit will not arrange international or local travels, provide logistics or pay DSA.

Virtual Meetings and Interview During COVID 19

Arranging virtual meetings and interview might be required if restrictions on movement is imposed by government due to COVID 19. In case of such situations, the project office will provide email addresses or telephone numbers of participants to the consultants. Communication expenses will not be covered by the project unit.

1. **Duration of the Work**

The total duration of the TE will be approximately *35* over a time period of *8 weeks* starting 14 September 2021 and shall not exceed three months from when the TE team is hired. There will be flexibility of extending the time if work of the team is affected by COVID 19. But related costs will not be compensated by the commissioning unit. The tentative TE timeframe is as follows:

* August 10, 2021: Application closes
* *August 11, 2021:* Selection of TE Team
* *September 13, 2021:* Prep the TE team (handover of project documents)
* *September 14-19, 2021 (6 days*): Document review and preparing TE Inception Report
* *September 20-23, 2021 (4 days)*: Finalization and Validation of TE Inception Report- latest start of TE mission
* *September 24 – Oct 4, 2021 (12 days)*: TE mission: stakeholder meetings, interviews, field visits
* *October 5, 2021(1 day):* Mission wrap-up meeting & presentation of initial findings- earliest end of TE mission
* *October 6-11, 2021 (7 days)*: Preparation of draft TE report
* *October 12-13, 2021 (2 days):* Circulation of draft TE report for comments
* *October 14, 2021 (1 day):*  Incorporation of comments on draft TE report into Audit Trail & finalization of TE report
* *October 15, 2021 (1 day):* Preparation & Issue of Management Response
* *October, 16, 2021 (1 day)* : (optional) Concluding Stakeholder Workshop
* *October, 17, 2021:* Expected date of full TE completion

The expected date start date of contract is September 14, 2021.

1. **Duty Station**

*Duty station of the consultant will be in Addis Ababa. There will be travel to project implementation cities; Adama, Bahir Dar, Bishoftu, Diredawa, Hawassa and Mekelle (depending of security situation in Mekelle).*

**Travel:**

* The BSAFE course must be successfully completed prior to commencement of travel;
* Individual Consultants are responsible for ensuring they have vaccinations/inoculations when travelling to certain countries, as designated by the UN Medical Director.
* Consultants are required to comply with the UN security directives set forth under: <https://dss.un.org/dssweb/>
* All related travel expenses will be covered and will be reimbursed as per UNDP rules and regulations upon submission of an F-10 claim form and supporting documents.

**REQUIRED SKILLS AND EXPERIENCE**

1. **TE Team Composition and Required Qualifications**

A team of two independent consultants will conduct the TE - one team leader (with experience and exposure to projects and evaluations in other regions globally) and one team expert, from the country of the project, Ethiopia. The team leader will *be responsible for the overall design and writing of the TE report, plan all field visits, communicate with the project, present finding.* The 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, translate data collection tools to the local language and collect data from the field.*

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:

Education

* The Team Leader should have Master’s degree in *development studies, project management, economic, urban development* or other closely related field.
* The Team Expert should have Masters degree in climate change, GHG emission reduction, Afforestation and land rehabilitation or other closely related field

Experience Team Leader

* 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 climate change mitigation
* Experience in evaluating projects;
* Experience working in East Africa;
* Experience in relevant technical areas for at least *10 years;*
* Demonstrated understanding of issues related to gender and climate change mitigation; 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 Team Expert

* 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 climate change mitigation
* Experience in evaluating projects;
* Experience working in East Africa;
* Experience in emission reduction calculation, data collection and analysis, MRV for 7 *years;*
* Demonstrated understanding of aforestation, waste management, composting;
* Excellent communication skills;
* Demonstrable analytical skills;
* Project evaluation/review experience within United Nations system will be considered an asset.

Language Team Leader

* Fluency in written and spoken English.

Language Team Expert

* Fluency in written and spoken English
* Fluency in Amharic

1. **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.

1. **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%

* 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 MTR reports).
* The Audit Trail includes responses to and justification for each comment listed.

Impact of COVID 19 on Deliverables and Payment

Not being able to undertake the TE or partial delivery of the expected deliverables of the TE due to COVID 19 might result in deduction of payment or not effecting the payment at all.

**APPLICATION PROCESS**

1. **Scope of Price Proposal and Schedule of Payments**

**Financial Proposal:**

* Financial proposals must be “all inclusive” and expressed in a lump-sum for the total duration of the contract. The term “all inclusive” implies all cost (professional fees, travel costs, living allowances etc.);
* For duty travels, the UN’s Daily Subsistence Allowance (DSA) rates are (fill for all travel destinations), which should provide indication of the cost of living in a duty station/destination *(Note: Individuals on this contract are not UN staff and are therefore not entitled to DSAs. All living allowances required to perform the demands of the ToR must be incorporated in the financial proposal, whether the fees are expressed as daily fees or lump sum amount.)*
* The lump sum is fixed regardless of changes in the cost components.

1. **Recommended Presentation of Proposal**
2. **Letter of Confirmation of Interest and Availability** using the [template](https://intranet.undp.org/unit/bom/pso/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx) provided by UNDP;
3. **CV** and a **Personal History Form** ([P11 form](http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc));
4. **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)
5. **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](https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_%20Individual%20Contract_Offerors%20Letter%20to%20UNDP%20Confirming%20Interest%20and%20Availability.docx&action=default). 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 Ethiopian NAMA: Creating Opportunities for Municipalities to Produce and Operationalize Solid Waste Transformation (NAMA: COMPOST)” or by email at the following address ONLY: *(insert email address)* by *(time and date)*. Incomplete applications will be excluded from further consideration.

1. **Criteria for Selection of the Best Offer**

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.

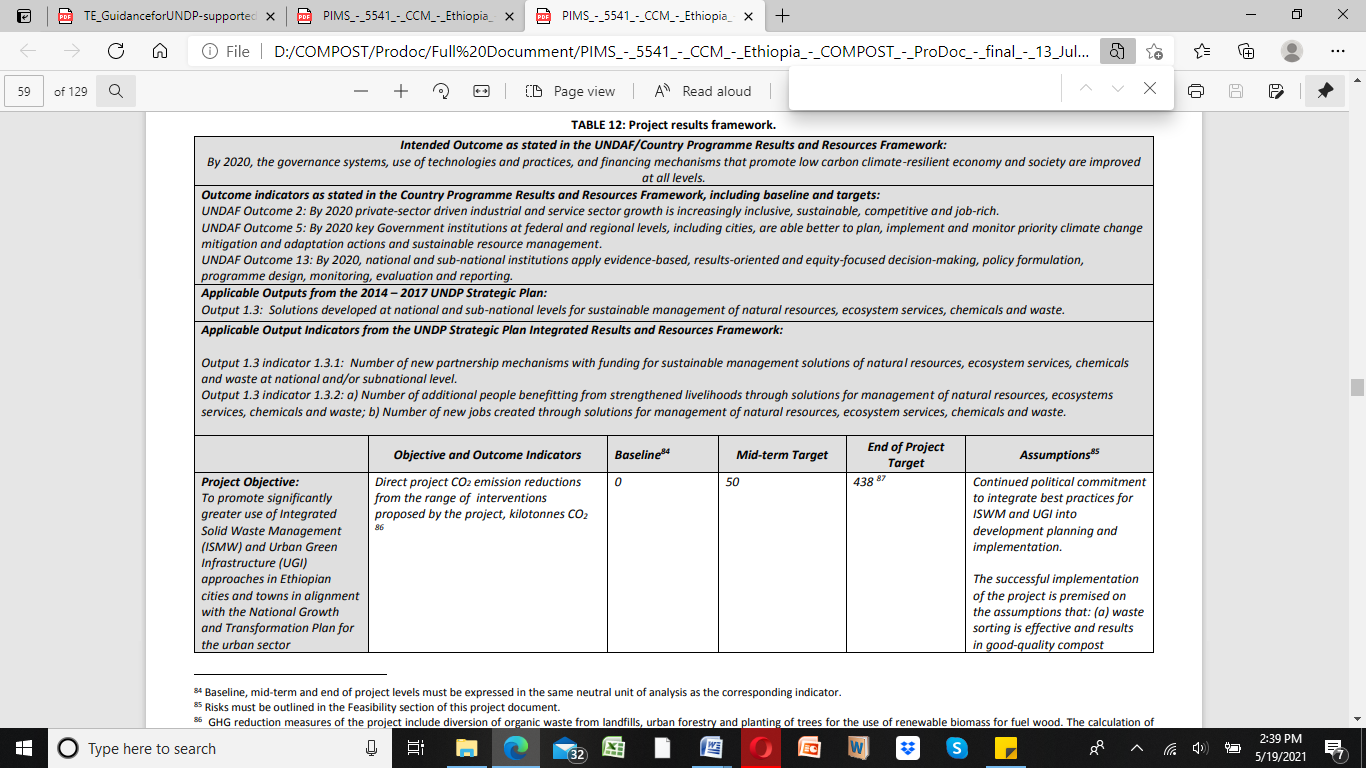
1. **Annexes to the TE ToR**

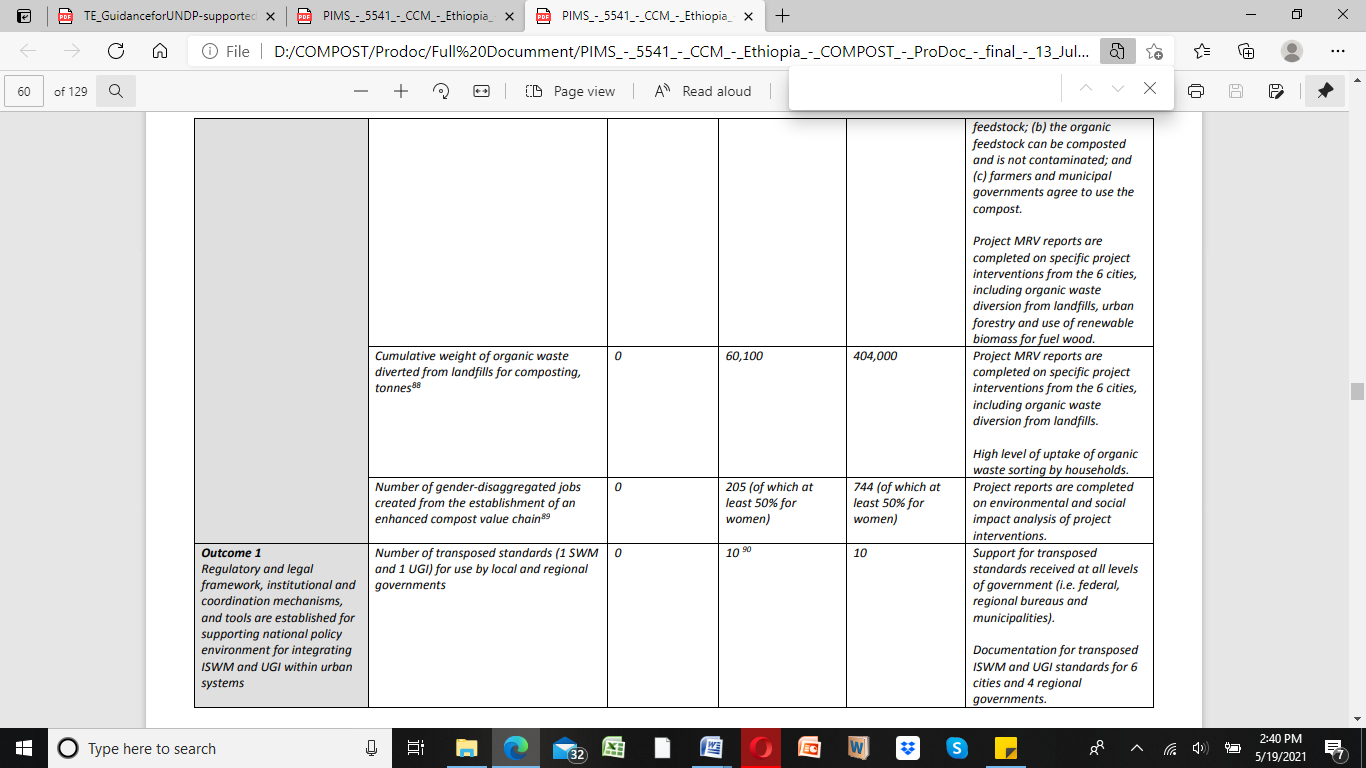
*Suggested ToR annexes include:*

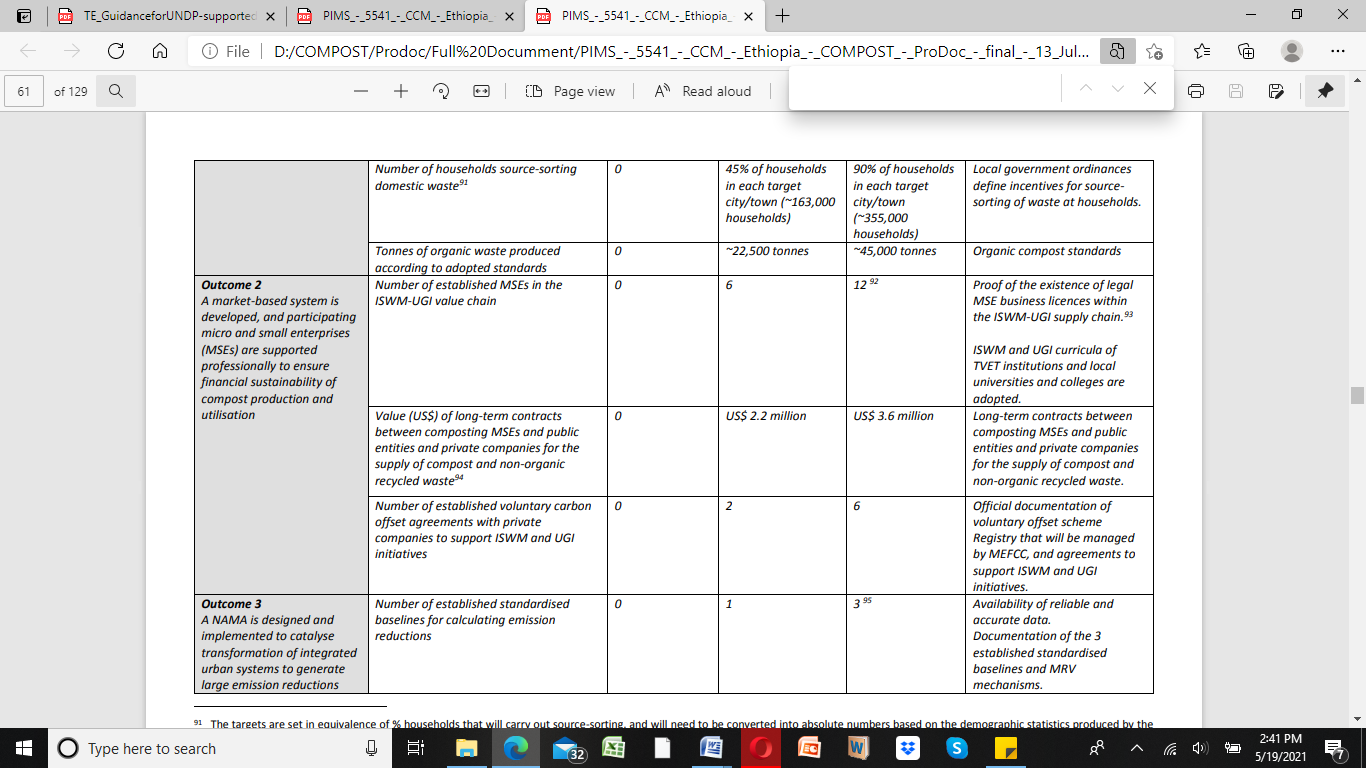
* ToR Annex A: Project Logical/Results Framework
* ToR Annex B: Project Information Package to be reviewed by TE team
* ToR Annex C: Content of the TE report
* ToR Annex D: Evaluation Criteria Matrix template
* ToR Annex E: UNEG Code of Conduct for Evaluators
* ToR Annex F: TE Rating Scales and TE Ratings Table
* ToR Annex G: TE Report Clearance Form
* ToR Annex H: TE Audit Trail template

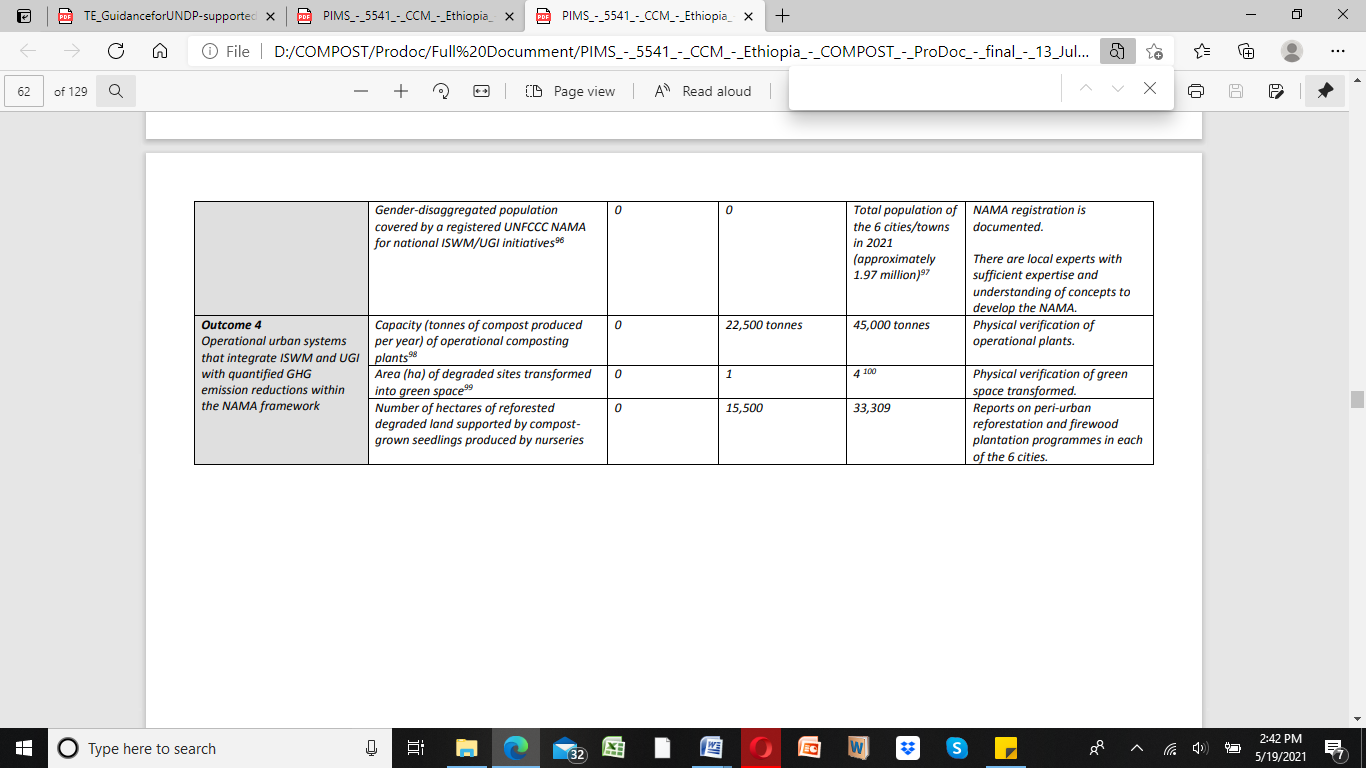
**Annexes to Terminal Evaluation Terms of Reference**

* **ToR Annex A: Project Logical/Results Framework**

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* **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 |
|  | *Additional documents, as required* |

* **ToR Annex C: Content of the TE report**

1. 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

1. Acknowledgements
2. Table of Contents
3. Acronyms and Abbreviations
4. 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

1. 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

1. 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

1. Findings

(in addition to a descriptive assessment, all criteria marked with (\*) must be given a rating[[9]](#footnote-9))

4.1 Project Design/Formulation

* 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
  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)
  1. 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

1. Main Findings, Conclusions, Recommendations & Lessons

* Main Findings
* Conclusions
* Recommendations
* Lessons Learned

1. 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? | | | |
| *(include evaluative questions)* | *(i.e. relationships established, level of coherence between project design and implementation approach, specific activities conducted, quality of risk mitigation strategies, etc.)* | *(i.e. project documentation, national policies or strategies, websites, project staff, project partners, data collected throughout the TE mission, etc.)* | *(i.e. document analysis, data analysis, interviews with project staff, interviews with stakeholders, etc.)* |
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| Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved? | | | |
|  |  |  |  |
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| 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 and TE Ratings Table**

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

* **ToR Annex G: TE Report Clearance For**

|  |
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| **Terminal Evaluation Report for** *(Project Title & UNDP PIMS ID*) **Reviewed and Cleared By:**  **Commissioning Unit (M&E Focal Point)**  Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  **Regional Technical Advisor (Nature, Climate and Energy)**  Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

**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** |
|  |  |  |  |  |
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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) [↑](#footnote-ref-1)
2. Access at: <http://web.undp.org/evaluation/guideline/section-6.shtml> [↑](#footnote-ref-2)
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 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> [↑](#footnote-ref-3)
4. Engagement of evaluators should be done in line with guidelines for hiring consultants in the POPP <https://popp.undp.org/SitePages/POPPRoot.aspx> [↑](#footnote-ref-4)
5. <https://intranet.undp.org/unit/bom/pso/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx> [↑](#footnote-ref-5)
6. <http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc> [↑](#footnote-ref-6)
7. See ToR Annex F for rating scales. [↑](#footnote-ref-7)
8. Access at: <http://web.undp.org/evaluation/guideline/section-6.shtml> [↑](#footnote-ref-8)
9. See ToR Annex F for rating scales. [↑](#footnote-ref-9)