

Terminal Evaluation Terms of Reference (ToR) for Improving Management Effectiveness of the Protected Area Network, South Africa

Location: South Africa
Application Deadline: 31 August 2021
Type of Contract: IC
Assignment Type: Consultancy
Languages Required: English
Starting Date: 15 September 2021
Duration of Initial Contract: 35 days
Expected Duration of Assignment: 9 weeks

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 Improving Management Effectiveness of the Protected Area Network (PIMS 4943) implemented through the South Africa National Parks (SANParks). The project started on the 29 June 2015 and is in its seventh year of implementation. The project has thus far received two extensions, the latter being from 01 July 2021 - 31 December 2021. The TE process must follow the guidance outlined in the document 'Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects' (http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf) and UNDP Evaluation Plan for the country office.

2. PROJECT BACKGROUND AND CONTEXT

The project's goal was to effectively conserve globally significant biodiversity in South Africa through cost-effective PA expansion and improved management effectiveness and financial sustainability of the PA system. The project objective is to protect the biodiversity of South Africa from existing and emerging threats through the development of a financially sustainable, effective and representative national protected area network and improved land use practices in buffers around parks with a focus on community benefits (especially job creation and stimulation of economic activity) and partnerships.

The project was designed to expand representation of globally important terrestrial habitats by establishing new Protected Areas (PAs) covering 197,000 ha. The Protected Area estate did not effectively represent the full range of globally important species and habitats in the three biodiversity hotspots in South Africa (Succulent Karoo, Cape Floral Kingdom and Maputaland Pondoland Albany Hotspot); and as a result, key critical biodiversity areas within these remained under protected and were at risk of loss or degradation of habitat from several factors. Traditional PA expansion through land purchase was no longer cost effective given the shrinking budgets of conservation agencies. Hence, the project focused on using low cost mechanisms for land acquisition and management in order to rapidly expand the PA network to secure globally important biodiversity. The project utilized contractual and stewardship arrangements with private and communal landowners, as well as transfers and formalization of conservation tenure of state land to rapidly expand the PA network. This is done both at a site level, and also across the PA network. A major focus is ensuring appropriate, cost-effective and efficient co-management of the low cost PA expansion areas, as well as ensuring these areas are fully integrated into the state PA network.

The project also sought to ensure that the current protected area estate was effectively managed in order not to reverse current conservation gains. Management effectiveness was intended to be increased on 1,100,000 ha through integrated management planning, monitoring, evaluation and improved PA buffer zone interventions. Last but not least, the project sought to ensure financial sustainability of the PA estate through reducing costs of expansion, improving cost efficiencies within PA management agencies, including improving the resilience of existing income streams, financial governance, and strengthening benefit-sharing arrangements.

The key outcomes are as follows:

Outcome 1: National protected area estate expanded by 197,000 ha over a baseline of 7.9 million ha, resulting in increased representation of the following globally important terrestrial habitats currently under-represented in the PA system.

Outcome 2.1: Improved PA management effectiveness delivers enhanced protection to 1,100,000 ha of new and existing protected areas.

Outcome 2.2: Improved PA management effectiveness through effective integrated interventions in buffer zones covering 100,000 ha around three national parks and/or provincial reserves through implementation of buffer zone policy and interventions including improved land use controls

Outcome 3.1: PA Expansion costs per hectare reduced by 60% over a baseline of US\$ 500/ha¹ by introducing partnerships for PA management and reducing direct purchase of state and other land for protected area expansion.

Outcome 3.2: To improve the financial sustainability of the expanded PA network by optimizing and diversifying revenue streams and by improving cost efficiencies.

The project is implemented in the following locations:

Name	Biodiversity Hotspot	Area	Conservation Agency
Richtersveld-coastal	Succulent Karoo	18,000 ha	SANParks
West Coast	Lowland Fynbos	12,000 ha	Cape Nature, SANParks and City of Cape Town
Western Cape forest exit areas	Fynbos	19,000 ha	Cape Nature, Boland and Southern Cape areas
Sneeuberg corridor linking Mountain Zebra and Camdeboo National Parks	Maputaland Pondoland Albany grassland	45,000 ha	SANParks
Eastern Cape interior	Maputaland Pondoland Albany grassland	30,000 ha	Eastern Cape Parks and Tourism Agency (ECPTA)
East Cape transfer and tenure formalization	Maputaland Pondoland Albany grassland	10,000 ha	ECPTA
Kruger to Canyons area	Maputaland Pondoland Albany grassland	60,000 ha	SANParks, Mpumalanga Tourism and Parks Agency (MTPA), Limpopo Department of Economic Development, Environment and Tourism

¹ Based upon land acquisition by SANParks & donors over last two years, inclusive of those to be completed

			(LEDET), Kruger to Canyons (K2C) biosphere region non-governmental organisation (NGO)
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The project had allocated the following budget at the time of project inception:

Total resources required US\$ 57,909,112.56

Total allocated resources: US\$ 9,350,000

- Regular US\$ 9,350,000
 - o GEF US\$ 8,550,000
 - o UNDP US\$ 800,000
- Other: US\$ 48,559,112.56
 - o SANParks US\$ 17,775,000
 - o MTPA US\$ 8,250,000
 - o CapeNature US\$ 7,200,000
 - o ECPTA US\$ 8,500,000
 - o LEDET US\$ 6,834,112.56

3. TE PURPOSE

The TE report will assess the achievement of project results against what was expected to be achieved, and draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming. Through generation of evidence and objective information, the TE will enable managers to make informed decisions and work strategically, even beyond project closure to ensure the sustainability of the project. Further, the TE will assess the impact of COVID-19 on the implementation of the project, especially relating to on-the-ground activities. The TE report promotes accountability and transparency, and assesses the extent of project accomplishments.

4. TE APPROACH & METHODOLOGY

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

The TE Consultancy 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 Tracking Tools submitted to the GEF at the CEO endorsement and midterm stages and the terminal 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, Implementing Partners, the UNDP Country Office, the Regional Technical Advisor, direct beneficiaries and other stakeholders.

This project was implemented simultaneously at three levels of PA management and low-cost expansion, namely at the national, agency and site levels. At the national level there were two key role players, i.e. the national Department of Forestry, Fisheries and Environment (DFFE) and the SANParks. SANParks took overall responsibility for project implementation and thus was accountable for both project and financial management. Project implementation was however managed in close collaboration with the project partners at the agency level and these were CapeNature, ECPTA, MTPA, LEDET and K2C.

At the time of project inception, additional stakeholders included: National Department of Public Works, National Department of Agriculture, Land Reform and Rural Development (DALRRD), Northern Cape Nature Conservation, Western Cape Provincial Department of Public Works, Department of Human Settlements (Western Cape), University of Witwatersrand Rural Research Facility, Agricultural Research Council, University of Pretoria, Nelson Mandela Metropolitan University, District and local municipalities at all sites, Local communities and Community institutions, Richtersveld Sida !hub Community Property Association (CPA), Richtersveld Gemeenskap Bestuurs Kommittee (RGBK), Private land owners, Wilderness Foundation, Richtersveld Cultural and Botanical Association (RCBA), Cape West Coast Biosphere Reserve, Greater Limpopo Transfrontier Conservation Area (GLTFCA), Association of Water and Rural Development (AWARD), UNDP as the implementation agency (IA) and DBSA as a development facilitator through direct funding.

Engagement of stakeholders is vital to a successful TE. Stakeholder involvement for the TE should include interviews with the above stakeholders who have project responsibilities, including but not limited to DFFE, SANParks, CapeNature, ECPTA, and K2C, executing agencies, senior officials and task team/component leaders, key experts and consultants in the subject area, Project Board, project beneficiaries, academia, local government and CSOs, etc. Additionally, the TE team is expected to conduct field missions to as many project sites as possible (there are seven project sites through the country, but not all of them are easily accessible). Some of these sites are very far from airports (sometimes a 5-6 hr drive). The project beneficiaries - those furthest behind - are located at the project sites. The TE team will be met and guided by project personnel on the ground.

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 such as persons with disabilities, human rights, socio-economic and environmental impact and SDGs are incorporated into the TE report.

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

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

4.1 COVID-19 considerations

COVID 19 has had a negative impact in the implementation rate of activities due to restricted travel. As of 10 August 2021, South Africa has a daily death rate of 189; and a 91.1% recovery rate. The number of confirmed cases of COVID-19 totals 75,201 deaths since the very start of the outbreak, as reported to WHO (see <https://sacoronavirus.co.za/>).

As of 10 August 2021, a total of 8,621,932 vaccine doses have been administered, indicating more than 10% vaccine penetration rate in the total population of the country.

Therefore, the TE methodology should take the above into account, and be prepared to be flexible with holding virtual meetings and possibly remote data collection techniques under the current pandemic.

The final methodological approach including interview schedule, field visits and data to be used in the TE should be clearly outlined in the Inception Report and be fully discussed and agreed first with UNDP.

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

If a data collection/field mission is not possible then remote interviews may be undertaken through telephone or online (skype, zoom etc.). International consultants can work remotely with national evaluator support in the field if it is safe for them to operate and travel. No stakeholders, consultants or UNDP staff should be put in harm's way and safety is the key priority.

A short validation mission may be considered if it is confirmed to be safe for staff, consultants, stakeholders and if such a mission is possible within the TE schedule. Equally, qualified and independent national consultants can be hired to undertake the TE and interviews in country as long as it is safe to do so.

Consultants are highly encouraged to travel to the sites. However, in case that COVID_19 travel restrictions will still be in place during the undertaking of the TE, SANParks (Project Management Unit, PMU) will ensure to facilitate virtual meetings are arranged. This will include interviews with key stakeholders at project sites to enable the TE team to get an actual feel of the situation on the ground. This immediate implication of the COVID 19 situation is that the TE consultants will need to do a lot of desk review. Additionally, the PMU will need to submit all the necessary documents so that the consultants are able to form a clear picture about the progress made on the project from the documentation. A further mitigation measure is that the TE team consists of two consultants, one of whom should be resident in South Africa, and able to travel to undertake domestic travel to project sites. It is important to note that this Assignment thus requires a TE team consisting of two individuals.

5. DETAILED SCOPE OF THE TE

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

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

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

Findings

i. Project Design/Formulation

- National priorities and country driven-ness
- Linkages to international and regional development goals and strategies, and UNDP corporate goals, priorities, and strategic plan as well as country programme document (CPD)
- Theory of Change
- Gender equality and women's empowerment, vulnerable groups
- Social and Environmental Standards (Safeguards), human rights
- Analysis of Results Framework: project logic and strategy, indicators,
- Assumptions and Risks
- Knowledge, good practice, past lessons from other relevant projects (e.g. same focal area) incorporated into project design
- UNDP and the county office's comparative advantage in the role envisioned by the project
- Planned stakeholder participation
- Linkages between project and other interventions within the sector
- Management arrangements

ii. Project Implementation

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

iii. Project Results

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

- Catalytic Role / Replication Effect
- Progress to impact

Main Findings, Conclusions, Recommendations and Lessons Learned

- The TE team will include a summary of the main findings of the TE report. Findings should be presented as statements of fact that are based on analysis of the data.
- The section on conclusions will be written based on 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, and impact on vulnerable groups.

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

ToR Table 2: Evaluation Ratings Table for *Improving Management Effectiveness of the Protected Area Network project (PIMS 4943)*

Monitoring & Evaluation (M&E)	Rating ²
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	

² 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)

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

6. TIMEFRAME

The total duration of the TE will be approximately 35 over a time period of (10 weeks) starting on (15 September 2021). Flexibility is inherent in the timeframe for the TE, with additional time for implementing the TE virtually, recognising possible delays in accessing stakeholder groups due to COVID-19. Consideration may be given to a time contingency should the evaluation be delayed in any way due to COVID-19. The tentative TE timeframe is as follows:

Timeframe	Activity
(25-31 August 2021)	Application period.
(1-7 September 2021)	Selection of TE team
(Week of 20 September 2021)	Preparation period for TE team (handover of documentation by PMU)
(20-24 September 2021)	Document review and preparation of TE Inception Report
(28-30 September 2021) 2 days	Finalization and Validation of TE Inception Report
(15 October 2021) 15 days (recommended 7-15)	TE mission: stakeholder meetings, interviews, field visits, etc.
(30 October 2021)	Mission wrap-up meeting & presentation of initial findings; earliest end of TE mission
(5 November 2021) 5 days (recommended 5-10)	Preparation of draft TE report
(15-20 November 2021)	Circulation of draft TE report for comments
(25 November 2021)	Incorporation of comments on draft TE report into Audit Trail & finalization of TE report
(30 November 2021)	Preparation and Issuance of Management Response
(05 December 2021) – last PSC meeting Pretoria/ Cape Town	Concluding Stakeholder Workshop (optional)
(30 November 2021)	Expected date of full TE completion

Options for site visits will be discussed at the Inception Meeting, and should be provided in the TE Inception Report.

7. TE DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	TE Inception Report	TE team clarifies objectives, methodology and timing of the TE	No later than 2 weeks before the TE mission: (30 September 2021)	TE team submits Inception Report to Commissioning Unit and project management

2	Presentation	Initial Findings	End of TE mission: (30 October 2021)	TE team presents to Commissioning Unit and project management
3	Draft TE Report	Full draft report (using guidelines on report content in ToR Annex C) with annexes	Within 3 weeks of end of TE mission: (10 November 2021)	TE team submits to Commissioning Unit; reviewed by RTA, Project Coordinating Unit, GEF OFF
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: (25 November 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.³

8. TE ARRANGEMENTS

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

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

9. TE TEAM COMPOSITION

A TE team of two evaluators will conduct the TE – one team leader (with experience and exposure to projects and evaluations in other regions) and one team expert, resident in South Africa. This assignment is envisaged as a single contract, aimed at attracting a TE team of two individuals described here. The team leader will be responsible for identifying a suitable team expert. The team leader will lead the overall design and writing of the TE report, etc. The team expert will work in a support function, and, assess emerging trends with respect to regulatory frameworks, budget allocations, capacity building, work with the Project Team in developing the TE itinerary, and where necessary, will support field visits especially in lieu of covid-19 restrictions. The team leader will be the holder of this contract, and will be responsible for the deliverables of the contract. The team expert (national) will report to the team leader, and will be accountable to the team leader.

³ Access at: <http://web.undp.org/evaluation/guideline/section-6.shtml>

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.

Team Lead credentials:

Education

- Master's degree in Biodiversity and Conservation, Protected Area Management, Resource Economics, Development Studies, Environmental Management, or other closely related field;

Experience

- Relevant experience with results-based management evaluation methodologies;
- Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- Competence in adaptive management, as applied to GEF 5 Biodiversity Focal Area - BD1: Improve Sustainability of Protected Area Systems and Management Effectiveness Tracking Tools (METT);
- Experience in evaluating projects;
- Experience working in South Africa;
- Experience in relevant technical areas for at least 10 years;
- Demonstrated understanding of issues related to gender, human rights and experience in gender responsive evaluation and analysis;
- Excellent communication skills;
- Demonstrable analytical skills;
- Project evaluation/review experience within United Nations system will be considered an asset.
- Experience with implementing evaluations remotely will be considered an asset.

Language

- Fluency in written and spoken English.

Experience

- Competence in adaptive management, as applied to Biodiversity
- Demonstrated understanding of issues related to gender and Biodiversity experience in gender responsive evaluation and analysis;

Second Team member credentials:

Education

- Master's degree in Biodiversity and Conservation, Protected Area Management, Resource Economics, Development Studies, Environmental Management, or other closely related field;

Experience

- Relevant experience with results-based management evaluation methodologies;

- Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- Experience in evaluating projects;
- Should be a South African national, based in South Africa;
- Experience working in South Africa
- Experience in relevant technical areas for at least five years;
- Understanding of issues related to gender, human rights and experience in gender responsive evaluation and analysis;
- Excellent communication skills;
- Demonstrable analytical skills;
- Project evaluation/review experience within United Nations system will be considered an asset.
- Experience with implementing evaluations remotely will be considered an asset.

Language

- Fluency in written and spoken English.
- Knowledge of an additional local language

Experience

- Competence in adaptive management, as applied to Biodiversity

10. EVALUATOR ETHICS

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

11. PAYMENT SCHEDULE

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

Criteria for issuing the final payment of 40%⁴:

⁴ 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

- 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.

In line with the UNDP's financial regulations, when determined by the Commissioning Unit and/or the consultant that a deliverable or service cannot be satisfactorily completed due to the impact of COVID-19 and limitations to the TE, that deliverable or service will not be paid.

Due to the current COVID-19 situation and its implications, a partial payment may be considered if the consultant invested time towards the deliverable but was unable to complete to circumstances beyond his/her control.

12. APPLICATION PROCESS⁵

Recommended Presentation of Proposal:

- a) **Letter of Confirmation of Interest and Availability** using the [template](#)⁶ provided by UNDP;
- b) **CV** and a **Personal History Form (P11 form)**⁷;
- c) Brief description of **approach to work/technical proposal** of why the team considers themselves as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
- d) **Financial Proposal** that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc), supported by a breakdown of costs, as per template attached to the [Letter of Confirmation of Interest template](#). If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

All application materials should be submitted to the address (insert mailing address) in a sealed envelope indicating the following reference "Consultant for Terminal Evaluation of Improving Management Effectiveness of the Protected Area Network PIMS 4943" or by email at the following address ONLY: (XXXXXXXXXXXX) by **(At 12:00 mid-day, on 31 August 2021)**. 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

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

⁵ Engagement of evaluators should be done in line with guidelines for hiring consultants in the POPP <https://popp.undp.org/SitePages/POPPRoot.aspx>

⁶<https://intranet.undp.org/unit/bom/psu/Support%20documents%20on%20lC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx>

⁷ http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc

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.

13. TOR ANNEXES

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

ToR Annex A: Project Logical/Results Framework

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 N/A
24	UNDP Country Programme Document (CPD)
25	List/map of project sites, highlighting suggested visits
26	List and contact details for project staff, key project stakeholders, including Project Board members, RTA, Project Team members, and other partners to be consulted
27	Project deliverables that provide documentary evidence of achievement towards project outcomes

ToR Annex C: Content of the TE report

- i. Title page
 - Title of UNDP-supported GEF-financed project
 - UNDP PIMS ID and GEF ID
 - TE timeframe and date of final TE report
 - Region and countries included in the project
 - GEF Focal Area/Strategic Program
 - Executing Agency, Implementing partner and other project partners
 - TE Team members
- ii. Acknowledgements
- iii. Table of Contents
- iv. Acronyms and Abbreviations
1. Executive Summary (3-4 pages)
 - Project Information Table
 - Project Description (brief)
 - Evaluation Ratings Table
 - Concise summary of findings, conclusions and lessons learned
 - Recommendations summary table
2. Introduction (2-3 pages)
 - Purpose and objective of the TE
 - Scope
 - Methodology
 - Data Collection & Analysis
 - Ethics
 - Limitations to the evaluation
 - Structure of the TE report
3. Project Description (3-5 pages)
 - Project start and duration, including milestones
 - Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope
 - Problems that the project sought to address, threats and barriers targeted
 - Immediate and development objectives of the project
 - Expected results
 - Main stakeholders: summary list
 - Theory of Change
4. Findings
(in addition to a descriptive assessment, all criteria marked with (*) must be given a rating⁸)
 - 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

⁸ See ToR Annex F for rating scales.

- Planned stakeholder participation
 - Linkages between project and other interventions within the sector
- 4.1 Project Implementation
- Adaptive management (changes to the project design and project outputs during implementation)
 - Actual stakeholder participation and partnership arrangements
 - Project Finance and Co-finance
 - Monitoring & Evaluation: design at entry (*), implementation (*), and overall assessment of M&E (*)
 - UNDP implementation/oversight (*) and Implementing Partner execution (*), overall project implementation/execution (*), coordination, and operational issues
 - Risk Management, including Social and Environmental Standards (Safeguards)
- 4.2 Project Results and Impacts
- Progress towards objective and expected outcomes (*)
 - Relevance (*)
 - Effectiveness (*)
 - Efficiency (*)
 - Overall Outcome (*)
 - Sustainability: financial (*), socio-economic (*), institutional framework and governance (*), environmental (*), and overall likelihood (*)
 - Country ownership
 - Gender equality and women's empowerment
 - Cross-cutting Issues
 - GEF Additionality
 - Catalytic/Replication Effect
 - Progress to Impact
5. Main Findings, Conclusions, Recommendations & Lessons
- Main Findings
 - Conclusions
 - Recommendations
 - Lessons Learned
6. Annexes
- TE ToR (excluding ToR annexes)
 - TE Mission itinerary, including summary of field visits
 - List of persons interviewed
 - List of documents reviewed
 - Evaluation Question Matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)
 - Questionnaire used and summary of results
 - Co-financing tables (if not include in body of report)
 - TE Rating scales
 - Signed Evaluation Consultant Agreement form
 - Signed UNEG Code of Conduct form
 - Signed TE Report Clearance form
 - *Annexed in a separate file:* TE Audit Trail

- *Annexed in a separate file:* relevant terminal GEF/LDCF/SCCF Core Indicators or Tracking Tools, as applicable

ToR Annex D: Evaluation Criteria Matrix template

Evaluative Criteria Questions	Indicators	Sources	Methodology
Relevance: How does the project relate to the main objectives of the GEF Focal area, and to the environment and development priorities a the local, regional and national level?			
<i>(include evaluative questions)</i>	<i>(i.e. relationships established, level of coherence between project design and implementation approach, specific activities conducted, quality of risk mitigation strategies, etc.)</i>	<i>(i.e. project documentation, national policies or strategies, websites, project staff, project partners, data collected throughout the TE mission, etc.)</i>	<i>(i.e. document analysis, data analysis, interviews with project staff, interviews with stakeholders, etc.)</i>
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?			
Efficiency: Was the project implemented efficiently, in line with international and national norms and standards?			
Sustainability: To what extent are there financial, institutional, socio-political, and/or environmental risks to sustaining long-term project results?			
Gender equality and women’s empowerment: How did the project contribute to gender equality and women’s empowerment?			
Impact: Are there indications that the project has contributed to, or enabled progress toward reduced environmental stress and/or improved ecological status?			
<i>(Expand the table to include questions for all criteria being assessed: Monitoring & Evaluation, UNDP oversight/implementation, Implementing Partner Execution, cross-cutting issues, etc.)</i>			

ToR Annex E: UNEG Code of Conduct for Evaluators

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

Evaluators/Consultants:

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

Evaluation Consultant Agreement Form

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

Name of Evaluator: _____

Name of Consultancy Organization (where relevant): _____

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at _____ (Place) on _____ (Date)

Signature: _____

ToR Annex F: TE Rating Scales

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

ToR Annex G: TE Report Clearance Form

Terminal Evaluation Report for <i>(Project Title & UNDP PIMS ID)</i> 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

