**Terminal Evaluation - Terms of Reference**

BRA/14/G32 – Sustainable Land Use Management in the Semiarid Region of Northeast Brazil (Sergipe)

**BASIC CONTRACT INFORMATION**

**Location:** Brazil

**Application Deadline:** September 03rd, 2021

**Category:** Land Degradation

**Type of Contract:** Individual Contract (IC).

**Assignment Type:** International Consultant.

**Languages Required:** Portuguese (basic) and English.

**Starting Date:** September 13th, 2021.

**Duration of Initial Contract:** 60 days.

**Expected Duration of Assignment:** 60 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 *BRA/14/G32 – Sustainable Land Use Management in the Semiarid Region of Northeast Brazil (Sergipe) (PIMS ID #3066 /* *GEF ID #5276)* implemented through the MMA (Ministério do Meio Ambiente - Ministry of Environment). The project started on the June 08th 2015 and is in its *6* 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’: [*http://web.undp.org/evaluation/guideline/documents/GEF/TE\_GuidanceforUNDP-supportedGEF-financedProjects.pdf*](http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf)*.*

##### **Project Description**

Brazil’s semiarid and dry sub-humid areas are considered Areas Susceptible to Desertification (ASD). These correspond closely to the Caatinga biome, occupy an area of 1.34 million km² and are home to 17% of Brazil’s population over 11 states, nine of which are in the Northeast (NE). The region has the world's greatest concentration of population in semiarid areas and houses 85% of Brazil’s poor. The NE Brazil has always been subject to periodic drought. The main anthropogenic drivers of land degradation (LD) in the NE-ASD are deforestation, driven principally by large and small scale agriculture, and the use of unsustainable farming and ranching practices. This is exacerbated by climate change- the NE of Brazil being the most vulnerable in South America according to IPCC scenario.

The objective of the Project BRA/14/G32– “Sustainable Land Use Management in the Semiarid Region of Northeast Brazil (Sergipe)” is to address land degradation (LD) in the state of the Sergipe in the Brazilian Northeast with a view to scaling up to the entire Semiarid region. It is designed to optimize and coordinate existing programs to engender sustainable land management (SLM), reverting land degradation in a state where 74.2% is susceptible to desertification and only 13% the original Caatinga vegetation remains.

The project proposes to strengthen the environmental governance framework to better address the main drivers of land degradation and desertification, focusing primarily on the escalating conflict of land uses and unsustainable agriculture practices where LD is causing soil erosion, soil nutrient depletion, damaging hydrological system integrity and undermining ecosystem services.

Key elements to be strengthened include land use planning and appropriate environmental licensing and oversight to avoid, reduce and mitigate land degradation. Through strengthened institutional and smallholder capacities and facilitation of access to funding, uptake of SLM practices will be increased and on-the-ground actions will be tried and tested in the Areas Susceptible to Desertification (ASD) in Sergipe state, where land degradation is highest. This territory is a state priority and is targeted nationally in a program to reduce hunger and poverty.

By reducing land degradation and maintaining vital ecosystem services, the project aims at improving livelihoods in an area with high poverty and social hardship, particularly in agrarian reform settlements. Strategic action at the national level through the Ministry of Environment's will enable this state's SLM governance model to be disseminated to other states, thereby facilitating replication across the entire Brazilian Semiarid region and evoking further global environmental benefits the middle and long term.

The Covid-19 pandemic has caused the suspension of all field activities since March 2020, and as the Project has a strong local implementation component, it had a major impact on the activities planned. In light of that situation, the project is implementing a series of mitigation, prevention and awareness-raising actions, However, all this effort came up against a major bottleneck which is local internet access, given the remote locations with low human development levels and scarce infrastructure, including energy, sanitation and internet access.

In terms of the overall national Covid-19 situation, Brazil is currently one of the world's epicenters, having recently reached 500,000 deaths with a high contamination rate. Vaccination is proceeding at a slow pace, and this means that we do not have forecasts in the field until at least the end of the year.

##### **TE Purpose**

The TE report will assess the achievement of project results against what was expected to be achieved and draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming. The TE report promotes accountability and transparency and assesses the extent of project accomplishments.

The results of the TE Report, including the analysis of the indicators and lessons learned, will serve the implementing partner (MMA/Government) and UNDP for the elaboration and contribution in future projects and public policies. In addition, the Project has built a solid network of partners and beneficiaries who will also be able to use these results in formulating their post-project work plans.

The scope and objectives of the TE must include aspects such as the impact of the results obtained by the project, they are: strengthening governance frameworks to combat land degradation processes, replication of SLM practices, recovery of degraded areas and increase in income and food security of the beneficiaries’ families, which will prove that, in addition to conserving biodiversity, the project has directly contributed to the livelihood of our target audience.

The impact of the Covid-19 pandemic on project outcomes will also be an important aspect of the TE.

**DUTIES AND RESPONSIBILITIES**

##### **TE Approach & Methodology**

The TE 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.

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 Advisors, 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 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, due to the situation of the Covid-19 pandemic in Brazil, there will be no field missions in this TE. However, the Project Management Unit will support and facilitate contacts and platforms for interviews with the stakeholders in each territory where the project operates.

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, however, 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 should be clearly outlined in the inception report and be fully discussed and agreed between UNDP, stakeholders and the TE team.

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 evaluation.

As of 11 March 2020, the World Health Organization (WHO) declared COVID-19 a global pandemic as the new coronavirus rapidly spread to all regions of the world. As external field missions are suspended in the Project, the TE team should develop a methodology that takes this into account to conduct the TE virtually and remotely, including by using remote interview methods and extended desk reviews, data analysis, surveys and evaluation questionnaires. This should be detailed in the TE Inception Report and agreed with the Commissioning Unit.

As the TE is to be entirely carried out virtually, considerations 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 technical advisor 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.

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 [*http://web.undp.org/evaluation/guideline/documents/GEF/TE\_GuidanceforUNDP-supportedGEF-financedProjects.pdf*](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

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
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
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 and worst 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 *consultant/team* shall prepare and submit:

* TE Inception Report: TE Consultant clarifies objectives and methods of the TE. TE Consultant submit the Inception Report to the Commissioning Unit and project management after the document analysis. Approximate due date: September 27th, 2021.
* Draft TE Report: TE Consultant submits full draft report with annexes *within 3 weeks* of the end of the TE interviews. Approximate due date: October, 18th, 2021.
* Final TE Report\* and Audit Trail: TE Consultant submit 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: October 29th, 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.[[1]](#footnote-1)

1. **TE Arrangements**

The Commissioning Unit and the Project Team will provide support to the operationalization of virtual / remote meetings and will provide the TE Consultant with an updated list of interested parties with contact details (phone and email), in addition to providing all online documentation as well as setting up stakeholder interviews for the TE Consultant.

1. **Duration of the Work**

The total duration of the TE will be approximately (average 25-35 working days) over a time period of 60 days starting September 13, 2021 and shall not exceed 90 days from when the TE consultant is hired. The tentative TE timeframe is as follows:

* September 03, 2021: Application closes
* September 06 to September 10, 2021: Selection of TE consultant
* September 13, 2021: Prep the TE consultant (handover of project documents)
* September 27, 2021: Document review, preparing and submit the TE Inception Report
* September 27 to October 15, 2021: Stakeholder meetings and interviews
* October 18, 2021: Preparing and submit of draft TE report
* October 18 to October 22, 2021: Circulation of draft TE report for comments
* October 25 to October 29, 2021: Incorporation of comments on draft TE report into Audit Trail & finalization of TE report
* November 01, 2021: Submit final TE report
* November 01 to November 12, 2021: Circulation of final TE report and approval

The expected start date of contract is September 13, 2021.

1. **Duty Station**

The TE Consultant will work home-based, with the remote support of the Commissioning Unit, who will provide support in the agendas with stakeholders and interviews with the beneficiaries in the territories.

**REQUIRED SKILLS AND EXPERIENCE**

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

A team of one independent consultant will conduct the will conduct the TE with experience and exposure to projects and evaluations in other regions globally. The consultant cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project’s related activities.

The consultant must complain with the following:

Mandatory criteria:

* Minimum 10 years of relevant professional experience;
* Previous experience with results‐based monitoring and evaluation methodologies;
* Technical knowledge;
* Competence in adaptive management;
* Demonstrated understanding of issues related to gender;
* Fluency in English with excellent writing skills;
* Experience applying SMART indicators and reconstructing or validating baseline scenarios;
* Project evaluation/review experience within United Nations system will be considered an asset;
* Experience with implementing evaluations remotely will be considered an asset.

Qualifying criteria:

* Post-Graduate in related areas of the TOR;
* Project evaluation/review experiences within United Nations system
* Experience of working on GEF evaluations;
* Work experience in field evaluations of with traditional peoples and communities;
* Experience working in Latin America;
* Fluency in written English and Knowledge of Portuguese.

Consultant Independence:

The consultants cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project’s related activities.

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.

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.

**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.);
* 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** or **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 (project title)” 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**

Annex 1. Project Logical/Results Framework

Annex 2: Project Information Package to be reviewed by TE team

Annex 3: Evaluation Report Clearance Form

Annex 4. UNEG Code of Conduct for Evaluators

Annex 5. TE Audit Trail

Annex 6. Sample Evaluation Criteria Matrix

Annex 7. TE Report Content Review Checklist

Annex 8. Summary of Actions for all TE Phases

Annex 9. Summary of Rating Scales

1. Access at: <http://web.undp.org/evaluation/guideline/section-6.shtml> [↑](#footnote-ref-1)