

Terminal Evaluation - Terms of Reference

BRA/14/G33 – (PIMS 4659) - Mainstreaming Biodiversity Conservation and Sustainable Use into NTFP and AFS production practices in Multiple-Use Forest Landscapes of High Conservation Value (Projeto Bem Diverso).

BASIC CONTRACT INFORMATION

Location: Brazil

Category: Energy and Environment (Land Degradation).

Type of Contract: Individual Contract (IC).

Assignment Type: International Consultant.

Languages Required: Portuguese (basic) and English.

Starting Date: September 27, 2021.

Duration of Initial Contract: 60 days.

Expected Duration of Assignment: 70 days.

BACKGROUND

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 *BRA/14/G33 - Mainstreaming Biodiversity Conservation and Sustainable Use into NTFP and AFS production practices in Multiple-Use Forest Landscapes of High Conservation Value (Projeto Bem Diverso)* (PIMS #4659) implemented through the EMBRAPA (Empresa Brasileira de Pesquisa Agropecuária). **The project started on the June 12th 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.

2. Project Description

The project's objective is to ensure that the biodiversity of Brazilian multiple-use forest landscapes of high conservation value is conserved through a strengthened sustainable use management framework for non-timber forest products (NTFP) and **agro-forestry systems (AFS)**. **It will support Brazil's goal of promoting the conservation and sustainable use of biodiversity while reducing poverty and increasing resilience in the rural areas, which are governmental objectives stated in public policies and programs.**

The project will conserve biodiversity in key forest landscapes - Amazon, Caatinga and Cerrado - all renowned for their outstanding global biodiversity significance but currently under threat from increasing land use pressures across production landscapes. It will address one of the key land use threats to these forests, which is forest degradation driven by small-scale farmers that employ traditional subsistence farming and extraction practices in and around forested areas throughout the landscape, including land clearing, over-exploitation of resources, and poor fire management. This is causing increased encroachment on forest habitats both in areas under conservation and in locations that are strategic for connectivity across the landscape with the result of gradual loss of the global environmental values in these areas. It will seek to facilitate a shift from these unsustainable agricultural practices to an approach that conserves the

biodiversity of multiple-use forest landscapes of high conservation value while meeting important social priorities and development goals.

The project will therefore focus on the development of a strengthened sustainable use management framework for sustainable NTFP and AFS production. This will be achieved through two Outcomes: 1) Governance and capacity building framework for up-scaling best practices for BD sustainable management and production, and 2) Market and financial frameworks for up-scaling for NTFP and AFS production in high-conservation value forest landscapes. By removing current risks and uncertainties, the project will contribute to the upscaling of sustainable NTFP and AFS production while at the same time enhancing the rights and roles of communities in the sustainable management of BD and improving their livelihoods. Up-scaling and integration of AFS production will provide more environmentally friendly forms of land use in a landscape-level mosaic, increasing connectivity of forest fragments and helping to maintain ecosystem services.

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 in 6 Citizenship Territories, it had a major impact on the activities planned for 2020. In light of that situation, the project is implementing a series of mitigation, prevention and awareness-raising actions, such as support for the local production of masks, various informational materials and webinars on prevention measures against Covid-19 in rural areas, as well as content for online training. 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 this context, the project sought options and prepared an accessibility plan for the main communities where it operates to carry out training, meetings and other online activities and in a safe way. The Project also approved an emergency travel plan that allows the displacement of beneficiaries within the territory itself, without crowding, and ensuring the continuity of field research and consolidated scientific data on the species. With these innovative solutions, the project is making progress towards meeting its indicators.

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.

3. TE Purpose

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

The results of the TE Report, including the analysis of the indicators and lessons learned, will serve the implementing partner (EMBRAPA/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. Given 2021 is the Project's last year, we are aligned with the Commissioning Unit's assess plan.

The scope and objectives of the TE must include aspects such as the impact of the results of the innovative technologies developed by the project, such as: sustainable management of minimal impact of priority species and agroecosystems, recovery of degraded areas, best manufacturing practices and solutions for the processing and commercialization of bioeconomy products, in addition to increasing

the income of the beneficiaries' families, which will prove that these technologies, in addition to conserving biodiversity, have directly contributed to the livelihoods of our target audience.

The impact of the Covid-19 pandemic will also be an important aspect of the TE. The project conducted studies to measure this impact on community enterprises and created innovative alternatives that are important to evaluate. In addition, the TE needs to assess whether there is need for improvement of these alternatives, or implementation tools, to UNDP and the implementing partner.

DUTIES AND RESPONSIBILITIES

4. 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 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 Advisors, direct beneficiaries and other stakeholders.

Engagement of stakeholders is vital to a successful TE1. 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.

¹ (link to stakeholder engagement in UNDP Eval Guidelines?)

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.

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
- 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

ii. Project Implementation

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

iii. Project Results

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

iv. 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.

6. 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.
- **Draft TE Report:** TE Consultant submits full draft report with annexes *within 3 weeks of the end of the TE interviews.*
- **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.*

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.**²

7. 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.

8. Duration of the Work

The total duration of the TE will be approximately (*average 35-45 working days*) over a time period of (*60 days*) starting (*September 27, 2021*) and shall not exceed five months from when the TE team is hired. The tentative TE timeframe is as follows:

- (*September 27th, 2021*): Prep the TE Consultant (handover of project documents)
- (*October 11th, 2021*): Document review, preparing and submit the TE Inception Report
- (*October 12th to October 22th, 2021*): TE Consultant: stakeholder meetings and interviews
- (*October 25th to November 05th, 2021*): Preparation of draft TE report
- (*November 05th to November 19th, 2021*): Circulation of draft TE report for comments
- (*November 19th to November, 23th, 2021*): Incorporation of comments on draft TE report into Audit Trail & finalization of TE report
- (*November, 23th, to November 27th, 2021*): Circulation of final TE report and approval

The expected date start date of contract is (*September 27, 2021*).

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

9. 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

10. 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 comply 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.

11. 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.

12. 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

13. 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.

14. Recommended Presentation of Proposal

- a) Letter of Confirmation of Interest and Availability using the [template](#) provided by UNDP;
- b) CV or Personal History Form ([P11 form](#));

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

All application materials should be submitted to the address (insert mailing address) in a sealed envelope **indicating the following reference “Consultant for Terminal Evaluation of (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.

15. Criteria for Selection of the Best Offer

Only those applications which are responsive and compliant will be evaluated. The evaluation criterion is the lowest global price, from the Short List provided by the Project with the endorsement of the Regional Technical Adviser of the UNDP/GEF of Panama with the candidates who fulfill the qualification requirements. The Candidate's CV must contain all the information regarding the minimum requirements for qualification, and by submitting the CV along with the Price Proposal, the candidate accepts the UNDP General Terms and Conditions.

16. Annexes to the TE ToR

Annex 1. Project Logical/Results Framework (Last PIR)

Annex 4. UNEG Code of Conduct for Evaluators

Annex 3. TE Audit Trail

Annex 4. Sample Evaluation Criteria Matrix

Annex 5. TE Report Content Review Checklist

Annex 6. Summary of Actions for all TE Phases

Annex 7. Summary of Rating Scales