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Terms of Reference for ICs and RLAs through /GPN ExpRes

Services/Work Description: Conduction of the Terminal Evaluation of GEF-funded Project

Project/Programme Title: BRA/16/G31 – (PIMS 5187) Fourth National Communication and Biennial Update Reports to the United Nations Framework Convention on Climate Change (UNFCCC).

Consultancy Title: Terminal Evaluation of project BRA/16/G31 – (PIMS 5187) Fourth National Communication and Biennial Update Reports to the United Nations Framework Convention on Climate Change (UNFCCC).

Duty Station: Brazil

Duration: 35 working days

Expected start date: August 10th, 2021

1. 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/16/G31 – (PIMS 5187) Fourth National Communication and Biennial Update Reports to the United Nations Framework Convention on Climate Change (UNFCCC) implemented by the Ministry of Science, Technology, and Innovations (MCTI) of Brazil. The project started on the 11 August 2016 and is in its final year of implementation. The TE process must follow the guidance outlined in the document ‘Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects:

http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf).

Project Background and Context

The world is currently facing the COVID-19 pandemic, which is affecting people everywhere and impacting global and local economic activity and transport systems, as well as causing unprecedented disruptions to daily life that undercut the societal fabric of opportunities for human interaction . In order to ensure the well-being and safety of UNDP’s staff and contractors, as well as to ensure no harm is done to partners, communities and interlocutors, the implementation of this TE shall be undertaken virtually, as outlined in “Evaluation Approach and Method” of this TOR.

The project was designed to: assist Brazil to prepare the Fourth National Communication (4NC) and Biennial Update Reports (BUR) required to meet obligations under the UNFCCC. The objective is to extend coverage of the annual Brazilian Inventory of Anthropogenic GHGs to period 1990-2016, focusing on the sectors/gases that have a significant share of GHG emissions and/or present a large degree of data uncertainty. Furthermore, Brazil’s description of



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national circumstances will be updated, as well as the steps to be taken or envisaged to implement the Convention. Finally, the project will continue to build institutional capacity for implementing the Convention in Brazil including undertaking activities related to climate change education and awareness.

This project was approved for a duration of 48 months by the GEF, commencing in August 2016 and terminating in August 2020. Two project extensions were granted: the first one on January 16th, 2020 extending project until August 11th, 2021, and a second extension in May 2021, extending the End Date to December 11th, 2021.

The following table summarizes key project information:

Project Title:	BRA/16/G31 – (PIMS 5187) Fourth National Communication and Biennial Update Reports to the United Nations Framework Convention on Climate Change (UNFCCC).			
GEF Project ID:	5378		<i>at endorsement (Million US\$)</i>	<i>at completion (Million US\$)</i>
UNDP Project ID:	00085388	GEF financing:	7,528,500.00	7,528,500.00
Country:	Brazil	IA/EA own:		
Region:	Latin America	Government:	22,585,500.00	22,585,500.00
Focal Area:	Climate Change	Other:	150,000.00	150,000.00
FA Objectives, (OP/SP):	CCM- 6 Outcome 6.1: Adequate resources allocated to support enabling activities under the Convention	Total co-financing:	22,735,500.00	22,735,500.00
Executing Agency:	Ministry of Science, Technology and Innovation (MCTI)	Total Project Cost:	30,264,000.00	30,264,000.00
Other Partners involved:		ProDoc Signature (date project began):	11/08/2016	-
		(Operational) Closing Date:	Proposed: 11/08/2020	Actual: 11/12/2021

TE Purpose

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

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the “Guidance for conducting terminal evaluations of UNDP-supported, GEF-Financed Projects”. The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

2. SCOPE OF WORK, RESPONSIBILITIES AND DESCRIPTION OF THE PROPOSED WORK



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TE Approach & Methodology

The TE report must provide evidence-based information that is credible, reliable and useful. The TE team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Social and Environmental Screening Procedure/SESP) the Project Document, project reports including annual PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based evaluation. The TE team will review the baseline tracking tools submitted to the GEF at the CEO endorsement and the terminal tracking tools that must be completed before the TE 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 Brazil Country Office, the Regional Technical Advisor, direct beneficiaries and other stakeholders.

Engagement of stakeholders is vital to a successful TE. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to organizations and persons listed below; 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. (See Annex H).

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

The final methodological approach including interview schedule 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 of the methods and approach of the evaluation.

Detailed Scope of the TE

The TE will assess project performance against expectations set out in the project's Logical Framework/Results Framework (see 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 Results Framework provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of relevance, effectiveness, efficiency, sustainability and impact. Ratings must be provided on the following performance criteria. The completed table must be included in the evaluation executive summary.



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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 Annex C.

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

Findings

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

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

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



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Main Findings, Conclusions, Recommendations and Lessons Learned

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

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

Monitoring & Evaluation (M&E)	Rating¹
M&E design at entry	
M&E Plan Implementation	
Overall Quality of M&E	
Implementation & Execution	Rating
Quality of UNDP Implementation/Oversight	
Quality of Implementing Partner Execution	
Overall quality of Implementation/Execution	
Assessment of Outcomes	Rating
Relevance	
Effectiveness	
Efficiency	
Overall Project Outcome Rating	
Sustainability	Rating
Financial resources	
Socio-political/economic	
Institutional framework and governance	

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



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Environmental	
Overall Likelihood of Sustainability	

3. Expected Outputs and Deliverables

The TE consultant shall prepare and submit:

#	Deliverable	Description	Timing	Responsibilities
1	TE Inception Report	TE Consultant clarifies objectives, methodology and timing of the TE	No later than 2 weeks before the TE task.	TE Consultant submits Inception Report 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 task.	TE Consultant submits to Commissioning Unit; reviewed by RTA, Project Coordinating Unit, GEF OFP
5	Final TE Report* + Audit Trail	Revised final report and TE Audit trail in which the TE details how all received comments have (and have not) been addressed in the final TE report (See template in ToR Annex H)	Within 1 week of receiving comments on draft report.	TE Consultant submits both documents to the Commissioning Unit

*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

4. Institutional arrangements/reporting lines

TE Arrangements

The principal responsibility for managing the TE resides with the Commissioning Unit. The Commissioning Unit for this project's TE is the UNDP Brazil Country Office. The Commissioning Unit will contract the evaluators. The Project Team will be responsible for liaising with the TE consultant to provide all relevant documents, to include a virtual itinerary of the confirmed stakeholder interviews.

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



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Duration of the Work

The total duration of the TE will be approximately **35 working days (wd)** over a time period of 9 weeks starting on August 10th, 2021. The tentative TE timeframe is as follows:

Timeframe	Activity
August 10, 2021	Preparation period for TE Consultant (handover of documentation)
August 11, 2021 (4 working days)	Document review and preparation of TE Inception Report
August 17, 2021 (2 working days)	Finalization and Validation of TE Inception Report; latest start of TE task.
August 19, 2021 (10 working days)	TE task: Virtual stakeholder meetings, interviews, etc.
September 2, 2021	Task wrap-up meeting & presentation of initial findings; earliest end of TE task.
September 6, 2021 (10 working days)	Preparation of draft TE report
September 20, 2021 (5 working days)	Circulation of draft TE report for comments
September 27, 2021 (3 working days)	Incorporation of comments on draft TE report into Audit Trail & finalization of TE report
September 29, 2021	Preparation and Issuance of Management Response
October 1, 2021	Expected date of full TE completion

The expected date start date of contract is 10/08/2021.

5. Experience and qualifications

I. Academic Qualifications:

- Master’s degree in Environmental Sciences, Agriculture, Engineering, Rural Development or other closely related field.

II. Years of experience:

- Minimum 10 years of relevant professional experience.
- Proven experience evaluating GEF projects.
- Relevant experience with results-based monitoring and evaluation methodologies.
- Experience applying SMART indicators and reconstructing or validating baseline scenarios.
- Technical knowledge in the targeted focal area(s).
- Experience working in the Latin America.
- Competence in adaptive management, as applied to Climate Change.
- Demonstrated understanding of issues related to gender Climate Change; experience in gender responsive evaluation and analysis.
- Excellent communication skills.
- Demonstrable analytical skills
- Project evaluation/review experiences within United Nations system
- Experience of working on GEF evaluations, especially with Climate Change/Energy.



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- Experience working in Brazil.

III. Language:

- Fluency in written and spoken English.
- Working knowledge in Spanish or Portuguese, with preference for Portuguese

IV. Competencies:

Corporate:

- Demonstrates integrity and fairness, by modeling the UN/UNDP's values and ethical standards.
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability.
- Excellent research skills; an ability to sift through large amounts of information to identify the relevant material;
- The ability to liaise with country officers and partners to collect relevant information.

Functional:

- Time management and organizational skills, with the ability to undertake multiple tasks and deliver under pressure.
- Ability to work independently and achieve quality results with limited supervision and within tight schedules.
- Ability to write in a clear and concise manner.
- Good teamwork and interpersonal skills.
- Excellent computer skills especially word processing software, and online collaboration platforms/tools.
- Demonstrates a strong capacity for innovation and creativity in providing strategic policy advice and direction.

Evaluator Ethics

The TE consultant 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.

6. Payment Modality

Payment to the individual contractor will be made based on the actual number of days worked, deliverables accepted and upon certification of satisfactory completion by the manager.



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#	Deliverable	Payment Percentage
1	MTR Inception Report	20% payment upon satisfactory delivery of the final TE Inception Report and approval by the Commissioning Unit.
2	Draft Final Report	35% payment upon satisfactory delivery of the draft TE report to the Commissioning Unit.
3	Final Report*	45% 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 45%:

- 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.

7. Annexes to the TE ToR

- 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 I : Tracking Tool