

Terms of Reference - Terminal Evaluation of Phase-out of Endosulfan in China Project

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 **medium-sized project** titled ***Phase-out of Endosulfan in China*** (PIMS #6054) implemented through the *FECO/Ministry of Ecology and Environment of China*. The project started on 9th May 2017 and is in its 4th year of implementation. The TE process must follow the guidance outlined in the document '[Guidance For Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects](#)'

2. Project Description

The four-year project will help China to fulfill the requirements of the Stockholm Convention. The project aims to address endosulfan phase out by biological control and alternative technologies in cotton pest management in China. The project will achieve this project objective through demonstration of biological control and alternative technologies in pilot locations that will lead to subsequent complete phase-out of endosulfan in China through the implementation of a national replication programme prepared under this project. The project, as outlined, is structured with four components:

Component 1 will strengthen institutional and management capacities to ensure efficient and effective project management.

Component 2 will develop and demonstrate integrated technical models of biological control and alternative technologies.

Component 3 covers the preparation of a national replication programme and work plan, when implemented, will achieve complete phase out of endosulfan in China.

Component 4 supports the monitoring and evaluation of the project and dissemination of experience and lessons learned, something that is seen as useful for other developing countries dealing with the issue globally. In addition, project management capacity at national and the demonstration locations will be strengthened to achieve implementation effectiveness and efficiency.

Project period:	48 months
Allocated resources from GEF:	US\$1,980,000

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 TE process must follow a collaborative and participatory approach ensuring close engagement with key participants including the Commissioning Unit (usually the UNDP Country Office), RTAs, Regional M&E Advisors, Country Office M&E Focal Points and Programme Officers, Government counterparts including the GEF Operational Focal Point (OFP), the Nature, Climate and Energy Vertical Fund Directorate, and other key stakeholders.

DUTIES AND RESPONSIBILITIES

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for 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.

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 Implementing Partner, Local PMO, 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. If a data collection/field mission is not possible, then remote interviews may be undertaken through telephone or online (skype, zoom etc.). International consultant can work remotely with national evaluator who will provide 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.

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. Travel to the country has been restricted since 2020 and travel in the country is also restricted. If it is not possible to travel to or within the country for the TE mission, then the TE team should develop a methodology that takes this into account the conduct of the TE virtually and remotely, including the use of 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.

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.

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

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.

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](#).

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 team clarifies objectives and methods of the TE no later than 2 weeks before the TE mission. TE team submits the Inception Report to the Commissioning Unit and project management. Approximate due date: *15 July 2021*
- **Presentation:** TE team presents initial findings to project management and the Commissioning Unit at the end of the TE mission. Approximate due date: *1 August 2021*
- **Draft TE Report:** TE team submits full draft report with annexes within 3 weeks of the end of the TE mission. Approximate due date: *20 August 2021*
- **Final TE Report*** and Audit Trail: TE team submits revised report, with Audit Trail detailing how all received comments have (and have not) been addressed in the final TE report, to the Commissioning Unit within 1 week of receiving UNDP comments on draft. Approximate due date: *15 September 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.²

7. TE Arrangements

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

The Commissioning Unit will contract the consultants 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.

8. Duration of the Work

The total duration of the TE will be approximately 30 working days over a time period of **(12 of weeks) starting 8 July** and shall not exceed five months from when the TE team is hired. The tentative TE timeframe is as follows:

- **15 June:** Application closes
- **16-20 June:** Selection of TE Team
- **7 July:** Prep the TE team (handover of project documents)
- **8 July:** 5 days: Document review and preparing TE Inception Report
- **15 July:** 3 days: Finalization and Validation of TE Inception Report- latest start of TE mission
- **22 July:** 7 days: TE mission: stakeholder meetings, interviews, field visits
- **30 July:** Mission wrap-up meeting & presentation of initial findings- earliest end of TE mission

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

- **1 August:** 10 days: Preparation of draft TE report
- **20 August:** Circulation of draft TE report for comments
- **27 August:** 3 days: Incorporation of comments on draft TE report into Audit Trail & finalization of TE report
- **28 August:** Preparation & Issue of Management Response
- **15 September:** Expected date of full TE completion

The expected date start date of contract is **25 June 2021**

9. TE Team Composition and Required Qualifications

A team of **two independent evaluators** will conduct the TE – one team leader with experience and exposure to projects and evaluations in other regions) and one team expert, usually from the country of the project. The team leader will be responsible for the overall design and writing of the TE report. The team expert will assess emerging trends with respect to regulatory frameworks, budget allocations, capacity building, work with the Project Team in developing the TE itinerary.

The evaluator(s) cannot have participated in the project preparation, formulation and/or implementation (including the writing of the project document), must not have a conflict of interest with the project's related activities.

The selection of evaluators will be aimed at maximizing the overall "team" qualities in the following areas:

Education

- Master's degree in Chemical science, Agricultural Technology and 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 Hazardous chemicals or Persistent Organic Pollutants (POPs).
- Experience in evaluating projects.
- Experience working in Asia.
- Experience in relevant technical areas for at least 8 years.
- Demonstrated understanding of issues related to gender and Persistent Organic Pollutants (POPs).
- 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.

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%

- 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

12. Scope of Price Proposal and Schedule of Payments

Financial Proposal:

- Financial proposals must be expressed in a lump-sum for the total duration of the contract including the professional fees, living allowances etc.; travel expenses will be reimbursed based on actual cost.
- The lump sum is fixed regardless of changes in the cost components.

13. Recommended Presentation of Proposal

- a) **Letter of Confirmation of Interest and Availability** using the [template](#) provided by UNDP;
- b) **CV** and a **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 online through the link attached in the advertisement or by email at the following address ONLY: jingjing.wang@undp.org by **15 June 2021**. Incomplete applications will be excluded from further consideration.

14. 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.

15. 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 and TE Ratings Table
- ToR Annex G: TE Report Clearance Form

- ToR Annex H: TE Audit Trail template