

## Terminal Evaluation - Terms of Reference

BRA/14/G31 - Production of sustainable, renewable biomass-based charcoal for the iron and steel industry in Brazil.

### BASIC CONTRACT INFORMATION

**Location:** Brazil

**Application Deadline:** September 03, 2021

**Category:** Mainstreaming environment and energy

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

**Assignment Type:** International Consultant

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

**Contract Starting Date:** September 27, 2021

**Duration of Initial Contract:** 67 days

**Expected Duration of Assignment:** 35 working days

### BACKGROUND

#### 1. Introduction

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<sup>1</sup>. 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.

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. These Terms of Reference (TOR) set out the expectations for the TE of the full-sized project titled BRA/14/G31 - Production of sustainable, renewable biomass-based charcoal for the iron and steel industry in Brazil (PIMS 4675 - Charcoal Project), implemented by the United Nations Development Programme (UNDP). The project started on the first quarter of 2016 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).

#### 2. Project Description

The project's objective is to reduce the greenhouse gas emissions from the iron and steel sector in the Brazilian State of Minas Gerais, by (i) developing and demonstrating enhanced, clean conversion

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<sup>1</sup> Guidance Note: Good practices during COVID-19. OECD/DAC and IEO/UNDP, April 2020.

technologies for renewable, biomass-based charcoal production, and (ii) implementing an effective, supportive policy framework.

The proposed Project is targeted at addressing the identified barriers that impede the clean and efficient conversion of (renewable) biomass resources to charcoal for the iron and steel sector in Brazil. The Project promotes the availability of sustainable, renewable biomass-based charcoal, produced efficiently and at a competitive cost level compared to mineral coke.

The budget of the project is US\$ 43,950,000, of which US\$ 7,150,000 is provided as a grant under GEF CCM-2 and CCM-3, and US\$ 36,800,000 is provided as co-financing by the Brazilian Government, in-kind and other.

#### Project Information Summary:

Project Title:	Production of sustainable, renewable biomass-based Charcoal for the iron and steel industry in Brazil.			
GEF Project ID:	4718	Budget:	at endorsement	at completion
UNDP PIMS ID:	4675	GEF financing:	\$ 7,150,000	
Country:	Brazil	Government:	\$ 33,600,000	
Region:	Latin America & the Caribbean	In-Kind:	\$ 2,900,000	
Focal Area:	Climate Change - Mitigation	Other:	\$ 300,000	
FA Objectives, (OP/SP):	<p>Outcome 1: A policy framework has been implemented to promote the use of renewable biomass-based charcoal by the I&amp;S sector, supported by an internationally recognized system for monitoring achieved GHG emission reductions.</p> <p>Outcome 2: The technology and human capacity base for clean charcoal conversion in Brazil is strengthened by technical assistance and targeted training.</p> <p>Outcome 3: Commercial charcoal production facilities are built under a competitive bidding mechanism to deliver objectively verifiable renewable biomass-based charcoal and GHG emission reductions</p>	Total co-financing:	\$ 36,800,000	
Executing Agency:	United Nations Development Program (UNDP)	Total Project Cost:	\$ 43,950,000	
Other Partners involved:	Ministry of Environment; Ministry of Science, Technology and Innovation; Ministry of Agriculture; Ministry of Economy; State Government of Minas Gerais.	ProDoc Signature:		June 12, 2015
		(Operational) Closing Date:	Proposed: 12 Dec 2021	Actual: 12 Dec 2021

The Project focuses on reducing the technology barrier as the sector lacks the specific knowledge to develop efficient charcoal conversion plants and implement them as a rational business. In addition, the

more advanced iron and steel companies were invited to invest in efficient charcoal conversion facilities by offering a financial incentive through a dedicated bidding procedure, and by facilitating project design and implementation through specialized technical assistance. The bidding process capitalizes on the progress made by private companies on clean charcoal production since 2009. The financial benefits for participants will offset the higher perceived risks related to early-market introduction and provide an acceptable rate on return for investors. The bidding process implies a change in approach compared to the PIF, which foresaw the Project taking the lead in the technology development process. The expected benefits of the bidding process include: (i) ability to foster and demonstrate several technologies and business contexts; (ii) market-pull approach rather than technology push; and (iii) greater cost-effectiveness. The new approach also avoids potential issues related to intellectual property, which turned out to be relevant.

Work in the field of policy and regulation pursues expanding the existing framework (which is primarily restrictive by banning non-renewable charcoal) by establishing positive incentives for renewable, clean, and resource-efficient charcoal production, and by facilitating implementation of advanced charcoal production facilities in Minas Gerais. In the end-of-project situation, I&S companies are expected to have readily access to information and technology, thereby supported by favorable regulation and incentives to foster investment in charcoal conversion. While some companies have embarked on an internal technology development programme, others may opt to acquire access to technology under appropriate intellectual property arrangements (such as licenses).

The Project will pursue its objective through the following components:

- I. Information and policy development
- II. Strengthening of technological development and human capacity.
- III. Investment and performance monitoring.

The scope of the Project consists in (i) bringing together government actors, industries, sector stakeholders and research institutes; (ii) constructing a clear path towards market transformation by policy development in Minas Gerais; (iii) providing assistance for technological development; and (iv) implement a first batch of commercial, advanced charcoal production facilities by providing specific financial incentives for the use of renewable charcoal.

### **3. Terminal Evaluation Purpose**

The Terminal Evaluation (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 the 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 UNDP for the elaboration of future projects and public policies.

## **DUTIES AND RESPONSIBILITIES**

### **4. TE Approach & Methodology**

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

The TE consultant 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 – PRODOC), 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 consultant 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 consultant 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. 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 consultant 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 consultant 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 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 consultant.

*Note: The evaluation team has the flexibility to determine the best methods and tools for collecting and analyzing data. For example, this TOR suggest using questionnaires and interviews, but the evaluation team can revise this approach in consultation with the evaluation manager and key stakeholders. These changes in approach should be agreed and reflected clearly in the TE Inception Report.*

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 consultant 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](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.

### i. Project Design/Formulation

- National priorities and country drivenness
- 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 consultant 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 consultant 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 10.

## **6. Expected Outputs and Deliverables**

The TE consultant 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: October 08, 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: November 03, 2021.
- Final TE Report\* and Audit Trail: TE consultant 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: November 23, 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.<sup>2</sup>

## **7. TE Arrangements**

The principal responsibility for managing the TE resides with the Commissioning Unit. The Commissioning Unit for this project's TE is *(in the case of single-country projects, the Commissioning Unit is the UNDP Country Office. In the case of regional projects and jointly-implemented projects, typically the principal responsibility for managing the TE resides with the country or agency or regional coordination body – please confirm with the RTA in the region – that is receiving the larger portion of GEF financing. For global projects, the Commissioning Unit can be the Nature, Climate and Energy Vertical Fund Directorate or the lead UNDP Country Office.)*

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

## **8. Team Composition**

A team of one independent evaluator will conduct the TE.

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

The selection of evaluators will be aimed at maximizing the overall "team" qualities as listed in the required skill and experience (item 11 below).

## **9. Duration of the Work**

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

The total duration of the TE will be approximately (average 25-35 working days) over a time period of 60 days starting September 03, 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 24, 2021: Selection of TE consultant
- September 27, 2021: Handover of documents to TE consultant
- September 27 to October 08, 2021: Review documents and prepare TE Inception Report
- October 08, 2021: Submit TE Inception Report
- October 11 to 22, 2021: Stakeholder meetings and interviews
- October 11 to November 03, 2021: Prepare draft TE report
- November 03, 2021: Submit draft TE report
- November 03 to 12, 2021: Circulation of draft TE report for comments
- November 15 to 23, 2021: Incorporation of comments on draft TE report into Audit Trail & finalization of TE report
- November 23, 2021: Submit final TE report
- November 23 to December 03, 2021: Circulation of final TE report and approval

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

## **10. 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**

### **11. TE consultant Composition and Required Qualifications**

A team of one independent consultant will conduct the TE with experience and exposure to projects and evaluations in other regions globally.

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 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.

## **12. 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.

## **13. Payment Schedule**

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**

### **14. 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.

### **15. 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.

### **16. 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.

### **17. Annexes to the TOR**

- Annex 1. Project Logical/Results Framework (Last PIR)
- Annex 2. 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

- Annex 8. Co-Financing Template for TE
- Annex 9. Evaluation Report Clearance Form
- Annex 10. Evaluation Ratings Table
- Annex 11. Guidance for TEs of UNDP-supported GEF-financed Projects
- Annex 12. COVID-19 links to useful guidance and documents
- Annex 13. Guidance for UNDP Virtual Evaluations during COVID-19