

ENERGY AND ENVIRONMENT FOR SUSTAINABLE DEVELOPMENT: OUTCOME EVALUATION TERMS OF REFERENCE



A. INTRODUCTION

1. Background

The growing demand for development effectiveness is largely based on the realization that producing good “deliverables” is simply not enough. Efficient or well-managed development projects and outputs will lose their relevance if they yield no discernible improvements in development conditions and ultimately in people’s lives. Being a key international development agency, the United Nations Development Programme (UNDP) has been increasing its focus on achievement of clearly stated results. Nowadays, results-based management (RBM) has become UNDP’s management philosophy.

As part of its efforts in enhancing RBM, UNDP has shifted from traditional project monitoring and evaluation (M&E) to results-oriented M&E, especially outcome monitoring and evaluation that cover a set of related projects, programmes and strategies intended to bring about a certain outcome. An outcome evaluation assesses how and why an outcome is or is not being achieved in a given country context, and the role that UNDP has played. Outcome evaluations also help to clarify underlying factors affecting the situation, highlight unintended consequences (positive and negative), recommend actions to improve performance in future programming, and generate lessons learned.

2. Description of the Outcomes to be evaluated

This particular evaluation will focus on the core goal of the MYFF and UNDAF Outcome no.3: Managing energy and environment for sustainable development. The country programme component that promotes energy and environment for sustainable development endeavors to strengthen the capacity of key stakeholders to implement the Environment and Natural Resources (ENR) framework road map for the next 10 years, harnessing the Philippines’ natural capital to meet its people’s needs and aspirations across generations. This programme will pursue activities on interventions that enhance the environment’s carrying capacity to support the country’s sustained economic growth, alleviating poverty in the process.

Under the MYFF, the programme component focuses on six key service lines: (i) frameworks and strategies for sustainable development; (ii) effective water governance; (iii) access to sustainable energy services; (iv) sustainable land management to combat desertification and land degradation; (v) conservation and sustainable use of biodiversity; (and (vi) national/sectoral policy and planning to control emissions of ozone-depleting substances and persistent organic pollutants. These service lines were initially selected to reflect areas where the UNDP country office has substantive on-going interventions. Initiatives undertaken under this component have strong linkage with poverty reduction, governance and crises prevention and strategically support key stakeholders in harnessing natural resources optimally, primarily through sustainable agriculture and industrial development.

Under the original CPAP two major components define the scope of interventions that are supported under the programme:

- (1) Policy and Programme Development for ENR Management and Sustainable Energy Development.

Outcome 1: Sustainable environment and energy policies especially with regard to agriculture and industrial development are in place and phases of implementation specified.

This outcome seeks to strengthen the compliance framework of enabling laws on ENR management through the formulation of overarching legislations that will define the rules and principles governing environment and natural resources and the advocacy for the passage of renewable energy law for sustainable energy development and utilization. Policy development and planning processes will be strengthened with the end view of institutionalizing protocols and guidelines and the standardization of science-based, gender balanced and inclusive policy making processes. Sub-sectoral investment planning, particularly for priority areas such as forestry and water sectors, will be given support. In the same manner, advocacy and an inclusive approach for CSO participation will be promoted in the course of developing the legislative agenda, policy formulation and implementation of the sectoral plans and programmes.

- (2) Capacity Development for Effective Environment and Energy Management

Outcome 2: Key stakeholders are better able to manage environment and natural resources, develop and use sustainable energy resources, cope with impacts of environmental emergencies and maintain sustainable development

The programme seeks to strengthen the capacities of key stakeholders to better manage the environment and natural resources: promote, develop and utilize energy in sustainable manner; and prepare for and respond appropriately to environmental emergencies in critical ecosystems in localities vulnerable to natural hazards. A multi-sectoral partnership strategy will be pursued aimed at ensuring the Energy and ENR sectors optimum functioning. Capacity development of the key stakeholders will be pursued simultaneously that would enable them to contribute equally to the achievements of the sector's goals and objectives. Capacity building for this program will be specific to partners' being able to participate, jointly plan and eventually recognize ownership in the course of implementing the ENR management interventions.

To be consistent with the UNDAF outcome statements, the above CPAP outcomes have been consolidated into one, as reflected by UNDAF outcome #3 – “By 2009, increased capacity of stakeholders to protect/enhance the quality of the environment and sustainably manage natural resources.” Similarly, the service lines adopted to cover the various activities under the programme component were scaled down to two (2) from the original six (6) that was identified i.e., (i) frameworks and strategies for sustainable development and (ii) access to sustainable energy services.

3.. Implementing and Responsible Partners

UNDP has been cooperating with the following partners in achieving development results the two areas mentioned above:

Implementing Partners: Department of Environment and Natural Resources (DENR), Department of Energy (DOE), Department of National Defense (DND), Foundation for the Philippine Environment (FPE), CARE Philippines, Streams of Knowledge, Department of Agriculture, Metro Manila Development Authority, National Economic and Development Authority

Responsible Partners:

Planning and Policy Office (PPO) - DENR
 Foreign Assisted and Special Projects Office (FASPO) - DENR
 Environmental Management Bureau (EMB) - DENR
 Forest Management Bureau (FMB) – DENR
 Mines and Geosciences Bureau (MGB) - DENR
 Protected Areas and Wildlife Bureau (PAWB) – DENR
 National Mapping and Resource Information Authority (NAMRIA) – DENR
 Philippine Sustainable Development Network (PSDN)
 Committee on Ecology - House of Representatives (HOR)
 Board of Investments (BOI) – Department of Trade and Industry
 Philippine Atmospheric Geophysical Service and Administration (PAGASA) –
 Department of Science and Technology (DOST)
 Philippine Institute of Volcanology and Seismology (PHIVOLCS) - DOST
 Department of Tourism (DOT)
 National Economic and Development Authority (NEDA)
 National Water Resources Board (NWRB)

Below is a list of UNDP-supported projects within the 2005-2009 CPAP which are related to the outcome and outputs mentioned above.

Table: Summary of UNDP-supported projects that are associated with the outcomes to be evaluated

ATLAS Project No. (Source of Funds)	Project Title	Implementing Partner
<i>I. ONGOING:</i>		
<i>a. CORE Funded Projects</i>		
00046766	ENR-CORE Programme	Department of Environment and Natural Resources (DENR)
00046854	ENR-CORE II Programme	DENR
<i>b. GEF Funded Projects</i>		
00014467	Samar Island Biodiversity Project (SIBP)	Protected Areas and Wildlife Bureau (PAWB) of the DENR
00014499	Capacity Building to Remove Barriers for Renewable Energy Devt.	Department of Energy (DOE)
00037339	2nd National Communication on Climate Change	Environmental Management Bureau (EMB) of the DENR

ATLAS Project No. (Source of Funds)	Project Title	Implementing Partner
00041692	Phil. Efficient Lighting Market Transformation Project(full project)	DOE
c. Other Non-CORE Resources		
00043024	Support to Fisheries Resources Management - MCS Patrol Boats	Bureau of Fisheries and Aquatic Resources (BFAR) of the Department of Agriculture (DA)
00043026	Support to Fisheries Resources Management - Bantay Dagat	BFAR/DA
00045148	RP-NET Dev Coop.	DEX
00052170	PPP in Water Service	STREAMs of Knowledge (an NGO)
00052397	READY II Multi Hazard Mapping	Office of Civil Defense, National Disaster Coordinating Council of the Department of National Defense (OCD/NDCC/DND)
00052471	READY II Comm Based Disaster Preparedness	OCD/NDCC/DND
00052473	READY II Mainstreaming DRR	OCD/NDCC/DND
00054988	Supporting PRF	DEX
00057016	Mainstreaming DRM	Regional Development Coordination Staff of the National Economic Development Authority (RDCC/NEDA)
00058270	Strategic National Action Plan on DRM	OCD/NDCC/DND
00058910	National Assessment on DRM Framework	OCD/NDCC/DND
d. GEF Funded Regional/Global Projects		
00039367	Devt & Implementation of Public-Private Partnership Seas of East Asia	DENR
00042931	PEMSEA	DENR
00051841	Strategy for the Seas of East Asia	DENR
00057358	PIMS 3918 Biodiversity MSP Global	PAWB/DENR
00057962	PIMS 3469 Implementation of SDS	DENR (executing agency: UNOPS)
00058544	PIMS 2596 POPs Medical Wastes	Department of Health
II. Completed		
a. GEF Funded Projects		
00014469	Sustainable Management of Mt. Isarog's Territories (SUMMIT) Project	CARE Philippines
00014471	Biodiversity Conservation and Management of the Bohol Marine Triangle	Foundation for the Philippine Environment (FPE)
00014479	Enabling Activity on Persistent Organic Pollutants (POPs)	Environmental Management Bureau of DENR
00014502	National Capacity Self Assessment (NCSA)	DENR and DA
b. Other Non-CORE Resources		
00014472	Community – based Solidwaste Management Programme	Metro Manila Development Authority (MMDA) and National Solidwaste Commission under DENR
00014473	Multi – purpose Pilot PV-Wind Project in Sicud, Palawan	Department of Energy (DOE)
00014481	Clean Development Mechanism	Environmental Management Bureau of DENR
00033498	Renewable Energy Village Power, New Ibajay	Department of Energy

B. OBJECTIVES OF THE EVALUATION

The outcome evaluation shall assess the following: (i) *outcome analysis* - what and how much progress has been made towards the achievement of the outcome (including contributing factors and constraints), (ii) *output analysis* - the relevance of and progress made in terms of the UNDP outputs (including an analysis of both project activities and soft-assistance activities¹), and (iii) *output-outcome link* - what contribution UNDP has made/is making to the progress towards the achievement of the outcome (including an analysis of the partnership strategy). The results of the outcome evaluation will be used for re-focusing the interventions during the remaining period of the current CPAP (as necessary) and guiding future programming of a similar nature.

C. SCOPE OF THE EVALUATION

This outcome evaluation will be looking at the relevance and contributions of UNDP project activities and soft-assistance efforts during the 2005-2009 CPAP with regard to the outcomes indicated above. Specifically, the outcome evaluation is expected to address the following issues:

Outcome analysis

- What are the current situation and possible trend in the near future with regard to the outcome?
- Whether has sufficient progress been achieved vis-à-vis the outcome as measured by the outcome indicator?
- What are the main factors (positive and negative) that affect the achievement of the outcome?

Output analysis

- Are the UNDP outputs still relevant to the outcome?
- Has sufficient progress been made in relation to the UNDP outputs?
- What are the factors (positive and negative) that affect the accomplishment of the outputs?
- Assessment of whether and how the environment-poverty nexus has been addressed and promoted in UNDP's activities; i.e. whether environmental protection activities take address livelihood issues and whether poverty alleviation interventions address environmental concerns;
- UNDP's ability to advocate best practices and desired goals; UNDP's participation in national debate and ability to influence national policies on sustainable development.

Output-outcome link

- Whether UNDP's outputs or other interventions can be credibly linked to the achievement of the outcome (including the key outputs, projects and assistance soft and hard that contributed to the outcome);
- What are the key contributions that UNDP has made/is making to the outcome (e.g. in promoting environmental governance and sustainable energy development in the Philippines)?
- What has been the role of UNDP soft-assistance activities in helping achieve the outcome?

¹ For UNDP, soft assistance activities include advocacy, policy advice/dialogue, and facilitation/brokerage of information and partnerships.

- With the current planned interventions in partnership with other actors and stakeholders, will UNDP be able to achieve the outcome within the set timeframe and inputs – or whether additional resources are required and new or changed interventions are needed?
- Whether UNDP's partnership strategy has been appropriate and effective; UNDP's capacity with regard to management of partnerships; UNDP's ability to bring together various partners across sectoral lines to address environmental concerns in a holistic manner?
- UNDP's ability to develop national capacity in a sustainable manner (through exposure to best practices in other countries, south-south cooperation, holistic and participatory approach); UNDP's ability to respond to changing circumstances and requirements in capacity development;
- What is the prospect of the sustainability of UNDP interventions related to the outcome (what would be a good exit strategy for UNDP)?

D. EXPECTED OUTPUT/DELIVERABLES FROM THE EVALUATION

The Evaluation Consultant will have the overall responsibility for the evaluation. His/her responsibilities shall include (but not limited to) the following:

- (1) Development of the methodology and specific action plan for the outcome evaluation
- (2) Implementation of the Outcome evaluation based on prescribed guidelines and approved methodology and action plan.
- (3) Conduct consultation and discussions or focus group discussions with key partners.
- (4) Documentation and consolidation of findings, insights and perspectives from the field evaluations including identification of critical factors, processes and decisions that have impacts to the overall development objectives; lessons learned in the achievement of the Outcome and identification of the good practices and recommendation of the same for possible replication in other areas.

The consultant will produce the following reports:

- (1) Inception report, to be submitted within two weeks from the start of services, outlining the proposed detailed approach including framework of analyses, methodology, reporting outline, work plan and budget;
- (2) Mid-stream report including field visit reports, meeting/activity reports and proceedings, as well as a summary of activities, insights and analysis of the period covered.
- (3) Draft final report complete with analysis and recommendations to improve future performance and;
- (4) Final report that takes into account the comments and suggestions by the relevant UNDP staff, partners and all stakeholders (see attached template of final report).

The key product expected from this outcome evaluation is a comprehensive analytical report (final report) in English that should, at least, include the following contents (please refer to the attached Annex 1 for the prescribed format of the report):

- Executive summary
- Introduction
- Description of the evaluation methodology
- An analysis of the situation with regard to the outcome, the outputs and the partnership strategy;

- Key findings (including best practice and lessons learned)
- Conclusions and recommendations
- Annexes: TOR, field visits, people interviewed, documents reviewed, etc.

E. METHODOLOGY OR EVALUATION APPROACH

Although it is generally the responsibility of the evaluation consultant to decide on the concrete evaluation methodology to be used, the following elements should be taken into account for the gathering and analysis of data:

- Desk review of relevant documents;
- Discussions with the Senior Management and programme staff of UNDP Manila;
- Interviews with and participation of partners and stakeholders; and
- Field visits to selected key projects as necessary.

F. REPORTING AND MANAGEMENT ARRANGEMENT

The Evaluation Consultant will seek directions and guidance primarily from the UNDP Assistant Resident Representative - Environment. The Evaluation Consultant shall coordinate with the Evaluation Focal Team composed of UNDP Programme Analyst and Associate whenever necessary in the accomplishment of his/her duties and responsibilities.

The Implementing Agencies and Responsible Parties shall cooperate and may be requested to assist the Consultant in providing necessary inputs to complete the evaluation exercise. The Evaluation Consultant is responsible in cooperation with UNDP Environment Unit in organizing consultation meetings related to the exercise.

G. TIMEFRAME

The duration of the work will be 2.0 months starting 1 August 2008 or depending on when the Evaluation Consultant is contracted on board.

The work of the Evaluation Consultant shall have the following milestones:

Deliverables	Timeframe
Submission of Inception Report and Proposed Annotated Outline	Within two weeks upon signing of the contract
Evaluation of Inception Report, Meetings, consultations, briefing/ orientation sessions with Evaluation Consultant and UNDP Governance Unit.	Upon submission of the inception report
Desk review, field visits and interviews.	3rd week of August 2008
Submission of Draft Final Report	2nd week of September 2008
Submission of Final Report.	3rd week of September 2008
Presentation to key stakeholders	4th week of September 2008

H. FEES

The consultant will be paid a lump sum, all-inclusive* fee of Two Hundred Fifty Thousand Pesos (PhP 250,000.00) payable as follows:

Terms of Payments		Amount in Php
Upon signing of contract	15%	37,500
Upon submission of inception report with annotated outline detailed work plan and budget estimates.	30%	75,000
Upon completion of the first draft of evaluation report.	35%	87,500
Upon submission, presentation and approval of the final evaluation report.	20%	50,000
Total	100%	250,000

*Inclusive of costs of travel, administration, communications, computer time, and incidental costs.

UNDP will shoulder meeting costs of consultation meetings and will reproduce copies of draft and final reports for distribution and meeting costs. Estimated budget is around USD1,500.00

I. QUALIFICATIONS OF EVALUATION CONSULTANT

- 1) Advanced University Degree, preferably in Development Management, Economics, and other related fields and at least five years of work experience in the field of sustainable environment and energy development, sound knowledge about results-based management
- 2) At least five (5) years of progressively responsible experience in planning, directing, coordinating and supervising various activities involved in development research, analysis, documentation, or other related work;
- 3) At least five (5) Years substantive experience in programme/project development, management or evaluation related to development with actual work on design and operation of monitoring and evaluation and performance analyses;
- 4) Familiarity with or exposure to a variety of development organizations including government agencies, private sector, donors, NGOs and POs, and academe;

The Evaluation Consultant should be self-driven, with clear understanding of work objectives, content and processes. He/she must be pro-active and be able to work independently. Objectivity, organization, methodical and people skills are essential in the outcome evaluation process.

References

- a. Country Programme Action Plan for 2005-2006
- b. Outcome Evaluation Guidelines

ANNEX 1

Suggested Outline of the Outcome Evaluation Report

This is a sample outline for an outcome evaluation report. It does not follow a prescribed format but simply presents one way to organize the information. Project evaluations should employ a similar structure and emphasize results, although they may differ somewhat in terms of scope and substance.

EXECUTIVE SUMMARY

- What is the context and purpose of the outcome evaluation?
- What are the main findings and conclusions, recommendations and lessons learned?

INTRODUCTION

- Why was the outcome selected for evaluation? (refer back to the rationale for including this outcome in the evaluation plan at the beginning of the Energy and Environment for Sustainable Development (EESD) Component of the Country Programme Action Plan)
- What is the purpose of the outcome evaluation? Is there any special reason why the evaluation is being done at this point in time? (is this an early, mid-term or late evaluation of the EESD Component of the CPAP)
- What products are expected from the evaluation? (should be stated in TOR)
- How will the evaluation results be used? (should be stated in TOR)
- What are the key issues addressed by the evaluation? (should be stated in the TOR)
- What was the methodology used for the evaluation? (should be stated in the TOR)
- What is the structure of the evaluation report? (how the content will be organized in the report)

THE DEVELOPMENT CONTEXT

- When and why did the EESD Component begin working towards this outcome and for how long has it been doing so? What are the problems that the outcome is expected to address?
- Who are the key partners for the outcome? The main stakeholders? The expected beneficiaries?

FINDINGS AND CONCLUSIONS

The findings and conclusions of the evaluation report should reflect the scope presented in the TOR. There should be some flexibility for the reviewer to include new issues that arise during the course of the evaluation. The findings and conclusions in the report will take their lead from the nature of the exercise. If the purpose of the outcome evaluation was to learn about the partnership strategy, the findings and recommendations may address issues of partnership more than the other elements listed below. If the purpose was for mid-course adjustments to outputs produced by the EESD Component, the report findings and conclusions might give some more emphasis to issues related to the EESD's contribution to the outcomes via outputs. The section on findings and conclusions should include the **ratings** assigned by the reviewer to the outcome, outputs and, if relevant, to the sustainability and relevance of the outcome.

The following questions are typical of those that must be answered by the findings and conclusions section of an outcome evaluation. They reflect the four categories of analysis.

1. Status of the outcome

- Has the outcome been achieved or have progress been made towards its achievement?
- Was the outcome selected relevant given the country context and needs, and UNDP ESSD's niche? (Presumably, if the outcome is within the RRF it is relevant; however, the outcome evaluation should verify this assumption.)

2. Factors affecting the outcome

- What factors (political, sociological, economic, etc.) have affected the outcome, either positively or negatively?
- How have these factors limited or facilitated progress towards the outcome?

3. ESSD contributions to the outcome through outputs

- What were the key outputs produced by UNDP that contributed to the outcome (including outputs produced by “soft” and hard assistance)?
- Were the outputs produced by the ESSD Component relevant to the outcome?
- What were the quantity, quality and timeliness of outputs? What factors impeded or facilitated the production of such outputs?
- How well did the ESSD Component use its resources to produce target outputs?
- Were the monitoring and evaluation indicators appropriate to link outputs to outcomes or is there a need to establish or improve these indicators?
- Did the ESSD Component have an effect on the outcome directly through “soft” assistance (e.g., policy advice, dialogue, advocacy and brokerage) that may not have translated into clearly identifiable outputs or may have predated ESSD’s full-fledged involvement in the outcome? (For example, was policy advice delivered by ESSD advisors over the course of several years on the advisability of reforming the public service delivery system and on the various options available? Could this have laid the groundwork for reform that subsequently occurred?)

4. ESSD partnership strategy

- What was the partnership strategy used by ESSD in pursuing the outcome and was it effective?
- Were partners, stakeholders and/or beneficiaries of ESSD assistance involved in the design of ESSD interventions in the outcome area? If yes, what were the nature and extent of their participation? If no, why not?

RECOMMENDATIONS

Flowing from the discussion above, the section on recommendations should answer the following question:

- What corrective actions are recommended for the new, ongoing or future ESSD work in the outcome?

LESSONS LEARNED

- What are the main lessons that can be drawn from the outcome experience that may have generic application?
- What are the best and worst practices in designing, undertaking, monitoring and evaluating outputs, activities and partnerships around the outcome?

ANNEXES

Annexes are to include the following: TOR, itinerary and list of persons interviewed and FGDs conducted, summary of field visits, questionnaire used and summary of results, list of documents reviewed and any other relevant material.