

TERMS OF REFERENCE

Name of service:	A team of 01 international consultant and 01 national consultant to conduct the final evaluation of “Viet Nam National Adaptation Plan (NAP) Development and Operationalization Support Project”		
Project:	Viet Nam National Adaptation Plan (NAP) Development and Operationalization Support Project		
Reporting to:	UNDP Viet Nam Evaluation Manager appointed by UNDP DRR		
Duty Station:	Home based, Hanoi	Travel Required:	No
Start Date:	8/1/2022	End Date:	9/10/2022

I. BACKGROUND & PROJECT DESCRIPTION

With its extensive coastline and deltaic plains, Viet Nam is considered to be among the most vulnerable countries to climate change globally. Extreme weather events such as typhoons and tropical storms have increased in intensity, magnifying socio-economic and health impacts on rural, urban, coastal, and mountain communities, and endangering critical transportation and drainage infrastructure. The Mekong Delta is one of the most susceptible deltas in the world to sea level rise.

To address climate change, the Government of Viet Nam developed a series of national climate change, green growth, and sustainable development policies, strategies, and action plans. One key planning instrument is the GoV’s National Strategy on Climate Change 2012-2020. To date, the government has been able to put in place several key climate change related decisions, including the landmark Plan for Implementation of the Paris Agreement in 2016 and approved its domestic National Adaptation Plan (NAP) in the year 2020. In addition, Viet Nam is among the first countries to have submitted its Updated Nationally Determined Contribution (NDC) to the UNFCCC in July 2020, which has a strong adaptation component.

The main readiness challenge in Viet Nam to effectively address climate change is the lack of capacity in government structures to effectively integrate climate change adaptation into plans and budgets at different levels and to design, operationalize, finance, and monitor adaptation actions. Barriers include lack of technical capacity to integrate data and information, and undertake assessments for adaptation planning, lack of capacity for appraising adaptation options in sector and provincial departments, ineffective inter-ministerial coordination, lack of active participation from private sector and local communities, lack of financing strategies, limited government and external resources, and lack of participatory and results-based monitoring and evaluation frameworks.

To address these barriers, the **Viet Nam National Adaptation Plan (NAP) Development and Operationalization Support Project (NAP-SUP)** is designed along the following outcomes:

- **Outcome 1:** Capacity for data integration enhanced and National Adaptation Plan (NAP) prepared and aligned with NDC review;
- **Outcome 2:** National adaptation plan and CCA integrated into national, subnational, and sectoral development plans and budget of priority sectors with private sector participation; and
- **Outcome 3:** Participatory results-based monitoring and evaluation mechanism developed and operationalized.

These three outcomes and their associated activities will contribute to the overall objective of the project, which is to *“establish an effective system to integrate climate change adaptation into government administration processes in the priority sectors.”* The priority sectors to be addressed under this proposal are: **Agriculture and Rural Development, Transport, Health, Natural Resources and Environment, and Planning and Investment**. The related ministries and sectors are key beneficiaries of this project.

Key project information:

PROJECT/OUTCOME INFORMATION		
Project/outcome title	Viet Nam National Adaptation Plan (NAP) Development and Operationalization Support Project (NAP-SUP)	
Atlas ID	00121188	
Corporate outcome and output	CPD Outcome 2: By 2021, Viet Nam has accelerated its transition to low-carbon and green development, and enhanced its adaptation and resilience to climate change and natural disasters, with a focus on empowering the poor and vulnerable groups	
Country	Viet Nam	
Date of grant agreement signed	19/12/19	
Grant effectiveness date	17 August 2020	
Project dates	Start	Planned end
	17 August 2020	15 November 2022
Project budget	USD 1,939,035.00	
Funding source	GCF	
Implementing party ¹	UNDP	
Line Ministries	Ministry of Natural Resources and Environment (MONRE), Ministry of Planning and Investment (MPI), Ministry of Agriculture and Rural Development (MARD), Ministry of Construction (MOC), Ministry of Health (MOH).	

¹ This is the entity that has overall responsibility for implementation of the project (award), effective use of resources and delivery of outputs in the signed project document and workplan.

II. EVALUATION PURPOSE

The UNDP Country Office in Viet Nam is commissioning this independent evaluation on the NAP-project to assess the implementation of the project towards the achievement of the project objectives and outcomes specified in the Project Document and the success towards achieving the intended results. This will capture evaluative evidence of its relevance, effectiveness, efficiency, sustainability, and incorporation of gender and other cross-cutting issues in an effort to assess the achievement of projects results against what was expected to be achieved.

The evaluation of the project will also cover assess the project's alignment with the UNDP Viet Nam Country Programme Document and subsequent revised versions. The evaluation is in line with the country Office Evaluation Plan and UNDP's evaluation policy.

The evaluation will ascertain how beneficiaries have benefited from the project interventions and what lessons could be learned that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming. The evaluation serves as an important accountability function, providing project implementers, national stakeholders and partners in Viet Nam with an impartial assessment of the results of NAP's intervention for further development of achievements and/or correction of relevant project stakeholders. Good practices can also be broadly shared for interested parties.

III. EVALUATION SCOPE

The evaluation will assess project performance against targets set out in the project results framework in the approved project document. The Terminal Evaluation (TE) will assess results according to the criteria outlined in the UNDP Evaluation Guidelines².

The evaluation will consider the outcomes and outputs as stated in the project document focused towards achieving the 3 outcomes set out in the project document.

NAP project has 3 components and outcomes as follow:

Outcome and Output	Sub-Outcomes
Outcome 1: Capacity for data integration enhanced and National Adaptation Plan (NAP) prepared and aligned with NDC review	Sub-outcome 1.1: Integrated Data and Analytical Capability Built in Priority Sectors (comprising of Activities 1.1.1 - 1.1.3)
Output 1: Capacity for data integration enhanced and National Adaptation Plan (NAP) prepared and aligned with NDC review.	Sub-outcome 1.2: NAP Developed, Consulted, and Disseminated (comprising or Activities 1.2.1 - 1.2.6)
Outcome 2: National adaptation plan and CCA integrated into national, subnational, and sectoral development plans and budget	Sub-outcome 2.1: Inter-ministerial Coordination Strengthened and Appraisal Capacity Built to Implement NAP Integration (comprising of Activities 2.1.1 – 2.1.3)

² UNDP Evaluation Guidelines: <http://web.undp.org/evaluation/guidance.shtml#handbook>

<p>of priority sectors with private sector participation</p> <p>Output 2: National adaptation plan and CCA integrated into national, subnational, and sectoral development plans and budget of priority sectors with Private Sector Participation</p>	<p>Sub-outcome 2.2: Background Study for a Financing Strategy for both Public and Private Investment in Adaptation Measures Prepared with Preliminary Project Pipeline (comprising of Activity 2.2.1)</p>
<p>Outcome 3: Participatory results-based monitoring and evaluation mechanism developed and operationalized</p> <p>Output 3: Participatory and results-based monitoring and evaluation (M&E) mechanism operationalized</p>	<p>Sub-outcome 3.1: Participatory and Result-Based M&E Framework Developed and Deployed in Priority Sectors (comprising of Activity 3.1.1)</p>

IV. EVALUATION QUESTIONS

The evaluation seeks to answer the following questions, focused around the evaluation criteria of relevance, effectiveness, efficiency and sustainability:

Relevance:

- How well has the project aligned with government and agency priorities?
- To what extent has NAP's selected method of delivery been appropriate to the development context?
- Has NAP project been influential in influencing national policies on climate change adaptation?
- To what extent was the theory of change presented in the outcome model a relevant and appropriate vision on which to base the initiatives?
- To what extent was the project in line with the UNDP Strategic Plan, CPD, UNDAF, United Nations Sustainable Development Cooperation Framework (UNSDCF), SDGs, and GCF strategic programming

Effectiveness:

- What evidence is there that the project has contributed towards an improvement in national government capacity, including institutional strengthening?
- Has the NAP project been effective in helping improve climate change adaptation planning across four priority sectors?
- To what extent have outcomes been achieved or has progress been made towards their achievement.
- What has been the contribution of partners and other organizations to the outcome, and how effective have the programme partnerships been in contributing to achieving the outcome?
- What were the positive or negative, intended or unintended, changes brought about during project implementation?

- What were the contributing factors and impediments that enhance or impede the project performance?
- To what extent did the project contribute to gender equality, the empowerment of women, and/or a human-rights based approach?

Efficiency:

- To what extent are the approaches, resources, models, conceptual framework relevant to achieve the planned outcomes?
- To what extent were quality outputs delivered on time?
- Has there been an economical use of financial and human resources and strategic allocation of resources (funds, human resources, time, expertise, etc.)?
- Did the monitoring and evaluation systems that the project has in place help to ensure that activities and outputs were managed efficiently and effectively?
- Were alternative approaches considered in designing the programme?

Sustainability:

- What is the likelihood that the project interventions are sustainable?
- What mechanisms have been set in place by the project to support the Government of Viet Nam through Climate Change Development Authority to sustain the results made through these interventions?
- To what extent has a sustainability strategy, including capacity development of key beneficiaries or national stakeholders, been developed or implemented?
- To what extent have partners committed to providing continuing support?
- What indications are there that the outcomes will be sustained, e.g., through requisite capacities (systems, structures, staff, etc.)?
- What opportunities for financial sustainability exist?
- How has the project developed appropriate institutional capacity (systems, structures, staff, expertise, etc.) that will be self-sufficient after the project closure date?

Impact:

- What has happened because of the project?
- What real difference has the activity made to the beneficiaries?
- How many people have benefited?
- Were there contributions to changes in policy/legal/regulatory frameworks, including observed changes in capacities (awareness, knowledge, skills, infrastructure, monitoring systems, etc.) and governance architecture, including access to and use of information (laws, administrative bodies, trust building and conflict resolution processes, information-sharing systems, etc.)?
- Discuss any unintended impacts of the project (both positive and negative) and assess their overall scope and implications.
- Identify barriers and risks that may prevent further progress towards long term impact;

- Assess any real change in gender equality, e.g. access to and control of resources, decision-making power, division of labor, etc.

The evaluation must also include an assessment of the extent to which the project design, implementation and monitoring have taken the following cross cutting issues into consideration:

Human rights:

- To what extent have women and other disadvantaged and marginalized groups benefitted from project's interventions?

Gender Equality:

- To what extent has gender been addressed in the design, implementation and monitoring of the project?
- To what extent has the project promoted positive changes in gender equality? Were there any unintended effects?
- How did the project promote gender equality and human rights in the delivery of outputs?

The evaluation team will include a summary of the main findings of the evaluation in the evaluation report. Findings should be presented as statements of fact that are based on analysis of the data.

A 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 evaluation 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 GCF, including issues in relation to gender equality and women's empowerment.

Recommendations should provide concrete, practical, feasible and targeted statements directed to the intended users of the evaluation about the actions and decisions to be taken. The recommendations should be specifically supported by the evidence and linked to the findings and conclusions around key questions addressed by the evaluation.

The evaluation report should also include lessons learnt during the project implementation 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 GCF and UNDP interventions. When possible, the evaluation 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.

V. METHODOLOGY

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

The evaluation will be carried out by an external team of independent evaluators comprised of an International and a National and will follow a participatory and consultative approach ensuring close engagement with a wide array of stakeholders and beneficiaries, including national and provincial government officials and staff, donors and others deemed necessary.

Evidence obtained and used to assess the results of project's interventions must be triangulated from a variety of sources, including verifiable data on indicator achievement, existing reports, evaluations and technical papers, stakeholder interviews, focus group discussion, surveys, and site visits. In the event where field mission is not possible due to COVID, then remote interviews may be conducted through telephone or online (skype, zoom etc). Under such situation, site visits will be carried out by the National Consultant.

These formalities will be agreed upon during contract discussions and finalized in the inception meeting. The specific design and methodology for the evaluation should emerge from consultations between the evaluation team and the above-mentioned parties regarding what is appropriate and feasible for meeting the evaluation purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. The evaluation 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 evaluation report.

The final methodological approach including interview schedule, site visits and data to be used in the evaluation must be clearly outlined in the evaluation Inception Report and be fully discussed and agreed between UNDP, stakeholders and the evaluation team.

The final report must describe the full evaluation 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.

The following steps in data collection are anticipated:

5.1 Desk Review

A desk review should be carried out of the key documents underpinning the project's scope of work. This includes reviewing the project document, different reports, country programme document as well as any other reports, to be provided by the project and UNDP Viet Nam Country Office.

5.2 Field Data Collection

Following the desk review, the national evaluator will build on the documented evidence through an agreed set of field and interview methodologies, including:

- Survey questionnaires where appropriate
- Interviews with key partners and stakeholders (Ministry of Natural Resources and Environment, Ministry of Planning and Investment, Ministry of Agriculture and Rural Development, Ministry of Transportation and Ministry of Health)
- Field visits to selected provinces and partner institutions (if required, noted that the project has no direct interventions at the provincial levels, but provincial technical departments are among the project beneficiaries for relevant trainings and policies, guidelines prepared by the project)
- Participatory observation and focus group discussions

VI. DELIVERABLES

The following reports and deliverables are required for the evaluation:

- Draft and Final Inception report
- Draft Evaluation Report
- Presentation at the validation workshop with key stakeholders, (partners and beneficiaries)

- Final Evaluation report

One week after contract signing, the evaluation team will produce a draft **inception report** clarifying the objectives, methodology and schedule of the evaluation. The inception report must include an evaluation matrix presenting the evaluation questions, data sources, data collection, analysis tools and methods to be used. **Annex 3** provides a simple matrix template. The draft inception report should detail the specific timing for evaluation activities and deliverables and propose specific site visits and stakeholders to be interviewed. Protocols for different stakeholders should be developed. The draft inception report will be discussed and agreed with the UNDP Viet Nam Country Office for finalization before the evaluation team/national evaluator proceed with provincial visits.

The **draft evaluation report** will be shared by the evaluation team to the UNDP Country Office, who will circulate the draft to stakeholders. The evaluation team will present the draft report in a validation workshop that the UNDP country office will organize. Feedback received from these sessions should be considered when preparing the final report. The evaluators will produce an ‘audit trail’ (Annex 7) indicating whether and how each comment received was addressed in revisions to the **final report**.

The suggested table of contents of the evaluation report is found in **Annex 2**

VII. EVALUATION TEAM COMPOSITION AND REQUIRED COMPETENCIES

The evaluation will be undertaken by a team of 2 external evaluators, a Team Lead (international consultant) and an Associate Evaluator (national consultant). The Team Lead will oversee the entire evaluation process, ensure its successful execution and be responsible for the final product. As the Team Lead, s/he will manage the national consultant. In addition to his/her direct reporting line to the international consultant, the National Consultant will rely on the project staff and stakeholders to prepare the ground for effective and efficient implementation of the evaluation.

The evaluators shall not 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 the project’s related activities.

Required Competencies and Qualifications of the Team Lead (International Consultant)

- Minimum Master’s degree in climate change adaptation, natural resource management/ environmental management/ business/ public administration other related disciplines.
- Minimum 7-10 years of relevant professional experience.
- Knowledge of UNDP and GEF/GCF monitoring and evaluation policies and guidelines
- Strong working knowledge of the UN and more specifically the work of UNDP in support of government;
- Sound knowledge of results-based management systems, and monitoring and evaluation methodologies; including experience in applying SMART (S Specific; M Measurable; A Achievable; R Relevant; T Time-bound) indicators;
- Demonstrated understanding of issues related to gender and climate change adaptation
- Excellent reporting and communication skills

The **Team Lead** will have overall responsibility for the quality and timely submission of the draft and final evaluation report. Specifically, the Team Lead will perform the following tasks:

- Lead and manage the evaluation mission;
- Develop the inception report, detailing the evaluation scope, methodology and approach;
- Conduct the project evaluation in accordance with the proposed objective and scope of the evaluation and UNDP evaluation guidelines;
- Manage the team during the evaluation mission, and liaise with UNDP on travel and interview schedules’
- Draft and present the draft and final evaluation reports;
- Lead the presentation of draft findings in the stakeholder workshop;
- Finalize the evaluation report and submit it to UNDP.

Required qualification of the Associate Evaluator (National Consultant)

No.	Description of Required Qualification	Score
1	Minimum master’s degree in the Climate Change, Natural Resource Management, Environment, International Development, or relevant discipline	200
2	At least 03 years of extensive experience (or 03 projects) in Monitoring and Evaluation in environment, climate change field. Monitoring and Evaluation Experience in adaptation projects would be preferred.	250 50
3	A deep understanding of the development context in Viet Nam and preferably an understanding of climate change/natural resource management issues within the country context	200
4	Experience working with UN, especially UNDP in evaluating GEF/GCF funded projects or any other assignment	100
5	Experience working with governmental agencies such as MONRE, MPI, MARD, etc.	100
6	Excellent reading and writing skills in English (at least two relevant reports attached as evidence)	100
	TOTAL	1000

The Associate Evaluator will, *inter alia*, perform the following tasks:

- Review documents;
- Participate in the design of the evaluation methodology;
- Assist in carrying out the evaluation in accordance with the proposed objectives and scope of the evaluation;
- Draft related parts of the evaluation report as agreed with the Evaluation Manager;
- Assist the Evaluation Team Leader to finalize the draft and final evaluation report.
- Perform any task assigned to him/her by the Evaluation Team Leader
- Provide translation for the team leader at meetings;

VIII. EVALUATION ETHICS

The evaluation must be carried out in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation' and sign the Ethical Code of Conduct for UNDP Evaluations. In particular, evaluators must be free and clear of perceived conflicts of interest. Interested consultants will not be considered if they were directly and substantively involved, as an employee or consultant, in the formulation of UNDP strategies and programming relating to the project under review. The code of conduct and an agreement form to be signed by each consultant are included in **Annex 4**.

IX. IMPLEMENTATION ARRANGEMENTS

The UNDP CO will select the evaluation team through standard UNDP procurement processes and will be responsible for the management of the evaluators. The Evaluation Manager will be appointed by UNDP DRR to manage the entire evaluation process (e.g., providing relevant documentation, arranging visits/interviews with key informants, etc.) in collaboration with the Project Team. The CO Management will take responsibility for the approval of the final evaluation report. The Evaluation Manager will arrange introductory meetings within the CO and the DRR or his designate and will establish initial contacts with partners and project staff. The consultants with the support of the Evaluation Manager and the Project Team will take responsibility for setting up meetings and conducting the evaluation, subject to advanced approval of the methodology submitted in the inception report. The CO management will develop a management response to the evaluation within two weeks of report finalization.

For the quality of the evaluation, an Advisory Panel comprising of representative from Operation, Finance and Budget Unit, Project Manager and a Representative from the Implementing Partner will be established. This Panel will review the inception report and the draft evaluation report to provide detail comments related to the quality of methodology, evidence collected, analysis and reporting. The Panel will also advise on the conformity of evaluation processes to the UNEG standards. The evaluation team is required to address all comments of the Panel completely and comprehensively. The Evaluation Team Leader will provide a detail rationale to the advisory panel for any comment that remain unaddressed.

The evaluation team will use a system of ratings standardizing assessments proposed by the evaluators in the inception report. The evaluation acknowledges that rating cannot be a standalone assessment, and it will not be feasible to entirely quantify judgements. Performance rating will be carried out for the four evaluation criteria: relevance, effectiveness, efficiency and sustainability.

While the Country Office will provide some logistical support during the evaluation, for instance assisting in setting interviews with senior government officials, it will be the responsibility of the evaluators to logistically and financially arrange their travel to and from relevant project sites and to arrange most interviews. Planned travels and associated costs will be included in the Inception Report and agreed with the Country Office.

X. TIME-FRAME FOR THE EVALUATION PROCESS

The evaluation is expected to take over a period of five weeks starting on 01 August 2022. The final draft evaluation report is due the 15 September 2022. The following table provides an indicative breakout for activities and delivery:

Activity	Deliverable	Work day allocation		Expected Date of Completion
		Team Lead	Associate Evaluator	
Review materials and develop work plan	Inception report and evaluation schedule	3	4	05 August 2022
Participate in an Inception Meeting with UNDP Viet Nam country office				
Draft inception report, consult with UNDP Viet Nam and finalize the report				
Review Documents and stakeholder consultations	Draft evaluation report Stakeholder workshop presentation	12	15	25 August 2022
Interview stakeholders				
Conduct field visits				
Analyse data				
Develop draft evaluation and lessons report to Country Office				
Present draft Evaluation Report and lessons at Validation Workshop	Final evaluation report	5	6	10 September 2022
Finalize and submit evaluation and lessons learned report incorporating additions and comments provided by stakeholders together with Audit Trails completed.				
	total	20	25	5 weeks

XI. FEES AND PAYMENTS

Interested consultants should provide requested fee rates when submitting the expression of interest, in USD for international expert and VND for national expert. s. Travel costs and daily allowances if arising and upon UNDP approval will be paid following UNDP standard rate for international for International Consultant and EU – UN Guidelines for Financing of Local Costs in Development Cooperation with Viet Nam (Cost Norm, 2022) for National Consultant. Fee payments will be made upon acceptance and approval by the UNDP Country Office of planned deliverables, based on the following payment schedule:

Inception report and Draft Evaluation Report	40%
Final Evaluation Report + completed Audit Trail	60%

XII. TOR ANNEXES

- ToR Annex 1: Project Information Package to be reviewed by TE team
- ToR Annex 2: Content of the TE report
- ToR Annex 3: Evaluation Criteria Matrix template
- ToR Annex 4: Ethical Code of Conduct for Evaluators
- ToR Annex 5: TE Rating Scales
- ToR Annex 6: TE Report Clearance Form
- ToR Annex 7: TE Audit Trail

XIII. ANNEXES:

XIV. ANNEX 1: PROJECT INFORMATION PACKAGE TO BE REVIEWED BY TE TEAM

#	Item (electronic versions preferred if available)
1	Final NAP Project Document with all annexes
2	UNDP Social and Environmental Screening Procedure (SESP) and associated management plans (if any)
3	Inception Workshop Report
4	All Project biannual interim progress Reports (IPRs)
5	Progress reports (quarterly, semi-annual or annual, with associated workplans and financial reports)
6	Oversight mission reports
7	Minutes of Project Board Meetings and of other meetings (i.e. Project Appraisal Committee meetings)
8	Financial data, including actual expenditures by project outcome, including management costs, and including documentation of any significant budget revisions
9	Audit reports
10	Electronic copies of project outputs (booklets, manuals, technical reports, articles, etc.)
11	Sample of project communication materials
12	Summary list of formal meetings, workshops, etc. held, with date, location, topic, and number of participants
13	Any relevant socio-economic monitoring data, such as average incomes / employment levels of stakeholders in the target area, change in revenue related to project activities
14	List of contracts and procurement items over ~US\$5,000 (i.e. organizations or companies contracted for project outputs, etc., except in cases of confidential information)
15	List of related projects/initiatives contributing to project objectives approved/started after GCF project approval (i.e. any leveraged or “catalytic” results)
16	Data on relevant project website activity – e.g. number of unique visitors per month, number of page views, etc. over relevant time period, if available
17	UNDP Country Programme Document (CPD)
18	List and contact details for project staff, key project stakeholders, including Project Board members, RTA, Project Team members, and other partners to be consulted

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| 19 | Project deliverables that provide documentary evidence of achievement towards project outcomes |
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XV. ANNEX 2³: CONTENT OF THE TE REPORT

i. Title page

- Title of UNDP-supported GCF-financed project
- UNDP PIMS ID and GCF ID
- TE timeframe and date of final TE report
- Region and countries included in the project
- GCF Focal Area/Strategic Program
- Executing Agency, Implementing partner and other project partners
- i. TE Team members ii. Acknowledgements iii. Table of Contents iv. Acronyms and Abbreviations v. Executive Summary (3-4 pages)
- Project Information Table
- Project Description (brief)
- Evaluation Ratings Table
- Concise summary of findings, conclusions and lessons learned
- Recommendations summary table

2. Introduction (2-3 pages)

- Purpose and objective of the TE
- Scope
- Methodology
- Data Collection & Analysis
- Ethics
- Limitations to the evaluation
- Structure of the TE report

3. Project Description (3-5 pages)

- Project start and duration, including milestones
- Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope
- Problems that the project sought to address threats and barriers targeted
- Immediate and development objectives of the project
- Expected results
- Main stakeholders: summary list
- Theory of Change

4. Findings

(in addition to a descriptive assessment, all criteria marked with (*) must be given a rating2)

4.1 Project Design/Formulation

- Analysis of Results Framework: project logic and strategy, indicators
- Assumptions and Risks

³ See ToR Annex F for rating scales.

- 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

4.1 Project Implementation

- Adaptive management (changes to the project design and project outputs during implementation)
- Actual stakeholder participation and partnership arrangements
- Project Finance
- Monitoring & Evaluation: design at entry (*), implementation (*), and overall assessment of M&E (*)
- UNDP implementation/oversight (*) and Implementing Partner execution (*), overall project implementation/execution (*), coordination, and operational issues

4.2 Project Results

- Progress towards objective and expected outcomes (*)
- Relevance (*)
- Effectiveness (*)
- Efficiency (*)
- Overall Outcome (*)
- Country ownership
- Gender
- Other Cross-cutting Issues
- Social and Environmental Standards
- Sustainability: financial (*), socio-economic (*), institutional framework and governance (*), environmental (*), and overall likelihood (*)
- Country Ownership
- Gender equality and women's empowerment
- Cross-cutting Issues
- GCF Additionality
- Catalytic Role / Replication Effect
- Progress to Impact

5. Main Findings, Conclusions, Recommendations & Lessons

- Main Findings
- Conclusions
- Recommendations
- Lessons Learned

6. Annexes

- TE ToR (excluding ToR annexes)
- TE Mission itinerary
- List of persons interviewed
- List of documents reviewed
- Summary of field visits
- Evaluation Question Matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)
- Questionnaire used and summary of results

- Co-financing tables (if not include in body of report)
- TE Rating scales
- Signed Evaluation Consultant Agreement form
- Signed UNEG Code of Conduct form
- Signed TE Report Clearance form
- *Annexed in a separate file:* TE Audit Trail
- *Annexed in a separate file:* relevant terminal GCF/LDCF/SCCF Core Indicators or Tracking Tools, as applicable

XVI. ANNEX 3: EVALUATION CRITERIA MATRIX TEMPLATE

Evaluative Criteria Questions	Indicators	Sources	Methodology
Relevance: How does the project relate to the main objectives of the GCF Focal area, and to the environment and development priorities at the local, regional and national level?			
<i>(include evaluative questions)</i>	<i>(i.e. relationships established, level of coherence between project design and implementation approach, specific activities conducted, quality of risk mitigation strategies, etc.)</i>	<i>(i.e. project documentation, national policies or strategies, websites, project staff, project partners, data collected throughout the TE mission, etc.)</i>	<i>(i.e. document analysis, data analysis, interviews with project staff, interviews with stakeholders, etc.)</i>
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?			
Efficiency: Was the project implemented efficiently, in line with international and national norms and standards?			
Sustainability: To what extent are there financial, institutional, socio-political, and/or environmental risks to sustaining long-term project results?			
Gender equality and women's empowerment: How did the project contribute to gender equality and women's empowerment?			
Impact: Are there indications that the project has contributed to, or enabled progress toward reduced environmental stress and/or improved ecological status?			
<i>To what extent have the project been impacted by COVID</i>			

Annex 4: Ethical Code of Conduct for UNDP Evaluations

Evaluators:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and: respect people's right not to engage. Evaluators must respect people's right to provide information in confidence and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.
8. Must ensure that independence of judgement is maintained, and that evaluation findings and recommendations are independently presented.
9. Must confirm that they have not been involved in designing, executing or advising on the project being evaluated.

Evaluation Consultant Agreement Form⁴

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: _____

⁴ www.unevaluation.org/unegcodeofconduct

Name of Consultancy Organization (where relevant): _____ **I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.**

Signed at ____ on _____

Signature: _____

XVII. ANNEX 5: TE RATING SCALES

Ratings for Outcomes, Effectiveness, Efficiency, M&E, Implementation/Oversight, Execution, Relevance	Sustainability ratings:
<p>6 = Highly Satisfactory (HS): exceeds expectations and/or no shortcomings</p> <p>5 = Satisfactory (S): meets expectations and/or no or minor shortcomings</p> <p>4 = Moderately Satisfactory (MS): more or less meets expectations and/or some shortcomings</p> <p>3 = Moderately Unsatisfactory (MU): somewhat below expectations and/or significant shortcomings</p> <p>2 = Unsatisfactory (U): substantially below expectations and/or major shortcomings</p> <p>1 = Highly Unsatisfactory (HU): severe shortcomings</p> <p>Unable to Assess (U/A): available information does not allow an assessment</p>	<p>4 = Likely (L): negligible risks to sustainability</p> <p>3 = Moderately Likely (ML): moderate risks to sustainability</p> <p>2 = Moderately Unlikely (MU): significant risks to sustainability</p> <p>1 = Unlikely (U): severe risks to sustainability</p> <p>Unable to Assess (U/A): Unable to assess the expected incidence and magnitude of risks to sustainability</p>

XVIII. ANNEX 6: TE REPORT CLEARANCE FORM

Terminal Evaluation Report for (Project Title & UNDP PIMS ID) Reviewed and Cleared By:

--

Commissioning Unit (M&E Focal Point)

--

Name: _____

--

Signature: _____ Date: _____

--

Regional Technical Advisor (Nature, Climate and Energy)

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Name: _____

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Signature: _____ Date: _____

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XIX. ANNEX 7: TE AUDIT TRAIL

The following is a template for the TE Team to show how the received comments on the draft TE report have (or have not) been incorporated into the final TE report. This Audit Trail should be listed as an annex in the final TE report but not attached to the report file.

To the comments received on (date) from the Terminal Evaluation of (project name) (UNDP Project PIMS #)

The following comments were provided to the draft TE report; they are referenced by institution/organization (do not include the commentator's name) and track change comment number ("#" column):

Institution/ Organization	#	Para No./ comment location	Comment/Feedback on the draft TE report	TE team response and actions taken

Reviewed and cleared : _____



Approved : _____