

# TERMS OF REFERENCE

## Project Mid-Term Evaluation

### 1. Project Summary

Project Title:	Making the Link: The Connection and Sustainable Management of Kon Ka Kinh and Kon Cha Rang Nature Reserves
Project ID:	PIMS 2152 BD MSP: KKK-KCR/ Atlas: 00043767/00051178
Implementing Partner:	Gia Lai Provincial Peoples Committee,
Responsible Agency:	Gia Lai Forest Protection Department.
Project Sites:	Kon Ka Kinh National Park, Kon Cha Ran Nature Reserve, and Tram Lap and Dakrong State Forest Enterprises
Country:	Vietnam
Budget:	USD 2,942.000
Assignment Duration:	18 days (expected starting date 18 November 2009)
Duty station:	Pleiku City (Gia Lai Province), with travel to KKK National Park, KCR Nature Reserve, and Hanoi

### 2. The UNDP/ GEF Mid-Term Review

The GEF/UNDP Monitoring and Evaluation (M&E) policy at the project level has four objectives, as follows:

- i. Monitor project and evaluate results and impacts.
- ii. Provide a basis for decision-making on needed project amendment and improvement.
- iii. Promote accountability for the use of project resources.
- iv. Document, provide feedback on, and disseminate project lessons learned.

The mid-term evaluation is a UNDP requirement for all GEF full size and medium size projects, with the purpose to provide an objective and independent assessment of project implementation and impact, including lessons learned to guide future conservation efforts. The evaluation aims to identify potential project design and implementation problems, assess progress towards the achievement of planned objectives and outputs, including the generation of global environmental benefits, identify and document lessons learned (including lessons that might improve design and implementation of other UNDP projects including GEF co-financed projects), and to make recommendations regarding specific actions that might be taken to improve project implementation and the sustainability of impacts, including recommendations about replication and exit strategies.

The MTE is also expected to serve as a means of validating or filling the gaps in the initial assessment of relevance, effectiveness and efficiency obtained from regular project monitoring. The mid-term evaluation thus provides a valuable opportunity to assess signs of ultimate project success or failure and prompt necessary adjustments in project design and management. UNDP also views the mid term evaluation as an important opportunity to provide donors, government and project partners with an independent assessment of the status, relevance and performance of the project with reference to the Project Document.

### 3. Project summary

This medium-sized GEF project 'Making the Link: The Connection and Sustainable Management of Kon Ka Kinh and Kon Cha Rang Nature Reserves (4KCRP), an area of global significance for biodiversity conservation in the Central Annamites Priority Landscape.

The project aims to contribute to global biodiversity conservation in the Central Annamites by establishing a conservation corridor through the Tram Lap and Dakrong State Forest Enterprises (SFEs) to link Kon Ka Kinh National Park (KKKNP) and Kon Cha Rang Nature Reserve (KCRNR). The conservation corridor represents an important strategy to combat habitat fragmentation and to conserve threatened species<sup>1</sup> and high-value ecological processes that require large spatial areas for their viability over the long term. Kon Ka Kinh and Kon Cha Rang hold global priorities for biodiversity conservation given that they support most of the unique biological attributes of the Central Annamites Priority Landscape, together with some of the most intact faunal and floral communities remaining in Vietnam. The two nature protected areas are situated in the Kon Tum Plateau Endemic Bird Area (EBA), a center of endemism in birds and other taxonomic groups, with recent discoveries demonstrating that it meets globally-recognized criteria.

Project implementation sets to attain the above by planning for, establishing, and strengthening institutional parameters needed to support conservation management and biophysical connectivity between the two protected areas. This is to take place by introducing sustainable forest management measures, establishing permanent conservation areas, and introducing collaborative management and other permissible approaches to ensure that protected areas and the SFEs include operational modalities to help manage the landscape as one integrated biological unit; the KKK-KCR Forest Complex.

The proposed corridor, likely a mixture of protection zones and utilization to be partly managed in collaboration with local communities, is expected to play a crucial role in the long-term conservation of the Central Annamites Priority Landscape. The corridor will contribute to social and economic development by promoting sustainable natural resource use to sustain the livelihoods of people within the forest complex who still depend on these resources on a daily basis. The sustainability of the corridor is therefore very much dependent on the participation and support of all the key stakeholders, including local ethnic minority peoples living in the project area. The performance of the conservation corridor will depend, to a large extent, on the efficiency and effectiveness with which natural resource endowments are protected and maintained.

The project addresses developmental challenges by building institutional capacity to manage the corridor and protected areas, enhancing connectivity through the establishment of permanent conservation areas and sustainable forest management zones, and raising community awareness and understanding of the importance of conserving and protecting the unique and valuable fauna and flora of the project area. At the same time the sustainable forest management regime and forest certification within the two State Forest Enterprises are expected to play an important role in helping meet development goals.

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<sup>1</sup> Species within the KKK-KCR Forest complex include threatened and endangered animals, such as the grey-shanked *Doac Pygathrix cinerea*, yellow-cheeked crested gibbon *Hylobates gabriellae* and tiger *Panthera tigris*.

#### **4. Project goals and objectives**

The overall conservation goal of this project is the long-term conservation of the unique biological attributes of the Central Annamites Priority Landscape. While the establishment of the two protected areas was an important contribution to this goal, individually they are too small to maintain viable populations of all species, particularly wide-ranging species that occur at naturally low densities, such as Tiger *Panthera tigris*.

In order for the above conservation goal to be realized, it is essential that KKK NP and KCR NR, and the intervening SFEs be managed in a way that is consistent with the maintenance of their integrity as a single biological unit.

The purpose of the project is, therefore, to establish a foundation of support and management to maintain the biological integrity and connectivity of the Kon Ka Kinh and Kon Cha Rang, an integral part of the KKK-KCR Forest Complex.

The project proposes to accomplish the above goal through three Project Outcomes and corresponding Priority Activities, as follows:

##### ***Project Outcomes, Activities, and General Indicators***

To this end, the project comprises three Project Outcomes and corresponding Priority Activities as follows:

##### ***Outcome 1. Institutional Strengthening***

1. To strengthen the institutional capacity of Gia Lai Forest Protection Department (FPD) in areas of forest management and protection, with specific emphasis on areas within and around the KKK and KCR.

##### ***Priority Activities***

- 1.1 Provision of basic infrastructure and key equipment items to the protected areas.
- 1.2 Conduction of training program for Forest Protection Department staff.
- 1.3 Establishment of a monitoring program for the protected areas.
- 1.4 Development Community Forest Protection Units at key villages in the landscape.
- 1.5 Strengthening of institutional mechanisms to improve coordination between forest protection agencies.
- 1.6 Establishment of a communications system amongst forest protection agencies within the project area.
- 1.7 Development of long-term funding mechanisms for KKK NP and KCR NR.

##### ***General Indicator***

Government economic policies support growth that is more equitable, inclusive, and sustainable.

### *Outcome 2. Awareness and Education*

2. To increase awareness among local communities, key decision-makers, scientific community, and donors to the conservation values of the project area, building long-term support for forest management and protection in the KKK-KCR Forest Complex.

#### *Priority Activities*

- 2.1 Increase conservation awareness among local communities
- 2.2 Increase dialogue and understanding between ethnic minorities and the Forest Protection Department
- 2.3 Generate conservation support for the KKK NP-KCR NR by conservationists and key decision makers

#### *General Indicator*

Economic growth takes into account environmental protection and rational use of natural resources for poverty reduction

### *Outcome 3. Sustainable Forest Management*

3. To establish conditions for sustainable forest management and forest management certification in Dakrong and Tram Lap State Forest Enterprises, leading to the continued integrity of a forest corridor between KKK NP and KCR NR.

#### *Priority Activities*

- 2.4 Assess the Dakrong and Tram Lap enterprises to achieve Forest Stewardship Council certification
- 2.5 Strengthen the capacity of the State Forest Enterprises staff in sustainable forest management
- 2.6 Secure forest certification to the Dakrong and Tram Lap State Forest Enterprises
- 2.7 Secure establishment of Permanent Conservation Areas within SFEs to “link” KKK NP and KCR NR

#### *General Indicator*

Systematic approaches to natural resources management and biodiversity conservation, with broad participation of local people and other stakeholders, fulfill obligations under global environmental conventions.

## **5. Project present status**

The project has achieved important results, some of which include, amongst other:

- Baseline socio-economic surveys and assessment of collaborative management options carried out in areas between KKK NP and KCR NR, to assess possible locations for pilot collaborative management locations.
- Baseline biodiversity surveys to define possible and priority areas for proposed connecting forest corridors between KKK NP and KCR Nature Reserve, including areas targeted for strict conservation.

- Training needs assessment for key project conservation stakeholders, with conducting of follow-up training activities to address some of the training needs and improve stakeholder conservation management capacities.
- Elaboration of a conservation awareness strategy and action plan for the project area, targeting local communities, stakeholders, and government officers.
- Definition and training for biodiversity monitoring within the project area, with definition of monitoring modules and sequences.
- A number of training courses have been conducted for protected area staff and local stakeholders, resulting in improved management capacity and increased public awareness of environmental protection and natural resources.

## **5. Objectives of the Mid-Term Evaluation**

The overall objective of the Mid-Term Evaluation is to review progress towards the project's objectives and outcomes, identify strengths and weaknesses in implementation, and identify risks and counter-measures. One crucial aspect of the evaluation is to assess the likelihood of the project achieving its objectives and delivering its intended outputs, and to provide recommendations and lessons to help the project design and modifications to increase the likelihood of success if necessary.

*Key issues to be assessed:*

### *Project design and relevance*

A key aspect of the evaluation is to assess project design and relevance to proposed objectives and outputs. In line with this, evaluation will pay particular attention into assessing the:

- Relevance of the project to its objectives and to the biodiversity conservation needs of Vietnam, especially in terms of maximizing and sustaining the impact interventions.
- Project design, operational modalities, coherence of its strategies and activities, and links between the various components to reach overall objectives in synergy.
- Significance of the overall project approach in relation its objectives, and if specific results and activities thus far are in line with the aspirations of the beneficiaries.
- Ways to strengthen the project relevance.

### *Progress of implementation, efficiency, and effectiveness*

- Assess the project's progress towards attaining the project's national and global environmental objectives.
- Analyse the achievements of the project against its stated targets, its strengths and weaknesses, and key challenges that have emerged in the course of implementation.
- Assess the adequacy and appropriateness of the project implementation modalities that have been put into place.
- Assess the role of the funding and executing agencies—implementing bodies, sub-contractors, Steering Committee, Local authorities, and their effectiveness in carrying out their respective tasks
- Analyse the adequacy of the monitoring approach and methodology and the results of monitoring activities that have been conducted.

- Assess the effectiveness of the project's approaches and strategies in relation to the stated objectives.
- Assess the effectiveness of the project in co-ordinating its work, and in exchanging information, with other initiatives in Vietnam and with other co-operation projects. Specifically, assess the clarity of roles and responsibilities of agencies and institutions, and the level of coordination between relevant agencies, such as Forest Protection Department and Forestry Department, and forest management stakeholders, such as the protected areas and the State Forest Enterprises.
- Review any partnership arrangements with other donors and comment on their strengths and weaknesses, such as partnership with Tropical Forest Trust, and Birdlife International as a subcontractor.
- Co-funding mobilized till date

### *Impacts*

- Progress towards achieving project outcomes, particularly related to biodiversity conservation and the establishment of a connecting corridor between KKK and KCR
- Assess the project's possible long-term impact on institutions building, particularly related to stakeholder agencies and local minority communities.
- Analyse the overall effects of the project per component in a broader context, and against the project objectives.
- Assess possible impact of the project to local minority communes, should connective corridors be established and functional as envisioned.
- Assess the impact of activities undertaken by the project that could influence provincial and national policy related to biodiversity conservation and collaborative management options.
- Review and evaluate the extent to which project impacts have reached the intended beneficiaries, both within and outside project sites.
- Assess the level of community involvement in the project and recommend on whether public involvement has been appropriate to the goals of the project.
- Describe and assess efforts of UNDP in support of the implementing agency and national institutions.

### *Sustainability*

- Assess the policies, practices, and strategies proposed and adopted by the project in terms of sustainability.
- Assess how the local institutional capacity and structures of the project have been prepared for the post project situation.
- Assess project-crosscutting issues, such as appropriate technology, gender issues, government inter-agency cooperation, biodiversity and sustainable livelihoods.
- Analyse the current trends in policy and legislative development in sectors related to the project and describe the current and expected legal and other bottlenecks that may stall the assimilation of key project results.
- Assess the likelihood of continuation of project outcomes and benefits after completion of GEF funding.
- Identify risks and counter-measures, describe key factors that will require attention in order to improve prospects for sustainability of project outcomes;

- Assess whether the project has an appropriate strategy for knowledge transfer, and describe the results of this strategy to date;
- Describe the main lessons that have emerged in terms of:
  - Strengthening local ownership.
  - Strengthening stakeholder participation.
  - Application of adaptive management strategies.
  - Efforts to secure sustainability.
  - Knowledge transfer.
  - Role of monitoring and evaluation in project implementation.

In describing all lessons learnt, an explicit distinction needs to be made between those lessons applicable only to this project, and lessons that may be of value more broadly, including to other similar projects in the UNDP/ GEF pipeline and portfolio.

## **6. Methodology for the evaluation**

### *6.1 Review team clarification of roles and responsibilities (including allocation of tasks)*

### *6.2 Desk review of project documents, PIRs, Field reports by CO etc.*

### *6.3 Stakeholders' Consultation*

The evaluation is to be conducted in a participatory fashion, involving as many project stakeholders as possible, and addressing issues together to define relevant answers to questions posed within these Terms of Reference. One purpose of the evaluation is to assess project implementation and impact likelihood, and for this to take place all stakeholders must fully understand, and identify with, the evaluation report. This should be the case even if some stakeholders might disagree with some of the final report contents. List key stakeholder groups – government (local and national – include OFP if possible; UNDP, other co-funders, other relevant initiatives, local government, UNDP-GEF RTA in Bangkok, etc.)

### *6.4 Field visits*

The evaluation must start with a review of project documentation, including key project planning reports, consultancy mission reports, and relevant correspondence. It will include visits to the national project office, interviews (by phone if necessary) with key individuals within the project—including the Chief Technical Advisor, the government at Provincial, District, and Commune levels, key sub-contractors to the project—such as BirdLife International and Environment Vietnam, as well as implementing and executing agency personnel.

Field visits to project sites will also be conducted to view activities first hand and to meet with project counterparts—particularly KKK National Park, KCR Nature Reserve, and officials from the two State Forest Enterprises.

### 6.5 Debriefing workshop/ meetings

6.6 Sharing of draft document for stakeholders' comments/ factual corrections

6.7 finalization and submission to UNDP

## **9. Implementation arrangements:**

The Project Management Unit is responsible for obtaining a visa for the international consultant, booking hotels, arranging domestic travel, meeting consultants at the airport, arranging meetings with concerned parties in Pleiku and the KKK NP and KCR NR, and other logistic support. Passport details of the international consultant must be provided to the Project Management Unit at least two weeks prior to the arrival date. It is suggested that the evaluation mission be carried out in late November 2008.

- **Also note provision of documents**
- **Who will organize the meetings locally and in Hanoi?**
- **Who will be the primary contact person for the team? It has to be Thu Ba**
- **Who will provide translation**

## **Annex 1**

### **Evaluation Team Requirements and Specific Tasks**

#### *General requirements*

Candidates to the evaluation team must have relevant experience in Natural Resource Management or related fields and have adequate experience in evaluation of GEF projects. Candidates must also be physically fit and be willing to walk and work in remote locations. Consultants must bring their own computing equipment.

The main products expected from the evaluation are:

- Presentation(s) to key stakeholders;
- An interim draft report; and,
- A final comprehensive mid-term evaluation report.
- Validated METT (draft METT to be provided by project team)

#### *Evaluation methodology*

Although participatory in nature, the evaluation methodology will be determined by the evaluation team, guided by the requirements of GEF and UNDP, as articulated in various guidelines, policies and manuals on the conduct of evaluations for GEF projects. It is also important to examine project documents such as the approved GEF project brief, the final UNDP project document, the inception workshop report, the project logical framework, annual budgets and work plans, Project Steering Committee and TPR minutes as available, earlier PDF-B reports, and other technical reports and relevant documents are important as relevant. A list of key documents is given in Annex 3

The evaluation methodology should be clearly documented in the final evaluation report including comprehensive details on: (a) documents reviewed; (b) interviews conducted; (c) consultations held with key stakeholders; (d) project sites visited; and, (e) techniques and approaches used for data gathering, verification and analysis.

The evaluation team will make a verbal presentation to stakeholders towards the end of the evaluation. After the presentation the team will take note of verbal and written responses to its presentation and consider these in preparing an interim draft evaluation report that will be provided to UNDP-Vietnam before the team leaves for distribution to stakeholders.

#### *Reporting process*

UNDP will circulate the draft report to all stakeholders requesting written feedback that should be sent directly to the evaluators within one week of receipt. The Mid-Term Evaluation report including all annexes should be finalized within ten days of the deadline for receiving comments on the first draft.

While the evaluation team is free to determine the actual layout of the final evaluation report, this must include the minimum content requirements, as suggested in Annex 5. The Team Leader will forward the final report by e-mail to UNDP–Vietnam for onward distribution to all stakeholders. The evaluators will be responsible for the contents, quality, and veracity of the report.

### *Individual requirements*

#### International Consultant (Team Leader)

- PhD, or Masters degree plus ten years experience in biodiversity conservation, protected area management, conservation management, natural resources conservation, or related fields, with in-depth understanding of landscape ecology conservation approaches and community-based natural resource management.
- Familiar with integrated conservation development projects in developing countries, particularly in Asia, either through managing or evaluating donor-funded projects.
- Familiarity with collaborative management theory and practice, and substantive knowledge of participatory monitoring and evaluation processes is essential.
- Familiarity with forest management practices, particularly under state enterprises logging natural forests, and experience with ethnic minorities is an advantage.
- Experience in the evaluation of technical assistance projects, if possible with UNDP or other UN development agencies and major donors.
- A demonstrated understanding of GEF principles and expected impacts in terms of global benefits is essential.
- Demonstrated ability to assess complex situations in order to succinctly and clearly screen critical issues and draw forward-looking conclusions.
- Experience leading small multi-disciplinary, multi-national teams to deliver quality products in high stress, short deadline situations.
- Previous relevant experience in Vietnam is an advantage but not essential.
- Excellent English writing and communication skills.

#### National consultant (Protected Areas and Biodiversity Conservation)

- Professional background in natural resources management, conservation and community development, and related fields with a minimum of eight years of relevant experience.
- Knowledge of monitoring and evaluation and working experiences in evaluating conservation and development projects.
- Demonstrated understanding of both conservation and development decision-making processes, at national and provincial level is essential.
- Knowledge of participatory and community participation in natural resources management.
- Proficient English writing and communication skills, with an ability to act as translator for international counterpart and to translate written documents from/ to Vietnamese is essential.
- Experience with the United Nations or other international development agency is an advantage.

### *Evaluation Team Specific Tasks*

The main final output of the evaluation will be an independent and comprehensive Mid-Term Evaluation report with annexes as needed. However, the main report should not exceed 50 pages, and presenting annexes as needed. The minimum requirements for the content of the final Mid-Term Evaluation report are given in Annex 5.

The basis for the evaluators' main conclusions must be clear and the methodology clearly documented within the final report. Recommendations made must be based on clearly substantiated findings and stated in operational terms. They must address all issues

identified by the evaluation mission, including changes in modalities, processes, strategies, focus and otherwise deemed necessary and appropriate

#### International Consultant/ Team Leader

The Team Leader will have overall responsibility for the work and operation of the evaluation team, including the coordination of inputs from different team members. The Team Leader is responsible and overall accountable for the production of the agreed outputs.

In addition to the above, the Team Leader is responsible for the following:

- Desk research of existing management plans, survey/ research/ evaluation reports and databases.
- Conduct fieldwork together with the national counterpart and interview stakeholders, forest management and protection officials, and communities to generate authentic information and opinions.
- Write and compile the information and reports as needed.
- Make a presentation of key findings highlighting achievements, constraints, and make practical recommendations to decision makers and stakeholders.
- Finalize the Evaluation Report

#### Local Consultant

- The local consultant will assist and collaborate with the Team Leader in all the tasks mentioned above including fieldwork, desk based translation, report writing as agreed with Team Leader, and assist with translation in the field.
- The national consultant will be mobilized several days before the Team Leader in an effort to collect and collate data related to the project beforehand.

## Annex 2

### Tentative Agenda – Evaluation Mission

The mid-term evaluation field mission is scheduled to begin on Monday 17 November 2008 with the arrival of the national into Pleiku. After the arrival of the Team Leader, on 17 November, the evaluation mission will run to Monday 01 December 2008. A tentative mission program is given below, with a more detailed schedule to be discussed and prepared between the evaluation team and the Project Management Unit in Pleiku.

Dates	Item
18 Nov '08	Briefing meeting with UNDP CO and relevant stakeholders in Hanoi
19 Nov '08	Arrival of evaluators in Pleiku Meeting with Project Management Unit Discussion of 'Second Schedules' and logistics Definition of 'Final Schedules' Discuss and agree on approaches/ methodologies Examination of project documentation
20 Nov '08	Meetings in Pleiku with project government stakeholders - Gia Lai Provincial Peoples Committee - Gia Lai Forest Protection Department - Gia Lai DARD and Department of Forestry
21 Nov '08	Fieldwork, travel to, and meetings with KKK NP officials and members of the Management Board. Field recognizance of project interventions.
22 Nov '08	Fieldwork, travel to, and meetings with KCR NP officials and members of the Management Board. Field recognizance of project interventions.
23-24 Nov '08	Meeting with village leaders and villagers in (a) Village 4 of Son Lang Commune, (b) Village 1 of Kon Phe Commune, and (c) Dekjieng and Hyer of Ayun Commune.
25 Nov '08	Field visit and discussions with Dakrong State Forest Enterprises, forest observations and discussion on proposed project objectives
26 Nov '08	Field visit and discussions with Tram Lap, forest observations and discussion on proposed project objectives
27-28 Nov '08	Writing of key findings and recommendations
29 Nov '08	Presentation to external stakeholders of preliminary findings of the evaluation.
30 Dec '08	Travel to Hanoi.
01 Dec '08	Debriefing and presentation of key findings and recommendations at UNDP CO. Evaluators leave.
08 Dec	First draft to UNDP and PMU.
24 Dec '08	Comments back to evaluators from UNDP and PMU.
31 Dec '08	Final report to be sent to UNDP

## **Annex 3**

### **List of Key Background Documents for the Evaluation**

1. Final Approved Project Document “Making The Link: The Connection and Sustainable management of Kon Ka Kinh National Park and Kon Chu Rang Nature Reserve”
2. Annual Project Implementation Review (PIR) 2006 – 2008 (2 PIRs)
3. Minutes of the Annual Project Steering Committee (PSC) Meetings
4. Annual financial audit reports
5. Quarterly Operational Reports (QORs)
6. PDF-B related report
7. GEF Monitoring & Evaluation Policy 2006
8. The Evaluation Policy of UNDP 2006
9. GEF Focal Area Strategy Paper 2007
10. GEF Tracking Tools for Strategic Objective 1 and Strategic Objective 2
11. Final Project Document
12. Inception Report, inclusive of Logical Framework
13. Implementation plans for areas corresponding to State Forest Enterprises
14. Quarterly and annual reports, including PIR/APR and Minutes of National Steering Committee Meetings.

Key consultants' reports, including:

15. Training Needs Assessment,
16. Community-based Forest Protection System, Review of Capacity and Procedures for strengthened coordination among forest protection agencies in KKK-KCR area, Training Document: Ecological Monitoring Framework,
17. Training on Forest Protection Regulations and Techniques for Stakeholders of the Kon Ka Kinh Kon Chu Rang Project,
18. Participatory Social Assessment of Ethnic Minority Villages in the Project Area and Definition of Pilot Sites to Implement Collaborative Management,
19. Report on Ecological Monitoring Program, and documentation related to the implementation of the project's Conservation Awareness Program.
20. Maps of the project sites, KKK National Park, KCR Nature Reserve, Tram Lap and Dakrong State Forest Enterprises

## Annex 4

### GEF Guidelines to Evaluations

Implementation Approach includes an analysis of the project's logical framework, adaptation to changing conditions (adaptive management), partnerships in implementation arrangements, changes in project design, and overall project management.

Some elements of an effective implementation approach may include:

- The logical framework used during implementation as a management and M&E tool
- Effective partnerships arrangements established for implementation of the project with relevant stakeholders involved in the country/region
- Lessons from other relevant projects (e.g., same focal area) incorporated into project implementation
- Feedback from M&E activities used for adaptive management.

Country Ownership/Drivenness is the relevance of the project to national development and environmental agendas, recipient country commitment, and regional and international agreements where applicable. Project Concept has its origin within the national sectoral and development plans

Some elements of effective country ownership/drivenness may include:

- Project Concept has its origin within the national sectoral and development plans
- Outcomes (or potential outcomes) from the project have been incorporated into the national sectoral and development plans
- Relevant country representatives (e.g., governmental official, civil society, etc.) are actively involved in project identification, planning and/or implementation
- The recipient government has maintained financial commitment to the project
- The government has approved policies and/or modified regulatory frameworks in line with the project's objectives

For projects whose main focus and actors are in the private sector rather than public-sector (e.g., IFC projects), elements of effective country ownership/drivenness that demonstrate the interest and commitment of the local private sector to the project may include:

- The number of companies that participated in the project by: receiving technical assistance, applying for financing, attending dissemination events, adopting environmental standards promoted by the project, etc.
- Amount contributed by participating companies to achieve the environmental benefits promoted by the project, including: equity invested, guarantees provided, co-funding of project activities, in-kind contributions, etc.
- Project's collaboration with industry associations

Stakeholder Participation/Public Involvement consists of three related, and often overlapping processes: information dissemination, consultation, and "stakeholder" participation.

Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the GEF-financed project. The term also applies to those potentially adversely affected by a project.

Examples of effective public involvement include:

#### Information dissemination

- Implementation of appropriate outreach/public awareness campaigns

#### Consultation and stakeholder participation

- Consulting and making use of the skills, experiences and knowledge of NGOs, community and local groups, the private and public sectors, and academic institutions in the design, implementation, and evaluation of project activities

#### Stakeholder participation

- Project institutional networks well placed within the overall national or community organizational structures, for example, by building on the local decision making structures, incorporating local knowledge, and devolving project management responsibilities to the local organizations or communities as the project approaches closure
- Building partnerships among different project stakeholders
- Fulfillment of commitments to local stakeholders and stakeholders considered to be adequately involved.

Sustainability measures the extent to which benefits continue, within or outside the project domain, from a particular project or program after GEF assistance/external assistance has come to an end. Relevant factors to improve the sustainability of project outcomes include:

- Development and implementation of a sustainability strategy.
- Establishment of the financial and economic instruments and mechanisms to ensure the ongoing flow of benefits once the GEF assistance ends (from the public and private sectors, income generating activities, and market transformations to promote the project's objectives).
- Development of suitable organizational arrangements by public and/or private sector.
- Development of policy and regulatory frameworks that further the project objectives.
- Incorporation of environmental and ecological factors affecting future flow of benefits.
- Development of appropriate institutional capacity (systems, structures, staff, expertise, etc.).
- Identification and involvement of champions (i.e. individuals in government and civil society who can promote sustainability of project outcomes).
- Achieving social sustainability, for example, by mainstreaming project activities into the economy or community production activities.
- Achieving stakeholder's consensus regarding courses of action on project activities.

Replication approach, in the context of GEF projects, is defined as lessons and experiences coming out of the project that are replicated or scaled up in the design and implementation of other projects. Replication can have two aspects, replication proper (lessons and experiences are replicated in different geographic area) or scaling up (lessons and experiences are replicated within the same geographic area but funded by other sources). Examples of replication approaches include:

- Knowledge transfer (i.e., dissemination of lessons through project result documents, training workshops, information exchange, a national and regional forum, etc).
- Expansion of demonstration projects.
- Capacity building and training of individuals, and institutions to expand the project's achievements in the country or other regions.
- Use of project-trained individuals, institutions, or companies to replicate the project's outcomes in other regions.

Financial Planning includes actual project cost by activity, financial management (including disbursement issues), and co-financing. If a financial audit has been conducted the major findings should be presented in the final report.

Effective financial plans include:

- Identification of potential sources of co-financing as well as leveraged and associated financing<sup>2</sup>.
- Strong financial controls, including reporting, and planning that allow the project management to make informed decisions regarding the budget at any time, allows for a proper and timely flow of funds, and for the payment of satisfactory project deliverables
- Due diligence due diligence in the management of funds and financial audits.

Co financing includes: Grants, Loans/Concessional (compared to market rate), Credits, Equity investments, In-kind support, Other contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector and beneficiaries. Please refer to Council documents on co-financing for definitions, such as GEF/C.20/6.

Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities, or the private sector. Please briefly describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective.

Cost-effectiveness assesses the achievement of the environmental and developmental objectives as well as the project's outputs in relation to the inputs, costs, and implementing time. It also examines the project's compliance with the application of the incremental cost concept. Cost-effective factors include:

- Compliance with the incremental cost criteria (e.g. GEF funds are used to finance a component of a project that would not have taken place without GEF funding.) and securing co-funding and associated funding.
- The project completed the planned activities and met or exceeded the expected outcomes in terms of achievement of Global Environmental and Development Objectives according to schedule, and as cost-effective as initially planned.
- The project used either a benchmark approach or a comparison approach (did not exceed the costs levels of similar projects in similar contexts)

Monitoring and Evaluation. Monitoring is the periodic oversight of a process, or the implementation of an activity, which seeks to establish the extent to which inputs, work schedules, other required actions and outputs are proceeding according to plan, so that timely action can be taken to correct the deficiencies detected. Evaluation is a process by which program inputs, activities, and results are analyzed and judged explicitly against benchmarks or baseline conditions using performance indicators. This will allow project managers and planners to make decisions based on the evidence of information on the project implementation stage, performance indicators, level of funding still available, etc, building on the project's logical framework.

Monitoring and Evaluation includes activities to measure the project's achievements such as identification of performance indicators, measurement procedures, and determination of baseline conditions. Projects are required to implement plans for monitoring and evaluation with adequate funding and appropriate staff and include activities such as description of data sources and methods for data collection, collection of baseline data, and stakeholder participation. Given the long-term nature of many GEF projects, projects are also

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<sup>2</sup> Please refer to Council documents on co-financing for definitions, such as GEF/C.20/6. The following page presents a table to be used for reporting co-financing.

encouraged to include long-term monitoring plans that are sustainable after project completion

## Annex 5

### Evaluation Report: Sample Outline

The following sample outline is designed for adaptation to specific project circumstances. The minimum GEF requirements to be presented in the Evaluation report are underlined<sup>3</sup>.

#### Executive summary

- Brief description of project
- Context and purpose of the evaluation
- Main conclusions, recommendations, and lessons learned

#### Introduction

- Purpose of the evaluation
- Key issues addressed
- Methodology of the evaluation
- Structure of the evaluation

#### The project and its development context

- Project start and its duration
- Problems that the project seeks to address
- Immediate and development objectives of the project
- Main stakeholders
- Results expected

#### Findings and Conclusions

- Project formulation
  - Implementation approach
  - Country ownership/ drivenness
  - Stakeholder participation
  - Replication approach
  - Cost-effectiveness
  - UNDP comparative advantage
  - Linkages between project and other interventions within the sector
  - Indicators
  - Management arrangements
- Implementation
  - Financial Planning
  - Monitoring and evaluation
  - Execution and implementation modalities
  - Management by the UNDP Country Office
  - Coordination and operational issues
  - Risks and counter measures
- Results
  - Attainment of objectives
  - Sustainability
  - Contribution to upgrading skills of the national staff
  - Likelihood of project attaining its objective

#### Recommendations

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<sup>3</sup> Please refer to GEF guidelines for explanation of terminology

- Corrective actions for the implementation, monitoring, and evaluation of the project
- Actions to follow up or reinforce initial benefits from the project
- Proposals for future directions underlining the project's main objectives

#### Lessons learned

- Practices in addressing issues relating to relevance, performance, and success

#### Annexes

- Terms of Reference
- Itinerary
- List of persons interviewed
- Summary of field visits
- List of documents reviewed
- Executive Co-financing and Leverages Resources (see Annex 6)

## Annex 6

### Co-financing as on 30 October 2008

Co financing (Type/Source)	IA own Financing (mill US\$)		Government (mill US\$)		Other* (mill US\$)		Total (mill US\$)		Total Disbursement (mill US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants										
Loans/Concessions (Compared to market rate)										
- Credit										
- Equity investments										
- In-kind support										
- Other (*)										
<b>TOTALS</b>										

\* Other referred to contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector and beneficiaries

