TERMS OF REFERENCE FOR FINAL EVALUATION
BRA/97/G31 - ENABLING ACTIVITY: NATIONAL BIODIVERSITY STRATEGY AND NATIONAL REPORT TO THE CONVENTION OF BIOLOGICAL DIVERSITY

I. INTRODUCTION

a) United Nations Development Programme/Global Environment Facility (UNDP/GEF) Monitoring and Evaluation policy:

The Monitoring and Evaluation (M&E) policy at the project level in UNDP/GEF has four objectives: i) to monitor and evaluate results and impacts; ii) to provide a basis for decision making on necessary amendments and improvements; iii) to promote accountability for resource use; and iii) to document, provide feedback on, and disseminate lessons learned. A mix of tools is used to ensure effective project M&E. These might be applied continuously throughout the lifetime of the project – e.g. periodic monitoring of indicators -, or as specific time-bound exercises such as mid-term reviews, audit reports and final evaluations.

In accordance with UNDP/GEF M&E policies and procedures, all regular and medium-sized projects supported by the GEF should undergo a final evaluation upon completion of implementation. A final evaluation of a GEF-funded project (or previous phase) is required before a concept proposal for additional funding (or subsequent phases of the same project) can be considered for inclusion in a GEF work program. However, a final evaluation is not an appraisal of the follow-up phase.

Final evaluations are intended to assess the relevance, performance and success of the project. It looks at early signs of potential impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental goals. It will also identify/document lessons learned and make recommendations that might improve design and implementation of other UNDP/GEF projects.

b) The project objectives and its context within the program country.

The Convention on Biological Diversity (Article 6) defines the National Biodiversity Strategy as the process to manage biodiversity that provides the Government with guidelines for incorporation of the CDB principles of conservation, sustainable use and equitable sharing of benefits derived from biodiversity into public planning.

For Brazil, the National Biodiversity Strategy includes the establishment of a regulatory framework, plans and programmes to generate knowledge, to promote biodiversity conservation and sustainable use actions and to establish mechanisms to access genetic resources and benefit sharing.

With this purpose, the Project National Biodiversity Strategy and National Report to CBD (BRA/97/G31) was established, and signed in September 1997, with resources from the Global Environment Facility (GEF), between the Ministry of Environment, the Brazilian Agency for Cooperation (ABC) and the United Nations Development Programme (UNDP). It falls into the cathegory of Enabling Activity, a special modality within GEF for financing projects that assist governments in fullfilling their committments to the Conventions.

The project was composed of five main objectives: (i) preparation of National Biodiversity Strategy; (ii) undertaking and publication of strategic studies; (iii) establishing of exchange mechanisms, consolidation of the Biodiversity fora; (iv) preparation/updating of the National Biodiversity Report; and (v) policy implementation proposals.

UNDP was chosen for assistance with this project as one of the GEF implementing agency for Enabling Activities and in view of the key role its technical co-operation projects played in strengthening the MMA in Brazil and the possibility of close co-ordination with other on-going initiatives. Furthermore, UNDP had recognised and relevant experience with projects of this nature both in Brazil and in other parts of South America.

II. OBJECTIVES OF THE EVALUATION

The main objective of this final independent mandatory evaluation is to assess the implementation of Project BRA/97/G31, validating the results achieved. It should focus on the project's relevance, efficiency of the adopted strategies and actions, sustainability of results, cost-benefit relation, as well as lessons learned for dissemination of best practices. The evaluation shall provide a qualitative and quantitative analysis of Project status vis-à-vis its objectives, its accomplishments and positive and negative experiences.

The main stakeholders for the evaluation are the National Commission for Biodiversity (CONABIO), the Directorate for Biodiversity Conservation of the Secretariat of Biodiversity and Forests of the Ministry of Environment; the Directorate of Institutional Articulation (DAI), the Technical team responsible for the operating the project, its managers, ABC and UNDP; and other institutions such as NEPAN, IB/UNICAMP, and NUPAUB/ USP.

III. PRODUCTS EXPECTED FROM THE EVALUATION

The evaluation consists of three different products, as follows:

1. Detailing of methodology, evaluation criteria and indicators and final agenda, as per item VII of this document and Project Document;
2. Draft Evaluation Report for internal discussions;
3. Final Evaluation Report, as per outline below, in English.

The evaluation report outline should be structured along the following lines:

1. Executive summary
2. Introduction
3. The project and its development context
4. Findings and Conclusions
   4.1 Project formulation
   4.2 Implementation
   4.3 Results
5. Recommendations
6. Lessons learned
7. Annexes

The final report shall not have more than 50 pages. The draft version shall be submitted to UNDP/Brazil Country Office and National Executing Agency after a maximum of four weeks after contract's signature for comments and discussions. In case there are discrepancies between the impressions and findings of the evaluator and the aforementioned parties these should be explained in an annex attached to the final report.

IV. METHODOLOGY OR EVALUATION APPROACH

The methodology that will be used by the evaluator includes information on:

- Documentation review (desk study); the list of documentation to be reviewed is included as an Annex to the TORs;
- A list of Project specific issues that should be considered during evaluation that will be provided to consultant during an opening meeting for the evaluation;
- Interviews with main stakeholders;
- Field visits (to be defined);
- Meetings with Executing Agency, Project Team, Brazilian Agency for Cooperation (ABC) and UNDP.

V. EVALUATION TEAM

A team of two independent consultants will be hired to conduct the evaluation of this project. The evaluation team shall include professionals with a wide range of knowledge and expertise. One of the consultants will be the leading consultant and responsible for presenting the evaluation report. As such, the leading consultant will coordinate with the other team member the *modus operandi* among them and their internal deadlines for inputs for the report and final revisions, with emphasis on time and scope of work of each consultant. While the leading consultant will assume most of the responsibilities regarding this evaluation, the second consultant will focus on project results in terms of biodiversity, assessing how the studies and products derived from this project contributed to advancement of knowledge on biodiversity in Brazil.

Given that two UNDP/GEF projects are under final evaluation at this moment, the leading consultant for the evaluation of project BRA/97/G31 will work as secondary consultant for the evaluation of project BRA/00/G35 and the leading consultant for the evaluation of project BRA/00/G35 will work as secondary consultant for the evaluation of project BRA/97/G31. It is expected that the synergies from these interactions will increase the quality of the evaluation of both projects.

Consultant 1:
The leading consultant will have experience in international cooperation projects, including formulation, implementation of projects, in particular GEF projects. He/She will have wide experience in monitoring and evaluation of projects in Brazil and Latin America. He/She will also have knowledge of the administrative and managerial systems for implementation of projects in Brazil, as well as UNDP's and GEF's regulations and procedures.

Consultant 2:
The second consultant will have a post-graduate degree on social sciences, ecology, biology or related fields. He/She will have experience with conservation of biodiversity as well as projects of local development. The consultant will have experience with implementation of environmental projects, their challenges and complexities.

Fees for consultant 1 consists of R$ 25,000.00 (Twenty-five thousand Reais), to be paid upon presentation and approval of the following products by UNDP and the National Executing Agency:

- Product 1. Detailing of methodology, evaluation criteria and indicators and final agenda: R$ 3,000.00 (Three thousand Reais);
- Product 2. Draft Evaluation Report: R$ 10,000.00 (Ten thousand Reais);
- Product 3. Final Evaluation Report: R$ 12,000.00 (Twelve thousand Reais).

Fees and travel expenses for Consultant 1 will be charged to project BRA/97/G31, budget line 16.71 – Evaluation and Monitoring. Fees and travel expenses for Consultant 2 will be charged to project BRA/00/G35.

VI. IMPLEMENTATION ARRANGEMENTS

Management arrangements: The UNDP/Brazil Country Office is the main operational point for the evaluation, in cooperation with the Executing Agency. It will be responsible for liaising with the project team to set up the stakeholder interviews, arrange the field visits, and ensure the timely provision of per diems and travel arrangements within the country for the evaluator. These Terms of Reference follow the UNDP GEF policies and procedures, and together with the final agenda will be agreed upon by the UNDP/GEF/Regional Coordinating Unit, UNDP Country Office and the Executing Agency. These three parties will receive a draft of the final evaluation report and provide comments on it prior to its completion.

Timeframe: The evaluation will be held in August and September 2006 and is based on the following schedule:

Activities	Timeframe
Desk review and briefing for evaluator	1st week
Detailing of methodology, evaluation criteria and indicators, and final agenda	2nd week
Field visits and interviews	2nd and 3rd weeks
Debriefing	3rd week
Presentation of Draft Evaluation Report for internal discussions	4th week
Comments and suggestions	5th week
Presentation of Final Evaluation Report	7th week

Resources required and logistical support needed for field visits will be provided by the Project under the coordination of the Executing Agency.

VII. SCOPE OF THE EVALUATION:

The scope of the evaluation comprises the following topics:

1. Executive summary

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

2. Introduction

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

3. The project(s) and its development context

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

4. Findings and Conclusions

In addition to a descriptive assessment, all **criteria marked with (R) should be rated** using the following divisions: Highly Satisfactory, Satisfactory, Marginally Satisfactory, Unsatisfactory and N/A.

4.1. Project Formulation

- Conceptualization/Design (R). This should assess the approach used in design and an appreciation of the appropriateness of problem conceptualization and whether the selected intervention strategy addressed the root causes and principal threats in the project area. It should also include an assessment of the project logic and whether the different project components and activities proposed to achieve the objective were appropriate, viable and responded to contextual institutional, legal and regulatory settings of the project. It should also assess the indicators defined for guiding implementation and measurement of achievement and whether lessons from other relevant projects (e.g., same focal area) were incorporated into project design. It should be noted that since this is an Enabling Activity, there were specific requirements and eligibility criteria that had to be followed.

- Country-ownership/Driveness. Assess the extent to which the project idea/conceptualization had its origin within national, sectoral and development plans and focuses on national environment and development interests.

- Stakeholder participation (R) Assess information dissemination, consultation, and "stakeholder" participation in design stages.

- Replication approach. Determine the ways in which lessons and experiences coming out of the project were/are to be replicated or scaled up in the design and implementation of other projects (this also related to actual practices undertaken during implementation).

- Other aspects to assess in the review of Project formulation approaches would be UNDP comparative advantage as IA for this project; the consideration of linkages between projects and other interventions within the sector and the definition of clear and appropriate management arrangements at the design stage.

4.2. Project Implementation

- Implementation Approach (R). This should include assessments of the following aspects:

  (i) The use of the project logic as a management tool during implementation and any changes made to this as a response to changing conditions and/or feedback from M and E activities if required.

  (ii) Other elements that indicate adaptive management such as comprehensive and realistic work plans routinely developed that reflect adaptive management and/or; changes in management arrangements to enhance implementation.

(iii) The project's use/establishment of electronic information technologies to support implementation, participation and monitoring, as well as other project activities.

(iv) The general operational relationships between the institutions involved and others and how these relationships have contributed to effective implementation and achievement of project objectives.

(v) Technical capacities associated with the project and their role in project development, management and achievements.

- Monitoring and evaluation (R). Including an assessment as to whether there has been adequate periodic oversight of activities during implementation to establish the extent to which inputs, work schedules, other required actions and outputs are proceeding according to plan; whether formal evaluations have been held and whether action has been taken on the results of this monitoring oversight and evaluation reports.

- Stakeholder participation (R). This should include assessments of the mechanisms for information dissemination in project implementation and the extent of stakeholder participation in management, emphasizing the following:

(i) The production and dissemination of information generated by the project.

(ii)Local resource users and NGOs participation in project implementation and decision-making and an analysis of the strengths and weaknesses of the approach adopted by the project in this arena.

(iii) The establishment of partnerships and collaborative relationships developed by the project with local, national and international entities and the effects they have had on project implementation.

(iv) Involvement of governmental institutions in project implementation, the extent of governmental support of the project.

- Financial Planning: Including an assessment of:

(i) The actual project cost by objectives, outputs, activities

(ii) The cost-effectiveness of achievements

(iii) Financial management (including disbursement issues)

(iv) Co-financing [1]

- Sustainability. Development of a sustainability strategy so that the benefits of the project will continue, within or outside the project domain, after it has come to an end.

- Execution and implementation modalities. This should consider the effectiveness of the UNDP counterpart and Project Co-ordination Unit participation in selection, recruitment, assignment of experts, consultants and national counterpart staff members and in the definition of tasks and responsibilities; quantity, quality and timeliness of inputs for the project with respect to execution responsibilities, enactment of necessary legislation and budgetary provisions and extent to which these may have affected implementation and sustainability of the Project; quality and timeliness of inputs by UNDP, Executing Agency, Government and other parties responsible for providing inputs to the project, and the extent to which this may have affected the smooth implementation of the project.

4.3. Results

- Attainment of Outcomes/ Achievement of objectives (R*):* Including a description *and rating* of the extent to which the project's objectives (environmental and developmental) were achieved using Highly Satisfactory, Satisfactory, Marginally Satisfactory, and Unsatisfactory ratings, in order achievements, results and impacts can be properly established.

This section should also include reviews of the following:

- Sustainability*:* Including an appreciation of the extent to which benefits continue, within or outside the project domain after GEF assistance/external assistance in this phase has come to an end.

- Contribution to upgrading skills of the national staff at the executing agency

5. Recommendations

- Corrective actions for the design, implementation, monitoring and evaluation of the project, so that other projects to be financed by the GEF can benefit from these lessons
- Actions to follow up or reinforce initial benefits from the project
- Proposals for future directions underlining main objectives

6. Lessons learned

[1] Please see guidelines at the end of Annex 1 of these TORs for reporting of co-financing

This should highlight the best and worst practices in addressing issues relating to relevance, performance and success.

7. Evaluation report Annexes

- Evaluation TORs
- Itinerary
- List of persons interviewed
- Summary of field visits
- List of documents reviewed
- Questionnaire used and summary of results
- Comments by stakeholders (only in case of discrepancies with evaluation findings and conclusions)

VIII. TERMS OF REFERENCE ANNEXES

Annex 1: Terminology in the GEF Guidelines to Terminal Evaluations
Annex 2: List of Documents to be reviewed by the evaluator
Annex 3: List of Project specific issues that should be considered during evaluation

Annex 1. Explanation on Terminology Provided in the GEF Guidelines to Terminal Evaluations

Implementation Approach includes an analysis of the project's logic, 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/Driveness 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/driveness 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/driveness 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 consist 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 stakeholders' 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 TE.

Effective financial plans include:

- Identification of potential sources of co-financing as well as leveraged and associated financing[2].
- 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

[2] 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.

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

Any issues related to the quality of backstopping and quality assurance and control of project deliverables listed in the project document should be addressed in this section.

Financial Planning Co-financing

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/Concessional (compared to market rate)										
– Credits										
– Equity investments										
– In-kind support										
– Other (*)										
Totals										

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

Leveraged Resources

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.

Annex 2: List of Documents to be reviewed by the evaluator

1. Project Document and Substantive Revisions undertaken during project implementation.
2. Relevant Products/Studies produced during project implementation by consultants and/or produced by the Project Team.
3. Minutes of TPR meetings and other meetings for monitoring of the project.
4. GEF Guidelines for Enabling Activities.